

Local Code of Corporate Governance

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Introduction

Local government organisations need to ensure that they meet the highest standards and that governance arrangements are not only sound but are seen to be sound. Therefore, Derby City Council needs to keep its governance arrangements up to date and relevant. Delivering Good Governance in Local Government: Framework, published by the Chartered Institute of Public Finance & Accountancy (CIPFA), in association with the Society of Local Authority Chief Executives (Solace) in 2007, set the standard for local authority governance in the UK. CIPFA and Solace reviewed the Framework in 2015 to ensure it remained ‘fit for purpose’ and published a revised edition in spring 2016. The Delivering Good Governance in Local Government: Framework (CIPFA/Solace, 2016) applies to annual governance statements prepared from the financial year 2016/17 onwards.

The concept underpinning the Framework is that it is helping local government take responsibility for developing and shaping an informed approach to governance, aimed at achieving the highest standards in a measured and proportionate way. The Framework is intended to assist authorities individually in reviewing and accounting for their own unique approach. The overall aim is to ensure that:

- resources are directed in accordance with agreed policies and according to priorities
- there is sound and inclusive decision making
- there is clear accountability for the use of those resources in order to achieve desired outcomes for service users and communities.

The Framework defines the principles that should underpin the governance of each local government organisation. It provides a structure to help Individual authorities with their approach to governance. Whatever form of arrangements are in place, authorities should routinely test their governance structures and partnerships against the principles contained in the Framework by:

- reviewing existing governance arrangements
- developing and maintaining an up-to-date local code of governance, including arrangements for ensuring ongoing effectiveness
- reporting publicly on compliance with their own code on an annual basis and on how they have monitored the effectiveness of their governance arrangements in the year and on planned changes.

The term ‘local code’ essentially refers to the governance structure in place, as there is an expectation that a formally set out local structure should exist, although in practice it may consist of a number of local codes or documents.

To achieve good governance, each local authority should be able to demonstrate that its governance structures comply with the core and sub-principles contained in this Framework. It should therefore develop and maintain a local code of governance/governance arrangements reflecting the principles set out.

What is the purpose of our Governance Framework?

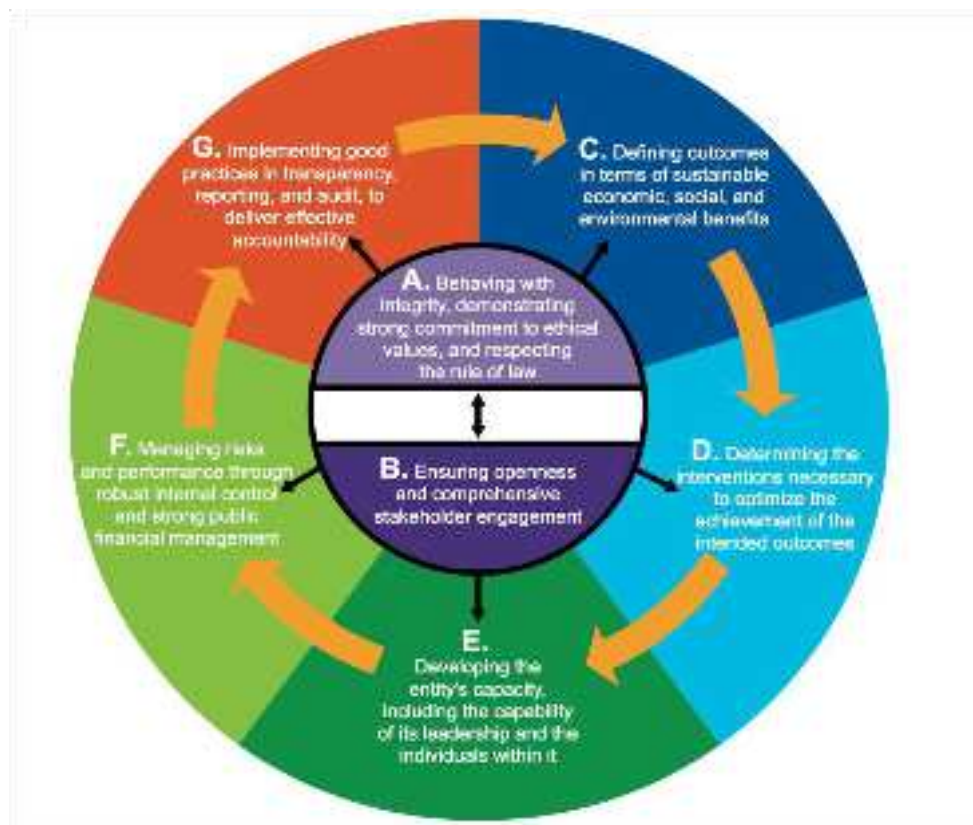
Our governance framework aims to ensure that in conducting our business, we:

- operate in a lawful, open, inclusive and honest manner
- make sure public money is safeguarded, properly accounted for, and spent wisely
- have effective arrangements in place to manage and control risk
- secure continuous improvements in the way that we operate

Our governance framework is comprised of the culture, values, systems and processes by which we are directed and controlled. It brings together an underlying set of legislative and regulatory requirements, good practice principles and management processes.

Our system of internal control is a significant part of this framework and is designed to manage risk to a reasonable level, within our agreed levels of risk appetite. 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 on-going process designed to identify and prioritise risks, evaluate the likelihood and impact should risks be realised, and efficiently, effectively and economically manage such risks.

The "Delivering Good Governance" framework below envisages that it will be a continuous process of seven principles, with a core of A and B being about the behaviours of integrity; demonstrating a strong commitment to ethics and respecting the rule of law with practices being carried out in the spirit of openness and comprehensive stakeholder engagement.



Source: CIPFA/SOLACE

Governance Principle	Sub-Principle	Actions Demonstrating Good Governance	Sources for how this will be Evidenced
Acting in the public interest requires a commitment to effective arrangements for:			
Principle A Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law Local government organisations are accountable not only for how much they spend, but also for how they use the resources under their stewardship. This includes accountability for outputs, both positive and negative, and for the outcomes they have achieved. In addition, they have an overarching responsibility to serve the public interest in adhering to the requirements of legislation and government policies. It is essential that, as a whole, they can demonstrate the appropriateness of all their	1. Behaving with integrity	<ul style="list-style-type: none"> ➤ Ensuring members and officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the organisation ➤ Ensuring members take the lead in establishing specific standard operating principles or values for the organisation and its staff and that they are communicated and understood. These should build on the Seven Principles of Public Life (the Nolan Principles) ➤ Leading by example and using the above standard operating principles or values as a framework for decision making and other actions ➤ Demonstrating, communicating and embedding the standard operating principles or values through appropriate policies and processes which are reviewed on a regular basis to ensure that they are operating effectively 	<ul style="list-style-type: none"> ➤ Members Code of Conduct ➤ Employee's Code of Conduct ➤ Officer/Member Protocol ➤ Members' mandatory training – Planning, Licensing ➤ Standards Committee ➤ Overview and Scrutiny functions ➤ Counter Fraud and Corruption Policy/Guidance documents ➤ Human Resources (HR) Policies and Guidance ➤ Whistleblowing Policy ➤ Council Plan ➤ Council Values ➤ Equality Impact Assessments

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actions across all activities and have mechanisms in place to encourage and enforce adherence to ethical values and to respect the rule of law.	2. Demonstrating strong commitment to ethical values	<ul style="list-style-type: none"> ➤ Seeking to establish, monitor and maintain the organisation's ethical standards and performance ➤ Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the organisation's culture and operation ➤ Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values ➤ Ensuring that external providers of services on behalf of the organisation are required to act with integrity and in compliance with ethical standards expected by the organisation 	<ul style="list-style-type: none"> ➤ Council Plan ➤ Members' Code of Conduct ➤ Employees' Code of Conduct ➤ Standards Committee ➤ Induction Procedures - ethical standards framework ➤ Registers of Interests ➤ Registers of Gifts and Hospitality ➤ HR Policies including the Equality, Dignity and Respect Policy ➤ Equality Impact Assessments
	3. Respecting the rule of law	<ul style="list-style-type: none"> ➤ Ensuring members and staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations ➤ Creating the conditions to ensure that the statutory officers, other key post holders, and members, are able to fulfil their responsibilities in accordance with legislative and regulatory requirements ➤ Striving to optimise the use of the full powers available for the benefit of 	<ul style="list-style-type: none"> ➤ HR Policies ➤ Counter Fraud and Corruption Policy/Guidance documents ➤ Whistleblowing Policy ➤ Standards Committee ➤ Monitoring Officer Role ➤ Work of Internal Audit ➤ Corporate Customer Feedback Policy including the Complaints Procedure ➤ Council Constitution ➤ Service policies, reflecting local

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		citizens, communities and other stakeholders ➤ Dealing with breaches of legal and regulatory provisions effectively ➤ Ensuring corruption and misuse of power are dealt with effectively	authority statutory requirements ➤ Employees' Performance Reviews (Great Performance Conversations) ➤ Overview and Scrutiny functions ➤ Equality Impact Assessments
Principle B Ensuring openness and comprehensive stakeholder engagement. Local government is run for the public good, organisations therefore should ensure openness in their activities. Clear, trusted channels of communication and consultation should be used to engage effectively with all groups of stakeholders, such as individual citizens and service users, as well as institutional stakeholders.	1. Openness	➤ Ensuring an open culture through demonstrating, documenting and communicating the organisation's commitment to openness ➤ Making decisions that are open about actions, plans, resource use, forecasts, outputs and outcomes. The presumption is for openness. If that is not the case, a justification for the reasoning for keeping a decision confidential should be provided ➤ Providing clear reasoning and evidence for decisions in both public records and explanations to stakeholders and being explicit about the criteria, rationale and considerations used. In due course, ensuring that the impact and consequences of those decisions are clear ➤ Using formal and informal	➤ Council Constitution ➤ Council Plan ➤ Finance and performance monitoring – including the publication of an Annual Report ➤ Overview and Scrutiny procedures and workplans ➤ Partnership/Community Working ➤ Council Website including Derby City Council News ➤ Digital Strategy ➤ Freedom of Information publication scheme ➤ Formal consultation arrangements ➤ Equality Impact Assessments

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		consultation and engagement to determine the most appropriate and effective interventions/courses of action	
	2. Engaging comprehensively with institutional stakeholders	<p>NB institutional stakeholders are the other organisations that local government needs to work with to improve services and outcomes (such as commercial partners and suppliers as well as other public or third sector organisations) or organisations to which they are accountable</p> <ul style="list-style-type: none"> ➤ Effectively engaging with institutional stakeholders to ensure that the purpose, objectives and intended outcomes for each stakeholder relationship are clear so that outcomes are achieved successfully and sustainably ➤ Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively ➤ Ensuring that partnerships are based on: 	<ul style="list-style-type: none"> ➤ Partnership working - priorities and city outcome plans ➤ Partnership/Community working ➤ Council Plan ➤ Formal consultation arrangements ➤ Overview and Scrutiny functions ➤ Council Website including Derby City Council News

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		<ul style="list-style-type: none"> • Trust • A shared commitment to change • A culture that promotes and accepts challenge among partners and that the added value of partnership working is explicit 	
	3. Engaging with individual citizens and service users effectively	<ul style="list-style-type: none"> ➤ Establishing a clear policy on the type of issues that the organisation will meaningfully consult with or involve communities, individual citizens, service users and other stakeholders to ensure that service (or other) provision is contributing towards the achievement of intended outcomes ➤ Ensuring that communication methods are effective and that members and officers are clear about their roles with regard to community engagement ➤ Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs. ➤ Implementing effective feedback mechanisms in order to demonstrate 	<ul style="list-style-type: none"> ➤ Council Plan ➤ Council Website including Derby City Council News ➤ Formal consultation arrangements ➤ Partnership/Community working ➤ Satisfaction / feedback surveys ➤ Freedom of Information publication scheme ➤ Staff development programme ➤ Member Training Policy ➤ Customer Feedback Policy ➤ Analysis of feedback received, and actions taken (i.e., Annual Report) ➤ Community Hubs and Employee Networks ➤ Equality Impact Assessments

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		<p>how their views have been taken into account</p> <ul style="list-style-type: none"> ➤ Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity ➤ Taking account of the impact of decisions on future generation of tax payers and service users 	
<p>In addition to the overarching requirements for acting in the public interest found in principles A and B, achieving good governance also requires a commitment to, and effective arrangements for:</p>			
<p>Principle C Defining outcomes in terms of sustainable economic, social, and environmental benefits. The long-term nature and impact of many of local government's responsibilities mean that it should define and plan outcomes and that these should be sustainable. Decisions should further the organisation's purpose, contribute to intended benefits and outcomes, and remain within the limits</p>	<p>1. Defining outcomes</p>	<ul style="list-style-type: none"> ➤ Having a clear vision, which is an agreed formal statement of the organisation's purpose and intended outcomes containing appropriate performance indicators, which provide the basis for the organisation's overall strategy, planning and other decisions ➤ Specifying the intended impact on, or changes for, stakeholders including citizens and service users. It could be immediately or over the course of a year or longer ➤ Delivering defined outcomes on a sustainable basis within the resources that will be available 	<ul style="list-style-type: none"> ➤ Partnership working - priorities and city outcome plans ➤ Council Plan including the Council Delivery Plan ➤ Directorate/Service Business Plans ➤ Performance Management Strategy ➤ Quality Assurance Frameworks ➤ Performance Management / Improvement Boards ➤ Risk Management Strategy and Handbook ➤ Strategic, Directorate and Department Risk Registers ➤ Risk Management measures (early warning indicators)

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<p>of authority and resources. Input from all groups of stakeholders, including citizens, service users, and institutional stakeholders, is vital to the success of this process and in balancing competing demands when determining priorities for the finite resources available.</p>		<ul style="list-style-type: none"> ➤ Identifying and managing risks to the achievement of outcomes ➤ Managing service users' expectations effectively with regard to determining priorities and making the best use of the resources available 	<ul style="list-style-type: none"> ➤ City and Council performance monitoring – including the publication of an Annual Report ➤ Formal consultation outcomes ➤ External inspections ➤ Peer review activities
	<p>2. Sustainable economic, social and environmental benefits</p>	<ul style="list-style-type: none"> ➤ Considering and balancing the combined economic, social and environmental impact of policies and plans when taking decisions about service provision ➤ Taking a longer-term view with regard to decision making, taking account of risk and acting transparently where there are potential conflicts between the organisation's intended outcomes and short-term factors such as the political cycle or financial constraints ➤ Determining the wider public interest associated with balancing conflicting interests between achieving the various economic, social and environmental benefits, through consultation where possible, in order to ensure appropriate trade-offs ➤ Ensuring fair access to services 	<ul style="list-style-type: none"> ➤ Partnership/community working ➤ Council Plan ➤ Directorate/service business plans ➤ Formal consultation arrangements ➤ Local Plan ➤ Procurement Strategy ➤ Digital Strategy ➤ Programme Management Office Board and project management guidance and tools ➤ Peer review activities

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Principle D Determining the interventions necessary to optimise the achievement of the intended outcomes. Local government achieves its intended outcomes by providing a mixture of legal, regulatory, and practical interventions (courses of action). Determining the right mix of these courses of action is a critically important strategic choice that local government has to make to ensure intended outcomes are achieved. They need robust decision-making mechanisms to ensure that their defined outcomes can be achieved in a way that provides the best trade-off between the various types of resource inputs while still enabling effective and efficient	1. Determining interventions	<ul style="list-style-type: none"> ➤ Ensuring decision makers receive objective and rigorous analysis of a variety of options indicating how intended outcomes would be achieved and associated risks. Therefore ensuring best value is achieved however services are provided ➤ Considering feedback from citizens and service users when making decisions about service improvements or where services are no longer required in order to prioritise competing demands within limited resources available including people, skills, land and assets and bearing in mind future impacts 	<ul style="list-style-type: none"> ➤ Performance / service monitoring ➤ Corporate Performance / Improvement Board ➤ Performance Management Strategy ➤ Service based Learning and Development Frameworks ➤ Quality Assurance ➤ External Inspections ➤ Risk Management Strategy and Handbook ➤ Performance and risk deep-dive reviews and Councillor-led Surgeries ➤ Partnership priorities, outcome plans, reporting and enabling programmes ➤ Overview and Scrutiny functions ➤ Peer review activities ➤ Formal consultation outcomes
	2. Planning interventions	<ul style="list-style-type: none"> ➤ Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets ➤ Engaging with internal and external stakeholders in determining how services and other courses of action 	<ul style="list-style-type: none"> ➤ Performance, audit, risk and finance information ➤ Contract Monitoring ➤ Capital Programme ➤ Customer Feedback Policy ➤ Risk Management Strategy and Handbook

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<p>operations. Decisions made need to be reviewed frequently to ensure that achievement of outcomes is optimised.</p>		<p>should be planned and delivered</p> <ul style="list-style-type: none"> ➤ Considering and monitoring risks facing each partner when working collaboratively, including shared risks ➤ Ensuring arrangements are flexible and agile so that the mechanisms for delivering goods and services can be adapted to changing circumstances ➤ Establishing appropriate key performance indicators (KPIs) as part of the planning process in order to identify how the performance of services and projects is to be measured ➤ Ensuring capacity exists to generate the information required to review service quality regularly ➤ Preparing budgets in accordance with objectives, strategies and the medium term financial plan ➤ Informing medium and long term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy 	<ul style="list-style-type: none"> ➤ Performance Management Strategy ➤ Council Plan ➤ Business / service plans including risk registers and performance measures ➤ Medium Term Financial Strategy and associated planning ➤ Strategy and Performance service ➤ Strategic and Corporate Leadership Team ➤ Programme Management Office Board

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	3. Optimising achievement of intended outcomes	<ul style="list-style-type: none"> ➤ Ensuring the medium term financial strategy integrates and balances service priorities, affordability and other resource constraints ➤ Ensuring the budgeting process is all-inclusive, taking into account the full cost of operations over the medium and longer term ➤ Ensuring the medium term financial strategy sets the context for ongoing decisions on significant delivery issues or responses to changes in the external environment that may arise during the budgetary period in order for outcomes to be achieved while optimising resource usage ➤ Ensuring the achievement of 'social value' through service planning and commissioning 	<ul style="list-style-type: none"> ➤ Medium Term Financial Strategy and associated planning ➤ Revenue budget processes ➤ Programme Management Office and project management guidance and tools ➤ Corporate City Centre Major Projects Board ➤ Capital Programme ➤ Procurement Strategy ➤ Financial Procedure Rules/Contract Procedure Rules ➤ Performance Management Strategy and strategic planning guidance / processes ➤ Commissioning intentions and strategies
Principle E Developing its capacity, including the capability of its leadership and the individuals within it. Local government needs appropriate structures and leadership, as well as	1. Developing the entity's capacity	<ul style="list-style-type: none"> ➤ Reviewing operations, performance and use of assets on a regular basis to ensure their continuing effectiveness ➤ Improving resource use through appropriate application of techniques such as benchmarking and other options in order to determine how resources are allocated so that 	<ul style="list-style-type: none"> ➤ Partnership working – priorities and outcome plans ➤ Council Plan including the Council Delivery Plan ➤ Strategic and Corporate Leadership Team ➤ Performance Management Strategy

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<p>people with the right skills, appropriate qualifications and mindset, to operate efficiently and effectively and achieve intended outcomes within the specified periods. A local government organisation must ensure that it has both the capacity to fulfil its own mandate and to make certain that there are policies in place to guarantee that its management has the operational capacity for the organisation as a whole. Because both individuals and the environment in which an organisation operates will change over time, there will be a continuous need to develop its capacity as well as the skills and experience of individual staff members. Leadership in local government is strengthened by the participation of people with many different types of backgrounds, reflecting the structure and diversity of</p>		<p>defined outcomes are achieved effectively and efficiently</p> <ul style="list-style-type: none"> ➤ Recognising the benefits of partnerships and collaborative working where added value can be achieved ➤ Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources 	<ul style="list-style-type: none"> ➤ Performance Management system (DORIS) ➤ Project Management Platform (programme and projects) ➤ Performance monitoring activities ➤ External inspections ➤ Peer review activities ➤ Organisational Development programme for officers
	2. Developing the capability of the entity's leadership and other individuals	<ul style="list-style-type: none"> ➤ Developing protocols to ensure that elected and appointed leaders negotiate with each other regarding their respective roles early on in the relationship and that a shared understanding of roles and objectives is maintained ➤ Publishing a statement that specifies the types of decisions that are delegated and those reserved for the collective decision making of the governing body ➤ Ensuring the leader and the chief executive have clearly defined and distinctive leadership roles within a structure whereby the chief executive leads in implementing strategy and 	<ul style="list-style-type: none"> ➤ Council constitution ➤ Member training ➤ Members' and officers' induction programmes ➤ Mandatory E-Learning ➤ Organisational Development programme for officers ➤ HR Policies and Guidance ➤ Accountabilities Framework

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communities.		<p>managing the delivery of services and other outputs set by members and each provides a check and a balance for each other's authority</p> <ul style="list-style-type: none"> ➤ Developing the capabilities of members and senior management to achieve effective leadership and to enable the organisation to respond successfully to changing legal and policy demands as well as economic, political and environmental changes and risks by: <ul style="list-style-type: none"> ○ Ensuring members and staff have access to appropriate induction tailored to their role and that ongoing training and development matching individual and organisational requirements is available and encouraged ○ Ensuring members and officers have the appropriate skills, knowledge, resources and support to fulfil their roles and responsibilities and ensuring that they are able to update their knowledge on a continuing basis 	
	1. Managing risk	➤ Recognising that risk management is	➤ Risk Management Policy, Strategy

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Principle F Managing risks and performance through robust internal control and strong public financial management. Local government needs to ensure that the organisations and governance structures that it oversees have implemented, and can sustain, an effective performance management system that facilitates effective and efficient delivery of planned services. Risk management and internal control are important and integral parts of a performance management system and are crucial to the achievement of outcomes. Risk should be considered and addressed as part of all decision making activities. A strong system of financial		an integral part of all activities and must be considered in all aspects of decision making ➤ Implementing robust and integrated risk management arrangements and ensuring that they are working effectively ➤ Ensuring that responsibilities for managing individual risks are clearly allocated	and Handbook ➤ Corporate Risk Management Group ➤ Risk assurance activities and reporting ➤ Strategic and Directorate Risk Registers with associated reporting ➤ Internal Audit Plan ➤ Risk guidance / training information ➤ Policy Group
	2. Managing performance	➤ Monitoring service delivery effectively including planning, specification, execution and independent post implementation review ➤ Making decisions based on relevant, clear objective analysis and advice pointing out the implications and risks inherent in the organisation's financial, social and environmental position and outlook ➤ Ensuring an effective scrutiny or oversight function is in place which provides constructive challenge and debate on policies and objectives before, during and after decisions are made thereby enhancing the organisation's performance and that	➤ Partnership/community working ➤ Cabinet / SLT ➤ Strategic / Corporate Leadership Team ➤ Performance, audit, risk, project and finance information and monitoring ➤ Performance / Improvement Boards ➤ Performance Management Strategy ➤ Performance management system (DORIS) ➤) ➤ Service based Learning and Development Frameworks ➤ Performance and risk deep-dive

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<p>management is essential for the implementation of policies and the achievement of intended outcomes, as it will enforce financial discipline, strategic allocation of resources, efficient service delivery and accountability. It is also essential that a culture and structure for scrutiny are in place as a key part of accountable decision making, policy making and review. A positive working culture that accepts, promotes and encourages constructive challenge is critical to successful scrutiny and successful service delivery. Importantly, this culture does not happen automatically, it requires repeated public commitment from those in authority.</p>		<p>of any organisation for which it is responsible (or for a committee system).</p> <ul style="list-style-type: none"> ➤ Encouraging effective and constructive challenge and debate on policies and objectives to support to support balances and effective decision making ➤ Providing members and senior management with regular reports on service delivery plans and on progress towards outcome achievement ➤ Ensuring there is consistency between specification stages (such as budgets) and post implementation reporting (e.g. financial statements) 	<p>reviews and Councillor-led Surgeries</p> <ul style="list-style-type: none"> ➤ Quality Assurance ➤ External Inspections ➤ Overview and Scrutiny functions ➤ Peer review activities ➤ Great performance conversations / Clearview ➤ Programme Management Office Board ➤ Project Management Platform ➤ Policy Group
	3. Robust internal control	<ul style="list-style-type: none"> ➤ Aligning the risk management strategy and policies on internal control with achieving objectives ➤ Evaluating and monitoring risk management and internal control on a regular basis ➤ Ensuring effective counter fraud and anti-corruption arrangements are in place ➤ Ensuring additional assurance on the overall adequacy and effectiveness of 	<ul style="list-style-type: none"> ➤ Corporate Risk Management Group ➤ Internal Audit ➤ Corporate Fraud Team ➤ Counter Fraud policies ➤ Strategy and Performance including the Assurance Team ➤ Regulation of Investigatory ➤ Powers Act 2000 ➤ Data Protection Policy ➤ Publication Scheme ➤ Customer Feedback Policy

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		<p>the framework of governance, risk management and control is provided by the internal auditor</p> <ul style="list-style-type: none"> ➤ Ensuring an audit committee or equivalent group/ function, which is independent of the executive and accountable to the governing body: <ul style="list-style-type: none"> ○ provides a further source of effective assurance regarding arrangements for managing risk and maintaining an effective control environment ○ that its recommendations are listened to and acted upon 	<p>including complaints</p> <ul style="list-style-type: none"> ➤ Risk Management Policy, Strategy and Handbook ➤ Overview and Scrutiny functions ➤ Risk reporting and assurance activities ➤ Programme Management Office Board
	4. Managing data	<ul style="list-style-type: none"> ➤ Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data ➤ Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies ➤ Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring 	<ul style="list-style-type: none"> ➤ Information Governance Policies and Procedures ➤ Senior Information Risk Owner and the Caldicott Guardian ➤ Mandatory e-Learning on Information Governance policies ➤ Freedom of Information publication scheme ➤ Digital Strategy ➤ Freedom of Information compliance ➤ Information Governance Board and supporting working groups

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	5. Strong public financial management	<ul style="list-style-type: none"> ➤ Ensuring financial management supports both long term achievement of outcomes and short-term financial and operational performance ➤ Ensuring well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls 	<ul style="list-style-type: none"> ➤ Statutory Section 151 Officer role ➤ Medium Term Financial Strategy and associated planning ➤ Finance Strategy ➤ Revenue budget processes including monitoring, forecasting and reporting ➤ CIPFA Financial Management Code ➤ Financial Procedure Rules ➤ Procurement Strategy ➤ Contract Procedure rules ➤ External Audit
Principle G Implementing good practices in transparency, reporting, and audit to deliver effective accountability. Accountability is about ensuring that those making decisions and delivering services are	1. Implementing good practice in transparency	<ul style="list-style-type: none"> ➤ Writing and communicating reports for the public and other stakeholders in a fair, balanced and understandable style appropriate to the intended audience and ensuring that they are easy to access and interrogate ➤ Striking a balance between providing the right amount of information to satisfy transparency demands and enhance public scrutiny while not being too onerous to provide and for users to understand 	<ul style="list-style-type: none"> ➤ Council website – Agendas etc ➤ Local Government Transparency Code 2015 ➤ Digital Strategy ➤ Equality Impact Assessments ➤ Strategy and Performance service ➤ Whistleblowing Policy

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<p>answerable for them. Effective accountability is concerned not only with reporting on actions completed, but also ensuring that stakeholders are able to understand and respond as the organisation plans and carries out its activities in a transparent manner. Both external and internal audit contribute to effective accountability.</p>	2. Implementing good practices in reporting	<ul style="list-style-type: none"> ➤ Reporting at least annually on performance, value for money and stewardship of resources to stakeholders in a timely and understandable way ➤ Ensuring members and senior management own the results reported ➤ Ensuring robust arrangements for assessing the extent to which the principles contained in this framework have been applied and publishing the results on this assessment, including an action plan for improvement and evidence to demonstrate good governance (the annual governance statement) ➤ Ensuring the performance information that accompanies the financial statements is prepared on a consistent and timely basis and the statements allow for comparison with other, similar organisations 	<ul style="list-style-type: none"> ➤ Annual Report ➤ Quarterly finance, risk, project and performance monitoring ➤ Benchmarking ➤ Comprehensive procedures for the making of decisions ➤ Formal reporting procedures ➤ Publishing of reports on Website
	3. Assurance and effective accountability	<ul style="list-style-type: none"> ➤ Ensuring that recommendations for corrective action made by external audit are acted upon ➤ Ensuring an effective internal audit service with direct access to members 	<ul style="list-style-type: none"> ➤ Council Constitution ➤ Overview and Scrutiny functions ➤ Roles and Responsibilities ➤ External Inspection reports ➤ Peer review activities

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		<p>is in place, providing assurance with regard to governance arrangements and that recommendations are acted upon</p> <ul style="list-style-type: none"> ➤ Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations ➤ Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement ➤ Ensuring that when working in partnership, arrangements for accountability are clear and the need for wider public accountability has been recognised and met 	<ul style="list-style-type: none"> ➤ Internal service reviews / diagnostics ➤ Service / improvement plans ➤ Partnership register ➤ Terms of reference for partnership working (standard templates available to ensure appropriate compliance with key matters) ➤ Performance monitoring arrangements to evidence progress and impact

We will deliver these outcomes through:

- Reviewing on annual basis, our governance arrangements to ensure compliance with this Code, the delivery of Good Governance within the Local Government Framework and current good practice. The purpose of the review will be to provide assurance that governance arrangements are adequate and operating effectively or it identify action which is planned to ensure effective governance in the future
- Reporting annually to Audit and Governance Committee on the corporate governance arrangements in place
- Annually assessing the 'Role of the Chief Financial Officer' and the 'Role of the Head of Internal Audit', using guidance published by CIPFA
- Producing an Annual Governance Statement documenting the extent to which the local code has been adhered to and the actions required where adherence has not been achieved.