

To the Chair and Members of the Audit Committee

LOCAL CODE OF CORPORATE GOVERNANCE

EXECUTIVE SUMMARY

1. The CIPFA/SOLACE '*Delivering Good Governance in Local Government Framework*' (the Framework) is the commanding guidance for good governance in local authorities. It needs to be followed in order to meet best practice and comply with the requirements of the Accounts and Audit Regulations. The Framework was fully re-written by CIPFA/SOLACE in 2016 to update the previous version that had been in place since 2007 (with an addendum in 2012).
2. It has been an option for councils to produce a local code of governance to summarise their governance arrangements. A draft local code was produced in Doncaster in 2010 but was never adopted, probably because of the disorder in the Council at the time and the well-documented weaknesses in its arrangements.
3. While not making a local code mandatory, the revised Framework advocates the production of a convenient and simple reference point by local authorities. Section 3: Requirements, of the Framework states:
 - 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.*
4. The Framework provides flexibility in how councils meet these requirements, acknowledging that "***the 'local code' essentially refers to the governance structure in place***" and "***in practice it may consist of a number of local codes or documents***" (both references to paragraph 3.2, Framework). Doncaster Council could show that it has appropriate arrangements in place, but there would be benefit in producing a single overarching local code is that it captures in one place the vast array of policies and procedures that exist to

ensure the Council meets the highest standards of governance expected of Public bodies. A local code would enable the Council to more easily demonstrate the existence of appropriate arrangements to the Public, Council Members and staff, and other stakeholders

5. Additionally, from a practical perspective, a single local code would enable the Council to produce a more attractive and reader friendly Annual Governance Statement (AGS), by replacing the need to explain the Council's governance policies with a straightforward signposting to the local code. This would leave the AGS itself to focus on the application of arrangements during the year, any key governance issues arising, and highlight positive outcomes achieved through the application of good governance.
6. A draft Local Code of Corporate Governance has been produced and is attached to this report. The Local Code shows all the policies and procedures in place at the Council that enable the Council to meet the seven principles of good governance set out in the CIPFA/SOLACE Framework.
7. The Audit Committee has delegated responsibility for considering governance related matters at the Council, including approving the Council's Annual Governance Statement. It is proposed to recommend the authority for approving the Local Code be delegated to the Audit Committee at the Council AGM on 19 May, if directors agree with the production and adoption of a Local Code.

RECOMMENDATIONS

8. Audit Committee Members are asked to:

- Support the production of a Local Code of Corporate Governance and agree the attached draft.
- Agree to the recommendation to delegate the responsibility for approving the Local Code of Corporate Governance to the Audit Committee.

WHAT DOES THIS MEAN FOR THE CITIZENS OF DONCASTER?

9. By ensuring that there is good governance and a sound system of internal controls in place the Council will be able to provide the citizens of Doncaster with services that are provided in accordance with the law and proper standards.

BACKGROUND

10. In 2015, CIPFA/SOLACE consulted on revised guidance, and this was published in 2016. The new framework details the principles and sub principles defined by CIPFA/SOLACE, which underpin the governance of Doncaster MBC and provide a structure to assist the authority's approach to governance.

PRINCIPLES	SUB PRINCIPLES
Acting in the public interest requires a commitment to and effective arrangements for :	
A. Behaving with integrity, demonstrating	Behaving with integrity.

strong commitment to ethical values and respecting the rule of law.	Demonstrating strong commitment to ethical values.
	Respecting the rule of law.
B. Ensuring openness and comprehensive stakeholder engagement.	Openness
	Engaging comprehensively with institutional stakeholders.
	Engaging with individual citizens and service users effectively.
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 :	
C. Defining outcomes in terms of sustainable economic, social and environmental benefits.	Defining outcomes.
	Sustainable economic, social and environmental benefits.
D. Determining the interventions necessary to optimise the achievement of the intended outcomes.	Determining interventions.
	Planning interventions.
	Optimising achievement of intended outcomes.
E. Developing the entity's capacity, including the capability of its leadership and the individuals within it.	Developing the entity's capacity.
	Developing the capability of the entity's leadership and other individuals.
F. Managing risks and performance through robust internal control and strong public financial management.	Managing risk.
	Managing performance.
	Robust internal control.
	Managing data.
	Strong public financial management.
G. Implementing good practices in transparency, reporting and audit to deliver effective accountability.	Implementing good practice in transparency.
	Implementing good practices in reporting.
	Assurance and effective accountability.

11. The attached draft Local Code of Corporate Governance is underpinned by the *Delivering Good Governance in Local Government*; Framework and is comprised of policies, procedures, behaviours and values by which the Council is controlled and governed.
12. To continue our commitment to good governance, the Strategy and Performance Unit is in the process of preparing the 2016-17 Annual Governance Statement which is also set out in accordance with revised CIPFA/SOLACE guidance. The Annual Governance Statement is a statutory document which explains the processes and procedures in place to enable the council to carry out its functions effectively.

OPTIONS CONSIDERED

13. **Option 1:** To produce a Local Code would more easily demonstrate the Council's adoption of best practice, and show in one place the policies and procedures it has in place to ensure business is conducted effectively and properly. It would also enable the Council to adopt good practice in relation to transparency, by making it easy for any interested parties to find the Council's arrangements in one place.

Option 2: To not produce a local code would not aid transparency and would make it cumbersome and inefficient to respond to any questions about the Council's arrangements.

REASONS FOR RECOMMENDED OPTION

14. **Option 1** is the recommended option. By adopting a Local Code the Council more easily complies with best practice and provides information about its arrangements in a straightforward and consumable form. Option 2 does not provide these benefits, and makes it more difficult for the Council to demonstrate its arrangements.

IMPACT ON THE COUNCIL'S KEY OUTCOMES

	Outcomes	Implications
	<p>All people in Doncaster benefit from a thriving and resilient economy.</p> <ul style="list-style-type: none"> • <i>Mayoral Priority: Creating Jobs and Housing</i> • <i>Mayoral Priority: Be a strong voice for our veterans</i> • <i>Mayoral Priority: Protecting Doncaster's vital services</i> 	
	<p>People live safe, healthy, active and independent lives.</p> <ul style="list-style-type: none"> • <i>Mayoral Priority: Safeguarding our Communities</i> • <i>Mayoral Priority: Bringing down the cost of living</i> 	
	<p>People in Doncaster benefit from a high quality built and natural environment.</p> <ul style="list-style-type: none"> • <i>Mayoral Priority: Creating Jobs and Housing</i> • <i>Mayoral Priority: Safeguarding our Communities</i> • <i>Mayoral Priority: Bringing down the cost of living</i> 	
	<p>All families thrive.</p> <ul style="list-style-type: none"> • <i>Mayoral Priority: Protecting Doncaster's vital services</i> 	

	Council services are modern and value for money.	Good governance ensure resources are devoted to corporate priorities, and are used efficiently, economically and effectively.
	Working with our partners we will provide strong leadership and governance.	The Code of Corporate Governance enables the Council to ensure that there is good governance and a sound system of internal controls are in place.

RISKS AND ASSUMPTIONS

15. Failure to maintain the Council's governance arrangements in line with Best Practice places the Council at risk of criticism by various parties, including Members, external audit, inspectors and the Public. Production of a Local Code will ensure the Council remains up to date with recognised best practice, and reduce the risk of criticism.

LEGAL IMPLICATIONS

16. The Accounts and Audit Regulations 2015 require councils to produce an annual governance statement each year, and in doing so review their governance arrangements in accordance with proper practice. Proper practice in relation to governance arrangements are set out on the CIPFA/SOLACE *Delivery Good Governance in Local Government Framework*. The adoption of a Local Code would comply with these requirements.

FINANCIAL IMPLICATIONS

17. There are no direct financial implications resulting from this report

HUMAN RESOURCES IMPLICATIONS

18. There are no direct human resources implications resulting from this report

TECHNOLOGY IMPLICATIONS

19. There are no direct Technology implications resulting from this report

EQUALITY IMPLICATIONS

20. The adoption of this strategy enables the Council to demonstrate all the arrangements in place to ensure it fairly considers the diverse needs of all communities.

CONSULTATION

21. The production of this report has involved consultation with:

- The Director of Finance and Corporate Services
- The Assistant Director Legal and Democratic Services

- The Strategic Performance Unit
- The Head of Internal Audit.

22. This report has significant implications in terms of the following:

Procurement		Crime & Disorder	
Human Resources		Human Rights & Equalities	
Buildings, Land and Occupiers		Environment & Sustainability	
ICT		Capital Programme	

BACKGROUND PAPERS

22. CIPFA guidance –Delivering Good Governance in local Government Framework - 2016 Edition
Core annual 'Define & Deliver' cycle
2016-17 Annual Governance Statement

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Code of Corporate Governance 2017/18

**A guide to Doncaster Council's compliance with the
Seven Principles of Corporate Governance**

Introduction

The local code of corporate governance sets out clearly and concisely our intent and commitment to having good governance arrangements. The code provides information about the standards by which the Council is governed.

Doncaster Council operates under the Mayoral governance model, which means the Council has an elected Mayor who is personally responsible for making decisions on a very wide range of issues within the Borough, from education to roads, social care to housing to leisure. The Council has 55 elected councillors from 21 wards whose role it is to make key decisions (e.g. agreeing the budget) within which the Mayor operates. They also carry out regulatory functions – e.g., planning, licensing and overview and scrutiny functions, which assist and challenge the Mayor in making policy decisions as well as scrutinising some decisions made by the Mayor.

The Importance of Good Governance

Doncaster Council operates through a governance framework which brings together the complex layers of regulatory and statutory requirements that exist upon local authorities, with good governance principles and management processes.

Delivering Good Governance in Local Government Framework, published by CIPFA¹ in association with SOLACE², sets the standard for local authority governance in the UK. The purpose of the framework is to assist authorities in reviewing and accounting for their own unique approach, with the overall aim to ensure that:

- Resources are directed in accordance with agreed policies and according to priorities
- There is sound and inclusive decision making
- There is clear accountability for the use of resources in order to achieve desired outcomes for service users and communities

The Framework positions the attainment of sustainable economic, social, 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 Framework. Furthermore, the focus within the framework 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 that go beyond the current electorate as they must take account of the impact of current decisions and actions on future generations.

¹ The Chartered Institute of Public Finance and Accountancy

² Society of Local Authority Chief Executives and Senior Managers

How It Works In Doncaster

The Council has a Local Code of Corporate Governance, which is underpinned by the *Delivering Good Governance in Local Government*; Framework and is comprised of policies, procedures, behaviours and values by which the Council is controlled and governed.

The Council recognises that good governance leads to good management, good performance, good stewardship of public funds, good public engagement and to good outcomes for citizens and service users. Failure to deliver this undermines the confidence of the public in our ability to fairly and effectively deliver services and lead in community matters.

Good corporate governance requires the Council to be open, transparent, effective, inclusive of all sectors of the community, accountable to the public it serves and to demonstrate integrity.

Good Governance Principles

The Delivering Good Governance in Local Government Framework, sets out seven core principles of governance as detailed in the diagram below. Doncaster Council is committed to these principles of good governance and confirms this through the adoption, monitoring and development of this document - the Council's Local Code of Corporate Governance.

– *Delivering Good Governance in Local Government Framework 2016 Edition*



These principles underpin the governance of each local government organisation. They provide a structure to help individual authorities with their approach to governance. 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 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.

To achieve good governance, each local authority should be able to demonstrate that its governance structures comply with the seven core and sub-principles contained in this framework.

The following pages show the details of how the Council meets the seven principles and highlights some of the evidence available to demonstrate good governance.

At the end of each year, in its Annual Governance Statement, the Council will identify the outcomes achieved through the application of good governance standards.

Monitoring and Review

The Council will monitor its governance arrangements for their effectiveness in practice and will review them on a continuing basis to ensure that they are up to date.

On an annual basis, the Mayor and the Chief Executive of the Council will sign an Annual Governance Statement which will:

- Assess how the Council has complied with this Code of Corporate Governance
- Provide an opinion on the effectiveness of the Council's arrangements
- Provide details of how continual improvement in the systems of governance will be achieved.

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

SUMMARY:

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.

Actions	Evidence
SUB PRINCIPLE: Behaving with Integrity	
<ul style="list-style-type: none"> Ensuring members and officer behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated Leading by example and using these 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 	<ul style="list-style-type: none"> Code of conduct (Members, Employees and Volunteers) Dignity at work policy Team Doncaster Charter Whistle Blowing Policy Constitution Performance and Development reviews
SUB PRINCIPLE: 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 	<ul style="list-style-type: none"> Corporate Plan Equality and Inclusion Plan Dignity at work policy Workplace induction framework Declarations of Interest Ethical Governance People Strategy Bribery ethical clauses in procurement exercises / contracts Codes of conduct (Members, officers, volunteers,)
SUB PRINCIPLE: Respecting the Rule of Law	
<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 	<ul style="list-style-type: none"> Legal (Monitoring) Officer Role Internal Audit External Audit Overview and Scrutiny arrangements Corporate Complaints procedure Anti-Fraud and Corruption Policy Ethical Governance Data sharing and Protection Officer

PRINCIPLE B: Ensuring openness and comprehensive stakeholder engagement

SUMMARY:

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.

Actions	Evidence
SUB PRINCIPLE: Openness	
<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 	<ul style="list-style-type: none"> • Corporate Plan • Forward plan • Doncaster Council website • Publication scheme • Overview and Scrutiny arrangement • Consultation arrangement • Transparency agenda • Corporate report format • Public Sector Equality Duty • Public attendance at meetings e.g. council meeting etc • Officer decision records
SUB PRINCIPLE: Engaging Comprehensively with Institutional Stakeholders	
<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 • 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 • and that the added value of partnership working is explicit 	<ul style="list-style-type: none"> • Consultation arrangement • Council Website • Team Doncaster partnership boards • Safeguarding Adults Board • Safeguarding Childrens Board • Borough Strategy • Partnership governance arrangements
SUB PRINCIPLE: Engaging Stakeholders Effectively, Including Individual Citizens and Service Users	
<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. 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 	<ul style="list-style-type: none"> • Borough Strategy • Corporate plan • Council Website • Council Chamber – Meetings, Minutes Agendas • Ethical Governance • Overview and Scrutiny Committees

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

SUMMARY: 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

Actions	Evidence
SUB PRINCIPLE: Defining Outcomes	
<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 	<ul style="list-style-type: none"> • Borough Strategy • Corporate Plan • Mayors Priorities • Risk Management Framework • Housing Strategy • Economic Strategy • Corporate Report template • Forward Plan • Equalities, Diversity and Inclusion Framework • Budget setting process • Medium term financial strategy • Finance & Performance Quarterly Report • Risk Management Policy • Data Protection Privacy Notices
SUB PRINCIPLE: Sustainable Economic, Social and Environmental Benefits	
<ul style="list-style-type: none"> • Considering and balancing the combined economic, social and environmental impact of policies and plans when taking decisions about service provision • Taking a longer-term view with regard to decision making, taking account of risk and acting transparently where there are potential conflicts between the organisation’s intended outcomes and short-term factors such as the political cycle or financial constraints • Determining the wider public interest associated with balancing conflicting interests between achieving the various economic, social and environmental benefits, through consultation where possible, in order to ensure appropriate trade-offs • Ensuring fair access to services 	<ul style="list-style-type: none"> • Corporate plan • Doncaster Health and Wellbeing Strategy • Budget setting process • Local Plan • Medium Term Financial Plan • Community Safety Strategy • Equalities, Diversity and Inclusion Framework • Public Health Annual report

PRINCIPLE D: Determining the interventions necessary to optimise the achievement of the intended outcomes

SUMMARY: 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.

Actions	Evidence
SUB PRINCIPLE: Determining Intervention	
<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 	<ul style="list-style-type: none"> Consultation arrangements Council Website Overview and Scrutiny function Corporate report template (Implications elements) Officer decision records Transparency Act disclosures
SUB PRINCIPLE: Planning Interventions	
<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 	<ul style="list-style-type: none"> Corporate Plan Service Plans Quarterly Finance and Performance Reports (Includes Strategic Risks) Medium Term Financial Plan Contact Monitoring External Audits Forward Plan Data protection impact assessments (If use of personal information)
SUB PRINCIPLE: Optimising Achievement of Intended Outcomes	
<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 	<ul style="list-style-type: none"> Medium Term Financial Plan Quarterly Finance and Performance Reports (Includes Strategic Risks) Procurement/ Contact Monitoring Value for Money conclusion/ Annual Audit letter

PRINCIPLE E: Developing the entity’s capacity, including the capability of its leadership and the individuals within it

SUMMARY: 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

Actions	Evidence
SUB PRINCIPLE: Developing the Entity’s Capacity	
<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 	<ul style="list-style-type: none"> • Benchmarking • Performance and Development Reviews • Annual Corporate plan refresh • Service Plans • Team Doncaster charter • Leadership programme • Workforce development plan
SUB PRINCIPLE: Developing the Capability of the Entity’s Leadership and Other Individuals	
<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 Mayor 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 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 	<ul style="list-style-type: none"> • Council Constitution • Performance and Development Reviews • Recruitment and Selection Policies • Code of conduct (Members and Employees) • Member and officer protocols • Scheme of delegated decision • Leadership programme • Member and officer training including E-learning

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

SUMMARY: 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.

Actions	Evidence
SUB PRINCIPLE: Managing Risk	
<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 	<ul style="list-style-type: none"> • Risk Management Framework • Strategic Risk Register • Service Plans • Quarterly Finance and Performance Reports (Includes Strategic Risks) • Audit Committee – Strategic Risk Report • Information Asset Register • Data protection Impact Assessment
SUB PRINCIPLE: Managing Performance	
<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) • 	<ul style="list-style-type: none"> • Quarterly Finance and Performance Reports (Includes Strategic Risks) • Council constitution • Scheme of delegated decision making • Corporate report format • Contract Monitoring • Corporate report template (implications elements) • Overview and Scrutiny function

Actions	Evidence
SUB PRINCIPLE: Robust Internal Controls	
<ul style="list-style-type: none"> • 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 	<ul style="list-style-type: none"> • Risk Management Framework • Strategic Risk Register • Service Plans • Anti-Fraud and Corruption Policy • Fraud Risk Register • Head of Internal Audit Annual Report and progress reports • Audit Committee prospectus, terms of reference and work programme • Audit Committee Annual Report • Information Asset Register
SUB PRINCIPLE: 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 	<ul style="list-style-type: none"> • Digital Council Strategy • ICT Acceptable usage Policy • Data Protection • Publication scheme • Senior Information Risk Owner (SIRO) Board • Information and Records Management Policy • Information Asset Register • Information Management Strategy • Data Retention and Disposal Policy
SUB PRINCIPLE: 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 	<ul style="list-style-type: none"> • Medium Term Financial Plan • Quarterly Finance and Performance Reports (Includes Strategic Risks) • Procurement?? • Value for Money conclusion/ Annual Audit letter

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

SUMMARY:

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.

Actions	Evidence
SUB PRINCIPLE: 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 	<ul style="list-style-type: none"> • Transparency Code • Council Website • Corporate report format • Communication protocols • Freedom of information protocols
SUB PRINCIPLE: 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 	<ul style="list-style-type: none"> • Annual Governance Statement • Statement of Accounts • Local code of corporate governance • External Auditor Value for Money conclusion/ Annual Audit letter
SUB PRINCIPLE: 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 	<ul style="list-style-type: none"> • Doncaster Council Governance Plan • Internal Audit Strategy and Charter • External Audit Annual Audit Letter • Head of Internal Audit Annual report • LGA Peer Reviews • Regular inspections (OFSTED, Care Quality Commission etc) • Annual Governance Statement • Audit Committee • Partnership Governance Arrangements

Further Information

This local code of corporate governance is intended as a summary statement of commitment to good governance in Doncaster Council.

It does not contain every bit of detail about how the council is governed. If you want to look further at how this takes place, you are very welcome to do so.

Details can be found on the Council's website or for staff and elected members, on the Council's intranet site