



North East Derbyshire District Council

NORTH EAST DERBYSHIRE DISTRICT COUNCIL

CORPORATE GOVERNANCE CODE

NORTH EAST DERBYSHIRE DISTRICT: GOVERNANCE CODE

INTRODUCTION

1. The purpose of this Code is to state the importance to the Council of good corporate governance and to set out the Council's commitment to the principles involved.
2. The Code is based on guidance to all UK local authorities.
3. The Code applies to all Members and employees of the Council and also to any individuals or bodies authorised to act on its behalf.
4. How the effectiveness of the Code is reviewed is set out in Section 4.
5. The Code will be reviewed in its entirety by no later than 31 March 2026, but minor reviews and updates will be made annually as required.

Approved by:

Director of Finance and Resources and section 151 Officer
Assistant Director of Corporate Governance and Monitoring Officer

15 July 2025

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SECTION 1: THE IMPORTANCE OF GOOD CORPORATE GOVERNANCE

1.1. Corporate Governance refers to the processes by which organisations such as the Council are directed, controlled, led and held to account. It is also about culture and values - the way that Councillors (Members) and employees think and act. In summary, if management is about running the Council, corporate governance is about seeing that it is run properly.

1.2. The Council is a complex organisation which affects all who live and work in North East Derbyshire District Council's area and businesses and organisations that are based here. It is therefore essential that there is confidence in our corporate governance, and the Council must therefore ensure that:

- as a democratic body, we engage with and account to our citizens and stakeholders effectively;
- we conduct our business in accordance with the law and to proper standards;
- public money is properly accounted for and is used economically, efficiently and effectively;
- controls are proportionate to risk so as not to impede performance;
- we continuously improve the way in which we function, in terms of effectiveness, quality, service availability, fairness, sustainability and innovation; and
- we fulfil our purpose and meet our priorities as set out in the Council Plan.

1.3. The Council is therefore committed to good corporate governance and to doing the right things in the right way for the right people in a way which is timely, inclusive, open, honest and accountable. This Code sets out that commitment and how we evidence it.

1.4. This commitment includes improving governance on a continuing basis across the Council as a whole, through a process of evaluation and review. This is detailed further in Section 4.

SECTION 2: THE BASIS OF THIS CODE

2.1 This Code is based on guidance provided to all UK local authorities which are centred on seven Core Principles, designed to underpin the governance arrangements of all public sector bodies.

1 Delivering Good Governance in Local Government Framework 2016, issued jointly by the Chartered Institute of Public Finance and Accountancy (CIPFA) and the Society of Local Authority Chief Executives (SOLACE).

2 From the International Framework: Good Governance in the Public Sector (CIPFA/International Federation of Accountants, 2014)

2.2 These Core Principles are as follows:

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

B Ensuring openness and comprehensive stakeholder engagement

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 entity'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

2.3 Core Principles A and B are fundamental to the application of the other principles. Further good governance requires all of the principles to be met and through a dynamic approach good governance can be achieved.

2.4 This Code sets out our commitment to all seven of the Core Principles shown above and to the various elements of our governance framework, the policies, strategies and processes - which help us to ensure that the principles are met (Section 3).

2.6 Since effective Corporate Governance relies on the way that Councillors (Members) and employees think and act, the Code also recognises the importance of the seven "Principles of Public Life" (the Nolan Principles) which are the basis of the ethical standards expected of public office holders (Appendix A). These support the seven Core Principles of this Code which in turn underpin the Council's approach to planning fair, effective and sustainable services and its responsibilities for sustainable development.

SECTION 3: COMMITMENTS TO GOVERNANCE PRINCIPLES

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

The Council is accountable not only for how much it spends, but also for how we use the resources under our stewardship. This includes accountability for outputs, both positive and negative, and for the outcomes we have achieved. In addition, we 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, we can demonstrate the appropriateness of all our actions and have mechanisms in place to encourage and enforce adherence to ethical values and to respect the rule of law.

To support Principle A, the Council is committed to:

Behaving with integrity	What is in place to support this?
<p>A1. 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 Council</p> <p>A2. Ensuring members take the lead in establishing specific standard operating principles or values for the Council and its staff and that they are communicated and understood. These should build on the Seven Principles of Public Life (the Nolan Principles)</p> <p>A3. Leading by example and using these standard operating principles or values as a framework for decision making and other actions</p> <p>A4. 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>	<ul style="list-style-type: none">• Agreed Values• Codes of Conduct for members and employees• Registers of interests, gifts and hospitality• Induction training for members and employees• Members Allowances Scheme• Finance Rules• Contract Procedure Rules• Members Planning Rules• Standards and Audit Committees• Anti-Fraud and Corruption Strategy• Anti-Money Laundering Policy• Whistleblowing Policy• Compliments, Comments and Complaints Procedure• Internal Audit Charter• Safeguarding Responsibilities/Training• Health and Safety Policy• Code of Councillor – Officer Relations• Code for Councillors on Outside Bodies• Social Media Guidance for Councillors

<p>Demonstrating strong commitment to ethical values</p> <p>A5. Seeking to establish, monitor and maintain the Council's ethical standards and performance</p> <p>A6. Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the Council's culture and operation</p> <p>A7. Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values</p> <p>A8. Ensuring that external providers of services on behalf of the Council are required to act with integrity and in compliance with high ethical standards expected by the Council</p>	<p>What is in place to support this?</p> <ul style="list-style-type: none"> • Agreed Values • Codes of Conduct for members and employees • Registers of interests, gifts and hospitality • Finance Rules • Contract Procedure Rules • Members Planning Rules • Protocol on Gifts and Hospitality • Code for Councillors on outside bodies. • Induction training for members and employees • Regular governance awareness raising for employees • Procurement Strategy • Partnership & collaborative working arrangements • Contracts Procedure Rules • Tendering Requirements
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<p>Respecting the rule of law</p> <p>A9. Ensuring members and staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations</p> <p>A10. 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</p> <p>A11. Striving to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders</p> <p>A12. Dealing with breaches of legal and regulatory provisions effectively</p>	<p>What is in place to support this?</p> <ul style="list-style-type: none"> • Key statutory responsibilities set out in the Council's Constitution and Legislation • Compliance with CIPFA Statement of the "Role of the Chief Financial Officer in Local Government") • Code of Councillor-Officer relations (Constitution) • Officer Job Descriptions • Regular governance awareness raising for employees • Standards Committee • Audit Committee • Anti-Fraud and Corruption Strategy • Anti-Money Laundering Policy
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<p>A13. Ensuring corruption and misuse of power are dealt with effectively</p>	<ul style="list-style-type: none"> • Whistleblowing Policy • Complaints Procedure • General Data Protection Regulation guidance • Governance Codes of Practice • Disciplinary Procedures • Ombudsman referral process • Statutory Officer and Directors Meetings once a week
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Principle B. Ensuring openness and comprehensive stakeholder engagement

Local government is run for the public good, and 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.

To support Principle B, the Council is committed to:

Openness	What is in place to support this?
<p>B1. Ensuring an open culture through demonstrating, documenting and communicating our commitment to openness</p> <p>B2. 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</p> <p>B3. 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</p> <p>B4. Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/ courses of action</p>	<ul style="list-style-type: none">• Constitution• Procurement Strategy• Contract Procedure Rules• Whistleblowing Procedure.• Council Plan• External audit and inspection reports• Directory of published information.• Online Council Tax information• Reporting and publishing & distribution timetables• Delegation of Powers Scheme• Meetings open to public• Agendas and Minutes• Webcasting page• Codes of Conduct for members and employees• Public Participation in Council and Planning meetings• Webcasting Meetings and library of Meeting recordings• Publishing of Delegated Decisions• The News and other communications including digital platforms

<p>Engaging comprehensively with institutional stakeholders</p> <p>B5. 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</p> <p>B6. Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively</p> <p>B7. Ensuring that partnerships are based on trust, a shared commitment to change and a culture that promotes and accepts challenge among partners and that the added value of partnership working is explicit</p>	<p>What is in place to support this?</p> <ul style="list-style-type: none"> • Consultation and Engagement Strategy • Current consultations • Complaints Procedure • Partnership & collaborative working arrangements • Clear terms of reference for partnerships and other arrangements. • Residents Survey • Code for Councillors on Outside Bodies • Presentation on their role/work to Scrutiny by institutions funded by the Council, such as the Law Centre. • Clay Cross town Board example.
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<p>Engaging stakeholders effectively, including individual citizens and service users</p> <p>B8. A clear policy on the type of issues that the Council will meaningfully consult with or involve individual citizens, service users and other stakeholders to ensure that service provision is contributing towards the achievement of intended outcomes</p> <p>B9. Ensuring that communication methods are effective and that members and officers are clear about their roles with regard to community engagement</p> <p>B10. Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs</p>	<p>What is in place to support this?</p> <ul style="list-style-type: none"> • Consultation and Engagement Strategy • Residents Survey • Medium Term Financial Plan • Complaints Procedure (and compliments) • Employee survey • Partnership with partners both public, private and the Community and Voluntary sector infrastructure provider • Partnership with RHL for the management of the Council's social housing • Petition Scheme in the Constitution • Public consultation – for example on regeneration proposals for town centres and Local Plan sites • News x2 annually
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<p>B11. Implementing effective feedback mechanisms in order to demonstrate how their views have been taken into account</p> <p>B12. Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity</p> <p>B13. Taking account of the interests of future generations of tax payers and service users</p>	<ul style="list-style-type: none"> • Social Media posts • Ability for members of the public to ask questions at Council. • Publication of consultation results where possible
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Principle C: Defining outcomes in terms of sustainable economic, social, and environmental benefits

The long-term nature and impact of many of local government's responsibilities mean that it should define and plan outcomes and that these should be sustainable. Decisions should further the authority'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.

To support Principle C, the Council is committed to:

<p>Defining outcomes</p> <p>C1. Having a clear vision which is an agreed formal statement of the Council's purpose and intended outcomes containing appropriate performance indicators, which provides the basis for the Council's overall strategy, planning and other decisions</p> <p>C2. 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</p> <p>C3. Delivering defined outcomes on a sustainable basis within the resources that will be available</p> <p>C4. Identifying and managing risks to the achievement of outcomes</p> <p>C5. Managing service users expectations effectively with regard to determining priorities and making the best use of the resources available.</p>	<p>What is in place to support this?</p> <ul style="list-style-type: none"> • Council Plan • Local Plan • Consultation and Engagement Strategy • Medium Term Financial Plan • Quarterly performance reports to SMT, Scrutiny and Cabinet linked to Council Plan delivery • Annual Report • Risk Management Strategy • Report template for reports to meetings, includes legal and finance implications and staffing consequences • Practical example – Clay Cross Active delivery • Operational Risk Registers
<p>Sustainable economic, social and environmental benefits</p> <p>C6. Considering and balancing the combined economic, social and environmental impact of policies, plans</p>	<p>What is in place to support this?</p> <ul style="list-style-type: none"> • Medium Term Financial Plan • Budget consultation through Joint Scrutiny Committee

<p>and decisions when taking decisions about service provision</p> <p>C7. Taking a longer-term view with regard to decision making, taking account of risk and acting transparently where there are potential conflicts between the Council's intended outcomes and short-term factors such as the political cycle or financial constraints</p> <p>C8. 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</p> <p>C9. Ensuring fair access to services</p>	<ul style="list-style-type: none"> • Risk Management Strategy and Group • Council Plan • Local Plan • Procurement Strategy • Member workshops • Strategic Equality Plan • Equality Impact Assessments • ICT & Digital Strategy • Report template
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Principle D: Determining the interventions necessary to optimise the achievement of intended outcomes

Local government achieves its intended outcomes by providing a mixture of legal, regulatory, and practical interventions. 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 continually to ensure that achievement of outcomes is optimised

To support Principle D, the Council is committed to:

<p>Determining necessary interventions</p> <p>D1. Ensuring decision makers receive objective and rigorous analysis of a variety of options indicating how intended outcomes would be achieved and including the risks associated with those options. Therefore ensuring best value is achieved however services are provided.</p> <p>D2. 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>	<p>What is in place to support this?</p> <ul style="list-style-type: none"> • Council Plan • Reporting requirements for Full Council and Cabinet in the report template including requirement for statutory officers' input, including alternative options and why not recommended • Decision making Principles (Constitution) • Scrutiny committees and support • Risk Management Strategy and Group • Consultation and Engagement Strategy • Medium Term Financial Plan • Senior Management Structure • Delegation Scheme in the Constitution • Calendar of meetings • Pre-meetings • The Forward Plan • Corporate complaints process
<p>Planning interventions</p> <p>D3. Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets</p> <p>D4. Engaging with internal and external stakeholders in determining how services</p>	<p>What is in place to support this?</p> <ul style="list-style-type: none"> • Council Plan • Reporting and publishing & distribution timetables • Consultation and Engagement Strategy • Medium Term Financial Plan

<p>and other courses of action should be planned and delivered</p> <p>D5. Considering and monitoring risks facing each partner when working collaboratively including shared risks</p> <p>D6. Ensuring arrangements are flexible and agile so that the mechanisms for delivering outputs can be adapted to changing circumstances</p>	<ul style="list-style-type: none"> • Partnership & collaborative working arrangements • Quarterly performance reports to SMT, Scrutiny and Cabinet linked to Council Plan delivery • Budget and Policy Framework Procedure Rules • Budget Monitoring & Control Procedures • Council Procedure Rules • Financial Regulations • Senior Management Structure • Regular Portfolio Holder meetings linked to Council Plan delivery.
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Principle E: Developing the Council's capacity, including the capability of its leadership and the individuals within it

Local government needs appropriate structures and leadership, as well as people with the right skills, appropriate qualifications and mind-set, to operate efficiently and effectively and achieve their 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 authority operates will change over time, there will be a continuous need to develop its capacity as well as the skills and experience of the leadership of individual staff members. Leadership in local government entities is strengthened by the participation of people with many different types of backgrounds, reflecting the structure and diversity.

To support Principle E, the Council is committed to:

<p>Developing Capacity</p> <p>E1. Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources.</p> <p>E2. Reviewing operations, performance and use of assets on a regular basis to ensure their continuing effectiveness,</p> <p>E3. Improving resource use through appropriate application of techniques such as benchmarking and other options in order to determine how the Council's resources are allocated so that outcomes are achieved effectively and efficiently,</p> <p>E4. Recognising the benefits</p>	<p>What is in place to support this?</p> <ul style="list-style-type: none"> • People Strategy and People Strategy Action Plan and Working Group • Scrutiny committees and support • Senior Management Structure • Service Managers Forum • Managers Essentials Sessions • Back to the Basics section of the intranet • Talent Pipeline Strategy • Learning and Development Policy • Review of appraisals system • Reviews commissioned by Senior Management • External audit and inspection reports • Partnership & collaborative working arrangements • Asset Management Strategy • Employee Celebratory Awards
<p>Developing the capability of the leadership and other individuals</p> <p>E5. Developing protocols to ensure that elected and appointed leaders negotiate</p>	<p>What is in place to support this?</p> <ul style="list-style-type: none"> • Constitution • Code of Councillor-Officer relations (Constitution)

<p>with each other regarding their respective roles early on in the relationship and that a shared understanding of roles and objectives is maintained</p> <p>E6. Publishing a statement that specifies the types of decisions that are delegated and those reserved for the collective decision making of the governing body</p> <p>E7. Ensuring the leader and the senior management team have clearly defined and distinctive leadership roles within a structure, whereby the senior management team leads the authority 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</p> <p>E8. Developing the capabilities of members and senior management to achieve effective shared leadership and to enable the Council to respond successfully to changing legal and policy demands as well as economic, political and environmental changes and risks by: 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, organisation and system-wide development through shared learning, including lessons learnt from both internal and external governance weaknesses</p> <p>E9. Ensuring that there are structures in place to encourage public participation</p> <p>E10. Taking steps to consider the leadership's own effectiveness and</p>	<ul style="list-style-type: none"> • Leadership meetings of the Cabinet with the Managing Director and Members of Senior Management Team • Delegation Scheme • Finance Regulations • Contract Procedure Rules • Regular publication of Forward Plan. • Learning and Development function • Member training • Performance Review and Development Process • Consultation and Engagement Strategy • People Strategy • Workforce Policies • Code of Conduct for employees • Code of Conduct for Members • Internal Communications • Health and Safety Policy • Corporate Health Standard • HR Policies • Appraisals • Member Inductions and midterm Member Induction refresh • Employee training • Petition Scheme • Consultation events on specific projects
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ensuring leaders are open to constructive feedback from peer review and inspections

E11. Holding staff to account through regular performance reviews which take account of training or development needs

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

Local government needs to ensure that the organisations and governance structures that it oversees have implemented, and can sustain, an effective performance management system that facilitates effective and efficient delivery of planned services. Risk management and internal control are important and integral parts of a performance management system and 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. It is also essential that a culture and structure for scrutiny is 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 delivery. Importantly, this culture does not happen automatically, it requires repeated public commitment from those in authority.

To support Principle F, the Council is committed to:

Managing Risk

F1. Recognising that risk management is an integral part of all activities and must be considered in all aspects of decision making

F2. Implementing robust and integrated risk management arrangements and ensuring they are working effectively

F3. Ensuring that responsibilities for managing individual risks are clearly allocated

What is in place to support this ?

- Risk Management Group
- Risk Management Strategy, Risk and Control Registers and Internal / External audit coverage of risk management
- Audit Committee
- Partnership and Collaborative Working arrangements
- Reporting requirements for Full Council and Cabinet
- Service Continuity arrangements
- Annual review of Constitution
- Specific reference to risk in report template

Managing Performance

F4. Monitoring service delivery effectively including planning, specification,

What is in place to support this?

- Council Plan

<p>execution and independent post-implementation review</p> <p>F5. Making decisions based on relevant, clear objective analysis and advice pointing out the implications and risks inherent in the Council's financial, social and environmental position and outlook</p> <p>F6. Ensuring an effective scrutiny or oversight function is in place which encourages constructive challenge and debate on policies and objectives before, during and after decisions are made, thereby enhancing the Council's performance and that of any organisation for which it is responsible</p> <p>F7. Providing members and senior management with regular reports on progress towards outcome achievement.</p> <p>F8. Ensuring there is consistency between specification stages (such as budgets) and post implementation reporting (eg financial statements)</p>	<ul style="list-style-type: none"> • Service Plans and service planning guidance • Procurement Strategy • Quarterly performance reports to SMT Scrutiny and Cabinet • Forward Work Programmes • Reporting and publishing & distribution timetables • Scrutiny committees and support • Report template • Delegated Decision template • Scrutiny monitoring and reviews • Report template • Delegated Decision template • Report screening (Full Council and Cabinet) • Member Development • Finance Rules • Budget and Policy Framework • Procedure Rules • Budget Monitoring & Control Procedures • Budget – Medium Term Financial Plan • Annual Statement of Accounts • Internal and External Audit
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<p>Robust Internal Control</p> <p>F9.Aligning the risk management strategy and policies on internal control with achieving objectives</p> <p>F10.Evaluating and monitoring risk management and internal control on a regular basis</p> <p>F11.Ensuring effective counter fraud and anti-corruption arrangements are in place</p> <p>F12.Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor</p>	<p>What is in place to support this?</p> <ul style="list-style-type: none"> • Risk Management Strategy • Principal Risk Register • Assistant Directors Internal Control Assurances • Internal Audit Charter (inc Annual Plan) • Audit Committee Terms of Ref (Constitution) • Audit Committee effectiveness surveys and training • Finance Rules • Contract Procurement Rules • Counter Fraud Policy & Procedures • Anti-Money Laundering Strategy
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<p>F13.Ensuring an audit committee or equivalent group or function which is independent of the executive and accountable to the governing body 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</p>	<ul style="list-style-type: none"> • Annual Governance Statement & Action Plan • Head of Internal Audit's Annual Report • Audit Committee Chair's Annual Report to Cabinet and Council • Identification of Assurance Gaps • Internal and External Audit
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<p>Managing Data</p> <p>F14.Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data</p> <p>F15.Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies</p> <p>F16.Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring</p>	<p>What is in place to support this ?</p> <ul style="list-style-type: none"> • General Data Protection Regulation guidance and training • Appointment of qualified Data Protection Officer • GDPR clauses in contracts • Freedom of Information guidance • Information Management Strategy and Action Plan • • ICT Security Policy and Guidelines • Secure Data Transfer Standards and Procedures • Information Security Policy • Records Management Policy • Corporate Records Retention Scheme • Regular data protection training • Appointment and training of Senior Responsible Officer (SRO) and the Senior Risk Information Officer (SIRO) • Cyber Plan
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<p>Strong public financial management</p> <p>F17.Ensuring financial management supports both long-term achievement of outcomes and short-term financial and operational performance</p>	<p>What is in place to support this?</p> <ul style="list-style-type: none"> • Regular Budget monitoring reports to SMT, Scrutiny and Cabinet • Annual Governance Statement • External Audit
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<p>F18.Ensuring well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls</p>	<ul style="list-style-type: none"> • Internal Audit • Financial Resilience reported at least annually to Scrutiny • Compliance with CIPFA Financial Management Code • External advice for highly specialist areas
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Principle G: Implementing good practices in transparency, reporting, and audit to deliver effective accountability

Accountability is about ensuring that those making decisions and delivering services are 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.

To support Principle G, the Council is committed to:

<p>Implementing good practice in transparency</p> <p>G1. Writing and communicating reports for the public and other stakeholders in an understandable style appropriate to the intended audience and ensuring that they are easy to access and interrogate</p> <p>G2. 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>	<p>What is in place to support this?</p> <ul style="list-style-type: none">• Report template which requires that the statutory officers review the report and the involvement of the Portfolio Holder• Website including summary and easy-to-read reports• Compliance with access requirements• Use of Mod. Gov to record all open reports (in advance) and minutes on the website.• Streaming of some meetings
<p>Implementing good practice in reporting</p> <p>G3. Reporting at least annually on performance, value for money and the stewardship of resources</p> <p>G4. Ensuring owners and senior management own the results</p> <p>G5. Ensuring robust arrangements for assessing the extent to which the principles contained in the Framework have been applied and publishing the results on this assessment including an action plan for improvement and evidence to demonstrate good governance (annual governance statement)</p>	<p>What is in place to support this?</p> <ul style="list-style-type: none">• Quarterly reporting of performance to SMT Scrutiny and Cabinet based on Council Plan Strategies/Tactics• Annual Report• Annual Governance Statement and Action Plan• Risk Management Strategy• Risk and Control Registers• Annual Statement of Accounts• Annual Scrutiny Report

<p>G6. Ensuring that the Framework is applied to jointly managed or shared service organisations as appropriate</p>	
<p>Assurance and effective accountability</p> <p>G8. Ensuring that recommendations for corrective action made by external audit are acted upon</p> <p>G9. Ensuring an effective internal audit service with direct access to members is in place which provides assurance with regard to governance arrangements and recommendations are acted upon</p> <p>G10. Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations</p> <p>G11. Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement</p> <p>G12. Ensuring that when working in partnership, arrangements for accountability are clear and that the need for wider public accountability has been recognised and met</p>	<p>What is in place to support this?</p> <ul style="list-style-type: none"> • Audit Committee Terms of Reference (Constitution) • Regular reporting of progress on implementing audit recommendations to Audit Committee and Senior Management Team • External audit and inspection reports • Internal Audit Charter • Head of Internal Audit's Annual Report • Internal Audit self-assessment and compliance with Public Sector Internal Audit Standards • Partnership and collaborative working arrangements • Annual review of Constitution • Governance arrangements in place for key partnerships

SECTION 4: HOW CORPORATE GOVERNANCE IS REVIEWED

1. The Leader and Senior Management Team are required to ensure that each year, a review is undertaken to measure the extent to which the Council as a whole has met the requirements of this Code.
2. The results of the review are included in the Annual Governance Statement which is published with the Annual Statement of Accounts.
3. Where the review reveals possible gaps or weaknesses, action is agreed to ensure effective governance in future. Agreed action is monitored for implementation.
4. Where necessary, this Code will be amended as a result of the annual review, changes in best practice or statutory changes. Minor amendments to wording, titles and to details of 'what is in place' to support the principles (Section 3 above) may be approved by the ~~Head of Finance~~ Section 151 Officer or the Monitoring Officer but any substantive changes to the Code and the principles will require Audit Committee ~~Cabinet~~ approval.
5. This code will be renewed no later than 31st March 2026

APPENDIX A.

THE SEVEN PRINCIPLES OF PUBLIC LIFE (THE NOLAN PRINCIPLES)

These apply to anyone who works as a public office-holder. This includes people who are elected or appointed to public office, nationally and locally, and all people appointed to work in:

- the civil service
- local government
- the police
- the courts and probation services
- non-departmental public bodies
- health, education, social and care services.

1. Selflessness

Holders of public office should act solely in terms of the public interest.

2. Integrity

Holders of public office must avoid placing themselves under any obligation to people or organisations that might try inappropriately to influence them in their work. They should not act or take decisions in order to gain financial or other material benefits for themselves, their family, or their friends. They must declare and resolve any interests and relationships.

3. Objectivity

Holders of public office must act and take decisions impartially, fairly and on merit, using the best evidence and without discrimination or bias.

4. Accountability

Holders of public office are accountable to the public for their decisions and actions and must submit themselves to the scrutiny necessary to ensure this.

5. Openness

Holders of public office should act and take decisions in an open and transparent manner. Information should not be withheld from the public unless there are clear and lawful reasons for so doing.

6. Honesty

Holders of public office should be truthful.

7. Leadership

Holders of public office should exhibit these principles in their own behaviour. They should actively promote and robustly support the principles and be willing to challenge poor behaviour wherever it occurs.