



**CAMBRIDGESHIRE  
& PETERBOROUGH**  
COMBINED AUTHORITY

# **LOCAL CODE OF CORPORATE GOVERNANCE**

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## FOREWORD

Good governance underpins the way in which Cambridgeshire & Peterborough Combined Authority delivers its services. It involves collaborating and balancing current financial challenges with longer term planning and is defined as “The system by which local authorities direct and control their functions and relate to communities”.

Cambridgeshire & Peterborough Combined Authority (‘the CPCA’) has approved and adopted a code of corporate governance which is consistent with the principles of the best practice guidance issued jointly by the Chartered Institute of Public Finance and Accountancy (CIPFA) and the Society of Local Authority Chief Executives (SOLACE). CIPFA/SOLACE updated in 2016 with their new framework to assist organisations in ensuring 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 seven core principles are:

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

*B. Ensuring openness and comprehensive stakeholder engagement;*

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

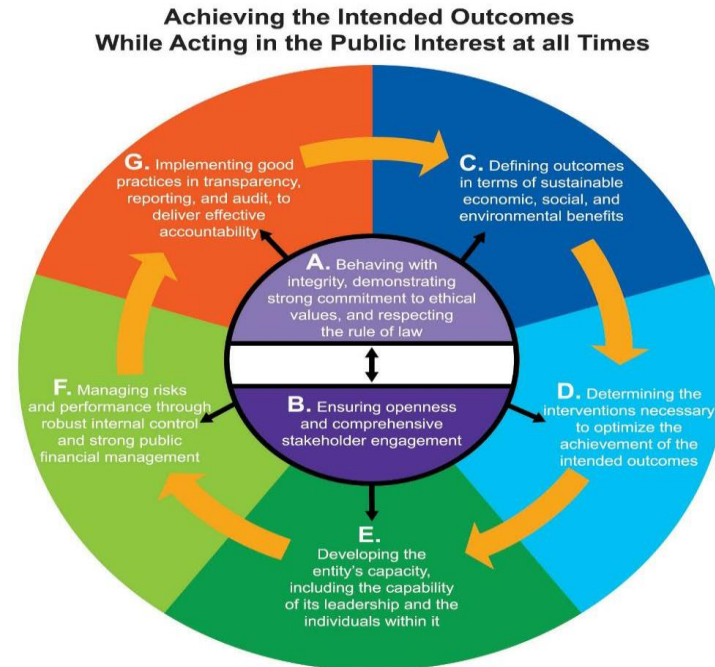
*D. Determining the interventions necessary to optimise the achievement of the intended outcomes*

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

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

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

Diagrammatically this can be demonstrated as:



The CPCA is committed to meeting these principles. This statement sets out how the supporting principles beneath each statement will be achieved, monitored and reviewed. It is the responsibility of the Audit and Governance Committee to keep corporate governance matters under review. As part of this process it undertakes regular reviews throughout the year of the processes and systems in place with a formal review at the year end. This includes the results of the work carried out by internal audit. The Committee reviews and approves the Annual Governance Statement which forms part of the statutory annual accounts which are subject to external audit.

## CORE PRINCIPLES: ACTING IN THE PUBLIC INTEREST

### PRINCIPLE A:

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

#### SUPPORTING PRINCIPLES:

The Combined Authority is accountable not only for how much it spends, but also for how it uses the resources under its stewardship. This includes accountability for outputs, both positive and negative, and for the outcomes they have achieved. 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 and have mechanisms in place to encourage and enforce adherence to ethical values and respect the rule of law.

The Combined Authority supports the above principle by:

Supporting principles	To achieve this the organisation:	This is evidenced and supported by:
<ul style="list-style-type: none"> <li>We will behave with integrity;</li> </ul>	<ul style="list-style-type: none"> <li>Ensures members and officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated,</li> <li>Leads by example, ensuring members take the lead in establishing specific standard operating principles and values (building on the Seven Principles for Public Life) for the Combined Authority and the Local Enterprise Partnership and its staff and that they are communicated and understood.</li> <li>Utilise the operating principles and values above as a framework for decision making and other actions.</li> <li>Demonstrate, communicate and embed the standard operating principles or values through appropriate policies and processes which are reviewed on a regular basis to ensure that they are operating effectively.</li> </ul>	<ul style="list-style-type: none"> <li>A Code of Conduct for Members to ensure high standards of conduct are maintained. The code also applies to members of committees, co-opted members, and members of the Local Enterprise Partnership.</li> <li>Established a procedure for dealing with breaches of the Member Code of Conduct.</li> <li>Registers of Members' interests are published on the CA's, LEP and constituent council websites.</li> <li>Members must declare gifts or hospitality with an estimated value of at least £100, £50 for LEP members. Records of gifts and hospitality and standard form have been established and will be published on the CA's website.</li> <li>Officers must declare any gifts or hospitality received either before, during or after the procurement;</li> <li>Standard decision making reporting format and processes in place to ensure that all those responsible for taking decision have the necessary information on which to so do</li> <li>Members' declaration of interests are a standing item on all agendas. Minutes show declarations of interest were sort and the appropriate declarations made.</li> <li>A complaint, Whistleblowing and Third Party confidential reporting policy and procedure that is published on the CA's and LEP websites</li> </ul>

Supporting principles	To achieve this the organisation:	This is evidenced and supported by:
		<ul style="list-style-type: none"> <li>• Officers Codes of Conduct policies are in place and. The policy requires all conflicts of interests to be declared.</li> <li>• Gifts and Hospitality Policy for Officers and members will be developed</li> <li>• Records of gifts and hospitality will be published on the CA's website</li> <li>• Induction programmes for new staff incorporate the required standard of behaviour expected will be developed.</li> </ul> <p><b>Key documents include:</b> Constitution, Member Code of Conduct, Declarations of Interest forms, Whistleblowing Policy, Third Party Confidential reporting policy, Complaints Policy, Staff Code of Conduct, Gifts and Hospitality register</p> <p><b>In Progress</b> Equal Opportunities Policy Gifts and Hospitality Guidance</p>
<ul style="list-style-type: none"> <li>• We will demonstrate strong commitment to ethical values;</li> </ul>	<ul style="list-style-type: none"> <li>• Has established and monitors the Combined Authority's ethical standards and performance.</li> <li>• Has robust policies and procedures which place emphasis on agreed ethical values which underpin behaviour and all aspects of the Combined Authority's culture and operation.</li> <li>• Ensures that external providers of services are required to act with integrity and in compliance with the same ethical standards expected of the Combined Authority.</li> </ul>	<ul style="list-style-type: none"> <li>• Policies and procedures that make the constitution, which sets out delegations to the Combined Authority, its Committees and Senior Officers, and the decision-making processes.</li> <li>• All committees and working groups have clear terms of reference.</li> <li>• Annual reports are published regarding audit activities and governance arrangements.</li> <li>• An anti-fraud and corruption policy that is reviewed with associated action plans where required</li> <li>• <b>In Progress</b></li> <li>• The Combined Authority organisational values which are widely publicised and describe how we treat our customers, partners and staff</li> <li>• Annual staff appraisals include awareness and contribution to core values and priorities will be developed.</li> <li>• A current register of gifts and hospitality which will be reviewed by the Combined Authority's appointed Internal Auditor.</li> <li>• Partnership agreements comply with own procurement rules - partners and contractors to operate within our core values and demonstrates transparency with regards to any potential conflicts</li> </ul>

Supporting principles	To achieve this the organisation:	This is evidenced and supported by:
		<p><b>Key documents include:</b> Constitution, Annual Governance Statement, Register of Interests, Anti-Fraud and Corruption Policy; Statement of Partnership Working</p> <p><b>In Progress</b> Corporate Values Annual Complaints Report</p>
<ul style="list-style-type: none"> <li>We will respect the rule of the law:</li> </ul>	<ul style="list-style-type: none"> <li>Ensures members and staff demonstrate a strong commitment and adheres to relevant laws and regulations.</li> <li>Creates the environment 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, optimising full powers available to the benefit of communities, citizens and other stakeholders.</li> <li>Deals with breaches of legal and regulatory provisions promptly and effectively.</li> </ul>	<ul style="list-style-type: none"> <li>The Combined Authority has a Legal Counsel who is designated as the Combined Authority's Monitoring Officer ensuring that policies, procedures, laws and regulations are followed. She also attends all Combined Authority meetings.</li> <li>The Finance Director is designated the Chief Finance Officer and is responsible for ensuring a balanced budget.</li> <li>A scheme of delegation identifies responsibilities and authorisation levels.</li> <li>Internal Audit will report annual activity and outcomes to the Audit &amp; Governance Committee based on assurances gained and issues identified where appropriate.</li> <li>External Audit provides an Annual Audit Letter which is presented to the Audit and Governance Committee and published on the Combined Authority's website.</li> <li>The Combined Authority will maintain a record of complaints made to the Local Government Ombudsman as well as self-referring to the Information Commissioner where information data breaches occur and actions taken to improve processes.</li> <li>The Combined Authority has a Data Protection Policy.</li> </ul> <p><b>Key documents include:</b> Constitution includes Financial Regulations and Contract Rules, job descriptions for the Legal Counsel and Finance and Finance and Commercial Director, Service agreement with Peterborough City Council to provide Chief Internal Auditor Services, HoIA Annual Opinion, Data Protection Policy,</p>



## CORE PRINCIPLES: OPENNESS AND STAKEHOLDER ENGAGEMENT

### PRINCIPLE B:

Ensuring openness and comprehensive stakeholder engagement.

### SUPPORTING PRINCIPLES:

Local government is run for the public good. The Combined Authority should ensure openness in its activities. Clear, trusted channels of communication and consultation should be used to engage effectively with all groups of stakeholders, such as individual citizens and service users, as well as institutional stakeholders.

The Combined Authority supports the above principle by:

Supporting principles	To achieve this the organisation:	This is evidenced and supported by:
<ul style="list-style-type: none"> <li>We will be open</li> </ul>	<ul style="list-style-type: none"> <li>Supports an open culture through demonstrating, documenting and communicating the Combined Authority's commitment to openness.</li> <li>Makes decisions that are open about actions, plans, resource use, forecasts, outputs and outcomes. Where a decision is considered confidential, reasons for this are provided.</li> <li>Provides clear reasoning and evidence for decisions in both public records and explanations to stakeholders and being explicit about the criteria, rationale and considerations used. In due course, ensuring that the impact and consequences of those decisions are clear.</li> <li>Uses formal and informal consultation and engagement to determine the most appropriate and effective interventions/ courses of action.</li> </ul>	<ul style="list-style-type: none"> <li>Adoption of a Publication Scheme that describes the kinds of information available and provides guidance about how submit a Freedom of Information request.</li> <li>The Combined Authority's committee meetings timetable is published and the public are able to attend unless there is a reason for confidentiality (exempt reports). The public are able ask questions and petitions at all Combined Authority meetings.</li> <li>The forward plan of all decisions to be taken is published each month</li> <li>Committee meetings are minuted detailing decisions/deliberations and are published along with associated reports and agendas. Meetings can also be video recorded to increase public awareness.</li> <li>A standard reporting process is utilised for consistency.</li> </ul> <p><b>Key documents include:</b> Constitution, Committee meeting timetable, agenda and minutes, video recordings</p> <p><b>Outstanding</b> Consultation principles to be developed</p>



Supporting principles	To achieve this the organisation:	This is evidenced and supported by:
<ul style="list-style-type: none"> <li>We will engage comprehensively with Institutional stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>Effectively engages 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.</li> <li>Utilises formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively</li> <li>Ensuring that partnerships are based on trust               <ul style="list-style-type: none"> <li>a shared commitment to change</li> <li>a culture that promotes and accepts challenge among partners; and</li> <li>that the added value of partnership working is explicit.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>The Combined Authority operates extensively with institutional stakeholders and partners in identifying the best way to deliver services. This is a continuously evolving with recent partnerships including:               <ul style="list-style-type: none"> <li>Service level agreements and partnership agreements with constituent councils to provide support services to the Combined authority</li> <li>Procuring contracts through established constituent council arrangements</li> </ul> </li> <li>The Combined Authority consults in many ways to ensure that stakeholders have the opportunity to contribute views to the organisations vision, performance and intended outcomes</li> <li>Key partners are invited to regular Strategy meetings to establish a long term vision for the Combined Authority and a four year plan including Chief Executives of constituent Councils and other statutory bodies</li> <li>The Combined Authority Chief Executive is a member of the Cambridgeshire Public Services Board which provides an opportunity for the leaders of public sector organisations in Cambridgeshire and Peterborough to come together and make strategic interventions and to provide better outcomes for our residents and place. The Board includes Leaders of constituent councils and other public sector partners</li> </ul> <p><b>In progress</b> Partnership agreements are in place which determine the roles and responsibilities for each partnership arrangement where it is expected that the Combined Authority's values are adhered to.</p> <p><b>Key documents include:</b> Statement of Partnership Working</p> <p><b>Outstanding</b> Partnership terms and agreements</p>
<ul style="list-style-type: none"> <li>We will engage stakeholders effectively, including citizens and service users</li> </ul>	<ul style="list-style-type: none"> <li>Consults with or involve individual citizens, service users and other stakeholders to ensure that service provision is contributing towards the achievement of intended outcomes.</li> </ul>	<ul style="list-style-type: none"> <li>The Combined Authority seeks views from individuals, organisations and businesses on a number of areas including strategies, policies and detailed projects, using a variety of means including face to face and online.</li> </ul>

Supporting principles	To achieve this the organisation:	This is evidenced and supported by:
	<ul style="list-style-type: none"> <li>• Ensures communication methods are effective and that members and officers are clear about their roles with regard to community engagement.</li> <li>• Encourages, collects and evaluates the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs.</li> <li>• Implements effective feedback mechanisms in order to demonstrate how their views have been taken into account.</li> <li>• Balances feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity.</li> </ul>	<ul style="list-style-type: none"> <li>• The Mayor and Members ensure they are accessible to the community and contact details are held on the Combined Authority's website;</li> <li>• Question time at Board meetings and petition scheme is advertised on the Combined Authority</li> <li>• Public consultation takes place on the budget</li> </ul> <p><b>Key documents include:</b> Contact details on website, budget, Constitution includes questions and petition scheme</p> <p><b>In progress:</b> Consultation principles (optional)</p>

## PRINCIPLE C: ECONOMIC, SOCIAL AND ENVIRONMENTAL BENEFITS

### PRINCIPLE C:

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

### SUPPORTING PRINCIPLES:

The long-term nature and impact of many of the Combined Authority's responsibilities mean that it should define and plan outcomes and that these should be sustainable. Decisions should further the Authority's purpose, contribute to intended benefits and outcomes, and remain within the limits of authority and resources. Input from all groups of stakeholders, including citizens, service users, and institutional stakeholders, is vital to the success of this process and in balancing competing demands when determining priorities for the finite resources available.

The Combined Authority supports the above principle by:

Supporting principle	To achieve this the organisation:	This is evidenced and supported by:
<ul style="list-style-type: none"> <li>We will define outcomes</li> </ul>	<ul style="list-style-type: none"> <li>Maintains a statement of the Combined Authority's purpose and intended outcomes containing appropriate performance indicators, which provides the basis for the organisation's overall strategy, planning and other decisions.</li> <li>Identifies the intended impact on, or changes for, stakeholders including citizens and service users, both in the short and long term.</li> <li>Delivers defined outcomes on a sustainable basis within the resources that will be available.</li> <li>Identifies and manages risks to the achievement of outcomes.</li> <li>Manages service user's expectations effectively with regard to determining priorities and making the best use of the resources available.</li> </ul>	<ul style="list-style-type: none"> <li>The Combined Authority is developing its 30 year strategic plan which sets out a clear vision which drives the strategy for the organisation.</li> <li>Core strategic plans as well as the 4 year business plan will set out detailed plans and measurable outcomes and a medium term financial strategy.</li> <li>Effective budget reporting processes ensures sustainability is effectively managed.</li> <li>The Combined Authority's risk management strategy and associated risk registers identify, address and treat areas that may impact on the achievement.</li> <li>Leadership team and CA will receive performance monitoring reports at regular intervals based on the 4 year plan and key strategies.</li> <li>Programmes and projects are assessed against the assurance framework with outcomes set and confirmed when they are approved.</li> <li>Programmes and projects are or will be monitored against the monitoring and evaluation framework</li> </ul>

		<p><b>Key documentation includes:</b> Annual Report, Budget Monitoring Reports to Board, Risk Management Strategy, Risk Registers,</p>
<ul style="list-style-type: none"> <li>We will provide sustainable economic, social and environmental benefits</li> </ul>	<ul style="list-style-type: none"> <li>Considers economic, social and environmental impact of policies, plans and decisions when taking decisions about service provision.</li> <li>Takes a longer-term view with regard to decision making, taking account of risk and acting transparently where there are potential conflicts between intended outcomes and short-term factors such as the political cycle or financial constraints.</li> <li>Determines the wider public interest associated with balancing conflicting interests between achieving the various economic, social and environmental benefits, through consultation where possible, in order to ensure appropriate trade-offs.</li> </ul>	<ul style="list-style-type: none"> <li>The Combined Authority has established an Independent Economic Commission to develop a robust evidence base on Cambridgeshire and Peterborough’s economic performance and potential and to provide objective and independent advice to the Combined Authority:             <ul style="list-style-type: none"> <li>(i) on the economic impact of key decisions and investment programmes; and</li> <li>(ii) long-term drivers of growth across the Cambridgeshire and Peterborough economy.</li> </ul> </li> <li>The evidence base will identify the outcomes in the Core strategic plans as well as the 4 year business plan are achieved.</li> </ul> <p><b>Key documentation includes:</b>            Constitution includes terms of reference and membership of the Independent Economic Commission and Core strategies             30 year plan, , 4 year plan</p>

## PRINCIPLE D: ACHIEVEMENT OF INTENDED OUTCOMES

### PRINCIPLE D:

Determining the interventions necessary to optimise the achievement of the intended outcomes.

### SUPPORTING PRINCIPLES:

The Combined Authority achieves its intended outcomes by providing a mixture of legal, regulatory, and practical interventions. Determining the right mix of these courses of action is a critically important strategic choice that the Combined Authority has to make to ensure intended outcomes are achieved. It needs robust decision-making mechanisms to ensure that 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 continually to ensure that achievement of outcomes is optimised.

The Combined Authority supports the above principle by:

Supporting principle	To achieve this the organisation:	This is evidenced and supported by:
<ul style="list-style-type: none"> <li>We will determine interventions</li> </ul>	<ul style="list-style-type: none"> <li>Ensures decision makers receive objective information covering of a variety of options indicating how intended outcomes would be achieved along with the associated risks and value achieved.</li> <li>Consults and considers feedback from citizens and service users when making decisions about service improvements or closures in order to prioritise competing demands within</li> </ul>	<ul style="list-style-type: none"> <li>The strategic priorities are set out in the 30 year plan shape the decision making of the Combined Authority and ensure interventions are priorities to deliver the aims and objectives.</li> <li>We will apply the principle of governments 5 stage business model and treasury green book principles and monitoring and evaluation process applicable to particular schemes.</li> <li>The format of decision making reports to ensure that all relevant information is considered such as analysis of options, resource implications, and outcomes of Integrated Impact Assessment etc. Options are clearly defined and analysed to ensure decisions are based on the best possible information.</li> <li>Project appraisal processes seek to ensure maximum value for money from investments in programmes and projects. The assurance framework is applied to these projects and ensure that they are effectively assessed (in terms of analysis of options, resource implications and strategic outcomes) and evaluated before approval is sought to proceed and that outcomes are achieved.-</li> <li>Post project evaluation with monitoring and evaluation will include post completion project evaluation -</li> </ul>

Supporting principle	To achieve this the organisation:	This is evidenced and supported by:
<ul style="list-style-type: none"> <li>We will plan interventions</li> </ul>	<p>limited resources, whilst considering future impacts.</p> <ul style="list-style-type: none"> <li>Ensures that those making decisions, whether for the authority or any partnerships, are provided with information that is fit for purpose, relevant and timely.</li> <li>Ensures that proper professional advice on matters that have legal or financial implications is available, recorded and used appropriately.</li> </ul>	<p><b>Key documents include:</b> Agendas and Reports, Assurance and Monitoring and Evaluation Framework,30 year plan,</p> <ul style="list-style-type: none"> <li>The 4 year plan and medium term financial strategy sets out the planned interventions for the coming year . Longer term plans are or will be included in core strategies, such as the Local Transport Plan, Housing Strategy, Skills Strategy</li> <li>Financial reporting processes which include budget setting processes and budget monitoring are clearly defined to highlight budget pressures where intervention may be required.</li> <li>Committee report framework requiring legal and financial authorisation prior to issue.</li> <li>Financial and legal representation at committee meetings.</li> <li>Performance monitoring against key performance indicators and benchmarking is or will be undertaken as appropriate</li> <li>Leadership team and CA will receive performance monitoring reports at regular intervals based on agreed actions and targets for the year-</li> </ul> <p><b>Key documents include:</b> Committee Reports and minutes</p> <p><b>In progress</b> 4 year plan and Medium Term Financial Strategy</p>
<ul style="list-style-type: none"> <li>We will optimise achievement of intended outcomes</li> </ul>	<ul style="list-style-type: none"> <li>Ensures that risk management is embedded into the culture of the authority, with members and managers at all levels.</li> <li>Ensures that effective arrangements for whistle-blowing are in place and accessible to officers, staff and all those contracting with or appointed by the authority.</li> </ul>	<ul style="list-style-type: none"> <li>The annual budget is prepared for scrutiny and approval by Members and published in line with agreed priorities and the medium term financial strategy. Budget plans are shared in advance with partner local authorities.</li> <li>The assurance framework provides the means to assess projects in terms of outcomes to enable a prioritisation of interventions.</li> <li>A risk management strategy that is regularly reviewed by senior management and the Audit and Governance Committee.</li> <li>A whistleblowing policy which is accessible to all, detailing key officers and feedback processes.</li> <li>Ongoing review of projects and programme risk registers.</li> </ul> <p><b>Key documents include:</b> Whistleblowing policy, Risk Management Strategy, Risk Registers,</p>



## PRINCIPLE E: CAPACITY AND CAPABILITY

### PRINCIPLE E:

Developing the organisations capacity, including the capability of its leadership and the individuals within it.

### SUPPORTING PRINCIPLES:

The Combined Authority needs appropriate structures and leadership, as well as people with the right skills, appropriate qualifications and mind-set, to operate efficiently and effectively and achieve their intended outcomes within the specified periods. It must ensure that it has both the capacity to fulfil its own mandate and to make certain that there are policies in place to guarantee that its management has the operational capacity for the organisation as a whole. Because both individuals and the operating environment will change over time, there will be a continuous need to develop capacity as well as the skills and experience of the leadership and 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.

The Combined Authority supports the above principle by:

Supporting principle	To achieve this the organisation:	This is evidenced and supported by:
<ul style="list-style-type: none"> <li>We will develop the Combined Authority's capacity</li> </ul>	<ul style="list-style-type: none"> <li>Reviews operations, performance use of assets on a regular basis to ensure their continuing effectiveness.</li> <li>Improving resource use through appropriate application of techniques to determine how the authority's resources are allocated so that outcomes are achieved effectively and efficiently.</li> <li>Recognises the benefits of partnerships and collaborative working where added value can be achieved.</li> <li>Is developing and maintaining an effective workforce plan to enhance the strategic allocation of resources.</li> </ul>	<ul style="list-style-type: none"> <li>The Combined Authority has established an organisational structure and is in the process of recruiting to that structure.</li> <li>The aim is to have a lean organisation that commissions from experts from the public and private sector to achieve its objectives most effectively and efficiently.</li> <li>It is currently amalgamating the Combined Authority and the Local Strategic Partnership</li> </ul> <p><b>Key documents include:</b> Staffing structure, Partnership and Service Level Agreements</p>
<ul style="list-style-type: none"> <li>We will develop the capability of the Combined Authority's leadership and other individuals</li> </ul>	<ul style="list-style-type: none"> <li>Has 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.</li> </ul>	<ul style="list-style-type: none"> <li>The Combined Authority has a robust framework via the constitution of the roles and responsibilities of members and officers that encompass the Mayor, Members, Overview and Scrutiny Committee and Audit and Governance Committee.</li> </ul>



	<ul style="list-style-type: none"> <li>• Publishes a statement that specifies the types of decisions that are delegated and those reserved for collective decision making.</li> <li>• Ensures the leader and the chief executive have clearly defined and distinctive leadership roles.</li> <li>• Develops the capabilities of members and senior management to achieve effective shared leadership and to enable the Combined Authority to respond successfully to changing legal and policy.</li> <li>• Has structures in place to encourage public participation.</li> <li>• Holding staff to account through regular performance reviews which take account of training or development needs.</li> <li>• 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.</li> </ul>	<ul style="list-style-type: none"> <li>• The Mayor and Board members hold portfolio responsibilities which sets out their respective roles.</li> <li>• The scheme of delegation is in place and reviewed annually;</li> <li>• Overview and Scrutiny Committee members have received training from the Centre for Public Scrutiny on their role and producing a work programme.</li> <li>• Audit and Governance Committee have received training on their role and specific topics;</li> <li>• Officers are appointed using competency based job descriptions. Managers are being encouraged to set clear objectives for each employee and to then measure their performance against these competencies and objectives</li> <li>• Training development programmes are available to staff and needs are discussed through regular performance appraisals (APD's).</li> <li>• Various HR policies exist to support the performance of staff including Recruitment and Retention, Capability, Attendance Management currently using Peterborough City Council's terms and conditions</li> <li>• An induction programmes for all employees will be developed .</li> <li>• Staff Appraisals will be linked to the Combined Authority's core values.</li> <li>• Health and Safety policies designed to protect and enhance the welfare of staff will be actively promoted and monitored.</li> </ul> <p><b>Key documents include:</b> Constitution, Senior Management job description, HR policies,</p> <p><b>In Progress,</b> Staff Appraisal Process (PDR), Core Values and Priorities</p>
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## PRINCIPLE F: MANAGING RISKS AND PERFORMANCE

### PRINCIPLE F:

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

### SUPPORTING PRINCIPLES:

The Combined Authority needs to ensure that the governance structures it has implemented 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 a performance management system and 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 is 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 delivery. Importantly, this culture does not happen automatically, it requires repeated public commitment from those in authority.

The Combined Authority supports the above principle by:

Supporting principle	To achieve this the organisation:	This is evidenced and supported by:
<ul style="list-style-type: none"> <li>We will manage risk</li> </ul>	<ul style="list-style-type: none"> <li>Implement robust and integrated risk management arrangements to inform decision making processes and ensure that they are working effectively.</li> <li>Ensure ownership for managing individual risks is clearly identified.</li> </ul>	<ul style="list-style-type: none"> <li>The Combined Authority's Risk Management Strategy which sets out the approach to Risk Management. This is overseen by Corporate Management Team and the Audit and Governance Committee</li> <li>Regular reviews of risk and associated registers both operationally and strategically which identifies who is managing the risks and timescales for any required actions.</li> </ul> <p><b>Key documents include:</b> Risk management strategy, risk registers</p>
<ul style="list-style-type: none"> <li>We will managing performance</li> </ul>	<ul style="list-style-type: none"> <li>Monitors service delivery effectively including planning, specification, execution and independent post implementation review.</li> <li>Makes decisions based on relevant, clear objective analysis and advice pointing out the</li> </ul>	<ul style="list-style-type: none"> <li>The Finance and Commercial Director is the authority's S151 / s.73 Chief Finance Officer and is responsible for ensuring that effective financial management is in place.</li> <li>The Combined Authority has an established approach to financial governance involving members, senior officers and</li> </ul>

Supporting principle	To achieve this the organisation:	This is evidenced and supported by:
	<p>implications and risks inherent in the organisation's financial, social and environmental position and outlook.</p> <ul style="list-style-type: none"> <li>• Ensures an effective scrutiny or oversight function is in place which encourages constructive challenge and debate on policies and objectives before, during and after decisions are made thereby enhancing performance.</li> <li>• Provides members and senior management with regular reports on service delivery plans and on progress towards outcome achievement.</li> <li>• Ensures there is consistency between specification stages (such as budgets) and post implementation reporting (e.g. financial statements).</li> </ul>	<p>budget holders in the budget setting process and on-going monitoring arrangements by way of forecast performance against budget.</p> <ul style="list-style-type: none"> <li>• The Scrutiny Standing Orders provide for the Overview and Scrutiny Committee to call in any CA decision. Throughout the year, it will develop a programme that enables it to consider policy and objectives before, during and after decisions are made. The Overview and Scrutiny Committee has chosen to meet two days before the Board meetings to scrutinise the Board's agenda and make any representations to the Board via the Chair before decisions are made.</li> <li>• Agenda, minutes of Overview and Scrutiny meetings and any associated reports with recommendations to the CA are published on the CA's website.</li> <li>• Contracts Standing Orders and Financial Regulations set out the council's arrangements and ensure that processes continue to operate consistently.</li> <li>• Key indicators will be identified which support the 4 year plan which sets out the actions required in year to deliver the 30 year strategy. These corporate KPIs will be set at the start of each year and performance managed against them.</li> </ul> <p><b>Key documents include:</b> Job Description for the Finance Director, Terms of Reference and procedure rules of Overview &amp; Scrutiny Committees (Constitution), budget monitoring reports to Board and Budget Managers, Constitution call in mechanism.</p>
<ul style="list-style-type: none"> <li>• We will have robust internal control</li> </ul>	<ul style="list-style-type: none"> <li>• Aligns the risk management strategy and policies on internal control with achieving the objectives.</li> <li>• Evaluates and monitor the authority's risk management and internal control on a regular basis.</li> <li>• Ensures effective counter fraud and anti-corruption arrangements are in place.</li> <li>• Ensures that additional assurance is provided by the Chief Internal Auditor regarding the governance, risk and control environment.</li> <li>• Has an audit committee that receives assurance regarding arrangements for managing risk and maintaining an effective</li> </ul>	<ul style="list-style-type: none"> <li>• An annual report is produced by Internal Audit which provides an opinion on the CA's control environment, and a self-assessment of its arrangements against the public sector internal audit standards and CIPFA's guide to the role of the Head of Internal Audit.</li> <li>• Financial Regulations ensures responsibility and controls over expenditure are clearly assigned.</li> <li>• The Annual Governance Statement (AGS) is produced for inclusion in the annual accounts that are subject to review and approval by the Audit and Governance Committee.</li> <li>• The Audit and Governance Committee oversees the management of governance issues, internal controls, risk management and financial reporting.</li> </ul>

Supporting principle	To achieve this the organisation:	This is evidenced and supported by:
	<p>control environment and recommendations are listened to and acted upon.</p>	<ul style="list-style-type: none"> <li>• The Audit and Governance Committee Terms of Reference are reviewed annually and revised to reflect professional bodies' expectations and best practice. The Combined Authority has a Risk Management Strategy which is agreed by senior management and the Audit and Governance Committee.</li> </ul> <p>strategic risk register containing high level strategic risks is regularly reviewed and reported to the audit committee at least six monthly.</p> <ul style="list-style-type: none"> <li>• Risk management effectiveness is reviewed as part of the Annual Governance Statement and Head of Internal Audit annual reporting process.</li> <li>• The Chief Internal Auditor is responsible for fraud and investigation activities. A strategy has been developed and annual investigation activity is reported to the audit committee.</li> </ul> <p><b>Key documents include:</b></p> <p>HoIA annual report, annual governance statement, Fraud and Corruption Strategy Risk strategy &amp; risk register</p>
<ul style="list-style-type: none"> <li>• We will manage data</li> </ul>	<ul style="list-style-type: none"> <li>• Ensures effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data.</li> <li>• Ensures effective arrangements are in place and operating effectively when sharing data with other bodies.</li> <li>• Reviews and audits regularly the quality and accuracy of data used in decision making and performance monitoring.</li> </ul>	<ul style="list-style-type: none"> <li>• Procedures for the effective, fair and lawful processing of data are set out in the Data Protection Policy and supporting information governance framework.</li> </ul> <p><b>Outstanding</b></p> <ul style="list-style-type: none"> <li>• The CA's ICT policies control access to the network and data held on it, with information regarding the use of passwords and sharing of data set out.</li> <li>• Effective information sharing is undertaken in accordance with the Data Protection Act and the CA's Data Protection Policy.</li> <li>• Data Subjects are informed why their personal information is being collected and how it will be processed (including when shared with other bodies) through the appropriate form of privacy notices.</li> <li>• Information Sharing Agreements are in place to document the sharing of information with other organisations.</li> <li>• Data verification and validation processes are integrated within systems and processes.</li> <li>• Procedures are in place for reporting data breaches which are recorded and reviewed to identify any remedial process actions required.</li> </ul>

Supporting principle	To achieve this the organisation:	This is evidenced and supported by:
		<ul style="list-style-type: none"> <li>• Details of data breaches will be reported to senior management with self-referral to the ICO if considered appropriate.</li> <li>• Mandatory data protection training is undertaken by staff.</li> <li>• Internal audits that encompass data quality.</li> </ul> <p><b>Key documents include:</b> Data Protection Policy</p> <p><b>Outstanding</b> Information governance strategy and associated policies, information risk register, data protection training</p>
<ul style="list-style-type: none"> <li>• We will implement strong public financial management</li> </ul>	<ul style="list-style-type: none"> <li>• Ensures financial management supports both long term achievement of outcomes and short-term financial and operational performance.</li> <li>• Ensures well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls.</li> </ul>	<ul style="list-style-type: none"> <li>• The Medium Term Financial Strategy, Forward Plan and Constitution identifies both short and long term financial outcomes and processes required in achieving both short and long term aims.</li> <li>• Regular finance and performance reporting to senior management and Board ensures pressures and risks are discussed and treated as appropriate.</li> <li>• Monthly budget monitoring reports.</li> </ul> <p><b>Key documents include:</b> Forward Plan, Budget monitoring reports.</p> <p><b>In progress</b> Medium Term Financial Strategy</p>

## PRINCIPLE G: TRANSPARENCY, AUDIT AND ACCOUNTABILITY

### PRINCIPLE G:

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

### SUPPORTING PRINCIPLES:

Accountability is about ensuring that those making decisions and delivering services are answerable for them. Effective accountability is concerned not only with reporting on actions completed, but also ensuring that stakeholders are able to understand and respond as the organisation plans and carries out its activities in a transparent manner. Both external and internal audit contribute to effective accountability.

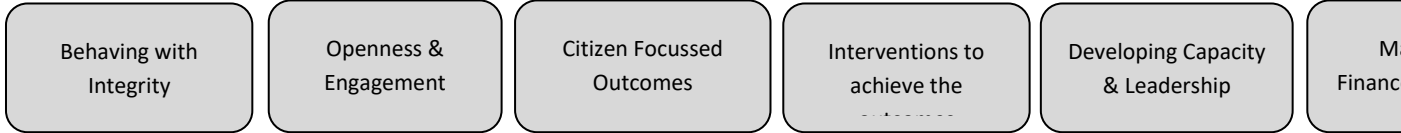
The Combined Authority supports the above principle by:

Supporting principles	To achieve this the organisation:	This is evidenced and supported by:
<ul style="list-style-type: none"> <li>We will implement good practice in transparency</li> </ul>	<ul style="list-style-type: none"> <li>Produces reports for the public and other stakeholders in an understandable style appropriate to the intended audience, ensuring that they are easy to access and interrogate.</li> <li>Strikes a balance between providing the right amount of information to satisfy transparency but can be understood by users to encourage public scrutiny.</li> </ul>	<ul style="list-style-type: none"> <li>Agendas, reports and minutes for CA and formal committees are published on the CA website in accordance with statutory deadlines.</li> <li>Forward Plan of CA decisions published monthly</li> </ul> <p><b>In progress</b></p> <ul style="list-style-type: none"> <li>Adoption of the National Transparency Code and a Publication Scheme providing information on the website regarding CA business, expenditure and governance. The process for making Freedom of Information requests is clearly set out on the website</li> <li>Freedom of information requests and responses will be published on the website.</li> </ul> <p><b>Key documents include:</b> Committee report and agendas, Freedom of Information Policy and reports, Data Protection Policy,</p> <p><b>Outstanding</b></p> <p>Data Retention Policy, Publication of Freedom of Information requests</p>

Supporting principles	To achieve this the organisation:	This is evidenced and supported by:
<ul style="list-style-type: none"> <li>We will implement good practices in reporting</li> </ul>	<ul style="list-style-type: none"> <li>Reports at least annually on performance, value for money and the stewardship of its resources.</li> <li>Ensures members and senior management own the results.</li> <li>Has robust arrangements for assessing the extent to which the principles contained in the Framework have been applied and publishing the results on this assessment including an action plan for improvement and evidence to demonstrate good governance (annual governance statement).</li> <li>Provides performance information that accompanies the financial statements is prepared on a consistent and timely basis.</li> </ul>	<ul style="list-style-type: none"> <li>The Combined Authority publishes its Annual Report and Statement of Accounts which is available on the website. It includes information on performance along with financial statements.</li> <li>An Annual Governance Statement is produced each year. .</li> </ul> <p><b>Key documents include:</b> Annual Report and Statement of Accounts, Annual Governance Statement.</p>
<ul style="list-style-type: none"> <li>Assurance and effective accountability</li> </ul>	<ul style="list-style-type: none"> <li>Ensures that recommendations for corrective action made by external audit are acted upon.</li> <li>Provides an effective internal audit service with direct access to members which provides assurance with regard to governance arrangements and recommendations are acted upon.</li> <li>Encourages peer challenge, reviews and inspections from regulatory bodies and implementing recommendations.</li> <li>Obtains assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement.</li> <li>Ensures that when working in partnership, arrangements for accountability are clear and that the need for wider public accountability has been recognised and met.</li> </ul>	<ul style="list-style-type: none"> <li>An external audit programme will be completed each year. External Audit recommendations will be formally responded to and reported to Audit &amp; Governance Committee. Regular meetings are held with senior management and External Audit to review progress.</li> <li>An independent internal audit team commissioned from Peterborough City Council which conforms to Public Sector Internal Audit Standards (PSIAS). Its Annual Plan and outcomes are reported to the Audit &amp; Governance Committee via the Head of Internal Audit Annual Audit Opinion. Follow up action is undertaken to monitor recommendation implementation.</li> <li>The Chief Internal Auditor has direct access to the Chair of the Audit Committee.</li> <li>Governance arrangements for partnerships and shared services are or will defined in partnership and contract agreements.</li> <li>An independent panel is utilised for setting member allowances.</li> </ul> <p><b>Key documents include:</b> External Audit Annual Report and Letter Annual Audit Plan HoIA Annual Report,</p>

<b>Supporting principles</b>	<b>To achieve this the organisation:</b>	<b>This is evidenced and supported by:</b>
		<b>Internal Audit Charter, Internal Audit Effectiveness Report,</b> Annual Governance Statement Internal Audit Reports





**Key Documents: Annual Review/Production Processes / Regulatory Monitoring**

**Key Documents: Ad-hoc Reviews/Production**

<p>Medium Term Financial Strategy Annual Report Statement of Accounts Prudential Code and Treasury Finance Reports Annual Governance Statement Head of Internal Audit Opinion Investigations Annual Report External Audit Letter Risk Management Strategy Strategic Risk Register Core Values Corporate Priorities Local Code of Corporate Governance Internal Audit Annual Plan</p>	<p>Financial Regulations Contract Rules Constitution Code of Conduct for Members Code of Conduct for Officers Anti-Fraud and Corruption Strategy Complaints Policy Health and Safety Policy HR Policies Whistleblowing Policy Information Governance Policy</p>	<p>Internal Audit Committee Section 151 Officer Board Scrutiny Framework Data Protection Financial Reporting Member Independent Remuneration Member Training Programme Member Induction Staff Appraisal Process Job Descriptions Staff Induction Workforce Development and Training Staff Surveys Employment Assistance Prog External Website, social media &amp; Insite (intranet app)</p>	<p>Chief Executive Monitoring Officer Corp. Management Team Scheme of delegation Internal Audit External Audit Freedom of Information Consultations Declarations of Interests Gifts and Hospitality Partnership and contract monitoring Senior Manager Salaries Expenditure in excess £500</p>
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