

Governance Internal Control Questionnaire For Services 2011/12 – Customer, Community & Democratic Services (CCDS)

Please complete for your Service only (If you are partly doing something mark as No and put the action in under the action heading)

Principle 1: Focusing on the purpose of the Authority; outcomes for the Community and creating and implementing a vision for the local area.

<i>Ref*</i>	<i>Action</i>	<i>Evidenced by (please amend if you have further or different evidence)</i>	<i>Evidence available yes/no/n.a</i>	<i>Action</i>
1.1	Responsibilities for statutory obligations are: <ul style="list-style-type: none"> • Formally established and documented • Available for public view 	<ul style="list-style-type: none"> • Job profiles of key officer roles • Structure Charts • Service business plan 	Yes	
1.2	We have effective procedures to comply with legislation and to: <ul style="list-style-type: none"> • Identify • Evaluate • Communicate • Implement • Comply with and monitor any legislative changes 	<ul style="list-style-type: none"> • Follow HR selection and recruitment processes to appoint suitably qualified and experienced employees (up to date Person Specs and Job Descriptions for all staff) • Induction training given to all staff • Inspection of all reports to Members by the City Solicitor for legal matters • Equalities Impact Assessments • Regular monitoring of impending legislation 	Yes	Monitoring of upcoming legislation and its likely impact on the service and PCC is done informally (but regularly) by the CCDS management team. Briefings available from Strategy for major issues – Queen’s Speech, Budget, etc.
1.3	We take action where there are areas of non-compliance with either our processes or with	<ul style="list-style-type: none"> • Management control checks 	Yes	

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	legislation			
1.5	Our priorities and organisational objectives are aligned with the Corporate Plan	<ul style="list-style-type: none"> • Service Plan 	Yes	
1.7	Our objectives are reflected in our service plans and are clearly matched with associated budgets	<ul style="list-style-type: none"> • Service Plan • MTRS 	Yes	
1.11	All our key officers have received governance training and staff are made aware of corporate governance	<ul style="list-style-type: none"> • A programme of Risk Management training is on-going- all managers have attended • Risk management awareness cascaded to staff • Financial Rules training received by all staff 	Yes/check	
1.12	<p>We have clear corporate policies and codes of conducts which our staff are made aware of, sign up to and are reminded of on a regular basis, which demonstrate:</p> <ul style="list-style-type: none"> • accountability • the cultural standard of good public behaviour • openness <p>And have clear corporate policies on how concerns can be raised and what action we will take</p>	<ul style="list-style-type: none"> • Anti Fraud and corruption policy and response plan • Whistleblowing policy and response plan • Codes of Conduct • Register of Interests • Register of Gifts and Hospitality • Complaints Procedure 	Yes	
1.13	<p>We have a clearly defined performance management framework which identifies:</p> <ul style="list-style-type: none"> • All sources of performance measure • Named responsible person for achieving the performance measure 	<ul style="list-style-type: none"> • National performance indicators • Budget and performance monitoring reports • Service reviews 	Yes	Some responsibilities for collating, gathering, and presenting data are not formally documented.

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	<ul style="list-style-type: none"> • Person responsible for collating the data • Who determines and approves the performance measure • Who receives reports on performance and how often • How data quality is assured including how performance data is captured and its integrity maintained • How poor performance is addressed • How performance is driven upwards over time 	<ul style="list-style-type: none"> • Risk Management process linked to performance and objectives • Financial targets (e.g. on income collection) • Service business plans • Customer survey data • Complaints data • Regular reports by Services to Departmental Management Teams on progress • Local indicators reported to Members • External inspector reports e.g. Ofsted, CSCI • Stretch targets • Comparison with peer authorities, if appropriate 		
1.17	We have a procedure to deal with failure in service delivery	<ul style="list-style-type: none"> • Complaints procedure for specific isolated failures including a regulated process for Social Services • Part of the ongoing performance management framework • Business Continuity Plans 	Yes	BCPs exist for all time-critical sections of the service. Work is currently underway to produce a BCP that incorporates all the sections of the entire service
1.18	We have a process to measure value for money	<ul style="list-style-type: none"> • Performance data 	Yes	

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		<ul style="list-style-type: none"> • Cost data • Benchmarking • Trend analysis 		
1.19	The environmental impact of policies plans and decisions are routinely considered	<ul style="list-style-type: none"> • Service Plans • Reports to members (as required) 	Yes	

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

2.12	We are clear about the legal status of our partnerships and the extent of our authority to bind Portsmouth City Council to partner decisions	<ul style="list-style-type: none"> • Financial Rules • Partnership Agreements 	Yes	
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Principle 3: Promoting values for the Authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour

3.2	We ensure that the standards of conduct and behaviour that is expected of staff are regularly communicated and monitored	<ul style="list-style-type: none"> • Member/Officer protocols • Standing Orders/ Financial Rules/ Officer Delegations • Gifts and Hospitality Registers • Declarations of Interests • Code of conducts for both members and officers • Dignity at work policies • Whistleblowing policies • Anti fraud and corruption policy • Staff training 	Yes	
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Principle 4: Taking informed and transparent decisions which are subject to effective scrutiny and managing risk

4.2	To be as open and effective as possible we record the criteria, rationale and considerations on which we base decisions	<ul style="list-style-type: none"> • City Constitution, Standing Orders records of Meetings • Reports to Members • MIS 	Yes	
4.5	We have clear and accessible arrangements for dealing with complaints	<ul style="list-style-type: none"> • Complaints procedure • Survey of satisfaction with complaints process 	Yes	
4.7	Professional advice on legal and financial implications is sought and recorded in advance of decision making and is taken account of when making decisions	<ul style="list-style-type: none"> • Reporting requirements (standard format and must have risks, finance and legal statements) • Reports to Members 	Yes	
4.8	Risk management is embedded into our culture and supported by our Managers at all levels who recognise that it is part of their job. We have robust systems in place and processes in place for the identification and management of strategic and operational risk.	<ul style="list-style-type: none"> • Risk Management Policy and Strategy, • Training- induction, intranet, • Risk Management Handbook • Risks identified on reports to Members by Officers as an embedded process • Service and Corporate Risk Registers with risk owners assigned to risks • Risks are regularly reviewed by the DMT • Service business continuity plan 	Yes	

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4.11	We observe all specific legislative requirements placed upon us and integrate the key principles of good administrative law- rationality, legality and natural justice into our procedures and decision-making processes.	<ul style="list-style-type: none"> • Requirement for reports to Members to go through Monitoring Officer • HR Handbook • Constitution • Statutory provisions e.g. Health and Safety etc and Policies, procedures 	Yes	
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Principle 5: Developing the capacity and capability of members and officers to be effective

5.1	We have induction programmes, tailored to individual needs and opportunities for staff to update their knowledge on a regular basis	<ul style="list-style-type: none"> • Induction training- tailored to need • Individual development plans • process for updates/courses for both managers and staff 	Yes	
5.2	We ensure that our staff have the skills, resources and support necessary to perform effectively in their roles	<ul style="list-style-type: none"> • Recruitment process • Induction process • PDRs • Regular 1-2-1s for all staff 	Yes	
5.5	We regularly review our performance as a whole and of individual staff and agree action plans to address any training or development needs or any other area as required	<ul style="list-style-type: none"> • Performance Development Reviews (individual) • Service performance reviews 	Yes	
5.7	We have planned for succession for key posts and spread skills so that reliance is not placed on	<ul style="list-style-type: none"> • Service Plan 	No	Currently cross-skilling team to ensure job roles can be

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key individuals			covered at short notice
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Principle 6: Engaging with local people and other stakeholders to ensure robust accountability

6.1	We make it clear to ourselves and staff what we are accountable for and to whom	<ul style="list-style-type: none"> • Constitution • Customer Service Standards 	Yes	
6.2	We assess the effectiveness of our relationships with our institutional stakeholders to whom we are accountable e.g. Police, Health, Fire Service etc, on a regular basis	<ul style="list-style-type: none"> • Review element of business planning process 	Yes	
6.4	We have clear channels of communication with all sections of the Community and other stakeholders and monitor them to ensure that they operate effectively	<ul style="list-style-type: none"> • Community Network • Neighbourhood forums • Communication to customers • Other community engagement mechanisms • Media management 	Yes	
6.6	We have made arrangements to ensure that we engage with all sections of the Community effectively, recognising that different sections of the community have different priorities. We have explicit processes for dealing with these competing demands.	<ul style="list-style-type: none"> • Equalities Policies and Procedures, including Equalities Strategy • Consultation Toolkit • Other community engagement mechanisms 	Yes	
6.10	We have a clear policy on how staff and their representatives are consulted and involved in decision making	<ul style="list-style-type: none"> • HR handbook on consultation • Management of Change Policy and procedures 	Yes	Contained within HR handbook

**Ref relates to corresponding ref in Draft Local Code*

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Completed by: Dave Adams

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Service: Customer, Community, and Democratic Services (CCDS)

Date: January 2011