

**LEWES DISTRICT COUNCIL**  
**CODE OF CORPORATE GOVERNANCE**

**CORE PRINCIPLE 1: Focusing on the purpose of Lewes District Council and on outcomes for the community and creating and implementing a vision for the local area**

	<b>Our local code will reflect the requirement to:</b>	<b>Systems / processes/ documentation demonstrating compliance</b>	<b>Responsibility for monitoring/review</b>	<b>Issues to be addressed, target date and officer responsible</b>
<b>1.1</b>	<b>Supporting Principle:</b> Lewes District Council will exercise strategic leadership by developing and clearly communicating the Council's purpose and vision and its intended outcomes for citizens and service users			
a)	Develop and promote the Council's purpose and vision	<ul style="list-style-type: none"> <li>• Council Plan</li> <li>• Council Tax Leaflet</li> <li>• District News</li> <li>• Website</li> <li>• Internal communications to staff</li> <li>• Hosted events</li> </ul>	<ul style="list-style-type: none"> <li>• Council</li> <li>• Cabinet</li> <li>• Corporate Management Team</li> </ul>	Council Plan published by March 2016 to cover the period 2016-20. It will be reviewed annually. <b>Head of Business Strategy and Performance</b>
b)	Review on a regular basis the Council's vision for the local area and its impact on the Council's governance arrangements	<ul style="list-style-type: none"> <li>• Review following district council elections</li> <li>• Annual review as part of business planning process</li> <li>• Review of Lewes District Council Code of Corporate Governance</li> </ul>	<ul style="list-style-type: none"> <li>• Cabinet</li> <li>• Corporate Management Team</li> <li>• Reviewed annually by the Head of Audit, Fraud and Procurement and monitored by the Audit and Standards Committee through an annual update report</li> </ul>	Review of the Council's vision as part of the Council Plan annual review. Ongoing. <b>Head of Business Strategy and Performance</b>
c)	Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all partners.	<ul style="list-style-type: none"> <li>• Partnership agreements with associated governance arrangements</li> <li>• Review of Lewes District Council Code of Corporate Governance</li> <li>• Guidance for partnership working</li> <li>• Project Initiation Documents</li> <li>• Corporate Management Team sign off for new projects</li> </ul>	<ul style="list-style-type: none"> <li>• Cabinet</li> <li>• Corporate Management Team</li> <li>• Project Lead Officers</li> <li>• Head Of Business Strategy and Performance</li> </ul>	Review of partnership arrangements annually to take account any changes brought about by the Joint Transformation Programme. Ongoing <b>Head of Business Strategy and Performance</b>
d)	Publish an annual report to	<ul style="list-style-type: none"> <li>• Council Plan</li> </ul>	<ul style="list-style-type: none"> <li>• Cabinet</li> </ul>	Annual performance report

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	communicate the Council's activities and achievements, its financial position and performance	<ul style="list-style-type: none"> <li>• Whole year performance report to Cabinet in June each year</li> <li>• Annual Statement of Accounts</li> <li>• Annual Governance Statement</li> <li>• Medium Term Financial Strategy</li> <li>• Data transparency pages on web site</li> </ul>	<ul style="list-style-type: none"> <li>• Corporate Management Team</li> <li>• Audit and Standards Committee</li> <li>• Director of Corporate Services</li> <li>• External Audit</li> </ul>	published June 2016 <b>Head of Business Strategy and Performance</b>
<b>1.2</b>	<b>Supporting Principle: Lewes District Council will ensure that users receive a high quality service of service whether directly, or in partnership or by commissioning.</b>			
a)	Decide how the quality of service for users is to be measured and make sure the information needed to review service quality is available	<ul style="list-style-type: none"> <li>• Council Plan</li> <li>• Key Performance Indicators</li> <li>• Medium Term Financial Strategy</li> <li>• Quarterly Portfolio monitoring reports to Scrutiny and Cabinet</li> <li>• Service plans</li> <li>• Customer surveys and feedback</li> <li>• Complaints and compliments</li> </ul>	<ul style="list-style-type: none"> <li>• Cabinet</li> <li>• Corporate Management Team</li> <li>• Extended Corporate Management Team</li> <li>• Service Managers</li> </ul>	Service plans containing KPIs and targets published internally by March 2016 <b>Head of Business Strategy and Performance</b>
b)	Put in place effective arrangements to identify and deal with failure in service delivery	<ul style="list-style-type: none"> <li>• Complaints procedure and associated reporting arrangements</li> <li>• Customer surveys and feedback</li> <li>• Performance reports considered by Scrutiny Committee ahead of Cabinet each quarter. This includes performance action plans to address underperformance.</li> </ul>	<ul style="list-style-type: none"> <li>• Cabinet</li> <li>• Corporate Management Team</li> <li>• Scrutiny Committee</li> </ul>	Performance reported quarterly to Scrutiny Committee. Ongoing. <b>Head of Business Strategy and Performance</b>
<b>1.3</b>	<b>Supporting Principle: Lewes District Council will ensure the Council makes best use of resources and that tax payers and service users receive excellent value for money</b>			
a)	Decide how value for money is to be measured and make sure the authority has the information needed to review value for money and performance	<ul style="list-style-type: none"> <li>• Internal assessment of value for money to meet the requirement of the Use of Resources assessment undertaken by the external auditor</li> <li>• Annual Governance report from</li> </ul>	<ul style="list-style-type: none"> <li>• External Audit</li> <li>• Council</li> <li>• Corporate Management Team</li> <li>• Audit and Standards</li> </ul>	

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	effectively. Measure the environmental impact of policies, plans and decisions	<p>External Audit including Use of Resources conclusion measured against the reporting criteria</p> <ul style="list-style-type: none"> <li>• Council Plan</li> <li>• Service Plans</li> <li>• Partnership agreements, reports and minutes</li> <li>• Inviting external challenge</li> </ul>	<p>Committee</p> <ul style="list-style-type: none"> <li>• Scrutiny Committee</li> </ul>	

**CORE PRINCIPLE 2: Members and officers working together to achieve a common purpose with clearly defined functions and roles**

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<b>2.1</b>	<b>Supporting Principle:</b> Lewes District Council will ensure effective leadership throughout the authority and being clear about executive and non executive functions and the roles and responsibilities of the scrutiny function			
a)	State the respective roles and responsibilities of the executive and the executive's members individually, and the Council's approach towards putting this into practice	<ul style="list-style-type: none"> <li>• Part 2, Article 7 of the Constitution sets out the role and responsibilities of the Leader and Cabinet</li> <li>• Part 3 of the Constitution (responsibility for functions – sets out how the Leader has power to shared executive powers between himself, Cabinet and individual Lead Councillors)</li> </ul>	<ul style="list-style-type: none"> <li>• Assistant Director Corporate Services</li> <li>• Council</li> <li>• Appointed Councillors</li> </ul>	Revising responsibilities for executive function on ongoing basis to accord with wishes of Leader. <b>Ongoing – Head of Democratic Services</b>
b)	State the respective roles and responsibilities of other Council members, members generally and of senior officers	<p><b>Councillors</b></p> <ul style="list-style-type: none"> <li>• Roles and responsibilities defined in Part 12 of Constitution (Role Profiles)</li> </ul> <p><b>Senior Officers</b></p> <ul style="list-style-type: none"> <li>• Part 2, Article 12 of the Constitution sets out the functions and areas of responsibilities of individual chief officers.</li> </ul>	<ul style="list-style-type: none"> <li>• Assistant Director Corporate Services</li> <li>• Council</li> </ul>	Revising responsibilities for executive function on ongoing basis to accord with wishes of Leader. <b>Ongoing – Head of Democratic Services</b>

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		<ul style="list-style-type: none"> <li>• Senior Officer roles (including statutory officers) set out in Scheme of Delegation to Officers (Part 9 of Constitution)</li> <li>Management structure of the Council set out in Part 8 of the Constitution.</li> </ul>		
<b>2.2</b>	<b>Supporting Principle:</b> Lewes District Council will ensure that a constructive working relationship exists between authority members and officers and that, responsibilities of members and officers are carried out to a high standard.			
a)	Determine 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	<ul style="list-style-type: none"> <li>• Scheme of Delegation to officers set out in Part 9 of the Constitution</li> <li>• Delegation to Councillors set out in Part 11 of the Constitution</li> <li>• Schedule of matters reserved to Council set out in Article 4.2</li> <li>• Responsibility for Local Choice functions set out in Part 3 of the Constitution</li> </ul>	<ul style="list-style-type: none"> <li>• Assistant Director Corporate Services</li> <li>• Council</li> </ul>	
b)	Make a Chief Executive or equivalent responsible, and accountable to the authority, for all aspects of operational management	<ul style="list-style-type: none"> <li>• Role of the Chief Executive laid down in Part 2 “Articles of the Constitution” and Part 9 “Officer Scheme of Delegation to Officers”</li> </ul>	<ul style="list-style-type: none"> <li>• Cabinet/ Council</li> </ul>	
c)	Develop protocols to ensure that the Leader and Chief Executive understand and maintain their respective roles and objectives	<ul style="list-style-type: none"> <li>• Leader/ Chief Executive protocol set out in paragraph 3 of Protocol on Councillor/ Officer Relations (Part 5 of the Constitution)</li> </ul>	<ul style="list-style-type: none"> <li>• Chief Executive and Monitoring Officer (Assistant Director Corporate Services)</li> </ul>	
d)	Make a senior officer (the Section 151 Officer) responsible for ensuring that appropriate advice is given on all financial matters, for keeping proper financial records and accounts, and for maintaining an effective system of internal financial	<ul style="list-style-type: none"> <li>• Director of Corporate Services designated as Chief Finance Officer (Section 151 Officer) under Part 2 “Articles of the Constitution” and Part 4 “Financial Procedure Rules”</li> <li>• Part 2 “Articles of the Constitution” sets out the functions of the Chief</li> </ul>	<ul style="list-style-type: none"> <li>• Cabinet/Council</li> </ul>	

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	control	Finance Officer <ul style="list-style-type: none"> <li>• Statutory requirement to have a Section 151 Officer under Section 151 of the Local Government Act 1972</li> </ul>		
e)	Make a senior officer (usually the Monitoring Officer) responsible for ensuring that agreed procedures are followed and that all applicable statutes and regulations are complied with	<ul style="list-style-type: none"> <li>• Assistant Director Corporate Services designated as Monitoring Officer under Part 2 “Articles of the Constitution”</li> <li>• Part 2 “Articles of the Constitution” sets out the functions of the Monitoring Officer (Assistant Director of Corporate Services)</li> <li>• Head of Audit , Fraud and Procurement</li> <li>• Statutory requirement to have a monitoring officer under Section 5 of the Local Government and Housing Act 1989</li> </ul>	<ul style="list-style-type: none"> <li>• Cabinet/Council</li> </ul>	
<b>2.3</b>	<b>Supporting principle:</b> Lewes District Council will ensure that relationships between the Council, its partners and the public are clear so that each knows what to expect of the other.			
a)	Develop protocols to ensure effective communication between members and officers in their respective roles	<ul style="list-style-type: none"> <li>• Part 5 of the Constitution “Codes and Protocols” includes the Members Code of Conduct and the Protocol on Member/Officer Relations</li> </ul>	<ul style="list-style-type: none"> <li>• Chief Executive and Monitoring Officer (Assistant Director Corporate Services)</li> <li>• Audit and Standards Committee</li> </ul>	
b)	Set out terms and conditions for remuneration of members and officers and an effective structure for managing the	<b>Councillors</b> <ul style="list-style-type: none"> <li>• Members’ Allowances Scheme is set out in Part 7 of the Constitution</li> </ul> <b>Staff</b>	<b>Councillors</b> <ul style="list-style-type: none"> <li>• Independent Panel advises on Members Allowance Scheme/Head</li> </ul>	Recommendation of Independent Remuneration Panel from 2014 to be reconsidered after October

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	process, including an effective remuneration panel (if applicable)	<ul style="list-style-type: none"> <li>• Job conditions and specifications</li> <li>• Job descriptions</li> <li>• Job evaluation scheme</li> <li>• Pay and conditions of service</li> <li>• Annual appraisals to agree annual service targets</li> <li>• Annual Pay Policy Statement</li> </ul>	<p>of Democratic Services <b>Staff</b></p> <ul style="list-style-type: none"> <li>• Head of Organisational Development/ Corporate Management Team</li> </ul>	2016 <b>Head of Democratic Services</b>
c)	Ensure that effective mechanisms exist to monitor service delivery	<ul style="list-style-type: none"> <li>• Quarterly monitoring report to Cabinet and Scrutiny Committee on key actions and performance indicators</li> <li>• Service plans and associated monitoring</li> <li>• Scrutiny of performance by Scrutiny Committee</li> <li>• Council Plan quarterly monitoring report to Corporate Management Team</li> <li>• Performance/project management system (Covalent)</li> </ul>	<ul style="list-style-type: none"> <li>• Cabinet/ Portfolio Holders</li> <li>• Scrutiny Committee</li> <li>• Corporate Management Team</li> <li>• Extended Corporate Management Team</li> <li>• Directorate Management Teams</li> </ul>	
d)	Ensure that the organisation's vision, strategic plans, priorities and targets are developed in consultation with the local community and other key stakeholders, and that they are clearly articulated and disseminated	<ul style="list-style-type: none"> <li>• Council Plan</li> <li>• Quarterly monitoring to Scrutiny Committee/Cabinet</li> <li>• Medium Term Financial Strategy</li> <li>• Consultation and engagement processes</li> </ul>	<ul style="list-style-type: none"> <li>• Council</li> <li>• Cabinet</li> <li>• Corporate Management Team</li> </ul>	Engagement Strategy to be implemented from April 2016 <b>Head of Business Strategy and Performance</b>
e)	When working in partnership, ensure that members are clear about: <ul style="list-style-type: none"> <li>• Their roles and responsibilities both</li> </ul>	<ul style="list-style-type: none"> <li>• Cabinet/Council Decisions</li> <li>• Guidance for partnership working</li> </ul>	<ul style="list-style-type: none"> <li>• Cabinet</li> <li>• Corporate Management Team</li> <li>• Partnership Lead Officers</li> </ul>	Partnership guidance to be disseminated once updated by March 2016. <b>Head of Business Strategy and Performance</b>

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	<p>individually and collectively in relation to the partnership and the Council</p> <ul style="list-style-type: none"> <li>• The legal status of the partnership</li> <li>• The extent of their authority to bind their organisation to partner decisions</li> </ul>		<ul style="list-style-type: none"> <li>• Head of Business Strategy and Performance</li> </ul>	

**CORE PRINCIPLE 3: Promoting values for the Council and demonstrating the values of good governance through upholding high standards of conduct and behaviour.**

	<b>Our local code will reflect the requirement to:</b>	<b>Systems / processes/ documentation demonstrating compliance</b>	<b>Responsibility for monitoring/review</b>	<b>Issues to be addressed and target date where known and officer responsible</b>
<b>3.1</b>	<b>Supporting Principle:</b> Lewes District Council will ensure Council members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance.			
a)	Ensure that the Council's leadership creates a climate of openness, support and respect for the organisation	<ul style="list-style-type: none"> <li>• Annual staff survey and report of its findings and action taken by management</li> <li>• Dignity at Work Policy</li> <li>• Equalities Working Group</li> <li>• Welfare Support contacts</li> <li>• Infolink</li> <li>• Team Briefing system</li> <li>• LDC News Leadership and development programme for Corporate Management Team and managers</li> </ul>	<ul style="list-style-type: none"> <li>• Corporate Management Team</li> <li>• Employment Committee</li> <li>• Head of Organisational Development</li> <li>• Chief Executive</li> </ul>	
b)	Ensure that standards of conduct and personal behaviour expected of members and staff, of work between members and staff and between the Council's, its partners and the community are defined and	<ul style="list-style-type: none"> <li>• Members' Code of Conduct</li> <li>• Anti fraud and corruption strategy</li> <li>• Whistle blowing policy</li> <li>• Anti Bribery Policy</li> <li>• Officers' Code of Conduct</li> </ul>	<ul style="list-style-type: none"> <li>• Monitoring Officer (Assistant Director Corporate Services)</li> <li>• Audit and Standards Committee for Councillors</li> </ul>	<p>Revised Whistleblowing Policy published by end of March 2016</p> <p><b>HR Manager and Head of Audit, Fraud and</b></p>

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	communicated through codes of conduct and protocols	<ul style="list-style-type: none"> <li>• Relevant Contract Conditions for Outside Contractors</li> <li>• Council's Disciplinary and Grievance Procedures</li> <li>• Complaints Procedure and associated reporting arrangements</li> <li>• Dignity at Work Policy</li> <li>• Guidance for partnership working</li> <li>• Annual Assurance Statements completed by Corporate Management Team</li> <li>• Staff induction programme</li> <li>• Declaration of Related Party Transactions by Councillors and Heads of Service</li> <li>• Register of Interests forms for Councillors from July 2012 to record "disclosable pecuniary interests" of members and their partners in accordance with Localism Act 2012</li> </ul>	<ul style="list-style-type: none"> <li>• Chief Executive/ Directors/Service Heads for Officers</li> <li>• Head of Organisational Development maintains and updates the Officer Code of Conduct when necessary</li> <li>• Head of Audit, Fraud and Procurement</li> </ul>	<b>Procurement</b>
c)	Put in place arrangements to ensure that members and employees of the Council are not influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders	<ul style="list-style-type: none"> <li>• Constitution; Contract Procedure Rules; Local Code of Conduct for Planning; Financial Procedure Rules</li> <li>• Councillor Protocol for Procurement</li> <li>• Councillor and officer codes of conduct</li> <li>• Register of Interests forms for Councillors from July 2012 to record "disclosable pecuniary interests" of members and their partners in accordance with</li> </ul>	<ul style="list-style-type: none"> <li>• Advice from the Monitoring Officer/ Director of Corporate Services and Head of Audit, Fraud and Procurement</li> <li>• Head of Organisational Development</li> <li>• External Audit</li> </ul>	

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		Localism Act 2012 <ul style="list-style-type: none"> <li>• Hospitality and Trips Abroad Register for Councillors</li> <li>• Hospitality and Trips Abroad Register for Officers</li> <li>• Register of Interests of Officers</li> <li>• Declaration of Related Party Transactions by Councillors and Heads of Service</li> </ul>		
<b>3.2</b>	<b>Supporting Principle:</b> Lewes District Council will ensure that organisational values are put in practice and are effective.			
a)	Develop and maintain shared values for both the organisation and staff reflecting public expectations, and communicate these with members, staff, the community and partners	<ul style="list-style-type: none"> <li>• Members' Code of Conduct</li> <li>• Officers' Code of Conduct</li> <li>• Training of Councillors on the Code of Conduct as part of the Induction Programme</li> <li>• Guidance for partnership working and systems which form part of that guidance</li> <li>• Staff appraisals and training</li> </ul>	<ul style="list-style-type: none"> <li>• Monitoring Officer (Assistant Director Corporate Services)</li> <li>• Audit and Standards Committee for Members and Chief Executive and Directors for officers</li> </ul>	
b)	Put in place arrangements to ensure that systems and processes are designed in conformity with appropriate ethical standards, and monitor their continuing effectiveness in practice	<ul style="list-style-type: none"> <li>• Members' Code of Conduct.</li> <li>• Officers' Code of Conduct</li> <li>• Training of Councillors and staff on the Codes of Conduct as part of the Induction Programme</li> </ul>	<ul style="list-style-type: none"> <li>• Monitoring Officer (Assistant Director Corporate Services)</li> <li>• Audit and Standards Committee for Councillors</li> <li>• Chief Executive and Directors for officers</li> </ul>	Interim training for Leader and other key councillors when they change their roles mid-term <b>Ongoing – Head of Democratic Services</b>
c)	Develop an effective Standards Committee	<ul style="list-style-type: none"> <li>• Audit and Standards Committee in place with remit set out in Part 11 of the Constitution</li> <li>• Composition, role and function of the Committee are set out in the Articles of the Constitution (Part 2 – Article 9).</li> </ul>	<ul style="list-style-type: none"> <li>• Assistant Director Corporate Services</li> </ul>	

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e)	Agree a set of values for partnerships against which decision making and actions can be judged	<ul style="list-style-type: none"> <li>Partnership agreements</li> <li>Guidance for partnership working</li> </ul>	<ul style="list-style-type: none"> <li>Cabinet</li> <li>Corporate Management Team</li> <li>Partnership Lead Officers</li> <li>Head of Business Strategy and Performance</li> </ul>	Partnership guidance to be disseminated once updated by March 2016 <b>Head of Business Strategy and Performance</b>

**CORE PRINCIPLE 4: Taking informed and transparent decisions which are subject to effective scrutiny and risk management**

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<b>4.1</b>	<b>Supporting Principle:</b> Lewes District Council will be rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny			
a)	Develop and maintain an effective scrutiny function which encourages constructive challenge and enhances the Council's performance	<ul style="list-style-type: none"> <li>Scrutiny Procedure Rules (Part 4 of the Constitution). These include arrangements for meetings, conducting reviews, councillors and officers giving account and call in of executive decisions</li> <li>Annual Scrutiny Budget Review</li> </ul>	<ul style="list-style-type: none"> <li>Cabinet</li> <li>Council</li> <li>Head of Business Strategy and Performance</li> </ul>	
b)	Maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based	<ul style="list-style-type: none"> <li>Rules of procedure – Access to Information (Part 4, Procedure Rule 5 of the Constitution)</li> <li>Protocol on key decisions (Part 5 of the Constitution)</li> <li>Decision Making (Part 2, Article 13 of the Constitution)</li> <li>Published minutes and reports</li> <li>Publish decisions taken by the Leader/ Lead Councillors</li> </ul>	<ul style="list-style-type: none"> <li>Regularly reviewed at Cabinet/Council.</li> </ul>	

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		<ul style="list-style-type: none"> <li>Financial control procedure for Leaders' approved use of resources</li> </ul>		
c)	Put in place arrangements to safeguard members and employees against conflicts of interest and ensure that they continue to operate in practice	<ul style="list-style-type: none"> <li>Code of Conduct for members of the Council (Part 5 of Constitution)</li> <li>Officers Code of Conduct (Part 5 of Constitution)</li> <li>Protocol on member/ officer relations (Part 5 of Constitution)</li> <li>Register of Interests of Members and Co-opted Members of the Council</li> <li>Councillor Protocol for Procurement</li> <li>Hospitality Register for Councillors</li> <li>Hospitality Register for Officers</li> <li>Register of Interests of Officers</li> </ul>	<ul style="list-style-type: none"> <li>Regularly updated and reviewed at Cabinet/ Council</li> <li>Assistant Director Corporate Services</li> </ul>	
d)	Develop and maintain an effective Audit Committee which is independent of the executive and scrutiny function	<ul style="list-style-type: none"> <li>Remit of the Audit and Standards Committee at –Part 11 of the Constitution</li> <li>Comprehensive training programme provided to the Audit and Standards Committee</li> <li></li> </ul>	<ul style="list-style-type: none"> <li>Regularly updated and reviewed at Cabinet/ Council.</li> <li>Head of Audit, Fraud and Procurement</li> <li>External Audit</li> </ul>	
e)	Ensure that effective, transparent and accessible arrangements are in place for dealing with complaints	<ul style="list-style-type: none"> <li>Complaints procedure and associated reporting to Corporate Management Team</li> <li>Annual report on complaints to Cabinet</li> </ul>	<ul style="list-style-type: none"> <li>Complaints Panel</li> <li>Corporate Management Team</li> <li>Cabinet</li> </ul>	
<b>4.2</b>	<b>Supporting principle:</b> Lewes District Council will have good quality information, advice and support to ensure that services are delivered effectively and are what the community wants/needs.			

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a)	Ensure those making decisions for the Council or partnerships are provided with information that is fit for purpose, relevant, timely and gives clear explanations of technical issues and their implications	<ul style="list-style-type: none"> <li>• Data Quality checks built into Covalent implementation</li> <li>• Guidance for partnership working – protocol for data quality and information sharing</li> <li>• Data Sharing Policy</li> <li>• Data transparency policy and guidance note</li> </ul>	<ul style="list-style-type: none"> <li>• Audit and Standards Committee</li> <li>• External Audit</li> <li>• Director of Corporate Services</li> <li>• Head of Business Strategy and Performance</li> </ul>	Review Data Quality guidance in light of move to Covalent by April 2016 <b>Head of Business Strategy and Performance</b>
b)	Ensure that professional advice on matters that have legal or financial implications is available well in advance of decision making	<ul style="list-style-type: none"> <li>• Checklist for decision makers which includes guidance for both finance and legal matters.</li> <li>• Assessment of finance and legal implications for Committee reports</li> <li>• Records of decisions made by Committees and the Leader/ Lead Councillors on website</li> <li>• Records of Leader's decisions on use of reserves recorded and reported to the next Cabinet meeting</li> </ul>	<ul style="list-style-type: none"> <li>• Assistant Director Corporate Services</li> <li>• Director of Corporate Services</li> </ul>	
<b>4.3</b>	<b>Supporting principle:</b> Lewes District Council will ensure that effective risk management is in place			
a)	Ensure that risk management is embedded into the culture of the authority	<ul style="list-style-type: none"> <li>• Guidance on risk to support reports to Cabinet and Committees</li> <li>• Risk management framework to support the Council's risk management strategy</li> <li>• Risks identified as part of annual</li> </ul>	<ul style="list-style-type: none"> <li>• Lead Councillor for risk management</li> <li>• Chief Executive and Corporate Management Team</li> <li>• Head of Audit, Fraud and Procurement</li> </ul>	

	<b>Our local code will reflect the requirement to:</b>	<b>Systems / processes/ documentation demonstrating compliance</b>	<b>Responsibility for monitoring/review</b>	<b>Issues to be addressed and target date where known and officer responsible</b>
		<ul style="list-style-type: none"> <li>service planning process</li> <li>Risk management briefing notes and focused member/officer training</li> </ul>	<ul style="list-style-type: none"> <li>External Audit</li> </ul>	
b)	Ensure 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	<ul style="list-style-type: none"> <li>Whistle Blowing Policy in place and periodically reviewed</li> <li>Contract manual guidance</li> <li>Annual Assurance Statement completed by each member of Corporate Management Team</li> </ul>	<ul style="list-style-type: none"> <li>Directors and Heads of Service, Head of Audit, Fraud and Procurement and Monitoring Officer</li> <li>Employment Committee</li> <li>Audit and Standards Committee</li> </ul>	Revised Whistleblowing Policy published by end of March 2016. <b>HR Manager and Head of Audit, Fraud and Procurement</b>
<b>4.4</b>	<b>Supporting principle:</b> Lewes District Council will use its legal powers to the full benefit of the citizens and communities in its area			
a)	Recognise the limits of lawful activity and observe both the specific requirements of legislation and the general responsibilities placed on authorities by public law	<ul style="list-style-type: none"> <li>Part 2 (Article 12) of the Constitution sets out the functions of the Monitoring Officer</li> <li>Statutory requirement for a Monitoring Officer under Section 5 of the Local Government and Housing Act 1989</li> </ul>	<ul style="list-style-type: none"> <li>Monitoring Officer (Assistant Director Corporate Services).</li> </ul>	
b)	Observe all specific legislative requirements and integrate the key principles of good administrative law - rationality legality and natural justice – into the decision making processes			

**CORE PRINCIPLE 5: Developing the capacity and capability of members and officers to be effective**

	<b>Our local code will reflect the requirement to:</b>	<b>Systems / processes/ documentation demonstrating compliance</b>	<b>Responsibility for monitoring/review</b>	<b>Issues to be addressed and target date where known and officer responsible</b>
<b>5.1</b>	<b>Supporting principle:</b> Lewes District Council will make sure that members and officers have the skills, knowledge, experience and resources they need to perform well in their roles.			
a)	Provide induction programmes	<b>Councillors</b>	<b>Councillors</b>	Interim training for Leader

	<b>Our local code will reflect the requirement to:</b>	<b>Systems / processes/ documentation demonstrating compliance</b>	<b>Responsibility for monitoring/review</b>	<b>Issues to be addressed and target date where known and officer responsible</b>
	tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis	<ul style="list-style-type: none"> <li>• Councillor's Induction Programme organised on a four yearly basis to link into District Council elections</li> <li>• Individual Councillor training needs are reviewed annually</li> <li>• Specialised training on specific areas of activity/responsibility is organised by officers as required eg. on planning and scrutiny matters</li> <li>• All Council Committees invited to identify training arising from their work programme</li> </ul> <p><b>Staff</b></p> <ul style="list-style-type: none"> <li>• Established induction programme for new staff</li> <li>• Annual training needs analysis for each member of staff</li> <li>• Annual training plan for staff Plan is subject to review after six months</li> </ul>	<ul style="list-style-type: none"> <li>• Feedback on individual events gained as required</li> <li>• Survey undertaken before election time to identify training needs for the new induction programme</li> <li>• Head of Democratic Services/ Head of Organisational Development</li> </ul> <p><b>Staff</b></p> <ul style="list-style-type: none"> <li>• Head of Organisational Development</li> <li>• Departmental managers</li> <li>• Training coordinators</li> </ul>	and other key councillors when they change their roles mid-term <b>Ongoing – Head of Democratic Services</b>
b)	Ensure that the statutory officers have the skills, resources and support necessary to perform effectively in their roles and that these roles are properly understood throughout the authority	<ul style="list-style-type: none"> <li>• Job description and person specifications of Corporate Management Team</li> <li>• Professional qualifications for statutory roles of Corporate Management Team</li> <li>• Recruitment procedures ensure mandatory requirements are met.</li> <li>• Leadership and development training</li> </ul>	<ul style="list-style-type: none"> <li>• Chief Executive</li> <li>• Head of Organisational Development</li> </ul>	

	<b>Our local code will reflect the requirement to:</b>	<b>Systems / processes/ documentation demonstrating compliance</b>	<b>Responsibility for monitoring/review</b>	<b>Issues to be addressed and target date where known and officer responsible</b>
<b>5.2</b>	<b>Supporting principle: Lewes District Council will develop the capability of people with governance responsibilities and evaluate their performance</b>			
a)	Assess the skills required by members and officers and make a commitment to develop those skills to enable roles to be carried out effectively	<p><b>Councillors</b></p> <ul style="list-style-type: none"> <li>• Individual Councillor training needs are reviewed annually and appropriate training provided</li> <li>• All Council Committees are invited to identify training arising from their work programme on an annual basis.</li> <li>• Councillors cannot sit on the Planning or Licensing Committee unless they have had training</li> </ul> <p><b>Staff</b></p> <ul style="list-style-type: none"> <li>• Annual development plan for each member of staff</li> <li>• Training programme drawn up each year for staff based on training needs analysis. Plan is subject to review annually</li> <li>• Leadership and development training for all managers</li> </ul>	<ul style="list-style-type: none"> <li>• Head of Democratic Services/ Head of Organisational Development</li> </ul>	Training and Development Programme for Councillors' to be implemented by March 2017 <b>Head of Democratic Services</b>
b)	Develop skills on a continuing basis to improve performance, including the ability to scrutinise and challenge and to recognise when outside expert advice is needed	<ul style="list-style-type: none"> <li>• All Council Committees are invited to identify training arising from their work programme</li> <li>• Councillors participate in standard IT courses</li> </ul>	<ul style="list-style-type: none"> <li>• Head of Organisational Development/Head of Democratic Services/ Head of Finance</li> <li>• Head of Audit, Fraud and Procurement for Audit and</li> </ul>	

	<b>Our local code will reflect the requirement to:</b>	<b>Systems / processes/ documentation demonstrating compliance</b>	<b>Responsibility for monitoring/review</b>	<b>Issues to be addressed and target date where known and officer responsible</b>
			Standards Committee	
c)	Ensure that effective arrangements are in place for reviewing the performance of the executive as a whole and of individual members, and agreeing an action plan to address any training or development needs	<ul style="list-style-type: none"> <li>The Council, Committees and Cabinet are invited to identify training arising from their work programme.</li> <li>Individual Councillor training needs are reviewed annually and appropriate training provided</li> </ul>	<ul style="list-style-type: none"> <li>Head of Organisational Development/Head of Democratic Services</li> </ul>	
<b>5.3</b>	<b>Supporting principle:</b> Lewes District Council will encourage new talent for membership of the authority so that best use can be made of individuals skills and resources in balancing continuity and renewal.			
a)	Ensure 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	<ul style="list-style-type: none"> <li>Public Meetings</li> <li>Local Development Framework</li> <li>Neighbourhood Plans</li> <li>Tenants Groups</li> <li>Scrutiny Committee</li> <li>Cabinet/Council Meetings</li> <li>Annual consultation process with Town and Parish Councils</li> <li>Local elections – publicity and guidance available to prospective candidates</li> <li>General petitions scheme and e – petitions</li> </ul>	<ul style="list-style-type: none"> <li>Council, Cabinet and Scrutiny Committee</li> <li>Corporate Management Team</li> <li>Head of Business Strategy and Performance</li> <li>Head of Democratic Services</li> </ul>	Engagement Strategy to be implemented from April 2016 <b>Head of Business Strategy and Performance</b>
b)	Ensure that career structures are in place for members and officers to encourage participation and development	<ul style="list-style-type: none"> <li>Career grades in place for specific hard to fill posts</li> <li>Annual development plan for each member of staff</li> </ul>	<ul style="list-style-type: none"> <li>Head of Organisational Development</li> </ul>	

**CORE PRINCIPLE 6: Engaging with local people and other stakeholders to ensure robust public accountability**

	<b>Our local code will reflect the requirement to:</b>	<b>Systems / processes/ documentation demonstrating compliance</b>	<b>Responsibility for monitoring/review</b>	<b>Issues to be addressed and target date where known and officer responsible</b>
<b>6.1</b>	<b>Supporting principle:</b> Lewes District Council will exercise leadership through a robust scrutiny function which effectively engages local people and all local institutional stakeholders, including partnerships, and develops constructive accountability relationships.			
a)	Make clear to themselves, all staff and the community to whom they are accountable and for what	<ul style="list-style-type: none"> <li>• Council Plan</li> <li>• District News</li> <li>• Website</li> <li>• Scrutiny Committee</li> <li>• Report back by Councillors to Council on their work with outside bodies which they are nominated to by the Council</li> </ul>	<ul style="list-style-type: none"> <li>• Council</li> <li>• Cabinet</li> <li>• Corporate Management Team</li> </ul>	Trialling of a number of options to encourage public attendance and add interest to Full Council meetings <b>Ongoing – Head of Democratic Services</b>
b)	Consider those institutional stakeholders to whom the authority is accountable and assesses the effectiveness of the relationship and any changes required	<ul style="list-style-type: none"> <li>• Guidance for partnership working and annual review of key partnerships</li> </ul>	<ul style="list-style-type: none"> <li>• Council</li> <li>• Cabinet</li> <li>• Corporate Management Team</li> <li>• Partnership Lead Officers</li> </ul>	Officer implementation of partnership guidance <b>Ongoing – Partnership Lead Officers</b>
c)	Produce an annual report on the activity of the scrutiny function	<ul style="list-style-type: none"> <li>• Annual report on scrutiny function</li> </ul>	<ul style="list-style-type: none"> <li>• Council</li> </ul>	Reporting integrated into Annual Performance Report in June each year. Ongoing. <b>Head of Business Strategy and Performance</b>
<b>6.2</b>	<b>Supporting principle:</b> Lewes District Council will take 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.			
a)	Ensure clear channels of communication with all sections of the community and other stakeholders, and ensure effective monitoring arrangements	<ul style="list-style-type: none"> <li>• District News</li> <li>• Business Strategy and Performance Team</li> <li>• Neighbourhood Plans</li> <li>• LDC website</li> <li>• Council Plan</li> <li>• Annual Business Rates consultation</li> <li>• Voluntary Sector Compact</li> </ul>	<ul style="list-style-type: none"> <li>• Council</li> <li>• Cabinet/Portfolio Holders</li> <li>• Scrutiny Committee</li> <li>• Corporate Management Team</li> <li>• Head of Business Strategy and Performance</li> </ul>	Engagement Strategy to be implemented from April 2016 <b>Head of Business Strategy and Performance</b>

	<b>Our local code will reflect the requirement to:</b>	<b>Systems / processes/ documentation demonstrating compliance</b>	<b>Responsibility for monitoring/review</b>	<b>Issues to be addressed and target date where known and officer responsible</b>
		<ul style="list-style-type: none"> <li>• Equality Policy</li> </ul>		
b)	Hold meetings in public unless there are good reasons for confidentiality	<ul style="list-style-type: none"> <li>• Rights to attend meetings rule 3 in Part 4 of the Constitution (Access to Information Procedure Rules)</li> <li>• Article 3 -Citizens rights to attend meetings in Part 2 - Articles of the Constitution</li> </ul>	<ul style="list-style-type: none"> <li>• Head of Democratic Services</li> </ul>	
c)	Ensure that arrangements are in place to enable the authority to engage with all sections of the community effectively. These arrangements should recognise that different sections of the community have different priorities and establish explicit processes for dealing with these competing demands	<ul style="list-style-type: none"> <li>• Comprehensive Equality Policy</li> <li>• Forums and groups</li> <li>• Business Charter</li> <li>• Annual Business Rates consultation</li> </ul>	<ul style="list-style-type: none"> <li>• Corporate Management Team</li> <li>• Equalities Working Group</li> <li>• Cabinet</li> <li>• Head of Business Strategy and Performance</li> </ul>	Engagement Strategy to be implemented from April 2016 <b>Head of Business Strategy and Performance</b>
d)	Establish a policy on consultation with the public and service users, including a feedback mechanism for consultees to demonstrate what has changed as a result	<ul style="list-style-type: none"> <li>• Service specific consultation and feedback</li> <li>• District News</li> <li>• Website</li> </ul>	<ul style="list-style-type: none"> <li>• Corporate Management Team</li> <li>• Head of Business Strategy and Performance</li> </ul>	Engagement Strategy to be implemented from April 2016 <b>Head of Business Strategy and Performance</b>
e)	Publish an annual performance plan giving information on the authority's vision strategy, plans and financial statements as well as information about its outcomes, achievements and the satisfaction of service users in the previous period	<ul style="list-style-type: none"> <li>• Council Plan</li> <li>• Annual Performance Report</li> <li>• Statement of Accounts presented to and approved by the Audit and Standards Committee and published annually</li> <li>• Data transparency pages on website</li> </ul>	<ul style="list-style-type: none"> <li>• Council</li> <li>• Cabinet</li> <li>• Corporate Management Team</li> <li>• Audit and Standards Committee</li> </ul>	Annual performance report to Cabinet – June 2016 <b>Head of Business Strategy and Performance</b>
f)	Ensure that the authority as a whole is open and accessible to the community, service users and its	<ul style="list-style-type: none"> <li>• Part 4 of the Constitution "Access to Information Procedure Rules"</li> </ul>	<ul style="list-style-type: none"> <li>• Assistant Director Corporate Services</li> <li>• Corporate Management</li> </ul>	

	<b>Our local code will reflect the requirement to:</b>	<b>Systems / processes/ documentation demonstrating compliance</b>	<b>Responsibility for monitoring/review</b>	<b>Issues to be addressed and target date where known and officer responsible</b>
	staff and ensure 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	<ul style="list-style-type: none"> <li>• Freedom of Information Act and Environmental Information Regulations Policy</li> <li>• Council Plan working principles</li> <li>• Customer Charter</li> <li>• Data transparency pages on website</li> <li>• Current contract information on Contracts Finder</li> </ul>	<p>Team</p> <ul style="list-style-type: none"> <li>• Head of Audit, Fraud and Procurement</li> </ul>	
<b>6.3</b>	<b>Supporting principle:</b> Lewes District Council will make best use of human resources by taking an active and planned approach to meet responsibility to staff			

	<b>Our local code will reflect the requirement to:</b>	<b>Systems / processes/ documentation demonstrating compliance</b>	<b>Responsibility for monitoring/review</b>	<b>Issues to be addressed and target date where known and officer responsible</b>
a)	Develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision making	<ul style="list-style-type: none"> <li>• Chief Executive briefing and feedback sessions for key messages.</li> <li>• Team briefings with dissemination of Corporate Briefing Information</li> <li>• Collective bargaining conducted by representatives of the employers and of the employees (Unison)</li> <li>• Employment Committee is the formal mechanism for consultation between employers and employees</li> <li>• Remit of the Employment Committee set out in Part 11 of the Constitution</li> <li>• Policy on time off for trade union duties</li> <li>• Chief Executive's blog</li> </ul>	<ul style="list-style-type: none"> <li>• Head of Organisational Development</li> <li>• Corporate Management Team</li> <li>• Heads of Service</li> <li>• Employment Committee</li> </ul>	