



# TRAFFORD COUNCIL

## ANNUAL GOVERNANCE STATEMENT 2015/16

## **1. Scope of Responsibility**

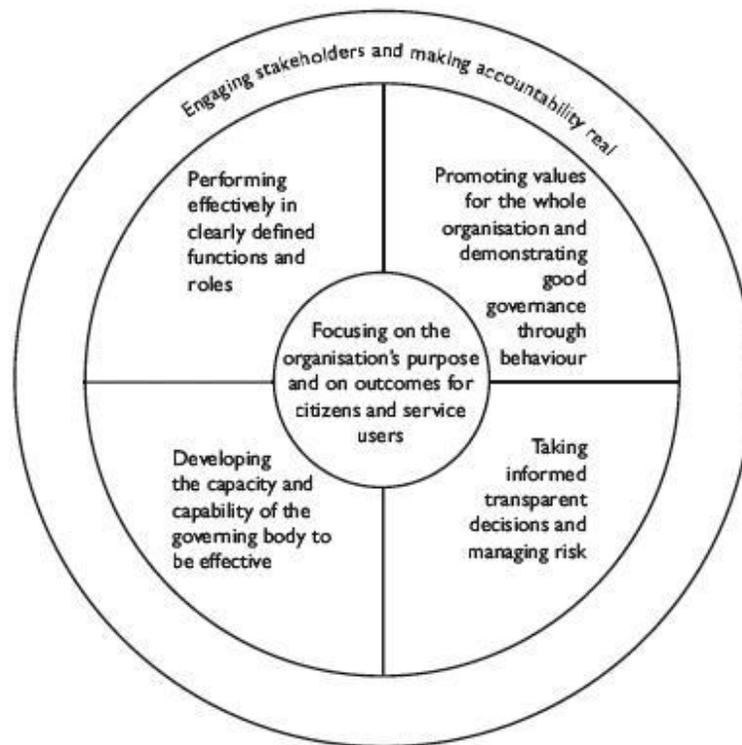
- 1.1 Trafford Council is responsible for ensuring that its business is conducted in accordance with the law and proper standards, and that public money is safeguarded and properly accounted for, and used economically, efficiently and effectively. Trafford Council also has a duty under the Local Government Act 1999 to make arrangements to secure continuous improvement in the way in which its functions are exercised, having regards to a combination of economy, efficiency and effectiveness.
- 1.2 In discharging this overall responsibility, Trafford Council is responsible for putting in place proper arrangements for the governance of its affairs, facilitating the effective exercise of its functions, and which includes arrangements for the management of risk.
- 1.3 Trafford Council has approved and adopted a code of corporate governance, which is consistent with the principles of the CIPFA/SOLACE Framework 'Delivering Good Governance in Local Government'. A copy of the Authority's code is on our website at: <http://www.trafford.gov.uk/about-your-council/budgets-and-accounts/downloadable-documents.aspx>.  
This statement explains how Trafford Council has complied with the code and also meets the requirements of Accounts and Audit (England) Regulations 2015, regulation 6, which requires all relevant bodies to prepare an annual governance statement.

## **2. Purpose of the Governance framework**

- 2.1 The governance framework comprises the systems and processes, culture and values by which the Authority is directed and controlled and its activities through which it accounts to, engages with and leads its communities. It enables the Authority to monitor the achievement of its strategic objectives and to consider whether those objectives have led to the delivery of appropriate services and value for money.
- 2.2 The system of internal control is a significant part of that framework and is designed to manage risk to a reasonable level. It cannot eliminate all risk of failure to achieve policies, aims and objectives and can therefore only provide reasonable and not absolute assurance of effectiveness. The system of internal control is based on an ongoing process designed to identify and prioritise the risks to the achievement of Trafford Council's policies, aims and objectives, to evaluate the likelihood and potential impact of those risks being realised, and to manage them efficiently, effectively and economically.
- 2.3 The governance framework has been in place at Trafford Council for the year ended 31 March 2016 and up to the date of approval of the statement of accounts.

### 3. The Governance Framework

3.1 The Authority has adopted a local governance framework which is consistent with the principles of the CIPFA/SOLACE Framework 'Delivering Good Governance in Local Government'. It is reviewed and updated periodically to ensure it remains fit for purpose. The Trafford Council Corporate Governance Code sets out in detail how the Authority meets the requirements of the framework. The Framework is based on 6 principles of good governance as follows:



3.2 The key elements of the system and processes that comprise the Authority's governance framework are outlined in this Annual Governance Statement, describing how the Authority can demonstrate the effectiveness of governance arrangements during 2015/16 with reference to each of the six governance principles.

CIPFA SOLACE Principle 1.	Key Elements of Trafford Framework
Focusing on the purpose of the Authority and on outcomes for the community and creating and implementing a vision for the local area:	<ul style="list-style-type: none"> <li>• Sustainable Community Strategy (Trafford Vision 2021: A Blueprint)</li> <li>• Reshaping Trafford 2014-17: Blueprint</li> <li>• Annual Delivery Plan</li> <li>• Transformation Programme</li> <li>• Revenue Budget Setting and Monitoring</li> <li>• Capital Investment Programme</li> </ul>
How we have delivered against the Principle in 2015/16	
<p>The Reshaping Trafford Blueprint 2014-17 sets out the Council's vision and aims to have a new operating model by 2017 to enable the delivery of minimum statutory requirements, ensure directly funded services are monitored for quality and performance whilst continuing to provide a place shaping role for the borough. The Blueprint will be refreshed during 2016/17 to reflect local and national changes including devolution, financial gap and future funding arrangements, Greater Manchester Public Sector Reform framework and integration.</p> <p>Trafford is leading the way across Greater Manchester by being one of the first boroughs to bring its Public Service Reform programme under one integrated partnership governance framework. An extensive review and restructure of the Trafford Partnership has taken place, to ensure this is aligned to the Greater Manchester Strategy, to support Public Service Reform including place based integration. This has resulted in a streamlined Trafford Partnership structure under the themes of Health &amp; Wellbeing, Economic Growth and Strong Communities, with greater focus on performance and accountability. The Terms of reference and membership of the Health and Wellbeing, Stronger Communities Board and Trafford Partnership Board (formally the Trafford Partnership Executive) have been updated and a new Growth Board established. (See Section 5. Significant Governance Issues – Public Service Reform).</p> <p>Trafford Council and Trafford Clinical Commissioning Group (CCG) have jointly developed the Trafford Locality Plan 2016-21 in response to the Greater Manchester health &amp; social care devolution agreement. To support the delivery of the Locality Plan, Trafford Council is working in collaboration with Trafford Clinical Commissioning Group (CCG) and key partners to develop an all age integrated health &amp; social care delivery model with Pennine Care and develop an 'all age front door' through the implementation of the Trafford Care Coordination Centre (TCCC) which will have a critical role in managing demand in the social care system, to optimise through co-location and integration where most appropriate and through a framework of commissioned services.</p> <p>A revised 2 year Section 75 partnership agreement between Trafford Council and Pennine Care Foundation was approved by the Council Executive on 21<sup>st</sup> March 2016 and signed on 1 April 2016. As part of the Greater Manchester Devolution programme, a Trafford Joint Commissioning Board is now in place chaired by the Leader of Trafford Council and reporting directly to the Greater Manchester Joint Commission Board.</p>	

(Also see Section 5. Significant Governance Issues - GM devolution programme).

The total value of savings planned in the 2015/16 budget of £21.584 million was achieved, with the final outturn for the year showing an overachievement. This represents the largest amount to be achieved in a single year in the Council's history.

The Government grant settlement has provided indications for the level of settlement up to 2019/20. The medium term outlook demonstrates that the Council will still need to make savings in excess of £30m over the three years from 2017/18 to 2019/20, a significant proportion of this being in 2017/18. The Council's reserves have been revised and a budget support reserve has been created which will be available to smooth the impact of the budget reductions and assist with the transformation programme. (Also see Section 5.3 Significant Governance Issues 2016/17).

The Council has balanced and approved the 2016/17 net revenue budget of £147m which represents a £1.6m (1.1%) reduction on 2015/16 and a funding gap of £22.6m. Of this, 46% (£10.3m) is to be through additional income streams including the application of a 2% adult social care precept to the local Council Tax bills; 22% (£5.0m) through efficiency savings and 32% (£7.2m) through policy choice savings. Alongside this the annual review of the Capital Programme 2016/17-2018/19 and Prudential Indicators were approved by the Executive in February 2016.

All recommendations from the Council's 2014/15 budget monitoring action plan have been completed; the outcomes being reported to Accounts and Audit Committee in September 2015 (Also see Section 5. Significant Governance Issues 2014/15 – Budget Monitoring).

The Council has successfully implemented the 'One Trafford' partnership with Amey LG to manage a range of previous in-house services and also to take on the previously outsourced domestic and commercial waste contract. This is expected to deliver £3.4m efficiency savings by the end of 2016/17.

In collaboration with Trafford Council, Greater Manchester Police (GMP) has embarked on a programme to transform its HR shared services to provide a more streamlined, cost effective and higher quality services to meet the needs of its officers and staff. GMP and Trafford Council have completed the design phase and a full business case has been approved.

Following the expiry of the Trafford Leisure Trust contract in Sept 2015, alternative delivery arrangements have been established and an interim business plan is in place. The Council set up a wholly owned community interest company, Trafford Leisure Community Interest Company Ltd from 1<sup>st</sup> Oct 2015 to deliver leisure services across the borough. A Board of Directors has been appointed responsible for compliance with general company law and CIC regulatory requirements. Based upon supply and demand analysis, a Leisure Strategy and commercial prospectus is currently being developed which will form the basis of the future provision and identify the long term requirements for built leisure facilities across the borough. (Also see Section 5.

Significant Governance Issue 2014/15 – Leisure Services).

A proposal for Trafford Council to establish Trust Youth Trafford as a Community Interest Company was agreed by the Council Executive in February 2016. The CIC was registered in March 2016 and an independent Board of Directors has been set up, which includes amongst other skill sets, youth sector expertise and 2 young people aged 17 and 18. The purpose of the Trust is to grow investment into youth provision across Trafford, commission and fund provision in response to local needs and aspirations and develop a network for youth sector providers to share knowledge, expertise and resources and to prevent duplication. Cabinet Office funding has been obtained through the Delivering Differently for Young People Programme to provide independent support to the Board in its first few months of operation. (Also see Section 5. Significant Governance Issues – Reshaping Trafford).

Through Trafford’s Approach to Trading, a more effective way of delivering traded services has been developed. Detailed business plans, with associated action plans, have been prepared. These identify new income streams, improved cost models and pricing structures as well as efficiencies in working methods in order to improve the financial return to the Council. A new governance structure has also been developed to provide more scrutiny of progress to plan.

STAR Procurement, the shared procurement service for Stockport, Trafford and Rochdale Councils, continues to support the redesign of services delivered by Trafford Council. In the financial year 2015/16, STAR supported Trafford Council in the delivery of £6.1m savings against budget/planned expenditure. STAR Procurement promotes the objectives set out in its joint Procurement Strategy and has been successful in gaining regional and national awards , including the GO Awards (Leadership of the Year award). It continues to promote inter-authority working and service redesign; for example, taking the lead on a whole Greater Manchester approach to commissioning the Sexual Health contract.

The Council agreed its 2015/16 Annual Delivery Plan in March 2015, which set out the key deliverables for the year, supported by individual Corporate Directorate plans, connecting service objectives and associated actions to the community vision and corporate priorities. Progress against this was reported quarterly through CMT and the Executive and monthly dashboard to portfolio holders.

CIPFA SOLACE Principle 2.	Key Elements of Trafford Framework
Members and officers working together to achieve a common purpose with clearly defined functions and roles:	<ul style="list-style-type: none"> <li>• Constitution</li> <li>• Executive Terms of Office</li> <li>• Scheme of Delegation to Officers</li> <li>• Member Officer Relations Protocols</li> <li>• Employment Procedure Rules</li> <li>• Pay Policy Statement</li> <li>• Members Allowance Scheme</li> </ul>

#### How we have delivered against the Principle in 2015/16

The Council has entered into a 15 year contract with Amey LG commencing July 2015 to manage a range of environmental services. Contract governance and monitoring arrangements have been established including a Strategic Partnership Board and Operational Board. (Also see Section 5. Significant Governance Issues – Reshaping Trafford).

Senior management structures have been further streamlined with the decision taken to appoint a Corporate Director – Resources supported by the post of Chief Finance Officer. With effect from 1 March 2016 the Chief Finance Officer was designated as the Council's Statutory 151 Officer authorised to perform all financial duties previously the responsibility of the post of Director of Finance. The Chief Finance Officer is a member of the Corporate Management Team.

A new linear pay structure was implemented in April 2015 that introduced a new grade to span the top of the National Joint Council (NJC) pay spine and the Senior Manager pay structure. This will enable posts to be created in recognition of increased levels of responsibility as the organisation reshapes.

From 1 April 2014, the Council implemented a package of changes to employee terms and conditions including introduction of 3 days mandatory unpaid leave on a temporary 2 year basis to 31 March 2016, and delivering savings of £1.05m over this period. During 2015, the scheme was reviewed and proposals to further extend changes to employee terms and conditions were subject to statutory consultation with the trade unions and workforce. The outcome of this, approved by Employment Committee on 18 January 2016, was for a 1 year extension of the mandatory unpaid leave and also to implement a simplified scheme for taking additional voluntary unpaid leave, enabling staff to spread costs over a 12 month period. All staff in scope have signed up to revised terms and conditions.

Contract Procedure Rules (CPRs) harmonised across the three Councils participating in STAR Procurement were adopted in to the Council Constitution in July 2015. These CPRs allow for greater participation in shared services and single contracts across the three partner authorities, in turn assisting with the achievement of a common purpose.

STAR Procurement continues to rationalise procurement processes and documentation across the three partner authorities. Actions in the last 12 months include the finalisation of common terms and conditions of contract and other procurement documentation to harmonise processes and procedures. This has allowed the publication of a single Procurement Handbook to provide aligned procurement guidance to officers/stakeholders across the three authorities, thereby streamlining processes and making the procurement process more efficient and effective. In February 2016, STAR Procurement published its website. This website acts as a resource for both suppliers to the STAR partner authorities and also for stakeholders, or buyers, within each council.

CIPFA SOLACE Principle 3.	Key Elements of Trafford Framework
Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour:	<ul style="list-style-type: none"> <li>• Employee Code of Conduct</li> <li>• Members Code of Conduct</li> <li>• Disciplinary Policy</li> <li>• ICT Acceptable Use Policy</li> <li>• Anti-Fraud &amp; Corruption Strategy</li> <li>• Whistle blowing Policy</li> <li>• Corporate Complaints Procedure</li> <li>• Standards Committee</li> <li>• Corporate Governance Code</li> </ul>
How we have delivered against the Principle in 2015/16	
<p>The Council's benefit fraud investigation team transferred to the Department of Work Pensions in March 2015 with the creation of the national Single Fraud Investigation Service. During 2015/16 a new Counter Fraud and Enforcement Team was established with a remit of areas of fraud risk which remain with the Council following the transfer, initially focusing primarily on revenues related fraud relating to Council tax and Business rates with a view to developing capacity over time.</p>	
<p>In light of changes in counter fraud investigation arrangements, the Council's Strategy and Policy and associated guidance for reporting fraud are being reviewed in 2016/17. Relevant services including Counter Fraud, Internal Audit, Human Resources and Legal Services will agree updated arrangements and where appropriate update other policies such as the Council's Whistleblowing Policy.</p>	
<p>The Council continues to participate in the National Fraud Initiative (NFI) data matching exercise. The NFI 2014/15 results as at March 2016 identified for the matches reviewed, the detection of 28 cases of fraud or error. In relation to this, £23k of benefits overpayments are being recovered and there is also an ongoing weekly payments reduction of £24k per annum.</p>	
<p>To ensure the Authority meets best practice and legislative requirements, the Council has established an Information Security Governance Board (ISGB). The Senior Information Risk Officer assists the Board to oversee and review information governance issues and risk, and to embed standards across the Council. The ISGB has established an action plan of key areas for improvement within the Council. The ISGB is regularly reviewing progress on the implementation of these tasks throughout the Council. Areas identified include a review of all Information Governance policies, a review of procedures for responding to Freedom of Information and Subject Access Requests and introduction of refresher Information Governance Training for staff who process personal and or sensitive information. (See Section 5. Significant Governance Issues – Information Governance).</p>	
<p>The Council held its 4th annual Employee Recognition Awards in October 2015 to appreciate the contribution of both individual employees and teams and demonstrates Council values to staff. In addition, during 2015 the Celebrating Success Employee</p>	

Recognition scheme has been launched to enable managers to nominate staff for outstanding contributions to service delivery.	
CIPFA SOLACE Principle 4.	Key Elements of Trafford Framework
Taking informed and transparent decisions which are subject to effective scrutiny and managing risk:	<ul style="list-style-type: none"> <li>• Decision Making Protocols</li> <li>• Access to Information Procedure Rules</li> <li>• Scrutiny Committees and Protocols</li> <li>• Risk Management Strategy &amp; Policy Statement</li> <li>• Strategic Risk Register</li> <li>• Internal Audit Strategy</li> <li>• Accounts &amp; Audit Committee</li> </ul>
How we have delivered against the Principle in 2015/16	
<p>The Council has in place a Scrutiny Committee and a separate Health Scrutiny Committee, supported by an annual work programme, which met on a regular basis throughout 2015/16.</p> <p>The annual Budget Scrutiny exercise took place during November to December 2015 with feedback reported to the Executive in January 2016. A number of risks identified through the annual Budget Scrutiny exercise will be used to inform the annual work programme for 2016/17. Other topics reviewed through Task and Finish Groups included home to school transport, educational attainment and hospital discharges. The Joint Health Scrutiny committee received regular updates on the New Health Deal for Trafford work programme.</p> <p>The Council operates an Accounts and Audit Committee which operates in accordance with its remit following guidance set out in CIPFA's "Audit Committees: Practical Guidance for Local Authorities". Throughout 2015/16 the Committee received regular updates in relation to strategic risks and governance issues.</p> <p>The Council continues to review and report on its Strategic Risk Register on a regular basis. The March 2016 report identified 17 strategic risks faced by the Council, each risk being managed by nominated staff / groups within the Council. The Council's ongoing work to plan service delivery with reduced financial resources continues to be one of the highest risks being managed with regular updates provided.</p> <p>The Internal Audit 2015/16 work plan incorporated coverage of key financial systems and other business risks. Quarterly updates of work undertaken were provided to the Corporate Management Team and the Accounts and Audit Committee through the year. The Annual Report of the Head of Internal Audit for 2015/16 states that based on internal audit work undertaken for 2015/16, the Internal Audit Opinion is that, overall, the control environment is operating to a satisfactory standard. Follow up audit work in areas previously reviewed demonstrates that continuing improvements in controls are being made to address risks previously identified. There were, however, some areas</p>	

where significant improvements in controls were required and in such instances, recommendations were made to improve the controls in place. Particular areas identified include required improvements in Council processes in relation to business continuity both in respect of service and central IT disaster recovery processes. Areas identified for improvement will be further followed up in 2016/17. (Also see Section 5.3 Significant Governance Issues 2016/17).

The Internal Audit function operates in general conformance with the Public Sector Internal Audit Standards. The Council's assurance arrangements conform to the governance requirements of the CIPFA Statement on the Role of the Head of Internal Audit (2010).

The External Auditor's Annual Letter 2014/15 was presented to Accounts & Audit Committee in November 2015 providing an unqualified opinion on the financial statements and identified that in all significant aspects, proper arrangements were in place to secure value for money.

During 2015/16 the Council received OFSTED inspections of its Youth Offending Service and Children's Service which both received positive outcomes. The Children's Service review published in May 2015 rated Trafford overall 'Good with outstanding features' and rated them joint highest in the country.

CIPFA SOLACE Principle 5.	Key Elements of Trafford Framework
Developing the capacity and capability of members and officers to be effective:	<ul style="list-style-type: none"> <li>• Supporting Change to Happen Strategy 2014-17</li> <li>• Member Development Strategy</li> <li>• Members' Training Plan</li> <li>• Members' Induction Process</li> <li>• Employee Training &amp; Development Plan</li> <li>• Corporate Induction Procedure</li> <li>• Employees Personal Development Review (PDR)</li> <li>• Absence Management Strategy</li> <li>• Apprenticeship Scheme</li> <li>• Managing Organisational Change Toolkit</li> </ul>
How we have delivered against the Principle in 2015/16	
<p>Risks in relation to the loss / absence and retention of senior managers to the organisation have been identified and are monitored through the Strategic risk register.</p> <p>A Supporting Change to Happen strategy is in place which identifies areas of good practice and sets out further improvements required through use of technology, training and leadership support. A suite of learning and development courses are available for staff to equip them with tools, techniques and skills to manage their own personal transition to work in new delivery models successfully.</p>	

Trafford Council is the lead authority on the development of a Greater Manchester (GM) training procurement framework and a new approach will be in place in 2016. We are also a partner in the GM e-learning platform. Training and Development Plans are in place at directorate level and cross council, which are refreshed and updated annually.

A new starter induction guide and checklist is in place which includes a number of mandatory elements such as the Data Protection, Information Security, Employees' Code of Conduct, Fraud Awareness and the Acceptable Use Policy.

As part of our 'Be Bold be the Difference' campaign, a range of training/awareness sessions have been rolled out to staff working with the community to understand how community groups can function alongside the council to achieve shared goals. Community Builders and Community Connectors are in place to connect people in neighbourhoods so that all resources working in localities have a common understanding of what's available.

A succession planning strategy has been developed that formalises an approach to ensure that key skills are not lost to the Council whilst up-skilling staff to take on higher graded roles. Successors will be identified at senior manager level and targeted development initiatives provided to ensure that we are equipped to flex our workforce to react to resource and skills gaps.

A graduate recruitment scheme will recruit 2 graduates in 2016/17 to work in HR and Communications team to support a programme of work around employee engagement initiatives.

One to one meeting guidance and a template to record discussions has been developed and made available for managers so that a consistent approach to supervision is adopted across the Council. A refreshed Personal Development Review (PDR) process is in place and training to support the process is available for staff to access.

A supplementary Member Development Strategy describes how Councillors will be supported to develop in their changing role as community advocates and leaders. A Member Training Plan is in place with a training programme delivered during the year including safeguarding, legislative changes and financial management. A Leadership Development Programme was rolled out throughout 2015 that delivered a range of community based leadership interventions. The Council continues to demonstrate compliance with Level 1 of the North West Employers Organisation Members Charter.

Trafford in partnership with Pure Innovations, Trafford College and CMFT (Central Manchester Foundation Trust) has implemented a Learning Disability Internship scheme, with the aim to train cohorts of 10 young people with learning difficulties resulting in City & Guilds qualification and the minimum of one year paid employment with one of the scheme partners. The scheme is now in its third year of operation, having secured six employment opportunities for young people.

As at the end of the year, the Council's Internal Apprenticeship scheme launched in 2011 has had over 103 recruits in a broad range of disciplines and forty-one of these have secured permanent employment with the Council. At the Trafford College Apprentice Awards 2015, the Council won the Business Training Award 2015 and two of our Apprentices won 'Intermediate Apprentice for Customer Service' and 'Personal Achiever of the Year' awards. One of our Apprentices was shortlisted for a national Apprentice of the Year award with the Public Service People Managers Association (PPMA).

The Council takes a rigorous approach to absence management and in 2015/16 the Council achieved its target of 9 days absence per employee. This target was achieved through the delivery of a programme of management training across all service areas; targeted interventions in hotspot areas; improved management information at a corporate management level; effective use of health management services provided through the occupational health contract and the continued involvement of Elected Members to challenge the management of sickness absence within their portfolio areas.

Looking forward, a stretch target of 8.5 days per employee per annum has now been agreed for 2016/17 and an action plan has been developed to help the Council achieve this new target. The action plan which will be monitored by the Director of Human Resources involves a focus on improving the health and wellbeing of the workforce, in particular in relation to supporting staff with mental health issues; improving policies and practices for managing health and wellbeing; and improving staff morale and motivation.

CIPFA SOLACE Principle 6.	Key Elements of Trafford Framework
Engaging with local people and other stakeholders to ensure robust public accountability:	<ul style="list-style-type: none"> <li>• Customer Strategy</li> <li>• Trafford Council Website</li> <li>• Budget Consultation</li> <li>• Locality Working Programme</li> <li>• Building Strong Communities Strategy</li> <li>• Trafford Partnership Data Innovation and Intelligence Lab</li> <li>• Info Trafford Website</li> <li>• Corporate Complaints Procedure</li> </ul>
How we have delivered against the Principle in 2015/16	
<p>The Council has procured a new Customer Relationship Management (CRM) system which is due to go live in early summer 2016 with roll out across council services to be completed by the end of 2016/17.</p>	
<p>All Trafford libraries now have Wi-Fi and usage is increasing. Art Council Grant funding of £26k has been used to improve customer experience through installation of self-registration software and to part fund a Libraries Digital Officer post for 12 months with a role to ensure library staff and volunteers are equipped to assist customers with their</p>	

digital needs, embed working practices, promote services and ensure that Trafford Libraries are fully engaged with local and national digital initiatives. A draft digital strategy is being prepared for publication later in the year.

The Council has committed to undertake annual public and stakeholder consultation in relation to its budget proposals. Consultation on the 2016/17 budget took place between September to December 2015 based around the themes of the Reshaping Trafford programme and to obtain views on the proposed Council Tax increase. The process was supported by an independent organisation and included a dedicated website, staff briefings, open public forums and business briefing. A summary report was presented to the Executive in February 2016 which provides further detail on the methodologies and outcomes.

The Council continues to demonstrate compliance with Open Data requirements, publishing a range of financial and performance data on its website and was recognised as an Open Data Champion by central government in March 2015. The InfoTrafford website is well developed and through participation in the Greater Manchester Data Synchronisation Programme, the Council has developed a collaborative approach and has overcome barriers local authorities face in making data available in properly open formats.

The Trafford Partnership Data Innovation and Intelligence Lab has undertaken crime data mapping which has led to the Lab creating a software tool to extract open source police data and map it per ward across the whole of Greater Manchester. It has also secured funding for involvement in a 3 year European project demonstrating the value of open data, with Trafford focusing on the employment and skills agenda. It won an I- Network award for Innovation in Public Service in November 2015.

Following consultation and workshops with strategic partners and third sector providers, the Third Sector Strategy was reviewed during 2015 and transformed into a new Building Stronger Communities Strategy which not only provides for infrastructure support to the Voluntary, Community and Social Enterprise Sector (VCSE), but focusses on brokering and improving mutually beneficial relationships across and between the public, private and VCSE sectors and with residents and communities. It provides a strategic home for Locality Working and promotes the use of Social Value across the Trafford Partnership.

The Locality Working programme is a key feature of the strategy. It has 4 key features: Locality Partnership networks, locality projects, our Be Bold. Be the Difference campaign and our Community Building Programme. Locality Working is underpinned by Trafford's approach to Asset Based Community Development which not only allows us to make best use of all the assets, skills and resources in our communities but sees public sector staff as valuable assets, contributing a huge amount to communities. (See Section 5. Significant Governance Issues – Locality Working).

We are developing our front line staff and councillors as Community Builders on the

ground enabling residents to take action by signposting and connecting them to other local people and local services. We have delivered training to over 300 people on how to be a Community Builder, how to unlock the strengths within neighbourhoods, providing practical tools for mapping assets in communities. Our Locality Working programme has been shortlisted for a 2016 national Municipal Journal Award for Behaviour Change).

Pulse Regeneration and Trafford Housing Trust worked in partnership for 3 years up until October 2015 to deliver infrastructure support to the Third Sector under the Thrive Trafford brand and delivery over the 3 years exceeded targets. The contract was extended for 6 months October 2015 to April 2016 solely with the main contract holder, Pulse, whilst a new specification in response to the new Building Strong Communities Strategy was tendered. From 1<sup>st</sup> April 2016 a new 12 month contract with Pulse regeneration has been agreed to provide support during 2016/17 for social enterprise, community capacity building, Locality Working and asset-based principles, Community asset transfer and volunteering.

#### 4. Review of effectiveness

4.1 Trafford Council’s Corporate Governance Code sets out the Authority’s responsibility to undertake a review of the effectiveness of its governance framework on an annual basis. The review of effectiveness is informed by the work of the executive managers within the Authority who have responsibility for the development and maintenance of the governance environment, the Head of Internal Audit’s annual report, and also by comments made by the external auditors and the results of other reviews / inspections.

4.2 The processes applied and sources of assurance obtained in maintaining and reviewing the effectiveness of governance arrangements and, as part of that, the system of internal control include the following:

Management Controls	Independent Assurance	External Assurance
<ul style="list-style-type: none"> <li>• Financial Management</li> <li>• Programme Management</li> <li>• Performance Management</li> <li>• Risk Management</li> <li>• Legal</li> </ul>	<ul style="list-style-type: none"> <li>• Internal Audit</li> <li>• Scrutiny</li> <li>• Health &amp; Safety</li> </ul>	<ul style="list-style-type: none"> <li>• External Audit</li> <li>• Other inspectorate e.g. OSTED, CQC</li> <li>• Sector led improvement e.g. LGA</li> </ul>

4.3 These governance functions are described in more detail within the Council's Corporate Governance Code and specific assurances or improvements delivered during 2015/16 are detailed in Sections 3 and 5 of this Statement.

**4.4 We have been advised on the implications of the result of the review of the effectiveness of the governance framework by the Accounts and Audit Committee, and that the arrangements continue to be regarded as fit for purpose in accordance with the governance framework. The areas already addressed and those to be specifically addressed with new actions planned are set out in Section 5.**

## **5. Significant Governance issues**

5.1 The Council takes seriously its responsibilities and duties with regard to ensuring continuous improvement in the way its functions are exercised and in consideration of economy, efficiency and effectiveness.

5.2 In response to the 2015/16 review of the internal control environment and the identification of a number of control issues, the Council has taken significant action to address those issues and implement appropriate improvement actions through 2015/16. Detailed below are the significant governance issues highlighted in the 2014/15 Annual Governance Statement followed by action taken in 2015/16, and where applicable further work proposed for 2016/17.

## Significant Governance Issues

2014/15 Significant Issues	Action Taken 2015/16	Further Work Planned 2016/17
<p><b>1. Reshaping Trafford Programme</b></p> <p>Key work programmes underway included:  <u>One Trafford Partnership</u>            The Joint Venture Contract programme scheduled to 'go-live' in July 2015 with chosen partner Amey LG. This partnership will deliver savings of approximately £2.25m in 2015/16, whilst continuing to deliver high quality and value for money services.</p> <p><u>GMP HR Collaboration</u>            We are also working with the Greater Manchester Police force to launch a joint Human Resources shared service that will benefit both organisations by sharing best practice, technology and other synergies.</p>	<p>Key programmes included:  <u>One Trafford Partnership</u>            The contract went live in July 2015. Governance arrangements have been established including a quarterly Strategic Partnership Board with elected member and senior officer representation, and a monthly Operations Board with officer representation, key performance indicators and performance reporting established.</p> <p><u>GMP HR Collaboration</u>            GMP and Trafford Council have completed the design phase and approved a full business case for creating a joint HR shared service centre. This will aim to achieve further economies of scale and yield financial savings, operating efficiencies and a collaborative way of working.</p> <p><u>Maximising Income</u>            As part of a Reshaping Trafford, we have developed a two year approach to reviewing all services in order to generate additional income and identifying collaborative opportunities</p>	<p>There are 37 projects / programmes under 6 themes:</p> <ul style="list-style-type: none"> <li>• Working smarter</li> <li>• Buying better</li> <li>• Commissioning</li> <li>• Promoting Independence</li> <li>• Maximising income</li> <li>• Joined up and working together</li> <li>• Eligibility and access</li> </ul> <p>The 2016/17 Transformation saving target is £9.94m. The Benefits Realisation approach is under review now to build on learning from within the CFW Directorate to wider arrangements.</p> <p><u>GMP HR Collaboration</u>            This is now in the 'construct' phase, staff consultation with all parties has been concluded and it is planned the service will begin operation in late summer 2016. A number of other organisations have expressed interest in joining and these opportunities will continue to be explored.</p> <p>Delivery of the Trafford Locality Plan, including new place based integrated</p>

2014/15 Significant Issues	Action Taken 2015/16	Further Work Planned 2016/17
<p><u>CFW Transformation Programme</u></p> <p>Given the strategic importance of this programme, it had its own dedicated project team and a separate programme board, chaired by the Chief Executive, and consisting of senior Council staff, and individual project managers.</p> <p>Key elements of the Children Families &amp; Wellbeing Programme Plan include:</p> <ul style="list-style-type: none"> <li>- Delivery of the agreed 2015/16 saving target and development of savings proposals for 2016/17 and 2017/18;</li> <li>-Design of the specification and governance arrangements to underpin Pennine Care Foundation Trust delivery of the all age delivery model from 1 April 2016 (including integrated commissioning arrangements);</li> <li>-Preparation for Greater Manchester health devolution at local level, whilst ensuring delivery of the Greater Manchester Public Service Reform agenda (see separate governance issue No. 4).</li> </ul>	<p>that realise efficiency savings.</p> <p>The CFW Programme 2015/16 year end position has delivered £16.415m savings, compared to the £15.612m target.</p> <p>Trafford Council and Trafford Clinical Commissioning Group (CCG) have jointly developed the Trafford Locality Plan 2016-21 approved by the Health and Wellbeing Board in March 2016 and sets out how the authority, CCG and partners will deliver health &amp; social care outcomes for Trafford through integrated service delivery and commissioning.</p> <p>A revised 2 year Section 75 partnership agreement between Trafford Council and Pennine Care Foundation was approved by the Executive on 21 March 2016 and signed on 1 April 2016.</p> <p>Trafford Council has supported the implementation of the Trafford Care Co-ordination Centre (TCCC) which will have a critical role in managing demand in the social care system.</p> <p>New delivery models are in place for the 'early help' provision and framework of</p>	<p>working delivery models.</p> <p>The CFW programme has been supported by a leadership group. This is now under review to ensure the terms of reference are fit for the 2016/17 programme</p> <p>Trafford Council and Trafford CCG have agreed integrated commissioning priorities which align to the new Health and Wellbeing Board priorities going forward:</p> <ul style="list-style-type: none"> <li>• Learning Disabilities</li> <li>• Mental Health</li> <li>• Community Equipment</li> <li>• Better Care Fund</li> <li>• Alcohol use</li> <li>• Smoking cessation</li> <li>• Reducing Physical Inactivity</li> </ul>

2014/15 Significant Issues	Action Taken 2015/16	Further Work Planned 2016/17
	commissioned services.	
<p><u>Youth Trust</u> As part of the new Early Help Model, commitment has been given by the Council and Trafford Partnership to develop a Youth Trust. A mapping exercise of all current provision for young people has been undertaken alongside an early help needs assessment. A partnership steering group has been set up and a project plan is under development with a view to creating a shadow Trust by September 2015 and the full legal entity by April 2016, ready to commission services from 1 April 2016. The Council will be a significant investor into the Trust and as such will be represented by individuals on the Board of Trustees.</p>	<p>A multi-agency Steering Group was established in March 2015 supported by task groups to consider the governance and infrastructure, commissioning, communication and engagement requirements for formation of the Trust.</p> <p>Extensive consultation took place throughout the year, including Young Person and Provider engagement events in July 2015 to outline proposals and discuss the purpose and vision.</p> <p>The governance model and options were presented to the Steering Group and it was approved by the Council Executive on 20 January 2016 to create a Community Interest Company (CIC), initially with the Council as sole shareholder, to establish an independent partnership organisation Trust Youth Trafford which will grow investment into youth provision in Trafford, commission and fund provision for 11-18 year olds (up to 25 years for people with learning disabilities) against identified needs and aspirations, helping</p>	<p>The new CIC Board are currently working with independent consultants red Quadrant funded by the Cabinet Office, to support Board development and develop investment and membership models, further stakeholder and young people engagements culminating in the drafting of a business plan and operating model for Year One. In addition the consultants are working with both the Trust and Trafford Council to draft an Operating Agreement which sets out the relationship and funding arrangement between the 2 organisations. This work will be completed by July 2016.</p> <p><b>Reshaping Trafford will continue to be reported as a significant governance issue for 2016/17.</b></p>

2014/15 Significant Issues	Action Taken 2015/16	Further Work Planned 2016/17
	the sector to better co-ordinate itself to improve capacity, sustainability and outcomes for young people.	
<p><b>2. Information Governance</b> The membership and Terms of Reference of the Information Security Governance Board (ISGB) have been reviewed and a newly established Information Governance team is in place. The ISGB has developed and approved a work plan and action against that plan is reported to CMT on a regular basis. Action points in the plan include:-</p> <ul style="list-style-type: none"> <li>• Communicate roles &amp; responsibilities across the Council including responsibilities of Information Asset Owners (IAO)</li> <li>• Develop an Information Asset Register to identify all corporate assets and their uses</li> <li>• Implement retention and disposal policy on all historic, current and future records</li> <li>• To streamline Freedom of Information and Subject Access</li> </ul>	<p>Developments in 2015/16 include the following:</p> <ul style="list-style-type: none"> <li>• Setting up of the centralised corporate Information Governance Team</li> <li>• The re-established Information Security Governance Board (ISGB) meets monthly to discuss current information security and IG matters affecting the Council</li> <li>• Refresher Information Governance (IG) training was prepared and rolled out to Council staff during April 2016 using a new training suite to build on the existing knowledge of staff</li> <li>• A new, simplified Information Asset Register has been developed to identify corporate assets</li> <li>• Working with stakeholders to develop Information Sharing Protocols at the start of new collaborative projects where sharing of information is</li> </ul>	<p>To continue to further develop IG arrangements across the Council, Plans of the IG team include the following:</p> <ul style="list-style-type: none"> <li>• To continue to assist in the successful implementation of the tasks outlined on the ISGB Work Plan</li> <li>• To work with the Information Commissioners Office regarding response times to Freedom of Information Requests</li> <li>• To provide assistance on the information governance challenges facing Public Service Reform</li> <li>• To provide information governance advice and guidance in collaborative working with other stakeholders</li> <li>• To provide information governance advice and guidance in the creation of the</li> </ul>

2014/15 Significant Issues	Action Taken 2015/16	Further Work Planned 2016/17
<p>Request to legal compliance and improve processes</p> <ul style="list-style-type: none"> <li>• Introduce Privacy Impact Assessments for all new projects that collect personal / sensitive data initially, and roll out retrospectively to existing projects.</li> </ul>	<p>necessary</p> <ul style="list-style-type: none"> <li>• Assisting project leads with implementing Privacy Impact Assessments for new collaborative working initiatives that require the collection of personal / sensitive data</li> <li>• Continuous education of and communication with stakeholders on good IG practices.</li> </ul>	<p>Trafford Human Resources Shared Service Centre</p> <ul style="list-style-type: none"> <li>• To prepare the Council for the forthcoming voluntary audit by the ICO.</li> </ul> <p><b>Information Governance will continue to be reported as a significant governance issue for 2016/17.</b></p>
<p><b>3. Locality Partnerships</b></p> <p>A Steering Group has been established to implement locality working across Trafford, working with Locality Partnerships, Ward Members and key stakeholders.</p> <p>From June 2015 Locality Working will 'go-live' including: Each Locality Partnership will hold a stakeholder event, inviting representatives from all sectors.</p> <p>A large-scale borough-wide campaign, "Be Bold, Be the Difference", will be launched to encourage residents</p>	<p>To further embed locality working as business as usual through:</p> <p>The new Building Stronger Communities Strategy and working model enabling collaborative priority setting and to co-deliver solutions to local issues.</p> <p>A data mapping exercise in June 2015 was used to create four locality profiles enabling local people to set priorities and shape action, and from this our Locality projects emerged.</p> <p>Changes to partnership membership and meeting formats to become more open and inclusive, with four Enabling groups established to lead on</p>	<p>Actions to include the following:</p> <ul style="list-style-type: none"> <li>• Develop a performance framework and outcome measure measurement tool to demonstrate how locality projects are delivering against strategic priorities.</li> <li>• Through the role of the Partnership and Communities Team and campaigns, direct support enabling neighbourhood partnerships to become more resident-led, networking and creative spaces</li> <li>• Run the 2016 Voluntary Sector Grants programme in-house to generate in region of £35k efficiency savings.</li> <li>• Ensure the Asset Based</li> </ul>

2014/15 Significant Issues	Action Taken 2015/16	Further Work Planned 2016/17
<p>involvement and highlight the support available.</p> <p>Front-line staff will have a key role in this campaign, acting as 'Community Builders', on the ground signposting and connecting local people. Officers are being identified and training commissioned.</p> <p>Engagement activities will shape the development of locality plans and task and finish groups will be established to tackle key outcome focused objectives.</p>	<p>engagement, project monitoring and communications</p> <p>Launch of the Be Bold, Be the Difference campaign in summer 2015.</p> <p>In spring 2015 commissioning of Community Builder training to front-line staff, managers and Ward Councillors; to date we have delivered training to over 300 people. All participants have access to an online tool kit for ongoing support and with virtual teams in each locality.</p>	<p>Community Development (ABCD) and Community Builder Programmes are embedded in the new Place Based Integration work stream. Work with all PSR partners to encourage them to adopt ABCD principles and pool resources to support the training programme.</p> <ul style="list-style-type: none"> <li>• The Trafford Partnership Data Innovation and Intelligence Lab to map / track projects that have received grant funding since 2012 and map all businesses in Trafford so we are able to engage more systematically with them.</li> </ul> <p><b>Locality Partnership will continue to be reported as a significant governance issues for 2016/17.</b></p>
<p><b>4. Public Service Reform (PSR)</b> In December 2013, the PSR Leadership group shared its vision for the next phase of PSR accelerating the pace and scale of progress over the next two years with focus on complex dependency and integration of health and social care. A set of core GM standards will act as a 'checklist' for delivery models with local flexibility that allows for</p>	<p>To support complex dependency and place based integration, Trafford is leading the way across Greater Manchester by being one of the first boroughs to bring its PSR programme under one integrated -partnership governance framework.</p> <p>A PSR Board has been established made up of senior officers from key partners which will report to the Trafford</p>	<p>The PSR programme is aligned to the Health and Social Care integration programme with the aim of creating a single New Operating Model across partners for Trafford based on a 4 locality place-based model, to co-ordinate service provision, making full use of community assets, Voluntary, Community and Social Enterprise services and adopting a single key-worker approach.</p>

2014/15 Significant Issues	Action Taken 2015/16	Further Work Planned 2016/17
<p>innovation and varied needs of residents.</p> <p>As part of Manchester’s recent Devolution Agreements transition period, over the next 2 years it is proposed that the Greater Manchester Combined Authority will receive additional powers for certain parts of public service reform, specifically on business support, skills, complex dependency and health and social care. As Trafford is an exemplar Local Authority within Greater Manchester, we are keen to play a pivotal role in the transition toward full Devolution within Greater Manchester in 2017. Public Service Reform and in particular the integration of Complex Dependency within the local All Age Front Door model, will be pivotal in assisting in this process.</p>	<p>Partnership Board, and its role will include responsibilities for investment, decision making, strategy and risk.</p> <p>The PSR Board will be supported by an Operational Group representing operational managers across partner agencies and also a Peer Support Group representing front line staff.</p> <p>Terms of reference and membership have been agreed, and the board met for the first time in Feb 2016.</p>	<p>7 work streams are being developed as part of a 3-5 year programme:</p> <ul style="list-style-type: none"> <li>• All Age Front Door</li> <li>• Place Based Integrated Working</li> <li>• Workforce Development</li> <li>• Communications</li> <li>• Information Governance</li> <li>• Estates</li> <li>• Perfect Weekend- a cross-partnership exercise to observe, assess and analyse how demand is managed in Trafford across a 24/7 timeframe in order to inform redesign of services to improve outcomes for Trafford residents.</li> </ul> <p><b>Public Service Reform will continue to be reported as a significant governance issue for 2016/17.</b></p>
<p><b>5.Devolution</b></p> <p>The Devolution Agreement signed in November 2014 devolves powers and opportunities in a number of areas including; Housing, Skills, Work Programme, Business Support and Health. The Trafford Leader and Chief Executive are the GM leads for Skills, Employment and Worklessness. The</p>	<p>During 2015/16 further Devolution activity has continued with the Health and Social Care Memorandum of Understanding in April 2015, the Summer Budget of 2015 and additional powers in the November 2015 Spending Review and Autumn Statement. This latter agreement identified a number of areas for further</p>	<p>In April 2016 details of the consultation into the new legal powers for Greater Manchester Combined Authority (GMCA) were released and responses are due from all key stakeholders during May 2016 followed by a period of analysis.</p> <p>The GM Work and Skills programme</p>

2014/15 Significant Issues	Action Taken 2015/16	Further Work Planned 2016/17
<p>programme includes the redesign of the Further Education System for GM; the co-design and co-commissioning of the Work Programme to be renewed in 2017; up-scaling of the Working Well Pilot from 5,000 to 50,000, including the Mental Health to Work Programme and devolution of responsibility for the Apprenticeship Grant for Employers.</p> <p>The Chief Executive also co-Chairs the Learning Disability Fast Track Programme.</p> <p>Other elements of the Devolution Agreement include devolving the total health economy of £6bn to GM from April 2016. (See CFW Transformation work).</p> <p>Trafford Council have been working with Greater Manchester's regeneration team to maximise the benefits from the devolved £300m housing fund, designed to get stalled housing developments moving through providing low cost loans to developers.</p>	<p>joint work including, housing, employment support, apprenticeships and energy. A fourth devolution agreement was then agreed in the March 2016 Budget.</p> <p>The November 2015 and March 2016 devolution agreements gave further powers around the full devolvement of Adult Education Budget by 2018.</p> <p>The final draft of the 'Taking Charge of our Health and Social Care in Greater Manchester' was endorsed by the Health and Social Care Strategic Partnership Board in December 2015. It detailed the collective ambition for the region over the next five years.</p> <p>On 1 April 2016 GM took control of the long-term health and social care spending, a budget of around £6 billion. The governance arrangements underpinning GM and locality Section 75 agreements were all put in place. The joint commissioning board consists of Local Authorities, Clinical Commissioning Groups and NHS England.</p> <p>The Trafford Leader and Chief</p>	<p>focuses on ten priorities and an action plan has been developed for each of the priorities which detail short, medium and long term actions. Many of these priorities can be progressed in the short term via a range of deliverables that GM is already committed to pursuing to implement the November 2014 and November 2015 Devolution Agreements. These include:</p> <ul style="list-style-type: none"> <li>• Approving and initial implementation of the Area Based Review conclusions;</li> <li>• Developing an outcomes framework influencing commissioning of the Adult Skills Budget;</li> <li>• Expanding Working Well up to 2017;</li> <li>• Recommissioning the Work &amp; Health programme from 2017;</li> <li>• Developing a GM approach to the Apprenticeship Levy;</li> <li>• Working with Jobcentre Plus to review and rationalise their estate; and</li> <li>• Working with the Department for Business Innovation and Skills, Department for Education and the</li> </ul>

2014/15 Significant Issues	Action Taken 2015/16	Further Work Planned 2016/17
	<p>Executive continue to be the GM leads for Skills, Employment and Worklessness and are playing a leading role in the delivery of the Work and Skills agenda for GM. There has been significant activity on this portfolio including the commencement of the redesign of the Further Education System for GM with the Area Based Review, which commenced in September 2015, and will ensure a sustainable post 16 sector to support learners and employers across GM and the Working Well Pilot, supporting almost 5,000 people is on track to achieve 20% into work and 15% sustained. An expansion of this pilot was launched to support a further 15,000 people, incorporating an innovative Mental Health &amp; Employment Trailblazer.</p>	<p>Department for Work and Pensions to establish a common approach to commissioning post 16 work and skills provision.</p> <p>In May 2017 a new mayor will be elected by the region's voters.</p> <p><b>Devolution will continue to be reported as a significant governance issue for 2016/17.</b></p>
<p><b>6. Budget Monitoring</b></p> <p>Work is continuing in 2015/16 to ensure that revised budget monitoring arrangements are maintained and there continues to be ongoing improvements.</p> <p>Within the CFW Directorate, work is</p>	<p>Council wide improvements to budget monitoring processes have been delivered including:</p> <ul style="list-style-type: none"> <li>• New budget monitoring timelines established to ensure sufficient time for robust scrutiny and challenge</li> <li>• All budgets across the council</li> </ul>	<p>All recommendations from the 2014/15 budget investigation report have been addressed. The outcomes were reported to Accounts and Audit Committee in September 2015.</p> <p>Whilst this area will not be reported within the Annual Governance Statement as a significant</p>

2014/15 Significant Issues	Action Taken 2015/16	Further Work Planned 2016/17
<p>ongoing in fully implementing the new Adult Social Care system (Liquid Logic/ContrOCC) with functionality for financial commitments, monitoring and reporting.</p> <p>Across the Council, a package of measures has been introduced to support budget holders, including an updated budget holder guide and the roll out in 2015/16 of a comprehensive training programme. To complement the training programmes a new Council intranet page is to be finalised.</p> <p>Actions will continue to be progressed to provide further support to managers as identified in the agreed Organisational Development Recovery Action Plan including management guidance and a mandatory e-learning module for budget holders.</p>	<p>have been risk assessed and assigned a Red/Amber/Green status to increase visibility of high risk areas and enable resource to be targeted</p> <ul style="list-style-type: none"> <li>• A comprehensive list of budget holders established and mandatory financial management training delivered</li> <li>• To supplement training, a reference guide for budget holders detailing their financial responsibilities has been cascaded to relevant staff.</li> </ul> <p>Within the CFW Directorate, the Adult Social Care (Liquid Logic / ContrOCC) system functionality continues to be developed and will be rolled out across Children's' Services during 2016/17.</p>	<p>governance issue for 2016/17, continued monitoring and review will take place to evaluate the effectiveness of changes and to embed technical, behavioural and cultural changes.</p>
<p><b>7. Leisure Services</b> The contract with Trafford Community Leisure Trust will come to an end and cease trading on 30<sup>th</sup> September 2015. Due to procurement requirements and to enable access to VAT exemption</p>	<p>Following the expiry of the Trafford Leisure Trust delivery contract on 30 Sept 2015, the Council has set up a wholly owned community interest company, Trafford Leisure Community Interest Company Ltd from 1<sup>st</sup> Oct 2015 to deliver leisure services across the</p>	<p>Whilst this area will not be reported as a significant governance issue for 2016/17, developments will continue with delivery of the business plan being the main focus for the company in 2016/17.</p>

2014/15 Significant Issues	Action Taken 2015/16	Further Work Planned 2016/17
<p>and business rates relief, it is considered the only viable option is to create a new company operating from 1<sup>st</sup> October as a Community Interest Company (CIC) with Trafford Council as the sole shareholder.</p> <p>Existing management and staff will transfer in to the company and assets to transfer for no consideration, under an 'asset lock'. The Council will appoint a board of directors responsible for the governance of the company.</p> <p>An interim business plan is being developed for the first year of operation and the Council if required to provide working capital, will be on a commercial basis through an interest bearing loan.</p> <p>Work is required to develop a vision and blueprint for leisure in the borough and determine appropriate routes to access investment to support the physical infrastructure.</p>	<p>borough.</p> <p>A Board of Directors has been appointed responsible for compliance with general company law and CIC regulatory requirements. Monthly board meetings take place and alternate between operational matters and strategic development.</p> <p>As the Council will no longer fund the annual management fee, any short term cash flow requirements will be provided on a commercial basis as an interest bearing loan. The company is currently managing cash flow well and has sufficient cash to sustain the business within the foreseeable future</p> <p>Supply and demand analysis has been undertaken to inform the development of a Leisure Strategy which will form the basis of future provision and set out the long term requirements for built leisure facilities in the borough. A commercial prospectus is also being developed to establish the level of investment required and future viability of the CIC.</p>	<p>This will be developed into a borough wide strategy for sport and leisure and an implementation plan will result formulated on the strategy adopted. This will include a playing pitch strategy that will support clubs to gain sport related funding.</p>

5.3 Based on the above, the following are identified as significant governance issues in 2016/17:

- 1) Reshaping Trafford
- 2) Information Governance
- 3) Locality Working
- 4) Public Service Reform
- 5) Devolution.

In addition to the above, other significant governance issues for 2016/17 are highlighted below and action will be taken through the year to address these:

<b>6) Medium Term financial position / savings</b>	As stated in Section 3.2 (Principle 1), the medium term outlook is that the Council will still need to make savings in excess of £30m over the three years from 2017/18 to 2019/20, a significant proportion of this being in 2017/18. Continued action will be required by the Council to address these budget challenges.
<b>7) Business Continuity</b>	As stated in Section 3.2 (Principle 4), improvements are required in Council processes in relation to business continuity both in respect of service procedures and central IT disaster recovery processes. This is to ensure the Council's services have robust continuity arrangements in place in the event of disruptions occurring. Action is taking place to improve arrangements and will continue to progress during 2016/17.

5.4 The Council is committed to achieving its objectives through good governance and continuous improvement. Going forward, the Council will continue to transform service delivery arrangements, to ensure the Council effectively delivers its objectives and manages its resources to meet the ongoing financial challenges being faced.

- 5.5 We propose over the coming year to take steps to address the above matters to further enhance our governance arrangements. We are satisfied that these steps will address the need for improvements that were identified in our review of effectiveness and will monitor their implementation and operation as part of our next annual review.



**Councillor Sean Anstee**  
**Leader of the Council**  
**September 2016**



**Theresa Grant**  
**Chief Executive**  
**September 2016**



# TRAFFORD COUNCIL

## CORPORATE GOVERNANCE CODE

June 2016

# Trafford Council Corporate Governance Code

## 1. What do we mean by governance?

Governance is about how local government bodies ensure that they are doing the right things, in the right way, for the right people, in a timely, inclusive, open, honest and accountable manner.

It comprises the systems and processes, and cultures and values, by which local government bodies are directed and controlled and through which they account to, engage with, and where appropriate, lead their communities.

## 2. Trafford's commitment

Trafford Council, as a public organisation, is committed to ensuring the highest possible standards of governance in order to fulfil its responsibilities:

1. To engage in effective partnerships and provide leadership for and with the community.
2. To ensure the delivery of high quality local services whether directly or in partnership or by commissioning.
3. To perform a stewardship role which protects the interests of local people and makes the best use of resources.
4. To develop citizenship and local democracy.

Openness, inclusion, integrity and accountability are fundamental principles by which the Council operates.

## 3. The Governance Framework

In order to ensure the fulfilment of its commitment, the Council operates a governance framework which provides a structure to support the Council's approach to governance.

Trafford Council has based its governance framework on the guidance produced in the publication 'Delivering Good Governance in Local Government' produced by the Chartered Institute of Public Finance & Accountancy (CIPFA) and the Society of Local Authority Chief Executives & Senior Managers (SOLACE). In addition, further related guidance documents issued by CIPFA such as "the Role of the Chief Financial Officer" and the "Role of the Head of Internal Audit" are also applied.

The CIPFA / SOLACE framework sets out 6 core principles for good governance.

- Focusing on the purpose of the authority and on the outcomes for the community and creating and implementing a vision for the local area.
- Members and officers working together to achieve a common purpose with clearly defined functions and roles.
- Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour.

- Taking informed and transparent decisions which are subject to effective scrutiny and managing risk.
- Developing the capacity and capability of members and officers to be effective.
- Engaging with local people and other stakeholders to ensure robust public accountability.

Section 7 of the Code sets out in detail how the Authority is committed to meet the requirements of this framework.

#### **4. How we will ensure that we deliver on these principles of good governance**

##### **Maintain a local code of corporate governance**

In accordance with best practice requirements Trafford Council maintains a local code of corporate governance which sets out the key systems, policies and procedures that comprise the Authority's governance framework. This document will be reviewed and updated regularly as required, and approved by the Corporate Management Team and Accounts and Audit Committee, to reflect any changes in governance arrangements.

##### **Undertake an annual review of governance arrangements**

The Audit and Assurance Service is responsible for undertaking an annual review to evaluate the position against the commitments set out in the Council's Corporate Governance Code, the effectiveness of governance arrangements and to ensure continuing compliance with best practice.

Where appropriate, action plans will be produced to ensure any significant weaknesses identified are addressed and there is continuous improvement in the system of corporate governance.

Findings and recommendations from this exercise will be reported via the Corporate Management Team. This will be used to inform the production of the Annual Governance Statement, with significant issues reported publicly through this process.

##### **Report publicly on compliance with governance arrangements in the Annual Governance Statement**

The Authority will produce an Annual Governance Statement (AGS) in accordance with the Accounts and Audit Regulations 2015. This will be published and will accompany the Council's Annual Statement of Accounts. It will state what arrangements the Council has in place to ensure the effectiveness of its governance framework and how the Council has followed its stated governance principles. It will also highlight any areas the Council considers to require significant improvement; and outline the actions planned to address them.

The Accounts and Audit Committee (through an appointed working group) will review the robustness of the AGS. The Chief Executive and the Leader are required to sign off the AGS.

## **5. Responsibilities**

Every Council officer and member has a responsibility to ensure their personal conduct and the organisation's governance arrangements are always of the highest standard possible.

Senior managers have a responsibility for reviewing governance standards in their areas of responsibility and for identifying and implementing any necessary improvement actions. Improvement actions should be reflected in the appropriate business plans.

The Chief Executive and Leader will ensure that an annual review is completed of corporate governance arrangements and give assurances on their adequacy in the published Annual Governance Statement, accompanying the Statement of Accounts.

The Corporate Management Team will ensure that the Corporate Governance Code is reviewed regularly to reflect ongoing developments and planned improvements to the framework; and authorise any amendments. Significant changes will be referred to the Council's Executive for approval.

## **6. Communication**

The Corporate Governance Code and Annual Governance Statement will be reported publicly with a copy available on the Authority's website.

## 7. Trafford Council's Governance Framework

Principle 1	
Focusing on the purpose of the authority and on the outcomes for the community and creating and implementing a vision for the local area.	
Supporting Principle	How the Council meets the requirements
<p><i>1.1 Exercising strategic leadership by developing and clearly communicating the authority's purpose and vision and its intended outcome for citizens and service users</i></p>	<p>The Council, as the lead partner in the Trafford Partnership, has supported the development of the long term vision for Trafford as set out in the <b>Sustainable Community Strategy "Vision 2021: a blueprint</b>. This document describes the key objectives which underpin the work of the partnership.</p> <p><b>Reshaping Trafford 2014-17: a Blueprint</b> sets out the Council's vision and aims to have a new operating model by 2017 to enable the delivery of minimum statutory requirements, ensure directly funded services are monitored for quality and performance whilst continuing to provide a place shaping role for the borough.</p> <p>The Council's corporate priorities are reviewed annually and incorporated within the <b>Annual Delivery Plan</b>.</p> <p>The Council publishes details of its strategy, financial position and performance on its website <b>trafford.gov.uk</b>. Information in relation to partnership activity and performance is reported through the Trafford Partnership website <b>traffordpartnership.org.uk</b></p>

<p><i>1.2 Ensuring that users receive a high quality of service whether directly, in partnership, or by commissioning.</i></p>	<p>The Authority has put arrangements in place to measure and review the quality of service for users including mechanisms to identify and deal with failure in service delivery. Robust management information is available to enable monitoring of service quality effectively and regularly.</p> <p>The Council operates a defined <b>Performance Management Framework</b>.</p> <p>The <b>Annual Delivery Plan</b> sets out the key deliverables for the coming year supported by individual Directorate and Service business plans, which connect service objectives and associated actions to the community vision and corporate priorities.</p> <p>The <b>Corporate Management Team (CMT)</b> and <b>Executive</b> receive regular monitoring and exception reports on the achievement of corporate objectives. In addition, a monthly performance report is issued to Corporate Directors and Executive Portfolio holders containing performance data specific to their remit.</p> <p>The Transformation Programme is monitored by the <b>Transformation Board</b> on a monthly basis; this board also receives regular monitoring and exception reports relating to the achievement of project deliverables and benefits.</p> <p>The Council has implemented a <b>Customer Strategy 2013-17</b> which describes its approach to delivering customer services, sets out the reasons and basis for change and proposes how current and future needs will be managed. The Council has an approved <b>Corporate Complaints Policy</b> and guidance.</p> <p>The Council's <b>Contract Procedure Rules</b> set out the agreed protocols for procurement and tendering for contracts including post contract arrangements. The Contract Procedure Rules are harmonised across the three Councils participating in STAR Procurement, the shared procurement service for Stockport, Trafford and Rochdale Councils.</p>
<p><i>1.3 Ensuring that the authority makes best use of resources and</i></p>	<p><b>Low Council Tax and Value For Money</b> is one of the Council's Corporate priorities.</p>

<p><i>that tax payers and service users receive excellent value for money.</i></p>	<p>The Authority consults annually on its budget proposals and these are subject to scrutiny review. The budget setting process takes into consideration the assessment by the Chief Finance Officer of the robustness of the budget estimates and adequacy of the general reserve, Executive responses to the scrutiny review, outcome of staff and Trade Union consultation and Equality Impact Assessment in relation to each proposal.</p> <p>The Council has implemented a <b>Transformation Programme</b> which is supporting the organisation to review and re-design existing functions and service areas to improve service delivery, achieve savings and establish the infrastructure required to manage the future financial challenges. The Transformation Board and the Executive have monitored the development of the Reshaping Trafford Council Programme business cases and will continue to do so as implementation of these progresses.</p> <p>There are defined governance arrangements in place. Significant projects for the Council have a Corporate Management Team lead, and all have a Senior Responsible Officer (SRO), Project Manager (PM) and steering group/project board. Benefits realisation tracking and a summary of project delivery is reported monthly to the Transformation Board.</p> <p>The Council hosts the Association of Greater Manchester (AGMA) <b>Procurement Hub</b> and has established a collaborative Procurement shared service organisation with Stockport and Rochdale Councils (STAR Procurement), with the aim to reduce overheads, increase economies of scale and provide collective expertise and resilience.</p> <p>The Authority has agreed a <b>Procurement Strategy</b> which is harmonised across the three councils that participate in STAR Procurement. It establishes how the councils can use procurement to focus activity on delivery of outcomes and realise corporate priorities during a period of local government reform. It highlights the importance of the procurement function throughout the lifecycle of service delivery, from initial inception through to contract management.</p> <p>The Authority has defined <b>Budgetary Control Procedures</b> in place. <b>Revenue Budget Monitoring</b></p>
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	<p>reports are reported to the Corporate Management Team and the Executive on a monthly basis to enable monitoring of income and expenditure levels, to ensure that commitments are within available resource levels and corrective action is taken when necessary. The Accounts and Audit Committee also receives the budget monitoring reports at its meetings through the year.</p> <p>The Council's financial framework keeps its commitments in balance with available resources. There are arrangements in place to ensure compliance with <b>CIPFA's Prudential Code for Capital Finance in Local Authorities</b> and <b>CIPFA's Treasury Management Code</b>. The Council has a clearly defined <b>Capital Programme</b> and <b>Treasury Management Strategy</b>. The capital budget is monitored and reported to the CMT and Executive each quarter.</p>
<p><b>Principle 2</b></p> <p><b>Members and officers working together to achieve a common purpose with clearly defined functions and roles.</b></p>	
<p>Supporting Principle</p>	<p>How the Council meets the requirements</p>
<p><i>2.1 Ensuring effective leadership throughout the authority and being clear about the executive and non-executive functions and the roles and responsibilities of the scrutiny function.</i></p>	<p>The Council has adopted a <b>Constitution</b> which provides a clear statement of how it operates, defining the respective roles and responsibilities of the Executive and non-Executive members.</p> <p>Article 15 of this document sets out the protocols and the role of the Monitoring Officer to monitor and review the operation of the constitution. The Council reviews elements of the Constitution each year at its annual meeting.</p>
<p><i>2.2 Ensuring a constructive working relationship exists between elected members and officers and that the responsibilities of authority</i></p>	<p>Part 3 of the <b>Constitution</b> sets out responsibility for carrying out the Council's functions, at committee level and delegation to individual executive members. Part 4 sets out the Scheme of Delegation to Officers. The sections on delegated authority are reviewed and approved annually.</p>

<p><i>members and officers are carried out to a high standard.</i></p>	<p>The Council has appointed a <b>Chief Executive</b> responsible and accountable to the Authority for all aspects of operational management. The functions of the <b>Head of Paid Service, Monitoring Officer</b> and <b>Chief Financial Officer</b> are set out in the Constitution.</p> <p>The Council has designated a <b>Chief Finance Officer</b>, in accordance with Section 151 of the Local Government Act 1972, who is a member of the Corporate Management Team. Periodic assessment is undertaken to ensure compliance with the governance standards as set out in the <b>CIPFA Statement on the Role of the Chief Financial Officer in Local Government (2010)</b>.</p> <p>The Council's Director of Legal &amp; Democratic Services is designated as "<b>Monitoring Officer</b>". It is the function of the Monitoring Officer to oversee and monitor compliance with legislation and the Council's established policies and procedures.</p>
<p><i>2.3 Ensuring relationships between the authority and its partners and the public are clear so that each know what to expect of each other.</i></p>	<p>The Authority has adopted <b>Member Officer Relations Protocols</b> which provide guidance to help build good working relations between members and officers.</p> <p>The <b>Officer Employment Procedure Rules</b> set out the terms and conditions for remuneration of employees. A <b>Pay Policy Statement</b> has been published which provides transparency regarding the Council's approach to setting pay for its employees.</p> <p>The Council has agreed a <b>Members Allowance Scheme</b> setting out the level of financial allowance that members may receive.</p> <p>When working in partnership, members are clear about their roles and responsibilities individually and collectively in relation to the partnership and the authority. The Council Leader is the Chair of the <b>Trafford Partnership Board</b> which following a comprehensive review of the Partnership refreshed its Terms of Reference in January 2016.</p> <p>Our four <b>Locality Partnerships</b> have opened up to become wider engagement networks for all stakeholders including residents and community groups. Each Locality has co-produced a set of locality priorities. We have established four smaller Enabling Groups with a core membership of</p>

	<p>Councillors, Service Providers and Community Ambassadors to oversee engagement events and locality projects and to ensure the work of the Locality Partnerships are aligned to the strategic priorities of the borough. Each has its own Terms of Reference and The Locality Partnership Chairs sit on the Trafford Partnership <b>Strong Communities Board</b>.</p> <p>In accordance with the requirements of the Health &amp; Social Care Act 2012, a <b>Health &amp; Wellbeing Board</b> has been established. Supporting this, the Council has in place a number of strategic partnership arrangements governed through <b>Section 75 Partnership Agreements</b>.</p>
<p><b>Principle 3</b>  <b>Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour.</b></p>	
<p>Supporting Principle</p>	<p>How the Council meets the requirements</p>
<p><i>3.1 Ensuring authority members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance.</i></p>	<p>In accordance with requirements of the Localism Act 2011, the Council has reviewed and adopted its <b>Members Code of Conduct</b> incorporating procedures for notification of disclosable pecuniary interests and hearing procedures. Protocols set out the arrangements for dealing with complaints about the code of conduct for members.</p> <p>All staff are required to abide by an <b>Employee Code of Conduct</b>. It is a requirement for all new employees to read and sign up to this as part of the staff induction procedure.</p> <p>Responsibility for the regulation of employee conduct is set out in the Council's <b>Disciplinary Policy</b>. A range of <b>Human Resource policies</b> in place are designed to help ensure the proper conduct of staff and to ensure the workforce is appropriately skilled to deliver the Council's aims and objectives.</p> <p>Arrangements are in place requiring members and employees of the Authority to not be influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders.</p> <p>The authority has an <b>Anti-Fraud &amp; Corruption Strategy</b> and procedures for the reporting of suspected fraudulent activities.</p>

	<p>To ensure the Authority meets best practice and legislative requirements, an <b>Information Security Governance Board</b> has been established. A <b>Senior Risk Information Officer</b> is assigned to oversee and review information governance issues and risk.</p> <p>Users of the Trafford ICT network are required to sign up to the authority's <b>Acceptable Use Policy</b> to confirm acceptance of agreed responsibilities and standards to prevent misuse of equipment or networks.</p> <p>To ensure compliance with <b>Data Protection and Freedom of Information</b> legislation, the Council has adopted a policy, procedures and a dedicated Information Governance team to provide support and guidance to employees.</p>
<p><i>3.2 Ensuring that organisational values are put into practice and are effective.</i></p>	<p>The Council has adopted a set of <b>Corporate Values</b> embedded within its policies, procedures and strategies. The Council's competency framework outlines the organisation's values and the behaviours expected of employees when fulfilling their roles.</p> <p>The <b>Supporting Change to Happen Strategy 2014-17</b> sets out the additional set of values to support the Reshaping Trafford programme underpinned by a set of competencies to enable change to be delivered, and to complement and strengthen the Council's Core values</p> <p>The organisation's shared values act as a guide for decision making and as a basis for developing positive and trusting relationships within the Authority.</p> <p>The Authority has implemented arrangements to ensure that systems and processes are designed in conformity with appropriate ethical standards, and for monitoring their continuing effectiveness in practice.</p> <p>The Council has adopted a "<b>Local Code of Corporate Governance</b>" in accordance with the CIPFA/SOLACE framework for Corporate Governance. The Council undertakes an annual review of the Code of Corporate Governance and associated arrangements.</p> <p>The <b>Standards Committee</b> has within its role, the promotion and maintenance of high standards of</p>

	<p>conduct of Members and the responsibility to oversee the effective operation of <b>the Code of Conduct for Members</b>.</p> <p>The financial management of the Council is conducted in accordance with the <b>Financial Procedure Rules</b> and <b>Contract Procedure Rules</b> incorporated within Part 4 of the Constitution.</p> <p>Systems and processes for financial administration, financial control and protection of the Authority’s resources and assets are designed in conformity with appropriate ethical standards and monitor their continuing effectiveness in practice.</p>
<p><b>Principle 4</b>  <b>Taking informed and transparent decisions which are subject to effective scrutiny and managing risk.</b></p>	
<p>Supporting Principle</p>	<p>How the Council meets the requirements</p>
<p><i>4.1 Being rigorous and transparent about how decisions are taken and acting on the outcome of constructive scrutiny.</i></p>	<p>The Council has developed detailed <b>procedures for political decision making</b>. There are clear processes for recording and monitoring executive decisions in order to ensure compliance with legislation, internal policies and procedures, and that expenditure is lawful. The Executive has to make decisions in line with the Council’s overall policies and budget. Any decisions to be made outside this framework must be referred to full Council.</p> <p>The <b>Scrutiny Committees</b> provide the scrutiny of decisions made, policy development and implementation and can “call in” decisions made by the Executive, or on their behalf with delegated authority, to challenge whether the decision has been made appropriately and ask the Executive to reconsider it if necessary.</p> <p>The Council has an <b>Internal Audit</b> function which is required to operate in conformance with the Public Sector Internal Audit Standards. The Internal Audit function is responsible for monitoring the quality and effectiveness of systems of internal control. The Internal Audit Plan is approved each year by the Corporate Management Team and Accounts &amp; Audit Committee and there is regular reporting through the year, including the Annual Internal Audit Report.</p>

	<p>The Council has an <b>Accounts and Audit Committee</b> whose terms of reference require it to monitor and evaluate the Council's corporate governance and internal control arrangements. The Committee operates in accordance with CIPFA guidance for Audit Committees.</p> <p>The Council is subject to external audit. The External Auditor's Annual Governance Report and Annual Audit Letter report on the annual audit of the Council's accounts and also provide a value for money conclusion.</p>
<p><i>4.2 Having good quality information, advice and support to ensure that services are delivered effectively and are what the community wants / needs.</i></p>	<p>Part 4 of the Constitution sets out the <b>Access to Information Procedure Rules</b> including the rights to attend meetings and access summons, agenda and reports. Where major 'key' decisions are to be discussed or made, these are set out in a notice published at least 28 days before a decision is made.</p> <p>Those making decisions, whether for the Authority or in partnership, are provided with information that is fit for purpose – clear, timely, relevant, accurate and complete and gives clear explanations of issues and implications on both a financial and non-financial basis.</p> <p>The Authority seeks timely professional advice on matters that have legal or financial implications, which is recorded in advance of decision making and used appropriately.</p>
<p><i>4.3 Ensuring that an effective risk management system is in place.</i></p>	<p>Risk management is embedded into the culture of the organisation. The Council has a <b>Risk Management Policy Statement, Strategy and protocol</b> for monitoring and reporting risk. These explain the methodology which provides a comprehensive framework for the management of risk throughout the Council.</p> <p>The <b>Council's Strategic Risk Register</b> sets out the key risks the Council is likely to face in achieving its high level corporate objectives. In accordance with the Council's Risk Management Policy Statement, Corporate Directors and the Accounts and Audit Committee review the associated arrangements in place for improving control and mitigating risks faced by the Council. Quarterly</p>

	<p>strategic risks monitoring is reported to the Transformation, Performance and Resources Group, Corporate Management Team and the Accounts &amp; Audit Committee.</p> <p>The Council has adopted a <b>Confidential Reporting Code</b> and supporting guidance, which sets out the whistle blowing protocols for reporting, responding to and monitoring of issues of concern.</p> <p>The Council's <b>Health and Safety Unit</b> provide regular updates to the Corporate Management Team and produce six monthly updates for the Executive.</p>
<p><i>4.4 Using their legal powers to the full benefit of the citizens and communities in their area.</i></p>	<p>The <b>Constitution</b> sets out how the Council will operate to deliver services and perform its functions within the wider legal framework. Part 3 sets out Responsibility for Functions at committee and executive portfolio level. It also sets out the proper officer arrangements for delivering specific legislative requirements.</p> <p>The Authority actively recognises the limits of lawful activity placed on it but also strives to utilise powers to the full benefit of communities. It recognises the limits of lawful action and observes both the specific requirements of legislation and the general responsibilities placed on authorities by public law.</p> <p>The <b>Monitoring Officer</b> will, after consulting with the Head of Paid Service and the Chief Finance Officer, report to the full Council or to the Executive, in relation to an Executive function, if she considers that any proposal, decision or omission would give rise to unlawfulness or has given rise to maladministration. Such a report will have the effect of stopping the proposal or decision being implemented until the report has been considered.</p> <p>The Council's <b>Chief Finance Officer</b>, has responsibility for the legality of the Council's financial transactions.</p> <p>Directors and Heads of Service are responsible for ensuring that they establish and maintain effective standards of governance, complying with legislation, the Council's Constitution, Standing Orders and Financial Procedure Rules.</p>

<b>Principle 5</b> <b>Developing the capacity and capability of members and officers to be effective.</b>	
<b>Supporting Principle</b>	<b>How the Council meets the requirements</b>
<i>5.1 Making sure that members and officers have the skills, knowledge, experience and resources they need to perform well in their role.</i>	<p>The Authority provides induction programmes tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis.</p> <p><b>Member Induction Training</b> is undertaken each year. Member training needs are regularly reviewed and a <b>Training &amp; Development Plan for Members</b> is in place. The Council continues to demonstrate compliance with Level 1 of the North West Employers Organisation Members Charter for Elected Member Development.</p> <p>All new employees are required to complete a <b>Corporate Induction Module</b> which includes a number of mandatory elements such as the employees' code of conduct, fraud awareness and the Acceptable Use Policy.</p> <p>The <b>Supporting Change to Happen Strategy 2014-17</b> sets out the additional set of values to support the Reshaping Trafford programme underpinned by a set of competencies to enable change to be delivered, and to complement and strengthen the Council's Core values. It is supported by a programme of learning &amp; development interventions for Members and staff so that they can adapt successfully to new ways of working and changed delivery models.</p> <p>Trafford Council is the lead authority on the AGMA training procurement framework and a partner in the AGMA e-learning framework. The Council has developed Directorate and cross-council <b>Training &amp; Development Plans</b>, which are refreshed and updated annually, supported by a suite of e-learning solutions available to meet the organisational skills development needs.</p> <p>The Authority puts arrangements in place to ensure that statutory officers have the skills, resources and support necessary to perform effectively in their roles and that these roles are properly understood</p>

	<p>throughout the organisation.</p> <p>The ongoing <b>Transformation Programme</b> is also taking into account consideration of training and development needs across the Council and individual service areas for change management and adopts a skills transfer approach to support colleagues to develop project management and business analysis skills.</p>
<p><i>5.2 Developing the capability of people with governance responsibilities and evaluating their performance as individuals and as a group.</i></p>	<p>The Authority assesses the skills required by members and officers and makes the commitment to develop these skills to enable roles to be carried out effectively. Skills are developed on a continuing basis to improve performance, including the ability to scrutinise and challenge and to recognise when outside expert advice is needed.</p> <p>There is a behavioural based competency framework and staff appraisal process in place which supports the cascade of corporate objectives and values through to individual employee targets. All staff are required to complete a <b>Personal Development Review</b> annually.</p> <p>Members are requested to complete a <b>Personal Development Review</b> which is used to inform the development of their training plan.</p> <p>The Council has taken a strategic approach to <b>Absence Management</b>. Ongoing performance is monitored as part of the Authority's Annual Delivery Plan.</p>
<p><i>5.3 Encouraging new talent for membership of the authority so that best use can be made of the individual's skills and resources in balancing continuity and renewal.</i></p>	<p>The Council operates an <b>Internal Apprenticeship Scheme</b> providing training and mentoring opportunities for Trafford residents.</p> <p>There are effective arrangements 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 through the Locality Partnership networks and involvement in co-produced locality projects which provide innovative solutions to local issues.</p>

<b>Principle 6</b> <b>Engaging with local people and other stakeholders to ensure robust public accountability.</b>	
Supporting Principle	How the Council meets the requirements
<i>6.1 Exercising leadership through a robust scrutiny function which effectively engages local people and local institutional stakeholders, including partnerships and developing constructive accountability relationships.</i>	<p>The <b>Constitution</b> sets out how the Council operates, how decisions are made and the procedures which are followed to ensure that these are efficient, transparent and accountable to local people. The public have a number of rights in their dealings with the Council. These are set out in more detail in Article 3.</p> <p>The Council has implemented detailed guidance and procedures for staff to ensure that an <b>Equality Impact Assessment</b> is undertaken in relation to all proposed changes in policy, strategy, functions and internal structures.</p> <p><b>Scrutiny Function</b> – See supporting principle 4.1</p>
<i>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.</i>	<p>The Authority as a whole is open and accessible to the community, service users and its staff and has made a commitment to openness and transparency in all its dealings, subject only to those specific circumstances where it is proper and appropriate to do so.</p> <p>Council decisions are based on public <b>consultation</b> including annual review of the budget proposals. Meetings where key decisions are made and scrutinised are open to the public, except where exempt information is disclosed.</p> <p>There are clear channels of communication in place with all sections of the community and other stakeholders e.g. through the <b>Council website, social media channels</b> and press releases. The Council has a corporate <b>Marketing &amp; Communications function</b> in place to oversee internal and external communication and ensure these arrangements are operating effectively.</p> <p>The Council is the lead organisation of the <b>Trafford Partnership</b>, which provides a key role engaging with residents and the community to ensure that priorities and actions at strategic level reflect the</p>

needs of local people.

The Council has led a new Locality Working model on behalf of the Trafford Partnership which brings together everyone who lives and works in an area, as equal partners, to develop and deliver innovative ideas. Our four **Locality Partnerships** provide innovative spaces and events which encourage effective engagement of local communities in decision making, empower residents to take action and help co-produce and deliver locality projects, increasing community ownership of issues and developing innovative solutions.

The **Strategy for Building Strong Communities** provides a strategic 'home' for the Locality Working programme, clearly demonstrating how Locality Working is intrinsically linked with other key strategic agendas, providing a practical way of delivering Early Help and Prevention, Public Service Reform, Shaping Demand, Community Action and Third Sector Infrastructure Support.

The Council has policies and procedures in place to support compliance with the Freedom of Information Act 2000 requirements and has a **Publication Scheme** in place. In accordance with the government's **Open Data** requirements, details of all invoice payments to suppliers, senior officer salaries and details of members' expense claims are published online.

Since its launch in October 2014 the **Trafford Partnership Data Innovation and Intelligence Lab** has developed as a multi-agency, multi-discipline, co-located service which currently has seconded staff time from Trafford Council, Trafford Housing Trust and Public Health. The lab is well established and has access to data from the Police, Leisure Trust, Greater Manchester Fire and Rescue Service, the CCG and Trafford College as well as Trafford Council services. The overarching objectives of the Lab are to support the (re)design of services, reduction and reshaping of demand on services, informing people and organisations in Trafford and attracting investment into the Borough.

The **InfoTrafford** website provides free public access to view statistical data about the borough with the aim to provide a tool for community empowerment, decision making, and service redesign and policy development.

<p><i>6.3 Making best use of human resources by taking an active and planned approach to meet responsibilities to staff.</i></p>	<p>The Council has in place <b>Joint Consultative Committee</b> arrangements to establish a regular method of consultation between the Council and the Trade Unions enabling input into human resource issues including proposed organisational and policy changes.</p> <p>The Council operates an <b>Employment Committee</b> responsible for determining collective and corporate terms and conditions of employment and approving any changes in human resources policies.</p> <p>As part of the Reshaping Programme, the <b>Supporting Change to Happen Strategy 2014-17</b> sets out how the Council will support employees to understand, adapt and successfully move to the new operating arrangements. The Authority has produced a toolkit for employees and managers in <b>Managing Organisational Change</b>, which provides guidance for restructuring and review in accordance with statutory requirements and current best practice.</p> <p>There are a range of consultation mechanism in place for Council employees including an online forum, network events, focus group and surveys.</p>
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