KETTERING BOROUGH COUNCIL
LOCAL CODE OF CORPORATE GOVERNANCE

Introduction

Kettering Borough Council is committed to demonstrating that it has the necessary corporate governance arrangements in place to perform effectively, and has developed this Local Code of Corporate Governance to reflect the latest guidance issued by the Chartered Institute of Public Finance and Accountancy (CIPFA) and the Society of Local Authority Chief Executives (SOLACE) entitled "Delivering Good Governance in Local Government (2016)".

What do we mean by Governance?

Governance is about how Kettering Borough 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 of the systems and processes, and cultures and values, by which the Council operates, and by which it engages with, and is held accountable to its communities and stakeholders.

The Corporate Governance Framework consists of seven core principles, each supported by sub-principles that should underpin the governance framework of a local authority:

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

- Ensuring openness and comprehensive stakeholder engagement;

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

- Determining the interventions necessary to optimise the achievement of intended outcomes;

- Developing the Council's capacity, including the capability of its leadership and individuals within it;

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

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

Benefits of a Code of Corporate Governance

The documents and arrangements set out within this code demonstrate that the Council continually seeks to ensure it remains well governed and that to deliver good governance the Council must seek to achieve its objectives whilst acting in the public interest at all times.

The Corporate Governance Group is responsible for ensuring that the Code is reviewed annually as part of the preparation for the Annual Governance Statement.

How KBC meets the principles of good corporate governance

This section sets out how KBC works to the seven principles of good corporate governance.

Principle 1: Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law.

Principle 1:	To achieve this, the Council will:	Examples of Evidence of systems, processes and documentation demonstrating compliance
• Behaving with integrity • Demonstrating strong commitment to ethical values • Respecting the Rule of Law	• Publish an Annual Governance Statement which reviews the effectiveness of the Council's governance framework • Maintain the established Corporate Governance Group (CGG) with responsibility for monitoring this framework and all governance matters • Maintain values which underpin an ethos of good governance • Comply with legislation and all relevant professional standards • Maintain formal codes of conduct defining standards of behavior expected of Officers and Members • Publicise Gifts & Hospitality guidelines • Maintain a framework which addresses the risks of fraud and corruption including an Anti-Fraud & Corruption Policy and a	• Annual Governance Statement • Statement of Accounts • Constitution (including Financial Procedure and Contract Procedure Rules) • Members Code of Conduct • Officer Code of Conduct • Decision making process & minutes of meetings • Declaration of interest at meetings • Register of Interests regularly updated and available on line • Register of Gifts and Hospitality for Members and Officers • Whistle Blowing Policy • Anti – Fraud and Corruption Policy (Work in progress)

	Whistleblowing Policy • Maintain effective systems to protect the rights of staff, including whistleblowing policies which are accessible and regularly communicated • Maintain a register of interests and seek declarations to be made at the start of Council meetings • Maintain arrangements to investigate complaints against Members and officers, including alleged misconduct	• Member and Officer Induction processes • Standards Advisory Committee • Member development programme • Statutory Officer appointed • Legal advice recorded in Committee reports • Staff recruitment policies • Job- descriptions • Equality Impact Assessments • Officer performance appraisal • Customer Service standards

Principle 2: Ensuring openness and comprehensive stakeholder engagement.

Principle 2:	To achieve this, the Council will:	Examples of evidence:
• Openness • Engaging comprehensively with stakeholders • Engaging stakeholders effectively, including individual citizens and service users	• Seek the views of stakeholders and respond appropriately • Provide a variety of opportunities for the public to engage effectively with the Council including rights to information, participation and how to complain or comment • Ensure Council meetings are accessible to the public • Publish agendas, minutes, report packs and a calendar for a full year for Council meetings on modern.gov and a formal notice of each meeting will be displayed at the Council offices • Publish relevant information regarding Council services and projects on the Council's website to ensure it is easily accessible to the community.	• Constitution • Decision making processes • Modern.gov (committee management system) • Scrutiny Committees • Geographic Forums, East Kettering Forum, Tenants Forum, Local Strategic Partnership • Kettering Futures Partnership • Council website, regularly updated • Compliance with the Transparency Code • Consultations • Public speaking in council meetings

Principle 2:	To achieve this, the Council will:	Examples of evidence:
		• Partnership working • Customer Service Excellence • Complaints and feedback process • Social media

Principle 3: Defining outcomes in terms of sustainable economic, social, and environmental benefits

Principle 3:	To achieve this, the Council will:	Examples of evidence:
• Defining outcomes • Sustainable economic, social & environmental benefits	• Make a clear statement of the Council's purpose and vision and use it as a basis for all corporate and service planning • Publish on the Council's website the various reports to communicate the Council's activities and achievements including its financial position and performance • Prioritise resources to deal with completing	• Committee reports • Forward Plan • Strategic Plan • Medium Term Financial Plan • Capital Programme • Risk Register/Risk Management Framework • Local development plan

Principle 3:	To achieve this, the Council will:	Examples of evidence:
	demands and consider the impact of decisions in the Medium Term Financial Strategy • Identify and manage risks to the achievement of outcomes • Ensure an up to date Local Development Plan is adopted to guide sustainable development and deliver environment, social and economic growth.	• Service plans • Corporate plan

Principle 4: Determining Interventions, planning interventions and optimising achievements of intended outcomes

Principle 4:	To achieve this, the Council will:	Examples of evidence:
• Determining Interventions • Planning interventions • Optimising achievements of	• Make a clear statement of the Council's purposes and aims and use this as a basis for corporate and service planning	• Budget consultations • Other consultations

Principle 4:	To achieve this, the Council will:	Examples of evidence:
intended outcomes	• Regularly report on key performance indicators (KPIs) which have been established for each service • Ensure budgets are prepared in accordance with organisational objectives and regularly reported upon • Provide senior managers and members with timely financial and performance information • Ensure there is a sound risk management framework to support the achievement of the Council's intended outcomes • Have robust contingency arrangements in place for business continuity and disaster recovery	• Stakeholder engagement • Performance Management Framework • Risk Management Framework • Medium Term Financial Strategy • Corporate Governance Group • Regular financial and performance to scrutiny and Executive • Business Continuity Plans • Scrutiny challenge of Executive decisions • Corporate Priorities Document • Service Delivery Plans • Safeguarding Policy • Treating People Fairly Strategy

Principle 5: Developing the Council's capacity, including the capability of its leadership and individuals within it.

Principle 5:	To achieve this, the Council will:	Examples of evidence:
• Developing the entity's capacity • Developing the capability of the Council's leadership	• Set out a clear statement of the respective roles of members and officers • Set out a protocol to address the working relationship between officers and members • Maintain an effective workforce plan to enhance the strategic allocation of resources • Maintain officer and member induction programmes • Assess the skills required by officers through the Performance Development Review (PDR) process and address any training gaps to enable roles to be carried out effectively • Develop the capabilities of members through member training • Regularly review the scheme of delegation and Constitution and update when required • Ensure arrangements are in place to encourage public participation • Ensure arrangements are in place to maintain the health and wellbeing of the workforce • Regularly brief all members	• Constitution • Member induction and training programme • Member Personal Review and Development Plans • Briefings and workshops delivered to all members or political groups • Member/officer protocol • Employee induction process • Employee Annual Performance, Review and Development process • Corporate Training budgets • Induction and management training • Professionally qualified staff • Corporate Management Team development days • Team meetings • Core Brief

Principle 5:	To achieve this, the Council will:	Examples of evidence:
	• Working through effective partnerships	

Principle 6: Managing Risks and performance through robust internal control and strong public financial management

Principle 6:	To achieve this the Council will:	Examples of evidence:
• Managing Risk • Managing performance • Robust internal control • Managing data • Strong public financial management	• Maintain an effective Monitoring & Audit Committee independent of Executive functions • Maintain an effective Scrutiny function • Ensure robust and integrated risk management arrangements are in place and responsibilities for managing individual risks are clearly allocated • Manage performance by ensuring the Performance Management Framework is adhered to • Ensure publication of agendas and minutes are published promptly • Maintain regular programme of member	• Risk register • Risk management strategy • Monitoring • Constitution • Financial procedure rules • Financial management systems • Regular financial and performance reporting • Safeguarding Policy • Scheme of delegations • Performance Management clinics & framework • Monitoring & Audit Committee

Principle 6:	To achieve this the Council will:	Examples of evidence:
	training • Maintain sound financial procedure rules to ensure consistency and clear financial protocols • Maintain a transparent complaints and feedback procedure • Maintain a risk based programme of internal audits which are informed by the Council's risk registers • Individual audits take account of service/ project risks with each report providing an assurance opinion on how risks are being managed • Ensure effective anti-fraud and corruption arrangements are in place • Ensure effective information governance arrangements are in place to support compliance with data protection legislation • Ensure financial management supports decision making and provides sufficient information to support the delivery of the Council's objectives	• Research & Development Committee • Standards Assessment Committee • Statutory officers • Corporate and service risk registers • Monthly Performance Clinics at SMT • Modern.gov • Constitution (including financial rules) • Regular training • Complaints & customer feedback procedure • Internal Audit Charter • Anti-fraud and corruption strategy • Annual Governance Statement • IT security policy • Social media policy • Internal Audit plans

Principal 7: Implementing good practices in transparency, reporting, and audit to deliver effective accountability.

Principle 7:	To achieve this the Council will:	Examples of evidence:
- Implementing good practice in transparency - Implementing good practice in reporting - Assurance and effective accountability	- Maintain compliance with the local government transparency code and publish all required information in a timely manner - Maintain effective and accessible arrangements for dealing with complaints - Maintain an effective scrutiny function which encourages constructive challenge - Maintain an effective audit function - Publish all Council reports on the website (eventually through modern.gov) unless there is a statutory reason not to do so - Maintain and regularly communicate whistleblowing policies - Corporate Governance Group meets regularly and monitors compliance with the Governance Framework - Produce regular finance and budget monitoring reports for members reporting on performance, value for money and stewardship of resources - Produce regular budget manager reports to ensure senior managers own the results.	- Council meetings are open to the public except where, for legal reasons, matters are discussed in private as exempt items or are confidential meetings - Agendas, reports and minutes published on council website and Forward Plan - Publication of decisions - Annual Statement of Accounts - Annual governance statement - Website information - Scrutiny committees - Complaints and customer feedback policies - Modern.gov - Whistleblowing policy - Performance Management - Members' remuneration panel - Risk Management Strategy Policy