CODE OF CORPORATE GOVERNANCE

Purpose:

To act as a framework from which officers can determine levels of assurance for Internal Audit moving forward

RECOMMENDATIONS / KEY DECISIONS REQUIRED:

Joint Committee approve updated Code of Corporate Governance for ERW.

REASONS:

Internal Audit Processes, and best practice

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EXECUTIVE SUMMARY

ERW JOINT COMMITTEE

16TH JULY 2018

CODE OF CORPORATE GOVERNANCE

BRIEF SUMMARY OF PURPOSE OF REPORT

ERW's current Code of Corporate Governance was agreed by Joint Committee in May 2015. Following changes in regulations in 2017, and advice from Pembrokeshire County Council's Head of Internal Audit, a revised code was drafted for ERW.

The Code of Corporate Governance is a document that details the systems of compliance that ERW-employed staff must work within. The Joint Committee should note that it is only applicable to centrally employed staff, and that Local Authority employees will follow their own Local Codes of Corporate Governance. This amendment was made following the Joint Committee recommendation on 1.12.17.

The Code of Corporate Governance forms the basis of the Annual Governance Statement from Internal Audit, as officers and Members are asked to provide assurance levels against the different aspects of the Code of Corporate Governance. Due to the time delay between meetings the code has not been formally approved following the changes i.e. to add hyperlinks from each LA to cover locally employed staff.

DETAILED REPORT ATTACHED?	YES

IMPLICATIONS

Policy, Crime & Disorder and Equalities	Legal	Finance	Risk Management Issues	Staffing Implications
NONE	**NONE**	**NONE**	**YES**	**NONE**

1. Risk Management
   Internal Audit's Assurance level indicates governance risks within ERW

CONSULTATIONS

Details of any consultations undertaken are to be included here
N/A

Section 100D Local Government Act, 1972 – Access to Information

List of Background Papers used in the preparation of this report:

THERE ARE NONE

Code of Corporate Governance
ERW Central Team

ERW
Ein Rhanbarth ar Waith
Education through Regional Working

October 2017

ERW's 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.

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 and members behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of ERW.	- Induction for ERW staff and members of Joint Committee and Joint Scrutiny - Monitoring Officer and Section 151 Officer Guidance - Equal Opportunities Policy - ERW Values and Aims	- Performance appraisals - 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 - Register of gifts and hospitality
Ensuring Officers take the lead in establishing 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).	- Legal Agreement - Code of Corporate Governance - ERW Values and Aims - Code of Conduct - Equal Opportunities Policy	
Demonstrating, communicating and embedding the values through appropriate policies and processes, which are reviewed on a regular basis to ensure that they are operating effectively.	- HR Policies - Legal Agreement - Code of Corporate Governance - ERW Values and Aims - Code of Conduct - Equal Opportunities Policy	

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.	- Complaints Policy - Code of Conduct - Equal Opportunities Policy	- Scrutiny work plan and minutes - Scrutiny function - Monitoring Officer Role - Complaints & Compliments - Performance Appraisals for Central Team - Internal and External Assurance Provider Reviews - Partnership Agreements / SLAs - Self-Evaluation
Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of ERW's culture and operation.	- Job descriptions - Induction Arrangements - Independent Statutory Officers - Equal Opportunities Policy	
Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values.	- Monitoring Officer Advice and Guidance - Equal Opportunities Policy - Welsh Language 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.	- Contracts - Procurement and Tendering Specification and Evaluation. Authorisation Forms for Decision Required - SLAs - Training and development, guidance and feedback to LA employed staff working for ERW.	

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.	- Statutory Provisions - Monitoring Officer advice and guidance - Code of Conduct - Equal Opportunities Policy	- Statutory guidance is followed - Monitoring & Appraisals - Feedback - Internal and External Audit Reports
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.	- Job descriptions - Joint Committee support	
Striving to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders. Ensuring corruption and misuse of power are dealt with effectively.	- Advice and guidance from Legal Services - Monitoring Officer	

Core Principle B: Ensuring openness and comprehensive stakeholder engagement.

ERW is run for the public good and should ensure openness in our 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.	• Local/National Guidance • Joint Plan for Regional Working (ERW, GWE, EAS, CSC) • Grant conditions • LA Annex	• Scrutiny Work Plan • Legal Agreement • Joint Plan • Grant Conditions • EIG Outcomes Framework
Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively. Ensuring that partnerships are based on: • 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.	• Local/National Guidance • Joint Plan for Regional Working • Grant conditions	

Sub Principle: Openness		
Requirement	**Local Guidance**	**Sources of Assurance**

Ensuring an open culture through demonstrating, documenting and communicating ERW's commitment to openness.	• Joint Committee Meetings • Executive Board Meetings	• Website • Public Notices • Scheme of Delegation • Decision Log from Executive Board / Directors • Publication of Joint Committee and Executive Board Reports • Annual calendar of events and meetings • Annual financial calendar of deadlines and guidance on compliance • Annual Headteacher Survey
Making decisions that are open about actions, plans, resource use, forecasts, outputs and outcomes. The presumption is for openness. If that is not the case, a justification for the reasoning for keeping a decision confidential should be provided. Providing clear reasoning and evidence for decisions in both public records and explanations to stakeholders and being explicit about the criteria, rationale and considerations used. In due course, ensuring that the impact and consequences of those decisions are clear.	Monitoring Officer Advice • Committee Services Report Templates for ERW Joint Committee and Executive Board • Monitoring Officer Advice • Risk Register	
Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/courses of action.	• Complaints Policy • Feedback from Headteacher Board • Executive Board Function • Self-Evaluation • Role of Research and Evaluation Officer	

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.	- Values and Aims - Annual Business Plan - ERW Strategy - Legal Agreement	- Annual Improvement Cycle - Risk Registers and arrangements
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.	Communication Strategy	
Identifying and managing risks to the achievement of outcomes.	Risk Register	
Delivering defined outcomes on a sustainable basis within the resources that will be available. Managing service users' expectations effectively with regard to determining priorities and making the best use of the resources available.	Financial Plan	

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.	- Legislative requirements - National Model for Regional Working - Grant Conditions	- Record of decision making and supporting materials - Complaints and Compliments - Service Feedback - Risk Register - ERW Strategy and Business Plan
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.	- Business Plan - ERW Strategy - Grant Conditions - Legal Agreement	
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.	- HT survey and feedback - On-going engagement with ERW HT Board - Hub QA	
Ensuring fair access to services.	- Equal Opportunities Policy - Welsh Language Policy - Staff Induction	

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.	- Decision making protocols - Forward work plans	- Agenda reports and minutes of meetings - Data capture of support to schools (Rhwyd) - Support log analysis - Decision log from Executive Board
Considering feedback from 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 and bearing in mind future impacts.	- HT Conferences - Annual Headteacher Survey - Newsletter feedback and information from survey and questionnaires after 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.	• Joint Scrutiny meeting schedule • Risk Register • Business Plan	• Minutes of meetings • Joint Committee and Executive Board meetings • Improvement Planning Schedule • Service/Project Plans • Reports to Committees • Partnership Agreements • Risk Register • Business Plan • Planning protocols • Service Improvement Plans • Quarterly performance report • 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.	• Internal Audit Work Programme	
Considering and monitoring risks facing each partner when working collaboratively, including shared risks.	• Risk Register	
Ensuring arrangements are flexible and agile so that the mechanisms for delivering goods and services can be adapted to changing circumstances.	• Service Improvement Plans	
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.	• Service Improvement Plans • Project Plans	
Ensuring capacity exists to generate the information required to review service quality regularly.	• Service Improvement Plans and Performance Monitoring • Operational Meetings	
Preparing budgets in accordance with objectives, strategies and the medium term financial plan.	• Financial Regulations	
Informing medium and long-term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed to developing a sustainable funding strategy.	• Financial Regulations	

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.	• Service Planning Process	• Ongoing review of the Medium Term Financial Plan • Annual Budget Setting Process • Annual Budget Report • Committee 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.	• Service Planning Process	
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.	• Financial Regulations	
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.	• Performance Management • Appraisal Process	• Scrutiny Committees • Appraisals • Utilisation of research and benchmarking exercises
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.	• Scrutiny Committee	
Recognising the benefits of partnership and collaborative working where added value can be achieved.	• Joint Plan for Regional Working	

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.	- Legal Agreement - ERW Values and Aims - Induction of Members of Joint Committee and Joint Scrutiny	Job descriptions - Register of delegated decisions - Minutes of Meetings (Executive Board & Joint Committee) - Induction and ongoing training and development programme - Arrangements for succession planning. - Communication strategy - Manager Performance Reviews - Employee Performance Reviews - Training and development plans - HR policies - Challenge and Review Records - Estyn Reports
Publishing a statement that specifies the types of decision that are delegated and those reserved for the collative decision making of the governing body.	- Legal Agreement - Scheme of Delegation - Financial Regulations	
Ensuring the Chair of Joint Committee and Lead Chief Executive/Managing Director 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.	- Legal Agreement - ERW Values and Aims	

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: • 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.	• Induction • Learning & Development Programme • Job Descriptions & Recruitment • Best Practice Guidance		
Taking steps to consider the leaderships own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections.	• Performance Management • Estyn Inspection • Link HMI visits • Challenge and Review		
Holding staff to account through regular performance reviews, which take account of training and development needs.	• Performance Appraisals		
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.	• 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.	• Risk Register	• Risk Registers • Business Plans
Implementing robust and integrated risk management arrangements and ensuring that they are working effectively.	• Risk Register • Business Plan	
Ensuring that responsibilities for managing individual risks are clearly allocated.	• Risk Register • Business Plan	

Sub Principle: Managing performance		
Requirement	**Local Guidance**	**Sources of Assurance**
Monitoring service delivery effectively including planning, specification, execution and independent post implementation review.	• Service Improvement Plans • Performance Management	• Audit Plans • Publication of Joint Committee and Executive Board documentation 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 • Committee reports • Budget Reports
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.	• Report Templates for Committees • 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 after decisions are made thereby enhancing ERW's performance and that of any organisation for which it is responsible.	• Joint Scrutiny Committee	
Providing members and senior management with regular reports on service delivery plans and on progress towards outcome achievement.	• Joint Scrutiny Committee	
Ensuring there is consistency between specification stages (such as budgets) and post implementation reporting (e.g. financial statements).	• 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.	• Risk Register	• Risk registers • Audit plan • Audit reports • Reports to Scrutiny Committee • Annual Governance Statement 2015-16 • Head of Internal Audit Annual Assurance Statement
Evaluating and monitoring risk management and internal control on a regular basis.	• Risk Register	
Ensuring effective counter fraud and anti-corruption arrangements are in place.	• Whistleblowing 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.	• Business Plan • Internal Audit Reports	

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.	• Data Protection Policy • Freedom of Information Policy	• Data Protection Policy and Procedures • Data sharing agreement • Data sharing register • Data processing agreements • Data quality procedures and reports • Internal Audit Reports
Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies.	• IT Security and Internet Policy	
Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring.	• 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.	• Financial Regulations	• Annual Outturn Report • Budget monitoring reports
Ensuring well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls.	• 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.	- Joint Committee Meetings - Executive Board Meetings - Headteacher Board - Discussions with Headteacher Associations - Trade Union Stakeholder Meetings	- Website - Joint Committee and Executive Board Meetings - Joint Scrutiny Meetings - Communication Plan - Headteacher Board - Discussions with Headteacher Associations - Trade Union Stakeholder meetings
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.	- Joint Committee Meetings - Joint Scrutiny	

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.	• Legal Agreement • ISO260	• Annual Statement of Accounts • Annual Governance Statement • Internal Audit Review • Annual Governance Statement • Partnership Agreements
Ensuring members and senior management own the results reported.	• Legal Agreement	
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.	• Joint Regional Plan	
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.	• 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.	• Internal Audit Reports	• Scrutiny Committees • Head of Internal Audit Annual Assurance Statement • Annual Governance Statements • 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.	• Internal Audit Reports	
Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations.	• Internal Audit Reports	
Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement.	• Risk Register	
Ensuring that when working in partnership, arrangements for accountability have been recognised and met.	• Joint Working Plan	

Draft Pending Joint Committee Approval

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.

Well-being of Future Generations (Wales) Act 2015 and the International Framework
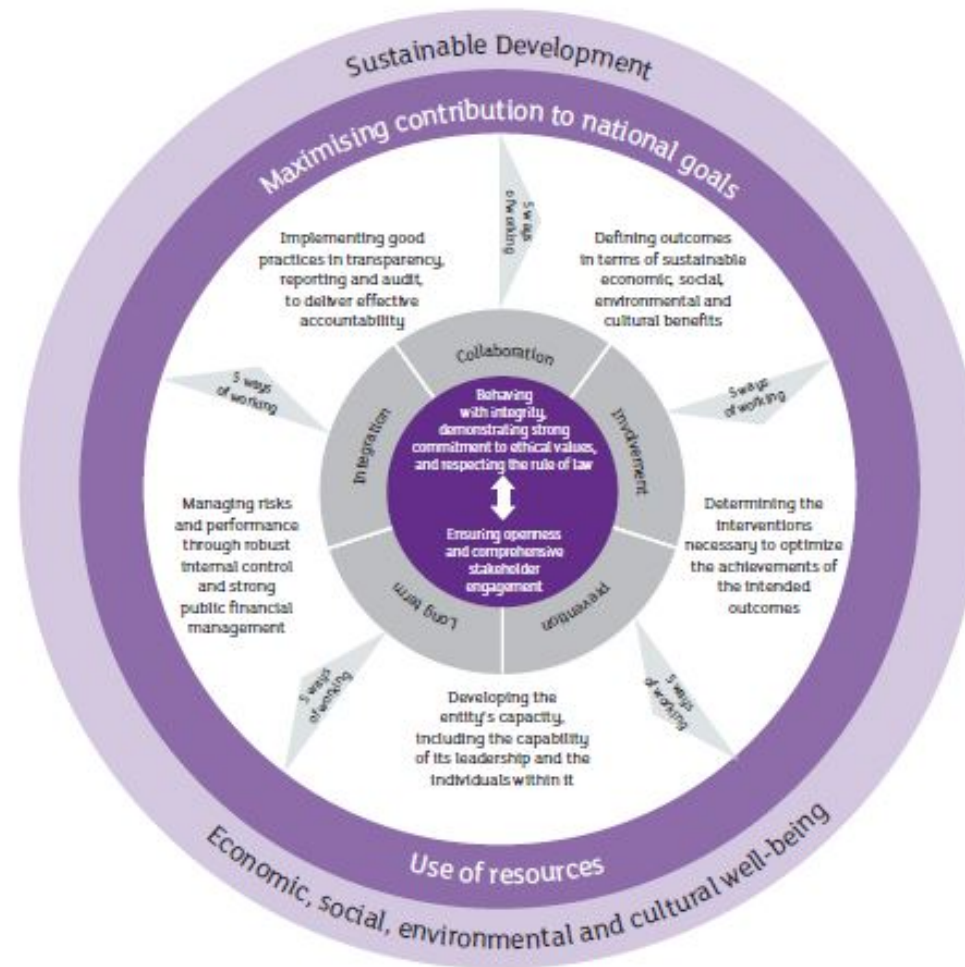
Hyperlinks to Local Authority Codes of Corporate Governance
(which apply to LA employed staff)

Carmarthenshire

http://democracy.carmarthenshire.gov.wales/documents/s17560/APPENDIX%202.pdf

Ceredigion

https://www.ceredigion.gov.uk/media/3807/4-appendix-3-2017-18-local-code-of-corporate-governance-final.pdf

Neath Port Talbot

https://www.npt.gov.uk/media/9194/npt-council-statement-of-accounts-1718-draft.pdf

Pembrokeshire

https://www.pembrokeshirecoast.wales/default.asp?PID=437

Powys

http://www.powys.gov.uk/en/democracy/find-out-about-the-council-constitution-and-corporate-governance/

Swansea

https://democracy.swansea.gov.uk/documents/s36814/Code%20of%20Corporate%20Governance%20Council%2024.08.17%20FINALv2.pdf?LLL=0

**ERW JOINT COMMITTEE
AGENDA ITEM NO 6.6
16.7.18**

Supporting / Additional information from ERW Executive Board **Supporting documents from all Authorities were amended following request.**
Supporting / Additional Information from ERW Advisory Board **The supporting documents from Local Authorities were changed to hyperlinks.**