

Regional Code of Corporate Governance

ERW



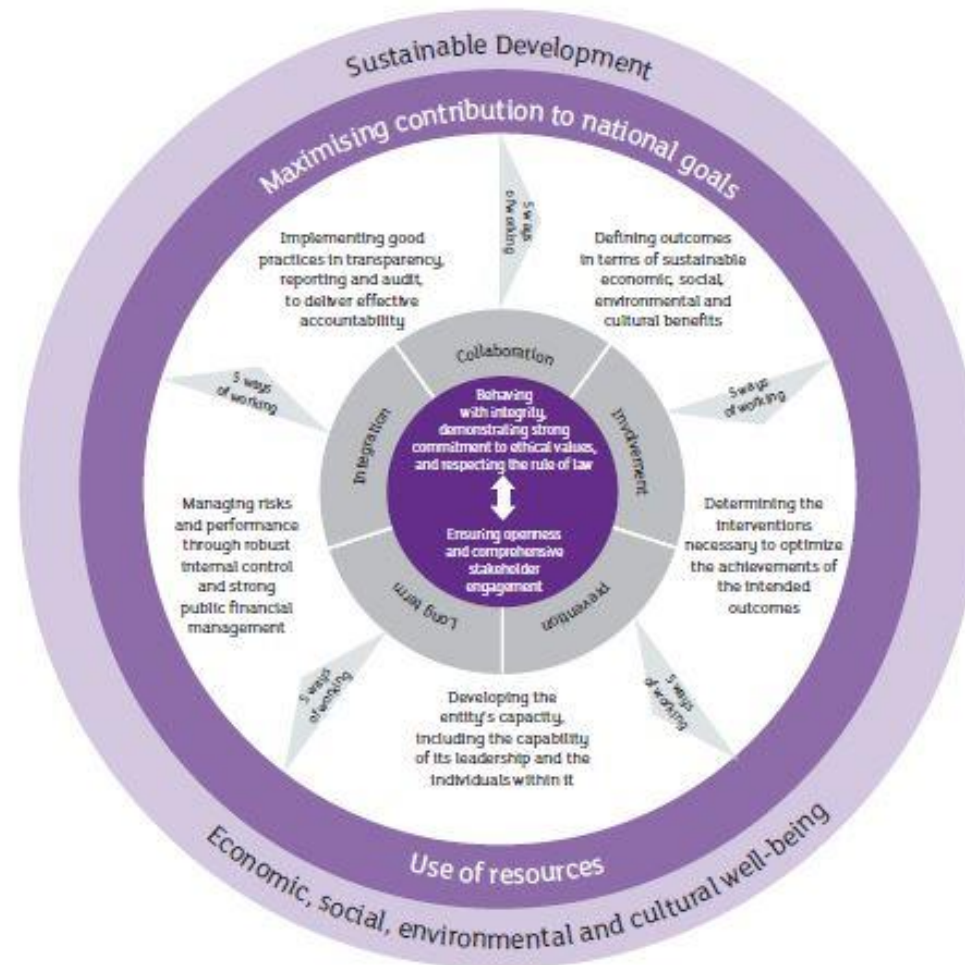
June 2017

ERW's Regional Code of Corporate Governance has been developed in accordance with 'Delivering Good Governance in Local Government: Framework (CIPFA/Solace, 2016) ('the Framework').

The overall aim is to ensure that resources are directed in accordance with agreed policy and according to priorities, that there is sound and inclusive decision-making and that there is clear accountability for the use of those resources in order to achieve desired outcomes for service users and communities. The Framework positions the attainment of sustainable economic, societal, and environmental outcomes as a key focus of governance processes and structures, which is in line with the requirements of the Well-being of Future Generations (Wales) Act 2015.

Governance comprises the arrangements put in place to ensure that the intended outcomes for stakeholders are defined and achieved. To deliver good governance in the public sector entities must try to achieve their entity's objectives while acting in the public interest at all times. Acting in the public interest implies primary consideration of the benefits for society, which should result in positive outcomes for service users and other stakeholders.

Well-being of Future Generations (Wales) Act 2015 and the International Framework



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

As an organisation, we are accountable not only for how much we spend, but also for how we use resources. This includes accountability for outputs, both positive and negative, and for the outcomes achieved as a result. In addition, we have an overarching responsibility to serve the public interest in adhering to the requirements of legislation and government policies. It is essential that, as a whole, we can demonstrate the appropriateness of all our actions across all activities and have mechanisms in place to encourage and enforce adherence to ethical values and to respect the rule of law.

Sub Principle: Behaving with Integrity		
Requirement	Local Guidance	Sources of Assurance
Ensuring Officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of ERW.	<ul style="list-style-type: none"> • Induction for Officers and Members • Monitoring Officer and Section 151 Officer Guidance • Equal Opportunities Policy • 	<ul style="list-style-type: none"> • Performance appraisals • Registers of interest • Members and officers registers of interest • Declarations at meetings • Publication of Delegated Decisions • Minutes of the Executive Board and Joint Committee meetings • Minutes of meetings • Declarations of interest • Conduct of meetings • Monitoring Officer • Section 151 Officer • Other Statutory Officer • Registers of gifts and hospitality
Ensuring Officers take the lead in establishing the Target Operating Model or values for ERW and its staff and that they are communicated and understood. These should build on the Seven Principles of Public Life (the Nolan Principles).	<ul style="list-style-type: none"> • Legal Agreement Policy • Regional Code of Corporate Governance • Values and Aims • Planning Code of Practice 	
Leading by example and using the above Target Operating Model or values as a framework for decision making and other actions.	<ul style="list-style-type: none"> • Legal Agreement • Regional Code of Corporate Governance • Code of Conduct • Equal Opportunities Policy • Values & Aims 	
Demonstrating, communicating and embedding the Target Operating Model or values through appropriate policies and processes, which are reviewed on a regular basis to ensure that they are operating effectively.	<ul style="list-style-type: none"> • Counter Fraud, Corruption and Bribery Strategy 2015-17 • Whistleblowing Policy • Counter Fraud work plan • Complaints & Compliments Policy • HR Policies 	

Sub Principle: Demonstrating strong commitment to ethical values		
Requirement	Local Guidance	Sources of Assurance
Seeking to establish, monitor and maintain ERW's ethical standards and performance.	<ul style="list-style-type: none"> • Complaints Policy • Code of Conduct • Equal Opportunities Policy 	<ul style="list-style-type: none"> • Scrutiny work plan and minutes • Scrutiny function • Monitoring Officer • Public Services Ombudsman for Wales annual report • Working group notes • Audit Committee Minutes • Annual Complaints & Compliments Report • Standards Committee Minutes • Performance appraisals • Internal and External Assurance Provider reviews • Self-Assessment of Compliance as part of the Annual Governance Process • Partnership Agreements • Partnerships Overview & Scrutiny Committee Minutes • Contract Monitoring • Community Benefits Officer
Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of ERW's culture and operation.	<ul style="list-style-type: none"> • Job descriptions • Manager Standard • Officer Induction • Code of Conduct (see Constitution) • Independent Statutory Officers • Equal Opportunities Policy 	
Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values.	<ul style="list-style-type: none"> • Monitoring Officer advice and guidance • Equal Opportunities Policy 	
Ensuring that external providers of services on behalf of ERW are required to act with integrity and in compliance with ethical standards expected by ERW.	<ul style="list-style-type: none"> • Contracts • Procurement and Tendering Specification and Evaluation:- Authorisation Forms for Pro.... • Procurement Strategy • Standing Orders in Relation to Contracts 	

Sub Principle: Respecting the rule of law		
Requirement	Local Guidance	Sources of Assurance
Ensuring members and staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations.	<ul style="list-style-type: none"> • Statutory Provisions • Monitoring Officer advice and guidance • Code of Conduct • Equal Opportunities Policy 	<ul style="list-style-type: none"> • Statutory guidance is followed • Monitoring & Appraisals • Annual Counter Fraud and Investigations Report • Feedback • Internal and External Audit Reports • Regulators • Self-assessment • Record of legal advice provided by officers • Record of Monitoring Officer advice • Record of Data Incidents and Breaches • Investigations record • Standards Committee • Statutory Officers • Annual report on Counter Fraud and Investigations • HR Disciplinary Policy • Ombudsman • Adjudication Panel for Wales
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.	<ul style="list-style-type: none"> • Job descriptions • Guidance on Statutory Roles • Committee support 	
Striving to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders.	<ul style="list-style-type: none"> • Advice and guidance from Legal Services 	
Dealing with breaches of legal and regulatory provisions effectively.	<ul style="list-style-type: none"> • Information Governance Policy • Monitoring Officer, Section 151 Officer, SIRO powers 	
Ensuring corruption and misuse of power are dealt with effectively.	<ul style="list-style-type: none"> • Constitution 	

Core Principle B: Ensuring openness and comprehensive stakeholder engagement.

ERW is run for the public good and 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's citizens and service users, as well as institutional stakeholders.

Sub Principle: Engaging comprehensively with institutional stakeholders		
Requirement	Local Guidance	Sources of Assurance
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.	<ul style="list-style-type: none"> • Local/National Guidance • Terms of Reference and Membership of Pembrokeshire Public Service Board 	<ul style="list-style-type: none"> • Partnerships Overview & Scrutiny Work Plan • Joint Working Register • Legal Agreement • Wellbeing Plan
Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively.	<ul style="list-style-type: none"> • Pembrokeshire Public Services Board • Partnership Procedure 	
Ensuring that partnerships are based on: <ul style="list-style-type: none"> • Trust • A shared commitment to change • A culture that promotes and accepts challenge among partners and that the added value of partnerships working is explicit. 	<ul style="list-style-type: none"> • Partnership Procedure 	

Sub Principle: Openness		
Requirement	Local Guidance	Sources of Assurance
Ensuring an open culture through demonstrating, documenting and communicating ERW's commitment to openness.	<ul style="list-style-type: none"> • Constitution • Corporate Public Engagement Strategy 2012 - 2017 	<ul style="list-style-type: none"> • Chief Executive and Statutory Officers • Freedom of information act publication scheme • Appeals against FOI and Subject Access Requests • Authority website • Public consultations • Records of decision making • Supporting materials • Register of Delegated Decisions • Decision making protocols • Publication of Reports • Record of professional advice in reaching decisions • Meeting reports show details of advice given • Discussion between members and officers on the information needs of members to support decision making • Agreement on the information that will be provided and timescales • A calendar of dates for submitting, publishing and distributing timely reports is adhered to • Well-being Assessment/Needs Assessment • Consultation feedback/Citizens survey • Annual complaints and compliments report
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.	<ul style="list-style-type: none"> • Council/Committee Meetings • Integrated Impact Assessment Tool • Business Impact Assessment Template • SIRO, Legal and Monitoring Officer advice 	
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.	<ul style="list-style-type: none"> • Constitution • Democratic Services Report Templates • Integrated Impact Assessment Tool • Business Risk Management Strategy 2015-2017 • Members Code of Guidance • Planning Code of Practice 	
Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/courses of action.	<ul style="list-style-type: none"> • Corporate Public Engagement Strategy 2012-2017 • Complaints and Policy 	

Sub Principle: Engaging with individual citizens and service users effectively		
Requirement	Local Guidance	Sources of Assurance
Establishing a clear policy on the type of issues that ERW 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.	<ul style="list-style-type: none"> • Public Service Board Terms of Reference • Wellbeing Assessment and Plan • Corporate Public Engagement Strategy 2012-2017 	<ul style="list-style-type: none"> • Record of Public Consultations • Evidence of structured stakeholder discussions • Effective community involvement/feedback • Review of take up • Review of outcomes • Impact captured in report pro-forma
Ensuring that communication methods are effective and that members and officers are clear about their roles with regard to community engagement.	<ul style="list-style-type: none"> • Corporate Public Engagement Strategy 2012 – 2017 • Corporate Communications Standards, Services and Resources 	
Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs.	<ul style="list-style-type: none"> • Corporate Public Engagement Strategy 2012 – 2017 • Pembrokeshire Public Services Board Wellbeing Assessment • Integrated Impact Assessment Guidance and Template • Strategic Equality Plan • Welsh Language Standards 	
Implementing effective feedback mechanisms in order to demonstrate how views have been taken into account.	<ul style="list-style-type: none"> • Corporate Public Engagement Strategy 2012 - 2017 	
Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity.	<ul style="list-style-type: none"> • Business Impact Tool • Corporate Public Engagement Strategy 2012 - 2017 	
Taking account for the impact of decisions on future generations of	<ul style="list-style-type: none"> • Wellbeing Assessment and Plan • Integrated Impact Assessment Guidance and 	

tax payers and service users.	Template	
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Core Principle C: Defining outcomes in terms of sustainable economic, social and environmental benefits.

The long-term nature and impact of ERW's responsibilities mean that we should define and plan outcomes and that these are sustainable. Decisions should further ERW'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.

Sub Principle: Defining outcomes		
Requirement	Local Guidance	Sources of Assurance
Having a clear vision which is an agreed formal statement of ERW's purpose and intended outcomes containing appropriate performance indicators, which provide the basis for ERW's overall strategy, planning and other decisions.	<ul style="list-style-type: none"> • Values and Aims • Wellbeing Plan • Annual Improvement Plan 	<ul style="list-style-type: none"> • Annual Improvement Review • Corporate Improvement Plan • Service Improvement Plans • Corporate Risk Management Group • Risk Registers • Risk Management Protocols • Public Meetings • Publicising Financial Pressures • Report Format for CMT/Cabinet
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.	<ul style="list-style-type: none"> • Wellbeing Assessment/ Plan • Integrated Impact Assessment Guidance and Template 	
Delivering defined outcomes on a sustainable basis within the resources that will be available.	<ul style="list-style-type: none"> • Improvement Planning Process 	
Identifying and managing risks to the achievement of outcomes.	<ul style="list-style-type: none"> • Risk Register 	
Managing service users' expectations effectively with regard to determining priorities and making the best use of the resources available.	<ul style="list-style-type: none"> • Corporate Public Engagement Strategy 2012 – 2017 • Corporate Communications Standards, Services and Resources 	

Sub Principle: Sustainable economic, social and environmental benefits		
Requirement	Local Guidance	Sources of Assurance
Considering and balancing the combined economic, social and environmental impact of policies and plans when taking decisions about service provision.	<ul style="list-style-type: none"> • Legislative requirements – Well-being of future generations (Wales) Act 2015 • Integrated Impact Assessment Guidance and Template 	<ul style="list-style-type: none"> • Corporate plans take account of medium and long-term service plans • Record of decision making and supporting materials • Complaints and Compliments • Service Feedback
Taking a longer-term view with regard to decision making, taking account of risk and acting transparently where there are potential conflicts between the ERW's intended outcomes and short-term factors such as the political cycle or financial constraints.	<ul style="list-style-type: none"> • Medium Term Financial Plan • Long-term Strategies • Single Integrated Plan/Wellbeing Assessment and Plan • Education & Learning Strategy 2016-19 • Strategic Asset Management Plan • Integrated Impact Assessment Guidance and Template 	
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.	<ul style="list-style-type: none"> • Public service board wellbeing plan • Corporate Public Engagement Strategy 2012 - 2017 	
Ensuring fair access to services.	<ul style="list-style-type: none"> • Customer Charter • Corporate Communications Standards, Services and Resources • Integrated Impact Assessment • Equal Opportunities Policy • Welsh Language Policy 	

Core Principle D: Determining the interventions necessary to optimise the achievement of the intended outcomes.

At ERW we achieve 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 ERW has to ensure intended outcomes are achieved.

Robust decision-making mechanisms are in place to ensure that the 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.

Sub Principle: Determining interventions		
Requirement	Local Guidance	Sources of Assurance
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.	<ul style="list-style-type: none"> • Decision making protocols • Option appraisals • Forward work plans 	<ul style="list-style-type: none"> • Agenda reports and minutes of meetings • Minutes of Meetings • Service Improvement Plans
Considering feedback from citizens and service users when making decisions about service improvements or where services are no longer required in order to prioritise competing demands within limited resources available including people, skills, land and assets and bearing in mind future impacts.	<ul style="list-style-type: none"> • Public Consultation Events 	

Sub Principle: Planning interventions		
Requirement	Local Guidance	Sources of Assurance
Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets.	<ul style="list-style-type: none"> Overview & Scrutiny meeting schedule 	<ul style="list-style-type: none"> Minutes of Meetings Improvement Planning Schedule Service/Project Plans Reports to CMT/Cabinet/Committees Partnership Agreements Risk Registers Business Continuity Plans Planning protocols Service Improvement Plans Quarterly performance report Overview & Scrutiny Committee Reports Budget Monitoring Cost Reduction/Efficiency Monitoring Corporate and Service Improvement Plans
Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered.	<ul style="list-style-type: none"> Pembrokeshire Public Services Board Wellbeing Assessment and Plan Public Engagement Strategy 2013-2018 Business Impact Assessment Template 	
Considering and monitoring risks facing each partner when working collaboratively, including shared risks.	<ul style="list-style-type: none"> Risk Register 	
Ensuring arrangements are flexible and agile so that the mechanisms for delivering goods and services can be adapted to changing circumstances.		
Establishing appropriate key performance indicators (KPI's) as part of the planning process in order to identify how the performance of services and projects is to be measured.	<ul style="list-style-type: none"> Service Improvement Plans Project Plans 	
Ensuring capacity exists to generate the information required to review service quality regularly.	<ul style="list-style-type: none"> Service Improvement Plans and Performance Monitoring 	
Preparing budgets in accordance with objectives, strategies and the medium term financial plan.	<ul style="list-style-type: none"> Financial Regulations 	
Informing medium and long-term resource planning by drawing up	<ul style="list-style-type: none"> Financial Regulations 	

realistic estimates of revenue and capital expenditure aimed to developing a sustainable funding strategy.	<ul style="list-style-type: none"> • Financial Control Procedures • 	
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Sub Principle: Optimising achievement of intended outcomes		
Requirement	Local Guidance	Sources of Assurance
Ensuring the medium term financial strategy integrates and balances service priorities, affordability and other resource constraints.	<ul style="list-style-type: none"> • Medium Term Financial Plan • Service Planning Process 	<ul style="list-style-type: none"> • Ongoing review of the Medium Term Financial Plan • Annual Budget Setting Process • Annual Budget Report • Quarterly Integrated Reporting • CMT/Cabinet/Committee/Council Minutes • Quarterly Integrated Reports
Ensuring the budgeting process is all-inclusive, taking into account the full cost of operations over the medium and longer term.	<ul style="list-style-type: none"> • Financial Control Procedures • Medium Term Financial Plan 	
Ensuring the medium term financial strategy sets the context of 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.	<ul style="list-style-type: none"> • Financial Regulations • Medium Term Financial Plan 	
Ensuring the achievement of 'social value' through service planning and commissioning.	Compliance with the 10 Principles of Welsh Public Procurement Policy as detailed in the Welsh Government's Wales Procurement Policy Statement.	

Core Principle E: Developing ERW's capacity including the capability of its leadership and the individuals within it.

At ERW we need appropriate structures and leadership, as well as people with the right skills, appropriate qualifications and mindset, to operate efficiently and effectively and achieve intended outcomes within the specified periods. At ERW we must ensure that we have both the capacity to fulfil our own mandate and to make certain that there are policies in place to guarantee that management has the operational capacity for ERW as a whole. Because both individuals and the environment in which ERW operates will change over time, there will be a continuous need to develop our capacity as well as the skills and experience of individual staff members. Leadership is strengthened by the participation of people with many different types of backgrounds, reflecting the structure and diversity of communities.

Sub Principle: Developing the entity's capacity		
Requirement	Local Guidance	Sources of Assurance
Reviewing operations, performance and use of assets on a regular basis to ensure their continuing effectiveness.	<ul style="list-style-type: none"> • Transformation Programme • Performance Management • Annual Appraisal Process 	<ul style="list-style-type: none"> • Quarterly Performance Reports • Overview & Scrutiny Committees • Appraisals • Utilisation of research and benchmarking exercises • Partnership Overview & Scrutiny Committee • Partnership Appraisal
Improving resource use through appropriate application of techniques such as benchmarking and other options in order to determine how resources are allocated so that defined outcomes are achieved effectively and efficiently.		
Recognising the benefits of partnership and collaborative working where added value can be achieved.	<ul style="list-style-type: none"> • Partnership Cost Benefit Analysis Tool 	
Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources.	<ul style="list-style-type: none"> • Workforce Planning Strategy • Redeployment Panel 	

Sub Principle: Developing the capability of ERW's leadership and other individuals		
Requirement	Local Guidance	Sources of Assurance
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.		<ul style="list-style-type: none"> • Job descriptions • Register of delegated decisions • Minutes of Meetings (Executive Board & Joint Committee) • Members' induction and ongoing training and development programme • Mentoring and peer support programmes • Personal development plans for members and officers • Arrangements for succession planning. • Citizens' and residents' panels • Stakeholder forum terms of reference • Communication and engagement strategy 2013-2018 • Manager/Supervisor Performance Reviews • Employee Performance Reviews • Training and development plans • Human resource policies • Occupational Health
Publishing a statement that specifies the types of decision that are delegated and those reserved for the collative decision making of the governing body.	<ul style="list-style-type: none"> • Constitution • Financial Regulations and Standing Orders in Relation to Contracts 	
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.		

<p>Developing the capabilities of members and senior management to achieve effective leadership and to enable ERW to respond successfully to changing legal and policy demands as well as economic, political and environmental changes and risks by:</p> <ul style="list-style-type: none"> • ensuring members and staff have access to appropriate induction tailored to their role and that ongoing training and development matching individual and organisational requirements is available and encouraged. • ensuring members and officers have the appropriate skills, knowledge, resources and support to fulfil their roles and responsibilities and ensuring that they are able to update their knowledge on a continuing basis. • Ensuring personal, organisational and system-wide development through shared learning, including lessons learnt from governance weaknesses both internal and external. 	<ul style="list-style-type: none"> • Corporate Induction • Member Induction • Committee Training Programmes • Employee Management Standard • Learning & Development Programme • Job Descriptions & Recruitment • Statutory notices • Training & Development Funding • Best Practice Guidance • Workforce Planning Strategy 	
<p>Ensuring that there are structures in place to encourage public participation.</p>		
<p>Taking steps to consider the</p>	<ul style="list-style-type: none"> • Manager/Supervisor Standard 	

<p>leaderships own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections.</p>			
<p>Holding staff to account through regular performance reviews, which take account of training and development needs.</p>	<ul style="list-style-type: none"> • Manager/Supervisor and Employee Standards 		
<p>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.</p>	<ul style="list-style-type: none"> • HR Policies and Procedures 		

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

At ERW we need to ensure that the organisations and governance structures that we oversee have implemented and can sustain, an effective performance management system that facilitates effective and efficient delivery of planned services.

Risk management and internal control are important and integral parts of performance management system and are crucial to the achievement of outcomes. Risk should be considered and addressed as part of all decision making activities.

A strong system of financial management is essential for the implementation of policies and the achievement of intended outcomes, as it will enforce financial discipline, strategic allocation of resources, efficient service delivery and accountability.

It is also essential that a culture and structure for scrutiny are in place as a key part of accountable decision making, policy making and review. A positive working culture that accepts, promotes and encourages constructive challenge is critical to successful scrutiny and successful service delivery.

Importantly, this culture does not happen automatically, it requires repeated public commitment from those in authority.

Sub Principle: Managing risk		
Requirement	Local Guidance	Sources of Assurance
Recognising that risk management is an integral part of all activities and must be considered in all aspects of decision making.	<ul style="list-style-type: none"> • Business Risk Management Strategy 2015-17 	<ul style="list-style-type: none"> • Risk Registers • Business Continuity plans
Implementing robust and integrated risk management arrangements and ensuring that they are working effectively.	<ul style="list-style-type: none"> • Business Continuity • Business Impact Analysis • Business Risk Management Strategy 2015-17 	
Ensuring that responsibilities for managing individual risks are clearly allocated.	<ul style="list-style-type: none"> • Business Continuity • Business Impact Analysis • Business Risk Management Strategy 2015-17 	

Sub Principle: Managing performance		
Requirement	Local Guidance	Sources of Assurance
Monitoring service delivery effectively including planning, specification, execution and independent post implementation review.	<ul style="list-style-type: none"> • Service Improvement Plans • Transformation Programme • Performance Management 	<ul style="list-style-type: none"> • Performance Indicators • Cost performance plans • Audit Plans • Publication of agendas and minutes of meetings • Agreement on the information that will be needed and timescales • Discussion between members and officers on the information needs of members to support decision-making. • Scrutiny Committee's Terms of Reference • Agenda and minutes of scrutiny meetings • Evidence as a result of scrutiny • Training for members
Making decisions based on relevant, clear objective analysis and advice pointing out the implications and risks inherent in ERW's financial, social and environmental position and outlook.	<ul style="list-style-type: none"> • Report Templates for CMT/Cabinet/Committees and Council • Forward Work Plans 	
Ensuring an effective scrutiny or oversight function is in place, which provides constructive challenge and debate on policies and objectives before, during and	<ul style="list-style-type: none"> • Scrutiny Committee Framework 	

<p>after decisions are made thereby enhancing ERW's performance and that of any organisation for which it is responsible.</p> <p>(Or for a committee system) 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"> • Balanced membership • Public service boards are subject to effective scrutiny. • Agendas • CMT/Committee reports • Budget Report • Integrated Reports
<p>Providing members and senior management with regular reports on service delivery plans and on progress towards outcome achievement.</p>	<ul style="list-style-type: none"> • Forward Work Programmes 	
<p>Ensuring there is consistency between specification stages (such as budgets) and post implementation reporting (e.g. financial statements).</p>	<ul style="list-style-type: none"> • Financial Control Procedures • Financial Regulations 	

Sub Principle: Robust internal control		
Requirement	Local Guidance	Sources of Assurance
Aligning the risk management strategy and policies on internal control with achieving objectives.	<ul style="list-style-type: none"> • Business Risk Management Strategy 2015-17 • Internal Audit Charter and Communication Protocol 	<ul style="list-style-type: none"> • Risk registers • Audit plan • Audit reports • Corporate Risk Management Group • Integrated Reports to Cabinet, Overview & Scrutiny and the Audit Committee • Fraud Risk Register • Counter Fraud Work Plan • Annual Report on Counter Fraud and Investigations • Annual Governance Statement 2015-16 • Head of Internal Audit Annual Assurance Statement • Audit committee Terms of Reference • Balanced membership • Audit Committee Resolutions and Minutes • Audit Committee Self-Assessment and Annual Report of Effectiveness
Evaluating and monitoring risk management and internal control on a regular basis.	<ul style="list-style-type: none"> • Business Risk Management Strategy 2015-17 • Internal Audit Charter and Communications Protocol 	
Ensuring effective counter fraud and anti-corruption arrangements are in place.	<ul style="list-style-type: none"> • Counter Fraud, Corruption and Bribery Strategy 2015-17 • Whistleblowing Policy • Anti -Money Laundering Policy 	
Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor.	<ul style="list-style-type: none"> • Business Risk Management Strategy 2015-17 • Internal Audit Charter and Communication Protocol 	
Ensuring the Audit Committee: <ul style="list-style-type: none"> • Provides a further source of effectiveness assurance regarding arrangements for managing risk and maintaining an effective control environment. • That its recommendations are listened to and acted upon. 	<ul style="list-style-type: none"> • Audit Committee • Internal Audit Recommendation Monitoring and Escalation Protocol 	

Sub Principle: Managing data		
Requirement	Local Guidance	Sources of Assurance
Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data.	<ul style="list-style-type: none"> • Data Protection Policy • Freedom of Information Policy • Information Governance Policy 	<ul style="list-style-type: none"> • Data management framework and procedures • Data Protection Officers • Data Protection Policies and Procedures • Data sharing agreement • Data sharing register • Data processing agreements • Data quality procedures and reports • Data validation procedures • Internal Audit Reports
Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies.	<ul style="list-style-type: none"> • IT Security and Internet Policy 	
Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring.	<ul style="list-style-type: none"> • IT Security and Internet Policy 	

Sub Principle: Strong public financial management		
Requirement	Local Guidance	Sources of Assurance
Ensuring financial management supports both long term achievement of outcomes and short-term financial and operational performance.	<ul style="list-style-type: none"> • Financial Control Procedures • Financial Regulations • Medium Term Financial Plan • Transformation Programme 	<ul style="list-style-type: none"> • Integrated Reports • Annual Outturn Report • Budget monitoring reports • Integrated reports
Ensuring well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls.	<ul style="list-style-type: none"> • Financial Control Procedures • Financial Regulations 	

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

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 ERW plans and carries out its activities in a transparent manner.

Both external and internal audit contribute to effective accountability.

Sub Principle: Implementing good practice in transparency		
Requirement	Local Guidance	Sources of Assurance
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.	<ul style="list-style-type: none"> • Council/Committee Meetings 	<ul style="list-style-type: none"> • Website • Council meetings are webcast • Councillors annual reports • Annual report
Striking a balance between providing the right amount of information to satisfy transparency demands and enhance public scrutiny while not being too onerous to provide and for users to understand.	<ul style="list-style-type: none"> • Council/Committee Meetings 	

Sub Principle: Implementing good practice in reporting		
Requirement	Local Guidance	Sources of Assurance
Reporting at least annually on performance, value for money and stewardship of resources to stakeholders in a timely and understandable way.	<ul style="list-style-type: none"> • Constitution 	<ul style="list-style-type: none"> • Annual Statement of Accounts • Annual Governance Statement • Audit Committee Monitoring • Audit Committee and Council approval • Internal Audit Review • Senior Management and Statutory Officer Annual Governance Self-Assessment Statements • Annual Governance Statement • Partnership Agreements • Annual Governance Statement • Integrated Reports
Ensuring members and senior management own the results reported.	<ul style="list-style-type: none"> • Constitution 	
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.		

Ensuring that this Framework is applied to jointly managed or shared service organisations as appropriate.	<ul style="list-style-type: none"> • Partnership Procedure 	
Ensuring the performance information that accompanies the financial statements is prepared on a consistent and timely basis and the statements allow for comparison with other, similar organisations.	<ul style="list-style-type: none"> • Financial Control Procedures • Financial Regulations 	

Sub Principle: Assurance and effective accountability		
Requirement	Local Guidance	Sources of Assurance
Ensuring that recommendations for corrective action made by external audit are acted upon.	<ul style="list-style-type: none"> • Internal Audit Recommendation Monitoring and Escalation Protocol 	<ul style="list-style-type: none"> • Reports to the Audit Committee • Audit Committee Agenda's and Minutes • Integrated Reports to Cabinet and Overview & Scrutiny Committee's • Self-assessment of Conformance with the Public Sector Internal Audit Standards • Head of Internal Audit Annual Assurance Statement • Reporting to CMT and the Audit Committee • Senior Management and Statutory Officers Annual Governance Self-Assessment Statements • Annual Governance Statements • Public service boards' terms of reference and wellbeing plans • Partnerships Overview & Scrutiny Committee • Partnership Agreements and Risk Registers
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.	<ul style="list-style-type: none"> • Internal Audit Charter and Communication Protocol • Internal Audit Recommendation Monitoring and Escalation Protocol 	
Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations.	<ul style="list-style-type: none"> • Internal Audit Recommendation Monitoring and Escalation Protocol 	
Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement.	<ul style="list-style-type: none"> • Contracts • Partnership Procedure 	
Ensuring that when working in partnership, arrangements for accountability have been recognised and met.	<ul style="list-style-type: none"> • Partnership Procedure 	

Application & Monitoring

In order to demonstrate the spirit and ethos of good governance, the shared values of ERW must be reflected in the behaviour of Officers and Members, as well as Policy, in order to integrate into the Culture.

As part of the review of the Annual Governance Process, an independent assessment of Compliance with this Regional Code of Corporate Governance will be undertaken by the Internal Audit Service. This will also rely on work undertaken in year by both Internal Audit, Wales Audit Office and other Regulatory Bodies.

Directors and Statutory Officers will be required to complete a self-assessment of the application of the Regional Code of Corporate Governance within their area of responsibility.

The outcome of these assessments, along with the Head of Internal Audit Annual Assurance Statement will inform the Annual Governance Statement. Any areas that require further improvement will be considered for inclusion as a Significant Governance Issue or a Priority for Improvement.

The Regional Code of Corporate Governance will be subject to annual review and update to reflect changes to working practices and policies.