

**TYNE & WEAR**  
**museums**

**TYNE AND WEAR MUSEUMS**

**LOCAL CODE  
OF  
CORPORATE GOVERNANCE 2008/09**

**TYNE AND WEAR MUSEUMS**

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## **TYNE AND WEAR MUSEUMS**

The Local Code of Governance was originally developed from a framework document produced by CIPFA (in partnership with the Joseph Rowntree Foundation) and SOLACE, but the content is very much TWM's own.

The purpose of this Code is to make explicit TWM's commitment to working to good governance principles and to outline the key ways in which it implements these principles through its management systems, procedures and key relationships. It also enables TWM to monitor itself and highlight weaknesses and therefore improvements that may be required.

The six sections of the Code define how TWM complies with the six principles of good governance laid down by the independent commission on good governance in public services.

These are:

- vision, forward planning and performance,
- roles and responsibilities of members and officers,
- standards of conduct,
- scrutiny and risk management,
- developing capacity,
- engaging with local people and stakeholders.

TWM already operates through a governance framework which brings together an underlying set of legislative of requirements, governance principles and management processes. The Local Code of Governance is designed to bring all these practices together into one document and makes them open and explicit. It identifies areas where further action is required to meet changing circumstances and/or to ensure that we are following best practice in all aspects of governance.

TWM could not have achieved its success in providing high quality services without a foundation of sound governance and the commitment of members and officers to maintaining those standards. We hope that, by making explicit the underlying principles and processes, the Code will assist members and officers to sustain high standards in the future.

In the following tables, reference is made to the North East Regional Museums Hub (NERMH) which TWM runs on behalf of a partnership which includes the Museums, Libraries and Archives Council (MLA), its regional agency (MLA North East), Beamish Museum, The Bowes Museum and Hartlepool Museums Service.

## Summary of Key Governance improvements (2008/09) and planned Improvement Actions (2009/10)

Core Principle	Key improvements made during 2008/09	Planned Improvement Actions for 2009/10
<p><u>Core Principle 1:</u> Focusing on the purpose of TWM and on outcomes for the local community and creating and implementing a vision for the local area</p>	<ul style="list-style-type: none"> <li>• The Investors in People review in 2008 confirmed that the overarching values of the museum were fully understood and shared by all employees and volunteers. The values of TWM were embedded and at the heart of the actions and efforts of the workforce. There was a firm belief in the social responsibility of TWM and the link to core values</li> <li>• TWM Customer Care Charter launched</li> <li>• Mystery visitor scheme developed</li> <li>• Value for Money Framework in development</li> <li>• North East Regional Museums Hub assumed responsibility for regional development work including accreditation advice and support for the sector following the closure of MLA North East.</li> </ul>	<ul style="list-style-type: none"> <li>• Instigate annual feedback to staff in relation to AGS outcomes</li> <li>• Implement recommendations from 2008 liP assessment</li> <li>• Build on the Customer Care Charter and mystery shopper processes</li> <li>• Implement and refine VFM Framework</li> </ul>

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Core Principle	Key improvements made during 2008/09	Planned Improvement Actions for 2009/10
	<ul style="list-style-type: none"> <li>• Improved Annual Report format. i</li> <li>• TWM registered with the Institute of Field Archaeologists</li> <li>• Agreement signed with Nelson Mandela Bay Municipality, Port Elizabeth</li> </ul>	
<p><u>Core Principle 2:</u> Members and officers working together to achieve a common purpose with clearly defined functions and roles</p>	<ul style="list-style-type: none"> <li>• Partnership Register created; significant partnerships identified and reviewed against expected standards</li> <li>• Audit Committee members participated in the assurance review process and production of the Annual Governance Statement</li> <li>• Training of Audit Committee members</li> </ul>	<ul style="list-style-type: none"> <li>• Implement governance improvements within significant partnerships</li> <li>• Following the merger of TWM and TWAS, work with members of the new Joint Committee to develop a clear statement of roles and responsibilities</li> <li>• Induction of Development Trust members</li> </ul>
<p><u>Core Principle 3:</u> Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour</p>	<ul style="list-style-type: none"> <li>• Counter Fraud Policy approved and communicated to senior managers</li> <li>• Officer Code of Conduct developed</li> <li>• SLA's with lead authority reviewed and updated to better reflect services provided.</li> <li>• New procurement procedures introduced with dedicated training.</li> </ul>	<ul style="list-style-type: none"> <li>• Ensure Counter Fraud Policy cascaded to all TWM employees and volunteers</li> <li>• Complete development of TWM Officer Code of Conduct and cascaded throughout the organisation</li> <li>• Work with district stakeholders to review SLA arrangements.</li> </ul>

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Core Principle	Key improvements made during 2008/09	Planned Improvement Actions for 2009/10
<p><u>Core Principle 4:</u> Taking informed and transparent decisions which are subject to effective scrutiny and managing risk</p>	<ul style="list-style-type: none"> <li>• Audit Committee Terms of Reference reviewed.</li> <li>• Further training provided to Audit Committee members</li> <li>• Created and distributed Risk Management leaflet for staff</li> <li>• Implementation of Risk Management software</li> </ul>	<ul style="list-style-type: none"> <li>• Document Management: Information Audit will follow merger of TWM &amp; TW Archives, with associated Records Management guidance produced.</li> <li>• Provided training on new risk management software</li> <li>• Regular assessment of members training needs</li> </ul>
<p><u>Core Principle 5:</u> Developing the capacity and capability of members and officers to be effective</p>	<ul style="list-style-type: none"> <li>• TWM Staff Handbook drafted and consulted upon</li> <li>• Induction training and briefing packs developed for Tyne and Wear Museums Development Trust trustees</li> </ul>	<ul style="list-style-type: none"> <li>• Launch of Staff Handbook</li> <li>• 'Volunteer editors' used to establish a more informal newsletter.</li> <li>• Develop TWM Intranet</li> <li>• Induction of Development Trust members</li> </ul>
<p><u>Core Principle 6:</u> Engaging with local people and stakeholders</p>	<ul style="list-style-type: none"> <li>• Community Consultation Audit undertaken and a database created.</li> <li>• Development of a new approach to consultation through use of Participatory Appraisal for development of Discovery Vision</li> <li>• TWM selected as an exemplar service to participate in Culture</li> </ul>	<ul style="list-style-type: none"> <li>• Actively seek new ways to engage with non and potential museum users to increase the likelihood that NI10 survey participants are museum users, including increasing engagement through promotional strategies; new audience development work; exploiting the advantages of 12 venues.</li> </ul>

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<b>Core Principle</b>	<b>Key improvements made during 2008/09</b>	<b>Planned Improvement Actions for 2009/10</b>
	<p>Unlimited's Museum Lab project. Culture Unlimited is a national think tank for the cultural sector and has selected TWM for its excellence in developing innovative consultation</p> <ul style="list-style-type: none"><li>• TWM has continued to secure a place in Local Area Agreements</li></ul>	

<b>Core Principle 1:</b>		
<b><i>Focusing on the purpose of TWM and on outcomes for the local community and creating and implementing a vision for the local area</i></b>		
<b>Supporting Principles</b>	<b>Specific Requirements</b>	<b>Evidence of Compliance</b>
<p><b><i>Exercise strategic leadership by developing and clearly communicating TWM's purpose and vision and its intended outcome for citizens and service users</i></b></p>	<p>Develop &amp; promote TWM's purpose &amp; vision</p>	<ul style="list-style-type: none"> <li>• Our <u>mission</u> is: <i>to help people determine their place in the world and define their identities, so enhancing their self-respect and their respect for others</i></li> <li>• Our <u>vision</u> for the future is: <i>for everyone to have access to museum provision in Tyne and Wear, to use this access and to value it for the significant and positive impact that it makes upon their lives. We will provide real or virtual, worldwide access to our museums and their collections</i></li> <li>• Our <u>commitment</u> is: <i>to a World-class service that is innovative, imaginative, creative, totally inclusive, secure and sustainable</i></li> <li>• Engagement with Local Strategic Partnerships</li> <li>• Engagement with Local Area Agreements</li> <li>• Community Engagement Strategy</li> <li>• Corporate Plan published annually in June sets out priorities and targets for action</li> <li>• Publication of the Annual Report and Accounts</li> <li>• Annual Governance Statement</li> <li>• TWM News sent to all staff, members and stakeholder officers free newspaper - summary of achievements on annual basis</li> <li>• E.Newsletter to mailing list</li> </ul>
	<p>Review on a regular basis TWM's vision and the implications for TWM's governance arrangements.</p>	<ul style="list-style-type: none"> <li>• The Five-year Corporate Plan is rolled-forward annually and is produced in consultation with stakeholders and staff. The Plan clearly lays out the aims and</li> </ul>

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		<p>policies of the organisation and matches these to objectives</p> <ul style="list-style-type: none"> <li>• TWM conducts an annual review of the effectiveness of its system of internal control and governance arrangements and publishes the results in an Annual Governance Statement.</li> <li>• Annual Internal &amp; External Audits</li> <li>• Risk Management Framework</li> </ul>
	<p>Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all partners.</p>	<ul style="list-style-type: none"> <li>• Partnership arrangements take many forms from the formal leadership of the North East Regional Museums Hub, to short-term, project-based relationships with local community groups and contractors. These are negotiated and underpinned, where appropriate, with written agreements</li> <li>• An example is the NERMH which has a shared mission developed amongst its partners. The mission is: <i>to extend and improve museum provision, through partnership, creativity and innovation, for the benefit of the North East and its diverse communities</i></li> </ul>
	<p>Publish an annual report on a timely basis to communicate TWM's activities and achievements, its financial position and performance.</p>	<ul style="list-style-type: none"> <li>• TWM publishes an Annual Report each year. It covers:             <ul style="list-style-type: none"> <li>○ our work for each client;</li> <li>○ NERMH</li> <li>○ our contribution to strategies</li> <li>○ summary of accounts</li> <li>○ visitor research</li> </ul> </li> <li>• Annual Report is published on the Internet and available on request.</li> <li>• Publication of the Treasurer's Annual Report &amp; Accounts. It covers             <ul style="list-style-type: none"> <li>○ Financial Statements</li> <li>○ Annual Governance Statement</li> <li>○ Performance Monitoring</li> </ul> </li> <li>• Corporate Plan published annually in June sets out priorities and</li> </ul>

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		targets for action
<b><i>Ensuring that users receive a high quality of service whether directly, or in partnership, or by commissioning.</i></b>	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"> <li>• Service quality is a TWM wide priority. The quality of services is measured using performance indicators, VAQAS, Accreditation and is reported in the Annual Report.</li> <li>• Annual benchmarking of visitors</li> <li>• MORI Poll</li> <li>• User and resident Satisfaction</li> </ul>
	Put in place effective arrangements to identify and deal with failure in service delivery.	<ul style="list-style-type: none"> <li>• TWM has a Customer Comments, Compliments and Complaints Procedure.</li> <li>• Best Value Performance Indicators</li> <li>• DCMS Performance Indicators</li> </ul>
<b><i>Ensuring that TWM makes best use of resources and that tax payers and service users receive excellent value for money.</i></b>	Decide how value for money is to be measured and make sure TWM or partnership has the information needed to review value for money and performance effectively.	<ul style="list-style-type: none"> <li>• TWM continually seeks to improve value for money.</li> <li>• The annual budget process includes an efficiency review.</li> <li>• The impact on services users of all proposals is considered, to ensure that costs are not cut without regard to outcomes.</li> <li>• The process is informed by annual benchmarking of visitors, MORI Poll, analysis of visiting patterns, user and resident satisfaction</li> <li>• Costs are compared through benchmarking</li> <li>• Service Level Agreements with the Lead Authority</li> </ul>
	Measure the environmental impact of policies, plans and decisions	<ul style="list-style-type: none"> <li>• A current review of energy efficiency is underway</li> <li>• Sustainability parameter is built into planning template for all future projects</li> <li>• Increased use of public transport by staff</li> </ul>

<b>Core Principle 2:</b> <b>Members and officers working together to achieve a common purpose with clearly defined functions and roles</b>		
<b>Supporting Principles</b>	<b>Specific Requirements</b>	<b>Evidence of Compliance</b>
<b><i>Ensuring effective leadership throughout TWM and being clear about executive and non-executive functions and of the roles and responsibilities of the scrutiny function.</i></b>	Set out a clear statement of the respective roles and responsibilities of the Joint Committee and of the Joint Committee's members individually and TWM's approach towards putting this into practice.	<ul style="list-style-type: none"> <li>• 10 Year Agreement between T&amp;W authorities in respect of Joint Museums Service</li> <li>• Duties of members as laid out in the appropriate protocols of individual authorities (e.g. Newcastle Charter)</li> <li>• Member Codes of Conduct</li> <li>• Officer Codes of Conduct</li> <li>• Induction meeting for new members</li> </ul>
	Set out a clear statement of the respective roles and responsibilities of Members generally and of senior officers.	<ul style="list-style-type: none"> <li>• As above in association with job description and person specifications for senior officers including Director</li> <li>• National guidelines for local authority members</li> </ul>
<b>Ensuring that a constructive working relationship exists between Joint Committee Members and Officers and that the responsibilities of Members and Officers are carried out to a high standard.</b>	Determine a scheme of delegation and reserve powers within the Joint Agreement, including a formal schedule of those matters specifically reserved for collective decision of the Joint Committee, taking account of relevant legislation, and ensure that it is monitored and updated when required.	<ul style="list-style-type: none"> <li>• 10 Year Agreement between T&amp;W authorities in respect of Joint Museums Service</li> <li>• Joint Committee meetings</li> <li>• Audit Committee meetings</li> <li>• Pre-meetings with Chair, Director and key members and officers</li> <li>• Regular meetings between Chair and Director</li> <li>• Procurement procedures</li> </ul>
	Make the Director responsible and accountable to the Joint Committee for all aspects of operational management.	<ul style="list-style-type: none"> <li>• Job description of Director</li> <li>• Director Person Specification</li> <li>• Reporting role of Director to Chair and Joint Committee</li> <li>• Role of Director as Accounting Officer to DCMS for Annual Grant in Aid</li> </ul>

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	<p>Develop protocols to ensure that the Chair and Director negotiate their respective roles early in the relationship and that a shared understanding of roles and objectives is maintained.</p>	<ul style="list-style-type: none"> <li>• Regular meetings as above</li> </ul>
	<p>Make a senior Officer (the S151 Officer of the lead Authority) responsible to the Joint Committee for ensuring that appropriate advice is given on all financial matters, for keeping proper financial records and accounts, and for maintaining an effective system of internal financial control.</p>	<ul style="list-style-type: none"> <li>• Section 151 Officer for lead Authority is designated as same for Joint Museums Service</li> <li>• Article 13 of the Newcastle Charter (Officers) sets out the functions of the Chief Finance Officer</li> <li>• Part 3.13 of the Newcastle Charter on delegations to and roles and responsibilities of officers</li> <li>• City Treasurer Job Description</li> <li>• City Treasurer Person Specification</li> <li>• Budget documentation</li> <li>• All reports to Joint Committee includes section headed Financial Implications</li> <li>• Delegate officer of City Treasurer on Senior Management Team</li> </ul>
	<p>Make a senior Officer (usually the lead Authority Monitoring Officer) responsible to the Joint Committee for ensuring adherence to agreed procedures and compliance with Statutes and Regulations</p>	<ul style="list-style-type: none"> <li>• SLA with lead Authority for Legal Services</li> <li>• Designated Clerk to the Joint Committee from lead Authority</li> </ul>
<p><b><i>Ensuring relationships between the Joint Committee, its partners and the public are clear so that each knows what to expect of the</i></b></p>	<p>Develop protocols to ensure effective communication between Members and Officers in their respective roles.</p>	<ul style="list-style-type: none"> <li>• Joint Museums Committee meetings</li> <li>• Audit Committee</li> <li>• Induction training for members of above</li> <li>• Member Codes of Conduct</li> </ul>
	<p>Set out the terms and conditions for remuneration</p>	<ul style="list-style-type: none"> <li>• Remuneration for members in respect of their duties are the</li> </ul>

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<b>other.</b>	of Members and Officers and an effective structure for managing the process, including an effective Remuneration Panel (if applicable).	responsibility of their respective authorities <ul style="list-style-type: none"> <li>• Remuneration for officers is set out in terms and conditions and job descriptions and is not varied according to performance at the present time</li> </ul>
	Ensure that effective mechanisms exist to monitor service delivery	<ul style="list-style-type: none"> <li>• Corporate Plan</li> <li>• User consultation</li> <li>• Stakeholder Consultation</li> <li>• Performance management processes</li> <li>• Corporate Complaints, Compliments and Comments Procedure</li> </ul>
	Ensure that the organisation's vision, strategic 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"> <li>• User consultation</li> <li>• Stakeholder Consultation</li> <li>• Benchmarking surveys including user satisfaction</li> <li>• Publication of Corporate Plan on TWM website</li> </ul>
	When working in partnership, ensure that members are clear about their roles and responsibilities both individually and collectively in relation to the partnership and to the authority	<ul style="list-style-type: none"> <li>• Joint Museums Committee meetings</li> <li>• Audit Committee</li> <li>• Induction training for members of above</li> <li>• Member Codes of Conduct</li> </ul>
	When working in partnership - (a) Ensure that there is clarity about the legal status of the partnership (b) Ensure that representatives of organisations 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"> <li>• Service Level Agreements with partner authorities</li> <li>• Service Level Agreements with lead Authority</li> <li>• Investigate and review each partnership</li> <li>• For significant and long-term partnerships, develop written agreements as appropriate</li> <li>• Ensure contracts are signed if necessary</li> </ul>

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		<ul style="list-style-type: none"> <li>• Develop memorandums of understanding as necessary</li> <li>• Senior Management commitment to protect interests of TWM in partnership agreements</li> <li>• Receive advice from Lead Authority's Legal Services team as necessary</li> </ul>
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***Core Principle 3: Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour***

<b>Supporting Principles</b>	<b>Specific Requirements</b>	<b>Evidence of Compliance</b>
<b>Ensuring Joint Committee members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance</b>	Ensure that TWM's leadership sets a tone for the organisation by creating a climate of openness, support and respect	<ul style="list-style-type: none"> <li>• Corporate Plan (Vision and Values)</li> <li>• Regular SMT meetings minutes and minutes circulated to staff</li> <li>• TWM News sent to all staff</li> <li>• Museum Management Meetings for senior and middle managers</li> <li>• Annual 'all-staff' meetings</li> <li>• Team meetings</li> <li>• Officer Code of Conduct</li> <li>• Joint Consultative Committee with Trade Unions</li> </ul>
	Ensure that standards of conduct and behaviour expected of members and staff, of work between them and between TWM, partners and the community are defined and communicated through codes of conduct and protocols	<ul style="list-style-type: none"> <li>• Officer Code of Conduct</li> <li>• Declaration of conflicts of interest</li> <li>• Declaration of gifts and Hospitality</li> <li>• Register of Principal and Senior Officer Interests</li> </ul>
	Put in place arrangements to ensure that members and employees of TWM are not influenced by prejudice, bias or conflicts of interest	<ul style="list-style-type: none"> <li>• Officer Code of Conduct</li> <li>• Declaration of conflicts of interest</li> <li>• Declaration of gifts and</li> </ul>

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	in dealing with different stakeholders and put in place appropriate processes to ensure that they continue to operate in practice	<p>Hospitality</p> <ul style="list-style-type: none"> <li>• Financial Regulation – Procurement and Contracts guidelines</li> </ul>
<b>Ensuring that organisational values are put into practice and are effective</b>	Develop and maintain shared values including leadership values for both the organisation and staff reflecting public expectations, and communicate these with members, staff, the community and partners	<ul style="list-style-type: none"> <li>• Commitment to Customer Care and associated training and development</li> <li>• HR policies</li> <li>• Induction and Personal Development Planning</li> <li>• Monitoring through staff surveys</li> <li>• Corporate Complaints, Compliment and Comments procedure</li> <li>• Museum Services Working Group</li> <li>• Independent Chair and Vice-Chair of Audit Committee</li> </ul>
	Put in place arrangements to ensure that systems and processes are designed in conformity with appropriate ethical standards, and monitor their continuing effectiveness in practice	<ul style="list-style-type: none"> <li>• Codes of Conduct for Members</li> <li>• Code of Conduct for Officers</li> <li>• Officer Job Descriptions</li> <li>• Workforce Development Plan</li> <li>• External and Internal Audit work</li> <li>• Performance Management Framework</li> </ul>
	Develop and maintain an effective standards committee	<ul style="list-style-type: none"> <li>• TWM Audit Committee</li> <li>• Lead Authority Standards Committee</li> </ul>
	Use the organisation's shared values to act as a guide for decision making and as a basis for developing positive and trusting relationships within TWM	<ul style="list-style-type: none"> <li>• Corporate planning process</li> <li>• Consultation with users and stakeholders</li> <li>• Consultation with staff</li> <li>• Cross disciplinary working groups involving staff and members</li> </ul>
	In pursuing the vision of a partnership, agree a set of values against which decision making and actions can be judged. Such values	<ul style="list-style-type: none"> <li>• Corporate Plan and Corporate Planning Process</li> <li>• Service Level Agreements with partner authorities</li> </ul>

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	must be demonstrated by partners' behaviour both individually and collectively	
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<b>Core Principle 4: Taking informed and transparent decisions which are subject to effective scrutiny and managing risk</b>		
<b>Supporting Principles</b>	<b>Specific Requirements</b>	<b>Evidence of Compliance</b>
	Develop and maintain an effective scrutiny function which encourages constructive challenge and enhances TWM's performance overall and that of any organisation for which it is responsible	<ul style="list-style-type: none"> <li>• TWM Joint Committee</li> <li>• TWM Audit Committee</li> <li>• NERMH Review Committee</li> <li>• Performance Management Framework</li> <li>• Response to Government Place Survey</li> <li>• Participated in Single Improvement Toolkit pilot</li> </ul>
	Develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based	<ul style="list-style-type: none"> <li>• Reporting and signing off of the same in respect to decisions presented to:                             <ul style="list-style-type: none"> <li>○ Joint Committee</li> <li>○ General Purposes Sub-committee</li> <li>○ Delegated Decisions by Director or Officer</li> </ul> </li> <li>• Document management systems</li> <li>• Procurement guidelines</li> <li>• Financial regulations</li> </ul>
	Put in place arrangements to safeguard members and employees against conflicts of interest and put in place appropriate processes to ensure that they continue to operate in practice	<ul style="list-style-type: none"> <li>• Member Codes of Conduct</li> <li>• Officer Code of Conduct</li> <li>• Declaration of conflicts of interest</li> <li>• Declaration of gifts and Hospitality</li> <li>• Register of Principal and Senior Officer Interests</li> </ul>

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	Develop and maintain an effective audit committee which is independent of the Joint Committee or make other appropriate arrangements for the discharge of the functions of such a committee	<ul style="list-style-type: none"> <li>• The TWM Audit Committee was inaugurated in March 2007 comprising Independent Chair/Vice-Chair and members of Joint Museums Committee</li> <li>• Terms of Reference follow recommended CIPFA model</li> <li>• Annual Report to Joint Committee on the work of the Audit Committee</li> </ul>
	Ensure that effective, transparent and accessible arrangements are in place for dealing with complaints	<ul style="list-style-type: none"> <li>• TWM has a Customer Comments, Compliments and Complaints Procedure.</li> </ul>
<b><i>Having good-quality information, advice and support to ensure that services are delivered effectively and are what the community wants/needs</i></b>	Ensure that those making decisions whether for TWM or the partnership are provided with information that is fit for the purpose – relevant, timely and gives clear explanations of technical issues and their implications	<ul style="list-style-type: none"> <li>• Procurement process</li> <li>• Senior Management Meetings</li> <li>• Museum Management Meetings</li> <li>• Regular internal communications</li> <li>• Lead authority and TWM Policies and procedures</li> </ul>
	Ensure that proper professional advice on matters that have legal or financial implications is available and recorded well in advance of decision making and used appropriately	<ul style="list-style-type: none"> <li>• Utilisation of legal advice from lead authority specialist as necessary</li> <li>• Reporting, approving and recording of decisions and opinions provided by legal advisors</li> <li>• Utilisation of contractual arrangements as necessary</li> </ul>
<b><i>Ensuring that an effective risk management system is in place</i></b>	Ensure that risk management is embedded into the culture of TWM, with members and managers at all levels recognising that risk management is part of their jobs	<ul style="list-style-type: none"> <li>• Appointment of a Risk Champion.</li> <li>• Joint Committee has approved a Risk Management Framework</li> <li>• Strategic Risk Register updated twice a year</li> <li>• All reports to the Joint Committee and under delegated powers for decision make explicit their consideration of risk issues.</li> <li>• Risk training is being rolled-out</li> </ul>

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		to all staff via a programme of risk workshops
	Ensure that effective arrangements for whistle-blowing are in place to which officers, staff and all those contracting with or appointed by TWM have access	<ul style="list-style-type: none"> <li>• Part 5.3A of Lead Authority's Newcastle Charter (Policy for Confidential Reporting of Concerns – Whistle blowing")</li> </ul>
<b><i>Using their legal powers to the full benefit of the citizens and communities in their area</i></b>	Actively recognise the limits of lawful activity placed on them by, for example, the <i>ultra vires</i> doctrine but also strive to utilise their powers to the full benefit of their communities	<ul style="list-style-type: none"> <li>• Advice from Section 151 Officer and Legal specialists of Lead Authority on general operation</li> <li>• Ensure approval obtained and audit trail created for operations that may be challenged in respect of lawful activity</li> </ul>
	Recognise the limits of lawful action and observe both the specific requirements of legislation and the general responsibilities placed on authorities by public law	<ul style="list-style-type: none"> <li>• Advice from Section 151 Officer and Legal specialists of Lead Authority on general operation</li> <li>• Ensure approval obtained and audit trail created for operations that may be challenged in respect of lawful activity</li> </ul>
	Observe all specific legislative requirements placed upon them, as well as the requirements of general law, and in particular to integrate the key principles of good administrative law <ul style="list-style-type: none"> <li>– rationality, legality and natural justice</li> <li>– into their procedures and decision-making processes</li> </ul>	<ul style="list-style-type: none"> <li>• Advice from Section 151 Officer and Legal specialists of Lead Authority on general operation</li> <li>• Ensure approval obtained and audit trail created for operations that may be challenged in respect of lawful activity</li> <li>• Template for all reports including consideration of legal implications</li> </ul>

<b>Core Principle 5: Developing the capacity and capability of members and officers to be effective</b>		
<b>Supporting Principles</b>	<b>Specific Requirements</b>	<b>Evidence of Compliance</b>
<b><i>Making sure that members and officers have the skills, knowledge, experience and resources they need to perform well in their roles</i></b>	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"> <li>• Induction programme for officers</li> <li>• Workforce Development Plan</li> <li>• Induction for members of Joint Committee and Audit Committee members</li> <li>• Annual 'All-staff' meetings</li> <li>• Annual 'interim' meetings for new starters</li> <li>• Regular finance training</li> <li>• Refresher programme of training in Recruitment and Absence management</li> </ul>
	Ensure that the statutory officers have the skills, resources and support necessary to perform effectively in their roles and that these roles are properly understood throughout TWM	<ul style="list-style-type: none"> <li>• Workforce Development Plan</li> <li>• Personal Development Planning</li> <li>• Induction programme for officers</li> <li>• Induction for members of Joint Committee and Audit Committee members</li> <li>• Annual 'All-staff' meetings</li> <li>• Annual 'interim' meetings for new starters</li> </ul>
<b><i>Developing the capability of people with governance responsibilities and evaluating their performance, as individuals and as a group</i></b>	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"> <li>• Recruitment process</li> <li>• Workforce Development Plan</li> <li>• Personal Development Planning Process</li> <li>• Budget provision for training</li> </ul>
	Develop skills on a continuing basis to improve performance, including the ability to scrutinise and challenge and to recognise when outside expert advice	<ul style="list-style-type: none"> <li>• Workforce Development Plan</li> <li>• Attendance of members at key conferences</li> <li>• Involvement of Chair, Director and senior officers in national</li> </ul>

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	is needed	forums <ul style="list-style-type: none"> <li>• Personal Development Planning Process</li> </ul>
	Ensure that effective arrangements are in place for reviewing the performance of the Joint Committee as a whole and of individual members and agreeing an action plan which might, for example, aim to address any training or development needs	<ul style="list-style-type: none"> <li>• Audit Committee</li> <li>• Five-Year Review of Joint Museums Agreement</li> <li>• Annual Governance Statement</li> <li>• External and Internal Audit Process</li> <li>• Carry out 'Your Business at Risk' reviews</li> </ul>
<b><i>Encouraging new talent for membership of the Joint Committee so that best use can be made of individuals' skills and resources in balancing continuity and renewal</i></b>	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 TWM's work	<ul style="list-style-type: none"> <li>• Existing user consultation groups: <ul style="list-style-type: none"> <li>○ People's Panel</li> <li>○ Children's (Young People's) Panel</li> <li>○ Disabled Access Advisory Group</li> </ul> </li> <li>• Corporate Complaints, Compliments and Comments Procedure</li> <li>• Benchmarking</li> <li>• Focus groups and audience research</li> <li>• Draw on the largest possible pool of potential committee members and officers</li> <li>• Commit to diversification of the workforce through recruitment, training and communications strategies and policies</li> <li>• Commitment to: <ul style="list-style-type: none"> <li>○ Community Engagement</li> <li>○ Social Inclusion</li> <li>○ Customer Care</li> </ul> </li> </ul>
	Ensure that career structures are in place for members and officers to encourage participation and development	<ul style="list-style-type: none"> <li>• Workforce Development Strategy</li> <li>• Recruitment procedures</li> <li>• Personal Development Planning process</li> </ul>

<b>Core Principle 6: Engaging with local people and other stakeholders to ensure robust public accountability</b>		
<b>Supporting Principles</b>	<b>Specific Requirements</b>	<b>Evidence of Compliance</b>
<p><b><i>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></b></p>	<p>Ensure clear channels of communication are in place with all sections of the community and other stakeholders, and put in place monitoring arrangements and ensure that they operate effectively</p>	<ul style="list-style-type: none"> <li>• 10-year Joint Museums Agreement</li> <li>• Service Level and management agreements with partners</li> <li>• Resident surveys carried out by partner authorities</li> <li>• Communications strategy and practice through a variety of means</li> <li>• Existing user consultation groups:               <ul style="list-style-type: none"> <li>○ People’s Panel</li> <li>○ Children’s (Young People’s) Panel</li> <li>○ Disabled Access Advisory Group</li> </ul> </li> <li>• Corporate Complaints, Compliments and Comments Procedure</li> <li>• Benchmarking</li> <li>• Focus groups and audience research</li> <li>• Performance Management procedures</li> <li>• Participation with partners in Comprehensive Performance Assessment</li> <li>• Engaged with Local Strategic Partnerships</li> <li>• Engaged with Local Area Agreements</li> <li>• Annual Governance Statement</li> <li>• Positive relationship Audit Commission</li> <li>• Positive relationship with central government departments e.g. DCMS, DCSF</li> </ul>

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	<p>Hold meetings in public unless there are good reasons for confidentiality</p>	<ul style="list-style-type: none"> <li>• All decisions of the Joint Committee are based on full written reports which include all relevant evidence and reasons for adopting the proposed             <ul style="list-style-type: none"> <li>○ course of action, with details of any alternative options considered. These reasons are</li> <li>○ then recorded in the minutes.</li> </ul> </li> <li>• Senior managers' key decisions under delegated powers must record reasons for their decisions.</li> <li>• Agendas and minutes are open to public inspection, subject to lawful exemptions under access to information rules and are accessible on Newcastle City Council website and via a link from TWM website</li> </ul>
	<p>Ensure that arrangements are in place to enable Joint Committee to engage with all sections of the community effectively. These arrangements should recognise that different sections of the community have different priorities and establish explicit processes for dealing with these competing demands</p>	<ul style="list-style-type: none"> <li>• 10-year Joint Museums Agreement</li> <li>• Service Level and management agreements with partners</li> <li>• Resident surveys carried out by partner authorities</li> <li>• Communications strategy and practice through a variety of means</li> <li>• Existing user consultation groups:             <ul style="list-style-type: none"> <li>○ People's Panel</li> <li>○ Children's (Young People's) Panel</li> <li>○ Disabled Access Advisory Group</li> </ul> </li> <li>• Corporate Complaints, Compliments and Comments Procedure</li> <li>• Benchmarking</li> <li>• Focus groups and audience research</li> <li>• Performance management</li> </ul>

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		procedures
	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 to demonstrate what has changed as a result	<ul style="list-style-type: none"> <li>• Project Planning process introduced in 2008</li> </ul>
	On an annual basis, publish a performance plan giving information on vision, strategy, plans and financial statements and information about outcomes, achievements and user satisfaction in the previous period	<ul style="list-style-type: none"> <li>• Corporate Plan includes SMART targets</li> <li>• Budget procedures</li> <li>• Annual benchmarking</li> <li>• Annual Report and Accounts</li> </ul>
	Ensure that TWM as a whole is open and accessible to the community, service users and its staff and ensure that it has made a commitment to openness and transparency in all its dealings, including partnerships, 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"> <li>• All committee papers published on Lead Authority web site and via a link from TWM website</li> <li>• NERMH papers published on TWM website</li> <li>• All other corporate Documents published on TWM website</li> <li>• Senior Management Team and Museum Management minutes made available to all staff</li> <li>• All of the above available, on request</li> <li>• Equalities Impact Needs Assessments and Equalities Action Plans</li> <li>• Commitment to access ensures all communications available in multiple media and formats either as a matter of course, or on request</li> <li>• Our Way British Sign Language project</li> <li>• Commitment to Freedom of Information process through appointment of designated officer</li> </ul>
<b><i>Making best use</i></b>	Develop and maintain a	<ul style="list-style-type: none"> <li>• Joint Consultative Committee</li> </ul>

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<b><i>of human resources by taking an active and planned approach to meet responsibility to staff</i></b>	clear policy on how staff and their representatives are consulted and involved in decision making	with Trade Unions • Regular communications with staff by senior officers
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