



CODE OF CORPORATE GOVERNANCE

FOREWORD BY THE CHIEF EXECUTIVE

Corporate governance has grown in importance over recent years for both the public and private sectors and the recent collapse of parts of the Financial Sector has increased significantly the attention which is paid to the governance of corporate bodies.

For local government, the drive for better governance arrangements emanated from a CIPFA/SOLACE Working Party which produced a new governance framework for councils in 2001 and which was endorsed by the Scottish Executive, COSLA and the Accounts Commission. This framework recommended that all councils adopt a local Code of Corporate Governance. To a significant extent West Lothian Council already conformed, in whole or in part, with the principles of good governance and first introduced a formal local code in 2002/03.

Since the initial CIPFA/SOLACE framework was published, local government has been the subject of much modernisation and reform intended to improve local accountability and engagement. Councils now have a key role in leading their communities as well as ensuring the delivery of high quality services. Reform of the electoral system and the delivery of Single Outcome Agreements between councils and the Scottish Government require councils to keep their political and business management process under review to make sure they are effective in the new political context in order to meet the needs of the general public. Innovative service delivery through partnership arrangements, companies, trusts and other organisations require sound governance arrangements to allow councils to fulfil their purposes, deliver their intended outcomes for service

users and operate in an effective, efficient and ethical manner.

Furthermore, legislation placed a statutory duty of Best Value on all local authorities and sound governance arrangements within councils are essential for the delivery of Best Value. Councils also face the challenge of being under the greatest financial pressure since devolution. An increased demand for services, lower income and funding reductions will put great pressure on the ability of councils to deliver improved services and meet rising expectations of customers. Councils must ensure that they demonstrate, through good governance arrangements, clear structural processes that will enable the difficult financial challenges to be met over the medium to long term.

As a response to these developments, CIPFA/SOLACE produced a new framework – Delivering Good Governance In Local Government. This framework recommends that councils demonstrate best practice by developing, implementing and maintaining a local code of governance.

The council's Code of Corporate Governance contained in this booklet is based on this new framework which defines corporate governance as-

“the systems by which local government bodies are directed and controlled and how they lead their communities”

The Code requires compliance with the six core principles of good governance that are taken from the Good Governance Standard developed by the Independent Commission on Good Governance in Public Services and have been adapted by CIPFA for local government purposes.

West Lothian Council, having adopted the CIPFA/SOLACE framework, has developed a Code of Corporate Governance in which each principle has a number of specific requirements which have to be met for the council to show that it complies with the Code, and for each of those requirements a responsible officer in the council has been identified. Compliance with the Code is monitored each year by the Working Group of officers on Corporate Governance chaired by the Chief Legal Officer who has been given responsibility for overseeing the implementation of the Code and co-ordinating and conducting an annual review. The results of this review are reported to the Council Executive each year in June, with recommendations for additions and improvements to the Code to reflect changes in the way in which the council does business or new legislation affecting the council's governance arrangements. The Working Group's assessment of compliance is reflected in the annual governance statement which the Leader of the Council and I are required to produce as part of the audit of the council's annual accounts. In addition, each year the council's Internal Audit team

conducts an independent audit of a different aspect of the council's compliance with the Code. As a result, the West Lothian Council Code, while not being statutory in form, is enforced through the internal and external audit processes to the same effect.

But good governance is not merely an auditing requirement; it is crucial for effective public services and achieving the social outcomes which are the council's objective. As Sir Alan Langlands, the Chair of the Independent Commission on Good Governance in Public Services, states in his Commission's report:-

“Good governance leads to good management, good performance, good stewardship of public money, good public engagement and, ultimately, good outcomes”.

I concur with these views and cannot overstate the importance of good governance to the council. Proper systems and processes enable us to demonstrate to the community and to others that we are well organised and properly set up to provide the full range of services required by our customers.

Everyone within the council, whether a member or officer, has a role in ensuring that the council has the highest possible standards of corporate governance and should be familiar with the requirements of this Code. The Code should also be of interest to the council's stakeholders who are entitled to expect the same high standards.

17 May 2010

Alex Linkston,
Chief Executive.

1. INTRODUCTION

Corporate Governance is a means of showing that the council is properly run. It refers to the systems by which the council directs and controls its functions and relates to its communities. These are the systems and procedures which apply across the whole council, such as performance reporting, financial controls, standing orders and codes of conduct for both employees and members.

The West Lothian Council Code pulls together in one document, all the systems and procedures which direct and control how the council functions.

Compliance with the West Lothian Council Code demonstrates to the council's local community, its stakeholders and everyone interested in the council's performance that West Lothian Council is well organised to deliver the full range of services which are required by its customers.

The West Lothian Council Code reflects the current CIPFA/SOLACE framework – Delivering Good Governance In Local Government. Although not mandatory, the framework illustrates best practice for developing and maintaining a local code of governance and has been endorsed by the Convention of Scottish Local Authorities (COSLA) and the Audit Commission.

2. FRAMEWORK FOR THE LOCAL CODE OF CORPORATE GOVERNANCE

Requirements of the Corporate Governance Framework

The framework requires all councils to:

- review existing corporate governance arrangements against the new framework;
- prepare and maintain an up to date local code of corporate governance;
- implement the local code and ensure its ongoing relevance;
- provide a governance statement annually in the published final accounts indicating how the authority is complying with the framework.

3. PRINCIPLES OF GOOD GOVERNANCE

To achieve good governance, compliance with the following core principles of good governance is required:

- 1) Focusing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area;
- 2) Members and officers working together to achieve a common purpose with clearly defined functions and roles;
- 3) Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour;
- 4) Taking informed and transparent decisions which are subject to effective scrutiny and managing risk;
- 5) Developing the capacity and capability of members and officers to be effective;
- 6) Engaging with local people and other stakeholders to ensure robust public accountability.

Principle 1 covers:

- Development and promotion of the authority's purpose and vision;
- Review of the authority's vision for local areas and its implications for the authority's governance arrangements;
- Assurance that partnerships are underpinned by a common vision that is understood and agreed by all partners;
- Annual publication of the authority's activities, achievements, financial position and performance;
- Arrangements for the measurement and review service quality;
- Effective arrangements to identify and deal with failure in service delivery;
- Measurement of value for money and the environmental impact of policies, plans and decisions;
- Development, promotion and review of the authority's civil emergency plan.

Principle 2 covers:

- Clear statement of the roles and responsibilities of members and senior officers;
- Scheme of delegation of decision-making powers to elected members and officers;

- Protocols to ensure effective communication between members and officers in their respective roles;
- Scheme of remuneration of members and officers;
- Arrangements for the monitoring of service delivery;
- Ensuring the organisations visions, corporate plans, priorities and targets are developed in consultation with the local community and other key;
- Ensuring members and officers are clear about their roles and responsibilities relating to partnership working arrangements.

Principle 3 covers:

- Effective leadership that creates a climate of openness, support and respect;
- Clear codes of conduct and protocols for members and officers;
- Effective arrangements to ensure members and employees of the authority are not influenced by prejudice, bias or conflicts of interest;
- Assurance that systems and processes are designed in conformity with appropriate ethical standards.

Principle 4 covers:

- Development and maintenance of an effective scrutiny function which encourages constructive challenge and enhances the authority's performance and of any organisation for which it is responsible;
- Development and maintenance of open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based;
- Development and maintenance of an effective audit committee;
- Effective, transparent and accessible arrangements are in place for dealing with complaints;
- Effective arrangements for identifying, review and management of risk;
- The legal powers of the authority and ensuring compliance with all applicable legislation.

Principle 5 covers:

- Effective induction programmes and training arrangements for members and officers;
- Ensuring services are delivered properly by qualified and trained staff;

- Review of the performance for officers, members and the executive as a whole.

Principle 6 covers:

- Ensuring clear channels of communication exist with all sections of the community and stakeholders of the council;
- Arrangements for encouraging the participation and contribution by all sections of the community in the work of the council;
- An explicit commitment to openness in all the council's dealings subject only to the need to preserve confidentiality where this is proper and appropriate to do so.

Systems and Processes

West Lothian Council is committed to the integration of the above six core principles of good governance with the conduct of the council's business. To further this objective, systems and processes within the council will be monitored and subject to regular review as set out in the West Lothian Council Code of Corporate Governance.

Leadership

The concept of leadership overarches the principles of good governance and is vital if the principles are to be adhered to. The council undertakes to exercise leadership through decision making and other actions that provide a vision and leadership for the local community and by elected members and officers conducting themselves in ways that exemplify high standards of conduct and so provide an example for the rest of the organisation.

4. COMPLIANCE PROCESS

Each principle has a number of specific requirements which have to be met for the council to show that it complies with the West Lothian Council Code, and for each of those requirements a responsible officer in the council has been identified.

Each year, the Working Group of officers on Corporate Governance, chaired by the Chief Legal Officer, gathers evidence of the extent to which each principle of the Code is complied with across the whole council. The Working Group has set up an electronic database for recording this evidence and comparing levels of compliance with previous years. The evidence and information, which is required to be produced to show compliance, should be available to the councils' managers through their normal management processes and performance reporting systems. A summary of the Working Groups findings, including the progress in improving compliance, is reported to the Council Executive each June. This report forms the basis of the annual statement by the Leader of the Council and the Chief Executive in the council's accounts.

5. FURTHER INFORMATION & ADVICE

Further information and advice can be obtained from any member of the council's Working Group on Corporate Governance. They are:-

Gordon Blair, Chief Legal Officer/Monitoring Officer (Chair of the Working Group)

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6. CONCLUSION

This local code is part of the response by West Lothian Council to the new CIPFA/SOLACE framework on corporate governance and will assist the council in continuing to achieve and demonstrate good governance.

17 May 2010

West Lothian Council's Code of Corporate Governance

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

1.1 Exercising strategic leadership by developing and clearly communicating the authority's purpose and vision and its intended outcomes for citizens and service users.

1.1.1 Develop and promote the authority's purpose and vision.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.1.1a Scottish Government 15 national outcomes incorporated into the partnerships Single Outcome Agreement		Karen Cawte		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.1.1b The twelve challenges identified by the West Lothian Community Planning Partnership are incorporated in the partnerships Single Outcome Agreement.		Karen Cawte		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.1.1c Single Outcome Agreement for West Lothian signed by community planning partners and Scottish Government.		Karen Cawte		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.1.1d Performance against SOA measures published on the intranet.		Karen Cawte		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.1.1e Formal annual report against SOA		Karen Cawte		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.1.1f Ten year Community Plan for West Lothian produced in conjunction with local partners in public services, the private sector,		Karen Cawte		

voluntary sector and communities. Inclusion of targets and challenges in the plan				
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Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.1.1g Ten year Community Plan reviewed every five years. The review is published on the intranet		Karen Cawte		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.1.1h A Corporate Plan detailing the vision for the council is produced each administrative term.		Depute Chief Executives		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.1.1i The council's activities and achievements from the previous year are published together with and the planned initiatives for the current year.		Jim McIvor		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.1.1j Performance against Corporate Plan regularly reviewed by committee		Jim McIvor		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.1.1k Terms of reference for service plans.		Jim McIvor		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.1.1L Service Plans reflect corporate objectives.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.1.1m Communication Strategy for corporate objectives.		Depute Chief Executives		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.1.1n Documented meetings to discuss key objectives.		Depute Chief Executives		

1.1.2 Review on a regular basis the authority's vision for the local area and its implications for the authority's governance arrangements.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.1.2a Signed off purpose and vision statement		Graham Hope		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.1.2b Review of the authority's vision		Depute Chief Executives		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.1.2c Review of governance code		Gordon Blair		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.1.2d Assessment of impact of changes from vision document.		Depute Chief Executives		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.1.2e Customer experiences of services taken into consideration in planning process		Heads of Service		

1.1.3 Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all partners.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.1.3a Fully Signed off and published Community Plan.		Karen Cawte		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.1.3b Documented record of process of determining and reviewing vision		Karen Cawte		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.1.3c Agreed role and scope of funded organisations contribution to		Depute Chief		

tasks		Executives		
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Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.1.3d Agreed role and scope of contracted partner contribution to tasks		Depute Chief Executives		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.1.3e Agreed role and scope of statutory partnership contribution to tasks		Depute Chief Executives		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.1.3f Agreed role and scope of other partners contribution to tasks.		Depute Chief Executives		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.1.3g Maintenance of schedule of partnerships		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.1.3h Evidence of compatibility of partnership and local authority goals.		Heads of Service		

1.1.4 Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all partners.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.1.4a Formal annual report against SOA.		Karen Cawte		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.1.4b Report against Community Plan		Karen Cawte		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.1.4c Report against Corporate Plan		Jim McIvor		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.1.4d Annual financial statements.		Donald Forrest		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.1.4e Annual service users feedback report.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.1.4f Publication of Statutory performance indicators (SPI's) on an annual basis		Jim McIvor		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.1.4g Public reporting of corporate performance.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.1.4h Public reporting of service performance.		Heads of Service		

1.2 Ensuring that users receive a high quality of service whether directly, or in partnership, or by commissioning.

1.2.1 Decide how the quality of service for users is to be measured and make sure that the information needed to review service quality effectively and regularly is available.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.2.1a Agreed set of service quality standard measures.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.2.1b Clear processes in place to hear the views of users and non-users from all backgrounds.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.2.1c Evidence that views have been taken into account in service planning delivery.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.2.1d Comparison and analysis of quality of service provided by similar organisations.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.2.1e The A to Z of public council services containing standards for all services. Maintenance and updating of A to Z of public council services reviewed annually by a designated officer		Heads of Service		

1.2.2 Put in place effective arrangements to identify and deal with failure in service delivery.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.2.2a Regular reports produced on progress of service delivery.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.2.2b Performance trends are established and reported upon.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.2.2c Committee Reports detailing complaints dealt with and analysed by outcome.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.2.2d Formally approved complaints policy, which is reviewed and the public are aware of it.		Depute Chief Executives		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.2.2e Complaints system records actions taken to prevent re-occurrence.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.2.2f Evidence that complaints have informed positive service improvement.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.2.2g Staff trained to deal with complaints and empowered to deal with them.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.2.2h Corporate communication standard developed.		Evelyn Cargill		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.2.2i Customer contact arrangements are in place to record customer comments, complaints and requests for service.		Alistair Shaw		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.2.2j Unified approach to complaint handling across the council, with a common point of entry and also across community planning partnerships and other forms of partnership working.		Depute Chief Executives		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.2.2k Regular testing of complaints handling procedure to ensure it meets consumer needs and expectations.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.2.2L An Audit remit that covers all types of controls, not just financial.		Kenneth Ribbons		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.2.2m Audit Committee that covers all types of controls, not just financial.		James Millar		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.2.2n External assurance reports collated centrally and reports reviewed by relevant senior management team and reported to committee.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.2.2o In response to external assurance reports, action plans are prepared and approved as appropriate.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.2.2p Follow up reports on recommendations are requested and reviewed by the relevant senior management team and progress is regularly reported to the relevant committee.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.2.2q Risks to service delivery are identified, captured and reported on.		Heads of Service		

1.3 Ensuring that the authority makes best use of resources and that tax payers and service users receive excellent value for money.

1.3.1 Decide how value for money is to be measured and make sure that the authority or partnership has the information needed to review value for money and performance effectively. Measure the environmental impact of policies, plans and decisions.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.3.1a Budget and monitoring reports provided to committee that demonstrate compliance with the requirements of the Prudential Code.		Donald Forrest		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.3.1b Prudential indicators approved by Council.		Donald Forrest		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.3.1c Annual capital plan approved by full council.		Donald Forrest		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.3.1d Quarterly monitoring reports to committee.		Donald Forrest		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
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1.3.1e Three year budgeting process that links priorities and resource allocation.		Donald Forrest		
Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.3.1f Five year general services capital budget consultation with committee.		Donald Forrest		
Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.3.1g Annual reporting to committee on project performance.		Heads of Service		
Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.3.1h Annual monitoring reported to committee.		Donald Forrest		
Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.3.1i The annual budgeting and Management Planning process ensures compliance with Standing Orders, Scheme of Delegation, Financial Regulations and Council policy.		Heads of Service		
Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.3.1j Clear corporate instruction on how to measure VFM and the corporate requirement to monitor VFM.		Donald Forrest		
Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.3.1L Monitoring of VFM captured WLAM.		Heads of Service		
Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.3.1m VFM programme for auditors which will determine improvement actions to be taken.		Kenneth Ribbons		
Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.3.1n Compare information about the economy, efficiency and effectiveness of services provided by similar organisations.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.3.1o Benchmarking is used to ensure that services are performing well.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.3.1p A strategy has been developed and communicated which considers strategic and operational sustainability at least once every administrative term.		Depute Chief Executives		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.3.1q Corporate framework/guidance for assessing environmental impact of policies, plans and decisions.		Steve Field		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.3.1r Consultation is undertaken before policies and plans are developed.		Depute Chief Executives		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.3.1s Costs compare well with others, allowing for other factors.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.3.1t Costs are commensurate with service delivery, performance and outcomes achieved.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.3.1u Authority has improved VFM and achieved efficiency gains.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.3.1v An efficiency statement is produced and published on a regular basis		Donald Forrest		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
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1.3.1w Programme of VFM exercises undertaken.		Kenneth Ribbons		
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1.4 Exercising strategic leadership by developing and clearly communicating the authority's civil emergency plans.

1.4.1 Developing and promoting the authority's civil emergency plan.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.4.1a Plans are developed which ensure adequate and effective handling of recognised civil emergencies.		Caroline Burton		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.4.1b The plans are communicated to all partners and stakeholders.		Caroline Burton		

1.4.2 To conduct regular exercises to test the effectiveness of the plans.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.4.2a Exercises are conducted that establish the effectiveness of the plans.		Caroline Burton		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.4.2b Training is provided for all parties involved in the delivery of the plans		Caroline Burton		

1.4.3 To review on a regular basis the authority's plans.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
1.4.3a Plans are reviewed regularly taking into account changing risks, capacity and other circumstances together with the outcome of test exercises.		Caroline Burton		

2. Members and officers working together to achieve a common purpose with clearly defined functions and roles.

2.1 Ensuring effective leadership throughout the authority and being clear about executive and non-executive functions and of the roles and responsibilities of the scrutiny function.

2.1.1 Set out a clear statement of the respective roles and responsibilities of members generally and of senior officers.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.1.1a Political management structure is approved by Council and available on the internet		James Millar		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.1.1b Terms of reference for the administration of each committee reviewed every administrative term and update as required.		James Millar		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.1.1c Multi Member Ward Protocols reviewed every administrative term and update as required.		James Millar		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.1.1d Public document setting out authorities approach to governance.		Gordon Blair		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.1.1e Governance arrangements reviewed annually and reported to senior management and committee.		Gordon Blair		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.1.1f Documented and approved process for holding officers to account for achieving agreed objectives and implementing strategy.		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.1.1g The Code of Conduct for Elected Members contains details of the responsibilities of Elected Members and officers.		Gordon Blair		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.1.1h Standing Orders contain details of the responsibilities of Elected Members and officers.		Gordon Blair		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.1.1i Published job descriptions for all officers and Elected Members.		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.1.1j LEADER of the COUNCIL: Published job description.		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.1.1k LEADER of the COUNCIL: Statement of roles and responsibilities Review of role and responsibilities every administrative term and updated as required.		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.1.1L CHIEF EXECUTIVE: Published job description.		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.1.1m HEAD OF PAID SERVICE: Under Standing Orders an officer is appointed Head of Paid Service under s4 of the Local Government and Housing Act 1989 and is responsible to the authority for all aspects of operational management.		Depute Chief Executives		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.1.1n MONITORING OFFICER: An officer is appointed as Monitoring Officer under S5 Local Government and Housing Act 1989.		Depute Chief Executives		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.1.1o s95 OFFICER: An officer is appointed as Proper Officer under S95 of the Local Government (Scotland) Act 1973.		Depute Chief Executives		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.1.1p ELECTED MEMBERS: Job descriptions for Members' role approved by Council. Reviewed every administrative term and updated as required.		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.1.1q ELECTED MEMBERS: Protocol contained in national Code of Conduct for Councillors.		Gordon Blair		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.1.1r ELECTED MEMBERS: Protocol for the best practice to be observed in multi member wards.		James Millar		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.1.1s ELECTED MEMBERS: Review of operation of the multi-member ward protocol at least once every administrative term.		James Millar		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.1.1t ELECTED MEMBERS: Annual training for elected members on the code of conduct for elected members, including the officer/member interface.		Gordon Blair		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.1.1u ELECTED MEMBERS: Annual review of operation of Code of Conduct reported to senior management and committee.		Gordon Blair		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.1.1v CHIEF OFFICERS: Contract of employment/job outline for Chief Officers reviewed every administrative term and updated as required.		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.1.1w CHIEF OFFICERS: Chief Officer roles reflected in Scheme of		Gordon Blair		

Delegation.				
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Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.1.1w EMPLOYEES: A code of conduct for employees is approved by the council. The code is reviewed each administrative term.		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.1.1x EMPLOYEES: Protocol in place detailing how to operate with Elected Members from multi member wards.		James Millar		

2.2 Ensuring that a constructive working relationship exists between members and officers and that the responsibilities of authority members and officers are carried out to a high standard.

2.2.1 Determine a scheme of delegation

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.2.1a Scheme of delegation (including scheme of delegation for each service).		Gordon Blair		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.2.1b Scheme of delegation to Community Planning Partnerships.		Karen Cawte		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.2.1c An effective and clear scheme of delegation is in place, including a formal section identifying matters reserved to Council, i.e. not delegated		James Millar		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.2.1d Established terms of reference and reporting arrangements of all committees and any sub-committees of the authority.		James Millar		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
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2.2.1e Standing Orders and Financial Regulations are regularly reviewed.		Gordon Blair Donald Forrest		
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Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.2.1f There are clear management processes to ensure compliance with Standing Orders, Scheme of Delegation Financial Regulations and Council policy		Heads of Service		

2.2.2 Make a chief executive or equivalent responsible and accountable to the authority for all aspects of operational management.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.2.2a Up to date job description for the chief executive which sets out their operational responsibilities		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.2.2b Established appraisals arrangements for the Chief Executive.		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.2.2c Established appraisals arrangements for all senior directors.		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.2.2d A robust performance management system which enables all operations to be reported on in terms of meeting performance standards targets and levels of satisfaction.		Jim McIvor		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.2.2e Chief Executive appointed Head of Paid Service under s4 of the Local Government and Housing Act 1989.		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.2.2f Contract of Employment and Scheme of Delegation reflect responsibility under s4 of the Local Government and Housing Act 1989.		Graeme Struthers		

2.2.3 Develop protocols to ensure that the leader and chief executive negotiate their respective roles early in the relationship and that a shared understanding of roles and objectives is maintained.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.2.3a Job description for the Leader and Chief Executive that make respective roles clear		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.2.3b Political management structure is clear and effective. Reviewed every administrative term and updated as required.		James Millar		

2.2.4 Make a senior officer (the S95 officer) responsible to the LA 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.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.2.4a Identify post within organisation staff structure and a current section 95 job description, membership of top management team.		Graham Hope		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.2.4b Appointment of a senior officer to the role of s95 officer.		Graham Hope		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.2.4c Schemes of Delegation, Standing Order and Financial Regulations which are consistent with statute		Gordon Blair Donald Forrest		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.2.4d Authority's accounts are compiled in accordance with statutory and professional accounting standards.		Donald Forrest		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.2.4e Budgetary control framework and procedures have been developed.		Donald Forrest		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.2.4f Documentation showing that the budgeting / service planning process was followed for setting the budget		Donald Forrest		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.2.4g Authority's accounts are supported by comprehensive papers.		Donald Forrest		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.2.4h The accounts and working papers are approved in accordance with relevant timetable.		Donald Forrest		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.2.4i Regular reporting to committee of financial position and performance, together with projected position.		Donald Forrest		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.2.4j Compliance with the standard expected by external audit as evidenced in their annual report to the Council including the Performance and Risk framework.		Donald Forrest		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.2.4k Annual report of Head of Internal Audit.		Kenneth Ribbons		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.2.4L Clear job description for the treasurer of any joint boards distinguishing responsibilities from those of the finance officer of the service subject to the joint board arrangement.		Graham Hope		

2.2.5 Make a senior officer (usually the monitoring officer) responsible to the authority for ensuring that agreed procedures are followed and that all applicable statutes and regulations are complied with.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.2.5a An officer is appointed to ensure that agreed procedures are followed and applicable statutes and regulations complied with. These duties are defined within their job description.		Graham Hope		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.2.5b Schemes of Delegation, Standing Orders and Financial Regulations which are consistent with statute.		Gordon Blair Donald Forrest		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.2.5c Internal audit reports highlight any material breaches of Standing Orders or Financial Regulations.		Kenneth Ribbons		

2.3 Ensuring relationships between the authority, its partners and the public are clear so that each know what to expect of the other.

2.3.1 Develop protocols to ensure effective communication between members and officers in their respective roles.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.1a Protocol contained in National Code of Conduct for Councillors. Elected Members advised of protocol at least once per year.		Gordon Blair		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.1b Code of Conduct for employees developed and reviewed at least once per administrative term.		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.1c Protocols for communications between officers and groups of and individual elected members.		Gordon Blair		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.1d Protocols for communicating between officers and elected members on multi-member ward issues.		James Millar		

2.3.2 Ensure that an established scheme for remuneration of members and officers and an effective structure for managing the process including an effective remuneration panel (if applicable) are in place.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.2a Published record of payments made		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.2b Roles and responsibilities of all senior officers, together with the terms of their remuneration and its review, are clearly defined in writing and reviewed annually.		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.2c A scheme for member remuneration and allowances and personnel policies and conditions of service which ties in with the national scheme.		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.2d Remuneration for Elected Members available for public inspection.		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.2e Expenses for Elected Members information available for public inspection.		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.2f Remuneration information for officers available for public inspection.		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.2g Expenses for officers information available for public inspection.		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.2h Structured pay scales reflecting competence for officers.		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.2i Competencies Incorporated into job grading process.		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.2j Process for structure setting, approving, grading and addressing appeals.		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.2k Managers decisions shaped by identifiable drivers such as modernisation of service, efficiency or best value.		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.2l Development of an Organisational Change Policy to ensure that change is communicated and managed effectively.		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.2m Development of Job Evaluation and job matching procedures or adoption of recognised national standards		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.2n Procedures developed for the processing of appeals and re-grading requests.		Graeme Struthers		

2.3.3 Ensure that effective mechanisms exist to monitor service delivery.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.2.2c A schedule of main council and committee meetings is planned to ensure that members regularly meet on a formal basis to set the strategic direction of the authority and monitor service delivery.		James Millar		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.3a Council wide financial and budget performance system in place which enable monitoring and reporting regularly during the financial year.		Donald Forrest		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.3b Annual accounts produced within deadlines and certified without qualification.		Donald Forrest		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.3d Committee remits focusing on strategic decisions and performance monitoring.		James Millar		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.3e Corporate guidance developed for high level KPI's to reflect the results section of WLAM, which is reviewed annually.		Jim McIvor		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.3f Appropriate key performance indicators have been established and approved for each service element and included in the service plan.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.3g Regular reports on progress and delivery of KPI's, which are presented to managers and members.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.3h Performance committees receive performance reports which focus on responsibilities under the Corporate Plan.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.3i Reports include detailed performance results both absolute and relative to peer authorities, clear indication of below, on or		Heads of Service		

above target results, highlighting areas where corrective action is necessary.				
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Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.3j Committee reports on below par performance include SMART action plans to improve performance.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.3k Performance management systems are documented regularly, regularly reviewed and updated to take into account changes to organisation structure and new performance measurement frameworks (including the Scottish Governments National Performance Framework)		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.3l Performance measures and benchmarking are being used to describe and evaluate how the authority's asset base contributes to the achievement of corporate and service objectives, including improvement priorities.		Heads of Service		

2.3.4 Ensure that the organisation's vision, corporate 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.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.4a A list of accountable bodies to consult has been produced in order to maintain an effective dialogue with those to whom we are accountable.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.4b Protocols for consultation with third parties.		Alistair Shaw		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.4c Evidence of undertaking consultations in relation to production of major plans/strategies. (i.e. not service provision)		Depute Chief Executives		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.4d Evidence to support the quality of consultation e.g. breadth of promotion, diversity of participants and respondees.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.4e Statutory procedures are followed where these exist.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.4f Major strategic documents are approved within management and committee terms.		Depute Chief Executives		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.4g Corporate Plan produced, after consultation, which sets out the targets and challenges ahead.		Depute Chief Executives		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.4h Community Plan produced, after consultation, in conjunction with local partners in public, private sector and voluntary sectors and with communities, which plan sets out the targets and challenges ahead.		Karen Cawte		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.4i There is committee scrutiny and review to examine priority and performance against the twelve local challenges (as incorporated in the SOA).		James Millar		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.4j Community Planning Partnership Board meets to review progress at least once per year.		Karen Cawte		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.4k Review of progress against the Community Plan targets every two years and regular reporting of review outcomes.		Karen Cawte		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.4L Report annually in Factfile on performance against targets and challenges in the Corporate Plan.		Jim McIvor		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.4m The Single Outcome Agreement (SOA) reflects the outcome measures to be delivered by the Community Plan. SOA reviewed at least every three years.		Karen Cawte		

2.3.5 When working in partnership, ensure that members are clear about their roles and responsibilities both individually and collectively in relation to the partnership and to the authority.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.5a Effective and clear scheme of delegation in place, including a formal section identifying matters reserved to Council i.e. not delegated to a Member.		James Millar		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.5b There is guidance provided for Members relating to effective working relationships between Members and partners.		Gordon Blair		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.5c Members responsibilities on outside bodies training provided generally at least once per administrative term and specifically for those members who are appointed to a body each time a member is so appointed.		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.5d A document, which has been accepted by all partners, establishes all roles and responsibilities relating to the activities of the partnership.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.5e The activities and decisions of outside bodies to which the council has appointed a member as a representative are reported		Heads of Service		

back to the appropriate forum within the council.				
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2.3.6 When working in partnership, ensure that officers are clear about their roles and responsibilities in relation to the partnership and to the authority.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.6a Effective and clear scheme of delegation in place.		Gordon Blair		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.6b There is guidance provided for Officers relating to effective working relationships between Officers and partners.		Gordon Blair		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.6c Officer's responsibilities on outside bodies training provided generally at least once per administrative term.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.6d A document, which has been accepted by all partners, establishes all roles and responsibilities relating to the activities of the partnership.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.6e The activities and decisions of outside bodies to which the council has appointed an officer as a representative are reported back to the appropriate forum within the council.		Heads of Service		

2.3.7 When working in partnership, ensure that there is clarity about the legal status of the partnership.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.7a A guide to partnership agreements is available to define partnership and provide guidance to ensure consistency of application and standards.		Gordon Blair		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
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2.3.7b Guidance prepared relating to partnership working for officers and elected members.		Gordon Blair		
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Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
2.3.7c For each partnership there is a clear statement of principles and objectives, clarity and definition of roles and responsibilities, a statement of funding sources and accountability and a protocol for dispute resolution.		Heads of Service		

3. Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour.

3.1 Ensuring authority members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance.

3.1.1 Ensure that the authority's leadership sets a tone for the organisation by creating a climate of openness, support and respect.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.1.1a Corporate values set and promoted through major corporate documents and other media.		Depute Chief Executives		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.1.1b Standing orders in place and reviewed at least once every administrative term.		Gordon Blair		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.1.1c Financial Regulations in place and reviewed at least once every administrative term.		Donald Forrest		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.1.1d Scheme of Delegation in place and reviewed at least once every administrative term.		Gordon Blair		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.1.1e Values incorporated into decision making process (see 3.2.1		Heads of Service		

below)				
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Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.1.1f Schedule of meetings published within defined timescales.		James Millar		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.1.1g Meetings held in public and minutes published unless there are good reasons for confidentiality.		James Millar		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.1.1h Agendas and minutes of meetings published within defined timescales. Verification of minutes through content management.		James Millar		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.1.1i Disclosure of senior officer emoluments.		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.1.1j Members' Allowance Scheme arrangements approved by Council		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.1.1k Published record of allowances.		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.1.1L Annual Governance Statement produced.		Gordon Blair		

3.1.2 Ensure that standards of conduct and personal behaviour expected of members and staff, of work between members and staff and between the authority, its partners and the community are defined and communicated through codes of conduct and protocols.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.1.2a Anti-fraud and anti corruption policies created and reviewed at least once every administrative term. Policies cover officers,		Donald Forrest		

elected members and customers.				
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Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.1.2b Code of Conduct for Councillors		Gordon Blair		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.1.2c Code of Conduct for Employees		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.1.2d Officers' code of conduct acknowledges professional bodies' codes of conduct.		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.1.2e There is code of general conduct for agents of the council.		Gordon Blair		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.1.2f Protocols in place to ensure that relevant areas that are not covered in the standing orders are clarified and appropriately regulated.		Gordon Blair		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.1.2g Services are delivered by trained, experienced and appropriately qualified people		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.1.2h Pre-employment disclosure checks are undertaken and a risk assessment process in place.		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.1.2i Compliance with Protection of Children legislation in respect of officers and members appointed to a childcare position		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.1.2j Protocols in place to ensure that relevant areas that are not covered in the standing orders are clarified and appropriately regulated.		Gordon Blair		
Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.1.2k Protocol developed governing relationship between members and officers		Gordon Blair		
Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.1.2L Defined standards of personal behaviour, to which individual members, officers, and agents of the authority are required to subscribe. Methodology created for declarations of interest, conflict etc. Registers regularly audited.		Graeme Struthers		
Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.1.2m Complaints procedure for Elected Members developed and reviewed at least once every administrative term.		Gordon Blair		
Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.1.2n Complaints procedure for officers		Graeme Struthers		
Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.1.2o Complaints procedure for agents of the council		Gordon Blair		
Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.1.2p Induction scheme developed and reviewed at least once per administrative term. Induction training carried out for members.		Graeme Struthers		
Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.1.2q Induction of new officer on standards of behaviour		Graeme Struthers		
Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria

3.1.2r Performance appraisal procedures.		Graeme Struthers		
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3.1.3 Put in place arrangements to ensure that members and employees of the authority are not influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.1.3a A corporate standard on equality has been developed, which influences activities at all levels. This standard is reviewed and reported against at least once per annum.		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.1.3b Registers created for declarations of interest of employees		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.1.3c Registers created for declarations of interest of Members		Gordon Blair		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.1.3d Develop procedures for identifying potential conflict and for dealing with conflict that arises.		Gordon Blair Graeme Struthers		

3.2 Ensuring that organisational values are put into practice and are effective.

3.2.1 Develop and maintain shared values including leadership values for both the organisation and staff reflecting public expectations, and communicate these with members, staff, the community and partners.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.2.1a Council statement of values		Depute Chief Executives		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.2.1b Standard format for committee reports addresses the council values.		James Millar		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.2.1c Shared values are regularly and effectively communicated with Elected Members, officers, partners and community and the values form part of the decision making process.		Depute Chief Executives		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.2.1d Shared values are affirmed within major corporate plans and strategies.		Depute Chief Executives		

3.2.2 Put in place arrangements to ensure that systems and processes are designed in conformity with appropriate ethical standards, and monitor their continuing effectiveness in practice.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.2.2a Ethical standards are set and monitored against an appropriate standard or standards.		Depute Chief Executives		

3.2.3 Develop and maintain an effective standards committee or ensure the function is undertaken by an appropriate equivalent.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.2.3a Terms of reference for standards committee including reporting arrangements		James Millar		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.2.3b Public opinion sought on behaviour of elected members.		Gordon Blair		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.2.3c Complaint process re Elected members' behaviour developed and reviewed at least once every administrative term.		Gordon Blair		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.2.3d Process for referral and responding to Standards Commission investigations.		Gordon Blair		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.2.3e Process for customer consultation on behaviour of officers developed and reviewed at least once per administrative term.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.2.3f Complaint process re officers' behaviour developed and reviewed at least once every administrative term.		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.2.3g Complaint process re agents' behaviour developed and reviewed at least once every administrative term.		Gordon Blair		

3.2.4 Use the organisation's shared values to act as a guide for decision making and as a basis for developing positive and trusting relationships within the authority.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.2.4a The council's values are considered when making decisions.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.2.4b The council's values are considered in all committee reports.		Heads of Service		

3.2.5 In pursuing the vision of a partnership, agree a set of values against which decision making and actions can be judged. Such values must be demonstrated by partners' behaviour both individually and collectively.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.2.5a Develop guidance for partnership working, to include protocols, processes and guidance.		Gordon Blair		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
3.2.5b Values are agreed with partners and reflected within the partnership agreement.		Heads of Service		

4. Taking informed and transparent decisions which are subject to effective scrutiny and managing risk.

4.1 Being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny.

4.1.1 Develop and maintain an effective scrutiny function which encourages constructive challenge and enhances the authority's performance overall and that of any organisation for which it is responsible.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.1.1a The role of scrutiny has been established through a scheme of delegation.		James Millar		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.1.1b The role of scrutiny has been established through committee structures.		James Millar		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.1.1c As a committee report progresses through the committee structure, comments received at each stage are captured in the committee report for consideration at the next stage.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.1.1d Scrutiny work-plans are systematically driven by the authority's priorities.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.1.1e Scrutiny is supported by documented evidence, option appraisal and data analysis.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.1.1f Record of meetings of groups established to scrutinise reports, data and findings.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.1.1g Evidence of improvements of proposals as a result of		Heads of Service		

scrutiny.				
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Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.1.1h Agendas and minutes of scrutiny meetings available for inspection.		James Millar		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.1.1i Follow up requests in response to scrutiny undertaken by members.		James Millar		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.1.1j Put in place proper arrangements to satisfy the statutory review of financial and operational reporting processes.		Depute Chief Executives		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.1.1k Put in place proper arrangements to satisfy voluntary independent review of financial and operational reporting processes.		Depute Chief Executives		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.1.1L Ensure that the results of scrutiny and challenge are properly captured, reviewed and actioned. Ensure that actions and outcomes are reviewed to deliver positive benefits are realised.		Heads of Service		

4.1.2 Develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.1.2a Decision making protocols.		James Millar		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.1.2b Record of decisions and supporting materials as well as use of casting vote.		James Millar		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.1.2c Formal statement which specifies the types of decisions that are delegated to officers and those that are reserved for members.		Gordon Blair		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.1.2d Record of professional advice used in reaching decisions.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.1.2e Committee reports requiring a decision include an assessment of risks associated with the decision.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.1.2f Impact assessment and consequences of decisions should be reported back to members.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.1.2g Ratification of any urgent decisions taken by the leaders in accordance with standing orders.		James Millar		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.1.2h Evidence of the use of option appraisals in reaching decisions.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.1.2i Council Minutes record decisions effectively		James Millar		

4.1.3 Put in place arrangements to safeguard members and employees against conflicts of interest and put in place appropriate processes to ensure that they continue to operate in practice.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.1.3a Members and officers codes of conduct refer to a requirement to declare interests.		Gordon Blair Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.1.3b Standing orders in place that deal with procurement, ratification and execution of contracts.		Gordon Blair		
Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.1.3c Record declarations being sought and made at all committee meetings.		James Millar		
Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.1.3d A register of Members Interests is maintained, reviewed and made available for inspection.		Gordon Blair		
Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.1.3e Robust guidance available for Elected members on what constitutes a conflict of interest.		Gordon Blair		
Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.1.3f Robust guidance available for officers on what constitutes a conflict of interest.		Graeme Struthers		
Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.1.3g Up to date register maintained of gifts and hospitality received for Elected Members. Audit of register undertaken at least once per administrative term.		Gordon Blair		
Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.1.3h Up to date register maintained of gifts and hospitality received for officers. Audit of register undertaken at least once per administrative term.		Heads of Service		
Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.1.3i Examples of situations where exclusion of people with personal interest in a decision from influencing or taking part in that decision have been made.		James Millar		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.1.3j Ensure that effective, transparent and accessible arrangements are in place for dealing with complaints.		Gordon Blair Graeme Struthers		

4.1.4 Develop and maintain an effective audit committee (or equivalent) which is independent of the executive and scrutiny functions or make other appropriate arrangements for the discharge of the functions of such a committee.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.1.4a Terms of reference in place for Audit Committee.		James Millar		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.1.4b Terms of reference in place for Performance Committee.		James Millar		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.1.4c Members of the Audit and Performance Committees are independent of the executive function.		James Millar		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.1.4d Committee members training in place to ensure effective performance within audit and performance committees.		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.1.4e Findings of Internal Audit are regularly reported to the Audit Committee.		Kenneth Ribbons		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.1.4f Findings of annual corporate risk assessment regularly reported to Audit Committee.		Donald Forrest		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.1.4g Action plans derived from External Audit reports regularly reported to Audit Committee.		Kenneth Ribbons		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.1.4g Financial Strategy and Audit Risk Analysis Plan for coming year presented to Audit Committee.		Donald Forrest		

4.1.5 Ensure that effective, transparent and accessible arrangements are in place for dealing with complaints.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.1.5a Complaints protocol and procedures in place.		Depute Chief Executives		

4.2 Having good-quality information, advice and support to ensure that services are delivered effectively and are what the community wants/needs.

4.2.1 Ensure that those making decisions whether for the authority or the partnership are provided with information that is fit for the purpose – relevant, timely and gives clear explanations of technical issues and their implications.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.2.1a Framework agreed between members and officers to ensure that the general information needs of members to support decision making is in place.		Gordon Blair		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.2.1b Description of pre-determined report formats for major decision making which includes option appraisals, risk analysis, financial, staffing and property implications, policy and legal implications, local impact analysis and reference to the vision and purpose of the authority		James Millar		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.2.1c Calendar of dates for submitting, publishing and distributing timely reports.		James Millar		

4.2.2 Ensure that proper professional advice on matters that have legal or financial implications is available and recorded well in advance of decision making and used appropriately.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.2.2a Ensure that records are maintained of Committee meetings to demonstrate decision making, including advice tendered and supporting materials used.		James Millar		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.2.2b Officers create and retain notes which record details of any legal and financial advice given.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.2.2c Ensure that a senior officer is made responsible to the authority for ensuring that appropriate advice is given on financial matters, for keeping proper financial records and accounts, and for maintaining an effective system of internal control.		Graham Hope		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.2.2d Protocols are in place that require services to seek proper professional advice on the financial implications arising from committee reports.		Donald Forrest		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.2.2e Ensure that a senior officer is made responsible to the authority for ensuring that appropriate advice is given on legal matters.		Graham Hope		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.2.2f Protocols are in place that require services to seek proper professional advice on the legal implications arising from committee reports.		Gordon Blair		

4.3 Ensuring that an effective risk management system is in place.

4.3.1 Ensure that risk management is embedded into the culture of the authority, with members and managers at all levels recognising that risk management is part of their jobs.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.3.1a Risk management is embedded in the Strategic Planning, Financial planning, Service Delivery, Policy making and review, Project management, Performance management. This is included in council the Standing Orders		Depute Chief Executives		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.3.1b Risk management policy is adopted/approved by committee and reviewed and updated at least once every administrative term.		Donald Forrest		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.3.1c Risk management strategy and risk management processes are adopted/approved by committee and reviewed and updated at least once par annum.		Donald Forrest		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.3.1d Authority maintains and reviews a register of its corporate business risks, linking them to strategic business objectives and assigning ownership for each risk.		Donald Forrest		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.3.1e Corporate register includes risks which arise from and within partnerships.		Donald Forrest		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.3.1f Corporate risk register is supported by or incorporates a series of department/service risk registers that identify and assign lower level of operational risks.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.3.1g Relevant training and guidance for all staff to enable them to take responsibility for managing risk within their own working environment.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.3.1h A committee has specific responsibility included in its terms of reference to consider corporate risk management.		James Millar		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.3.1i Regular risk management reporting to the responsible member committee which takes appropriate action to ensure that corporate business risks are being actively managed, including reporting to full council as appropriate.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.3.1j Risk management awareness training for those members with specific responsibility for risk management and ultimately for all members.		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.3.1k Reports to support strategic policy decisions and project initiation documents include a risk assessment and the identification of mitigating action.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.3.1L A senior management team regularly reviews the most significant risks that could prevent the authority achieving its key business objectives.		Depute Chief Executives		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.3.1m Service management teams regularly review significant risks that could prevent the service and/or the authority from achieving its key business objectives.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.3.1n Risk related issues identified by auditors and inspectors are captured, actioned and reviewed.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
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4.3.1o Risk analysis takes into consideration positive risks (opportunities) as well as negative risks (threats).		Heads of Service		
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Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.3.1p A report is provided annually to committee, to report on the most significant risks to the council and the effectiveness of the systems of internal risk control for these risks and other risks in general.		Donald Forrest		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.3.1q Authority has conducted an annual review of the effectiveness of the system of internal control and has reported on this in the Statement on Internal Control (SIC).		Donald Forrest		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.3.1r Sources of assurance to support the SIC have been identified and are reviewed by senior officers and members.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.3.1s There are action plans in place to address any significant control issues reported in the SIC.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.3.1t An appropriate committee has responsibility for the review and approval of the SIC and considers it separately from the accounts.		James Millar		

4.3.2 Ensure that arrangements are in place for whistle-blowing to which staff and all those contracting with the authority have access.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.3.2a Whistle blowing policy exists, which is approved by committee, updated regularly and is reviewed committee at least once per administrative term.		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.3.2b The policy is communicated and disseminated effectively to members of the public, elected members, employees, partners and contractors		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.3.2c The effectiveness of the Whistle blowing policy is assessed and reported annually.		Graeme Struthers		

4.4 Using their legal powers to the full benefit of the citizens and communities in their area.

4.4.1 Actively recognise the limits of lawful activity placed on the authority by, for example, the ultra vires doctrine but also strive to utilise their powers to the full benefit of their communities.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.4.1a The constitution, remit and powers of the local authority are defined.		Gordon Blair		

4.4.2 Recognise the limits of lawful action and observe both the specific requirements of legislation and the general responsibilities placed on authorities by public law.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.4.2a Members receive regular training relating to specific relevant legislation and the extent of their legal responsibilities.		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.4.2b Officers receive regular training relating to specific relevant legislation and the extent of their legal responsibilities.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.4.2c Officers ensure that a proper record is maintained of any legal advice issued by them.		Heads of Service		

4.4.3 Observe all specific legislative requirements placed upon the authority.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.4.3a Monitoring Officer appointed in terms of s5 of the Local Government and Housing Act 1989.		Graham Hope		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.4.3b There is a scheme of delegation which requires officers to comply with the law when carrying out their duties.		Gordon Blair		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.4.3c Committee reports ensure that the legal implications of the recommendations with in the report are clearly spelled out		James Millar		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.4.3d Training for managers includes legislative requirements of the council.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
4.4.3e Training for elected members includes legislative requirements of the council.		Graeme Struthers		

5. Developing the capacity and capability of members and officers to be effective.

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

5.1.1 Provide induction programmes tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.1.1a Induction programme which includes an introduction to the local environment and the sector, the authority's relationship with other bodies and the context for the authority's strategy		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
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5.1.1b Roles and responsibilities for elected members including job profile and personal specification.		Graeme Struthers		
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Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.1.1c Training & development plan for each member		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.1.1d Assessments of the skills of individual members		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.1.1e Access to update courses / information		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.1.1e Induction programme which includes an introduction to the local environment and the sector, the authority's relationship with other bodies and the context for the authority's strategy		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.1.1f Contract of employment/job description. Roles and responsibilities for officers including job profile and personal specification for each role.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.1.1g Assessments of the skills of individual officers and a training & development plan developed for each officer		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.1.1h Access to update courses / information		Heads of Service		

5.1.2 Ensure that the statutory officers have the skills, resources and support necessary to perform effectively in their roles and that these roles are properly understood throughout the authority.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
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5.1.2a Clear remits set out in Scheme of Delegation to officers.		Gordon Blair		
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Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.1.2b Scheme of Delegation to Officers has been communicated to staff, including those not delegated to take action.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.1.2c Contract of employment / job descriptions for Statutory Officers managers. Review every administrative term and update as required		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.1.2d There is a job description / personal specification for each statutory officer role		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.1.2e Training & Development plan for each Statutory Officer		Depute Chief Executives		

5.1.3 Ensure that the Chief Officers have the skills, resources and support necessary to perform effectively in their roles and that these roles are properly understood throughout the authority.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.1.3a Clear remits set out in Scheme of Delegation to officers.		Gordon Blair		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.1.3b Scheme of Delegation to Officers has been communicated to staff, including those not delegated to take action.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.1.3c Contract of employment / job descriptions for Chief Officers. Review every administrative term and update as required		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.1.3d There is a job description / personal specification for each chief officer role		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.1.3e Training & Development plan for each Chief Officer		Graeme Struthers		

5.2 Developing the capability of people with governance responsibilities and evaluating their performance, as individuals and as a group.

5.2.1 Assess the skills required by members and officers and make a commitment to develop those skills to enable roles to be carried out effectively.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.2.1a Contract of employment/job outline for senior officers.		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.2.1b Training plan in place for elected members.		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.2.1c Roles reviewed by Chief Legal Officer and those roles with governance duties are identified. Specific training is provided.		Gordon Blair		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.2.1d Training plan in place for elected members		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.2.1e Roles and responsibilities for officers and elected members including job profile and personal specification for each role.		Heads of Service Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.2.1f Investors in People reviews and personal development plans for officers		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.2.1g Corporate Governance Working Group recommendations to senior management and to committee.		Gordon Blair		

5.2.2 Develop skills on a continuing basis to improve performance, including the ability to scrutinise and challenge and to recognise when outside expert advice is needed.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.2.2a Job outlines, personal development plans, learning and development plans		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.2.2b Training plan in place for elected members		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.2.2c Investors in People reviews and personal development plans for officers		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.2.2d Senior management and committee review policy and decisions to check for the requirement for external reference		Heads of Service		

5.2.3 Ensure that effective arrangements are in place for reviewing the performance of the executive as a whole and of individual members and agreeing an action plan which might, for example, aim to address any training or development needs.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.2.3a External scrutiny is undertaken of the council's performance.		Depute Chief Executives		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.2.3b Internal scrutiny is undertaken of the council's performance.		Jim McIvor		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
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5.2.3c A performance system is in place that evaluates the performance of the committees and the individuals that make up their membership.		Depute Chief Executives		
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Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.2.3d A performance system is in place that captures targets set by committees and allows monitoring and reporting of performance against these targets.		Jim McIvor		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.2.3e An Elected Member Appraisal system is in place which results in the production of a Personal Development Plan for each Elected Member.		Graeme Struthers		

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

5.3.1 Ensure that effective arrangements are in place designed to encourage individuals from all sections of the community to engage with, contribute to and participate in the work of the authority.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.3.1a Improving awareness of the local authority through partnership working.		Depute Chief Executives		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.3.1b Stakeholder forums terms of reference		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.3.1c Area forum roles and responsibilities		Alistair Shaw		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.3.1d Resident panel structure		Karen Cawte		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
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5.3.1e Participation in Community Councils is encouraged and maximised.		Alistair Shaw		
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Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.3.1f Committees encourage stakeholders to attend and participate in meetings.		James Millar		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.3.1g Performance, Development and Scrutiny Panels encourage stakeholders to attend and participate		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.3.1h Encouraging citizens to be aware of the role of the local authority both as a service provider, as an employer and as organ of local democracy.		Depute Chief Executives		

5.3.2 Ensure that career structures are in place for members and officers to encourage participation and development.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.3.2a ELECTED MEMBERS: There is a development programme in place for Elected Members.		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.3.2b ELECTED MEMBERS: There is succession planning in place.		Alistair Shaw		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.3.2c OFFICERS: There is a training and development of current managers together with identification and training of future managers.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.3.2d OFFICERS: Investors in People reviews and personal development plans for officers		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.3.2e OFFICERS: Career development and progression in place for employees.		Graeme Struthers		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
5.3.2f OFFICERS: There is succession planning in place.		Heads of Service		

6. Engaging with local people and other stakeholders to ensure robust public accountability.

6.1 Exercising leadership through a robust scrutiny function which effectively engages local people and all local institutional stakeholders, including partnerships, and develops constructive accountability relationships.

6.1.1 Make clear to themselves, all staff and the community to whom they are accountable and for what.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
6.1.1a There is a community strategy in place which sets out what the goals and responsibilities of the community planning partnership are.		Alistair Shaw		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
6.1.1b There is a local authority corporate strategy that supports and facilitates the delivery of the outcomes of the community strategy.		Depute Chief Executives		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
6.1.1c Results from internal / external consultation exercises have been analysed and published		Heads of Service		

6.1.2 Consider those institutional stakeholders to whom the authority is accountable and assess the effectiveness of the relationships and any changes required.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
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6.1.2a Establish a database of stakeholders with whom the authority should engage and for what purpose.		Heads of Service		
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Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
6.1.2b Review the effectiveness of the relationship with the stakeholders with whom the authority should engage and a record the effect of any changes made.		Heads of Service		

6.1.3 Produce an annual report on the activity of the scrutiny function.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
6.1.3a Authority publishes its accounts in accordance with the statutory requirements		Donald Forrest		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
6.1.3b At least annually there is a report against scrutiny activity.		Depute Chief Executives		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
6.1.3c Authority publishes a report for the public on the outcomes specified in the single outcome agreement which is accessible to the public		Karen Cawte		

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

6.2.1 Ensure clear channels of communication are in place with all sections of the community and other stakeholders, and put in place monitoring arrangements and ensure that they operate effectively.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
6.2.1a A communication strategy is developed that establishes clear channels of communication with all sections of the community and other stakeholders, and puts in place proper monitoring arrangements to ensure that they operate effectively.		Evelyn Cargill		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
6.2.1b Processes for dealing with competing demands within the community		Depute Chief Executives		

6.2.2 Hold meetings in public unless there are good reasons for confidentiality.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
6.2.2a There has been active promotion of meetings to the public.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
6.2.2b Reports of council meetings available for inspection		James Millar		

6.2.3 Ensure that arrangements are in place to enable the authority to engage with all sections of the community effectively.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
6.2.3a Arrangements are in place to enable the authority to engage with all sections of the community effectively.		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
6.2.3b Citizen consultations are undertaken by service areas in relation to specific issues and projects (e.g. capital project consultation)		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
6.2.3c Locality planning framework that encourages local citizens to become involved in the issues within their multi-member ward		Alistair Shaw		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
6.2.3d A management framework is in place that requires customer consultation with all sections of the community.		Depute Chief Executives		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
6.2.3e Disability Forum to engage with disabled citizens of West Lothian		Depute Chief Executives		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
6.2.3f Effective and well communicated comments and complaints procedure.		Gordon Blair		

6.2.4 Establish a clear policy on the types of issues they will meaningfully consult on or engage with the public and service users about including a feedback mechanism for those consultees to demonstrate what has changed as a result.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
6.2.4a Develop a clear policy or framework for consultation and feedback		Heads of Service		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
6.2.4b A communication strategy is developed that establishes clear channels of communication with all sections of the community and other stakeholders, and puts in place proper monitoring arrangements to ensure that they operate effectively.		Evelyn Cargill		

6.2.5 On an annual basis, publish a performance plan giving information on the authority's vision, strategy, plans and financial statements as well as information about its outcomes, achievements and the satisfaction of service users in the previous period.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
6.2.5a Public Performance Reporting which is accessible, user friendly and tailored to the needs of local communities.		Jim McIvor		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
6.2.5b Annual report which provides details of both positive and negative performance in terms of outcomes specified in the Single Outcome Agreement		Jim McIvor		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
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6.2.5c Timely production of the annual financial statements		Donald Forrest		
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Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
6.2.5d Making the findings of inspectors and regulators available to the public as well as the results of any self-assessments undertaken by the authority itself, which identify the areas where the authority needs to improve.		Heads of Service		

6.2.6 Ensure that the authority as a whole is open and accessible to the community, service users and its staff and ensure that it has made a commitment to openness and transparency in all its dealings, including partnerships.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
6.2.6a The council's stated values and standing orders and reporting standards ensure that the authority as a whole is open and accessible subject only to the need to preserve confidentiality where it is proper and appropriate to do so.		Depute Chief Executives		

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
6.2.6b Complying with the requirements of the Freedom of Information Act		Gordon Blair		

6.3 Making best use of human resources by taking an active and planned approach to meet responsibility to staff.

6.3.1 Develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision making.

Standard	Current Evidence	Responsible Officer	Compliance Score	WLAM Criteria
6.3.1a Staff, trade unions and other relevant representatives are consulted and involved in decision making.	This should make 6.3 green	Graeme Struthers		