

## Appendix B



# Local Code of Corporate Governance

## Document History

Version	Date	Author	Change description	Review & approved by
1	28/01/2021	Improvement Adviser	First draft.	Noted by Audit & Scrutiny Committee
2		Head of Legal & Programme Management Officer	Second draft.	

Next review date: March 2023

## Introduction

Corporate governance is a term used to describe the way that organisations direct and control what they do. For local authorities, it includes the systems, policies and processes as well as the cultures and values that underpin a council's arrangements for effective

- Leadership
- Management
- Performance
- Delivery of positive customer outcomes
- Community engagement
- Stewardship of public money

Tandridge District Council (**'The Council'**) is responsible for ensuring a sound system of governance; that its business is conducted in accordance with the law and proper standards; that public money is safeguarded, properly accounted for and used; and that it exercises its functions efficiently and effectively. Councillors and Officers are responsible for putting in place proper arrangements for the Council's governance and the stewardship of its resources, and for regularly reviewing those arrangements.

The Council is committed to demonstrating that it has the necessary corporate governance arrangements in place. The Council has developed and adopted a local Code of Corporate Governance which brings together in one document all the governance and accountability arrangements the Council currently has in place.

## Principles of good corporate governance

This document is based upon the CIPFA/SOLACE Framework: Delivering good governance in local government.<sup>1</sup> The aim of the principles is that the local authority achieves its intended outcomes while acting in the public interest at all times. The principles are as follows:

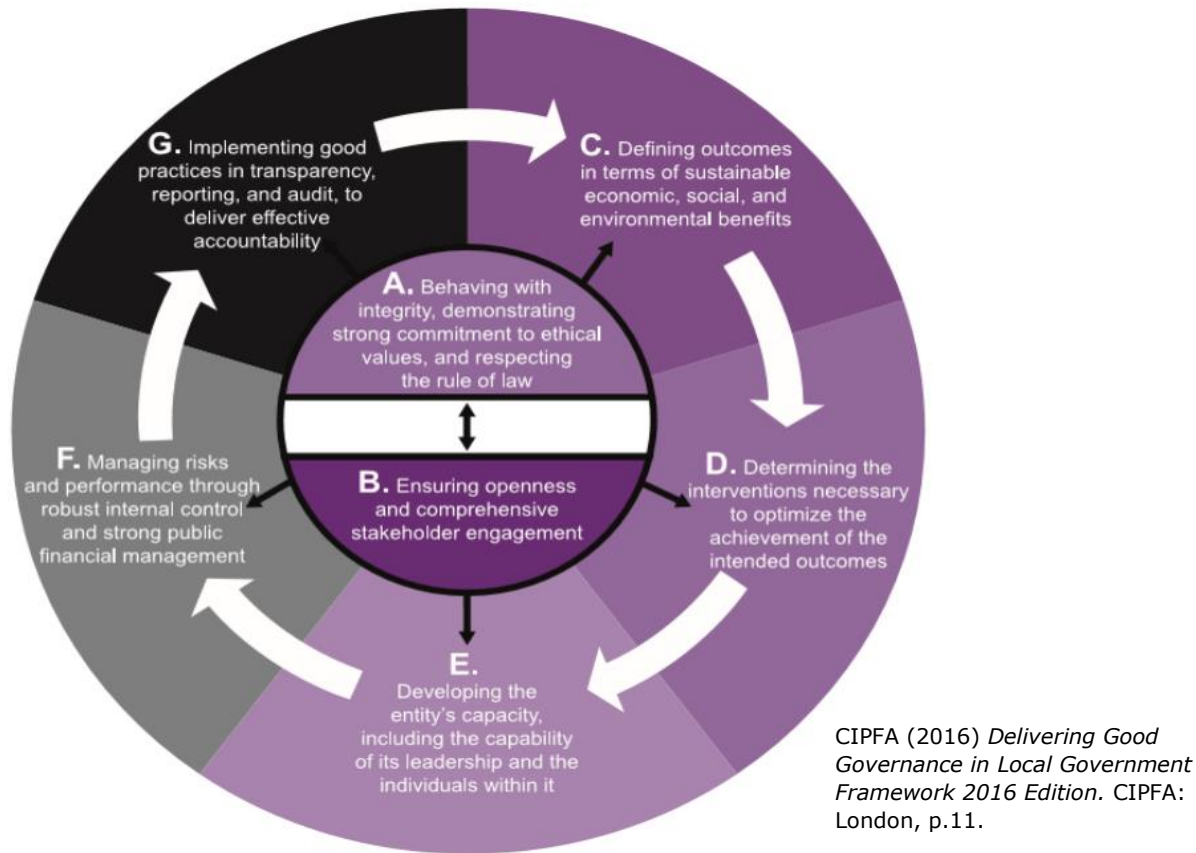
- A.** Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law;

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<sup>1</sup> CIPFA (2016) *Delivering Good Governance in Local Government Framework*, 2016 Edition. CIPFA: London.

- B.** Ensuring openness and comprehensive stakeholder engagement;
- C.** Defining outcomes in terms of sustainable economic, social, and environmental benefits;
- D.** Determining the interventions necessary to optimize the achievement of the intended outcomes;
- E.** Developing the entity's capacity, including the capability of its leadership and the individuals within it;
- F.** Managing risks and performance through robust internal control and strong public financial management; and
- G.** Implementing good practices in transparency, reporting, and audit to deliver effective accountability.

The diagram below describes how the Council achieves the seven principles of good governance and describes how the Council's corporate governance arrangements will be monitored and reviewed.



### Putting the principles into practice at the Council

The Council's Constitution sets out how the Council operates, how decisions are made and the procedures which are followed to ensure transparency and accountability. Some of these processes are required by law, while others have been adopted at the Council's discretion. Much of the Council's approach to addressing the principles of good governance is contained within it. More specific details of the way that the Council applies the principles in practice are set out in the table below.

## **Monitoring and reporting**

Regulation 6 of the Accounts and Audit Regulations 2015 and the Accounts and Audit (Coronavirus) (Amendment) Regulations 2021 require an authority to conduct a review at least once in a year of the effectiveness of its systems of internal control and include a statement reporting on the review with any published statement of Accounts. This is known as an Annual Governance Statement.

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 and working effectively. Where monitoring reviews of the corporate governance arrangements have revealed gaps, actions will be planned to enhance the governance arrangements accordingly.

The Council will prepare an Annual Governance Statement which will be submitted to the Audit and Scrutiny Committee for consideration and will form part of the Council's annual Statement of Accounts.

The Annual Governance Statement is published with the Council's accounts, on the Council website. Progress updates on implementation of actions arising from the Annual Governance Statements are provided to Audit and Scrutiny Committee during the year.

## **Certification**

We hereby certify our commitment to this Local Code of Corporate Governance and will ensure that the Council continues to review, evaluate and develop the council's Governance arrangements to ensure continuous improvement of the Council's systems.

**INSERT SIGNATURE**

**Leader of the council**

Date:

**INSERT SIGNATURE**

**Chief Executive**

Date:

## Applying the principles of good governance<sup>2</sup>

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

What this means in practice:

The Council is accountable not only for how much it spends, but also how it uses the resources under its stewardship. This includes accountability for outputs, both positive and negative, and for the outcomes it has achieved. In addition, it has 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, the Council 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 respect the rule of the law.

The Council supports the above principle by:

Supporting principles	How does Tandridge District Council achieve this?	This is evidenced and supported by:
We will behave with integrity.	<ul style="list-style-type: none"> <li>Ensures members and officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated.</li> <li>Leads by example, ensuring members take the lead in establishing specific standard operating principles and</li> </ul>	<ul style="list-style-type: none"> <li>A Code of Conduct for Members to ensure high standards of conduct are maintained. The code also applies to Members of Committees and co-opted Members.</li> <li>Established a procedure for dealing with breaches of the Member Code of Conduct.</li> <li>Registers of Members' interests are published on the Council website.</li> <li>Members must declare gifts or hospitality with an estimated value of at least £50. Records of gifts and hospitality and standard form have been established and will be published on the Council website.</li> </ul>

<sup>2</sup> The table below contains content modified from: CIPFA (2016) *Delivering Good Governance in Local Government Framework*, 2016 Edition. CIPFA: London.

	<p>values (building on the Seven Principles for Public Life) for the Combined Authority and the Local Enterprise Partnership and its staff and that they are communicated and understood.</p> <ul style="list-style-type: none"> <li>Utilise the operating principles and values above as a framework for decision making and other actions. Demonstrate, communicate and embed 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>	<ul style="list-style-type: none"> <li>Officers must declare any gifts or hospitality received.</li> <li>Standard decision-making reporting format and processes in place to ensure that all those responsible for taking decision have the necessary information on which to so do</li> <li>Members' declaration of interests is a standing item on all agendas. Minutes show declarations of interest were sought, and the appropriate declarations made.</li> <li>A complaint and Whistleblowing Policies have been updated.</li> <li>Induction programmes for new staff incorporate the required standard of behaviour expected will be developed.</li> </ul> <p><b>Key documents include:</b> Constitution, Member Code of Conduct, Declarations of Interest forms, Whistleblowing Policy, Complaints Policy.</p> <p><b>In Progress:</b> Staff Code of Conduct.</p>
<p>We will demonstrate strong commitment to ethical values.</p>	<ul style="list-style-type: none"> <li>The Anti-Fraud, Bribery and Corruption Policy is there to discourage inappropriate activities and to encourage the reporting of any instances found.</li> <li>Members are required to declare any conflicts of interest annually and at Committee and Full Council meetings.</li> <li>Employees are required to notify their line manager of any conflicts of interest.</li> </ul>	<ul style="list-style-type: none"> <li>Anti-Fraud, Bribery and Corruption Policy was revised during 2020/21 and an assessment of fraud and risk would be reported to the Audit and Scrutiny Committee twice a year.</li> <li>Ensuring that external providers of services on behalf of the organisation (through tenders /contracts) are required to act with integrity and in compliance with ethical standards expected by the organisation.</li> <li>All Committees and working groups have clear terms of reference.</li> <li>Annual reports are published regarding audit activities and governance arrangements.</li> </ul> <p><b>Key documents include:</b> Constitution, Annual Governance Statement, Register of Interests, Anti-Fraud and Corruption Policy.</p>

		<p><b>In Progress:</b> Annual Officer appraisals to be reviewed and include awareness and contribution to ethical values and priorities, development of new Corporate Values framework.</p>
<p>We will respect the rule of the law.</p>	<ul style="list-style-type: none"> <li>• Ensures Members and Officers demonstrate a strong commitment and adheres to relevant laws and regulations.</li> <li>• Creates the environment to ensure that the statutory Officers, Chief Officers and Members are able to fulfil their responsibilities in accordance with legislative and regulatory requirements, optimising full powers available to the benefit of communities, citizens and other stakeholders.</li> <li>• Deals with breaches of legal and regulatory provisions promptly and effectively.</li> </ul>	<ul style="list-style-type: none"> <li>• The Council has in place a Monitoring Officer who works with Members and Officers to ensure that the law is adhered to.</li> <li>• The S151 Officer is designated the Chief Finance Officer and is responsible for ensuring a balanced budget.</li> <li>• Internal Audit will report regularly on activity and outcomes to the Audit &amp; Scrutiny Committee based on assurances gained and issues identified where appropriate.</li> <li>• The Council maintains a record of complaints made to the Local Government Ombudsman as well as self-referring to the Information Commissioner where information data breaches occur, and actions taken to improve processes.</li> <li>• Legal and finance advice is given in reports for all decisions to be taken by Members.</li> </ul> <p><b>Key documents include:</b> Constitution includes Financial Regulations and Contract Standing Orders, Service agreement with SIAP to provide Internal Auditor Services, Service agreement with External Audit.</p>

**Principle B - Ensuring openness and comprehensive stakeholder engagement**

What this means in practice:

The Council 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.

The Council supports the above principle by:



Supporting principles	How does Tandridge District Council achieve this?	This is evidenced and supported by:
Openness.	<ul style="list-style-type: none"> <li>• Supports an open culture through demonstrating, documenting and communicating the Council's commitment to openness.</li> <li>• Makes decisions that are open about actions, plans, resource use, forecasts, outputs and outcomes. Where a decision is considered confidential, reasons for this are provided.</li> <li>• Provides 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>• Uses formal and informal consultation and engagement to determine the most appropriate and effective interventions/ courses of action.</li> </ul>	<p>This is evidenced and supported by:</p> <ul style="list-style-type: none"> <li>• The Council is committed to openness and holds meetings in public wherever it can. A schedule of Council meetings is available on the Council's website.</li> <li>• The agendas, reports and minutes of meetings are published on the Council's website. All reports contain details of options considered and the advice provided by Officers regarding legal and financial implications. The minutes include the reasons behind the decisions made.</li> <li>• The Council's website provides a range of information that is freely available to the public under its publication scheme. It includes: organisational structures; senior officer pay; information on recycling and rubbish; spending and financial information; decision-making, including schedules of Council meetings and supporting papers.</li> <li>• Bringing regular budget monitoring reports to our policy committees.</li> <li>• Having a Strategic Plan that illustrates where the Council is directing its resources.</li> <li>• The Committee forward plan of all decisions to be taken is published each month. <a href="https://tandridge.moderngov.co.uk/mgListPlans.aspx?RPId=186&amp;RD=0&amp;bcr=1">https://tandridge.moderngov.co.uk/mgListPlans.aspx?RPId=186&amp;RD=0&amp;bcr=1</a></li> </ul> <p><b>Key documents include:</b> Constitution, committee meeting timetable, agenda and minutes, video recordings, Strategic Plan, annual budget reports.</p> <p><b>In progress:</b> review of the Strategic Plan.</p>

<p>We will engage comprehensively with institutional stakeholders.</p>	<ul style="list-style-type: none"> <li>• Wherever we seek the views of our community, we endeavour to provide feedback on the information received and how we have used this to shape the Council's decisions.</li> <li>• Ensure regular performance / contract management / partnership meetings are scheduled with key partners; e.g. for shared services (environmental health), key contractors (Biffa) and policy development (Surrey County Council).</li> </ul>	<ul style="list-style-type: none"> <li>• The Council's annual resident's survey. A report on the results is taken to our Audit and Scrutiny Committee.</li> <li>• Council's Procurement Strategy, which ensures suppliers are chosen according to the Council's requirements and deliver value to residents.</li> </ul> <p><b>Key documents include:</b> Formal partnership contracts / service level agreements / memorandums of understanding in place, which include performance monitoring requirements.</p>
<p>We will engage stakeholders effectively, including citizens and service users.</p>	<ul style="list-style-type: none"> <li>• Ensures communication methods are effective and that members and officers are clear about their roles with regard to community engagement.</li> <li>• Encourages, collects and evaluates the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs.</li> <li>• Implements effective feedback mechanisms in order to demonstrate how their views have been taken into account.</li> </ul>	<ul style="list-style-type: none"> <li>• Annual resident's survey.</li> <li>• Customer services team in place to triage resident enquiries (phone and online) and complaints.</li> <li>• Organisational case management system in place to process and respond to external enquiries.</li> </ul>

	<ul style="list-style-type: none"> <li>• Balances feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity.</li> </ul>	
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**Principle C - Defining outcomes in terms of sustainable economic, social, and environmental benefits**

What this means in practice:

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

The Council supports the above principle by:

Supporting principles	How does Tandridge District Council achieve this?	This is evidenced and supported by:
<p>We will define outcomes</p>	<ul style="list-style-type: none"> <li>• Maintains a statement of the Council’s purpose and intended outcomes containing appropriate performance indicators, which provides the basis for the organisation’s overall strategy, planning and other decisions.</li> <li>• Identifies the intended impact on, or changes for, stakeholders including citizens and service users, both in the short and long term.</li> <li>• Delivers defined outcomes on a sustainable basis within the</li> </ul>	<p><b>This is evidenced and supported by:</b></p> <ul style="list-style-type: none"> <li>• The Council is in the process of establishing a clear vision of what it wants to achieve for the District and this will be set out in the Strategic Plan. This Plan will be informed by an analysis of the needs of the District and through consultation.</li> <li>• Effective budget reporting processes ensures sustainability is effectively managed.</li> <li>• Performance monitoring reports are taken to each policy committee.</li> </ul> <p><b>Key documentation includes:</b> Strategic Plan, Budget Monitoring Reports to Committees, Risk Management Strategy, quarterly performance and risk committee reports.</p> <p><b>In progress:</b> review of the Strategic Plan, service plans.</p>

	<p>resources that will be available.</p> <ul style="list-style-type: none"> <li>• Identifies and manages risks to the achievement of outcomes.</li> <li>• Manages service user's expectations effectively with regard to determining priorities and making the best use of the resources available.</li> </ul>	
<p>We will provide sustainable economic, social and environmental Benefits.</p>	<ul style="list-style-type: none"> <li>• Considers economic, social and environmental impact of policies, plans and decisions when taking decisions about service provision.</li> <li>• Takes a longer-term view regarding decision making, taking account of risk and acting transparently where there are potential conflicts between intended outcomes and short-term factors such as the political cycle or financial constraints.</li> <li>• Determines the wider public interest associated with balancing conflicting interests between achieving the various economic, social and environmental benefits, through consultation where possible, to ensure appropriate trade-offs.</li> </ul>	<ul style="list-style-type: none"> <li>• The declaration of a climate change emergency and the drive to embed carbon reduction across the organisation. There is a climate change implications section in each committee report, and an associated climate change impacts document to assist report authors. Further the Council has a Councillor – Officer climate change working group in place.</li> <li>• The council hosts a District Health and Wellbeing Board and provides a NHS funded social prescribing service.</li> <li>• Social value is incorporated into procurement activities.</li> </ul> <p><b>Key documentation includes:</b> Climate Change action plan, draft carbon footprint report, Procurement Strategy.</p>

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

What this means in practice:

The Council 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 the Council has to make to ensure intended outcomes are achieved. It needs to ensure that its 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.

The Council supports the above principle by:

Supporting principles	How does Tandridge District Council achieve this?	This is evidenced and supported by:
<p>We will determine interventions.</p>	<ul style="list-style-type: none"> <li>Ensuring Members receive objective and rigorous analysis of a variety of options in reports indicating how intended outcomes would be achieved and associated risks.</li> </ul>	<ul style="list-style-type: none"> <li>Reports for member decisions include options appraisals.</li> <li>Reports for member decisions include information about consultation with residents, businesses and other stakeholders where appropriate.</li> <li>Delivery of Strategic Plan objectives is monitored and managed at operational level through directorate team meetings, with programme boards for the largest areas of activity.</li> <li>Internal audit reports are used to form governance improvement actions.</li> <li>Use of programme and project management techniques.</li> <li>Budget setting and monitoring processes in place.</li> </ul> <p><b>Key documents include:</b> Corporate and policy committee risk registers, Internal Audit action plan, medium term financial plan, Strategic Plan, draft Programme &amp; Project Management (PPM) Handbook.</p> <p><b>In progress:</b> finalise and approve the PPM Handbook.</p>

<p>We will plan interventions.</p>	<ul style="list-style-type: none"> <li>• Ensures that those making decisions, whether for the authority or any partnerships, are provided with information that is fit for purpose, relevant and timely.</li> <li>• Ensures that proper professional advice on matters that have legal or financial implications is available, recorded and used appropriately.</li> </ul>	<ul style="list-style-type: none"> <li>• Financial reporting processes which include budget setting processes and budget monitoring are clearly defined to highlight budget pressures where intervention may be required.</li> <li>• Committee reports requiring legal and financial authorisation prior to issue.</li> <li>• Financial and legal representation at committee meetings.</li> <li>• Establishing appropriate key performance indicators (KPIs) and risks which are reported back to Members so that they can see how the performance of services is measured.</li> </ul> <p><b>Key documents include:</b> Committee Reports and minutes.</p>
<p>We will optimise achievement of intended outcomes.</p>	<ul style="list-style-type: none"> <li>• Ensures that risk management is embedded into the culture of the Council, with Members and managers at all levels.</li> <li>• Ensures that effective arrangements for whistleblowing are in place and accessible to Officers and all those contracting with or appointed by the authority.</li> </ul>	<ul style="list-style-type: none"> <li>• 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.</li> <li>• The annual budget is prepared for scrutiny and approval by Members and published in line with agreed priorities and the medium term financial strategy.</li> <li>• A whistleblowing policy which is accessible to all, detailing key officers and processes.</li> </ul> <p><b>Key documents include:</b> Whistleblowing policy, Risk Management Strategy, risk registers.</p>

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

What this means in practice:

The Council needs appropriate structures and leadership, as well as people with the right skills, appropriate qualifications and mind-set, to operate efficiently and effectively and achieve intended outcomes within the specified periods. It 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 it's 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 Officers. Leadership is strengthened by the participation of people with many different types of backgrounds, reflecting the structure and diversity of communities.

The Council supports the above principle by:

Supporting principles	How does Tandridge District Council achieve this?	This is evidenced and supported by:
<p>We will develop the entity's capacity.</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> </ul>	<ul style="list-style-type: none"> <li>• Departmental management meetings in place where issues can be escalated by service managers.</li> <li>• Member Development Programme.</li> <li>• Internal Audit in place as a third line of defence regarding officer skills and training.</li> <li>• Compliance with mandatory staff training is monitored by HR.</li> <li>• EAP and occupational health services support for staff health and wellbeing.</li> <li>• Roles of Councillors and Officers are set out in the Council's constitution and in officer job descriptions</li> <li>• Regular service performance and county benchmarking in place.</li> </ul> <p><b>Key documents include:</b> Staffing structure, Partnership and Service Level Agreements, job descriptions, constitution, quarterly performance reports, Internal Audit reports.</p> <p><b>In progress:</b> Officer appraisal and development framework, service reviews being undertaken to assess potential for further partnership working.</p>

<p>We will develop the capability of the entity's leadership and other individuals.</p>	<ul style="list-style-type: none"> <li>• Ensure the Chief Executive is responsible and accountable to the Council for all aspects of operational management</li> <li>• Ensure the Section 151 Officer is responsible to the Council for ensuring that appropriate advice is given on all financial matters, for keeping proper financial records and accounts, and for maintaining an effective system of internal financial control.</li> <li>• Appoint a professionally qualified and experienced Section 151 Officer who will lead the promotion and delivery of good financial management, safeguarding public money and ensuring appropriate, economic, efficient and effective use of funds; together with professional accountability for finance staff throughout the Council.</li> <li>• Having a framework in place that specifies the types of decisions that are delegate and those reserved for the collective decision making of the governing body.</li> </ul>	<ul style="list-style-type: none"> <li>• The Council has established an organisational structure and is in the process of reviewing and recruiting to that structure. The aim is to have a lean organisation to achieve its objectives most effectively and efficiently.</li> <li>• Member induction programme.</li> <li>• Officer training budget.</li> </ul> <p><b>Key documents include:</b> Staffing structure, HR policies, scheme of delegation and contract standing orders (CSOs).</p> <p><b>In Progress:</b> Future Tandridge programme, Officer appraisal and development framework.</p>
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**Principle F - Managing risks and performance through robust internal control and strong public financial management**

What this means in practice:

The Council 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 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 achievement 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.

The Council supports the above principle by:

Supporting principles	How does Tandridge District Council achieve this?	This is evidenced and supported by:
We will manage risk.	<ul style="list-style-type: none"> <li>• The Audit and Scrutiny Committee has overall responsibility for the Council’s governance and risk management arrangements.</li> <li>• Ensure that risk management is embedded into the culture of the Council, with Members and managers at all levels recognising that risk management is part of their job.</li> <li>• Ensure our arrangements for financial and internal control</li> </ul>	<ul style="list-style-type: none"> <li>• Multi-level risks registers, i.e. corporate, committee and service-level.</li> <li>• Performance and risk management processes and reporting in place.</li> <li>• Financial regulations and budget reporting and monitoring.</li> <li>• The annual Internal Audit plan which is informed by corporate risks.</li> <li>• Procurement strategy and contract procedure rules.</li> <li>• Information Governance Board and Data Protection Officer in post.</li> <li>• The s151 Officer is appropriately qualified, experienced and complies with the CIPFA statement on the role of the Chief Financial Officer in Local Government.</li> </ul>

	<p>and management of risk are formally addressed within the annual governance reports.</p> <ul style="list-style-type: none"> <li>• Ensure that quarterly performance risk reports are produced for each policy Committee and used to hold senior Officers to account.</li> </ul>	<p><b>Key documents include:</b> Risk management strategy, risk registers, Medium Term Financial Strategy.</p>
<p>We will manage performance.</p>	<ul style="list-style-type: none"> <li>• Monitors service delivery effectively including planning, specification, execution and independent post implementation review.</li> <li>• Makes 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>• The Chief Finance Officer is the authority's S151 and is responsible for ensuring that effective financial management is in place.</li> <li>• The Council has an established approach to financial governance involving Members, senior Officers.</li> </ul>	<ul style="list-style-type: none"> <li>• Quarterly performance and risk reports taken to each policy committee.</li> <li>• Performance and risk are standard agenda items for departmental leadership meetings.</li> <li>• Corporate performance report taken to the executive team monthly, and quarterly benchmarking reports.</li> </ul> <p><b>Key documents include:</b> quarterly performance and risk reports.</p> <p><b>In progress:</b> service plans for each team.</p>

<p>We will have robust internal control.</p>	<ul style="list-style-type: none"> <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> </ul>	<ul style="list-style-type: none"> <li>• Internal Audit arrangements in place and conducted by Southern Internal Audit Partnership (SIAP).</li> <li>• Annual audit plan and quarterly audit progress reports taken to Audit &amp; Scrutiny Committee.</li> <li>• Assurance statement issued to all service managers as part of the preparation for the Annual Governance Statement. This is viewed in parallel with this document (the local code of corporate governance).</li> <li>• Performance, risk and audit action monitoring conducted monthly (at a minimum).</li> <li>• Anti-Fraud and Corruption Policy in place, and fraud risks managed via operational risk registers.</li> </ul> <p><b>Key documents include:</b> internal audit committee reports, Annual Governance Statement, Local Code of Corporate Governance, Anti-Fraud and Corruption Policy.</p>
<p>We will manage data.</p>	<ul style="list-style-type: none"> <li>• The Council has a Data Protection Officer and policy in place to ensure that personal data is held securely and managed appropriately.</li> <li>• The Data Protection Officer has set up Data Champions within each department and they meet quarterly.</li> </ul>	<ul style="list-style-type: none"> <li>• Data Subjects are informed why their personal information is being collected and how it will be processed (including when shared with other bodies) through the appropriate form of privacy notices.</li> <li>• Information Sharing Agreements are in place to document the sharing of information with other organisations.</li> <li>• Data verification and validation processes are integrated within systems and processes.</li> <li>• Procedures are in place for reporting data breaches which are recorded and reviewed to identify any remedial process actions required.</li> <li>• Details of data breaches will be reported to senior management with self-referral to the ICO if considered appropriate.</li> <li>• Information governance management team is in place and meet quarterly.</li> </ul>

		<ul style="list-style-type: none"> <li>• Data protection impact assessments conducted as necessary.</li> </ul> <p><b>Key documents include:</b> Data Protection Policy, Data Quality Policy, Information Governance Management Policy, Information Security Policy, IT Acceptable Use Policy, PCI-DSS Payment Card Industry – Data Security Standard Policy, Record of Processing Activities, Records Management Policy.</p> <p><b>In progress:</b> Mandatory Officer training, review/update of Record of Processing Activities, staff data champions.</p>
<p>We will implement strong public financial management.</p>	<ul style="list-style-type: none"> <li>• Ensures financial management supports both long term achievement of outcomes and short-term financial and operational performance.</li> <li>• Ensures well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls.</li> </ul>	<ul style="list-style-type: none"> <li>• The S151 Officer is appropriately qualified, experienced and complies with the CIPFA Statement on the Role of the Chief Finance Officer in Local Government.</li> <li>• The S151 Officer prepares and advises the Council on its Medium Term Financial Strategy and the budget.</li> <li>• Regular budget monitoring reports are provided to Members and Officers.</li> <li>• Financial Regulations provide a framework for the day to day management of the Council’s financial transactions.</li> </ul> <p><b>Key documents include:</b> Financial Regulations, Budget monitoring reports.</p> <p><b>In progress</b> Medium Term Financial Strategy</p>
<p><b>Principle G - Implementing good practices in transparency, reporting, and audit to deliver effective accountability</b></p> <p>What this means in practice:</p> <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> <p>The Council supports the above principle by:</p>		

Supporting principles	How does Tandridge District Council achieve this?	This is evidenced and supported by:
We will implement good practice in transparency	<ul style="list-style-type: none"> <li>• Produces reports for the public and other stakeholders in an understandable style appropriate to the intended audience, ensuring that they are easy to access and interrogate.</li> <li>• Strikes a balance between providing the right amount of information to satisfy transparency but can be understood by users to encourage public scrutiny.</li> </ul>	<ul style="list-style-type: none"> <li>• Committee reports are written in a standard template and are informed by the Council’s style and tone writing guide.</li> <li>• Compliance with the local government transparency code, with information published on the Council website in in a timely manner.</li> </ul> <p><b>Key documents include:</b> See footnote for links to openly published information.<sup>3</sup></p> <p><b>In progress:</b> Freedom of information requests and responses to be published on the Council’s website.</p>
We will implement good practices in reporting	<ul style="list-style-type: none"> <li>• Put in place effective transparent and accessible arrangements for dealing with complaints.</li> <li>• Maintain effective arrangements for determining the remuneration of senior Officers and publish an Annual Pay Policy statement in accordance with the requirements of the Localism Act 2011.</li> </ul>	<ul style="list-style-type: none"> <li>• A quarterly complaints report is taken to Audit &amp; Scrutiny Committee</li> <li>• Pay policy and information published on the Council’s website.</li> </ul> <p><b>Key documents include:</b> Complaints Policy, Pay Policy Statement.</p>

<sup>3</sup> For further information see the following Council webpages: Transparency and open data - <https://www.tandridge.gov.uk/Your-council/Freedom-of-information-and-data/Transparency-and-open-data>; Publication scheme - <https://www.tandridge.gov.uk/Your-council/Freedom-of-information-and-data/Transparency-and-open-data/Publication-scheme>.







<p>Assurance and effective accountability</p>	<ul style="list-style-type: none"> <li>• Ensures that recommendations for corrective action made by Internal Audit are acted upon.</li> <li>• Encourages peer challenge, reviews and inspections from regulatory bodies and implementing recommendations.</li> <li>• Obtains assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement.</li> <li>• Ensures that when working in partnership, arrangements for accountability are clear and that the need for wider public accountability has been recognised and met.</li> </ul>	<ul style="list-style-type: none"> <li>• Internal Audit provide assurances throughout the year on the key systems of internal control and produce an annual opinion report which is published and considered by Audit and Scrutiny Committee.</li> <li>• All observations noted in Internal Audit reports are addressed by the creation of associated management actions that will address risk issues. These are monitored at committee quarterly.</li> <li>• Peer review conducted for the Development Management service.</li> <li>• Annual Governance Statement includes an action plan.</li> <li>• The External Auditor provides assurance on the Council’s financial statements.</li> <li>• Procurement strategy, contract standing orders and partnership contracts, memorandums and agreements are used for each formal partnership.</li> </ul> <p><b>Key documents include:</b> Internal Audit annual opinion report, Annual Governance Statement.</p>
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## Responsibilities

Corporate governance and good governance are everyone's responsibility. There are however a number of specific responsibilities in relation to the implementation, monitoring and review of the Code and the production of the Annual Governance Statement, as outlined below:

<b>Leader of the Council</b>	Championing and role modelling good governance, in the spirit of the Code.
<b>Head of Paid Service</b> (Chief Executive)	Championing and role modelling good governance, in the spirit of the Code.
<b>Head of Legal Services &amp; Monitoring Officer</b>	Overseeing the implementation and monitoring of the Code.  Reviewing the operation of the Code and advising on any changes that may be necessary to maintain it and ensure its effectiveness in practice.  Undertaking an annual review of the Code to provide assurance on the extent of compliance with it, and reporting on the extent of that assurance in the Annual Governance Statement.
<b>Chief Financial and Section 151 Officer</b>	Leading the promotion and delivery by the whole organisation of good financial management so that public money is safeguarded at all times and used appropriately, economically, efficiently and effectively.
<b>Head of Internal Audit</b> (Southern Internal Audit Partnership)	Reporting to the Audit and Scrutiny Committee on audit activities during the year, with particular emphasis on the systems of internal control and arrangements for corporate governance.

## Governance structure

<p><b>The Council</b></p> 	<ul style="list-style-type: none"> <li>• Consists of 42 councillors.</li> <li>• Approves the constitution.</li> <li>• Appoints committees and sub-committees.</li> <li>• Sets council tax.</li> <li>• Set budget framework</li> </ul>
<p><b>Policy Committees</b></p> 	<ul style="list-style-type: none"> <li>• Main decision-making function of the council.</li> <li>• Comprises four committees who have responsibilities for particular areas.</li> <li>• Subject to political oversight of the council.</li> <li>• Membership is politically balanced.</li> </ul>
<p><b>Audit &amp; Scrutiny Committee</b></p> 	<ul style="list-style-type: none"> <li>• Provides assurance to the council on the adequacy and effectiveness of the governance arrangements, risk management framework and internal control environment.</li> <li>• Approves the Local Code of Governance, Annual Governance Statement and the Statement of Accounts.</li> <li>• Review and scrutinise decisions and performance of the Council and audit arrangements.</li> </ul>
<p><b>Other regulatory committees</b></p> 	<ul style="list-style-type: none"> <li>• Licensing: deals with all aspects of local licensing for which the council is responsible.</li> <li>• Planning: makes decisions on certain planning applications and deals with other development control issues such as enforcement.</li> <li>• Standards committee: promoting and maintaining high standards of conduct by Councillors and co-opted Councillors.</li> </ul>
<p><b>Management Team</b></p> 	<ul style="list-style-type: none"> <li>• Implements the policy and budgetary framework set by the council, and provides advice to policy committees and the council on the development of future policy and budgetary issues.</li> <li>• Oversees the delivery of the council's Strategic Plan and implementation of policy.</li> <li>• Operationalised by leading and attending: management team, extended management team, departmental leadership team, partnership and other corporate cross-cutting board meetings.</li> </ul>
<p><b>Extended Management Team</b></p> 	<ul style="list-style-type: none"> <li>• Responsible for developing, maintaining and implementing the council's governance, risk, performance and control framework.</li> <li>• Contribute to the effective corporate management and governance of the council.</li> <li>• Operationalised by attending and contributing to: management team, extended management team, departmental leadership team, partnership and other corporate cross-cutting board meetings.</li> </ul>



## Governance Assurance Channels

