

MIDLOTHIAN COUNCIL – SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE 2013/14

The Council's Local Code of Corporate Governance 2013/14 reflects the requirements of the CIPFA/SOLACE Delivery Good Governance in Local Government Framework published in 2007, the supporting Guidance Note for Scottish Authorities published in May 2008 and the addendum to the Framework published in December 2012. For each of the six core principles* of good governance outlined in the Good Governance Standard for Public Services (2004), the CIPFA/SOLACE Delivering Good Governance in Local Government Framework provides supporting principles and a range of specific requirements that should be reflected in local authorities' Local Codes of Corporate Governance. The supporting Guidance Note for Scottish Authorities provides more detail on examples of evidence such as systems, processes and documentation that may be used to demonstrate local compliance with these principles.

The CIPFA/SOLACE template detailed within the Guidance for Scottish Authorities has been followed in developing Midlothian Council's Local Code of Corporate Governance. As part of the self assessment process the Council's arrangements have been evaluated using the scoring system summarised in the table below:

EVALUATION	DEFINITION
1	Not compliant with the local code requirements
2	Partially compliant with the local code requirements
3	Fully compliant with the requirements of the local code
4	Exceed the requirements of the local code

The information gathered for the 2013/14 self assessment of the Council's governance arrangements and detailed in the attached schedule of principles has been used to inform the areas to be included in the Council's improvement plan for the year.

*Core Principles

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

Principle 1 FOCUSING ON THE PURPOSE OF THE AUTHORITY AND ON OUTCOMES FOR THE COMMUNITY AND CREATING AND IMPLEMENTING A VISION FOR THE LOCAL AREA						
Supporting Principle		The local code should reflect the requirements for local authorities to:		Evidence to Demonstrate Compliance	Evaluation Level (1-4)	Requires Improvement (Y/N)
1	Exercising strategic leadership by developing and clearly communicating the authority's purpose and vision and its intended outcomes for citizens and service users	1.1	Develop and promote the authority's purpose and vision	<ul style="list-style-type: none">Single Midlothian Plan (which includes The Single Outcome Agreement for Midlothian Community Planning Partnership),Communication and Marketing StrategyCouncil Transformation StrategyCommunity Planning Board and CP structureBusiness Transformation BoardBusiness Transformation Steering GroupService PlansStrategic Leadership GroupCorporate Management TeamCorporate InductionMidlothian Economic Recovery PlanMidlothian Tourism Action PlanMidlothian Local Development Plan	3	N
		1.2	Review on a regular basis the authority's vision for the local area and its implications for the authority's governance arrangements	<ul style="list-style-type: none">Midlothian Councils reviewed and updated Visions13/14Review of Local Code of Corporate GovernanceSingle Midlothian Plan (Refreshed annually which includes The Single Outcome Agreement for Midlothian Community Planning Partnership)Draft Consultation and Engagement StrategyAdoption of SPSO Model Complaints Handling Procedure	3	Y
		1.3	Ensure that partnerships are underpinned by the common vision of their work that is understood and agreed by all partners	<ul style="list-style-type: none">Single Midlothian Plan, Community Planning Partnership meetings and role and scope of each partnership definedAssurance and Improvement Plan (AIP)	2	Y
		1.4	Publish an annual report on a timely basis to communicate the authority's activities and achievements, its financial position and performance	<ul style="list-style-type: none">Council and Service Annual Performance Report,Annual Financial StatementsPerformance and Financial summary published annually in Midlothian News	3	Y
2	Ensuring that users receive a high quality of service whether directly, or in partnership or by commissioning	2.1	Decide how the quality of service for users is to be measured and make sure that the information needed to review service quality effectively and regularly is available	<ul style="list-style-type: none">Customer Care StandardsService PlansPerformance IndicatorsRange of service specific benchmarking, e.g. APSE, SHBVNAdoption of SPSO Model Complaints Handling Procedure – includes specific measure on service improvementCorporate Guidance on Service Planning and Performance	2	Y
		2.2	Put in place effective arrangements to identify and deal with failure in service delivery	<ul style="list-style-type: none">Analysis of service complaintsBusiness Continuity PlansAudit CommitteePerformance Review and Scrutiny CommitteeRisk reporting, via Corporate Performance reporting system	2	Y

				<ul style="list-style-type: none"> • External Audit Reports • Training and Empowering staff to deal with complaints. • Internal audit reports and follow ups • External assurance report action plans developed and monitored through Covalent • Voluntary sector compact arrangements in place , making clear mutual responsibilities between council and third sector partners – following the public pound guidance being complied with and regularly audited 		
3	<i>Ensuring that the authority makes best use of resources and that tax payers and service users receive excellent value for money</i>	3.1	Decide how value for money (VFM) is to be measured and make sure that the authority or partnership has the information needed to review value for money and performance effectively. Measure the environmental impact to policies, plans and decisions.	<ul style="list-style-type: none"> • Financial Directives/Financial Discipline • Assurance and Improvement Plan • Council Transformation Programme – service reviews, efficiency savings etc • Corporate Procurement Strategy • Strategic Environmental Assessment • Benchmarking with other Local Authorities • Single Midlothian Plan • Covalent – Council wide Performance Management System 	2	Y

Principle 2

MEMBERS AND OFFICERS WORKING TOGETHER TO ACHIEVE A COMMON PURPOSE WITH CLEARLY DEFINED FUNCTIONS AND ROLES

Supporting Principle		The local code should reflect the requirements for local authorities to:		Evidence to Demonstrate Compliance	Evaluation Level (1-4)	Requires Improvement (Y/N)
1	Ensuring effective leadership throughout the authority and being clear about executive and non-executive functions and of the roles and responsibilities of the scrutiny function	1.1	Set out a clear statement of the respective roles and responsibilities of members generally and of senior officers	<ul style="list-style-type: none"> Cabinet Portfolios Scrutiny function though 'call in' procedure Job descriptions in place for senior officers and statutory officers, including Chief Executive Code of Corporate Governance and Improvement Plan Mi Future Project, including competency framework Councillors Code of Conduct Monitoring Officer Protocol Standing Orders, Scheme of Administration and Schemes of a) Scheme of Delegation to Officials and b) Proper Officer Appointments Elected member development programme 	3	Y
2	Ensuring that a constructive working relationship exists between authority members and officers and that the responsibilities of members and officers are carried out to a high standard	2.1	Determine a scheme of delegation and reserve powers within the constitution, including a formal schedule on those matters specifically reserved for collective decision of the authority, taking account of relevant legislation , and ensure that it is monitored and updated when required	<ul style="list-style-type: none"> Scheme of Delegation to Officials, Standing Orders, Financial Regulations – all reviewed and updated as required Regular meetings between Chief Executive and Leader of Administration Corporate Management Team meetings Strategic Leadership Group Leadership Forum 	3	Y
		2.2	Make the chief executive responsible and accountable to the authority for all aspect of operational management	<ul style="list-style-type: none"> Chief Executive Job Description/appraisal system Chief Executive Performance Review to Elected Members Covalent - Performance Management Systems Administration Away Day Memorandum of understanding between Chief Officers and Administration 	3	N
		2.3	Develop protocols to ensure that the leader and chief executive negotiate their respective roles early in the relationship and that a shared understanding of roles and objective is maintained	<ul style="list-style-type: none"> Scheme of Delegation to Officials Chief Executive Job Description Regular Meetings Between Chief Executive and Leader Administration 	3	N
		2.4	Make a senior officer (the section 95 officer) responsible for ensuring appropriate advice is given on all financial matters, for keeping proper financial records and accounts, and or maintaining effective systems of internal financial control	<ul style="list-style-type: none"> Head of Finance and HR appointed S.95 Officer and job description reflects this role Head of Finance and HR also member of Corporate Management Team Accounts in compliance with statutory and professional reporting standards Annual Assurance Statement 	3	N
		2.5	Make a senior officer (usually the monitoring officer) responsible to the	<ul style="list-style-type: none"> Head of Customer Services appointed Monitoring Officer and job description reflects this role Schemes of delegation, standing orders and financial regulations 	3	N

			authority for ensuring that agreed procedures are followed and that all applicable statutes and regulation are complied with	<ul style="list-style-type: none"> Monitoring officer protocol in place Internal and/or External Audits would reflect breaches in Standing Orders and/or Financial Regulations 		
3	<i>Ensuring relationships between the authority, its partners and the public are clear so that each know what to expect of the other</i>	3.1	Develop protocols to ensure effective communication between members and officers in their respective roles	<ul style="list-style-type: none"> Protocols developed, implemented and reviewed as required, includes Code of Conduct for Officers Code of Conduct for Councillors and training on this. Internal procedure in place for dealing with Complaints against Councillors 	3	N
		3.2	Ensure that an established scheme for remuneration of members and officer and effective structure for managing the process including a effective remuneration panel (if applicable are in place)	<ul style="list-style-type: none"> Pay and grading structure in place Job evaluation team in place Processes in place for approving, grading and addressing appeals Elected member salaries approved by Council in accordance with Scottish Local Government Remuneration recommendations 	3	N
		3.3	Ensure that effective mechanisms exist to monitor service delivery	<ul style="list-style-type: none"> Quarterly performance reports to Performance and Scrutiny Committee Participation in service benchmarking Covalent – Corporate Performance Management System Service Level Agreements in place with East Lothian Council for out of hours service and Community Alarm Internal Audit Programme Service Review Programme 	2	Y
		3.4	Ensure that the authority's vision, corporate plans, priorities and targets are developed, through robust mechanisms, and in consultation with the local community and other key stakeholders, and that they are clearly articulated and disseminated	<ul style="list-style-type: none"> Single Midlothian Plan (which includes The Single Outcome Agreement for Midlothian Community Planning Partnership), Draft Consultation and Engagement Strategy Citizen Panel Consultations Assurance and Improvement Plan Corporate Guidance on Service Planning and Performance Internal Audit Manager's statement on Internal Control Neighbourhood planning arrangements 	2	Y
		3.5	When working in partnership ensure that members are clear about their roles and responsibilities both individually and collectively in relation to the partnership and the authority	<ul style="list-style-type: none"> Councillors Code of Conduct Service Level Agreements incorporate Management Arrangements Elected member development programme 	3	N
		3.6	When working in partnership, ensure that there is clarity about the legal status of the partnership; and ensure that representatives of organisation both understand and make clear to all other partners the extent of their authority to bind their organisation to partner decisions	<ul style="list-style-type: none"> Partnership Principles and Objectives Set out definition of roles in partnership agreements, e.g. memorandum of understanding, partnership arrangements 	3	N

Principle 3 PROMOTING VALUES FOR THE AUTHORITY AND DEMONSTRATING THE VALUES OF GOOD GOVERNANCE THROUGH UPHOLDING HIGH STANDARDS OF CONDUCT AND BEHAVIOUR						
Supporting Principle		The local code should reflect the requirements for local authorities to:		Evidence to Demonstrate Compliance	Evaluation Level (1-4)	Requires Improvement (Y/N)
1	Ensuring authority members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance	1.1	Ensure that the authority's leadership sets a tone for the organisation by creating a climate of openness, support and respect	<ul style="list-style-type: none">• Officer/Members Codes of Conduct• Standing Orders• Minutes and papers for Council Meetings/CMT/Scrutiny published on intra/internet as appropriate• Freedom of Information Procedures• Agreed Meeting Calendar prepared and issued by Secretariat• Records Management and Retentions Schedules• Leadership Pathway training• Leadership forum• Competency Framework• Elected Member training programme• Memorandum of understanding between Chief Officers and Administration• LearnPro – E-learning	3	N
		1.2	Ensure that standards of conduct are personal behaviour expected of members and staff, of work between members and staff and between the authority, its partners and the community are defined and communicated through codes of conduct and protocols	<ul style="list-style-type: none">• HR policies and procedures published on intranet, including Harassment Procedures, Absence Procedures• Complaints Procedure• Anti-fraud and Corruption policies• Officer/Members Codes of Conduct• Officer/Member induction procedures• Staff competency appraisals	3	N
		1.3	Put in place arrangements to ensure that members and employees of the authority are not influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders and put in place appropriate processes to ensure that they continue to operate in practice	<ul style="list-style-type: none">• Standing Orders• Officer/Members Codes of Conduct• Financial Regulations• Register of interests, including gifts and hospitality for Elected Members• Register of gifts and hospitality for employees• Whistle blowing Policy and Procedure• Equality Impact Assessments• Equality Outcome & Mainstreaming Report 2013 – 2017• Procurement Strategy and Procedures	3	N
2	Ensuring that organisational values are put into practices and are effective	2.1	Develop and maintain shared values including leadership values for both the organisation and staff reflecting public expectations, and communicating there with members, staff, the community and partners	<ul style="list-style-type: none">• Officer/Members Codes of Conduct• Midlothian Councils reviewed and updated Visions13/14• Leadership Pathway – Initiate, Involve and Inspire• Competency Framework• Midlothian Single Plan (which includes The Single Outcome Agreement for Midlothian Community Planning Partnership)• Council Transformation Programme• Strategic Leadership Group	3	N
		2.2	Put in place arrangements to ensure that systems and processes are designed in conformity with	<ul style="list-style-type: none">• Equality Outcome & Mainstreaming Report 2013 – 2017• Regular review of Council policies and procedures in line with National Policies and Codes of Conduct• Standards Committee	3	N

			appropriate ethical standard, and monitor their continuing effectiveness in practice	<ul style="list-style-type: none"> • Procurement Strategy and Procedures • Internal Audit reviews 		
		2.3	Develop and maintain an effective standards committee (or ensure the function is undertaken by an appropriate equivalent)	<ul style="list-style-type: none"> • Standards Committee, with remit outlined in Midlothian Councils Scheme of Administration • Standards Committee has an Independent Chair 	3	N
		2.4	Use the organisation's shared values to act as a guide for decision making and as a basis for developing positive and trusting relationship within the authority	<ul style="list-style-type: none"> • Leadership Pathway – Initiate, Involve and Inspire • Leadership Forum • Corporate Parenting • Single Midlothian Plan (which includes The Single Outcome Agreement for Midlothian Community Planning Partnership) • Joint Consultation arrangements, including with Trade Unions 	2	Y
		2.5	In pursuing the vision of a partnership, agree a set of values against which decision making and actions can be judged. Such values must be demonstrated by partners' behaviour both individually and collectively	<ul style="list-style-type: none"> • Single Midlothian Plan (which includes The Single Outcome Agreement for Midlothian Community Planning Partnership) • Partnership principles • Future Models of Service Delivery principles (Council Transformation Strategy) • Community Planning Board • Community Planning Partnership/Thematic leads • Community Planning Away day 	3	N

Principle 4 TAKING INFORMED AND TRANSPARENT DECISIONS WHICH ARE SUBJECT TO EFFECTIVE SCRUTINY AND MANAGING RISK						
Supporting Principle		The local code should reflect the requirements for local authorities to:		Evidence to Demonstrate Compliance		Evaluation Level (1-4) Requires Improvement (Y/N)
1	<i>Being rigorous and transparent about how decision are taken and listening and acting on the outcome of constructive scrutiny</i>	1.1	Develop and maintain an effective scrutiny function which encourages constructive challenge and enhances the authority's performance overall and that of any organisation for which it is responsible	<ul style="list-style-type: none"> Performance Review and Scrutiny Committee, Audit Committee – agendas and minutes for both are available on line 'Call-in' Procedure Notices of Motion and Question to Leader of Council at Council meetings Council Transformation Programme and associated Project Board Internal and External audit recommendations are managed and monitored via quarterly performance reporting 		3 N
		1.2	Develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and consideration on which decisions are based	<ul style="list-style-type: none"> Minutes of meetings Council papers published on line where appropriate Standard report template and guidance on use, including risk assessment 		3 N
		1.3	Put in place arrangements to safeguard member and employees against conflicts of interest and put in place appropriate processes to ensure that they continue to operate in practice	<ul style="list-style-type: none"> Officer/Member Codes of Conduct Register of interests, including gifts and hospitality for Elected Members Register of gifts and hospitality for employees Procurement Strategy, which include Tender Procedures Declaration of interests formally recorded 		3 N
		1.4	Develop and maintain an effective audit committee [or equivalent] which is independent of the executive and scrutiny function or make other appropriate arrangements for the discharge of the function of such a committee	<ul style="list-style-type: none"> Audit Committee (with Independent Chair and Independent Non-Voting person) Standing Orders, Scheme of Administration and Schemes of a) Scheme of Delegation to Officials and b) Proper Officer Appointments 		2 Y
		1.5	Ensure the effective, transparent and accessible arrangements are in place for dealing with complaints	<ul style="list-style-type: none"> Adoption of SPSO Model Complaints Handling Procedure for all areas excluding Social Work, who have retained their own Complaints procedure and timescales Revised Procedure for dealing with Complaints involving Councillors 		3 Y
2	<i>Having good-quality information, advice and support to ensure that services are delivered effectively and are what the community wants/needs</i>	2.1	Ensure that those making decisions, whether for the authority or the partnership, are provided with information that is fit for purpose – relevant, timely and give clear explanation of technical issues and their implications	<ul style="list-style-type: none"> Director/Elected member liaison Standard report template Committee Report Calendar maintained and issued by Secretariat Regular meetings between Chief Executive and Leader of the Administration Elected Member Portfolio Holders Pre Agenda Meetings Community Plan Consultations Future Model Council 		3 N
		2.2	Ensure that professional advice on matters that have legal or financial implication is available and recorded well in advice of decision making	<ul style="list-style-type: none"> Standard report template includes sections on, Risk, Impact on Performance and Outcomes, Involving Communities and Other Stakeholders and Ensuring 4Equalities and Supporting Sustainable Development Record of decision making and supporting materials 		3 N

			and used appropriately			
3	<i>Ensuring that an effective risk management system is in place</i>	3.1	Ensure that risk management is embedded into the culture of the authority, with members and managers at all levels recognising that risk management is part of their jobs	<ul style="list-style-type: none"> • Corporate and Service Risk Registers managed through Corporate Performance Reporting System • Risk training and guidance to staff • Audit Committee • Standing Order and Financial Regulations • Business Continuity Plans • Risk Management Group • Risk Management Policy • Internal Audit and Risk Management functions separate • Project risk registers • Risk actions plans monitored and reported quarterly 	3	N
		3.2	Ensure that arrangements are in place for whistle-blowing to which staff and all those contracting with the authority have access	<ul style="list-style-type: none"> • Whistle Blowing Policy and procedures in place • Employee code of conduct 	3	N
4	<i>Using their legal powers to the full benefit of the citizens and communities in their area</i>	4.1	Actively recognise the limits of lawful activity placed on them by , for example, the ultra vires doctrine but also strive to utilised powers to the full benefit of their communities	<ul style="list-style-type: none"> • Standing Orders • Customer Services Head of Service assumes the role of Monitoring Officer • Monitoring Officer protocol in place • Section 95 Officer • Internal Audit 	3	N
		4.2	Recognise the limits of lawful action and observe both the specific requirements of legislation and the general responsibilities placed on local authorities by public law	<ul style="list-style-type: none"> • Monitoring Officer and Monitoring Officer protocol in place • Elected Member Induction Training and ongoing training programme • Standard format to Council reports includes section on Involving Communities and Other Stakeholders • Section 95 Officer • Scheme of administration and Scheme of Delegation 	3	N
		4.3	Observe all specific legislative requirements place upon them, as well as the requirements of general law, and in particular to integrate the key principles of good administrative law – rationality, legality and natural justice into their procedures and decision-making processes	<ul style="list-style-type: none"> • Monitoring Officer and Monitoring Officer protocol in place • Standing Orders 	3	N

Principle 5 DEVELOPING THE CAPACITY AND CAPABILITIES OF MEMBERS AND OFFICERS TO BE EFFECTIVE						
Supporting Principle		The local code should reflect the requirements for local authorities to:		Evidence to Demonstrate Compliance	Evaluation Level (1-4)	Requires Improvement (Y/N)
1	Making sure that members and officer have the skills, knowledge, experience and resources they need to perform their roles well	1.1	Provide induction programmes tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis	<ul style="list-style-type: none">Employee Competency Framework, which include Development PlansEmployee/Member induction coursesContinuing Professional Development in appropriate servicesLearnPro E-LearningMember induction and development programmeOngoing CPD framework for members	3	N
		1.2	Ensure that the statutory officers have the skill, resources and support necessary to perform effectively in their roles and that these roles are properly understood throughout the authority	<ul style="list-style-type: none">Job descriptions, include specification for statutory officers rolesLeadership Pathway – InspireDevelopment Plans	3	N
2	Developing the capability of people with governance responsibilities and evaluation their performance, as individuals and as a group	2.1	Assess the skills required by members and officers and make a commitment to develop those skills to enable roles to be carried out effectively	<ul style="list-style-type: none">Elected member induction and ongoing training programmePolicy lead training for officersLearnPro E-Learning	3	N
		2.2	Develop skills on a continuing basis to improve performance, including the ability to scrutinise and challenge and to recognise when outside expert advice is needed	<ul style="list-style-type: none">Elected member induction and ongoing training programmeElected member on line resources with links to improvement services	3	Y
		2.3	Ensure that effective arrangements are in place for reviewing the performance of the executive as a whole and of individual member and agreeing an action plan which might, for example, aim to address any training or development needs	<ul style="list-style-type: none">Single Midlothian Plan (which includes The Single Outcome Agreement for Midlothian Community Planning Partnership)Performance Review and Scrutiny CommitteeBest Value AuditAssurance and Improvement PlanAudit Committee	3	N
3	Encouraging new talent for membership of the authority so that best use can be made of individuals skills and resources in balancing continuity and renewal	3.1	Ensure that effective arrangements are in place designed to encourage individuals from all sections of the community to engage with, contribute to and participate in the work of the authority	<ul style="list-style-type: none">Draft Consultation and Engagement StrategyCommunity EngagementWebsite - consultations	2	Y
		3.2	Ensure that career structures are in place for members and officers to encourage participation and development	<ul style="list-style-type: none">Mi Future – employeesCPD for appropriate employeesLeadership Pathway – Initiate, Involve, InspireLeader and Depute Leader positionsProvost and Depute Provost positionsSenior Councillors and Standard Councillor positions	3	N

			<ul style="list-style-type: none">• People Strategy 2011-14• Competency Framework		
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Principle 6 ENGAGING WITH LOCAL PEOPLE AND OTHER STAKEHOLDERS TO ENSURE ROBUST PUBLIC ACCOUNTABILITY						
Supporting Principle		The local code should reflect the requirements for local authorities to:		Evidence to Demonstrate Compliance	Evaluation Level (1-4)	Requires Improvement (Y/N)
1	<i>Exercising leadership through a robust scrutiny function which effectively engages local people and all local institutional stakeholders, including partnerships and develops constructive accountably relationships</i>	1.1	Make clear to themselves, all staff and the community to whom they are accountable and for what	<ul style="list-style-type: none"> • Single Midlothian Plan (which includes The Single Outcome Agreement for Midlothian Community Planning Partnership) • Consultation exercises • Standing Orders • Equality Groups • Performance Review and Scrutiny Committee • Audit and External Inspections 	3	N
		1.2	Consider those institutional stakeholders to whom the authority is accountable and assess the effectiveness of the relationships and any changes required	<ul style="list-style-type: none"> • Community Planning Partners • Local Area Network (LAN) • Joint Working 	3	N
		1.3	Produce an annual report on the activity of the scrutiny function	<ul style="list-style-type: none"> • Single Midlothian Plan (which includes The Single Outcome Agreement for Midlothian Community) • Public Performance Report • Financial Statements • Annual Audited Accounts • Annual Governance Statement • Statement of Internal Control 	3	N
2	<i>Taking an active and planned approach to dialogue with and accountability to the public to ensure effective and appropriate service deliver whether directly by the authority, in partnership or by commissioning</i>	2.1	Ensure clear channels of communication are in place with all sections of the community and other stakeholders, and put in place monitoring arrangements to ensure that they operate effectively	<ul style="list-style-type: none"> • Communication and Marketing Strategy • Draft Consultation and Engagement Strategy • Equalities Working Group • Customer Access Strategy (Channel Shift) • Future Model Service Delivery as part of the Single Midlothian Plan (which includes The Single Outcome Agreement for Midlothian Community) • Stakeholder and service users groups in CPP • Neighbourhood planning system 	3	Y
		2.2	Hold meetings in public unless there are good reasons for confidentiality	<ul style="list-style-type: none"> • Records of Council Meetings • Draft Protocol for recording and relaying Council meetings • Compliance with access to Information Act • Consultation and Engagement meetings with Communities • Members surgeries 	3	Y
		2.3	Ensure that arrangements are in place to enable the authority to engage with all section of the community effectively. These arrangements should recognise that different section of the community have different priorities and establish explicitly processes for dealing with these competing demands	<ul style="list-style-type: none"> • Draft Consultation and Engagement Strategy • Community Consultation • Tenants Forum • Employee Survey • Employee Engagement Sessions • Equalities Working Group • Neighbourhood planning system 	2	Y

		2.4	Establish a clear policy on the types of issues they will meaningfully consult on or engage with the public and service users about including a feedback mechanism for those consultees to demonstrate what has changed as a result	<ul style="list-style-type: none"> • Communication and Marketing Strategy • Website consultations • Draft Consultation and Engagement Strategy • Citizens Panel • Neighbourhood planning system 	2	Y
		2.5	On an annual basis, publish a performance plan giving information on the authority's vision, strategy, plans and financial statements as well as information about its outcomes, achievements and satisfaction on service users in previous period	<ul style="list-style-type: none"> • Public Performance Report • Annual Performance Report • External Inspection Reports • Annual Budget Setting and Budget Monitoring reports • Financial Statements • Council Tax Leaflet • Statutory Performance Indicators • Annual Statutory Reports 	2	Y
		2.6	Ensure that the authority as a whole is open and accessible to the community, service users and its staff and ensure that it has made a commitment to openness and transparency in all its dealings, in including partnerships, subject only to the need to preserve confidentiality in those specific circumstances where it is proper and appropriate to do so	<ul style="list-style-type: none"> • Standing Orders • Compliance with Freedom of Information Act Scotland/Adoption of Model Publication Scheme/Guide to Information • Retention Schedules • Compliance with Data Protection Act • Housing Newsletters • Council Tax Leaflets • Statutory Indicators • In Brief • Midlothian News • 4* SOCITM rating for website • Community Planning Partnership pages on council website 	3	N
3	<i>Making best use of human resources by taking an active and planned approach to meet responsibilities to staff</i>	3.1	Develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision making	<ul style="list-style-type: none"> • Joint Consultative Group with Trades Unions • Employee Surveys • Divisional and Corporate Management Team Meetings • People Strategy, which includes People Values 	3	Y