CODE OF CORPORATE GOVERNANCE

Lead Directorate/Service	Directorate of Corporate Resources Finance
Effective date:	November 2010
Date reviewed	September 2010
Date due for review	June 2011
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Approved by	Audit Committee 30 September 2010 Cabinet 30 November 2010

1. Introduction

1.1 East Riding of Yorkshire Council is committed to the highest standards of governance. Governance is about how the Council ensures that it is doing the right things, in the right way, for the right people, in a timely, inclusive, open, honest and accountable manner. It comprises the systems, processes, cultures and values, by which the Council is directed and controlled and through which it accounts to, engages with and, where appropriate, leads the local community.

1.2 The Council is responsible for ensuring that its business is conducted in accordance with the law and proper standards and that public money is safeguarded, properly accounted for and used economically, efficiently and effectively. In discharging this responsibility members and employees are responsible for putting in place proper arrangements for the governance of the Council's affairs and the stewardship of the resources available.

1.3 The code of corporate governance (from this point referred to as 'the code') sets out the Council's arrangements for ensuring good governance. It is based upon, and consistent with, the best practice guidance issued by the Chartered Institute of Public Finance and Accountancy (CIPFA) and the Society of Local Authority Chief Executives (SOLACE). All members, employees and (where appropriate) partners of the Council must comply with the arrangements set out in this code.

1.4 The code is based on the governance framework, which is summarised in Appendix A and explained in section 2. This governance framework is based on six core principles, each of which has a number of supporting principles. For each supporting principle, there is an explanation of how the Council complies with that principle. The core and supporting principles are taken from the CIPFA/SOLACE framework.

1.5 It also contains an assurance framework, which demonstrates that the authority is complying with its governance framework and thus fulfilling its purpose, achieving its intended outcomes and operating in an economical, effective, efficient and ethical manner. This assurance framework is summarised in Appendix B and explained in section 3. Section 4 and Appendix C show how the assurance framework supports the governance framework.

1.6 The Council's arrangements for monitoring and reviewing the Code, to ensure that it continues to be effective in promoting good governance, and for communicating the Code to members, employees and other stakeholders are set out in section 5.

2. Governance Framework

The governance framework is based on six core principles, each of which has a number of supporting principles. For each supporting principle, there is an explanation of how the Council complies with that principle.

First Core Principle

2.1 Focusing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area

Supporting Principles

2.1.1 Exercising strategic leadership by developing and clearly communicating the authority's purpose, vision and its intended outcomes for citizens and service users

The Council complies with this principle by:

- Promoting and developing its purpose and vision.
- Together with the Local Strategic Partnership (LSP), reviewing on a regular basis the authority's vision for the local area, its implications for the authority's governance arrangements and the priorities in the Sustainable Community Plan.
- Ensuring that partnerships are underpinned by partnership agreements setting out a common vision of their work that is understood and agreed by all partners.
- Publishing a Summary Annual Report on a timely basis to communicate the authority's activities and achievements, its financial position and performance.

2.1.2 Ensuring that users receive a high quality of services whether directly, in partnership or by commissioning

The Council complies with this principle by:

- Measuring the quality of service for users and making sure that the information needed to review service quality effectively and regularly is available.
- Identifying and dealing with failure in service delivery.

2.1.3 Ensuring that the authority makes best use of resources and that tax payers and service users receive excellent value for money

The Council complies with this principle by:

- Measuring value for money and making sure that the authority or partnership has the information needed to review value for money and performance effectively.
- Ensuring that timely, accurate and impartial financial advice and information is provided to assist in decision making and to ensure that the authority meets its policy and service objectives and provides effective stewardship of public money and value for money in its use.
- Ensuring that the authority maintains a prudential financial framework; keeps its commitments in balance with available resources; monitors income and expenditure levels to ensure that this balance is maintained and takes corrective action when necessary.
- Ensuring compliance with CIPFA's *Code on a Prudential Framework for Local Authority Capital Finance* and CIPFA's *Treasury Management Code.*

Second Core Principle

2.2 Members and officers working together to achieve a common purpose with clearly defined functions and roles

Supporting Principles

2.2.1 Ensuring effective leadership throughout the authority, being clear about executive and non-executive functions and of the roles and responsibilities of the scrutiny function.

The Council complies with this principle by:

- Setting out within the Constitution a clear statement of the respective roles and responsibilities of the executive and of the executive's members individually and the authority's approach towards putting this into practice.
- Setting out a clear statement of the respective roles and responsibilities of other authority members, members generally and of senior officers.
- Observing the protocol for member and officer relationships, which guides members and officers of the Council in their relations with one another, to ensure the smooth running of the Council
- Ensuring that the Chief Financial Officer (CFO) is a member of the Corporate Management Team.

2.2.2 Ensuring that a constructive working relationship exists between authority members and officers and that the responsibilities of members and officers are carried out to a high standard.

The Council complies with this principle by:

- Determining a scheme of delegation and reserve powers within the constitution, including a formal schedule of those matters specifically reserved for collective decision of the authority taking account of relevant legislation and ensure that it is monitored and updated when required
- Making the Chief Executive responsible and accountable to the authority for all aspects of operational management
- Making the CFO responsible to the authority for ensuring that appropriate advice is given on all financial matters, ensuring robust financial planning and financial management, that proper financial records and accounts are kept, for maintaining an effective system of internal financial control and that public money is safeguarded and used economically, efficiently and effectively.
- Appointing a professionally qualified CFO whose core responsibilities include those set out in the *Statement on the Role of the CFO in Local Government* and ensuring that they are properly understood throughout the authority
- Appointing a Monitoring Officer, who is responsible to the authority for ensuring that agreed procedures are followed and that all applicable statutes and regulations are complied with.

2.2.3 Ensuring relationships between the authority, its partners and the public are clear so that each knows what to expect of the other.

The Council complies with this principle by:

- Observing protocols to ensure effective communication between members and officers in their respective roles

- Setting out the terms and conditions for remuneration of members and officers and an effective structure for managing the process, including an effective members allowance panel
- Ensuring that effective mechanisms exist to monitor service delivery
- Ensuring that the organisation's vision, strategic plans, priorities and targets are developed through robust mechanisms, and in consultation with the local community and other key stakeholders, and that they are clearly articulated and disseminated
- Maintaining and developing a medium term business and financial planning process to deliver strategic objectives including: a medium term financial strategy to ensure sustainable finances; a robust annual budget process that ensures financial balance; and a monitoring process that enables this to be delivered
- Ensuring that financial plans are subject to regular review to confirm the continuing relevance of assumptions used
- Ensuring that signed agreements are in place for all significant partnerships
- Ensuring that members and officers are clear about their roles and responsibilities both individually and collectively in relation to the partnership and to the authority
- Ensuring that there is clarity about the legal status of significant partnerships
- When working in partnerships, ensuring that representatives of organisations both understand and make clear to all other partners the extent of their authority to bind their organisation to partner decisions

Third Core Principle

2.3. Promoting values for the authority and demonstrating the values of good governance though upholding high standards of conduct and behaviour

Supporting Principles

2.3.1 Ensuring authority members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance

The Council complies with this principle by:

- Ensuring that the authority's leadership sets a tone for the organisation by creating a climate of openness, support and respect
- Ensuring that standards of conduct and personal behaviour expected of members and staff, of work between members and staff and between the authority, its partners and the community are defined and communicated through codes of conduct and protocols
- Ensuring that members and employees of the authority are not influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders and monitors the arrangements in place to ensure that they continue to operate in practice
- Publishing an Annual Report of the Standards Committee to promote ethical governance which is presented to Council
- Ensuring information is available about the Code of Conduct and the work of the Standards Committee on the Council's website
- Ensuring the Standards Committee provides training on the Code of Conduct to both East Riding of Yorkshire and Town and Parish Councillors

2.3.2 Ensuring that organisational values are put into practice and are effective

The Council complies with this principle by:

- Maintaining and developing shared values, including leadership values, for both the organisation and staff reflecting public expectations, and communicating these with members, staff, the community and partners

- Ensuring that procedures and operations are designed in conformity with appropriate ethical standards, and monitor their continuing effectiveness in practice
- Ensuring that systems and processes for financial administration, financial control and protection of the authority's resources and assets are designed in conformity with appropriate ethical standards, and monitor their continuing effectiveness in practice
- Maintaining and developing an effective standards committee
- Using the organisation's shared values to act as a guide for decision making and as a basis for developing positive and trusting relationships within the authority
- Pursuing the vision of a partnership and agreeing a set of values against which decision making and actions can be judged.
- Demonstrating such values by partners' behaviour, both individually and collectively

Fourth Core Principle

2.4 Taking informed and transparent decisions which are subject to effective scrutiny and manage risk

Supporting Principles

2.4.1 Being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny

The Council complies with this principle by:

- Maintaining and developing an effective scrutiny function which encourages constructive challenge and enhances the authority's performance overall and that of any organisation for which it is responsible
- Ensuring that an effective internal audit function is resourced and maintained
- Maintaining and developing open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based
- Putting in place arrangements to safeguard members and employees against conflicts of interest and appropriate processes to ensure that they continue to operate in practice
- Maintaining and developing an effective Audit committee which is independent of the executive and scrutiny functions
- Ensuring that the authority's governance arrangements allow the CFO direct access to the Audit Committee and external audit
- Ensuring that effective, transparent and accessible arrangements are in place for dealing with complaints

2.4.2 Having good quality information, advice and support to ensure that services are delivered effectively and are what the community wants or needs

The Council complies with this principle by:

- Ensuring that those making decisions, whether for the authority or the partnership, are provided with information that is fit for the purpose – relevant, timely and gives clear explanations of technical and financial issues and their implications
- Ensuring the provision of clear, well presented, timely, complete and accurate information and reports to budget managers and senior officers on the budgetary and financial performance of the authority
- Ensuring that proper professional advice on matters that have legal or financial implications is available and recorded well in advance of decision making and used appropriately
- Ensuring that the authority's governance arrangements allow the CFO to bring influence to bear on all material decisions

- Ensuring that advice is provided on the levels of reserves and balances in line with good practice guidance
- Taking an active and planned approach to dialogue with and accountability to the public, to ensure effective and appropriate service delivery (see principle 2.6.2)

2.4.3 Ensuring that an effective risk management system is in place

The Council complies with this principle by:

- Ensuring that risk management is embedded into the culture of the authority, with members and managers at all levels recognising that risk management is part of their jobs and considering risks when making decisions
- Ensuring that the authority's arrangements for internal control and managing risk are addressed in annual governance reports
- Maintaining and developing effective systems for recording and monitoring risks, to inform management in fulfilling their duties
- Ensuring that the authority puts in place effective internal controls covering codified guidance, systems, supervision, management review and monitoring, physical safeguards, segregation of duties, accounting procedures, information systems and authorisation and approval processes
- Ensuring that effective arrangements for whistle-blowing are in place to which officers, staff and all those contracting with or appointed by the authority have access

2.4.4 Using the Council's legal powers to the full benefit of the citizens and communities in our area

- Actively recognising the limits of lawful activity placed on them by, for example, the *ultra vires* doctrine, but also strive to utilise their powers to the full benefit of their communities
- Recognising the limits of lawful action and observing all specific legislative requirements placed upon them, as well as the requirements of general law and the general responsibilities placed on authorities by public law
- Integrating the key principles of good administrative law - rationality, legality and natural justice – into their procedures and decision making processes

Fifth Core Principle

2.5 Developing the capacity and capability of members and officers to be effective

Supporting Principles

2.5.1 Making sure that members and officers have the skills, knowledge, experience and resources they need to perform well in their roles

The Council complies with this principle by:

- Providing appropriate and effective learning opportunities to meet the individual and collective development needs of elected Members
- Providing induction programmes tailored to the individual needs of newly elected members and newly appointed officers, helping them to settle in to new roles as quickly as possible
- Providing opportunities for members and officers to update their knowledge on a regular basis
- Ensuring that the statutory officers (the Head of Paid Service, the CFO and the Monitoring Officer) have the skills, resources and support necessary to perform effectively in their roles and that these roles are properly understood throughout the authority

2.5.2 Developing the capability of people with governance responsibilities and evaluating their performance, as individuals and as a group

The Council complies with this principle by:

- Assessing the skills required by members and officers and make a commitment to develop those skills to enable roles to be carried out effectively
- Embedding competencies (including financial competencies) in person specifications and appraisals
- Ensuring that members' roles and responsibilities for monitoring financial performance/ budget management are clear, that they have adequate access to financial skills and are provided with appropriate financial training on an ongoing basis to help them discharge their responsibilities
- Developing skills on a continuing basis to improve performance, including the ability to scrutinise and challenge, and to recognise when outside expert advice is needed
- Ensuring that all members are offered the opportunity to take part in an Individual Development Review, to consider their development needs and agree an Individual Development Plan to address them
- Regularly reviewing the effectiveness of the Audit Committee

2.5.3 Encouraging new talent within the authority, so that best use can be made of individuals' skills and resources in balancing continuity and renewal

The Council complies with this principle by:

- Ensuring that effective arrangements are in place to encourage individuals from all sections of the community to engage with, contribute to and participate in the work of the authority
- Providing information on its website on how to become a Councillor
- Seeking to recruit and retain a diverse workforce
- Ensuring that structures are in place for both members and officers to develop their knowledge, skills, and experience

Sixth Core Principle

2.6 Engaging with local people and other stakeholders to ensure robust public accountability

Supporting Principles

2.6.1 Exercising leadership through a robust scrutiny function, which effectively engages local people and all local institutional stakeholders, including partnerships, and develops constructive accountability relationships

The Council complies with this principle by:

- Making clear to members, staff, partners and the community, to whom we are accountable and for what
- Considering those institutional stakeholders to whom the authority is accountable and assessing the effectiveness of the relationships and any changes required
- Producing an annual report on the activity of the scrutiny function

2.6.2 Taking an active and planned approach to dialogue with and accountability to the public, to ensure effective and appropriate service delivery, whether directly by the authority, in partnership or by commissioning

The Council complies with this principle by:

- Ensuring clear channels of communication are in place with all sections of the community and other stakeholders, including monitoring arrangements to ensure that they operate effectively
- Holding meetings in public, unless there are good reasons for confidentiality
- Ensuring that arrangements are in place to enable the authority to engage with all sections of the community effectively
- Establishing a clear policy on the types of issues on which we will meaningfully consult on or engage with the public and service users, including a feedback mechanism for those consultees to demonstrate what has changed as a result
- Publishing a Business Plan and Medium Term Financial Strategy, setting out in broad terms how the Council will deliver and resource the corporate priorities that have been developed to reflect the needs and aspirations of local people
- Publishing the Annual Financial Statements (including the annual governance statement), Performance Report and Summary Annual Report, to provide information on the authority's financial standing outcomes, achievements and the satisfaction of service users
- Ensuring that the authority as a whole is open and accessible to the community, service users and its staff and ensuring that it has made a commitment to openness and transparency in all its dealings, including partnerships, subject only to the need to preserve confidentiality in those specific circumstances where it is proper and appropriate to do so

2.6.3 Making best use of human resources by taking an active and planned approach to meet responsibilities to staff

The Council complies with this principle by:

- Maintaining and developing a clear policy on how staff and their representatives are consulted and involved in decision making
- Measuring staff perceptions and engagement through an annual workforce survey

3. Assurance Framework

3.1 The Council has a comprehensive assurance framework, which demonstrates that the authority is:

- fulfilling its purpose;
- achieving its intended outcomes;
- operating in an economical, effective, efficient and ethical manner; and
- complying with its Code of Corporate Governance.

This assurance comes from five main sources. These are summarised in Appendix B and explained below.

3.2 The Council's corporate arrangements comprise:

- The constitution, which sets out how the Council operates, how decisions are made and the procedures which are followed to ensure that these are efficient, transparent and accountable to local people.
- Policies, which set out the Council's approach to specific issues.
- Guidance manuals, which supplement the Council's constitution, procedures and policies by spelling out in detail the standards and behaviour that are expected of its members and officers.
- Strategies and plans, which set out how the Council's policies will be implemented.

- Financial monitoring and reporting, which support the Council's accountability to its tax payers and residents for the stewardship and use of resources
- Performance monitoring and reporting, which assists the Council to deliver its statutory obligations and corporate priorities
- Risk management, which identifies the principal risks to the achievement of the Council's objectives and monitors the effectiveness of the controls which are in place to manage those risks.

3.3 Assurances from senior managers and partners that corporate arrangements are operating effectively in the areas for which they are accountable.

- Heads of Service each provide an annual assurance statement, showing how the corporate policies and plans have been applied in their service and identifying any areas for improvement in risk management and control. These assurance statements are countersigned by the relevant Directors.
- Separate assurance statements are provided by the Head of Finance in their role as the Chief Financial Officer and the Head of Legal and Democratic Services in their role as the Monitoring Officer.
- Other agencies provide assurance statements in relation to services which they deliver in partnership with the Council.

3.4 Internal Audit champion best practice in governance and provide an independent, objective and evidence based opinion on the adequacy of the Council's arrangements for governance, risk management and control. In reaching this opinion, the Audit & Technical Manager will assess the reliance that can be placed on the assurances provided by the internal auditors of key partners and other external sources.

3.5 Committees of the Council review and constructively challenge the decisions and actions of officers and the Cabinet.

- The Audit Committee provides independent assurance on the adequacy of internal control and governance arrangements within the Council, including the effectiveness of Internal Audit. It also reviews the Council's Annual Governance Statement and financial statements.
- The Standards Committee guides the Council on the promotion of high standards of conduct for Members.
- Overview and Scrutiny committees investigate issues affecting local residents and make recommendations to support the improvement of council services. They also have the power to 'call in' decisions made by the Cabinet.

3.6 Assurance from external bodies, who exercise a 'watchdog' role.

- External auditors (currently the Audit Commission) who give an independent opinion on the Council's financial statements and review the arrangements put in place by the Council to ensure the proper conduct of its financial affairs and to manage its performance and use of resources. The key issues arising from their work are summarised in an annual audit letter, which is addressed to the members of the Council, but also publicised to residents and other stakeholders.
- There are a number of external inspectorates, including the Care Quality Commission, which inspects health and social care, and Ofsted, which inspects the care of children and young people, as well as education and skills for learners of all ages
- The Local Government Ombudsman investigates complaints from people who have complained to the Council, but are still not satisfied.
- Many of the Council's key staff belong to professional bodies, continuing membership of which is dependent on adherence to a code of ethics and meeting their requirements for continuing professional development.

- The auditors of key service providers, such as Pension Fund investment managers, provide additional assurances on controls and procedures

4. How the Assurance Framework Supports the Governance Framework

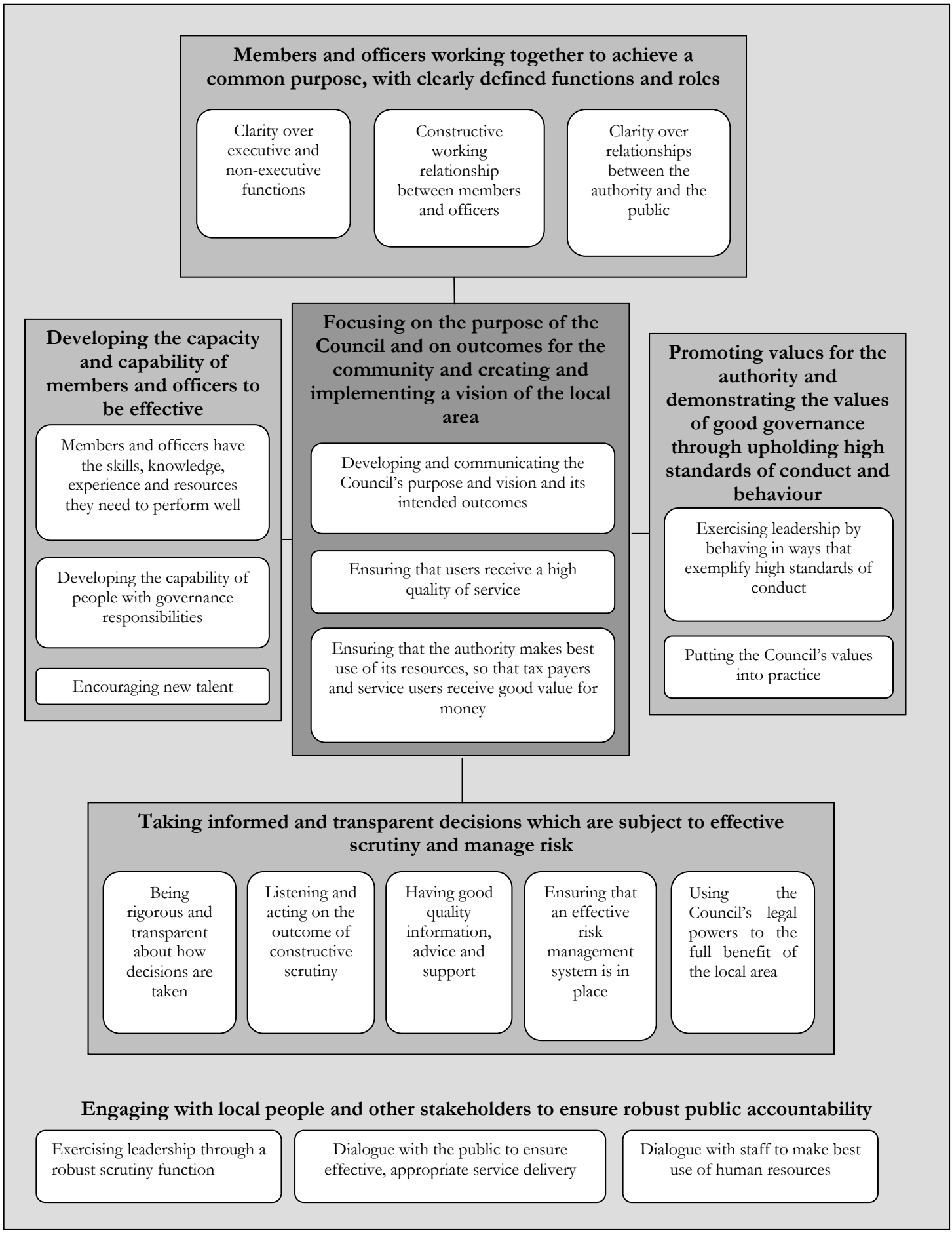
4.1 Appendix C shows how the assurance framework supports the governance framework, by mapping the key sources of assurance to the six core principles of good governance set out in Section 2 and Appendix A.

5. Monitoring and Review and Communication of the Code

5.1 The Corporate Management Team will monitor the effectiveness of this Code in delivering good governance within the Council. An annual review of compliance with the Code will be considered by the Audit Committee in June of each year, together with any recommendations for changes that may be required.

5.2 The Council will report annually on compliance with the Code through the Annual Governance Statement, which will be signed by the Leader and the Chief Executive and published with the Statement of Accounts.

5.3 The Code will be made available to members, employees, and other stakeholders through its publication on the Council's website and intranet. It will also be addressed in appropriate training sessions for both members and officers.


Members and officers working together to achieve a common purpose, with clearly defined functions and roles
Clarity over executive and non-executive functions
Constructive working relationship between members and officers
Clarity over relationships between the authority and the public
Developing the capacity and capability of members and officers to be effective
Members and officers have the skills, knowledge, experience and resources they need to perform well
Developing the capability of people with governance responsibilities
Encouraging new talent
Focusing on the purpose of the Council and on outcomes for the community and creating and implementing a vision of the local area
Developing and communicating the Council's purpose and vision and its intended outcomes
Ensuring that users receive a high quality of service
Ensuring that the authority makes best use of its resources, so that tax payers and service users receive good value for money
Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour
Exercising leadership by behaving in ways that exemplify high standards of conduct
Putting the Council's values into practice
Taking informed and transparent decisions which are subject to effective scrutiny and manage risk
Being rigorous and transparent about how decisions are taken
Listening and acting on the outcome of constructive scrutiny
Having good quality information, advice and support
Ensuring that an effective risk management system is in place
Using the Council's legal powers to the full benefit of the local area
Engaging with local people and other stakeholders to ensure robust public accountability
Exercising leadership through a robust scrutiny function
Dialogue with the public to ensure effective, appropriate service delivery
Dialogue with staff to make best use of human resources

ASSURANCE FRAMEWORK

Corporate Arrangements		
Constitution		
Policies		
Guidance Manuals		
Strategies & Plans		
Financial Monitoring & Reporting	Performance Monitoring & Reporting	Risk Management

Senior Managers & Partners		
Corporate Management Team	Directors	
Senior Management Team	Heads of Service	
Schools	LSP partners	arvato

Internal Audit
Opinion on governance, risk management and controls

Non-Executive Committees		
Audit Committee	Overview & Scrutiny	Standards Committee

External Bodies				
External Auditors	Inspectorates	Ombudsman	Professional bodies	Other external bodies

APPENDIX C

HOW THE ASSURANCE FRAMEWORK SUPPORTS THE GOVERNANCE FRAMEWORK

ASSURANCE FRAMEWORK	GOVERNANCE FRAMEWORK: CORE PRINCIPLES					
	1 PURPOSE & OUTCOMES	2 FUNCTIONS & ROLES	3 VALUES & BEHAVIOUR	4 DECISION MAKING	5 CAPACITY & CAPABILITY	6 ENGAGEMENT
LEVEL 1 - CORPORATE ARRANGEMENTS						
Constitution, incorporating: • Articles of the Constitution	✓	✓		✓	✓	✓
• Responsibility for Functions				✓	✓	
• Terms of Reference of Cabinet and Committees			✓	✓		
• Schemes of Delegation		✓			✓	
• Procedure Rules (financial / contracts / Access to Information etc)	✓	✓	✓	✓		✓
• Codes of Conduct – members and officers		✓	✓	✓		
• Member / officer protocols		✓	✓			
• Members' Allowance Scheme		✓				
• Management Structure					✓	
• Roles and responsibilities of Members and Officers					✓	✓
• Statutory provisions in relation to the Chief Executive				✓		
• Statutory provisions in relation to the Chief Financial Officer		✓		✓		

ASSURANCE FRAMEWORK	GOVERNANCE FRAMEWORK: CORE PRINCIPLES					
	1 PURPOSE & OUTCOMES	2 FUNCTIONS & ROLES	3 VALUES & BEHAVIOUR	4 DECISION MAKING	5 CAPACITY & CAPABILITY	6 ENGAGEMENT
LEVEL 1 - CORPORATE ARRANGEMENTS						
• Statutory provisions in relation to the Monitoring Officer				✓		
Policies:						
Treasury Management Policy	✓					
HR Policies including those related to training & development		✓	✓	✓	✓	
Counter Fraud and Corruption Policy			✓			
Whistleblowing Policy			✓	✓		
Benefit Fraud Sanctions Policy				✓		
Feedback Policy (and complaints procedure)	✓		✓	✓		
Environment Policy	✓					
Commissioning and Procurement Policy				✓		
Fees & Charges Policy				✓		
Corporate Governance & Voting Policy						✓
Records Management Policy				✓		

ASSURANCE FRAMEWORK	GOVERNANCE FRAMEWORK: CORE PRINCIPLES					
	1 PURPOSE & OUTCOMES	2 FUNCTIONS & ROLES	3 VALUES & BEHAVIOUR	4 DECISION MAKING	5 CAPACITY & CAPABILITY	6 ENGAGEMENT
LEVEL 1 - CORPORATE ARRANGEMENTS						
IT Security Policy				✓		
Fees & Charges Policy				✓		✓
Equality Policy			✓		✓	✓
Data Quality Policy				✓		
Guidance and Manuals:						
Commissioning and Procurement Manual of Guidance				✓		
Finance Manual of Guidance	✓	✓		✓		
HR related guidance available to managers, eg Induction Guidance					✓	
ERYC Competency Framework					✓	
Partnership Manual and Agreements	✓	✓	✓			✓
Strategies & Plans:						
Sustainable Community Plan	✓	✓	✓			✓
Local Area Agreement	✓	✓	✓			

ASSURANCE FRAMEWORK	GOVERNANCE FRAMEWORK: CORE PRINCIPLES					
	1 PURPOSE & OUTCOMES	2 FUNCTIONS & ROLES	3 VALUES & BEHAVIOUR	4 DECISION MAKING	5 CAPACITY & CAPABILITY	6 ENGAGEMENT
LEVEL 1 - CORPORATE ARRANGEMENTS						
Council Business Plan, incorporating the Medium Term Financial Strategy	✓	✓	✓			✓
Capital Investment and Asset Management Strategy	✓					
Service Plans	✓		✓			
Budget Consultations		✓			✓	✓
Council Budget and budget setting, including Resource Allocation Papers	✓	✓				
Risk Management Strategy and annual review; Risk Financing Strategy				✓		
LSP Risk Management Strategy				✓		
Counter Fraud and Corruption Action Plan (within the Counter Fraud and Corruption Policy)				✓		
Fraud & Corruption Response Plan			✓			
Value for Money Strategy	✓					
Commissioning and Procurement Strategy				✓		
Corporate Training Plan					✓	

ASSURANCE FRAMEWORK	GOVERNANCE FRAMEWORK: CORE PRINCIPLES					
	1 PURPOSE & OUTCOMES	2 FUNCTIONS & ROLES	3 VALUES & BEHAVIOUR	4 DECISION MAKING	5 CAPACITY & CAPABILITY	6 ENGAGEMENT
LEVEL 1 - CORPORATE ARRANGEMENTS						
Workforce Strategy					✓	
Member Development Strategy, working group and Annual Member Training Plan		✓	✓	✓	✓	
Learning & Development Strategy					✓	
Talent Management Strategy					✓	
ICT Strategy				✓		
Business Continuity Plans				✓		
Consultation Strategy					✓	✓
Community Cohesion Strategy						✓
Communication Strategy						✓
Customer Contact Strategy						✓
Partnership Plans and Strategies including: • Children and Young People's Plan • East Riding Local Development Framework • East Riding Public Health Strategy	✓			✓		✓

ASSURANCE FRAMEWORK	GOVERNANCE FRAMEWORK: CORE PRINCIPLES					
	1 PURPOSE & OUTCOMES	2 FUNCTIONS & ROLES	3 VALUES & BEHAVIOUR	4 DECISION MAKING	5 CAPACITY & CAPABILITY	6 ENGAGEMENT
LEVEL 1 - CORPORATE ARRANGEMENTS						
• Economic Development Strategy • Joint Sustainable Waste Management Strategy • Local Transport Plan 2 • Older People's Strategy • Partnership Plan for Reducing Crime and Disorder Rural Economic Strategy	✓			✓		✓
Financial Monitoring & Reporting:						
Budget Monitoring	✓	✓		✓		
Treasury Management Reporting	✓					
Investment Appraisal procedures				✓		
Review of our own arrangements in respect of the CFO against CIPFA guidance	✓	✓	✓	✓	✓	
Annual Financial Statements and Summary Annual Report	✓					✓
Annual Governance Statement and associated Review of Corporate Governance Report		✓		✓		

ASSURANCE FRAMEWORK	GOVERNANCE FRAMEWORK					
	1 PURPOSE & OUTCOMES	2 FUNCTIONS & ROLES	3 VALUES & BEHAVIOUR	4 DECISION MAKING	5 CAPACITY & CAPABILITY	6 ENGAGEMENT
LEVEL 1 - CORPORATE ARRANGEMENTS						
Performance Monitoring & Reporting:						
Performance Management Framework		✓			✓	
Quarterly Performance Reports and Service Performance Reviews	✓	✓				
Performance Health Checks	✓	✓				
Annual Performance Report	✓	✓				
Benchmarking (eg CIPFA & APSE)	✓					
Periodic review of existing partnerships (financial / performance)		✓				
Monitoring of complaints and compliments				✓		✓
East Riding News and Website					✓	✓
Local Area Forums					✓	✓
LSP Board					✓	
Portfolio Holder Briefings	✓	✓				
Critical Friends Meetings	✓	✓				

ASSURANCE FRAMEWORK	GOVERNANCE FRAMEWORK					
	1 PURPOSE & OUTCOMES	2 FUNCTIONS & ROLES	3 VALUES & BEHAVIOUR	4 DECISION MAKING	5 CAPACITY & CAPABILITY	6 ENGAGEMENT
LEVEL 1 - CORPORATE ARRANGEMENTS						
Risk Management:						
Internal audit – terms of reference, work and reporting				✓		
Minutes of meetings (generally)			✓	✓		
Decision Records		✓	✓	✓		
Protocol and QA process over reports				✓		
Strategic Risk Register - Quarterly updating				✓		
Fraud Risk Registers updated annually				✓		
Operational Risk Registers				✓		
Risk Management sub group of the LSP				✓		
Partnership Risk Registers				✓		
Project Risk Registers and regular updates				✓		
Fraud Investigation & Enforcement Team				✓		
Staff newsletters 'Fraud in Focus' and 'Only Fools and Fraudsters'				✓		
Membership of appropriate organizations, eg ALARM				✓		

ASSURANCE FRAMEWORK	GOVERNANCE FRAMEWORK					
	1 PURPOSE & OUTCOMES	2 FUNCTIONS & ROLES	3 VALUES & BEHAVIOUR	4 DECISION MAKING	5 CAPACITY & CAPABILITY	6 ENGAGEMENT
LEVEL 1 - CORPORATE ARRANGEMENTS						
Use of data sharing eg NFI				✓		

ASSURANCE FRAMEWORK	GOVERNANCE FRAMEWORK					
	1 PURPOSE & OUTCOMES	2 FUNCTIONS & ROLES	3 VALUES & BEHAVIOUR	4 DECISION MAKING	5 CAPACITY & CAPABILITY	6 ENGAGEMENT
LEVEL 2 – SENIOR MANAGERS & PARTNERS						
Directors:						
Counter signing of Heads of Services' Annual Assurance Statements				✓		
Heads of Service: Annual assurance statement from each of:						
Chief Financial Officer		✓				
Monitoring Officer		✓				
Heads of Service				✓		
Schools:						
Statement on Internal Control from each School				✓		
Financial Management Standard in Schools Assessments				✓		
LSP Partners: Annual assurance statement from each of:						
Humberside Fire and Rescue				✓		
Humberside Police				✓		

ASSURANCE FRAMEWORK	GOVERNANCE FRAMEWORK					
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LEVEL 2 – SENIOR MANAGERS & PARTNERS						
Humberside Probation Trust				✓		
NHS East Riding of Yorkshire				✓		
arvato:						
Annual assurance statement from arvato				✓		

ASSURANCE FRAMEWORK	GOVERNANCE FRAMEWORK					
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LEVEL 3 - INTERNAL AUDIT						
Audit & Technical Manager's Opinion				✓		
Effectiveness of Internal Audit Report				✓		
Internal auditors of key partners				✓		
LEVEL 4 – NON-EXECUTIVE COMMITTEES						
Audit Committee:						
Annual Review of Effectiveness				✓	✓	
Overview & Scrutiny Committee:						
Overview & Scrutiny Committee reviews and reports	✓			✓		✓
Annual report of the Scrutiny Committee Function				✓		✓
Standards Committee:						
Annual Report of the Standards Committee			✓			

ASSURANCE FRAMEWORK	GOVERNANCE FRAMEWORK					
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LEVEL 5 – EXTERNAL BODIES						
External Auditors:						
Annual Audit Letter, covering:						
• Financial Statements					✓	
• Value for Money	✓			✓	✓	
Annual Governance Report, covering financial statements and Value for Money, with detailed feedback on conclusions and issues arising	✓			✓	✓	
Final Accounts Memorandum, covering results of the interim audit and final accounts audit	✓			✓	✓	
Other (eg certification of claims)					✓	
Inspectorates						
Care Quality Commission Annual Performance Assessment	✓				✓	
Ofsted Children's Services Annual Rating	✓				✓	
Other inspections, eg RIPA	✓				✓	

ASSURANCE FRAMEWORK	GOVERNANCE FRAMEWORK					
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Ombudsman:						
Complaints made to the Ombudsman and outcomes	✓		✓	✓		
Professional Bodies:						
Continued membership of professional bodies, in particular relevant to professional staff, eg: • Accountants (membership of various Accountancy Bodies); • Legally qualified staff; • Senior Procurement Officers; • Senior Planning Officers; • Staff qualified in Social Services related areas; • Other					✓	
Other External Bodies: Auditors of Investment Fund Managers				✓		