



**WOKINGHAM
BOROUGH COUNCIL**

Wokingham Borough Council

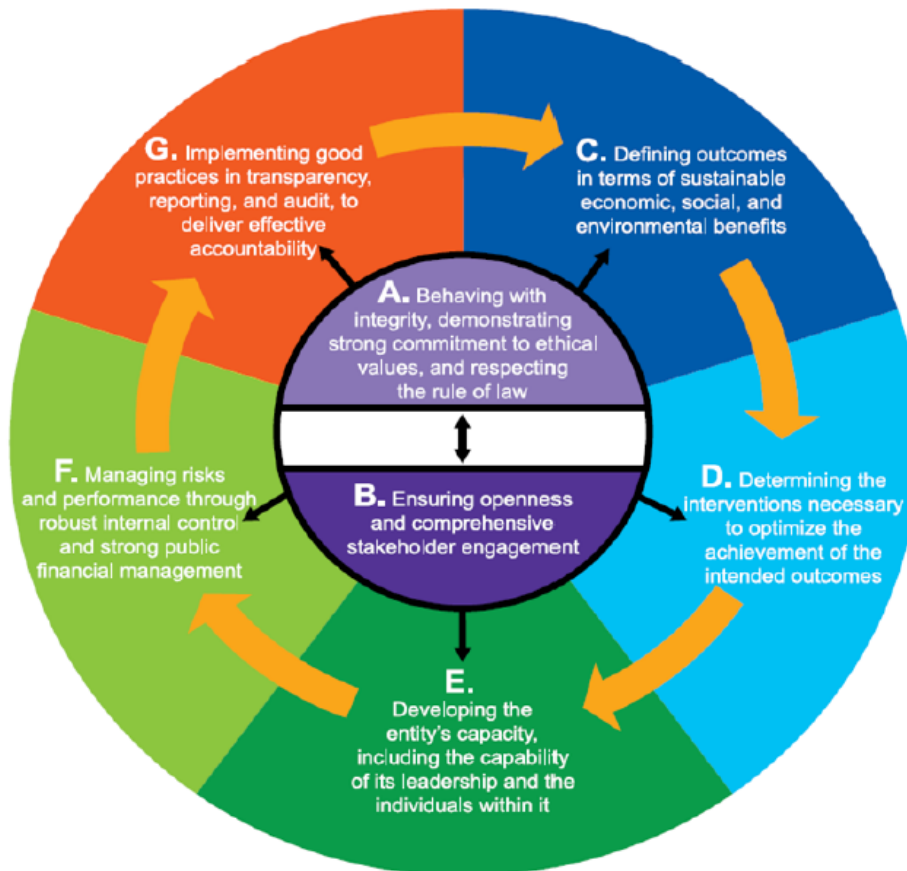
Local Code of Corporate Governance

July 2023

1. Delivering Good Governance

- 1.1 Good governance is everyone's responsibility. The Leader of the Council and the Chief Executive have a special leadership role as custodians of the Council's governance arrangements.
- 1.2 Each year an Annual Governance Statement is published with the Statement of Accounts (as required by the Accounts and Audit (England) Regulations 2015). This follows a review on the effectiveness of the Council's system of internal control and governance.
- 1.3 Good governance at Wokingham Borough Council is delivered and guided by the Chartered Institute of Public Finance & Accountancy (CIPFA) and the Society of Local Authority of Chief Executives (SOLACE): *Delivering Good Governance in Local Government – Framework (2016)* and the *International Framework: Good Governance in the Public Sector* (Chartered Institute of Public Finance and Accountancy / International Federation of Accountants, 2014).
- 1.4 The 'International Framework' defines governance as follows: "*Governance comprises the arrangements put in place to ensure that the intended outcomes for stakeholders are defined and achieved*".
It also states that:
*"To deliver good governance in the public sector, both governing bodies and individuals working for public sector entities must try to achieve their entity's objectives while acting in the public interest at all times.
Acting in the public interest implies primary consideration of the benefits for society, which should result in positive outcomes for service users and other stakeholders"*.
- 1.5 The Foreword to the 'Framework' sets out that "*Good governance requires a qualitative approach, not a mindless quantitative one. It requires integrity, objectivity, transparency, and accountability, built on a foundation of intellectual honesty. These principles are already embedded throughout this Framework, but it should be read with these fundamentals firmly in mind*".
- 1.6 The diagram below shows how the various principles of good governance in the public sector relate to each other.

Achieving the Intended Outcomes While Acting in the Public Interest at all Times



2. The Principles of Good Governance

- 2.1 The Framework requires governance processes and structures to focus on the attainment of sustainable outcomes for the economy, society and the environment.
- 2.2 Principles A and B are overarching principles and spread through all other principles C to G and ensure that the Council achieves its intended outcomes while acting in the public interest at all times. This requires:
- A. Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law.**
 - B. Ensuring openness and comprehensive stakeholder engagement.**
- 2.3 In addition to the overarching requirements for acting in the public interest in principles A and B, achieving good governance in the public sector also requires effective arrangements for:
- C. Defining outcomes in terms of sustainable economic, social, and environmental benefits.**
 - D. Determining the interventions necessary to optimise the achievement of the intended outcomes.**
 - E. Developing the Council's capacity, including the capability of its leadership and the individuals within it.**

F. Managing risks and performance through robust internal control and strong public financial management.

G. Implementing good practices in transparency, reporting, and audit to deliver effective accountability.

3. Governance Responsibilities

- 3.1 The Chief Executive and the Leader will be responsible for championing and role modelling good governance, in the spirit of this Code.
- 3.2 The Section 151 Officer and Monitoring Officer will undertake their statutory duties in accordance with the principles of good governance, supporting and challenging the Chief Executive and Leader where necessary.
- 3.3 Directors will promote the principles of good governance within their Directorates, seek specialist support where the principles are not upheld and complete an annual review of governance.
- 3.4 Chief Internal Auditor will report annually to the Audit Committee on audit activities during the year, with particular emphasis on the systems of internal control and the arrangements for corporate governance, providing some of the assurance required in the Annual Governance Statement
- 3.5 Assistant Directors will promote the principles of good governance, seek support where the principles are not upheld and complete an annual review of governance via a Management Assurance Statement.
- 3.6 All staff will undertake their duties in accordance with the principles of good governance above, the Nolan Principles of standards in public life: Selflessness, Integrity, Objectivity, Accountability, Openness, Honesty & Leadership and their professional codes of practice.

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. The process of review to produce the Annual Governance Statement will assess in more detail how the Council has performed in 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 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.

5. Certification

We hereby endorse 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 – Stephen Conway

Chief Executive – Susan Parsonage

How the Council ensures good governance:

Principle A - Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law.

Supporting Principles	To embed the behaviour and actions that demonstrate good governance, the council is committed to:	This is demonstrated by:
Behaving with integrity.	<ul style="list-style-type: none"> □ Ensure that 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. □ Ensure that 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 will build on the Seven Principles of Public Life (The Nolan Principles). □ Lead by example and using the above standard operating principles or values as a framework for decision making and other actions. □ Demonstrate, communicate, and embed 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. <p>Assurance Mechanism Standards Committee Annual Report Annual Governance Statement</p>	<ul style="list-style-type: none"> □ The Council's values □ The Community Vision and Corporate Delivery Plan □ The Constitution □ Standards Committee □ Member and Officer Codes of Conduct □ Member Declarations of Interests, Register of Interests and details of Gifts and Hospitality are published on the Council's website □ Officer declarations of interest □ Officer job descriptions and Appraisals □ Member and Officer induction and training □ Whistleblowing and counter-fraud arrangements
Demonstrating strong commitment to ethical values.	<ul style="list-style-type: none"> □ Seek to establish, monitor and maintain the organisation's ethical standards and performance. □ Underpin personal behaviour with ethical values and ensure they permeate all aspects of the organisation's culture and operation. □ Develop and maintain robust policies and procedures which place emphasis on agreed ethical values. □ Ensure 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>Assurance Mechanism Standards Committee Annual Report Personnel Board Annual Governance Statement</p>	<ul style="list-style-type: none"> □ The Council's values □ The Constitution □ Standards Committee □ Overview & Scrutiny Committees □ Regulatory and other Committees □ Codes of Conduct □ Member and Officer induction and training □ Member Declarations of Interests, Register of Interests and details of Gifts and Hospitality are published on the Council's website □ Officer declarations of interest

		<input type="checkbox"/> Equality Policy / Equality Forum <input type="checkbox"/> Procurement and Contract rules, and procedures
Respecting the rule of law.	<input type="checkbox"/> Ensure that members and staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations. <input type="checkbox"/> Create 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. <input type="checkbox"/> Strive to optimise the use of the full powers available for the benefit of citizens, communities, and other Stakeholders. <input type="checkbox"/> Deal with breaches of legal and regulatory provisions effectively. <input type="checkbox"/> Ensure that corruption and misuse of power are dealt with effectively. Assurance Mechanism Standards Committee Annual Report Audit Committee Annual Report Local Government and Social Care Ombudsman Annual Letter	<input type="checkbox"/> Legal and finance senior officers review reports going for Member decision making. <input type="checkbox"/> Project Sponsors have responsibility to secure legal and finance advice for projects <input type="checkbox"/> Corporate complaints, compliments, and monitoring procedures. <input type="checkbox"/> Ombudsman process <input type="checkbox"/> Companies – Compliance with Companies Act and Directors duties <input type="checkbox"/> Head of Paid Service post / advice <input type="checkbox"/> S151 officer post / advice <input type="checkbox"/> Monitoring Officer post / advice <input type="checkbox"/> The Constitution <input type="checkbox"/> Roles, responsibilities, and competencies <input type="checkbox"/> Anti-Fraud and Corruption Policy <input type="checkbox"/> Whistleblowing Policy <input type="checkbox"/> Data Protection Policy

Principle B - Ensuring openness and comprehensive stakeholder engagement.

Supporting Principles	To embed the behaviour and actions that demonstrate good governance, the council is committed to:	This is demonstrated by:
Openness.	<input type="checkbox"/> Ensure an open culture through demonstrating, documenting and communicating the organisation's commitment to openness. <input type="checkbox"/> Make decisions that are open about actions, plans, resource use, forecasts, outputs and outcomes. <input type="checkbox"/> Provide 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, ensure that the impact and consequences of those decisions are clear. <input type="checkbox"/> Use formal and informal consultation and engagement to determine the most appropriate and effective	<input type="checkbox"/> The Council's values <input type="checkbox"/> The Community Vision and Corporate Delivery Plan <input type="checkbox"/> WBC website <input type="checkbox"/> Committee meetings documentation, standard report templates and minutes

	<p>interventions / courses of action.</p> <p>Assurance Mechanism Publication Scheme Public Meetings Senior Information Risk Owner Report Annual Governance Statement</p>	<input type="checkbox"/> Call-in periods for Executive decisions <input type="checkbox"/> Overview & Scrutiny <input type="checkbox"/> Forward Plan <input type="checkbox"/> Publication Scheme <input type="checkbox"/> Engage Consultation Platform and e-Petitions <input type="checkbox"/> Transparency webpages <input type="checkbox"/> Freedom of Information processes <input type="checkbox"/> HR Policies and procedures <input type="checkbox"/> Equality Framework and Equality Impact Assessments
<p>Engaging stakeholders effectively, including individual citizens and service users.</p>	<input type="checkbox"/> Establish 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. <input type="checkbox"/> Ensure that communication methods are effective, and that members and officers are clear about their roles with regard to community engagement. <input type="checkbox"/> Encourage, collect and evaluate the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs. <input type="checkbox"/> Implement effective feedback mechanisms in order to demonstrate how views have been taken into account. <input type="checkbox"/> Balance feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity <input type="checkbox"/> Take account of the impact of decisions on future generations of taxpayers and service users. <p>Assurance Mechanism Annual Governance Statement</p>	<input type="checkbox"/> Engage Consultation Platform and e-Petitions <input type="checkbox"/> Corporate complaints, compliments, and monitoring procedures <input type="checkbox"/> Customer Excellence Strategy <input type="checkbox"/> Public attendance at meetings and web stream <input type="checkbox"/> Annual Budget consultation <input type="checkbox"/> Wokingham Borough News
<p>Engaging comprehensively with institutional stakeholders.</p>	<input type="checkbox"/> Effectively engage 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. <input type="checkbox"/> Develop formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively. <input type="checkbox"/> Ensure that partnerships are based on: <ul style="list-style-type: none"> - trust; - a shared commitment to change; 	<input type="checkbox"/> The Community Vision and Corporate Delivery Plan <input type="checkbox"/> Local Enterprise Partnership <input type="checkbox"/> Joint Strategic Needs Assessment <input type="checkbox"/> Joint Health and Wellbeing Board <input type="checkbox"/> Community Safety Partnership

	<ul style="list-style-type: none"> - a culture that promotes and accepts challenge among partners; and, - that the added value of partnership working is explicit. <p>Assurance Mechanism Annual Governance Statement Overview and Scrutiny Annual Report</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Berkshire West Children’s Safeguarding partnership <input type="checkbox"/> Wokingham Integrated Partnership <input type="checkbox"/> Children and Young People Partnership <input type="checkbox"/> Business, Skills and Enterprise Partnership <input type="checkbox"/> Place Based Partnership
--	--	--

Principle C - Defining outcomes in terms of sustainable economic, social, and environmental benefits

Supporting Principles	To embed the behaviour and actions that demonstrate good governance, the council is committed to:	This is demonstrated by:
Defining outcomes.	<ul style="list-style-type: none"> <input type="checkbox"/> Have 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. <input type="checkbox"/> Specify 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. <input type="checkbox"/> Deliver defined outcomes on a sustainable basis within the resources that will be available. <input type="checkbox"/> Identify and manage risks to the achievement of outcomes. <input type="checkbox"/> Manage service users’ expectations effectively with regard to determining priorities and making the best use of the resources available. <p>Assurance Mechanism Community Vision Council Annual Report</p>	<ul style="list-style-type: none"> <input type="checkbox"/> The Community Vision and Corporate Delivery Plan <input type="checkbox"/> Directorate and Service Plans <input type="checkbox"/> Medium Term Financial Plan <input type="checkbox"/> Capital Strategy <input type="checkbox"/> Statement of Accounts <input type="checkbox"/> Corporate Risk Register and project risk assessments
Sustainable economic, social, and environmental benefits.	<ul style="list-style-type: none"> <input type="checkbox"/> Consider and balance the combined economic, social and environmental impact of policies and plans when taking decisions about service provision. <input type="checkbox"/> Take 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. <input type="checkbox"/> Determine 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. <input type="checkbox"/> Ensure fair and equal access to services. <p>Assurance Mechanism Council Annual Report Equality Annual Report</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Standard templates for Business Cases and Executive papers <input type="checkbox"/> MTFP, Capital and Investment Strategies <input type="checkbox"/> The Community Vision and Corporate Delivery Plan <input type="checkbox"/> Directorate and Service Plans <input type="checkbox"/> Adults social care strategies and policies <input type="checkbox"/> Children’s social care strategies and policies. <input type="checkbox"/> Climate Emergency Action Plan <input type="checkbox"/> Health & Wellbeing Strategy <input type="checkbox"/> Development and Planning Policies – Local Plan <input type="checkbox"/> Housing Strategy

		<input type="checkbox"/> Equality Framework and Equality Impact Assessments
--	--	---

Principle D - Determining the interventions necessary to optimise the achievement of the intended outcomes.

Supporting Principles	To embed the behaviour and actions that demonstrate good governance, the council is committed to:	This is demonstrated by:
Determining interventions.	<ul style="list-style-type: none"> <input type="checkbox"/> Ensure that 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. <input type="checkbox"/> Consider 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. <p>Assurance Mechanism Annual Governance Statement</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Standard templates for Business Cases and Executive papers <input type="checkbox"/> Engage Consultation Platform and e-Petitions <input type="checkbox"/> Corporate complaints, compliments and monitoring procedures. <input type="checkbox"/> Annual Budget consultation
Planning interventions.	<ul style="list-style-type: none"> <input type="checkbox"/> Establish and implement robust planning and control cycles that cover strategic and operational plans, priorities and targets. <input type="checkbox"/> Engage with internal and external stakeholders in determining how services and other courses of action should be planned and delivered. <input type="checkbox"/> Consider and monitor risks facing each partner when working collaboratively, including shared risks. <input type="checkbox"/> Ensuring arrangements are flexible and agile so that the mechanisms for delivering goods and services can be adapted to changing circumstances. <input type="checkbox"/> Establish 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. <input type="checkbox"/> Ensure that capacity exists to generate the information required to review service quality regularly. <input type="checkbox"/> Prepare budgets in accordance with objectives, strategies and the medium-term financial plan. <input type="checkbox"/> Inform medium- and long-term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy. <p>Assurance Mechanism Overview and Scrutiny Annual Report Chief Financial Officer Report</p>	<ul style="list-style-type: none"> <input type="checkbox"/> The Community Vision and Corporate Delivery Plan <input type="checkbox"/> Directorate and Service Plans <input type="checkbox"/> MTFP, Capital and Investment Strategies. <input type="checkbox"/> Engage Consultation Platform and e-Petitions <input type="checkbox"/> Performance Indicators <input type="checkbox"/> Corporate and service risk registers <input type="checkbox"/> Project management policies and guidance

<p><i>Optimising achievement of intended outcomes.</i></p>	<ul style="list-style-type: none"> □ Ensure that the medium term financial strategy integrates and balances service priorities, affordability and other resource constraints. □ Ensure that the budgeting process is all-inclusive, taking into account the full cost of operations over the medium and longer term. □ Ensure that 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. □ Ensure that the achievement of ‘social value’ through service planning and commissioning (The Public Services (Social Value) Act 2012 states that this is “the additional benefit to the community.... over and above the direct purchasing of goods, services and outcomes”). <p>Assurance Mechanism Overview and Scrutiny Annual Report Chief Financial Officer Report</p>	<ul style="list-style-type: none"> □ MTFP, Capital and Investment Strategies □ Capital and revenue monitoring and reporting to officers and Members □ Annual budget consultation □ Engage Consultation Platform and e-Petitions □ Procurement Strategy includes social value
--	--	---

Principle E - Developing the Council's capacity, including the capability of its leadership and the individuals within it

Supporting Principles	To embed the behaviour and actions that demonstrate good governance, the council is committed to:	This is demonstrated by:
<p>Developing the entity's capacity.</p>	<ul style="list-style-type: none"> □ Review operations, performance and use of assets on a regular basis to ensure their continuing effectiveness. □ Improve resource use through appropriate application of techniques such as benchmarking and other options in order to determine how resources are allocated so that defined outcomes are achieved effectively and efficiently. □ Recognise the benefits of partnerships and collaborative working where added value can be achieved □ Develop and maintain an effective workforce plan to enhance the strategic allocation of resources. <p>Assurance Mechanism Overview and Scrutiny Annual Report Chief Financial Officer Report Personnel Board</p>	<ul style="list-style-type: none"> □ The Community Vision and Corporate Delivery Plan □ Asset Management Plan □ Benchmarking within Directorate and Service plans □ Local Enterprise Partnership Arrangements □ Joint Strategic Needs Assessment □ Joint Health and Wellbeing Strategy □ Community Safety Partnership □ Berkshire West Children's Safeguarding partnership □ Wokingham Integrated Partnership □ Children and Young People Partnership □ Business, Skills and Enterprise Partnership □ Place Based Partnership
<p>Developing the entity's leadership and the capability of individuals within the entity.</p>	<ul style="list-style-type: none"> □ Develop 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. □ Publish a statement that specifies the types of decisions that are delegated and those reserved for the collective decision making of the governing body. □ Ensure that 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"> □ Member / officer protocol □ Constitution including delegated powers □ Training plans for officers and Members □ Standard induction and training for both officers and Members □ Mandatory e-learning modules □ Intranet guidance, policies and procedures

	<ul style="list-style-type: none"> □ Develop 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. □ Ensure that there are structures in place to encourage public participation. □ Take steps to consider the leadership's own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections. □ Hold staff to account through regular performance reviews which take account of training or development needs. □ Ensure that arrangements are in place to maintain the health and wellbeing of the workforce and support individuals in maintaining their own physical and mental wellbeing. <p>Assurance Mechanism Personnel Board Annual Governance Statement</p>	<ul style="list-style-type: none"> □ Corporate recruitment processes with job profiles and competencies □ Appraisals and 121s □ Staff surveys □ Apprenticeship scheme □ Peer Reviews – council and service specific □ Companies – Companies Act, Articles of Association, Directors duties □ Health and Wellbeing policies, guidance, and events
--	---	---

Principle F - Managing risks and performance through robust internal control and strong public financial management.

Supporting Principles	To embed the behaviour and actions that demonstrate good governance, the council is committed to:	This is demonstrated by:
<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. <p>Assurance Mechanism Audit Committee Annual Report</p>	<ul style="list-style-type: none"> □ Risk Management Policy and Guidance □ Risk Maturity Assessment □ Corporate Risk Register □ Directorate and Service risk Registers □ Standard templates for Executive decision making

	Annual Governance Statement	<input type="checkbox"/> Audit Committee <input type="checkbox"/> Overview & Scrutiny panels <input type="checkbox"/> Audit & Investigation
Managing performance.	<input type="checkbox"/> Monitor service delivery effectively including planning, specification, execution and independent post implementation review <input type="checkbox"/> Make 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. <input type="checkbox"/> Ensure that 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. <input type="checkbox"/> Provide members and senior management with regular reports on service delivery plans and on progress towards outcome achievement. <input type="checkbox"/> Ensure that there is consistency between specification stages (such as budgets) and post implementation reporting (e.g. financial statements). Assurance Mechanism Overview and Scrutiny Annual Report	<input type="checkbox"/> Performance reporting framework to officers and Members <input type="checkbox"/> Standard templates for Executive decision making <input type="checkbox"/> Overview & Scrutiny panels and quarterly performance reporting to them <input type="checkbox"/> Directorate and Service plans <input type="checkbox"/> MTFP <input type="checkbox"/> Capital and revenue budget Monitoring <input type="checkbox"/> Statement of Accounts <input type="checkbox"/> Project monitoring <input type="checkbox"/> Internal and External Audit reports <input type="checkbox"/> Peer reviews / inspections
Robust internal control.	<input type="checkbox"/> Align the risk management strategy and policies on internal control with achieving objectives. <input type="checkbox"/> Evaluate and monitor risk management and internal control on a regular basis. <input type="checkbox"/> Ensure that effective counter fraud and anti-corruption arrangements are in place. <input type="checkbox"/> Ensure that additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor. <input type="checkbox"/> Ensure an audit committee 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; and, - That its recommendations are listened to and acted upon. Assurance Mechanism Audit Committee Annual Report Internal Audit Annual Opinion External Audit Annual Audit Letter Chief Financial Officer Report	<input type="checkbox"/> Internal Audit & Investigation annual plan <input type="checkbox"/> External Audit <input type="checkbox"/> Audit Committee <input type="checkbox"/> Anti-Fraud and Corruption Policy <input type="checkbox"/> Whistleblowing Policy <input type="checkbox"/> Anti-Money Laundering Policy <input type="checkbox"/> Financial Procedure Rules, Regulations and Contract Standing Orders <input type="checkbox"/> Chief Audit Executive annual report <input type="checkbox"/> Audit Committee Effectiveness Review <input type="checkbox"/> Risk Management Strategy and

		Policy
Strong public financial management.	<p>☐ Ensure that financial management supports both long term achievement of outcomes and short-term financial and operational performance.</p> <p>☐ Ensure that well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls.</p> <p>Assurance Mechanism Chief Financial Officer Report External Audit Annual Audit Letter</p>	<p>☐ MTFP</p> <p>☐ Financial Regulations / Contract Standing Orders</p> <p>☐ Capital and revenue reporting to officers and Members</p> <p>☐ Standard templates for Executive decision making</p> <p>☐ Annual budget process</p> <p>☐ Assessment against Cipfa Financial Management Code</p>
Managing data	<p>☐ Ensure that effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data.</p> <p>☐ Ensure that effective arrangements are in place and operating effectively when sharing data with other bodies.</p> <p>☐ Review and audit regularly the quality and accuracy of data used in decision making and performance monitoring.</p> <p>Assurance Mechanism Senior Information Risk Owner Report Annual Governance Statement</p>	<p>☐ Information Security and Acceptable Use of ICT Policy</p> <p>☐ Data Protection / GDPR Guidelines</p> <p>☐ Privacy Notices</p> <p>☐ Mandatory GDPR e-learning</p> <p>☐ Data sharing agreements with Partners</p> <p>☐ E-mail security classification</p> <p>☐ Freedom of Information policy</p> <p>☐ Records Retention guidance</p> <p>☐ Internal Audit</p> <p>☐ Caldicott Guardian</p> <p>☐ Data & Information Governance Board</p>

Principle G - Implementing good practices in transparency, reporting, and audit to deliver effective accountability.

Supporting Principles	To embed the behaviour and actions that demonstrate good governance, the council is committed to:	This is demonstrated by:
<p>Implementing good practices in transparency.</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Write and communicate 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. <input type="checkbox"/> Strike 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. <p>Assurance Mechanism Transparency Data Public Meetings Senior Information Risk Owner Report Annual Governance Statement</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Standard templates for public reports <input type="checkbox"/> Committee Agendas, papers and minutes published <input type="checkbox"/> Forward Plan <input type="checkbox"/> Publication Scheme <input type="checkbox"/> Only using Part 2 reporting for the purposes intended <input type="checkbox"/> Website streaming of meetings and public questions <input type="checkbox"/> Transparency Data published <input type="checkbox"/> Annual Governance Statement <input type="checkbox"/> Companies – Companies House reporting and submissions
<p>Implementing good practices in reporting.</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Report at least annually on performance, value for money and stewardship of resources to stakeholders in a timely and understandable way. <input type="checkbox"/> Ensure that members and senior management own the results reported. <input type="checkbox"/> Ensure that 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). <input type="checkbox"/> Ensure that this Framework is applied to jointly managed or shared service organisations as appropriate. <input type="checkbox"/> Ensure 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. <p>Assurance Mechanism Audit Committee Annual Report Chief Finance Officer Annual Report</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Statement of Accounts <input type="checkbox"/> Annual Governance Statement and improvement plan <input type="checkbox"/> Annual External Audit report and Letter
<p>Assurance and effective accountability.</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Ensure that recommendations for corrective action made by external audit are acted upon. <input type="checkbox"/> Ensure that 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. 	<ul style="list-style-type: none"> <input type="checkbox"/> External Audit reporting to Audit Committee <input type="checkbox"/> Internal Audit reporting to Audit Committee

	<ul style="list-style-type: none"> <input type="checkbox"/> Welcome peer challenge, reviews and inspections from regulatory bodies and implementing recommendations. <input type="checkbox"/> Gain assurance on risks associated with delivering services through third parties and that this is evidenced in the Annual Governance Statement. <input type="checkbox"/> Ensure that when working in partnership, arrangements for accountability are clear and the need for wider public accountability has been recognised and met. <p>Assurance Mechanism Audit Committee Annual Report External Assurance Providers Ofsted/Care Quality Commission</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Peer reviews / inspections published results and monitoring of outcomes <input type="checkbox"/> Overview & Scrutiny panels
--	---	---