

Bath & North East Somerset Council

MEETING:	Corporate Audit Committee	
MEETING DATE:	1 st May 2024	AGENDA ITEM NUMBER
TITLE:	Annual Governance Statement 2023/2024 & Local Code of Corporate Governance	
WARD:	ALL	
AN OPEN PUBLIC ITEM		
List of attachments to this report:		
Appendix 1 - High Level Methodology for Preparing the Annual Governance Statement		
Appendix 2 – B&NES Council Local Code of Corporate Governance 2024 (proposed new version highlighting amendments to 2018 version)		

1 THE ISSUE

- 1.1 The aim of the report is to inform the Committee on the Annual Governance Review process and enable the Committee to fulfil its responsibilities associated with the publication of the Council's Annual Governance Statement 2023/24.
- 1.2 Consider and endorse the adoption of the revised Local Code of Corporate Governance which will form part of the library to the Council's Constitution.

2 RECOMMENDATION

- 2.1 The Corporate Audit Committee notes the report on the process to produce the Annual Governance Statement 2023/24.
- 2.2 Endorse the Council's Local Code of Corporate Governance (2024) for adoption by the Council.

3 THE REPORT

3.1 Annual Governance Statement

- 3.1.1 In a PowerPoint presentation to the Corporate Audit Committee at its meeting on the 5th July 2023, Members were provided with a brief introduction to the Annual Governance Review and the production of the Annual Governance Statement which is a 'management' statement, signed by the Council's Chief Executive and Leader of the Council.

3.1.2 In November 2023 this Committee received a presentation on the Council's Statement of Accounts and this included slides on the Council's Annual Governance Statement 2022/23 and the 'significant' reportable issues of Financial Challenge and Children Services increase in service demand and costs.

3.1.3 The annual governance review for 2023/24 is on-going and it is important that the Audit Committee understand the process to carry out the review and publish the Statement.

3.1.4 The adopted methodology / process to compile and obtain sign-off of the Annual Governance Statement has been in operation for a number of years and an overview of the process is recorded in Appendix 1.

3.1.5 The methodology of the governance review requires 'Management Assurances' and 'Corporate Assurance Sources' including:

- The involvement of Statutory Officers, Directors and Heads of Service
- Input from 'key' Corporate Officers – e.g. Procurement, Information Governance

3.1.6 The review of governance covers all significant corporate systems, processes and controls, spanning the whole range of Council activities.

3.1.7 Key milestones in compiling the Annual Governance Statement:

- 1) Report to Corporate Audit Committee (July 2024) – an opportunity for the Committee to input any views on governance or significant issues.
- 2) Report to Executive / Corporate Leadership Team.
- 3) Chief Executive & Leader of the Council sign the Statement linked to the approval of the Annual Accounts.

3.1.8 The Annual Governance Statement will record any 'significant issues' and associated action plans. The definition of a significant issue can be summarised as follows:

- Significant failure in decision making at Council or Executive
- Significant unexpected use of Resources
- Significant performance failing or failures in service delivery
- Significant issues from inspections, audits, complaints etc
- Significant issues failures in respect of statutory duties
- Significant issues from operational issues and third parties

3.2 Local Code of Corporate Governance

3.2.1 The Annual Governance Statement is based on the Council's 'Local Code of Corporate Governance'. As the publication of an Annual Governance Statement is statutory requirement, it's important that the Council takes account of any guidance provided by the Chartered Institute Public Finance Accountants (CIPFA) and the Society of Local Authority Chief Executives (SOLACE).

3.2.2 The Delivering Good Governance in Local Government Framework, published by CIPFA in association with SOLACE, sets the standard for local authority governance in the UK. The concept underpinning the framework is to support local government in taking responsibility for developing and shaping an informed approach to governance, aimed at achieving the highest standards in a measured and proportionate way.

3.2.3 The purpose of the Framework is to assist authorities individually in reviewing and accounting for their own unique approach, with the overall aim to ensure that:

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

3.2.4 Governance is a term used to describe the arrangements (including political, economic, social, environmental, administrative, legal, and other arrangements) put in place to ensure that the intended outcomes for stakeholders are defined and achieved.

3.2.5 Good governance enables the Council to effectively achieve its intended outcomes, whilst acting in the public interest at all times.

3.2.6 In order to demonstrate that the Council has the necessary corporate governance arrangements in place, it's important to adopt a Local Code of Corporate Governance and periodically review the Code based on any developments nationally or locally. The core requirement of a Code is that it is based on the following key principles of good governance:

- Behaving with integrity, demonstrating strong commitment to ethical values and respecting the rule of law
- Ensuring openness and comprehensive stakeholder engagement
- Defining outcomes in terms of sustainable, economic, social and environmental benefits
- Determining the interventions necessary to optimise the achievement of the intended outcomes
- Developing the entity's capacity, including the capability of its leadership and the individuals within it

- Managing risks and performance through robust internal control and strong public financial management
- Implementing good practices in transparency, reporting and audit, to deliver accountability

3.2.7 The recent review of the Code carried out as part of the Annual Governance Review considered:

- a) the B&NES Council Corporate Strategy 2023-2027
- b) the B&NES Council 'Our Values and Behaviours Framework' document
- c) the B&NES Council 'Protocol on Councillor / Officer Relations'
- d) the B&NES Corporate Audit Committee's Terms of Reference
- e) Department Levelling Up, Housing & Communities Best Value guidance (draft version for consultation)

3.2.8 Appendix 2 to this report is a copy of the proposed B&NES Council Local Code of Corporate Governance. Changes to the 2018 version of the Code are highlighted in red. The main change is the format of the Principles Section (Appendix A) which now records 'what the Council has in place' rather than just recording the 'Behaviour and actions that demonstrate good governance in practice'.

4 STATUTORY CONSIDERATIONS

4.1 The Accounts & Audit Regulations set out the expectations of provision of an Annual Governance Statement. This is supported by CIPFA/SOLACE standards and the Council's Local Code of Corporate Governance. Implications of not providing this statement would include potential qualification of the Accounts, increase in External Audit fees, potential significant reputational risks and ultimately additional costs to rectify.

5 RESOURCE IMPLICATIONS (FINANCE, PROPERTY, PEOPLE)

5.1 There are no direct resource implications relevant to this report.

6 RISK MANAGEMENT

6.1 A proportionate risk assessment related to the issue and recommendations has been undertaken, in compliance with the Council's decision-making risk management guidance. Failure to compile an Annual Governance Statement would result in non-compliance with statutory legislation and leave the Council open to criticism by External Audit and external stakeholders.

7 EQUALITIES

7.1 A proportionate equalities impact assessment has been carried out using corporate guidelines and no significant issues have been identified.

8 CLIMATE CHANGE

8.1 There are no direct climate change implications related to this report.

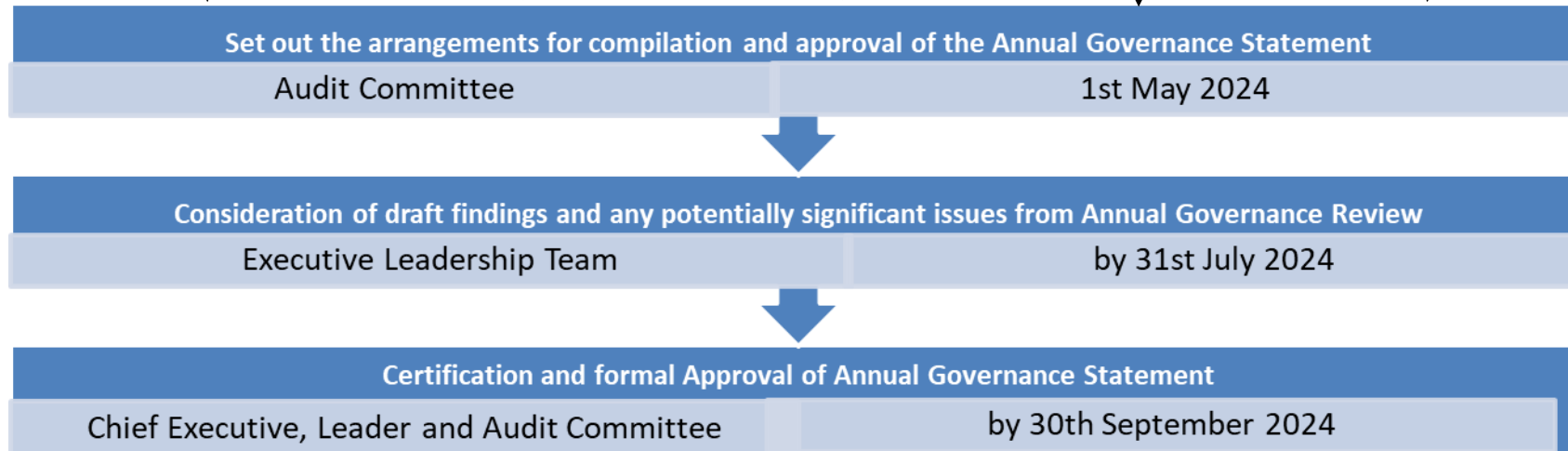
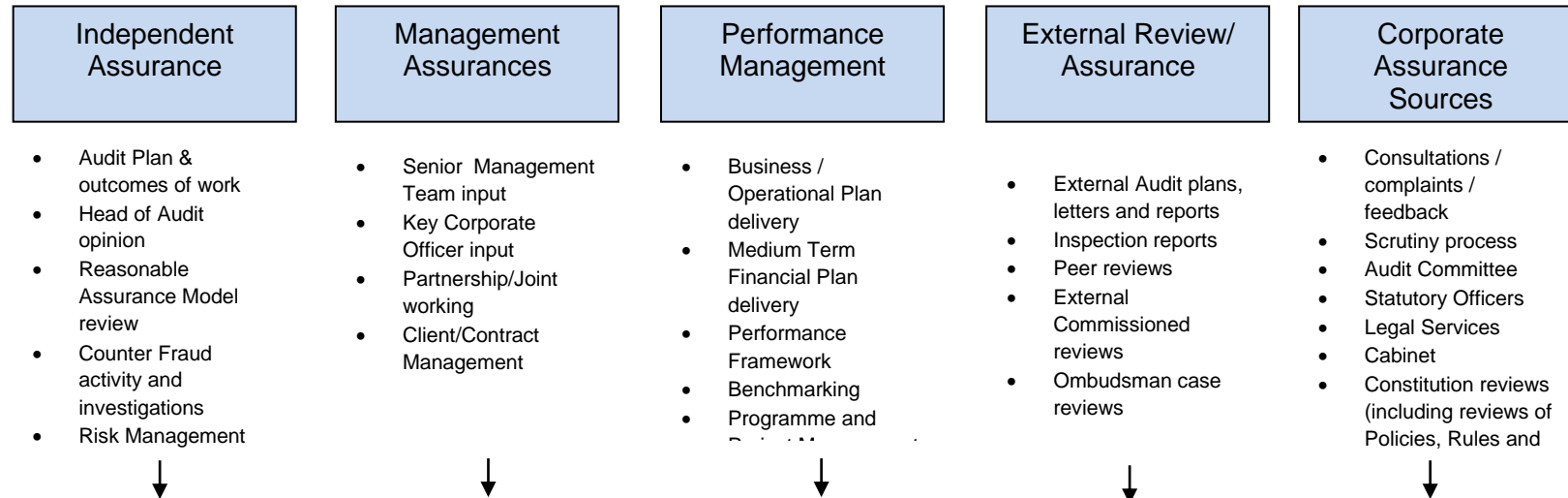
9 OTHER OPTIONS CONSIDERED

9.1 No other options to consider related to this report.

10 CONSULTATION

10.1 The Council's Section 151 Officer has had the opportunity to input to this report and has cleared it for publication.

Contact person	<i>Andy Cox (01225 477316) Jeff Wring (01225 477323)</i>
Background papers	<i>5th July 2023 Corporate Audit Committee - AUDIT & ASSURANCE ANNUAL REPORT 2022/23</i> <i>1st Nov 2023 Corporate Audit Committee – BRIEFING PRESENTATION - ACCOUNTS 2022/23</i> <i>Council 10th May 2018 (Appointment of Committees & Panels and other Annual Business) - Council's Local Code of Corporate Governance</i>
Please contact the report author if you need to access this report in an alternative format	



**Bath & North East
Somerset Council**

Improving People's Lives

**Bath & North East Somerset Council
Local Code of Corporate Governance 2024**



1 Delivering Good Governance

- 1.1 *Delivering Good Governance in Local Government; Framework*, published by CIPFA in association with SOLACE, sets the standard for local authority governance in the UK. The concept underpinning the framework is to support local government in taking responsibility for developing and shaping an informed approach to governance, aimed at achieving the highest standards in a measured and proportionate way. The purpose of the Framework is to assist authorities individually in reviewing and accounting for their own unique approach, with the overall aim to ensure that:
- Resources are directed in accordance with agreed policy 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.
- 1.2 Governance is a term used to describe the arrangements (including political, economic, social, environmental, administrative, legal, and other arrangements) put in place to ensure that the intended outcomes for stakeholders are defined and achieved.
- 1.3 Good governance enables the Council to effectively achieve its intended outcomes, whilst always acting in the public interest. Basically, doing the right things, in the right way, for the benefit of the communities it serves. **The Council's overriding purpose as described in its Corporate Strategy is 'to improve people's lives' and to work to that purpose the following values and behaviours have been adopted:**
- **Bold** – in approach. Be proactive, take action & deliver outcomes.
 - **Empowered** – staff & people. Through knowledge make decisions, are able to challenge and have authority to be enablers.
 - **Supportive** – work together to build trusting relationships to care for individuals and the environment.
 - **Transparent** – honest & accountable to act with integrity, open to criticism.
- 1.4 **The Council recognises that the delivery of its strategic policies and objective cannot be done in isolation. It needs to engage with other statutory bodies and the voluntary and community sector as well as private companies commissioned to deliver services. As such the Council has an interest in ensuring that these partners have in place good governance arrangements.**
- 1.5 The *Delivering Good Governance in Local Government; Framework*, sets out seven core principles of governance as detailed in the diagram below. Bath and North East Somerset Council is committed to these principles of good governance and confirms this through the adoption, monitoring and development of this document - the Council's Local Code of Corporate Governance.
- 1.6 Our Local Code is underpinned by the *Delivering Good Governance in Local Government; Framework* and is comprised of policies, procedures, behaviours and values by which the Council is controlled and governed. These key governance areas and how the Council provides assurance that it is complying with these are set out in more detail within its Governance Assurance Framework.

- 1.7 The Council recognises that establishing and maintaining a culture of good governance is as important as putting in place a framework of policies and procedures. The Council expects members and officers to uphold the highest standards of conduct and behaviour and to act with openness, integrity and accountability in carrying out their duties.
- 1.8 All Members have an important role to play in representing their constituents, as well as acting together as the Council. Officers serve the Council as a corporate body rather than any political group, combination of groups, or individual member.
- 1.9 Members and Officers should work in an atmosphere of mutual trust and respect. Members determine the Council's policies and Officers are responsible for implementing decisions taken by the Council, Cabinet and / or the appropriate Committee as well as taking decisions delegated to them under the Scheme of Delegation. Legislation requires that certain functions be exercised by a 'proper officer'. The statutory officers with responsibilities and powers to protect good governance are the Head of Paid Service (Chief Executive), Chief Finance Officer (Section 151) and Monitoring Officer and their purpose of appointment is recorded in the Council's Constitution. In discharging these duties all parties should act in an open, honest and transparent manner.
- 1.10 For companies wholly owned, the Council will need to have regard to the accountability and governance framework in place ensuring robust Shareholder Agreements (Reserved Matters Schedule), appropriate Company Structures and reporting on Business Plans, performance and annual accounts.

2. Principles of Good Governance

2.1 This diagram illustrates how good governance is integral to supporting the delivery of the organisation's priorities.



2.2 The principles of good governance therefore describe the outcomes this code is attempting to deliver. The guidance prescribes these as follows –

- **Behaving with integrity, demonstrating strong commitment to ethical values and respecting the rule of law.**
- **Ensuring openness and comprehensive stakeholder engagement.**
- **Defining outcomes in terms of sustainable, economic, social and environmental benefits.**
- **Determining the interventions necessary to optimize the achievement of the intended outcomes.**
- **Developing the entity's capacity, including the capability of its leadership and the individuals within it.**
- **Managing risks and performance through robust internal control and strong public financial management.**
- **Implementing good practices in transparency, reporting and audit, to deliver accountability.**

2.3 Further information regarding each of the above principles and the behaviours and actions that demonstrate good governance in practice are detailed at Appendix A

3 Status

- 3.1 Regulation 6(1)(a) of the Accounts and Audit regulations 2015 (amended 2022) require an authority to conduct a review at least once in a year of the effectiveness of its systems of internal control and include a statement reporting on the review with any published statement of Accounts. This is known as an Annual Governance Statement.
- 3.2 The Accounts and Audit Regulations 2015 stipulate that the Annual Governance Statement must be prepared in accordance with proper practices in relation to accounts. Therefore a local authority in England shall provide this statement in accordance with Delivering Good Governance in Local Government Framework (2016) and this section of the Code.

4 Monitoring and review

- 4.1 The Council will monitor its governance arrangements for their effectiveness in practice and will review them on a continuing basis to ensure that they are up to date. This process of review to produce the Annual Governance Statement sets out in more detail how the Council will seek assurance on its adherence to the adopted principles of governance detailed in this code.
- 4.2 On an annual basis, the Chief Executive and Leader of the Council will therefore publish an Annual Governance Statement which will:
- assess how the Council has complied with this Code of Corporate Governance.
 - provide an opinion on the effectiveness of the Council's arrangements.
 - Provide details of how continual improvement in the systems of governance will be achieved.
- 4.3 An important component of the governance review to compile the Annual Governance Statement is the result of inspections and peer reviews / challenge. Being open to inspection is important to good governance.
- 4.4 The Corporate Audit Committee has the following corporate governance responsibility under its Terms of reference:
- To consider, prior to signature by the Leader of the Council and Chief Executive, the Annual Governance Statement (including the list of significant issues for action in the ensuing year), as prepared in accordance with the statutory requirements and guidance; and to monitor progress on the significant issues and actions identified in the Statement.
 - To monitor and promote good corporate governance within the Council and in its dealings with partner bodies and contractors, including review of the Council's Code of Corporate Governance and in any such other ways as the Committee may consider expedient (within the budget agreed by the Council).
 - To consider and make recommendations of any other matters relating to corporate governance which are properly referred to the Committee or which come to its attention e.g. the procurement of External Audit Services, monitoring the governance of Council owned companies.

5 Certification

- 5.1 We hereby certify our commitment to this Code of Corporate Governance and will ensure that the Council continues to review, evaluate and develop the Council's Governance arrangements to ensure continuous improvement of the Council's systems.

Leader of the Council

Chief Executive

Date:

Date:

Appendix A

Principle A – Behaving with integrity, demonstrating strong commitment to ethical values and respecting the rule of law		
Sub Principles	Behaviours and Actions that demonstrate good governance	What the Council has in place
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"> • Constitution (* Ref to Constitution Part) • Employee Code of Conduct (* Part 4.6) • General Employment Standards and Rules • Councillor Code of Conduct (* Part 4.2) • Protocol on Councillor / Officer Relations (*Part 4.1) • B&NES ‘Our Values and Behaviours Framework: Improving People’s Lives’ • B&NES Engagement Strategy • Employees Declaration of Interests • Employees Declaration of Gifts / Hospitality • Member Register of Interests (* Part 4.4) • Equality Policy Commitment (January 2019) • Anti-Fraud and Corruption Strategy 2022-2024 • Anti-Bribery & Corruption Policy 2022 • Whistleblowing Policy 2022 • Anti-Money Laundering Policy 2022 • Standards Committee • Policy Development & Scrutiny Panels • Financial Regulations • Contract Standing Orders

<p>Demonstrating strong commitment to ethical values</p>	<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. 	
	<ul style="list-style-type: none"> • 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. 	
<p>Respecting the rule of law</p>	<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 citizens, communities and other stakeholders. • Dealing with breaches of legal and regulatory provisions effectively. • Ensuring corruption and misuse of power are dealt with effectively. 	

Principle B – Ensuring openness and comprehensive stakeholder engagement		
Sub Principles	Behaviours and Actions that demonstrate good governance	What the Council has in place
Openness	<ul style="list-style-type: none"> • 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 consultation and engagement to determine the most appropriate and effective interventions/ courses of action. 	<ul style="list-style-type: none"> • Constitution • Committee Structure (** - see below) • Executive Forward Plan • Committee & Panel Minutes • Decision Making Register • Council website • Transparency and Publication Scheme • Corporate Strategy 2023/27 • B&NES ‘Our Values and Behaviours Framework: Improving People’s Lives’ • B&NES Engagement Strategy • Freedom of Information Request processes
Engaging comprehensively with institutional stakeholder	<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. <ul style="list-style-type: none"> - Ensuring that partnerships are based on trust 	<ul style="list-style-type: none"> • Complaints Reporting (including report to Standards Committee) • Public Consultations • Parish Charter • Annual Governance Statement (component of the Council’s Statement of Accounts)
	<ul style="list-style-type: none"> - a shared commitment to change. - a culture that promotes and accepts challenge among partners and that the added value of partnership working is explicit. 	

Engaging stakeholders effectively, including individual citizens and service users

- 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 regarding 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 how views have been taken into account.
- Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity.
- Taking account of the impact of decisions on future generations of tax payers and service users

- Voicebox annual survey – sample of households
- **Council, Cabinet (sub groups), Overview & Scrutiny, Regulatory Committees, Governance Committees including Standards Committee, Alice Park Trust, Avon Pension Fund Committee / Investment Panel, Avon Pension Fund Board, Charitable Trust Board, Corporate Audit Committee, Restructuring Implementation Committee

Principle C – Defining outcomes in terms of sustainable economic, social and environmental benefits		
Sub Principles	Behaviours and Actions that demonstrate good governance	What the Council has in place
Defining outcomes	<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. • Identifying and managing risks to the achieve 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"> • Corporate Strategy 2023/27 • Economic Strategy (Evidence Base) • Joint Health & Wellbeing Strategy • Treasury Management Strategy • Public Consultations • Medium Term Financial Plan • Annual Budget Setting • Climate Strategy and Action Plan • Ecological Emergency Action Plan • Committee Report Template (e.g. Climate Change section)
Sustainable economic, social and environmental benefits	<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"> • Procurement & Commissioning Strategy 2021-24 • Think Climate, Think Local, Think Innovation

Principle D – Determining the interventions necessary to optimise the achievement of the intended outcomes		
Sub Principles	Behaviours and Actions that demonstrate good governance	What the Council has in place
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"> • Risk Management Strategy 2019-2024 • Risk Management Toolkit including Risk Registers • Public Consultations • Medium Term Financial Strategy • Capital Programme • Capital Strategy Group • Procurement Steering Group
	<ul style="list-style-type: none"> • 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"> • Complaints and Customer Feedback Policy
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 	

Principle E – Developing the entity’s capacity, including the capability of its leadership and the individuals within it		
Sub Principles	Behaviours and Actions that demonstrate good governance	What the Council has in place
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 application of techniques such as benchmarking and other options in order to determine how resources are allocated so that defined outcomes are achieved. • Recognising the benefits of partnership working where added value can be achieved. • Developing & maintaining an effective workforce plan to enhance the strategic allocation of resources. 	<ul style="list-style-type: none"> • Constitution • Council’s Integrated Performance Framework • Member Induction • Clear Review System – staff performance management • Learning Zone (intranet training) • Response to External Review e.g. External Auditors Audit Findings Report (VFM arrangements)
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 managing the delivery of services and other outputs set by members and each provides a check and a balance for each other’s authority. 	<ul style="list-style-type: none"> • Organisational values - bold, empowered, transparent and supportive as communicated through Council’s Corporate Strategy. • Employee Induction – e.g. Code of Conduct • Protocol on Councillor / Officer Relations (* Part 4.1) • Decision Making (* Part 1.12) • Staff Survey • Employee Assistance Programme

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| | <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.- ensuring personal, organisational and system-wide development through shared learning, including lessons learnt from governance weaknesses both internal and external.- Identifying and developing talent within the Council's workforce.- Developing succession planning.• Ensuring that there are structures in place to encourage public participation.• Taking steps to consider the leadership's own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections.• Holding staff to account through regular performance reviews which take account of training.• Ensuring arrangements are in place to maintain the health and wellbeing of the workforce and support individuals in maintaining their own physical and mental wellbeing. | |
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Principle F – Managing risks and performance through robust internal control and strong public financial management		
Sub Principles	Behaviours and Actions that demonstrate good governance	What the Council has in place
<p>Managing risk</p>	<ul style="list-style-type: none"> • Recognising that risk management is 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. 	<ul style="list-style-type: none"> • Constitution (*) • Risk Management Strategy • Risk Management Toolkit incl Decision Making • Corporate Risk Management Group (Officer Group) • Committee Report Template • Corporate Risk Register and Service Risk Registers • Cyber Security Group • Integrated Performance Reporting • Council Strategic Indicator Reporting • Internal Audit Service • Corporate Audit Committee • Financial Regulations • Contract Standing Orders • Comprehensive framework of Information Governance Policies: Data Protection, Acceptable Use, Information Security, Information Sharing, and Security Incident Management Policy. • Information Sharing Agreements with public sector partners • Appointed Chief Finance Officer (S151 Officer)

<p>Managing performance</p>	<ul style="list-style-type: none"> • 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 of any organisation for which it is responsible (Or, for a committee system) Encouraging effective and constructive challenge and debate on policies and objectives to support balanced 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). 	<ul style="list-style-type: none"> • Internal Audit Service • Corporate Audit Committee • Financial Regulations • Contract Standing Orders • Quarterly and Annual Performance Cabinet Reporting • Digital, Data & Technology Strategy
<p>Robust internal control</p>	<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 the framework of governance, risk management and control is provided by the internal auditor. • 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 	

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.	
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 control.	

Principle G – Implementing good practices in transparency, reporting and audit to effective accountability		
Sub Principles	Behaviours and Actions that demonstrate good governance	What the Council has in place
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"> • Website • Public Consultations • Corporate Audit Committee • Chief Audit Executive Annual opinion (Internal Audit) • External Audit Annual Report • Statement of Accounts including Annual Governance Statement • Cyber Security Group
Implementing good practices in reporting	<ul style="list-style-type: none"> • Reporting at least annually on performance, value for money and stewardship of its 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 that this Framework is applied to jointly managed or shared service organisations as appropriate. • 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"> • Integrated Performance Reporting • Council’s Corporate and Staff Engagement Strategies • Council Strategic Indicator Reporting • Internal Audit Service

<p>Assurance and effective accountability</p>	<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 is in place, providing assurance with regard to governance arrangements and that recommendations are acted upon.• 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.	
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