

Nuneaton & Bedworth



Local Code Corporate Governance

Introduction

In July 2014 CIPFA, in association with the International Federation of Accountants (IFAC), published the International Framework: Good Governance in the Public Sector. The International Framework supersedes the 2004 CIPFA/OPM Good Governance Standard for the Public Services. It places the attainment of sustainable economic, societal, and environmental outcomes as a key focus of governance structures and processes and stresses the importance of taking account of the impact of current decisions and actions on future generations.

The core principles and sub-principles from the International Framework have been interpreted for a local government context in Delivering Good Governance in Local Government: Framework (CIPFA/Solace 2016).

Nuneaton and Bedworth Borough Council is committed to the principles of good governance and aims to demonstrate its ongoing commitment through the development and adoption of a Local Code of Corporate Governance in line with the CIPFA/Solace 2016 Framework. This document, which is Nuneaton and Bedworth Borough Council's "Local Code of Corporate Governance", therefore sets out and describes the Council's commitment to corporate governance, and to ensure its effective implementation and application in all areas of the Council's work.

What is Good Governance?

Nuneaton and Bedworth Borough Council has adopted the definition of Corporate Governance as stated in the International Framework: Good Governance in the Public Sector (CIPFA/IFAC 2014) (the 'International Framework') which defines governance as:

'The arrangements put in place to ensure that the intended outcomes for stakeholders are defined and achieved'.

The International Framework 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.

Principles of Good Governance

The diagram below, taken from the International Framework, illustrates the principles of good governance in the public sector and how they relate to each other. Nuneaton and Bedworth Borough Council positively recognises and accepts these underlying principles of good governance.



Principles A and B permeate implementation of principles C to G. The diagram also illustrates that good governance is dynamic, and that an entity as a whole should be committed to improving governance on a continuing basis through a process of evaluation and review.

Responsibilities

Elected members are collectively responsible for the governance of Nuneaton and Bedworth Borough Council. The responsibilities include:

- Agreeing the Council’s constitution, comprising the key governance documents including the executive arrangements and making major changes to reflect best practice;
- Agreeing the policy framework including key strategies and agreeing the budget;
- Appointing the chief officers; and
- Appointing committees responsible for overview and scrutiny functions, audit and regulatory matters and also appointing members to them.

The Council’s Management Team and other Senior Managers are responsible for:

- Advising the Cabinet and other committees on legislative, financial and other policy considerations to achieve the aims and objectives of Nuneaton and Bedworth Borough Council;
- Implementing councillors decisions; and

- Service performance.

Annual Review and Reporting

Nuneaton and Bedworth Borough Council is required to prepare an annual governance statement in order to report publicly on the extent to which it complies with its code of governance. This includes how it has monitored and evaluated the effectiveness of its governance arrangements in the year, and on any planned changes in the coming period. The process of preparing the governance statement should in itself add value to the effectiveness of the governance and internal control framework.

The annual governance statement includes:

- An acknowledgment of responsibility for ensuring that there is a sound system of governance, incorporating the system of internal control, and reference to the Council's code of governance;
- Reference to and assessment of the effectiveness of the key elements of the governance framework and the role of those responsible for the development and maintenance of the governance environment, such as the Management team, the Audit Committee, Internal Audit and others as appropriate;
- An opinion on the level of assurance that the governance arrangements can provide and that the arrangements continue to be regarded as fit for purpose in accordance with the governance framework;
- An action plan showing actions taken, or proposed, to deal with significant governance issues; reference to how issues raised in the previous year's annual governance statement have been resolved; and
- A conclusion.

Nuneaton and Bedworth Borough Council's annual governance statement shall be approved by the Council's audit committee and shall be published with the statement of accounts. The approved statement shall be signed by the Leader and the Executive Director – Operations is the Head of Paid Service.

Principles of Good Governance (in bold)	Sub Principles (in bold) and behaviours and actions that demonstrate good governance in practice	Examples of systems, processes, documentation and other evidence demonstrating compliance
<p>A. Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law</p> <p>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 of their actions across all activities and have mechanisms in place to encourage and enforce adherence to ethical values and to respect the rule of law.</p>	<p>Behaving with integrity</p> <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 	<ul style="list-style-type: none"> • Codes of Conduct for employees and members • Induction for new members and staff on the standard of behaviour expected • Annual Personal Development Reviews for employees • Protocol for member and employee relations • Employee vision and values • Codes of Conduct for members and employees • Corporate Plan key aims and priorities • Declarations of interests made at all meetings which are documented in the minutes • Meeting Protocols • Audit and Standards Committee • Rules of Procedure in the Council’s Constitution

Principles of Good Governance (in bold)	Sub Principles (in bold) and behaviours and actions that demonstrate good governance in practice	Examples of systems, processes, documentation and other evidence demonstrating compliance
	<ul style="list-style-type: none"> • 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 <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 	<ul style="list-style-type: none"> • Register gifts and hospitality for members and employees, which is published on the Council’s website • Register of interests for members • Anti-fraud and Corruption Policy and Fraud Response Plan • Whistleblowing Policy to protect individuals who express concerns • Whistleblowing officer appointed to be a first point of contact • Members and employees Code of Conduct requires all interests to be declared • Minutes of meetings demonstrate that declarations of interest have been declared <ul style="list-style-type: none"> • Scrutiny of decision making process and call-in procedure • Audit and Standards Committee review gifts and hospitality register and declarations of interest annually • Robust recruitment and selection process

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	<ul style="list-style-type: none"> • 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"> • Employee vision and values • Codes of Conduct for employees and members • Annual Development Reviews for employees • One of the aims of the Annual Development Review is for employees to understand their role in the context of the Council’s aims and values • Procurement Policies • Contract Procedure Rules • Selection and Recruitment Policy • Partnership Framework which provides guidance to support the planning and delivery of effective partnership working and to ensure that any partnerships the Council is involved in are managed with appropriate governance arrangements • Procurement Policies • Contract Procedure Rules • Procurement Strategy and Toolkit

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	<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 	<ul style="list-style-type: none"> • Corporate e-procurement system • Contracts database • Council’s Constitution, which now includes all governance related policies • Codes of Conduct for employees and members • Job descriptions and specifications • Monitoring Officer Protocol in the Council’s Constitution • Protocol for the Offices of the Mayor and Deputy Mayor • Codes of Conduct for employees and members • Functions of the Monitoring Officer and the Chief Financial Officer as set out in the Constitution includes ensuring the lawfulness, fairness and financial prudence of decision making • The Executive Director - Resources is designated as the s151 officer

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	<ul style="list-style-type: none"> • 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 	<ul style="list-style-type: none"> • Delegated decisions taken by officers are recorded and published on the Council’s website • Functions of the Monitoring Officer • Audit and Standards Committee • Anti-Fraud, Corruption and Bribery Policy • Fraud Response Plan • Disciplinary Policy • Codes of Conduct for employees and members
<p>B. Ensuring openness and comprehensive stakeholder engagement</p> <p>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.</p>	<p>Openness</p> <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 	<ul style="list-style-type: none"> • Data Transparency website page • Freedom of Information Act • Online information • Public access period after the financial accounts have been completed • Record of decision making • Forward Plan • Minutes of Committee meetings published on the Council’s website

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	<p>the reasoning for keeping a decision confidential should be provided</p> <ul style="list-style-type: none"> • 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"> • Business case is required for all major projects • Post project reviews reported to the Corporate Asset Management Team (CAMT) • Corporate Plan and Corporate Plan Delivery Plan • Committee report templates • Decision making protocol and call-in procedure • Committee timetable giving dates for submitting, publishing and distributing timely committee reports is adhered to • Surveys completed e.g. equalities and satisfaction with parks and open spaces • Borough Plan consultations • Communication Strategy ‘Loud and Clear’ • Lean systems methodology

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	<p>Engaging comprehensively with institutional stakeholders NB institutional stakeholders are the other organisations that local government needs to work with to improve services and outcomes (such as commercial suppliers and partners 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 are achieved successfully and sustainably • Developing formal and informal partnerships to allow for resources to be used efficiently and outcomes achieved more effectively 	<ul style="list-style-type: none"> • Borough Plan consultations • Communication Strategy ‘Loud and Clear’ • Regular meetings with other stakeholders e.g. Warwickshire County Council and Police • Examples of effective partnerships e.g. Building Control, Procurement, Insurance, Vehicle Maintenance and Commercial Waste • NABCEL • Heart Partnership

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	<ul style="list-style-type: none"> • Ensuring that partnerships are based on: <ul style="list-style-type: none"> ➤ Trust ➤ A shared commitment to change ➤ A culture that promotes and accepts challenge among partners <p>And that the added value of partnership working is explicit</p> <p>Engaging with individual citizens and service users effectively</p> <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 	<ul style="list-style-type: none"> • Partnership Framework • Partnership Agreements • Service Level Agreements • Data Sharing Protocols <ul style="list-style-type: none"> • Partnership Framework • Borough Plan • Communication Strategy ‘Loud and Clear’ • Customer feedback sought at the point of delivery • Lean systems methodology <ul style="list-style-type: none"> • Communication Strategy ‘Loud and Clear’ • Use of Twitter social media • In-touch magazine

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	<ul style="list-style-type: none"> • 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 	<ul style="list-style-type: none"> • Communication Strategy ‘Loud and Clear’ • Surveys undertaken with residents • Service related questionnaires • Elected Member surgeries • Communication Strategy ‘Loud and Clear’ • Community Forums • Residents Partnerships • Community Action Network • Community asset transfer
<p>C. Defining outcomes in terms of sustainable economic, social and environmental benefits</p> <p>The long term nature and impact of many of local government’s responsibilities mean</p>	<p>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 	<ul style="list-style-type: none"> • Corporate Plan and Corporate Plan Delivery Plan • TEN performance management system

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<p>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 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>	<p>performance indicators, which provide the basis for the organisation’s overall strategy, planning and other decisions</p> <ul style="list-style-type: none"> • 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 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"> • Management Team performance reports • Corporate Plan and Corporate Plan Delivery Plan • Community engagement • Corporate Plan Delivery Plan • Risk Management Policy and Strategy • Integrated Finance and Performance reports • Corporate Plan Delivery Plan • Integrated Finance and Performance Reports • Lean system reviews

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	<p>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"> • Report templates and summaries which consider the impact of the proposed decision and all other options available • Record of the decision in minutes and supporting materials • Discussion between members and officers at meetings on the information needs of members to support the decision making process • Communication Strategy ‘Loud and Clear’ • Borough Plan • Cemetery provision • Equality Policy • Equality Impact Assessments

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<p>D. Determining the interventions necessary to optimise the achievement of the intended outcomes</p> <p>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 operations. Decisions made need to be reviewed frequently to ensure that achievement of outcomes is optimised.</p>	<p>Determining interventions</p> <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 <p>Planning interventions</p> <ul style="list-style-type: none"> • Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets 	<ul style="list-style-type: none"> • Report templates and summaries which consider the impact of the proposed decision including associated risks and option appraisals • Discussion between members and officers at meetings on the information needs of members to support the decision making process • Lean systems methodology • Audit and Standards Committee reports on complaints received by the Ombudsman • Integrated Finance and Performance Reports • Review of the Risk Registers • Corporate Governance Group • Management Team

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	<ul style="list-style-type: none"> • Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered • 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 	<ul style="list-style-type: none"> • Health and Safety Co-ordinators Group (HASCOG) • Communication Strategy ‘Loud and Clear’ • Lean system reviews • Surveys with residents • Borough Plan consultation exercises • Select Committees • Partnership Framework • Risk Management Policy and Strategy • Strategic and Operational Risk Registers • Business Continuity Plans • Strategic and Tactical Co-ordinating Groups • Performance Management Framework • TEN performance management system

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	<ul style="list-style-type: none"> • 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 <p>Optimising achievement of intended outcomes</p> <ul style="list-style-type: none"> • Ensuring the medium term financial strategy integrates and balances service priorities, affordability and other resource constraints 	<ul style="list-style-type: none"> • Performance management reports to the management team and scrutiny panels • Dedicated Performance and Risk Management Officer • 2 Executive Directors and 4 Directors • 30 plus Senior Managers • TEN system • Evidence that budgets, plans and objectives are aligned • Medium Term Financial Plan • HRA Business Plan covering revenue, capital and debt repayment over the next 30 years • Medium Term Financial Plan • Corporate Plan Delivery Plan • HRA Business Plan

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	<ul style="list-style-type: none"> • 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"> • Budget Book • Medium Term Financial Plan • HRA Business Plan • Integrated Finance and Performance Reports • Contract Procedure Rules cover Social Value Act, which is the additional benefits to the community, over and above the direct purchasing of goods and services
<p>E. Developing the entity’s capacity, including the capability of its leadership and the individual within it</p> <p>Local government needs appropriate structures and leadership, as well as people with the right skills, appropriate qualifications and mind set, to operate</p>	<p>Developing the entity’s capacity</p> <ul style="list-style-type: none"> • Reviewing operations, performance and use of assets on a regular basis to ensure their continuing effectiveness 	<ul style="list-style-type: none"> • Integrated Finance and Performance Reports • Corporate Plan Delivery Plan

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<p>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 communities</p>	<ul style="list-style-type: none"> • Improving 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 • 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 <p>Developing the capability of the entity's leadership and other individuals</p> <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 	<ul style="list-style-type: none"> • Benchmarking is being introduced as part of the performance management reports • Partnership Framework • Reports to members on key partnerships • Workforce plan • Planning for the future • Executive Directors job descriptions are endorsed by the Leader • Leader sits and chairs the ED's interview panel • Regular monthly meetings between the ED's and Leader to discuss the

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	<ul style="list-style-type: none"> • 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 • Developing the capabilities of members and senior management to achieve effective leadership and to enable the organisation to respond successfully to changing legal and 	<p>Authority's direction, vision and leadership</p> <ul style="list-style-type: none"> • Monthly Informal Cabinet meetings discuss matters of importance e.g. budget issues and future direction • Scheme of Delegation • Constitution • Respective roles and responsibilities included within the Constitution

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	<p>policy demands as well as economic, political and environmental changes and risks by:-</p> <ul style="list-style-type: none"> ➤ Ensuring members and staff have access to appropriate induction tailored to their role and that on-going 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 	<ul style="list-style-type: none"> • Induction programme • Mandatory training programmes for employees and Elected Members • Annual Development Reviews for employees • Learning and Development Strategy • Mentoring Policy • Schedule of training events • Annual Development Reviews for employees • Senior management conferences every quarter • Mandatory Corporate Governance training for employees and Elected Members • Mandatory Finance training programme • Succession planning • Mandatory Corporate Governance training for employees and Elected Members

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	<p>learning, including lessons learned from governance weaknesses both internal and external</p> <ul style="list-style-type: none"> • 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 or development needs 	<ul style="list-style-type: none"> • Communication Strategy ‘Loud and Clear’ • Public access period after the financial accounts have been completed • Meet every 6 weeks with other Chief Executives across Warwickshire to share best practice and discuss issues affective districts, also invite guest speakers if necessary • Internal and external audit reports to Audit and Standards Committee • All Members receive Audit and Standards Committee reports • Annual Development Reviews for employees • Staff development plans linked to ADR’s • HR Policies and Procedures

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	<ul style="list-style-type: none"> • 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 	<ul style="list-style-type: none"> • HR Policies and Procedures, including Agile Working, Alcohol and Substance Misuse and Stress Management • Alcohol and Drug random tests for employees • Employee Support Officers
<p>F. Managing risks and performance through robust internal control and strong public financial management</p> <p>Local government needs to ensure that the organisations and governance structures that it oversees are 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 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.</p>	<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>Managing performance</p> <ul style="list-style-type: none"> • Monitoring service delivery effectively including planning, specification, execution and 	<ul style="list-style-type: none"> • Risk Management Policy and Strategy • Strategic and Operational Risk Registers • Risk Management Policy and Strategy reviewed and updated every 2 years • Risk management included in the internal audit plan • Roles and responsibilities included in the Risk Management Policy and Strategy • Risk Registers identify risk owners • Corporate Plan Delivery Plan • Integrated Finance and Performance Reports

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<p>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>independent post implementation review</p> <ul style="list-style-type: none"> • 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 	<ul style="list-style-type: none"> • Risk implications included in report templates • Discussion between members and officers at meetings on the information needs of members to support the decision making process • Role and responsibilities of Scrutiny Panels included in the Constitution • Training for members on the scrutiny function • Agenda and minutes of scrutiny meetings • Call-in procedure

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	<ul style="list-style-type: none"> • 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>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 	<ul style="list-style-type: none"> • Performance management reports, which includes progress against Corporate Plan Delivery Plan • Financial Regulations and Standing Orders • Financial standards and guidance • Budget and Policy Framework • Treasury Management Policy • Risk Management Policy and Strategy • Internal audit plans • Internal audit reports • Risk Management Policy and Strategy updated every 2 years and any changes are formally approved by the Audit and Standards Committee • Internal audit plans • Internal audit reports • Anti-fraud, Corruption and Bribery Strategy • Fraud Response Plan • Anti-money Laundering Policy

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	<ul style="list-style-type: none"> • 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 <p>Managing data</p> <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 	<ul style="list-style-type: none"> • Annual Governance Statement • Corporate governance included in internal audit plans • Annual review of the effectiveness of internal audit • Audit and Standards Committee has 11 elected and 2 independent members • No member of the Cabinet or Chair of a Scrutiny Panel can sit on the Audit and Standards Committee • Terms of reference in Constitution comply with CIPFA best practice • Chair and independent members sit on the Audit and Standards Committee for a 4 year term to ensure consistency • Training programme • Data Protection Officer in post • Data Protection Policy • Information Management Framework • Privacy Notices on website • Access to Information Procedure Rules

Principles of Good Governance (in bold)	Sub Principles (in bold) and behaviours and actions that demonstrate good governance in practice	Examples of systems, processes, documentation and other evidence demonstrating compliance
	<ul style="list-style-type: none"> • 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 <p>Strong public financial management</p> <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"> • Senior Information Risk Owner and Deputy appointed • Corporate Governance Group have taken on the role of the Corporate Information Governance Group • Information Management Group • Data sharing agreements in place • Privacy Notices • Annual data quality audits • Medium Term Financial Plan • Capital programme • Budget monitoring reports • Regular reports to management team, which include any spend pressures • Risk based review of reserves

Principles of Good Governance (in bold)	Sub Principles (in bold) and behaviours and actions that demonstrate good governance in practice	Examples of systems, processes, documentation and other evidence demonstrating compliance
<p>G. Implementing good practices in transparency, reporting and audit to deliver effective accountability</p> <p>Accountability is about ensuring that those making decisions and delivering services are 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>	<p>Implementing good practice in transparency</p> <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 <p>Implementing good practices in reporting</p> <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 	<ul style="list-style-type: none"> • Report templates • Agendas, reports and minutes available on the Council’s website • Transparency Code • Access to information page on website • Access to Information Procedure Rules • Annual financial statements, including narrative report and annual governance statement • VFM conclusion by the Council’s external auditor

Principles of Good Governance (in bold)	Sub Principles (in bold) and behaviours and actions that demonstrate good governance in practice	Examples of systems, processes, documentation and other evidence demonstrating compliance
	<ul style="list-style-type: none"> • 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"> • Annual financial statements are approved by elected members • Annual Governance Statement • Local Code Corporate Governance • Annual Governance Statement • External audit reports

Principles of Good Governance (in bold)	Sub Principles (in bold) and behaviours and actions that demonstrate good governance in practice	Examples of systems, processes, documentation and other evidence demonstrating compliance
	<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 risk 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"> • Reports to Audit and Standards Committee • Internal Audit Charter • Compliance with the Public Sector Internal Audit Standards • Annual review of the effectiveness of internal audit • External review of the internal audit service at least once every 5 years • Compliance with Public Sector Internal Audit Standards • Annual Governance Statement • Partnership Framework • Communication Strategy ‘Loud and Clear’

