

PART H
PROTOCOLS

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1.0 PROTOCOL FOR INDIVIDUAL PORTFOLIO HOLDER/OFFICER DECISION-MAKING

1. Principles of Decision-Making Delegation to Individual Portfolio Holders/Officers

- 1.1 Unless otherwise reserved under this Constitution any Cabinet function (Executive function) and decision-making (executive decision) in respect of it can be delegated by the Leader to an individual Portfolio Holder or Individual Officer as provided for and subject to, the Cabinet Scheme of Delegation and the Officer Scheme of Delegation set out respectively of Part C Section 2 and Part C Section 5 of this Constitution. The making, recording and publishing of executive decisions must comply with the Local Authorities (Executive Arrangements) (Meetings and Access to Information (England) Regulations 2012.
- 1.2 Unless reserved to the Council as a matter of law or otherwise in accordance with this Constitution, any Council function (Non-Executive function) and decision-making (non-executive decision) in respect of it can be delegated by the Council to a Committee or individual Officer as provided for and subject to, the Non-Executive Function Scheme of Delegation and the Officer Scheme of Delegation set out respectively at Part C Section 1 and Part C Section 5 of this Constitution. The making, recording and publishing of non-executive decisions must comply with the Openness of Local Government Bodies Regulations 2014.
- 1.3 Executive and non-executive decisions must be made, recorded and published in compliance with the decision-making principles set out at Part C - Introduction of this Constitution and this Protocol which give effect to the Regulations.
- 1.4 Decision-making in respect of contracts / finance are further subject to the Contract Procedure Rules and the Financial Regulations set out respectively at Part D Section 2 and Part D Section 1.
- 1.5 It is the responsibility of the individual Portfolio Holder / Officer to consult any other Portfolio Holder, Member or Officer where the decision to be taken is of a cross-cutting nature.
- 1.6 Any individual Portfolio Holder / Officer may refer up to the source of their delegation for determination any matter delegated to them.

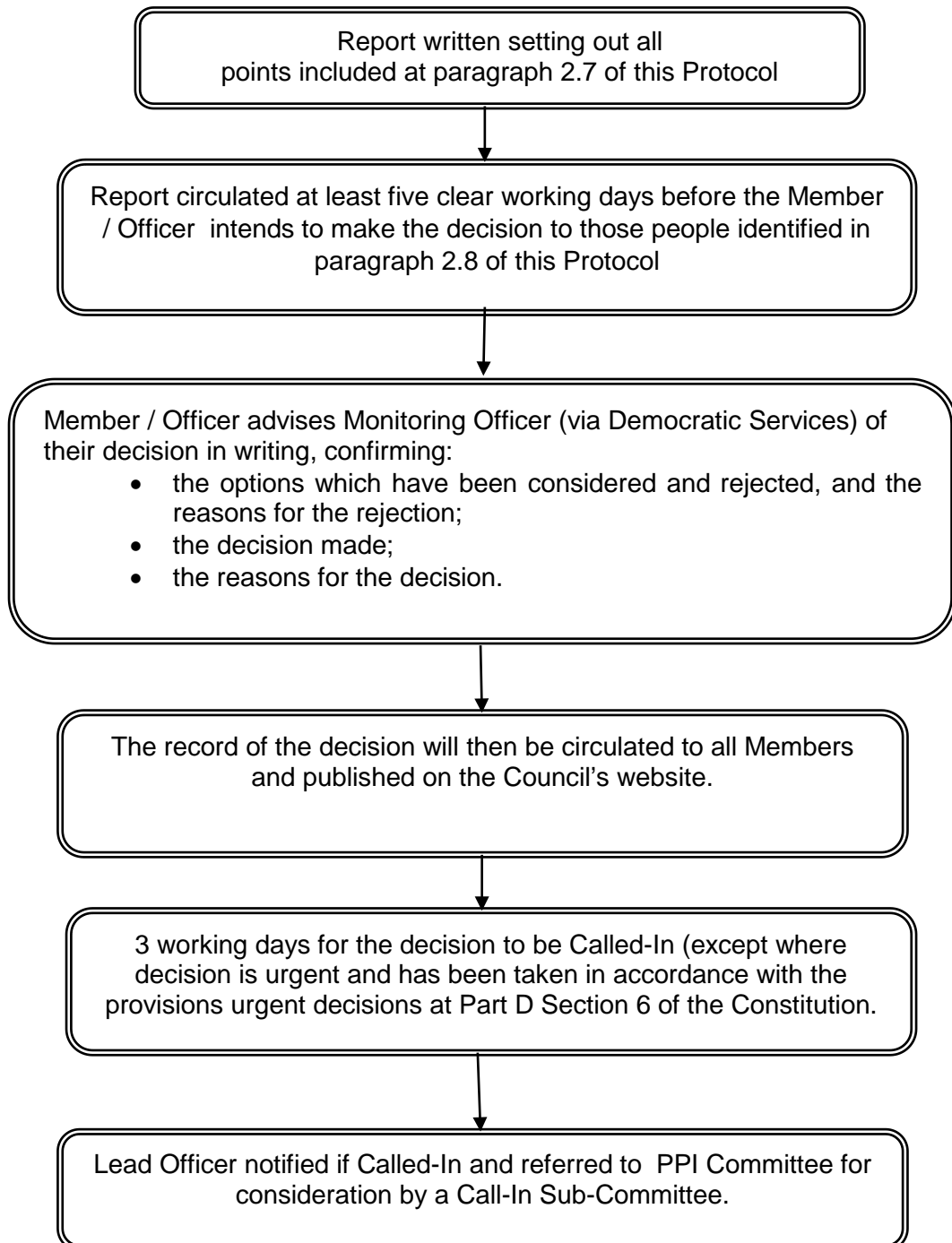
- 1.7 A written record must be kept of all individual Portfolio Holder / Officer decisions (except for administrative decisions), which will be published and circulated to all Members to enable scrutiny of the same.

2. Procedure for Individual Portfolio Holder/Officer Decision-Making

- 2.1 Where decision-making is delegated to an individual Portfolio Holder or Officer, whether as a standing arrangement or on an *ad hoc* basis as needed, the individual Portfolio Holder shall / Officer shall make decisions only in accordance with this protocol.
- 2.2 This procedure shall not apply to Administrative Decisions as defined by Part C Section 10 of this Constitution.
- 2.3 The procedure for Urgent Decisions set out in Part C Section 10 of this Constitution shall take precedence over this Procedure where necessary.
- 2.4 An individual Portfolio Holder / Officer exercising their decision-making power shall not make any decision which the Cabinet (executive decisions) or the Council / Committee (non-executive decisions) would not be able to make, as a matter of law or otherwise under this Constitution. Broadly, this means no decision should be made if it is not provided for within the budget or policy framework, or it is decision on a function which is reserved to the Council or its Committees.
- 2.5 The individual Portfolio Holder / Officer must take care not to be involved in making a decision in which they have an interest.
- 2.6 No decision shall be made except upon consideration by the individual Portfolio Holder / Officer of a written report in accordance with this protocol.
- 2.7 The written report shall set out:
- a. the issue to be decided;
 - b. any publicity or consultation requirements (either before or after the decision is made) in respect of the decision, either under legislation or under Council policy or any which is considered appropriate;
 - c. the facts upon which any decision must be based;
 - d. Any comments from the Chief Executive, Section 151 Officer and Monitoring Officer if appropriate
 - e. any legislative requirements, including:
 - human rights issues and / or
 - equalities issues
 - f. staffing and financial implications;
 - g. the outcome of any consultations undertaken;
 - h. any implications for any other areas of the Council's activities;
 - i. any relevant national or regional guidance;
 - j. any Council policy relating to the issue, including sustainability issues;
 - k. the Cabinet Portfolio / Service within which the issue falls;
 - l. any Wards which are particularly affected by the issue;
 - m. the options that are available;
 - n. any professional recommendation that the Officer wishes to make.

- 2.8 The following Members / Officers shall be sent the report five clear working days (or fewer days with prior agreement) before the Portfolio Holder / Officer makes the decision:
- a. the relevant Portfolio Holder / Committee Chair / Officer whose Portfolio / Service includes the matter under consideration;
 - b. the local Ward Councillors if areas are particularly affected by the proposed decision;
 - c. the Corporate Communications Team.
- 2.9 Any of the above persons may make their written comments to the individual Portfolio Holder / Officer who is due to make the decision before the five days has expired, with a copy to the Officer who wrote the report.
- 2.10 The individual Portfolio Holder / Officer taking the decision shall as soon as reasonably practical after they have made a decision under delegated powers, produce a written statement in respect of the decision which includes the following:
- a. a record of the decision;
 - b. a record of the reasons for the decision;
 - c. details of alternative options considered and rejected;
 - d. the reason for any urgency (if applicable);
 - e. a record of any conflict of interest declared by any executive member who is consulted by the member, in relation to the decision; and
 - f. a note of any dispensation granted (if a conflict of interest has been declared)
- 2.11 The Monitoring Officer, subject to confidentiality, shall ensure that a copy of the decision record and any report considered by the individual Portfolio Holder / Officer (including background papers) relevant to the decision recorded are circulated and available for inspection by the public as soon as reasonably practicable at the offices of the Council and on the Council's website.
- 2.12 No decision shall take effect until three working days after it has been recorded and published in accordance with the above.
- 2.13 A decision which has been 'Called-In' in accordance with the Call-In Procedure and Call-In Sub-Committee Rules set out at Part D Section 5 shall not take effect until determined in accordance with said Rules.

Decision-Making Flow Chart:



2.0 PROTOCOL FOR APPOINTMENTS TO OUTSIDE BODIES

1. The Council is committed to working with other local authorities, the private, voluntary and community sectors to delivery services in the most effective way. As a result Councillors and Officers are often required to act as representatives on outside bodies. This document contains provision regarding appointments and guidance for those acting as representatives.

Appointments

2. Other than in exceptional circumstances appointments to outside bodies will be made by the Leader normally after the Annual Meeting of the Council. There is no requirement for appointments to outside bodies to reflect political balance and appointments will therefore be made as the Council determines and having regard to these guidelines.
3. When appointing a representative to an outside body the Council will seek to avoid any appointment where a conflict of interest is likely to arise or may be perceived to arise.
4. Outside body appointments made by the Council will normally be to elected members of the Newark and Sherwood District Council.
5. Any person appointed as the Council's representative on an outside body should be required to report back regularly to the council through the appropriate Portfolio Holder/ committee and this should be made clear as a term of their appointment. Any reports must have due regard to the need to preserve confidentiality as to any information obtained from that outside body where necessary and appropriate.
6. Appointments will be reviewed annually.
7. An appointment will cease immediately if the member is disqualified or otherwise ceases to hold office.
8. No payment of expenses shall be made to any person appointed as the Council's representative on an outside body unless they are an Officer or elected member of the Council.
9. Other than in exceptional circumstances, should they fail to attend 3 consecutive meetings of the outside body they shall automatically cease to be the Council's nominated representative on that outside body unless the Council had expressly authorised their absence. Where there are, in the opinion of the Proper Officer, exceptional circumstances these shall be reported to the Leader for information and Leader shall determine whether to approve any further absence.

10. Representatives on outside bodies do not hold any executive authority on behalf of the Council and shall not therefore bind the Council without being expressly authorised by the Council to do so.
11. Where the outside body appointment is of strategic importance to the Council, there will be a presumption that a member of the Cabinet will be appointed to the role.

Support for Representatives on Outside Bodies

12. The Council may provide indemnity insurance in appropriate circumstances.

Responsibilities of Council Representatives on Outside Bodies

13. Representatives must ensure they understand the capacity in which they are appointed to the outside body. This is important for two reasons: -
 - a. The terms of appointment could mean that the individual takes on formal responsibilities, such as those of a company director or charitable trustee, and in some cases, personal liability. Representatives need to understand the extent of their role and be satisfied that appropriate indemnity insurance cover is provided either by the Council or the outside body. They should seek advice from the Council's Monitoring Officer.
 - b. In some instances the primary purpose is to represent the interests of the Council, and in some the main duty is to the outside body. This may affect the considerations that are taken into account when contributing to the outside body's decision-making. Also, it is possible that a conflict of interest will arise between the Council and the outside body, for example where there is a disagreement over a funding issue. In the event this happens the representative must be clear in whose interests they are acting. If a conflict does arise the representative must seek advice from the Council's Monitoring Officer.
14. Representatives must follow the Council's Code of Conduct for Councillors or the Code of Conduct for Officers when they are acting in that capacity, including where they are representing the Council on an outside body. They must also ensure they follow any separate code of conduct that applies to the outside body. In the unlikely event there is a conflict they must seek advice from the Council's Monitoring Officer.
15. Representatives should always consider their duty of confidentiality to the Council, and where appropriate, to the outside body.
16. Representatives must report back to the relevant Portfolio Holder/committee as required.

17. It is good practice to check when first appointed whether expenses for travel and/or subsistence should be claimed from the Council or the outside body.

3.0 LOCAL CODE OF CORPORATE GOVERNANCE

1. 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 culture and values that underpin a Council's arrangements for effective:

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

2. Good Corporate Governance

Newark & Sherwood District Council is committed to achieving good corporate governance and this local Code describes how the Council intends to achieve this in an open and explicit way. In developing this Code the Council has considered best practice and guidance, particularly the CIPFA/SOLACE framework "Delivering Good Governance in Local Government".

However, this Code is purposefully written in a way that best reflects the Council's own structure, functions, size and governance arrangements.

The Code is based on the following key principles:-

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

Good governance means acting in the public interest with members and officers demonstrating integrity, putting ethical values into practice, leading by example and demonstrating commitment to upholding the law.

B. Ensuring openness and comprehensive stakeholder engagement

Good governance means developing an open culture, consulting, seeking views, evidence and experiences, encouraging feedback, being a trustworthy partner and accepting challenge.

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

Good governance means developing a vision, specifying desired impacts, managing competing priorities and expectations, identifying risks, balancing impacts of policies and decisions, taking the longer term view and working within resource restraints.

D. Determining the interventions of the intended outcomes

Good governance means analysing options, understanding risks, planning, controlling and monitoring quality, performance, impact and effectiveness and remaining responsive.

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

Good governance means reviewing the use of assets, benchmarking, workforce planning, ensuring clarity of roles, leadership development, supporting training and development of skills, feeding back and reviewing performance and supporting health and wellbeing.

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

Good governance means managing risks, using scrutiny to support better decision making, aligning controls to objectives, providing internal audit assurance, Audit and Accounts Committee assurance and recommendations, effective counter fraud and anti-corruption, managing and sharing data, ensuring data quality, integrating financial management with planning and control and supporting operational performance.

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

Good governance means supporting transparency, understandable and timely reporting, assessing the Council's performance, supporting public comparisons, being responsive to recommendations from external audit, internal audit, regulators and inspectors and peer reviews and maintaining accountability when working collaboratively.

The following schedule details how the Council meets these core principles and the systems, policies and procedures it has in place to support this. This schedule is reviewed and updated annually.

Schedule to the Code of Corporate Governance

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

<p>Good governance is about:</p>	<p>To demonstrate its commitment to achieving good governance, Newark & Sherwood District Council has:</p>
<ul style="list-style-type: none"> • Behaving with integrity • Demonstrating strong commitment to ethical values • Respecting the rule of law 	<ul style="list-style-type: none"> (i) Published a Local Code of Corporate Governance to be approved by Council on 9th March 2017 that demonstrates its commitment to the principles of good governance and the importance of operating in an open and accountable manner and demonstrating high standards of conduct. (ii) Developed and promotes a culture of behaviour based on shared values, high ethical principles and good conduct that include the following:- <ul style="list-style-type: none"> • Member code of conduct • Officers code of conduct • Protocol on member/officer relations • Protocol for dealing with Ombudsman matters • Protocol for members on hospitality and gifts • Policy for officers on hospitality and gifts • Protocol for members on dealing with planning matters • Whistleblowing policy • Protocol relating to the Independent Person (iii) Established a local complaints procedure for considering any complaint that a councillor has breached the Code of Conduct with the Policy and Finance Committee having responsibility for standards and probity issues to reflect the importance which the Council attaches to ethical governance issues. (iv) Provides regular training to district and town and parish councillors on ethical governance (v) Provides an advice service to district and town and parish councillors on code of conduct issues through its Democratic Services team. (vi) Provides training on codes and protocols (vii) Is able to monitor and investigate officer and member behaviour through its customer complaints procedure (viii) Regularly reviews the completion and updating by members of their Register of Interest forms for staff as well as Members (including those of town and parish councillors)

	<p>(ix) Maintains a register of gifts and hospitality for staff as well as Members</p> <p>(x) Has adopted a whistleblowing policy which is accessible to officers, Members and the public on the Council’s website. The policy provides guidance around how to raise concerns and to whom these should be addressed.</p> <p>(xi) Anti-fraud and corruption policies are up to date and working effectively. A counter fraud policy is in place and is available to all staff and on the Council’s website. A comprehensive programme of counter fraud training has been delivered to all staff. An annual fraud risk assessment is carried out, leading to an action plan to address any identified risks and to proactively work on fraud prevention.</p> <p>(xii) Has appropriate governance arrangements in place in respect of its significant partnerships including the Community Safety Partnership, its relationship with Newark and Sherwood Homes and Active4Today, the GNSR collaboration agreement and East Midlands Building Control Services.</p> <p>(xiii) Publishes an Annual Report which is presented to Council on ethical governance and code of conduct issues.</p> <p>(xiv) Has clear role specifications within the constitution in respect of the Statutory Officer roles (see post).</p> <p>(xv) The effectiveness of the Council’s Constitution and Protocols is regularly reviewed through the Councillors Commission.</p>
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Core Principle B: Ensuring Openness and Comprehensive Stakeholder Engagement

<p>Good governance is about:</p>	<p>To demonstrate its commitment to achieving good governance, Newark & Sherwood District Council:</p>
<ul style="list-style-type: none"> • Openness • Engaging comprehensively with institutional stakeholders • Engaging with individual citizens and services users effectively 	<p>(i) Has developed an informative, user friendly website to share information with the community.</p> <p>(ii) Proactively provides information and interacts with the community through social media and in particular Twitter and Facebook in a corporate capacity.</p> <p>(iii) Has arrangements in place to seek and respond to the views of stakeholders and the community by:</p> <ul style="list-style-type: none"> • Consulting residents about Council services and priorities

	<ul style="list-style-type: none"> • Having a Petition Scheme so that the community can have their say about any issues that concern them • Holds meetings in public wherever possible • Documents and publishes agendas, minutes and decisions as well as the criteria, rationale and considerations on which decisions are based. • Makes provision in its Council Procedure Rules for the public to ask questions at Council meetings • Has developed effective relationships with other public sector agencies and the private and voluntary sectors <p>(iv) Has a Communications and an Engagement Strategy which are published on the Council's website. These are currently being reviewed and updated – research work is undertaken using a range of techniques appropriate to the relevant stakeholders including face to face interviews, household postal surveys, internet surveys, workshops and focus groups.</p> <p>(v) Undertakes Equality Impact Assessments to identify how the needs of particular communities have been considered to inform decision making.</p> <p>(vi) The LDF has a statement of Community Involvement that has been subject to external validation.</p> <p>(vii) The Council's committees undertake reviews of the work of other public service providers and hold those representatives to account.</p> <p>(viii) The Council proactively engages in the health agenda through officer and member involvement in the district's two clinical commissioning groups and Nottinghamshire Health and Wellbeing Board.</p> <p>(ix) The Council communicates with all sections of the community through the VOICE newsletter which is currently issued twice a year. This is done in conjunction with the Clinical Commissioning Group who share the cost.</p> <p>(x) Safer neighbourhood groups have been established under the umbrella of the Community Safety Partnership.</p> <p>(xi) The Council works proactively with local communities in establishing resilience in emergencies, for example flooding where flood wardens have been identified and local flood forums established.</p>
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	<p>(xii) Has a Freedom of Information Act Publication Scheme on the Council’s website.</p> <p>(xiii) Issues a council tax leaflet.</p> <p>(xiv) Calendar of dates for submitting, publishing and distributing timely reports is adhered to.</p> <p>(xv) Has developed a Partnership toolkit and a Partnership register. This identifies significant partnerships and potential impacts on the Council.</p>
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Core Principle C: Defining outcomes in terms of sustainable economic, social and environmental benefits

<p>Good governance is about:</p>	<p>To demonstrate its commitment to achieving good governance, Newark & Sherwood District Council has:</p>
<ul style="list-style-type: none"> • Developing a vision • Managing competing priorities and expectations • Identifying risks • Balancing impacts of policies and decisions • Taking the longer term view • Working within resource constraints 	<p>(i) Agreed its vision and priorities – the Council’s priorities were reviewed in July 2016 and reaffirmed four strategic themes which should be of equal weight namely prosperity, people, place and public service and has developed detailed delivery plans in relation to those strategic priorities.</p> <p>(ii) Has developed and maintains proper financial management arrangements. These include a Medium Term Financial Strategy designed to set a sound financial planning framework for the Council which reflects its vision and priorities; agrees a balanced budget before the start of each financial year together with a Medium Term Financial Plan which looks ahead four years; and an annual Accounting Statement that details the Council’s financial position in the previous year.</p> <p>(iii) Regularly reviews risks at a Strategic, Corporate, Project and Operational level and ensures that appropriate plans are in place to mitigate risks.</p> <p>(iv) Has arrangements in place to publish the annual external auditor’s report which includes a formal conclusion on whether the Council has put in place proper arrangements to secure economy, efficiency and effectiveness in its use of resources.</p> <p>(v) Has developed and recently reviewed its Contract Procedure Rules.</p> <p>(vi) Undertakes regular monitoring and review of strategic and operational risks and risk owners are clearly identified.</p> <p>(vii) Internal Audit regularly reviews the risk and control framework and produces a Combined Assurance Report in conjunction with Business Managers and the Corporate Management Team.</p>

	<p>(viii) Communicates its vision and priorities to employees through staff roadshows, briefings and “drop in” sessions for staff. Most recently this has taken the format of themed workshops as the Council develops its “Moving Ahead” strategies.</p> <p>(ix) Reflects the Council’s strategic priorities through individual business unit plans. These are captured and monitored in the Council’s performance management system, Covalent.</p>
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Core Principle D: Determining the interventions necessary to optimise the achievement of the intended outcomes

<p>Good governance is about</p>	<p>To demonstrate its commitment to achieving good governance, Newark & Sherwood District Council has:</p>
<ul style="list-style-type: none"> • Analysing options, understanding risks, planning, controlling and monitoring quality, performance, impact and effectiveness in order to: • Determine interventions • Plan interventions • Optimistic achievement of intended outcomes • Remain responsive 	<p>(i) The Council has established a Councillors Commission comprising a working group of members including all political group leaders which provides a forum for discussion between members and officers on the information needs of members to support decision making. A further vehicle for such dialogue is through the holding of agenda meetings prior to the publication of formal agendas.</p> <p>(ii) Reports to committee include an analysis of options together with the reasons for the recommendation contained within the report.</p> <p>(iii) Business Plans/Performance indicators aligned to Council priorities have been determined for each service area and are regularly monitored and reviewed. Members can access performance data on Covalent through the members extranet. Performance Management arrangements are embedded within the Council and a team of dedicated officers’ work with Business Managers to monitor/analyse performance and develop action plans as appropriate. Members of the Corporate Management Team/Members receive quarterly updates on how the Council is performing.</p> <p>(iv) The Council’s budget is developed to reflect the Council’s priorities and the Council has a clear financial strategy including a Medium Term Financial Plan (see (ii ante) – budgets, plans and objectives are aligned.</p>

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

<p>Good governance is about:</p>	<p>To demonstrate its commitment to achieving good governance, Newark & Sherwood District Council has:</p>
<ul style="list-style-type: none"> • Reviewing use of assets • Benchmarking • Workforce planning • Working with others • Ensuring clarity of roles • Leadership development • Supporting training and development of skills • Feeding back and reviewing performance • Supporting health and wellbeing 	<p>(i) The Council has robust mechanisms in place to identify the development needs of members and senior officers in relation to their strategic roles which it supports with appropriate training, in particular:-</p> <ul style="list-style-type: none"> • The Council has a Member Induction Plan and Member Training and Development Plan which is regularly reviewed and updated through a member working party which includes all political group leaders. There is a dedicated budget for member training and development. • The Council has a corporate training and development plan which is reviewed annually against Council priorities. There is a dedicated corporate employee training budget. • The Council, in conjunction with Rushcliffe and Gedling Borough Councils (GNSR) and in partnership with the University of Birmingham has developed an in-house MPA Programme for senior managers to provide them with the opportunity to work together/share best practice whilst increasing their knowledge/skills. • The Council employ two National Management Trainees on behalf of GNSR and co-ordinate placements across the three organisations providing each NMT with 8 months in each authority as a means of growing talent for succession management purposes. • Staff appraisals are undertaken for all members of staff at least annually. The appraisal process offers the opportunity to provide feedback on performance and to identify any training and development needs. Any training needs are notified to the Human Resources team so that they can inform the corporate training plan. <p>(ii) The HR team work with service areas to complete an annual workforce planning exercise to feed into the budget planning process.</p> <p>(iii) Members of the HR team work closely with service areas to ensure that team structures are fit for purpose and staffing resources are used to best effect to deliver Council priorities.</p>

	<ul style="list-style-type: none"> (iv) The Council operates robust recruitment and selection process. The Council is an accredited mindful employer adhering to a policy which reflects best practice standards in the recruitment of staff. All recruitment advertisements carry the “Two Ticks” symbol (Positive about Disabled People) and managers cannot attend interview panels until they have attended internal recruitment training. (v) The Council has a raft of HR Policies and Procedures which are reviewed regularly to ensure that they remain fit for purpose. (vi) The Council adopts and publishes an annual Pay Policy Statement that sets out the Council’s approach to pay and provides links to relevant policies and procedures. (vii) Recently undertaken a Corporate Peer Review and has developed an action plan to address the key recommendations contained in that review. (viii) Uses systems and technology effectively – for example as a training tool and to enable members to scrutinise and challenge – a members extranet has been developed to assist members in undertaking their roles. (ix) The Council has adopted an agile working strategy to facilitate flexible and home working. (x) The Council is currently working with partner organisations across Nottinghamshire to facilitate the introduction of Timewise as a means of maximising the opportunity for current and prospective employees to work in a more agile manner and in doing so encourage a wider pool of applicants to vacant posts. (xi) The Council provide access to occupational health arrangements, counselling and therapy services to help improve employee well-being and ensure that sickness absence is kept to a minimum. (xii) The Wellbeing at Work Team led by the Health Improvement Officer provide regular updates around health related matters as well as running a calendar of events to encourage staff to become more active. The work of the team was recently recognised through receipt of the Well-being at Work Bronze Award and nominations for the recent Pride Awards resulting in the lead and members of the team receiving highly commended awards.
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Core Principle F: Managing risks and performance through robust internal control and strong public financial management

<p>Good governance is about:</p>	<p>To demonstrate its commitment to achieving good governance Newark & Sherwood District Council has:</p>
<ul style="list-style-type: none"> • Managing risk • Managing performance • Robust internal control • Managing data • Strong public financial management 	<p>(i) Put in place assurance arrangements which conform with CIPFA’s requirements:</p> <ul style="list-style-type: none"> • The Council has appointed an Audit and Accounts Committee which can report to full Council if it considers this necessary. • The Risk Management Strategy is reviewed by the Committee along with the strategic and operational Risk Registers • The Council has contracted with Assurance Lincolnshire to provide an internal audit service. Internal auditors are independent and have access to all people, premises and systems. An annual report from the Head of Internal Audit is presented to the Committee. • The Annual Audit Plan is shaped through an assessment of the Council’s key strategic risk areas and critical services • All audit reports are considered by the Corporate Management Team. • Results of audit reviews are reported to the Audit and Accounts Committee along with follow up work to ensure that the recommendations have been implemented. • Financial systems are reviewed annually to ensure appropriate, effective controls are in place. • External audit report to the Committee annually on the results of the audit of the financial statements • The Annual Governance Statement considers the internal control framework, and is presented to the Committee annually with the Statement of Accounts. It is also reviewed halfway through the year, to ensure that significant control issues are monitored and reported on. <p>(ii) Ensured that effective arrangements are in place for the discharge of statutory officer roles by:</p> <ul style="list-style-type: none"> • Defining roles and responsibilities in the constitution • A meeting of the statutory officers not less than once a year to review governance issues <p>(iii) Ensuring compliance with relevant laws and regulations, internal policies and procedures and that expenditure is lawful by:-</p>

	<ul style="list-style-type: none"> • Incorporating legal and financial comments in reports to members where necessary and appropriate • Ensuring that senior managers are briefed on significant legislative changes or changes in policies and procedures – there is a regular dialogue with the Corporate Management Team through monthly business managers meetings. <p>(iv) The Council’s financial management arrangements conform with the requirements of the CIPFA statement on the role of chief financial officer in local government and with statutory provisions in the Local Government Act 1972, the Local Government Act 1988 and the Accounts and Audit Regulations 2011.</p> <p>(v) Regulations covering all aspects of financial management including contract procedure rules are in place and reviewed regularly. Training on Financial Regulations has been provided to all relevant staff.</p> <p>(vi) Financial performance reports are sent to business managers monthly and members are also able to monitor financial performance through the member extranet and by exceptions reporting to committee.</p> <p>(vii) Clear performance management arrangements are set out within management agreements for the Council’s companies, Newark & Sherwood Homes and Active4Today Ltd.</p> <p>(viii) Members of the corporate management team carry out an annual review of strategic, corporate and project related risks to ensure that they are relevant, whilst at the same time reviewing risk appetite. Quarterly reports are submitted to CMT to allow for effective monitoring. Following a recent review members of CMT have requested more regular updates in relation to high risks to ensure that these are being mitigated effectively. Members of the performance team work closely with business managers to ensure that they regularly review operational based risks and provide assurance to CMT in this regard.</p> <p>(ix) An annual review of fraud risks is carried out to ensure controls are in place and are effective. The results of the review are reported to the Audit & Accounts Committee.</p> <p>(x) Biannual reports on counter-fraud activity are taken to the Accounts & Audit Committee.</p>
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Core Principle G: Implementing good practices in transparency, reporting and audit to deliver effective accountability

<p>Good governance is about:</p>	<p>To demonstrate its commitment to achieving good governance Newark & Sherwood District Council has:</p>
<ul style="list-style-type: none"> • Implementing good practice in transparency • Implementing good practices in reporting • Assurance and effective accountability 	<ul style="list-style-type: none"> (i) Moved to a committee style of governance (May 2013) where overview and scrutiny principles are embedded within committee remits. (ii) Appointed a dedicated Information Governance Officer who monitors compliance with the Freedom of Information Act and Access to Information Act and deals with FOI requests. (iii) The Council has a presumption of openness and transparency and publishes key information on its website. The Council adheres to the Government’s Transparency Initiative. (iv) The Authority’s assurance arrangements conform with CIPFA’s requirements (see F(i) ante) with a dedicated Audit and Accounts Committee and regular training provided to members of that Committee. (v) Publishes an Annual Report summarising the Council’s key achievements over the last 12 months and highlighting future goals. The Council also includes a review of the past year within the explanatory foreword in the Annual Statement of Accounts. (vi) Through reviews by external auditors, external agencies, internal audit and its performance team the Council constantly seeks ways of ensuring that value for money is achieved and for securing continuous improvement in the way in which its functions are exercised. (vii) Introduced an effective complaints system which is managed through the customer services team. All complaints are monitored and evaluated. The complaints procedure includes a senior management review. There are clearly set targets for responses.