

**PRINCIPLE ONE:**

**Behaving with integrity, demonstrating strong commitment to ethical values and respecting the rules of law.**

Supporting Principle	The local code requires the council to:	Erewhash demonstrates this through:
<p><b>Behaving with integrity</b></p>	<ul style="list-style-type: none"> <li>• 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.</li> <li>• 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).</li> <li>• Leading by example and using the above standard operating principles or values as a framework for decision making and other actions.</li> <li>• 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.</li> </ul>	<p>The Corporate Plan 2016/19 which sets out the council’s approach to serving its residents and working in the public interest.</p> <p>Developing a culture of behavior based on shared values, high ethical principles and good conduct. It does this by establishing and keeping under review:</p> <ul style="list-style-type: none"> <li>• The roles of members and officers in decision-making, outlined in the council’s Constitution;</li> <li>• A Protocol governing member/employee relations;</li> <li>• A Member Code of Conduct (based on the Nolan Principles) covering elected and independent members, which sets out the conduct required of members and requires disclosable pecuniary interests and other interests to be recorded in the council’s Register of Interests, and is published on the website.</li> <li>• An Employees Code of Conduct;</li> <li>• A Register of Interests and declaration of Gifts and Hospitality accepted;</li> <li>• A suite of counter fraud documents, including the Anti-Theft, Fraud and Corruption Strategy, Confidential Reporting (whistleblowing) Policy and Anti-Money Laundering Policy. All approved by Council in 2017/18 and subject to annual review.</li> <li>• A Regulation of Investigatory Powers Act Policy, approved in April 2018, recognising</li> </ul>

		<p>compliance obligations and providing guidance to officers.</p> <p>A Corporate Equality Policy which includes specific objectives and forms the framework for the wider equality and diversity arrangements.</p> <p>Audit and Standards Committees which undertake active roles in raising awareness of behavioural expectations and developing the council's culture.</p>
<p><b>Demonstrating strong commitment to ethical values</b></p>	<ul style="list-style-type: none"> <li>• Seeking to establish, monitor and maintain the organisation's ethical standards and performance</li> <li>• Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the organisation's culture and operation</li> <li>• Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values</li> <li>• 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</li> </ul>	<p>In addition to the framework detailed above:</p> <p>Continuing to appoint separate Independent members to serve on both the Standards Committee (as co-opted but non-voting members) and Audit Committee.</p> <p>Publishing an Annual Governance Statement, signed by the Leader of the Council and the Chief Executive which includes a review of the effectiveness of the council's governance framework. Audit and Standards Committees are involved in the review process.</p> <p>Defining a framework for decision making in a range of key policy documents including:</p> <ul style="list-style-type: none"> <li>• Financial Regulations</li> <li>• Contract Procedure Rules</li> </ul> <p>The council is committed to supporting "Equality and Diversity". Training is periodically undertaken by all staff and equalities impact assessments are required to be considered for all policies.</p>
<p><b>Respecting the rule of law</b></p>	<ul style="list-style-type: none"> <li>• Ensuring members and staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations.</li> </ul>	<p>Ensuring that professional advice on matters that have legal or financial implications is available,</p>

	<ul style="list-style-type: none"> <li>• 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.</li> <li>• Striving to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders.</li> <li>• Dealing with breaches of legal and regulatory provisions effectively.</li> <li>• Ensuring corruption and misuse of power are dealt with effectively.</li> </ul>	<p>sought and recorded well in advance of decision making if appropriate.</p> <p>Committee reports which are all subject to reporting protocols with a requirement for legal implications to be considered and reported on.</p> <p>Contract Procedure Rules which include requirements to actively seek and comply with legal advice. Also standard terms and conditions with reference to bribery and corruption and cancellation of arrangements.</p> <p>The Monitoring Officer who has a formal responsibility to ensure the legality of decisions taken by the council.</p> <p>The Council's Constitution includes "Articles of the Council" and "Officer Employment Procedure Rules" which detail roles, functions and processes relating to the statutory officers.</p> <p>Enforcement of the policy framework and taking punitive action where required.</p>
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**PRINCIPLE TWO:**

**Ensuring openness and comprehensive stakeholder engagement.**

Supporting Principle	The local code requires the council to:	Erewash demonstrates this through:
<p><b>Openness</b></p>	<ul style="list-style-type: none"> <li>• Ensuring an open culture through demonstrating, documenting and communicating the organisation’s commitment to openness.</li> <li>• 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.</li> <li>• 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.</li> <li>• Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/ courses of action.</li> </ul>	<p>The Corporate Plan which identifies the priorities for our communities and was developed in consultation with our residents.</p> <p>The Erewash Sustainable Community Strategy developed and agreed by the local Strategic Partnership after consultation with the community.</p> <p>A Constitution which provides a framework for decision making. Council and committee reports are routinely published unless there is a legitimate need to apply confidentiality based upon statutory tests. Reasons for decisions and expected outcomes are also provided.</p> <p>A Scrutiny Committee whose purpose, powers and terms of reference are defined within the council Constitution. This includes scrutiny of Council Executive’s decisions and the performance of council services.</p> <p>Routine publication of a Forward Plan listing key decisions expected to be taken by the Council Executive during the next four months.</p> <p>An established consultation framework and principles of consultation activity which have been included in the Communications Strategy which was approved by Council Executive.</p> <p>A Community Engagement Officer who oversees consultation projects being completed by the council. These may be targeted internally (e.g. surveys of work colleagues) or externally (e.g. to local residents and stakeholders).</p>

		<p>Maintenance of a 'consultation calendar' to ensure that all council led consultation activity is completed to the required standard and that the confidentiality of respondents is adhered to.</p> <p>Application of a variety of consultation methodologies to ensure that all members of the community have the opportunity to engage with the council. The list of consultation options includes electronic surveys, postal surveys, telephone surveys, face-to-face surveys, in-depth interviews and public meetings. A combination of these methods is typically used dependent upon the target audience and their effectiveness is kept under review. Work continues to take place to encourage residents to join the Online Consultation Panel.</p> <p>In some instances particular groups who are considered to be 'difficult to engage' and are targeted, often by contacting community organisations who have contact with these individuals (e.g. the council has strong relationships with organisations such as CamTAD, Sight Support Derbyshire, Long Eaton 50+ Forum, Derbyshire Coalition for Inclusive Living). This practice facilitates broader engagement and detailed discussions of customer requirements which help prioritise actions accordingly.</p> <p>A well-established Youth Forum which engages young people in assessing and designing services. Community Forums are held as required to deal with matters of community interest.</p> <p>A protocol for Joint Consultation meetings which are held between the council and the appropriate Unions every quarter. Personnel officers also</p>
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		<p>meet regularly with Trade Union representatives usually on a quarterly basis.</p> <p>Publication of data in compliance with government's open data policies to improve transparency and accountability.</p> <p>Publication Scheme with most documents available in electronic form free of charge. Where a charge is made for routinely published information this is made clear and kept to minimum.</p> <p>Publication of Freedom of Information requests.</p>
<p><b>Engaging comprehensively with institutional stakeholders</b></p>	<p>Note: 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"> <li>• 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.</li> <li>• Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively.</li> <li>• Ensuring that partnerships are based on: <ul style="list-style-type: none"> <li>- trust</li> <li>- a shared commitment to change</li> <li>- a culture that promotes and accepts challenge among partners and</li> </ul> </li> </ul>	<p>Working with suppliers to deliver outcomes based upon added value rather than price only. Arrangements are underpinned by appropriate contractual agreements relating to the level of the procurement.</p> <p>Joint working arrangements and partnerships with a variety of organisations. These are underpinned by clear delivery agreements which may include contractual or service level agreements (SLAs).</p> <p>A corporate SLA template which is in place and requires performance management and reporting mechanisms. Most SLAs have targets attached to gauge the level of value for money. A register of SLAs continues to be maintained.</p> <p>Small grant funding where there is a requirement to report back on project outturn.</p>

	<p>that the added value of partnership working is explicit.</p>	
<p><b>Engaging with individual citizens and service users effectively</b></p>	<ul style="list-style-type: none"> <li>• 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.</li> <li>• Ensuring that communication methods are effective and that members and officers are clear about their roles with regard to community engagement.</li> <li>• Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs.</li> <li>• Implementing effective feedback mechanisms in order to demonstrate how views have been taken into account.</li> <li>• Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity.</li> <li>• Taking account of the impact of decisions on future generations of tax payers and service users.</li> </ul>	<p>The council’s consultation framework and activity are established in the Communications Strategy approved by Council Executive, details of which are set out in the evidence above (see pages 4-5).</p> <p>A redesigned council website, in line with guidance received from the “Better Connected” team at the Society of Information Technology, was relaunched in 2017/18. Key services and those most popular with users are highlighted via icons on the home-page and the site is mobile enabled via any device to improve access and customer experience.</p> <p>Live consultation is made available through the council’s website which members of the public can access. Results of consultation exercises are also available on the website.</p> <p>Online council tax and housing benefit details are available through MyErewash, with all new claims for council tax and housing benefit now processed through the digital platform.</p> <p>The council has recognised the popularity of on-demand and online communication and adopted social media channels to improve access to information and services. The council has a number of Facebook accounts and uses Twitter, Instagram and Facebook ‘Live’ to cover events.</p> <p>The council has over 15,000 likes on Facebook and over 4,000 followers on Twitter.</p> <p>A self-assessment of ‘going concern’ is undertaken annually and subject to scrutiny by the external auditors.</p>

**PRINCIPLE THREE:**

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

Supporting Principle	The local code requires the council to:	Erewash demonstrates this through:
<p><b>Defining outcomes</b></p>	<ul style="list-style-type: none"> <li>• 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.</li> <li>• 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.</li> <li>• Delivering defined outcomes on a sustainable basis within the resources that will be available.</li> <li>• Identifying and managing risks to the achievement of outcomes.</li> <li>• Managing service users’ expectations effectively with regard to determining priorities and making the best use of the resources available.</li> </ul>	<p>The Corporate Plan 2016-19 which sets out the priorities for the council.</p> <p>The development of a long term strategy with partners, the Erewash Sustainable Community Strategy 2014-24.</p> <p>Membership of the Derbyshire Partnership Forum (County-wide Local Strategic Partnership) where county-wide priorities are identified and agreed which take into account national, regional and local requirements. These help us to shape our local priorities working again in partnership with the Erewash Local Strategic Partnership (LSP). Senior representatives and decision makers, as well as lead members, meet to deliver shared community improvement outcomes as outlined in the Sustainable Community Strategy.</p> <p>Approval by members of strategy documents outlining the approach to be taken with regard to key decision making areas of council business. In 2018/19 members have approved the ICT Strategy and Project Plan (2018-21), Property Asset Management Plan (2018-22) and Capital Strategy (2019-22).</p> <p>Approval of the revenue and capital budgets.</p> <p>The production of Service Plans which detail agreed and planned outcomes. These are monitored through an established performance management framework.</p> <p>Publication of the Annual Statement of Accounts and an Annual Report.</p>



		A Risk Management Strategy approved by Council Executive and which provides the framework for identifying and managing risks.
<p><b>Sustainable economic, social and environmental benefits</b></p>	<ul style="list-style-type: none"> <li>• Considering and balancing the combined economic, social and environmental impact of policies and plans when taking decisions about service provision.</li> <li>• 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.</li> <li>• 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.</li> <li>• Ensuring fair access to services.</li> </ul>	<p>A defined decision making process which requires members to consider issues including crime and disorder, environmental, efficiency and health considerations as appropriate. Where required equalities impact assessments are also completed and published.</p> <p>Wider public interest matters are subject to specific consultation to ensure a balance between conflicting interests is achieved, such as that undertaken prior to approval of the Stanton Supplementary Planning Document.</p> <p>An annual budget consultation is undertaken through the Online Consultation Panel which focusses on residents' highest and lowest priority services and tracks changes in those priorities. A summary of the findings is included in the annual budget report and the more detailed comments are considered by members.</p>

**PRINCIPLE FOUR:**

**Determining the interventions necessary to optimise the achievement of the intended outcomes.**

Supporting Principle	The local code requires the council to:	Erewash demonstrates this through:
<p><b>Determining interventions</b></p>	<ul style="list-style-type: none"> <li>• 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.</li> <li>• 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.</li> </ul>	<p>Rules and procedures which govern how decisions are made. All decisions are made in public and made available publicly except where that information is exempt under the provisions of the Local Government Act 1972 or determined as being confidential by Government or otherwise exempt by the council.</p> <p>A well-defined decision making process, underpinned by the Constitution, where options are detailed within committee reports.</p> <p>A Scrutiny Committee with the right to call in decisions made by the Council Executive.</p> <p>An established internal audit function which produces an annual report of activity. A review of the effectiveness of the system of internal audit is conducted as part of the Annual Governance Statement process and reported to the Audit Committee.</p> <p>A corporate complaints policy and procedure available on the website or at offices. Complaints, comments and compliments are able to be received by telephone, on-line, e-mail and in person.</p> <p>The Monitoring Officer who has a formal responsibility to ensure the legality of decisions taken by the council.</p>
<p><b>Planning interventions</b></p>	<ul style="list-style-type: none"> <li>• Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets.</li> <li>• Engaging with internal and external stakeholders in determining how services and</li> </ul>	<p>The Constitution which sets out an intervention framework.</p>

	<p>other courses of action should be planned and delivered.</p> <ul style="list-style-type: none"> <li>• Considering and monitoring risks facing each partner when working collaboratively, including shared risks.</li> <li>• Ensuring arrangements are flexible and agile so that the mechanisms for delivering goods and services can be adapted to changing circumstances.</li> <li>• 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.</li> <li>• Ensuring capacity exists to generate the information required to review service quality regularly.</li> <li>• Preparing budgets in accordance with objectives, strategies and the medium term financial plan.</li> <li>• Informing medium and long term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy.</li> </ul>	<p>Medium Term Financial Forecast which sets the context for ongoing decisions on significant service delivery issues.</p> <p>A Forward Plan listing key decisions expected to be taken by the Council Executive during the next four months.</p> <p>Service Planning which includes identification of performance indicators, risks and outcomes.</p> <p>Performance management and risk management frameworks which include thresholds for intervention and escalation.</p> <p>Membership of a number of benchmarking clubs which help to set realistic and challenging key performance indicators.</p> <p>Budget guidelines and budget monitoring reports.</p>
<p><b>Optimising achievement of intended outcomes</b></p>	<ul style="list-style-type: none"> <li>• Ensuring the medium term financial strategy integrates and balances service priorities, affordability and other resource constraints.</li> <li>• Ensuring the budgeting process is all-inclusive, taking into account the full cost of operations over the medium and longer term.</li> <li>• Ensuring the medium term financial strategy sets the context for ongoing decisions on significant delivery issues or responses to</li> </ul>	<p>The annual budget report, which includes a Medium Term Financial Forecast.</p> <p>Monthly budgetary monitoring with quarterly committee reports.</p> <p>Local performance indicators which have been set up, collected regularly and reported (monthly to the Senior Management Team and quarterly to both Council Executive and Scrutiny Committee).</p>

	<p>changes in the external environment that may arise during the budgetary period in order for outcomes to be achieved while optimising resource usage.</p> <ul style="list-style-type: none"><li>• Ensuring the achievement of 'social value' through service planning and commissioning.</li></ul>	<p>Outcomes from the Service Plans which are also monitored and reported.</p> <p>SLAs which set out clear delivery agreements with partners and include performance management and reporting mechanisms.</p> <p>A Procurement Strategy which recognises the opportunities and potential benefits of considering 'social value'.</p>
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**PRINCIPLE FIVE:**

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

<b>Supporting Principle</b>	<b>The local code requires the council to:</b>	<b>Erewash demonstrates this through:</b>
<p><b>Developing the council's capacity</b></p>	<ul style="list-style-type: none"> <li>• Reviewing operations, performance and use of assets on a regular basis to ensure their continuing effectiveness.</li> <li>• 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.</li> <li>• Recognising the benefits of partnerships and collaborative working where added value can be achieved.</li> <li>• Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources</li> </ul>	<p>A performance management framework and benchmarking which is widely undertaken across the council and includes subscription to the Local Government Inform Plus service.</p> <p>The external audit annual review of the council's arrangements to secure value for money and actions taken to address any issues arising.</p> <p>Robust recruitment and selection processes supported by detailed induction guidance for managers and supervisors.</p> <p>Access to a recently relaunched e-learning package available to all employees and which includes mandatory training requirements to maintain knowledge.</p> <p>A variety of partnerships and collaborative working arrangements are in place across the council and cover services such as Building Control, Internal Audit and Housing Options. Bereavement Services are overseen by a Joint Committee with Broxtowe Borough Council.</p> <p>Person specifications for all employees and Employee Performance and Development Reviews (EPDRs) which are completed annually and reviewed on a 6 monthly basis.</p>
<p><b>Developing the capability of the council's leadership and other individuals</b></p>	<ul style="list-style-type: none"> <li>• 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.</li> </ul>	<p>The council's Constitution, which defines member roles, committee functions and includes a scheme of delegation.</p> <p>A Protocol governing Member/Employee relations.</p>

	<ul style="list-style-type: none"> <li>• Publishing a statement that specifies the types of decisions that are delegated and those reserved for the collective decision making of the governing body.</li> <li>• 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.</li> <li>• 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"> <li>- 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.</li> <li>- 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.</li> <li>- ensuring personal, organisational and system-wide development through shared learning, including lessons learnt from governance weaknesses both internal and external.</li> </ul> </li> <li>• Ensuring that there are structures in place to encourage public participation.</li> </ul>	<p>Regular meetings of portfolio holders with individual Chief Officers.</p> <p>Training for members covering requirements for regulatory committees (e.g. Planning and Licensing Committees) and such topics as chairmanship and scrutiny.</p> <p>EPDRs (referred to in the above section) which hold officers to account and identify training needs which are reported into Personnel. This process helps ensure appropriate training and development opportunities are identified and delivered.</p> <p>An Apprenticeship Scheme approved by Council in 2017/18 including a commitment to achieving Government targets.</p> <p>An extensive suite of personnel policies and procedures which include welfare support meetings and access to BUPA counselling services. Implemented in 2018/19 these also include a number of "family friendly" and wellbeing policies (Compassionate Leave, Parental Leave, Employee Support etc.).</p> <p>The council also supports a Fit for Work Scheme and has also undertaken comprehensive health checks for staff. Team or individual stress assessments are also carried out.</p> <p>Proactively and voluntarily commissioning a review in 2016/17, from the Local Government Association's peer challenge team to receive feedback and help drive improvement. Preliminary arrangements are underway to seek further engagement with the team.</p> <p>Council meetings which are open for public attendance.</p>
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	<ul style="list-style-type: none"><li>• Taking steps to consider the leadership's own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections.</li><li>• Holding staff to account through regular performance reviews which take account of training or development needs.</li><li>• 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.</li></ul>	<p>Opportunities for participation through various forums and the consultation framework (see pages 4 and 5 above).</p> <p>Internal Audit reports which are shared at Corporate Management Team to learn lessons from.</p>
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**PRINCIPLE SIX:**

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

Supporting Principle	The local code requires the council to:	Erewash demonstrates this through:
<p><b>Managing risk</b></p>	<ul style="list-style-type: none"> <li>• Recognising that risk management is an integral part of all activities and must be considered in all aspects of decision making.</li> <li>• Implementing robust and integrated risk management arrangements and ensuring that they are working effectively.</li> <li>• Ensuring that responsibilities for managing individual risks are clearly allocated.</li> </ul>	<p>A Risk Management Strategy, detailing the framework in place which was underpinned by a programme of external risk management training for managers. An e-learning training module is also available for all employees and members.</p> <p>Risk identification and progress is a standing item on team briefings and forms part of the service planning process.</p> <p>An officer working group of senior representatives from all Directorates who hold regular meetings where strategic and operational risks are reviewed. The officer working group oversees the maintenance of the Strategic Risk Register and reports to the Corporate Management Team.</p> <p>Reporting of strategic risks quarterly to Council Executive and responsibility allocated to a lead portfolio holder.</p> <p>Relevant issues are incorporated in the Annual Governance Statement.</p>
<p><b>Managing performance</b></p>	<ul style="list-style-type: none"> <li>• Monitoring service delivery effectively including planning, specification, execution and independent post implementation review.</li> <li>• 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.</li> <li>• Ensuring an effective scrutiny or oversight function is in place which provides constructive</li> </ul>	<p>The decision making framework detailed in Principle 2 above (see page 4).</p> <p>Established budgetary monitoring procedures (see page 11), supplemented by a “Directors Dashboard” which is compiled monthly and includes all key financial data and variances.</p> <p>Service Plans which detail agreed and planned outcomes. These are monitored and reported on through an established performance management framework.</p>



	<p>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.</p> <p>(Or, for a committee system)</p> <p>Encouraging effective and constructive challenge and debate on policies and objectives to support balanced and effective decision making.</p> <ul style="list-style-type: none"> <li>• Providing members and senior management with regular reports on service delivery plans and on progress towards outcome achievement.</li> <li>• Ensuring there is consistency between specification stages (such as budgets) and post implementation reporting (eg financial statements).</li> </ul>	<p>Scrutiny Committee receives a quarterly report that covers financial and service performance. It also outlines progress on delivery of service plans, risk update and an overview of CCC's received and actions taken.</p> <p>Options section on all reports.</p>
<p><b>Robust internal control</b></p>	<ul style="list-style-type: none"> <li>• Aligning the risk management strategy and policies on internal control with achieving objectives.</li> <li>• Evaluating and monitoring risk management and internal control on a regular basis.</li> <li>• Ensuring effective counter fraud and anti-corruption arrangements are in place.</li> <li>• Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor.</li> <li>• Ensuring an audit committee or equivalent group/ function, which is independent of the</li> </ul>	<p>The risk management framework detailed in Principle 6 above (see page 16).</p> <p>A system of internal control which is monitored and reported routinely to the Audit Committee, which meets at least quarterly.</p> <p>Risk and internal control issues raised by both internal and external audit and brought to the attention of Audit Committee. Where agreed actions to address weaknesses are not delivered Audit Committee undertake an ongoing review to monitor progress and facilitate action.</p> <p>Counter Fraud Policies approved by Council in 2017/18, which are reviewed annually and integrated within an established framework.</p>

	<p>executive and accountable to the governing body:</p> <ul style="list-style-type: none"> <li>- provides a further source of effective assurance regarding arrangements for managing risk and maintaining an effective control environment.</li> <li>- that its recommendations are listened to and acted upon.</li> </ul>	<p>A review process to identify improvements to counter fraud practice, and in particular where the council is not fully compliant with the CIPFA code of practice on managing the risk of fraud and corruption.</p> <p>A counter fraud action plan with outcomes are reported to Audit Committee annually. Any areas of non-compliance are reflected in the Annual Governance Statement.</p>
<p><b>Managing data</b></p>	<ul style="list-style-type: none"> <li>• Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data.</li> <li>• Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies.</li> <li>• Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring.</li> </ul>	<p>The council has been proactive in ensuring that legal and best practice requirements are met, including commissioning an independent review during 2015/16 to establish levels of data protection compliance across the council. This led to the establishment of a working group to monitor delivery of actions identified and report to senior management on progress.</p> <p>The group has continued to be proactive in addressing the council's response to challenges being brought about by the General Data Protection Regulation.</p> <p>Appropriately trained staff are now in post (including a Senior Information Risk Officer (SIRO), Data Protection Officer and holders of Data Protection Practitioners Certificates). Mandatory training for members, senior managers and high risk data owners has taken place and has been rolled out to all other employees.</p> <p>All staff are required to read and sign the Information Security Policy, which has been updated to bring it in line with new requirements under GDPR. A number of other related policies have been subject to review and approval by Council Executive during 2018/19, including the</p>

		<p>Data Protection, Data Quality and CCTV Surveillance policies which are key elements in the development of the council's new Information Governance Framework.</p> <p>Formal agreements when sharing data with other bodies.</p> <p>Data quality audits which are routinely undertaken and reported to Audit Committee.</p>
<p><b>Strong public financial management</b></p>	<ul style="list-style-type: none"> <li>• Ensuring financial management supports both long term achievement of outcomes and short-term financial and operational performance.</li> <li>• Ensuring well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls.</li> </ul>	<p>Council reports which include financial advice which is reviewed prior to decision making.</p> <p>Professional officers in attendance at meetings to give advice.</p> <p>Council minutes which include a section detailing the reason for the decision, the expected outcome and any other options which were considered and rejected.</p> <p>Monthly budget monitoring processes and quarterly committee reports on the council's financial position.</p> <p>An annual budget report which has a section on reserves and balances.</p>

**PRINCIPLE SEVEN:**

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

Supporting Principle	The local code requires the council to:	Erewash demonstrates this through:
<p><b>Implementing good practice in transparency</b></p>	<ul style="list-style-type: none"> <li>• 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.</li> <li>• 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.</li> </ul>	<p>Corporate reporting standards.</p> <p>Decisions made available publicly except where that information is exempt under the provisions of the Local Government Act 1972 or determined as being confidential by Government or otherwise exempt by the council.</p> <p>Publishing all data as required by the Department for Communities and Local Government’s Transparency Code 2015 and the single data list.</p> <p>Maintaining Registers of Interests for both members and officers.</p> <p>Approval of the Pay Policy Statement 2019/20 by Council on 7 March 2019.</p>
<p><b>Implementing good practices in reporting</b></p>	<ul style="list-style-type: none"> <li>• Reporting at least annually on performance, value for money and stewardship of resources to stakeholders in a timely and understandable way.</li> <li>• Ensuring members and senior management own the results reported.</li> <li>• 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).</li> </ul>	<p>The Annual Statement of Accounts 2017/18. The external auditors issued an unqualified opinion on the council’s financial statements and concluded that the council had put in place proper arrangements to secure value for money in the use of resources.</p> <p>The Annual Governance Statement which summarises how the Local Code of Governance has been applied and incorporates an action plan for improvement which is signed by the Leader and the Chief Executive.</p> <p>The framework is applied to jointly managed services, such as the bereavement service, which is subject to statutory audit as part of the constituent audited bodies.</p>

	<ul style="list-style-type: none"> <li>• Ensuring that this Framework is applied to jointly managed or shared service organisations as appropriate.</li> <li>• 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.</li> </ul>	<p>The performance management framework and reporting protocols (see page 13).</p> <p>A Corporate Plan Annual Action Plan that summarises the council's main objectives for the next 12 months.</p> <p>End of year outcome reports produced by senior officers and reported into members.</p>
<p><b>Assurance and effective accountability</b></p>	<ul style="list-style-type: none"> <li>• Ensuring that recommendations for corrective action made by external audit are acted upon.</li> <li>• 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.</li> <li>• Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations.</li> <li>• Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement.</li> <li>• Ensuring that when working in partnership, arrangements for accountability are clear and the need for wider public accountability has been recognised and met.</li> </ul>	<p>Audit Committee monitoring progress and facilitating action where recommendations made by both internal and external audit are not delivered.</p> <p>An internal audit function which produces an annual report summarising audit activity and other assurances available to enable delivery of the audit opinion.</p> <p>An external quality assessment of the internal audit function was completed in 2018.</p> <p>An annual review of the effectiveness of the system of internal audit, including an assessment against the Public Sector Internal Audit Standards, which is conducted as part of the Annual Governance Statement process and reported to the Audit Committee.</p> <p>Internal audit testing and review providing independent assurance.</p> <p>Commissioned third party assurance including the peer challenge by the LGA.</p>