Subject:	**Code of Corporate Governance**

Report to:	**Management Team – 06 July 2022**
	Audit and Risk Committee - 25 July 2022

Report by:	**Kaye Bate, Corporate Risk Officer**
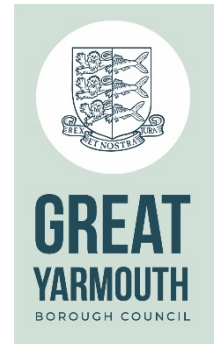
SUBJECT MATTER

This report contains an update to the Council's Code of Corporate Governance, in accordance with best practice.

RECOMMENDATION

That Committee approve the updated Code of Corporate Governance.

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1. **INTRODUCTION/BACKGROUND**

1.1 The "Corporate Governance" started to receive prominence during the 1990s following a series of concerns about the way that organisations, both in the public and private sectors, were operating. These concerns prompted a number of reviews, most notably the Cadbury Report, and in 1994 the Committee on Standards in Public Life was created. The first report of the Committee introduced the seven principles of public life, what are now known as the Nolan Principles, which are enshrined as the fundamental principles of how those in public office should behave.

1.2 Following this, CIPFA and SOLACE worked together to produce a framework for Corporate Governance in the public sector. This was first produced in 2001 and re-issued in 2007 and 2016. This has formed the basis for the Great Yarmouth Borough Councils Code of Corporate Governance.

1.3 The Code of Corporate Governance is the framework of systems, processes, cultures and values by which the council is directed and controlled and through which it accounts to, engages with, and where appropriate leads the community. It enables the council to monitor the achievement of its strategic objectives and is based upon the 7 principles of the International Framework: Good Governance in the Public Sector. The tools that make up the framework provide structures and guidance that Councillors and Officers require in order to ensure effective governance.

1.4 Good governance supports the Council through:

- Enabling the Council to achieve its objectives in an open and accountable way
- Ensures decisions are sound and lawful, upholding the Council's reputation and minimising the risk of financial loss
- Ensures decisions take into account local people's needs and priorities
- Giving the public confidence in the work we do

1.5 This report seeks to obtain the support of the Audit and Risk Committee for the updated Code of Corporate Governance.

1.6   The seven principles of good governance are:

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

1.7   From a legal perspective, the Council is required at least once a year to undertake a review of the effectiveness of its system of internal control and include a statement of this review (the Annual Governance Statement) with its published Statement of Accounts. The Code of Practice on Local Authority Accounting, which the Council follows when preparing its Statement of Accounts, expects that authorities should give regard to the CIPFA guidance when preparing their Annual Governance Statement.

2   CODE OF CORPORATE GOVERNANCE

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

2.2   Officers have reviewed the Council's current governance arrangements against the CIPFA Principles of good governance, sub-principles and examples of systems, processes, documentation, and other evidence demonstrating compliance. This has generally   shown the Council can demonstrate that it has a high degree of compliance with the principles and sub-principles although there is room for development.

3   FINANCIAL IMPLICATIONS

3.1   None

4   RISK IMPLICATIONS

4.1   There are no direct risks or implications arising from this report

5   CONCLUSIONS

5.1   The attached Code of Corporate Governance shows that that it has a high degree of compliance with the principles and sub-principles. Officers have identified areas where work is to be undertaken to further strengthen the governance arrangements and works will continue during the year to progress with the implementation of these areas to be developed.

Areas of consideration: e.g., does this report raise any of the following issues and if so, how have these been considered/mitigated against?

Area for consideration	Comment
Monitoring Officer Consultation:	No
Section 151 Officer Consultation:	No
Existing Council Policies:	No
Financial Implications:	No
Legal Implications (including human rights):	No
Risk Implications:	There are no direct risks or implications arising from this report
Equality Issues/EQIA assessment:	No
Crime & Disorder:	No
Every Child Matters:	No

CODE OF CORPORATE GOVERNANCE

Author	Corporate Risk Officer
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Good governance
Good governance is about how the council ensures that it is doing the right things, in the right way, for the communities it serves, in a timely, inclusive, open, honest and accountable manner.

Our commitment
Great Yarmouth Borough Council is committed to upholding the highest possible standards of good corporate governance, believing that good governance leads to high standards of management, strong performance, effective use of resources, increased public involvement and trust in the council and ultimately good outcomes.

Good governance flows from shared values, culture and behaviour and from systems and structures. The Code of Corporate Governance is a public statement that sets out the framework through which the council meets its commitment to good corporate governance.

The Governance Framework comprises the systems, processes, cultures and values by which the council is directed and controlled and through which it accounts to, engages with, and where appropriate leads the community. It enables the council to monitor the achievement of its strategic objectives and to consider whether those objectives have led to the delivery of appropriate cost-effective services.

Good governance supports the Council through:
- Enabling the Council to achieve its objectives in an open and accountable way
- Ensures decisions are sound and lawful, upholding the Council's reputation and minimising the risk of financial loss
- Ensures decisions take into account local people's needs and priorities
- Giving the public confidence in the work we do

This local code of governance has been developed in accordance with and is consistent with Delivering Good Governance in Local Authorities (CIPFA/SOLACE) which builds on the seven Principles for the Conduct of Individuals of Public Life. The core governance principles of the council are:

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

This document describes how the council achieves the seven principles of good governance and describes how the council's corporate governance arrangements will be monitored and reviewed.

Great Yarmouth Borough Council works to improve the lives of its residents. We aim to retain and improve the quality of life and prosperity of Great Yarmouth for now and future generations, making it one of the best places to live and work in the Country. We are entrusted with public funds and aim to spend these wisely to improve outcomes in our District.

Monitoring and Reporting

The Council will undertake an annual review of its governance arrangements to ensure continuing compliance with best practice to provide assurance that corporate governance arrangements are adequate and operating effectively in practice. Where reviews of the corporate governance arrangements have revealed gaps, actions will be planned to enhance the governance arrangements accordingly.

Additionally, the Council is required to prepare and publish an annual governance statement in accordance with this framework under Regulation 4(2) of the Accounts and Audit (Amendment) (England) Regulations 2006. This will be submitted to the Audit and Risk Committee for consideration and will form part of the Council's annual statement of accounts.

The annual governance statement should include:

- an acknowledgement of responsibility for ensuring that there is a sound system of governance (incorporating the system of internal control) and reference to the authority's code of governance;
- reference to and assessment of the effectiveness of key elements of the governance framework and the role of those responsible for the development and maintenance of the governance environment;
- 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 agreed 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;
- a conclusion – a commitment to monitoring implementation as part of the next annual review.

The Chief Executive Officer and the Leader of the Council have joint responsibility as signatories for its accuracy and completeness.

In reviewing and approving the Annual Governance Statement, members will be provided with detailed information regarding the effectiveness of the governance arrangements and systems of control and how these address the key risks faced by the Council. Those assurances will be available from a wide range of external sources, including internal and external inspectorates and managers across the Council.

The Council will continually strive to operate an assurance framework, embedded into its business processes, that maps corporate objectives to risks, controls and assurances. This framework and regular reports on its application and effectiveness will provide members with assurances to support the Annual Governance Statement and will help members to identify whether corporate objectives and significant business risks are being properly managed.

Seven principles for the conduct of individuals in public life.

The governance framework is supported by the seven **Principles of Public Life,** which set the standards of conduct and behaviour to which Councillors and employees should aspire in their day-to-day dealings.

1. **Selflessness**

   Holders of public life should act solely in terms of the public interest. They should not do so in order to gain financial or other benefit for themselves, their family or their friends.

2. **Integrity**

   Holder of public life should not place themselves under any financial or other obligation to outside individuals or organisations that might seek to influence them in the performance of their duties.

3. **Objectivity**

   In carrying out public business, including making public appointments, awarding contracts, or recommending individuals for rewards and benefits, holders of public office should make choices on merit.

4. **Accountability**

   Holders of public office are accountable to the public for their decisions and actions and must submit themselves to whatever scrutiny is appropriate to their office.

5. **Openness**

   Holders of public office should be as open as possible about all the decisions and actions that they take. They should give reasons for their decisions and restrict information only when the wider public interest clearly demands.
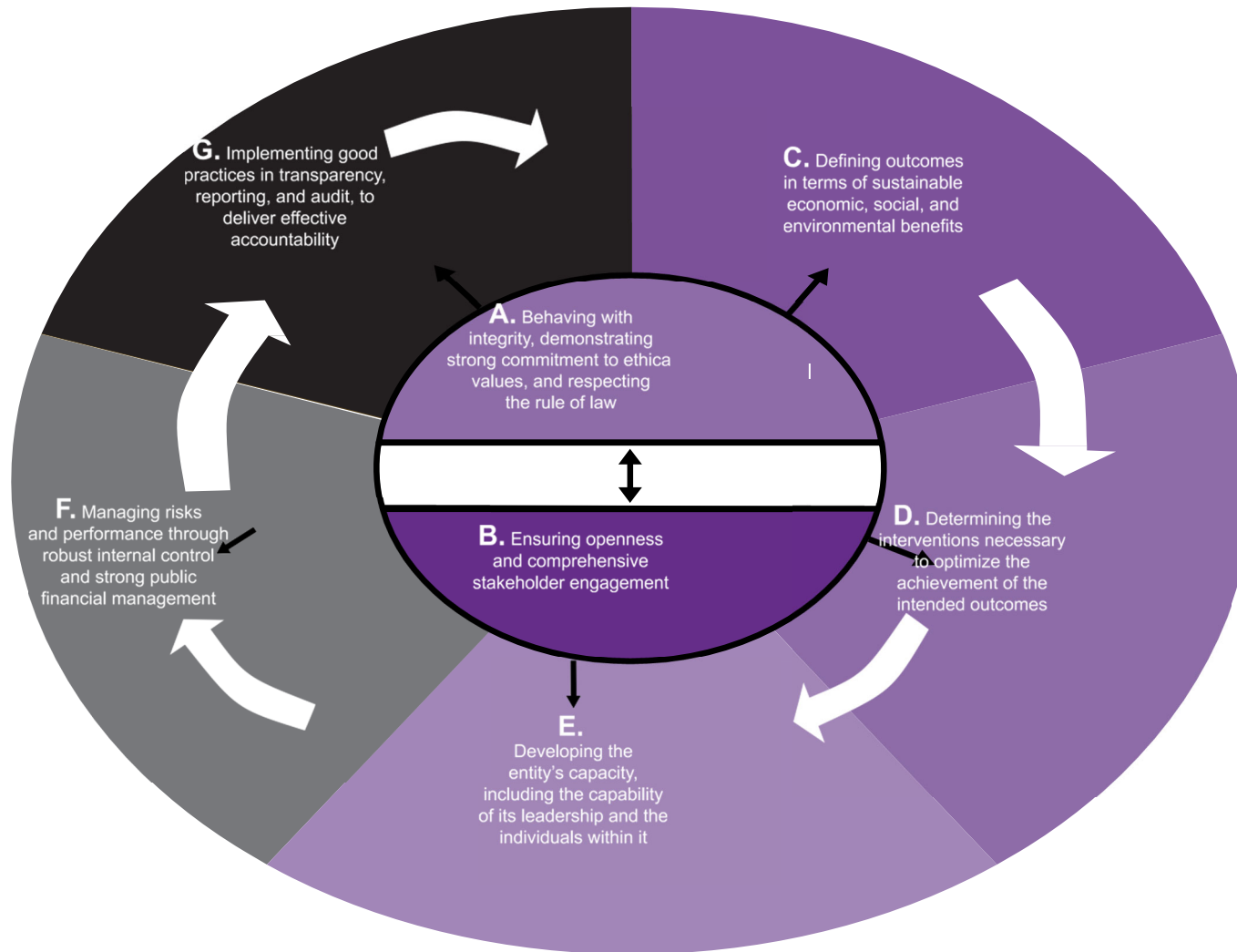
6. **Honesty**

   Holders of public office have a duty to declare any private interest relating to their public duties and to take steps to resolve any conflicts arising in a way that protects the public interest.

7. **Leadership**

   Holders of public office should promote and support these principles by leadership and example.

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

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

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

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

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

D. Determining the interventions necessary to optimize the achievement of the intended outcomes

B. Ensuring openness and comprehensive stakeholder engagement

E. Developing the entity's capacity, including the capability of its leadership and the individuals within it

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

Local government organisations are accountable not only for how much they spend, but also for how they use the resources under their stewardship. This includes accountability for outputs, both positive and negative, and for the outcomes they have achieved. In addition, they have an overarching responsibility to serve the public interest in adhering to the requirements of legislation and government policies. It is essential that, as a whole, they can demonstrate the appropriateness of all their actions and have mechanisms in place to encourage and enforce adherence to ethical values and to respect the rule of law.

Sub - Principle   - Behaving with integrity

The behaviours and actions that can demonstrate this:	Source documents
- 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 - Ensuring members take the lead in establishing specific standard operating principles or values for the organisation and its staff and that they are communicated and understood. These should build on the Seven Principles of Public Life (the Nolan Principles) - Leading by example and using the above standard operating principles or values as a framework for decision making and other actions - Demonstrating, communicating, and embedding the standard operating principles or values through appropriate policies and processes which are reviewed on a regular basis to ensure that they are operating effectively	- The Council's Constitution - Councils Vision and Core values - Members Code of Conduct / induction / training - Register of members interest - Declaration of interest guidance - Employee's code of conduct / Officer Register of Gifts and Hospitality. Officers Register of Interest - Agreed Behaviours Framework - HR Policies and procedures e.g., Grievance policy and procedure - Financial regulations and standing orders - Contract procedure rules / Procurement Strategy - Adopted Chartered Institute of Procurement & Supply (CIPS) Code of Ethics - Scheme of delegation - Statutory roles - Whistleblowing Policy and Anti Fraud, Corruption and Bribery Policy. - Complaints and Compliments procedure - Staff learning hours - Performance Management Framework - Data Handling & Security Breaches - Freedom of information (FOI) system & procedures - Professional Membership / Qualifications Code of Conduct - Planning Enforcement Policy - Planning Protocols - Communications Protocols

Sub – Principle - Demonstrating strong commitment to ethical values

The behaviours and actions that can demonstrate this:	Source documents
- Seeking to establish, monitor and maintain the Council's ethical standards and performance - Underpinning personal behaviour with ethical values and ensuing they permeate all aspects of the Council'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 council are required to act with integrity and in compliance with high ethical standards expected by the council	- The Council's Constitution - Council's vision and core values - Member's code of conduct - Officers code of conduct - Agreed Behaviours Framework - HR Policies and procedures - Anti Fraud, Corruption and Bribery Policy - Complaints and Compliments procedure - Partnership Governance Framework - Scheme of delegation - Standing Orders - Contract procedure rules / Procurement Strategy - Adopted Chartered Institute of Procurement & Supply (CIPS) Code of Ethics. - Professional Membership / Qualification Codes of Conduct

Sub – Principle - Respecting the Rule of Law

The behaviours and actions that can demonstrate this:	Source documents
- Ensuring members and staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations - Creating the conditions to ensure that the statutory officers, other key post holders and members are able to fulfil their responsibilities in accordance with legislative and regulatory requirements - Striving to optimise the use of the full powers available for the benefit of citizens, communities, and other stakeholders - Dealing with breaches of legal and regulatory provisions effectively - Ensuring corruption and misuse of power are dealt with effectively	- Council vision and core values - The Council's Constitution - Role of the Monitoring Officer as per the constitution - Member's induction and training - Scheme of delegation - Anti fraud, Corruption and Bribery policy, Anti Money Laundering Policy and Whistleblowing Policy. - Formal complaints and compliment procedure - Staff are required to hold relevant professional qualifications and comply with the law and codes of conduct. - Subscriptions to services to ensure staff are provided with appropriate professional support - HR policies and procedures - Standing Orders - Availability of professional legal advice and early engagement - Report templates / positive sign off – increased consultation at pre report stage enables issues to be fully explored before report is put to Members

Core Principle B - Ensuring openness and comprehensive stakeholder engagement

Local government is run for the public good, organisations therefore should ensure openness in their activities. Clear, trusted channels of communication and consultation should be used to engage effectively with all groups of stakeholders, such as individual citizens and service users, as well as institutional stakeholders

Sub Principle – Openness

The behaviours and actions that can demonstrate this:	Source documents
• Ensuring an open culture through demonstrating, documenting, and communicating the council's commitment to openness • Making decisions that are open about actions, plans, resource use, forecasts, outputs, and outcomes. The presumption is for openness. If that is not the case, a justification for the reasoning for keeping a decision confidential should be provided • Providing clear reasoning and evidence for decisions in both public records and explanations to stakeholders and being explicit about the criteria, rationale and considerations used. In due course, ensuring that the impact and consequences of those decisions are clear • Using formal and informal consultation and engagement to determine the most appropriate and effective interventions / courses of action	➢ 'The Plan' - Corporate Plan 2020 - 2025 ➢ Annual Action Plan - reviewed & published annual basis ➢ Local Plan and other planning policy documents ➢ Statement of Community Involvement (planning) ➢ Council's vision and core values ➢ Agreed Behaviours Framework ➢ Council Website ➢ The Council's Constitution ➢ Internal Audit ➢ Committee system, agenda, report template & minutes. ➢ Meetings held in private where necessary ➢ Record of decisions and supporting materials ➢ Decision list published ➢ Scheme of Delegation ➢ Forward planning ➢ FOI Policy statement and Publication Scheme ➢ Data champions ➢ Register of member interests ➢ Statement of Accounts ➢ Corporate Communications Strategy/ Communications Protocol ➢ Quarterly Projects and Measures ➢ Performance Report ➢ Customer Service Charter embedded within the Council & performance measures. Introduction & awareness of these standards are in place for new employees ➢ Economic Growth Strategy ➢ Resident and User Surveys / Online feedback ➢ Culture, Heritage and Tourism Strategy ➢ Residents Engagement Strategy ➢ Equality, Diversity, and Inclusion Strategy Action Plan ➢ Ombudsman and complaints reported to standards committee

Sub – Principle – Engaging comprehensively with institutional stakeholders

The behaviours and actions that can demonstrate this:	Source documents
- Effectively engaging with institutional stakeholders to ensure that the purpose, objectives and intended outcomes for each stakeholder relationship are clear so that outcomes are achieved successfully and sustainably - Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively - Ensuring that partnerships are based on: – trust – a shared commitment to change – a culture that promotes and accepts challenge among partners and that the added value of partnership working is explicit	➢ The Council's Constitution ➢ Local Plan and other planning policy documents ➢ Consultation ➢ Each partnership will design its own terms of reference / legal framework / constitution as appropriate. It would be the responsibility of the GYBC lead officer to ensure that it fits in with the Council's current corporate priorities / plans. ➢ Partnership Governance Framework ➢ Service Level Agreements ➢ Advice given to members in relation to outside bodies – see role of Councillors in Constitution ➢ Consultation with unions ➢ Corporate Communications Strategy/communications protocol ➢ Parish Liaison meetings ➢ Open forums ➢ Networking ➢ Parish meetings ➢ Developer forums ➢ Steering Groups / Boards ➢ Economic Growth Strategy ➢ Culture, Heritage and Tourism Strategy ➢ Funding agreements / agreements with external funders ➢ Two community partnership aligning to primary care networks ➢ External Funders e.g., Town Deal Funding – understanding funding requirements and protecting spend ➢ Integrated Care System (ICS) from July 2022 – Health and Wellbeing Partnership - consultative forum reporting into the Gt Yar & Waveney Place Board

Sub – Principle – Engaging with individual citizens and service users effectively

The behaviours and actions that can demonstrate this:	Source documents
• Establishing a clear policy on the type of issues that the Council will meaningfully consult with or involve communities, individual citizens, service users and other stakeholders to ensure that service (or other) provision is contributing towards the achievement of intended outcomes. • Ensuring that communication methods are effective, and that members and officers are clear about their roles with regard to community engagement • Encouraging, collecting, and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs • Implementing effective feedback mechanisms in order to demonstrate 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 taxpayers and service users	➤ 'The Plan' – Corporate Plan 2020 – 2025 ➤ Annual Action Plan – reviewed & published annual basis ➤ Local Plan and other planning policy documents ➤ Area Committees / Parish meetings ➤ Consultation ➤ Networking ➤ Online feedback ➤ Community Impact Assessment ➤ Communication handbook / tenant involvement webpage ➤ Tenants Satisfaction Surveys ➤ Resident Engagement Strategy for Housing Tenants ➤ Resident and User Surveys ➤ Corporate Communications Strategy/communications protocol ➤ Equality, Diversity, and Inclusion Strategy Action Plan. ➤ Compliments and Complaints procedure ➤ Community Marshals

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

The long-term nature and impact of many of local government's responsibilities mean that it should define and plan outcomes and that these should be sustainable. Decisions should further the organisation's purpose, contribute to intended benefits and outcomes, and remain within the limits 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.

Sub -Principle - Defining outcomes

The behaviours and actions that can demonstrate this:	Source documents
- Having a clear vision, which is an agreed formal statement of the organisation's purpose and intended outcomes containing appropriate performance indicators, which provide the basis for the organisation's overall strategy, planning and other decisions - Specifying the intended impact on, or changes for, stakeholders including citizens and service users. It could be immediately or over the course of a year or longer - Delivering defined outcomes on a sustainable basis within the resources that will be available - Identifying and managing risks to the achievement of outcomes - Managing service users' expectations effectively with regard to determining priorities and making the best use of the resources available	'The Plan' - Corporate Plan 2020 – 2025 - Annual Action Plan – reviewed and published on an annual basis. Plan incorporates Performance Indicators - Business Strategy - Council's Vision and Core values - Executive Leadership Team - Risk Management Framework and procedures - Corporate Risk Register - Statement of Accounts - Annual Financial Report - Annual Corporate Planning and performance cycle - Annual Performance Report - Capital programme process - Capital Strategy - Corporate Communications Strategy/communications protocol - Economic Growth Strategy -quarterly update to committee of progress with Action Plan - Culture, Heritage and Tourism Strategy - Local Plan – annual monitoring report for housing target - Sustainability Strategy and Action Plan - External Funders e.g., Town Deal Funding – understanding funding requirements and protecting spend

Sub - Principle - Sustainable economic, social, and environmental benefits

The behaviours and actions that can demonstrate this:	Source documents
- 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 Council'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	'The Plan' - Corporate Plan 2020 – 2025 - Annual Action Plan - reviewed and published on an annual basis - Local Plan and other planning policy documents - Consultation - Annual Statement of Accounts - External Audit reports - Community impact assessments - Annual Financial Report Annual Performance Reporting - Consultation strategy - Capital programme process - Equality, Diversity, and Inclusion Strategy Action Plan - Risk Management Framework - Report template requires that consultation is undertaken with S151 and Monitoring officers before report is considered by Members. - Sustainability Strategy and Action Plan - Locality Strategy and Action Plan

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

Local government achieves its intended outcomes by providing a mixture of legal, regulatory, and practical interventions (courses of action). Determining the right mix of these courses of action is a critically important strategic choice that local government has to make to ensure intended outcomes are achieved. They need robust decision-making mechanisms to ensure that their defined outcomes can be achieved in a way that provides the best trade-off between the various types of resource inputs while still enabling effective and efficient operations. Decisions made need to be reviewed frequently to ensure that achievement of outcomes is optimised.

Sub -Principle – Determining interventions

The behaviours and actions that can demonstrate this:	Source documents
• 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	➢ 'The Plan' - Corporate Plan 2020 – 2025 ➢ Annual Action Plan - reviewed and published on an annual basis ➢ Corporate Plan consultation ➢ Business cases ➢ Community Impact Assessment ➢ Equality, Diversity, and Inclusion Strategy Action Plan ➢ Tenants and Leaseholder Satisfaction Surveys ➢ Resident and User Surveys ➢ Online Surveys ➢ Partnership Governance Framework and Partnership Register ➢ Residents Engagement Strategy ➢ 6 monthly neighbourhood report - compliance and performance for the councils housing stock

Sub – Principle - Planning interventions

The behaviours and actions that can demonstrate this:	Source documents
• Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities, and targets • Engaging with internal and external stakeholders in determining how services and other courses of action 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 • 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	➢ 'The Plan' – Corporate Plan 2020 – 2025 ➢ Corporate Plan consultation ➢ Annual Action Plan – reviewed and published on an annual basis. Plan incorporates Performance Indicators ➢ Planning process ➢ Partnership Governance Framework ➢ Consultation ➢ Community Impact Assessment ➢ Corporate Communications Strategy/communications protocol ➢ Project and Programme Team and project guidance ➢ Development of Share Point ➢ Tenant and Leaseholder Satisfaction Surveys ➢ Resident and User Surveys ➢ Online Surveys ➢ Service Improvement Plans ➢ Employee Surveys ➢ Financial regulations

• Informing medium and long term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy	➢ Medium Term Financial Strategy and Business Strategy ➢ Budget Monitoring / Line by Line review of Revenue Budget ➢ Monitoring of Capital Projects ➢ Development of Resident Engagement Strategy with residents of the Council's estates and homes ➢ External Funders e.g., Town Deal Funding – understanding funding requirements and protecting spend

Sub – Principle - Optimising achievement of intended outcomes

The behaviours and actions that can demonstrate this:	Source documents
• Ensuring the medium term financial strategy integrates and balances service priorities, affordability, and other resource constraints • Ensuring the budgeting process is all-inclusive, taking into account the full cost of operations over the medium and longer term • Ensuring the medium term financial strategy sets the context for ongoing decisions on significant delivery issues or responses to changes in the external environment that may arise during the budgetary period in order for outcomes to be achieved while optimising resource usage. • Ensuring the achievement of 'social value' through service planning and commissioning. 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'	➢ 'The Plan' - Corporate Plan 2020 - 2025 ➢ Annual Action Plan - reviewed and published on an annual basis ➢ Risk Management Framework ➢ Corporate Risk Register ➢ Annual Financial Report ➢ Annual Performance Report ➢ Medium Term Financial Strategy and Business Strategy ➢ Financial Regulations ➢ Monitoring of Capital Projects ➢ Project Management. ➢ External Project Management brought into key projects ➢ Executive Leadership Team / Management Team ➢ Business Continuity Plans ➢ Emergency Planning ➢ Line by Line reviews of Revenue Budget ➢ Service Improvement Plans ➢ Locality Strategy ➢ Culture Heritage and Tourism Strategy

Core Principle E - Developing the entity'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 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.

Sub - Principle - Developing the Council's capacity

The behaviours and actions that can demonstrate this:	Source documents
• Reviewing operations, performance and use of assets on a regular basis to ensure their continuing effectiveness • Improving resource use through appropriate application of techniques such as benchmarking and other options in order to determine how resources are allocated so that 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	➢ 'The Plan' - Corporate Plan 2020 - 2025 ➢ Annual Action Plan - reviewed and published on an annual basis ➢ Council's vision and Core Values ➢ Partnership Governance Framework and Partnership Register ➢ Recruitment and Selection Policy and Toolkit ➢ Retaining Staff ➢ Workforce Development Strategies ➢ Organisational Development Plans ➢ Learning and Development Strategies ➢ Management Development Programme ➢ Corporate Induction Course ➢ Elected member learning and development programme ➢ Digital and IT Strategy ➢ Planning Process ➢ Annual Financial Report ➢ Line by line reviews of Revenue Budgets Annual Performance Reporting ➢ Monitoring of Capital Projects ➢ Corporate Risk Register ➢ Agile Working Policy ➢ Apprenticeship schemes ➢ Resourcing for projects

Sub – Principle - Developing the capability of the Council's leadership and other individuals

The behaviours and actions that can demonstrate this:	Source documents
• Developing protocols to ensure that elected and appointed leaders negotiate with each other regarding their respective roles early on in the relationship and that a shared understanding of roles and objectives is maintained • Publishing a statement that specifies the types of decisions that are delegated and those reserved for the collective decision making of the governing body • Ensuring the leader and the chief executive have clearly defined and distinctive leadership roles within a structure whereby the chief executive leads in implementing strategy and managing the delivery of services and other outputs set by members and each provides a check and a balance for each other's authority. • Developing the capabilities of members and senior management to achieve effective leadership and to enable the organisation to respond successfully to changing legal and policy demands as well as economic, political, and environmental changes and risks by: – 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 • 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 • 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	➢ Council's vision and core values ➢ The Council's Constitution ➢ Scheme of delegation ➢ Committee terms of reference ➢ Member's code of conduct ➢ Member induction / training and development ➢ Officers code of conduct ➢ Protocol on member / officer relations ➢ Corporate Induction ➢ Organisational Development Plan ➢ Personal Development Review Objectives and personal development plans are established for staff at all levels ➢ Agreed Behaviour Framework ➢ Performance Management Framework ➢ Monthly 1 to 1 ➢ Role of Internal Audit ➢ Finance Director member of Executive Leadership Team ➢ Standing Orders and Financial Regulations are periodically reviewed. ➢ Cornerstones of leadership ➢ Designated Safeguarding Officers ➢ Agile Working Policy ➢ Job descriptions / Conditions of Employment ➢ Formal appraisal process for all members of Management Team ➢ Elected Members learning and development strategy ➢ Online feedback ➢ HR Policies and procedures ➢ Occupational Health Service ➢ Employee Assistance Programme ➢ Healthy working initiatives ➢ Promote and participation in Active Norfolk Workplace Challenge ➢ The Council welcomes members of the public to engage in decision making, with meetings being held in public where possible and consultations undertaken on relevant decisions

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

Local government needs to ensure that the organisations and governance structures that it oversees have implemented, and can sustain, an effective performance management system that facilitates effective and efficient delivery of planned services. Risk management and internal control are important and integral parts of a performance management system and are crucial to the achievement of outcomes. Risk should be considered and addressed as part of all decision making activities. A strong system of financial management is essential for the implementation of policies and the achievement of intended outcomes, as it will enforce financial discipline, strategic allocation of resources, efficient service delivery and accountability. It is also essential that a culture and structure for scrutiny are in place as a key part of accountable decision making, policy making and review. A positive working culture that accepts, promotes, and encourages constructive challenge is critical to successful scrutiny and successful service delivery. Importantly, this culture does not happen automatically, it requires repeated public commitment from those in authority.

Sub -Principle - Managing Risk

The behaviours and actions that can demonstrate this:	Source documents
• 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	➢ Risk Management Framework ➢ Corporate Risk Register - each risk is allocated to individual responsible owners ➢ Corporate risk evaluated on a quarterly basis. ➢ Corporate Risk Group ➢ Service Improvement Plans - Services to maintain a watching brief on all operational level risks. ➢ Audit & Risk Committee, work plan, agenda, reports & minutes ➢ Committee report template ➢ Annual Risk Management Report ➢ Risk Management & Health & Safety training ➢ Risk Management is an agenda item on all Corporate and Service meetings ➢ Project and Programme Team and project Guidance ➢ Health and Safety Subgroup / Safety bulletins ➢ Monthly Health and Safety Management Cycle ➢ Health and Safety policies ➢ Health and Safety Co-Ordinators ➢ Business Continuity Planning ➢ Annual Action Plan - reviewed & published ➢ Audit Reports / Action Plans ➢ Warning Marker System ➢ Business Plans ➢ Lone Working Policy & Stay Safe App

Sub - Principle - Managing Performance

The behaviours and actions that can demonstrate this:	Source documents
• Monitoring service delivery effectively including planning, specification, execution, and independent post implementation review • Making decisions based on relevant, clear objective analysis and advice pointing out the implications and risks inherent in the Council'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 Council's performance and that of any organisation for which it is responsible (or for a committee system) • Encouraging effective and constructive challenge and debate on policies and objectives to support balanced and effective decision making • Providing members and senior management with regular reports on service delivery plans and on progress towards outcome achievement • Ensuring there is consistency between specification stages (such as budgets) and post implementation reporting (e.g., financial statements)	➢ Annual Financial Report ➢ Committee agendas, reports, and minutes ➢ Customer feedback, Resident and User Surveys ➢ Online feedback ➢ Internal Audit Reports ➢ Performance Management Framework ➢ Quarterly Projects and Measures Performance Report ➢ Annual Performance / Monitoring Report ➢ Annual Action Plan- reviewed and published on an annual basis. Plan incorporates Performance Indicators ➢ Service Improvement Plans includes milestones for delivery and outcome ➢ Self Assessment Assurance Statement ➢ Risk Management Framework ➢ Line by line reviews of Revenue budgets ➢ Financial Regulations ➢ Medium Term Financial Strategy ➢ ¼ reporting to Management Team and 6 monthly reporting to A & R Committee of Corporate Risk Register ➢ 6 monthly reporting Corporate Risks to Audit & Risk Committee ➢ The quarterly Capital and Revenue reports evaluate budgetary positions, seeking approval to significant variances and highlighting major changes to agreed programmes. The final quarter reports then seek to align to financial reporting ➢ Quarterly KPI reporting ➢ Monitoring strategies and progress of Action Plans

Sub - Principle - Robust internal control

The behaviours and actions that can demonstrate this:	Source documents
• Aligning the risk management strategy and policies on internal control with achieving objectives • Evaluating and monitoring risk management and internal control on a regular basis • Ensuring effective counter fraud and anti-corruption arrangements are in place • Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor • Ensuring an audit committee or equivalent group/ function, which is independent of the executive and accountable to the governing body: – provides a further source of effective assurance regarding arrangements for managing risk and maintaining an effective control environment	➢ Risk Management Framework and procedures. Framework subject to annual review. ➢ Corporate Risk Register. Risks are subject to quarterly reviews by management. ➢ Audit and Risk Committee ➢ The internal audit programme is subject to an annual review and formal review, with planning over the longer term, balancing the Council's priorities and risks ➢ Internal Audit plans are developed, and the Internal Audit Service is resourced according to these plans ➢ Internal Audit Annual Report ➢ Anti Fraud, Corruption and Bribery Policy, Anti Money Laundering Policy and Whistleblowing Policy. ➢ Annual Governance Statement ➢ Service Improvement ➢ Budget Control ➢ Standing Orders ➢ Scheme of Delegation ➢ Separation of duties ➢ The Council takes part in national initiatives to reduce the potential for fraud and to identify fraud that may have

– that its recommendations are listened to and acted upon	occurred e.g., NFI data matching

Sub - Principle - Managing data

The behaviours and actions that can demonstrate this:	Source documents
• Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data • Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies • Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring	➢ General Data Protection Policy ➢ Designated Data Protection Officer ➢ Data Retention Policy / Schedules ➢ Off Site storage protocol ➢ Information champions (regular updates provided on current Data protection and FOI issues ➢ PSN Compliant to ensure the most sensitive data it holds is held securely ➢ Information sharing is subject to defined information / data sharing protocols. ➢ Freedom of information / EIR regulations ➢ ICT Security Policy ➢ Risk Owners ➢ Project Team – Data Impact Assessments ➢ The Council does not have formal data validation programmes, however data validity and quality is evaluated through internal audit assessment ➢ E-learning system and Data Protection Training ➢ Data Handling and security Breaches ➢ Reports on data breaches to identify trends to MT in case education required to staff

Sub - Principle - Strong public financial management

The behaviours and actions that can demonstrate this:	Source documents
• 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	➢ 'The Plan' - Corporate Plan 2020 - 2025 ➢ Annual Action Plan - reviewed and published on an annual basis ➢ The Council's Constitution ➢ Medium Term Financial Strategy ➢ Financial Regulations ➢ Annual Financial Report ➢ Annual Performance Reporting ➢ Management accounts are produced on a monthly basis for service analysis, and to ensure budgets remain on track to those established within business planning. Significant variances are reported to key decision making. ➢ Capital Project Monitoring ➢ Annual Audited Statement of Accounts ➢ Service Improvement Plans ➢ Report template requires that consultation is undertaken with S151 officer before considered by Members ➢ External Audit Reports

Core 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.

Sub - Principle - Implementing good practice in transparency

The behaviours and actions that can demonstrate this:	Source documents
• 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	➢ Committee agenda, papers, report template and minutes ➢ All reports are available for the public to review from the Council's website with contact details for key officers prominently placed ➢ Freedom of Information Policy statement and Publication Scheme ➢ Forward planning ➢ Report writing training ➢ Corporate Communications Strategy ➢ Council website ➢ Environmental Information Regulations (EIR)

Sub - Principle - Implementing good practices in reporting

The behaviours and actions that can demonstrate this:	Source documents
• Reporting at least annually on performance, value for money and stewardship of resources to stakeholders in a timely and understandable way • Ensuring members and senior management own the results reported • Ensuring robust arrangements for assessing the extent to which the principles contained in this Framework have been applied and publishing the results on this assessment, including an action plan for improvement and evidence to demonstrate good governance (the annual governance statement) • Ensuring 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	➢ Annual Audited Statement of Accounts includes a "narrative" report which outlines how the Council has delivered against its objectives and financial targets during the year. The report makes extensive use of charts to aid users to quickly understanding the information. ➢ Annual External Audit Report and Letter ➢ Internal Audit Reports ➢ Annual Governance Statement provides a key oversight of the Council's governance arrangements and how these can be developed ➢ Partnerships / Shared Services are subject to separate legal agreements ➢ The Council's companies each have their own corporate governance framework ➢ Annual Financial Report ➢ Annual Performance Reporting ➢ Partnership Governance Framework and Partnership Register ➢ Committee agendas, reports, and minutes ➢ Service Improvement Plans ➢ Local Code of Governance annual and 6 monthly review. Further on-going work is incorporated into the Annual Governance Framework ➢ 6 monthly Corporate Risk Report to Audit and Risk ➢ Quarterly finance reports to Policy and Resources and Housing and Neighbourhoods Committee ➢ Significant areas of concern would be referred to the relevant committee for Members and officers to collaboratively review how service performance can be improved ➢ Reporting to Housing & Neighbourhoods Committee in regard to Regulator of Social Housing Consumer Standards and Rent Standard compliance

Sub - Principle - Assurance and effective accountability

The behaviours and actions that can demonstrate this:	Source documents
• Ensuring that recommendations for corrective action made by external audit are acted upon • Ensuring an effective internal audit service with direct access to members is in place, providing assurance with regard to governance arrangements and that recommendations are acted upon • Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations • Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement • Ensuring that when working in partnership, arrangements for accountability are clear and the need for wider public accountability has been recognised and met	➢ Recommendations made by external & internal auditors are reported to Audit & Risk Committee on a periodic basis, and how these recommendations have been progressed and implemented. ➢ The Internal Audit Manager has access to report directly to the Audit & Risk Committee with outcomes from her work and any key concerns she may have ➢ Annual Internal Audit Report and Work plan submitted to ELT and Audit & Risk Committee ➢ Progress of audit recommendations monitored by Executive Leadership Team ➢ Partnership Governance Framework and Partnership Register ➢ Each partnership will design its own terms of reference / legal framework / constitution as appropriate. GYBC lead officer to ensure that is fits with the Council's current corporate priorities / plans ➢ Risk Management Framework / Procedures ➢ Council meetings ➢ Audit and Risk committee ➢ Standing Orders ➢ Scheme of Delegation ➢ Local Code of Governance annual and ½ yearly review ➢ Annual Governance Statement (AGS) ➢ The AGS includes the "effectiveness of other organisations" which discusses the governance arrangements for the Councils companies. Separately, the nature of the Council's core partnerships are also reviewed within the AGS and risks / development areas are identified ➢ Ombudsman and complaints reported to standards committee