

Review of Code of Corporate Governance

Report by Solicitor and Monitoring Officer

Summary:	A review of the Authority's Code of Corporate Governance has been initiated by the Solicitor and Monitoring Officer. This Report sets out for the benefit of the Committee the new guidance issued by The Chartered Institute of Public Finance for the financial year 2016/17 which will need to be incorporated into the review of the Code.
Recommendation:	That the Committee notes the new guidance and recommends the amendment of the Code of Corporate Governance to reflect this.

1 Background

- 1.1 The Authority's current Code of Corporate Governance reflects the guidance issued by the Chartered Institute of Public Finance and Accountancy (CIPFA), in particular their publication "Delivering Good Governance in local government framework".
- 1.2 The Accounts and Audit Regulations 2015 amended the existing 2011 Regulations and the Authority's Annual Governance Statement for 2015/16 envisaged that the Code of Corporate Governance would need to be revised in accordance with both the change in Regulations and the anticipation of a revised CIPFA Framework.
- 1.3 The new CIPFA guidance has now been published. It states that authorities should test their governance structures and partnerships against the principles contained in the Framework by:
 - Reviewing existing governance arrangements
 - Developing and maintaining an up-to-date local code of governance, including arrangements for ensuring on-going effectiveness
 - Reporting publicly on compliance with their own code on an annual basis and on how they have monitored the effectiveness of their governance arrangements in the year and on planned changes.
- 1.4 The new Framework also states that in order to achieve good governance, each local authority should be able to demonstrate that its governance structures comply with the core and sub-principles contained in the Framework. These are set out below. It is also crucial that the Framework is applied in a way that demonstrates the spirit and ethos of good governance which cannot be achieved by rules and procedures alone. Shared values that

are integrated into the culture of an organisation and are reflected in behaviour and policy are hallmarks of good governance (see reference to the Authority's core values below).

1.5 The six core principles under the new Framework are:

- (i) Behaving with Integrity, demonstrating strong commitment to ethical values and respecting the rule of law.
- (ii) Ensuring openness and comprehensive stakeholder engagement
- (iii) Defining outcomes in terms of sustainable economic, social and environmental benefits
- (iv) Determining the interventions necessary to optimise the achievement of the intended outcomes
- (v) Developing the entity's capacity including the capability of its leadership and the individuals within it.
- (vi) Managing risks and performance through robust internal control and strong public financial management.

1.6 There are a number of sub-principles to each core principle within the Framework. A copy of the CIPFA 2016 Framework is attached. All authorities are encouraged to consider carefully the content of the framework and to use it in a way that best reflects their structure, type, functions and size.

1.7 Although the CIPFA guidance is not prescriptive as to what goes into a local Code, the Authority's own current Code of Corporate Governance uses the previous core principles and sub-principles in its schedule. It would follow from that that it would be logical that the local Code should be revised to reflect the new principles. The current Code of Corporate Governance is attached.

1.8 The Authority uses its core values across a range of its activities. They are:

- Commitment – we are committed to making a difference to the Broads for the benefit of everyone
- Caring – we are considerate and respectful of each other
- Open and honest – We are open, honest and inclusive in all our decisions and communications
- Sustainable – We consider the environmental and financial implications in everything we do
- Exemplary – we strive for excellence in all we do

The core values are clearly part of demonstrating good governance. They feature in the new Members' Code of Conduct and in recruitment of staff, as examples.

1.9 The Solicitor and Monitoring Officer will be circulating an updated draft 2017 Code of Governance to the Chair of FSAC, Head of Finance and Management Forum in February 2017, which will include proposed amendments to reflect changes to the CIPFA Framework. Once it is done, the Management Team will confirm the revised Code prior to signature by the Chair and CEO of the Authority.

2 Conclusion

- 2.1 The Committee is asked to approve the approach to updating the Code of Corporate Governance as set out above.

Background papers: None

Author: David Harris

Date of report: 25th January 2017

Broads Plan Objectives: None

Appendices: APPENDIX 1 - CIPFA Framework,
APPENDIX 2 - Code of Corporate Governance 2014

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Contents

CHAPTER ONE: INTRODUCTION	1
CHAPTER TWO: STATUS	3
CHAPTER THREE: REQUIREMENTS.....	5
CHAPTER FOUR: APPLICABILITY AND TERMINOLOGY	7
APPLICABILITY	7
TERMINOLOGY	7
CHAPTER FIVE: GUIDANCE NOTES.....	9
CHAPTER SIX: THE PRINCIPLES OF GOOD GOVERNANCE – APPLICATION.....	11
DEFINING THE CORE PRINCIPLES AND SUB-PRINCIPLES OF GOOD GOVERNANCE	11
DEFINING GOVERNANCE	12
PRINCIPLES OF GOOD GOVERNANCE IN LOCAL GOVERNMENT	12
CHAPTER SEVEN: ANNUAL REVIEW AND REPORTING	23
THE ANNUAL GOVERNANCE STATEMENT.....	23
GOVERNANCE ARRANGEMENTS.....	24

CHAPTER ONE

Introduction

- 1.1** Governance arrangements in the public services are keenly observed and sometimes criticised. Significant governance failings attract huge attention – as they should – and one significant failing can taint a whole sector. Local government organisations are big business and are vitally important to tax payers and service users. They need to ensure that they meet the highest standards and that governance arrangements are not only sound but are seen to be sound.
- 1.2** It is crucial that leaders and chief executives keep their governance arrangements up to date and relevant. The main principle underpinning the development of the new *Delivering Good Governance in Local Government: Framework* (CIPFA/Solace, 2016) ('the Framework') continues to be that local government is developing and shaping its own approach to governance, taking account of the environment in which it now operates. The Framework is intended to assist authorities individually in reviewing and accounting for their own unique approach. The overall aim is to ensure that resources are directed in accordance with agreed policy and according to priorities, that there is sound and inclusive decision making and that there is clear accountability for the use of those resources in order to achieve desired outcomes for service users and communities.
- 1.3** The Framework positions the attainment of sustainable economic, societal, and environmental outcomes as a key focus of governance processes and structures. Outcomes give the role of local government its meaning and importance, and it is fitting that they have this central role in the sector's governance. Furthermore, the focus on sustainability and the links between governance and public financial management are crucial – local authorities must recognise the need to focus on the long term. Local authorities have responsibilities to more than their current electors as they must take account of the impact of current decisions and actions on future generations.

CHAPTER TWO

Status

- 2.1** Section 3.7 of the CIPFA/LASAAC Code of Practice on Local Authority Accounting in the United Kingdom 2016/17 notes:

Regulation 6(1)(a) of the Accounts and Audit Regulations 2015, Regulation 4(2) of the Local Government (Accounts and Audit) Regulations (Northern Ireland) 2015, Regulation 5(2) of the Local Authority Accounts (Scotland) Regulations 2014 and Regulation 5(2) of the Accounts and Audit (Wales) Regulations 2014 require an authority to conduct a review at least once in a year of the effectiveness of its system of internal control and include a statement reporting on the review with any published Statement of Accounts (England) (as a part of the Annual Accounts (Scotland)). Regulation 6(1)(b) of the Accounts and Audit Regulations 2015, Regulation 4(4) of the Local Government (Accounts and Audit) Regulations (Northern Ireland) 2015 and Regulation 5(4) of the Local Authority Accounts (Scotland) Regulations 2014 require that for a local authority in England, Northern Ireland and Scotland the statement is an Annual Governance Statement.

The preparation and publication of an Annual Governance Statement in accordance with Delivering Good Governance in Local Government: Framework (2016) would fulfil the statutory requirements across the United Kingdom for a local authority to conduct a review at least once in each financial year of the effectiveness of its system of internal control and to include a statement reporting on the review with its Statement of Accounts. In England the Accounts and Audit Regulations 2015 stipulate that the Annual Governance Statement must be “prepared in accordance with proper practices in relation to accounts”. Therefore a local authority in England shall provide this statement in accordance with Delivering Good Governance in Local Government: Framework (2016) and this section of the Code.

- 2.2** This Framework applies to annual governance statements prepared for the financial year 2016/17 onwards.

CHAPTER THREE

Requirements

- 3.1** The Framework defines the principles that should underpin the governance of each local government organisation. It provides a structure to help individual authorities with their approach to governance. Whatever form of arrangements are in place, authorities should therefore test their governance structures and partnerships against the principles contained in the Framework by:
- reviewing existing governance arrangements
 - developing and maintaining an up-to-date local code of governance, including arrangements for ensuring ongoing effectiveness
 - reporting publicly on compliance with their own code on an annual basis and on how they have monitored the effectiveness of their governance arrangements in the year and on planned changes.
- 3.2** The term ‘local code’ essentially refers to the governance structure in place as there is an expectation that a formally set out local structure should exist, although in practice it may consist of a number of local codes or documents.
- 3.3** To achieve good governance, each local authority should be able to demonstrate that its governance structures comply with the core and sub-principles contained in this Framework. It should therefore develop and maintain a local code of governance/governance arrangements reflecting the principles set out.
- 3.4** It is also crucial that the Framework is applied in a way that demonstrates the spirit and ethos of good governance which cannot be achieved by rules and procedures alone. Shared values that are integrated into the culture of an organisation, and are reflected in behaviour and policy, are hallmarks of good governance.

Applicability and terminology

APPLICABILITY

- 4.1** The Framework is for all parts of local government and its partnerships, including:
- county councils
 - district, borough and city councils
 - metropolitan and unitary councils
 - the Greater London Authority and functional bodies
 - combined authorities, city regions, devolved structures
 - the City of London Corporation
 - combined fire authorities
 - joint authorities
 - police authorities, which for these purposes since 2012 includes both the police and crime commissioner (PCC) and the chief constable
 - national park authorities.
- 4.2** The Framework is applicable to a system involving a group of local government organisations as well as to each of them individually. The Framework principles are therefore intended to be relevant to all organisations and systems associated with local authorities, ie joint boards, partnerships and other vehicles through which authorities now work. However, a one-size-fits-all approach to governance is inappropriate. Not all parts of the Framework will be directly applicable to all types and size of such structures, and it is therefore up to different authorities and associated organisations to put the Framework into practice in a way that reflects their structures and is proportionate to their size.

TERMINOLOGY

- 4.3** The terms ‘authorities’, ‘local government organisations’ and ‘organisations’ are used throughout this Framework and should be taken to cover any partnerships and joint working arrangements in operation.
- 4.4** In the police service, where the accountabilities rest with designated individuals rather than a group of members, terms such as ‘leader’ should be interpreted as relating to the PCC or the chief constable as appropriate.

CHAPTER FIVE

Guidance notes

- 5.1** In recognition of the separate legislation applicable to different parts of local government, guidance notes to accompany the Framework have been developed for:
- local government in England (excluding police)
 - local government in Wales (excluding police)
 - police in England and Wales
 - local government in Scotland.
- 5.2** The guidance notes, which should be used in conjunction with the Framework, are intended to assist authorities across their governance systems, structures and partnerships in reviewing their governance arrangements. It will also help them in interpreting the overarching principles and terminology contained in the Framework in a way that is appropriate for their governance structures, taking account of the legislative and constitutional arrangements that underpin them.

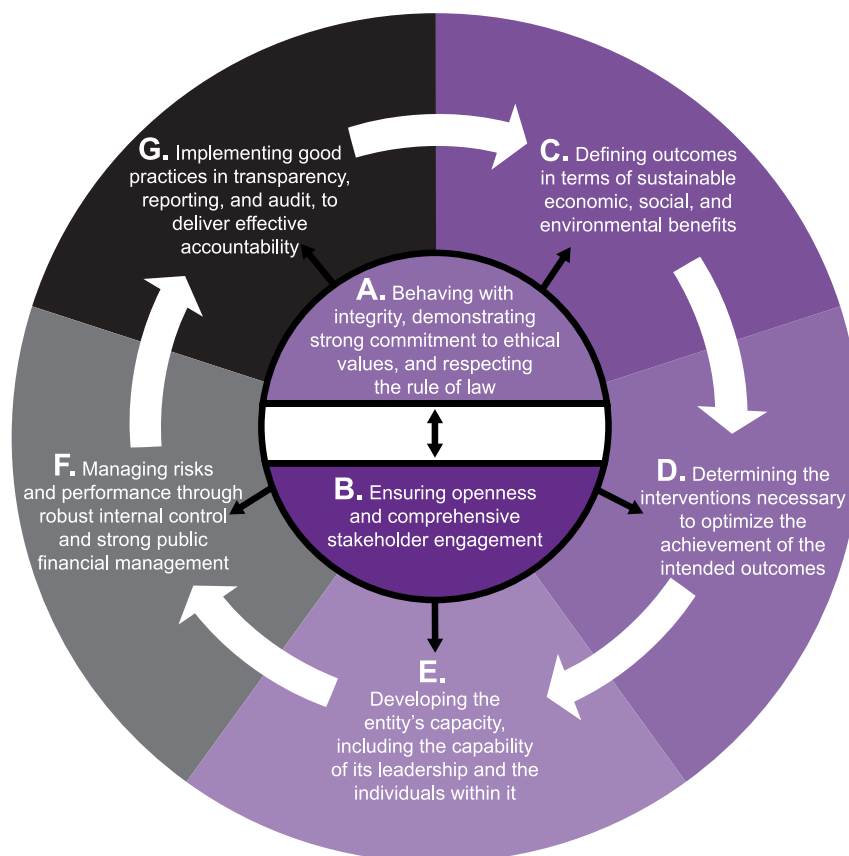
CHAPTER SIX

The principles of good governance – application

DEFINING THE CORE PRINCIPLES AND SUB-PRINCIPLES OF GOOD GOVERNANCE

- 6.1** The diagram below, taken from the [International Framework: Good Governance in the Public Sector](#) (CIPFA/IFAC, 2014) (the ‘International Framework’), illustrates the various principles of good governance in the public sector and how they relate to each other.

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



The International Framework notes that:

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

DEFINING GOVERNANCE

6.2 The International Framework defines governance as follows:

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

The International Framework also states that:

To deliver good governance in the public sector, both governing bodies and individuals working for public sector entities must try to achieve their entity's objectives while acting in the public interest at all times.

Acting in the public interest implies primary consideration of the benefits for society, which should result in positive outcomes for service users and other stakeholders.

6.3 In local government, the governing body is the full council or authority. In the police, PCCs and chief constables are corporations sole and are jointly responsible for governance. The many references to 'members' in the tables which follow should be read in the context that the principles set out apply equally in the police.

PRINCIPLES OF GOOD GOVERNANCE IN LOCAL GOVERNMENT

6.4 The core principles and sub-principles of good governance set out in the table below are taken from the International Framework. In turn they have been interpreted for a local government context.

It is up to each local authority or local government organisation to:

- set out its commitment to the principles of good governance included in this Framework
- determine its own governance structure, or local code, underpinned by these principles
- ensure that it operates effectively in practice.

Core principles and sub-principles of good governance

Core principles (shown in bold)	Sub-principles (shown in bold)
Acting in the public interest requires a commitment to and effective arrangements for:	Behaviours and actions that demonstrate good governance in practice are illustrated in the bullet points.
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 across all activities and have mechanisms in place to encourage and enforce adherence to ethical values and to respect the rule of law.	Behaving with integrity <ul style="list-style-type: none"> ■ Ensuring members and officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the organisation ■ Ensuring members take the lead in establishing specific standard operating principles or values for the organisation and its staff and that they are communicated and understood. These should build on the Seven Principles of Public Life (the Nolan Principles) ■ Leading by example and using the above standard operating principles or values as a framework for decision making and other actions ■ Demonstrating, communicating and embedding the standard operating principles or values through appropriate policies and processes which are reviewed on a regular basis to ensure that they are operating effectively Demonstrating strong commitment to ethical values <ul style="list-style-type: none"> ■ Seeking to establish, monitor and maintain the organisation's ethical standards and performance ■ Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the organisation's culture and operation ■ Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values ■ Ensuring that external providers of services on behalf of the organisation are required to act with integrity and in compliance with ethical standards expected by the organisation

Core principles (shown in bold)	Sub-principles (shown in bold)
	<p>Respecting the rule of law</p> <ul style="list-style-type: none"> ■ Ensuring members and staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations ■ Creating the conditions to ensure that the statutory officers, other key post holders, and members, are able to fulfil their responsibilities in accordance with legislative and regulatory requirements ■ Striving to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders ■ Dealing with breaches of legal and regulatory provisions effectively ■ Ensuring corruption and misuse of power are dealt with effectively
<p>B. Ensuring openness and comprehensive stakeholder engagement</p> <p>Local government is run for the public good, organisations therefore should ensure openness in their activities. Clear, trusted channels of communication and consultation should be used to engage effectively with all groups of stakeholders, such as individual citizens and service users, as well as institutional stakeholders.</p>	<p>Openness</p> <ul style="list-style-type: none"> ■ Ensuring an open culture through demonstrating, documenting and communicating the organisation's commitment to openness ■ Making decisions that are open about actions, plans, resource use, forecasts, outputs and outcomes. The presumption is for openness. If that is not the case, a justification for 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 <p>Engaging comprehensively with institutional stakeholders</p> <p>NB institutional stakeholders are the other organisations that local government needs to work with to improve services and outcomes (such as commercial partners and suppliers as well as other public or third sector organisations) or organisations to which they are accountable.</p> <ul style="list-style-type: none"> ■ Effectively engaging with institutional stakeholders to ensure that the purpose, objectives and intended outcomes for each stakeholder relationship are clear so that outcomes are achieved successfully and sustainably

Core principles (shown in bold)	Sub-principles (shown in bold)
	<ul style="list-style-type: none"> ■ 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: <ul style="list-style-type: none"> – trust – a shared commitment to change – a culture that promotes and accepts challenge among partners
	<p>and that the added value of partnership working is explicit</p>
	<p>Engaging with individual citizens and service users effectively</p>
	<ul style="list-style-type: none"> ■ Establishing a clear policy on the type of issues that the organisation will meaningfully consult with or involve communities, individual citizens, service users and other stakeholders to ensure that service (or other) provision is contributing towards the achievement of intended outcomes ■ Ensuring that communication methods are effective and that members and officers are clear about their roles with regard to community engagement ■ Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs ■ Implementing effective feedback mechanisms in order to demonstrate how views have been taken into account ■ Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity ■ Taking account of the impact of decisions on future generations of tax payers and service users

Principles (shown in bold)	Sub-principles (shown in bold)
<p>In addition to the overarching requirements for acting in the public interest in principles A and B, achieving good governance also requires a commitment to and effective arrangements for:</p>	<p>Behaviours and actions that demonstrate good governance in practice are illustrated in the bullet points.</p>
<p>C. Defining outcomes in terms of sustainable economic, social, and environmental benefits</p> <p>The long-term nature and impact of many of local government's responsibilities mean that it should define and plan outcomes and that these should be sustainable. Decisions should further the organisation's purpose, contribute to intended benefits and outcomes, and remain within the limits of authority and resources. Input from all groups of stakeholders, including citizens, service users, and institutional stakeholders, is vital to the success of this process and in balancing competing demands when determining priorities for the finite resources available.</p>	<p>Defining outcomes</p> <ul style="list-style-type: none"> ■ Having a clear vision, which is an agreed formal statement of the organisation's purpose and intended outcomes containing appropriate 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 <p>Sustainable economic, social and environmental benefits</p> <ul style="list-style-type: none"> ■ Considering and balancing the combined economic, social and environmental impact of policies and plans when taking decisions about service provision ■ Taking a longer-term view with regard to decision making, taking account of risk and acting transparently where there are potential conflicts between the organisation's intended outcomes and short-term factors such as the political cycle or financial constraints ■ Determining the wider public interest associated with balancing conflicting interests between achieving the various economic, social and environmental benefits, through consultation where possible, in order to ensure appropriate trade-offs ■ Ensuring fair access to services

Principles (shown in bold)	Sub-principles (shown in bold)
<p>D. Determining the interventions necessary to optimise the achievement of the intended outcomes</p> <p>Local government achieves its intended outcomes by providing a mixture of legal, regulatory, and practical interventions (courses of action). Determining the right mix of these courses of action is a critically important strategic choice that local government has to make to ensure intended outcomes are achieved. They need robust decision-making mechanisms to ensure that their defined outcomes can be achieved in a way that provides the best trade-off between the various types of resource inputs while still enabling effective and efficient operations. Decisions made need to be reviewed frequently to ensure that achievement of outcomes is optimised.</p>	<p>Determining interventions</p> <ul style="list-style-type: none"> ■ Ensuring decision makers receive objective and rigorous analysis of a variety of options indicating how intended outcomes would be achieved and associated risks. Therefore ensuring best value is achieved however services are provided ■ Considering feedback from citizens and service users when making decisions about service improvements or where services are no longer required in order to prioritise competing demands within limited resources available including people, skills, land and assets and bearing in mind future impacts <p>Planning interventions</p> <ul style="list-style-type: none"> ■ Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets ■ 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 ■ Informing medium and long term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy

Principles (shown in bold)	Sub-principles (shown in bold)
	<p>Optimising achievement of intended outcomes</p> <ul style="list-style-type: none"> ■ Ensuring the medium term financial strategy integrates and balances service priorities, affordability and other resource constraints ■ 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
<p>E. Developing the entity's capacity, including the capability of its leadership and the individuals within it</p> <p>Local government needs appropriate structures and leadership, as well as people with the right skills, appropriate qualifications and mindset, 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.</p>	<p>Developing the entity's capacity</p> <ul style="list-style-type: none"> ■ Reviewing operations, performance and use of assets on a regular basis to ensure their continuing effectiveness ■ Improving resource use through appropriate application of techniques such as benchmarking and other options in order to determine how resources are allocated so that defined outcomes are achieved effectively and efficiently ■ Recognising the benefits of partnerships and collaborative working where added value can be achieved ■ Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources <p>Developing the capability of the entity's leadership and other individuals</p> <ul style="list-style-type: none"> ■ Developing protocols to ensure that elected and appointed leaders negotiate with each other regarding their respective roles early on in the relationship and that a shared understanding of roles and objectives is maintained ■ 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

Principles (shown in bold)	Sub-principles (shown in bold)
	<ul style="list-style-type: none"> ■ Developing the capabilities of members and senior management to achieve effective leadership and to enable the organisation to respond successfully to changing legal and policy demands as well as economic, political and environmental changes and risks by: <ul style="list-style-type: none"> – ensuring members and staff have access to appropriate induction tailored to their role and that ongoing training and development matching individual and organisational requirements is available and encouraged – ensuring members and officers have the appropriate skills, knowledge, resources and support to fulfil their roles and responsibilities and ensuring that they are able to update their knowledge on a continuing basis – ensuring personal, organisational and system-wide development through shared learning, including lessons learnt from governance weaknesses both internal and external ■ 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

Principles (shown in bold)	Sub-principles (shown in bold)
<p>F. Managing risks and performance through robust internal control and strong public financial management</p> <p>Local government needs to ensure that the organisations and governance structures that it oversees 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.</p> <p>A strong system of financial management is essential for the implementation of policies and the achievement of intended outcomes, as it will enforce financial discipline, strategic allocation of resources, efficient service delivery and accountability.</p> <p>It is also essential that a culture and structure for scrutiny are in place as a key part of accountable decision making, policy making and review. A positive working culture that accepts, promotes and encourages constructive challenge is critical to successful scrutiny and successful service delivery. Importantly, this culture does not happen automatically, it requires repeated public commitment from those in authority.</p>	<p>Managing risk</p> <ul style="list-style-type: none"> ■ Recognising that risk management is an integral part of all activities and must be considered in all aspects of decision making ■ Implementing robust and integrated risk management arrangements and ensuring that they are working effectively ■ Ensuring that responsibilities for managing individual risks are clearly allocated <p>Managing performance</p> <ul style="list-style-type: none"> ■ Monitoring service delivery effectively including planning, specification, execution and independent post implementation review ■ Making decisions based on relevant, clear objective analysis and advice pointing out the implications and risks inherent in the organisation's financial, social and environmental position and outlook ■ Ensuring an effective scrutiny or oversight function is in place which provides constructive challenge and debate on policies and objectives before, during and after decisions are made thereby enhancing the organisation's performance and that of any organisation for which it is responsible (Or, for a committee system) Encouraging effective and constructive challenge and debate on policies and objectives to support balanced and effective decision making ■ Providing members and senior management with regular reports on service delivery plans and on progress towards outcome achievement ■ Ensuring there is consistency between specification stages (such as budgets) and post implementation reporting (eg financial statements)

Principles (shown in bold)	Sub-principles (shown in bold)
	Robust internal control <ul style="list-style-type: none"> ■ Aligning the risk management strategy and policies on internal control with achieving objectives ■ Evaluating and monitoring risk management and internal control on a regular basis ■ Ensuring effective counter fraud and anti-corruption arrangements are in place ■ Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor ■ Ensuring an audit committee or equivalent group/function, which is independent of the executive and accountable to the governing body: <ul style="list-style-type: none"> – provides a further source of effective assurance regarding arrangements for managing risk and maintaining an effective control environment – that its recommendations are listened to and acted upon
	Managing data <ul style="list-style-type: none"> ■ Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data ■ Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies ■ Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring
	Strong public financial management <ul style="list-style-type: none"> ■ Ensuring financial management supports both long term achievement of outcomes and short-term financial and operational performance ■ Ensuring well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls

Principles (shown in bold)	Sub-principles (shown in bold)
G. Implementing good practices in transparency, reporting, and audit to deliver effective accountability <p>Accountability is about ensuring that those making decisions and delivering services are answerable for them. Effective accountability is concerned not only with reporting on actions completed, but also ensuring that stakeholders are able to understand and respond as the organisation plans and carries out its activities in a transparent manner. Both external and internal audit contribute to effective accountability.</p>	Implementing good practice in transparency <ul style="list-style-type: none"> ■ Writing and communicating reports for the public and other stakeholders in a fair, balanced and understandable style appropriate to the intended audience and ensuring that they are easy to access and interrogate ■ Striking a balance between providing the right amount of information to satisfy transparency demands and enhance public scrutiny while not being too onerous to provide and for users to understand Implementing good practices in reporting <ul style="list-style-type: none"> ■ Reporting at least annually on performance, value for money and stewardship of resources to stakeholders in a timely and understandable way ■ Ensuring members and senior management own the results reported ■ Ensuring robust arrangements for assessing the extent to which the principles contained in this Framework have been applied and publishing the results on this assessment, including an action plan for improvement and evidence to demonstrate good governance (the annual governance statement) ■ Ensuring that this Framework is applied to jointly managed or shared service organisations as appropriate ■ Ensuring the performance information that accompanies the financial statements is prepared on a consistent and timely basis and the statements allow for comparison with other, similar organisations Assurance and effective accountability <ul style="list-style-type: none"> ■ Ensuring that recommendations for corrective action made by external audit are acted upon ■ Ensuring an effective internal audit service with direct access to members is in place, providing assurance with regard to governance arrangements and that recommendations are acted upon ■ Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations ■ Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement ■ Ensuring that when working in partnership, arrangements for accountability are clear and the need for wider public accountability has been recognised and met

Annual review and reporting

THE ANNUAL GOVERNANCE STATEMENT

- 7.1** Local authorities are required to prepare an annual governance statement (see Chapter two) in order to report publicly on the extent to which they comply with their own code of governance, which in turn is consistent with the good governance principles in this Framework. This includes how they have monitored and evaluated the effectiveness of their governance arrangements in the year, and on any planned changes in the coming period. The process of preparing the governance statement should itself add value to the effectiveness of the governance and internal control framework.
- 7.2** The annual governance statement is a valuable means of communication. It enables an authority to explain to the community, service users, tax payers and other stakeholders its governance arrangements and how the controls it has in place manage risks of failure in delivering its outcomes. It should reflect an individual authority's particular features and challenges.
- 7.3** The annual governance statement should provide a meaningful but brief communication regarding the review of governance that has taken place, including the role of the governance structures involved (such as the authority, the audit and other committees). It should be high level, strategic and written in an open and readable style.
- 7.4** The annual governance statement should be focused on outcomes and value for money and relate to the authority's vision for the area. It should provide an assessment of the effectiveness of the authority's governance arrangements in supporting the planned outcomes – not simply a description of them. Key elements of an authority's governance arrangements are summarised in the next section.
- 7.5** 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, such as the authority, the executive, the audit committee, internal audit and others as appropriate
 - an opinion on the level of assurance that the governance arrangements can provide and that the arrangements continue to be regarded as fit for purpose in accordance with the governance framework

- an 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.
- 7.6** The annual governance statement should be signed by the leading member (or equivalent) and chief executive (or equivalent) on behalf of the authority.
- 7.7** The annual governance statement should be approved at a meeting of the authority or delegated committee (in Scotland, the authority or a committee with a remit including audit or governance).
- 7.8** Local authorities are required to include the annual governance statement with their statement of accounts. As the annual governance statement provides a commentary on all aspects of the authority's performance, it is appropriate for it to be published, either in full or as a summary, in the annual report, where one is published. It is important that it is kept up to date at time of publication.

GOVERNANCE ARRANGEMENTS

- 7.9** Key elements of the structures and processes that comprise an authority's governance arrangements are summarised below. They do not need to be described in detail in the annual governance statement if they are already easily accessible by the public, for example through the authority's code of governance.
- Developing codes of conduct which define standards of behaviour for members and staff, and policies dealing with whistleblowing and conflicts of interest and that these codes and policies are communicated effectively.
 - Ensuring compliance with relevant laws and regulations, internal policies and procedures, and that expenditure is lawful.
 - Documenting a commitment to openness and acting in the public interest.
 - Establishing clear channels of communication with all sections of the community and other stakeholders, ensuring accountability and encouraging open consultation.
 - Developing and communicating a vision which specifies intended outcomes for citizens and service users and is used as a basis for planning.
 - Translating the vision into courses of action for the authority, its partnerships and collaborations.
 - Reviewing the effectiveness of the decision-making framework, including delegation arrangements, decision-making in partnerships, information provided to decision makers and robustness of data quality.
 - Measuring the performance of services and related projects and ensuring that they are delivered in accordance with defined outcomes and that they represent the best use of resources and value for money.

- Defining and documenting the roles and responsibilities of members and management, with clear protocols for effective communication in respect of the authority and partnership arrangements.
- Ensuring that financial management arrangements conform with the governance requirements of the [CIPFA Statement on the Role of the Chief Financial Officer in Local Government](#) (2015) or [CIPFA Statement on the Role of the Chief Financial Officer of the Police and Crime Commissioner and the Chief Financial Officer of the Chief Constable](#) (2014) as appropriate and, where they do not, explain why and how they deliver the same impact.
- Ensuring effective arrangements are in place for the discharge of the monitoring officer function.
- Ensuring effective arrangements are in place for the discharge of the head of paid service function.
- Providing induction and identifying the development needs of members and senior officers in relation to their strategic roles, supported by appropriate training.
- Reviewing the effectiveness of the framework for identifying and managing risks and for performance and demonstrating clear accountability.
- Ensuring effective counter fraud and anti-corruption arrangements are developed and maintained in accordance with the [Code of Practice on Managing the Risk of Fraud and Corruption](#) (CIPFA, 2014).
- Ensuring an effective scrutiny function is in place.
- Ensuring that assurance arrangements conform with the governance requirements of the [CIPFA Statement on the Role of the Head of Internal Audit](#) (2010) and, where they do not, explain why and how they deliver the same impact.
- Undertaking the core functions of an audit committee, as identified in [Audit Committees: Practical Guidance for Local Authorities and Police](#) (CIPFA, 2013).
- Ensuring that the authority provides timely support, information and responses to external auditors and properly considers audit findings and recommendations.
- Incorporating good governance arrangements in respect of partnerships and other joint working and ensuring that they are reflected across the authority's overall governance structures.



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Broads Authority

Code of Corporate Governance: May 2014

1 Introduction

- 1.1 Governance is about how local government bodies ensure that they are doing the right things, in the right way, for the right people, in a timely, inclusive, open, honest and accountable manner. It comprises the systems and processes, and cultures and values, by which local government bodies are directed and controlled and through which they account to, engage with and, where appropriate, lead their communities.
- 1.2 Governance is more than making sure that things do not go wrong or fixing them if they do. Good governance adds value; it ensures effectiveness and efficiency in ever changing circumstances.

2 Code of Corporate Governance: Objectives

- 2.1 The principal objective of a code is to increase credibility, accountability and public confidence in local authorities, and all public bodies are encouraged to adopt a local code. A code helps:
- to develop a framework for corporate governance for the Authority based on good practice and external guidance;
 - to demonstrate compliance with the principles of good governance;
 - to continuously improve the Authority's effectiveness through an annual review of performance against the framework with an action plan to address weaknesses; and
 - to feed the results of this assessment into the Authority's Annual Governance Statement.

3 Delivering Good Governance

- 3.1 The following schedule, which forms the basis of the Authority's Code, has been developed using the structure recommended in the CIPFA/SOLACE document 'Delivering Good Governance in Local Government – Guidance Notes for English Authorities'. This framework builds on the set of core principles recommended by the Independent Commission on Good Governance in Public Services in 2004 for underpinning the governance arrangements of all public sector organisations of:
- a clear definition of the body's purpose and desired outcomes;
 - well-defined functions and responsibilities;
 - an appropriate corporate culture;
 - transparent decision making;
 - a strong governance team; and
 - real accountability to stakeholders.

- 3.2 The framework has six core principles, a number of supporting principles and suggestions for source documents/good practice that may be used to demonstrate compliance.
- 3.3 The schedule includes a number of references to "scrutiny". Scrutiny is a process which operates in a very specific way in local authorities and to which certain established principles and procedures apply. Whilst these same procedures do not apply to the Broads Authority, the Terms of Reference of the Navigation Committee, Financial Scrutiny and Audit Committee and Broads Forum extend to scrutiny in the broad sense and it is therefore considered appropriate to refer to them in that more general context.

4 Commitment and Review

- 4.1 The Broads Authority is committed to action to deliver good governance and column 2 of the schedule represents what the Authority does now or intends to do with immediate effect. Performance against the schedule is reviewed and updated on an annual basis, highlighting what has been done and any further improvements needed for the forthcoming year. Text which is highlighted in yellow represents new initiatives or actions which have not yet been finalised or implemented. The outcome of the review will be reflected in the Annual Governance Statement published each year with the Statement of Accounts, and actions which are outstanding will be incorporated into the Annual Governance Statement Action Plan.

5 Responsibilities

- 5.1 The annual review will be initiated by the Head of Governance and Executive Assistant, who will consult with the Management Team, the Solicitor and Monitoring Officer, the Treasurer and Financial Adviser and the Chair of the Financial Scrutiny and Audit Committee. Other senior staff will also be invited to contribute. Significant areas of concern raised during the annual review will be referred to the Management Team or to the appropriate committee for comment or decision.
- 5.2 Delegation is given to the Chief Executive to make the necessary changes/amendments to the Code as a result of the annual review to ensure it stays relevant and up to date. Any significant changes will be reported to the Authority as part of the report on the Annual Governance Statement, and any weaknesses or outstanding actions identified will be incorporated into the Action Plan for the following year.
- 5.3 The Annual Governance Statement is approved by the Authority and signed by the Chair and the Chief Executive on behalf of the Authority.

Signed:



Stephen Johnson
Chair of the Authority



John Packman
Chief Executive

Date: 9 June 2014

Supporting principle	We will :	What evidence is in place
<p>1a) Exercising strategic leadership by developing and clearly communicating the Authority's purpose and vision and its intended outcome for citizens and service users</p>	<p>1. Use the Broads Plan as the vehicle for setting out and communicating the long-term approach and future direction for the Broads, together with its aims and priority objectives. This will be supported by the Local Development Framework Core Strategy.</p> <p>2. Work with partners to deliver Broads Plan outcomes, being clear about what the Authority is delivering and what our partners are contributing, and produce an annual monitoring report.</p> <p>3. Produce an annual three year Business Plan setting out how the Authority proposes to allocate its resources and work programme to achieve the outcomes and objectives in the Broads Plan, and to report on progress in the previous financial year.</p> <p>4. Produce an Annual Report of the Authority's activities and achievements, to be circulated to communities and stakeholders.</p>	<p>Broads Plan 2011 and on-line monitoring using Broads Plan website</p> <p>Local Development Framework</p> <p>Annual Monitoring Report</p> <p>Business Plan</p> <p>Annual Budget and Financial Strategy</p> <p>Annual Statement of Accounts</p> <p>Annual Report</p> <p>Directorate Work Programmes</p> <p>Strategic Priorities and regular Monitoring Reports to Broads Authority</p>
<p>1b) Ensuring that users receive a high quality of service whether directly, or in partnership, or by commissioning</p>	<p>5. Set out measures of success and standards of service delivery both for the Broads and for the Authority.</p> <p>6. Gather performance data against a range of indicators.</p> <p>7. Compare and evaluate our performance annually and put in place measures to address poor performance within priority areas.</p>	<p>Business Plan</p> <p>Annual Report</p> <p>Benchmarking of performance indicator data with national park authorities</p> <p>National Park Authorities Performance Assessment (NPAPA) Improvement Action Plan</p> <p>Service reviews and improvement plans</p>

	<p>8. Regularly seek feedback from service users as part of evaluating performance and obtain their views on priorities and improvements needed to meet user needs and provide high quality services.</p> <p>9. Regularly review and update local management plans to take into account the views of users and residents following consultation.</p>	<p>Complaints Procedure</p> <p>Norfolk Citizens Panel and toll payers questionnaires</p> <p>National park visitor centres annual survey</p> <p>Survey of users regarding the quality of the planning service, including applicants, objectors and the general public</p>
<p>1c) Ensuring that the Authority makes best use of resources and that tax payers and service users receive excellent value for money</p>	<p>10. Demonstrate value for money in achieving our outputs and outcomes through a programme of service/activity reviews. This will include benchmarking and looking for opportunities for business process improvement, smarter procurement, implementation of our asset management plan and collaboration.</p> <p>11. Continue to work with partner and other organisations, both nationally and locally, understanding the relationship between what we do and what others do to avoid duplication of effort and seeking opportunities to work more effectively and efficiently together.</p> <p>12. Keep under review key partnerships to ensure that they represent value for money.</p> <p>13. Measure how much additional money from external sources is brought into the Authority to help meet its purposes.</p> <p>14. Reduce the carbon footprint of our operations.</p>	<p>NPAPA Self Assessment and Improvement Action Plan</p> <p>Service reviews</p> <p>Directorate Work Programmes</p> <p>Budgeting planning process</p> <p>Asset Management Strategy</p> <p>Phase 1 Asset Management Plan</p> <p>Procurement Strategy</p> <p>Project management process</p> <p>Financial Regulations</p> <p>Standing Orders Relating to Contracts</p> <p>Key liaison groups and conservation partnerships, e.g. Water Quality Partnership</p> <p>Partnerships Protocol</p>

	15. Ensure that all procedures and processes are commensurate with the scale and resources of the organisation.	Register of Partnerships and Governance Action Plan Business Plan Carbon Reduction Targets and PIs Sussex Meeting Notes Publication of Local Spending / Transparency data
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Supporting principle	We will:	What evidence is in place
2a) Ensuring effective leadership throughout the Authority and being clear about executive and non-executive functions and of the roles and responsibilities of the scrutiny function	<p>1. Ensure that the committee structure and decision making processes are efficient and effective with the different roles of members and officers being clear and understood.</p> <p>2. Have in place appropriate systems and guidance to support such structures and ensure effective communication between members and officers in their respective roles.</p> <p>3. Have structures in place which enable members to utilise their skills and experience including through scrutiny to help achieve outcomes.</p>	<p>Standing Orders relating to the business of the Authority</p> <p>Agendas and minutes of meetings</p> <p>Member and staff job descriptions</p> <p>Lead Members and appointments to outside bodies</p> <p>Protocol on Member and Officer Relations</p> <p>Terms of Reference of Committees</p> <p>Member Development Programme</p> <p>Management Team agendas and minutes</p>
2b) Ensuring that a constructive working relationship exists between Authority members and officers and that the responsibilities of members and officers are carried out to	<p>4. Periodically (not less frequently than every three years) review the Terms of Reference of Committees (including the powers reserved to the Broads Authority) and the Scheme of Powers Delegated to Officers, including the effectiveness of the arrangements.</p> <p>5. Appoint a Chief Executive with an appropriate</p>	<p>Terms of Reference of Committees, including powers reserved to the Broads Authority</p> <p>Scheme of Powers Delegated to Officers and schedule of officers authorised to exercise these powers</p> <p>Regular briefing meetings between Chairman and Chief Executive</p>

a high standard	<p>job description.</p> <p>6. Appoint officers to the statutory roles of:</p> <ul style="list-style-type: none"> - Section 17 Officer; - Monitoring Officer; and - Navigation Officer; <p>and ensure that the appointees have the necessary skills, experience and resources to fulfil their roles.</p> <p>7. Put in place appropriate protocols and policies to support these roles including a job description for the Chair which includes responsibility for carrying out the annual appraisal of the Chief Executive.</p>	<p>Member appraisal process</p> <p>Job descriptions for Chief Executive, Section 17 Officer, Monitoring Officer and Navigation Officer</p> <p>Chief Executive appraisal form</p> <p>Individual Performance Review (appraisal) process for officers</p>
2c) Ensuring relationships between the Authority, its volunteers, partners and the public are clear so that each knows what to expect of the other	<p>8. Periodically review and if appropriate amend the Protocol on Officer and Member Relations.</p> <p>9. Maintain the staff grading structure and job evaluation process, providing for gradual progression and review of posts where appropriate.</p> <p>10. Maintain the Scheme of Allowances for Members and arrange for the scheme to be periodically reviewed by an independent panel.</p> <p>11. Implement a performance management system with identified targets and objectives linked to the Broads Plan with regular monitoring of progress and annual reporting of performance.</p> <p>12. Ensure the Authority's strategies, which support achievement of the Broads Plan and feed through to the Business Plan, are based on evidence and feedback from local, regional and national communities and stakeholders.</p>	<p>Protocol on Member and Officer Relations</p> <p>Member Development Strategy</p> <p>Staff grading structure for remuneration of staff and job evaluation process</p> <p>Job Evaluation Policy</p> <p>Job descriptions for all members of staff</p> <p>Scheme of Members Allowances</p> <p>Performance Management Framework</p> <p>Scheme of Local Conditions of Service</p> <p>Broads Plan and on-line monitoring using Broads Plan website</p> <p>Business Plan</p>

	<p>13. Be clear about the Authority's accountability and role in partnerships through having partnership agreements and Service Level Agreements in place where appropriate.</p> <p>14. Publish this information in a useful and accessible format for the public.</p>	<p>Local Development Framework and Statement of Community Involvement</p> <p>Biodiversity and Water Strategy</p> <p>Integrated Access Strategy</p> <p>Sustainable Tourism Strategy</p> <p>Education Strategy</p> <p>Volunteer Strategy</p> <p>Annual Monitoring Report</p> <p>Guidance for Appointees to Outside Bodies</p> <p>Partnerships Protocol</p> <p>Service Level Agreements/other legal agreements/Memoranda of Understanding with partners</p> <p>Publication Scheme</p> <p>Volunteer role descriptions/Volunteer Strategy and policies/Volunteer Code of Conduct</p> <p>Review of Consultative Arrangements</p>
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Supporting principle	We will:	What evidence is in place
3a) Ensuring Authority members and officers	1 Ensure that standards of conduct and personal behaviour expected of members and staff is	Code of Conduct for Members

<p>exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance</p>	<p>defined, communicated and monitored through codes of conduct, protocols and advice.</p> <p>2. Put in place arrangements to ensure that members and staff are not influenced by prejudice, bias or conflicts of interests in carrying out their roles for the Authority, including clear and transparent declarations, by both members and senior officers, of interests and of receipts of gifts and hospitality.</p>	<p>Code of Conduct for Members on Planning Committee and Officers</p> <p>Registers of Members' and Staff Interests</p> <p>Declarations of receipt of gifts and hospitality by members and officers</p> <p>Declarations of interest at meetings</p> <p>Scheme of Members Allowances</p> <p>Code of Conduct for Officers, including guidance on receipt of gifts and hospitality</p> <p>Training for members in Code of Conduct for Members and for Members on Planning Committee</p> <p>Guidance for Appointees to Outside Bodies</p> <p>Protocol on Member and Officer Relations</p> <p>Whistle Blowing Policy</p> <p>Annual Governance Statement</p> <p>Annual Ethical Assessment by the Solicitor and Monitoring Officer Equality Policy</p>
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		<p>Travelling and Subsistence Allowances Policy for staff</p> <p>Anti Fraud and Corruption Policy</p> <p>Electronic Communications Policy</p> <p>Volunteer Code of Conduct</p> <p>Disclosure of Related Party Transactions within annual Statement of Accounts</p>
<p>3b) Ensuring that organisational values are put into practice and are effective</p>	<p>3. Implement the appraisal process for all members.</p> <p>4. Maintain an effective process for the handling of complaints.</p> <p>5. Ensure that all members receive appropriate governance training.</p> <p>6. Maintain a programme of leadership and management competencies for all senior members of staff and provide appropriate support to ensure the development and evidence of these in all managers.</p> <p>7. Have regard at all time to the Authority's shared core values.</p> <p>8. Seek opportunities for all members of society to benefit from the Broads through receptively tackling social, economic and physical barriers.</p>	<p>Appraisal process for all members of the Authority</p> <p>Secretary of State Member Appraisal System</p> <p>Terms of Reference of Committees</p> <p>Procedures for Independent Persons / Hearings Committee to consider complaints against members</p> <p>Members code of Conduct</p> <p>Corporate and Directorate Learning and Development Programmes</p> <p>Broads Authority Core Values</p>

Supporting principle	We will:	What evidence is in place
4a) Being rigorous and transparent about how decisions are taken and listening to and acting on the outcome of constructive scrutiny	<p>1. Ensure that the Authority's committee and decision making processes are open, transparent and free from bias and conflicts of interest.</p> <p>2. Document evidence for decisions recording criteria, rationale and data relied upon using processes proportionate to the impact and risk of the decisions being made.</p> <p>3. Provide the Navigation Committee and Broads Forum with clear and accurate information to enable them to effectively scrutinise the work of the Authority and monitor their success as effective challenge and performance improvement tools.</p> <p>4. Provide the Financial Scrutiny and Audit Committee with clear and accurate information to enable it to effectively scrutinise the Authority's financial performance and audit activity.</p> <p>5. Ensure that the complaints procedures and reporting arrangements are accessible and transparent and are adequately publicised which enable the Authority to monitor responses to ensure that the Authority learns from that feedback.</p> <p>6. Present an annual report to members on complaints received, including those considered by the Local Government Ombudsman, and where appropriate the actions taken by the Authority, to resolve issues.</p> <p>7. Fulfil the Authority's obligations under the Freedom of Information Act and Environmental</p>	<p>Broads Authority agendas and minutes</p> <p>Agendas and minutes of the Planning, Navigation, and Financial Scrutiny and Audit Committees (posted on the Authority's website)</p> <p>Terms of Reference of Committees</p> <p>Broads Forum Terms of Reference, agendas and minutes</p> <p>Complaints Procedure</p> <p>Annual report to Broads Authority on complaints received</p> <p>Freedom of Information Act/Environmental Impact Regulations Guidance Notes to Staff</p> <p>Log of Freedom of Information Act/Environmental Impact Regulations</p> <p>Staff Representatives Group</p> <p>Consultations with recognised trade unions</p>

	Information Regulations in accordance with its commitment to a culture of openness.	
4b) Having good-quality information, advice and support to ensure that services are delivered effectively and are what the community wants/needs	8. Ensure that decision makers are presented with the relevant data/evidence in a clear, appropriate and timely manner (generally in writing), setting out financial and other implications, and ensure that expert advice is available and given for decision makers to make sound decisions.	<p>Broads Authority/committee reports</p> <p>Regular Monitoring Reports to Broads Authority on Strategic Priorities</p> <p>Regular Income and Expenditure Report to Broads Authority, Navigation Committee and Financial Scrutiny and Audit Committee</p> <p>Data Quality Policy</p> <p>Validation process for benchmarked performance indicators</p> <p>Expertise (including legal and financial advice) available in key technical areas</p> <p>Information databases</p> <p>Citizen's Panel and toll payers questionnaires</p> <p>Parish Forums</p>
4c) Ensuring that an effective risk management system is in place	<p>9. Put arrangements in place to implement the Authority's risk management strategy and arrangements at all levels in the Authority (staff, volunteers and members) so that informed decisions can be made on what level of risk to accept and what mitigating action needs to be in place to reduce or remove risk.</p> <p>10. Ensure that there is a strong culture of health</p>	<p>Risk Management Policy</p> <p>Strategic Risk Register</p> <p>Six monthly review of Strategic Risk Register by risk owners and Management Forum</p> <p>Annual review of Strategic Risk Register by Financial Scrutiny and Audit Committee.</p>

	<p>and safety awareness amongst all staff and volunteers, that staff and volunteers are adequately trained and that risk assessments are carried out and implemented where appropriate.</p> <p>11. Ensure that the Whistle Blowing Policy is reviewed at least annually, and where appropriate amended (including the copy on the Intranet) and notified to all members of staff and volunteers.</p>	<p>Financial Regulations and Standing Orders relating to Contracts</p> <p>Business Continuity Plan and Disaster Recovery Plan</p> <p>Health and Safety at Work Policy</p> <p>Safety Committee agendas and minutes</p> <p>Safety Committee Codes of Practice</p> <p>Generic Risk Policy</p> <p>Generic, Site Specific and Public Risk Assessments</p> <p>Insurance policies</p> <p>Whistle Blowing Policy</p> <p>Equalities Policy</p> <p>Volunteer Strategy and policies</p>
4d) Using their legal powers to the full benefit of the citizens and communities in their area	<p>12. Achieve the Authority's priorities and outcomes through full use of its powers whilst identifying and balancing the risks of legal challenge as appropriate.</p> <p>13. Ensure operational managers take legal advice on case work and policy/procedure development as appropriate.</p> <p>14. Immediately respond to any external or internal advice or comment received on the legality of our</p>	<p>Norfolk and Suffolk Broads Act 1988 (establishes legal framework)</p> <p>External scrutiny by External Auditor, Local Government Ombudsman, Defra, HM Revenue and Customs and DCLG</p> <p>Internal Audit reports and Annual Report of Head of Internal Audit</p> <p>Scrutiny by Treasurer and Financial Adviser under Section</p>

	<p>policies, processes and procedures including from the Section 17 Officer and Monitoring Officer.</p>	<p>17 of the Norfolk and Suffolk Broads Act 1988 and by the Monitoring Officer under Section 5 of the Local Government and Housing Act 1989 and the Broads Authority Act 2009</p>
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Supporting principle	We will:	What evidence is in place
5a) Making sure that members, officers and volunteers have the skills, knowledge, experience and resources they need to perform well in their roles	<p>1. Identify learning and development needs for all members of staff at individual, service and corporate levels, providing ways of meeting these needs through a variety of means as set out in the Authority's Learning and Development Policy and annual Corporate Training Programme.</p> <p>2. Identify learning and development needs of members, including through member appraisals, and meet these needs through an annual Member Induction and Development Programme and through individual programmes tailored to the needs of individuals.</p> <p>3. Identify learning and development needs of volunteers.</p>	<p>Learning and Development Policy</p> <p>Corporate, Directorate and individual Training Programmes</p> <p>Staff Induction Programme</p> <p>Performance Management Framework, including annual Individual Performance Reviews for all staff</p> <p>Member Development Strategy</p> <p>Member Induction and Development Programme</p> <p>Job descriptions for the Chief Executive, Treasurer and Financial Adviser, Monitoring Officer and Navigation Officer</p> <p>Role descriptions for volunteers</p>
5b) Developing the capability of people with governance responsibilities and evaluating their performance, as	<p>4. Use the Member Induction and Development Programme to assist and encourage members to develop appropriate skills to carry out their work.</p> <p>5. Ensure that all members of staff receive an annual appraisal, in accordance with the Authority's</p>	<p>Volunteer Strategy and policies</p> <p>Member Development Strategy</p> <p>Member Induction and Development Programme</p> <p>Member appraisal process</p>

individuals and as a group	<p>Management Development Framework.</p> <p>6. Implement the appraisal process for all members.</p> <p>7. Implement the NPAPA Improvement Action Plan.</p> <p>8. Develop the Authority's scrutiny process involving external challenge to identify areas for further improvement.</p> <p>9. Complement core staff with external expert advice when needed.</p>	<p>Performance Management Framework, including annual Individual Performance Reviews for all staff</p> <p>NPAPA Improvement Action Plan</p> <p>Job descriptions for Treasurer and Financial Adviser/ Solicitor and Monitoring Officer.</p>
5c) Encouraging new talent for membership of the Authority so that best use can be made of individuals' skills and resources in balancing continuity and renewal	<p>10. Ensure that opportunities to join the Authority are widely advertised, including to our volunteers, using a variety of media to ensure that a diverse group of applicants is available to the Authority, including consultation by Defra with key organisations on Secretary of State appointments.</p> <p>11. Brief appointing authorities about the role (including time commitment) of members when appointments are due to be made.</p> <p>12. Use decision making and governance structures to best use and develop the skills of members e.g. through chair and vice chair appointments, appointments to committees and working groups, outside body appointments and task teams.</p>	<p>Member job descriptions and adverts</p> <p>Member appraisal process</p> <p>Member Development Programme</p> <p>Navigation Committee membership open advertisement and interview process</p> <p>Member sub-committees and task teams</p>

Supporting principle	We will:	What evidence is in place
6a) Exercising leadership	1. Work with partners in delivering Broads Plan outcomes, monitoring achievements and reporting	Annual Monitoring Report

through a robust scrutiny function which effectively engages local people and all local institutional stakeholders, including partnerships, and develops constructive accountability relationships	<p>annually on progress.</p> <p>2. Monitor and prioritise how we work with constituent local authorities, Local Strategic Partnerships, regional and national bodies.</p>	<p>Partnership Register</p> <p>Norfolk Chief Exec's Group meetings</p>
6b) Taking an active and planned approach to dialogue with and accountability to the public to ensure effective and appropriate service delivery whether directly by the Authority, in partnership or by commissioning	<p>3. Maintain the Authority's Communication Strategy to set out how we will communicate with stakeholders, service users and members of the public.</p> <p>4. Exercise the duty to involve and consult the local community and other interested parties in the delivery of services and key decisions.</p> <p>5. Regularly seek feedback from customers on our services and take action in response.</p> <p>6. Hold all meetings in public unless there are good reasons for confidentiality and implement the Public Question Time Scheme for Broads Authority and all committee meetings.</p> <p>7. Publish an annual three year Business Plan giving information on achievements, performance against prescribed indicators and the satisfaction of service users.</p> <p>8. Increase accessibility to information and to engaging with the Authority through a variety of</p>	<p>Communications Strategy and Action Plan</p> <p>Broads Plan and Local Development Framework consultation process</p> <p>Statement of Community Involvement</p> <p>Broads Forum agendas, papers and minutes</p> <p>Responses to Citizens Panel and toll payers questionnaires</p> <p>Public Question Time Scheme</p> <p>Public Meeting</p> <p>Parish Pop-Ins (to be replaced by wider Parish Forum initiative)</p> <p>Parish Forums</p> <p>Business Plan</p> <p>Compliments, Complaints and Comments section on</p>

	ways and access channels including through improvements to the Authority's website.	website New improved Website, Broad Sheet, Broadcaster, Broad Explorer and other media releases Publication of Local Spending / Transparency data
6c) Making best use of human resources by taking an active and planned approach to meet responsibility to staff and volunteers	<p>9. Encourage the establishment of effective staff and trade union consultation and negotiation structures to facilitate good dialogue and working together through formal structures, including the Staff Representative Group, as well as informal networks..</p> <p>10. Periodically conduct a staff survey and respond to feedback.</p> <p>11. Involve staff in our service planning and decision making processes so that ideas on how to work better can be harnessed.</p> <p>12. Use the Performance Management Framework and individual, Directorate and Corporate Training Plans to maximise the contribution and development of staff.</p> <p>13. Ensure that a suitable set of employment policies are in place, and are regularly monitored and updated, to support staff as our most valued asset and the Authority in achieving its outcomes.</p> <p>14. Foster a culture that embeds the Authority's values as set out in the Mission Statement.</p>	<p>Staff Representative Group Terms of Reference, agendas and minutes</p> <p>Consultation with staff and recognised trade unions on all matters relating to terms of employment</p> <p>Employee Engagement Survey</p> <p>Investors in People accreditation and Assessor's Report</p> <p>Corporate and Directorate training Programmes</p> <p>Monitoring and evaluation process for training needs</p> <p>Scheme of Local Conditions of Service</p> <p>People Strategy</p> <p>Mission Statement and Core Values</p>