

Local Code of Corporate Governance - Good Governance in the Public Sector 2022-23

Dorset Council is responsible for ensuring that its business is conducted in accordance with the law and proper standards. It needs to ensure that public money is safeguarded, properly accounted for, and used economically, efficiently, and effectively. The Accounts and Audit Regulations (2015) require the Council to conduct a review, at least once a year, on the effectiveness of its system of internal control and include an Annual Governance Statement reporting on the review with the Statement of Accounts. In 2014, the Chartered Institute of Public Finance and Accountancy (CIPFA) and the International Federation of Accountants (IFAC) collaborated to produce The International Framework: Good Governance in the Public Sector. The Framework sets the standard for local authority governance in the UK. The purpose of the Framework is to assist authorities individually in reviewing and accounting for their own unique approach, with the overall aim to ensure that:

- Resources are directed in accordance with agreed policy and according to priorities.
- There is sound and inclusive decision making.
- There is clear accountability for the use of those resources to achieve desired outcomes for service users and communities.

Corporate Governance

Corporate governance is about how we ensure that we are doing the right things, in the right way, for the right people, in a timely, inclusive, open, honest, and accountable manner. Good governance means that we have the right systems, processes, cultures, and values in place, to ensure that we account to, engage with and, where appropriate, lead our communities. It also means that our elected members and staff will conduct themselves in accordance with the highest standards of conduct. We are committed to effective corporate governance.

Governance Structure and Responsibilities	
Dorset Council	<ul style="list-style-type: none"> • Dorset Council consists of 82 Councillors. A member role includes representing the needs, priorities and aspirations of the Dorset Council and the people of the Dorset Council area. • Approves the budget and policy framework. • Approves the Constitution (including Standing Orders and Financial Regulations). • Establishes committees to discharge non-executive functions.
Cabinet	<ul style="list-style-type: none"> • The main decision-making body of the Council responsible for executive functions. • Leader of the Council appointed by the council with responsibility for executive functions and who appoints a Deputy Leader and Cabinet members who have responsibility for portfolios.
Audit and Governance Committee	<ul style="list-style-type: none"> • Provides independent assurance to the Council on the adequacy and effectiveness of the governance, risk management framework and internal control environment. • Approves the Local Code of Corporate Governance, Annual Statement of Accounts and Annual Governance Statement.
Overview and Scrutiny Committees	<ul style="list-style-type: none"> • Overview and scrutiny are a statutory activity, and the Council will appoint members to 2 Overview Committees and 2 Scrutiny Committees - People and Health Overview Committee; People and Health Scrutiny Committee; Place and Resources Overview Committee; and Place and Resources Scrutiny Committee.
Head of Paid Service	<ul style="list-style-type: none"> • Overall corporate management and operational responsibility for the council (including management for all employees) • The provision of professional advice to all parties in the decision-making process and, responsibility for a system of record keeping for all the council's decisions, representing the council on partnerships and external bodies. • The Head of Paid Service will determine how the council's functions are discharged, the number and grade of Officers required to discharge the functions and how Officers are organised.
Chief Finance Officer (s151)	<ul style="list-style-type: none"> • Accountable for developing and maintaining the council's governance, risks, and control framework. • Ensuring lawfulness and financial prudence of decision making and the administration of financial affairs. • Providing advice on the scope of powers and authority to take decisions, maladministration, financial impropriety, probity and budget and policy framework issues, and will support and advise Councillors and Officers in their respective roles. • Contributes to the effective corporate management and governance of the council.

<p style="text-align: center;">Monitoring Officer</p>	<ul style="list-style-type: none"> • Monitoring, reviewing, and maintaining the Constitution. • Ensuring lawfulness and fairness of decision making. • Supporting Joint Standards Committee, conducting investigations, and undertaking other actions in respect of matters referred to him/her by the Joint Standards Committee. • Proper Officer for access to information. • Advising whether decisions are within the budget and policy framework. • Providing advice on the scope of powers and authority to take decisions, maladministration, financial impropriety, probity and budget and policy framework issues. • Contributes to the effective corporate management and governance of the council. • Contributes to all the effective corporate management and governance of the council.
<p style="text-align: center;">Senior Leadership Team</p>	<ul style="list-style-type: none"> • Implements the policy and budgetary framework set by the Council and provides advice to Cabinet and the Council on the development of future policy and budgetary issues. • Oversees the delivery of the Council’s Corporate Plan and implementation of Council Policy.
<p style="text-align: center;">Heads of Service and Service managers</p>	<ul style="list-style-type: none"> • Responsible for developing, maintaining, and implementing the Council’s governance, risk, and control framework. • Contribute to the effective corporate management and governance of the Council.

Dorset Council embraces the following three over-arching elements of good corporate governance and continually works to ensure that they underpin the delivery of the services:

- Openness and inclusivity - being open through consultation with stakeholders providing access to accurate and clear information. To ensure that all can engage effectively with the decision-making processes and actions of Dorset Council.
- Integrity - based upon honesty, selflessness, and objectivity. Exacting standards of propriety and transparency in the stewardship of funds and management of the council's business.
- Accountability - members and officers are responsible for their decisions and actions.

Dorset Council remains committed to the principles of good corporate governance. The council recognises that achieving exacting standards of corporate governance encourages stakeholders to have confidence in the authority.

The chief executive and leader prepare the annual governance statement as part of the annual statement of accounts giving their opinion on whether the corporate governance arrangements are adequate and are operating effectively.



The council is responsible for ensuring that its business is conducted in accordance with the law and proper standards, and that public money is safeguarded and properly accounted for, and used economically, efficiently, and effectively.

In discharging this accountability, members and senior officers are responsible for putting in place proper arrangements for the governance of the Council's business and the stewardship of the resources at its disposal.

It requires having in place a framework of overarching strategic policies and objectives underpinned by robust systems, processes, and structures for delivering these.

We continue to engage with other statutory bodies and the voluntary and community sector as well as private companies commissioned to deliver services.

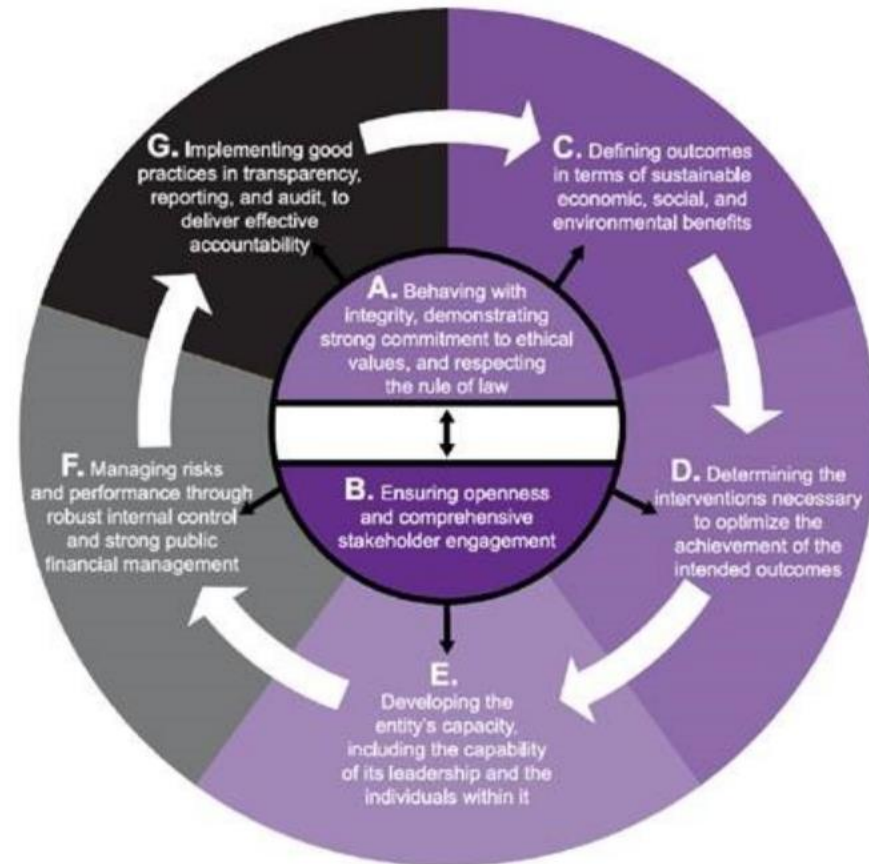
Dorset Council is committed to the seven core principles of good practice contained in the CIPFA framework.

The CIPFA/ SOLACE Governance Framework states that: ‘Principles A and B permeate implementation of Principles C to G. The diagram opposite illustrates that good governance is dynamic and that an entity should be committed to improving governance on a continuing basis through a process of evaluation and review.’

To confirm this, we evaluate our governance arrangements by developing and maintaining an up-to-date local code of governance, including arrangements for ensuring ongoing effectiveness.

Our Local Code has been written to reflect the Council’s own structure, functions, and the governance arrangements in existence.

The Council will monitor its governance arrangements for their effectiveness in practice and will review them on a continuing basis to ensure that they are up to date.



This review will include an assessment of the effectiveness of the processes contained within the Local Code and includes annual assessments:

- Departments and corporate reviews of assurance arrangements - Internal Audit Annual Report including an opinion on the risk, governance and control environment and framework.
- The opinions of other review agencies and inspectorates, including governance issues via ad hoc cases / disciplinary issues, police investigations

Reporting publicly on compliance with our own code on an annual basis and on how we have monitored the effectiveness of our governance arrangements in the year and on planned changes. Regulation 6(1)(a) of the Accounts and Audit Regulations 2015 requires the Council to conduct a review at least once in a year of the effectiveness of our systems of internal control and include a statement reporting on the review with our published statement of Accounts. This is known as the Annual Governance Statement. The Chief Executive and Leader of the Council certify the Annual Governance Statement to accompany the Annual Accounts which will assess how the Council has complied with our Local Code. An opinion on the effectiveness of the Council's governance arrangements will be provided together with details of how continual improvement in the systems of governance will be achieved. Our Council Plan sets out our key priorities to 2024. Our long-term vision will see us strengthen our work with our health partners to deliver the integrated care system 'Our Dorset'. We have joined up to tackle health inequalities and all the things that affect health and wellbeing, to make real change, and improve things for our communities. We have developed a transformation programme to improve services for residents and we will focus on:

- Being more commercial
- Putting our customers first
- Delivering climate and ecological priorities
- Making the best use of our assets and leading economic growth
- Implementing a digital, intelligent, data led approach.
- Working with the Integrated Care System

A list of [supporting strategies](#) can be found on our website.



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

Sub-Principles - Behaving with integrity - Demonstrating strong commitment to ethical values - Respecting the rule of law		
<p><u>Dorset Council’s commitment to achieving good governance: To behave with integrity</u></p> <p>We are all committed to delivering excellent services to Dorset residents and our employees are key to this commitment. Everyone who uses council services are entitled to expect the highest standards of conduct from council employees. Our values are at the heart of everything we do and ensure that we do the right things in the right way and our behaviours have been designed to support and embed these values. The Dorset Council behaviours form part of everything we do. We remain focused on improving the lives of people as well as protecting and enhancing our local places.</p> <p>We ensure members and officers behave with integrity and lead a culture where acting in the public interest is visibly demonstrated thereby protecting the reputation of the council. We look to lead by example using the standard operating principles or values as a framework for decision making and actions. Demonstrating, communicating and embedding 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.</p>	<p><u>Evidenced by:</u></p> <p>Dorset Council constitution</p> <p>Scheme of Delegation</p> <p>Contract Standing Orders</p> <p>Officer and member codes of conduct</p> <p>Anti-fraud and corruption strategy</p> <p>Complaints policy and Annual Report</p>	<p><u>Identified Improvement for 2023/24</u></p>
<p><u>To demonstrate strong commitment to ethical values</u></p> <p>We are committed to the principles of Good Governance as agreed by the Chartered Institute of Public Finance Accountancy and the Society of Local Authority Chief Executives. Our local code of governance is underpinned by these principles and is comprised of a framework of policies, procedures, behaviours, and values by which Dorset Council is controlled and governed.</p> <p>The documents that make up this framework provide the structures and guidance that our members and employees require to ensure effective governance across the council.</p>	<p><u>Evidenced by:</u></p> <p>Whistleblowing policy</p> <p>Procurement strategy</p> <p>Equality, Diversity and Inclusion Strategic Board and Strategy</p> <p>Job evaluation scheme</p>	<p><u>Identified Improvement for 2023/24</u></p>

<p>As a council we seek to establish, monitor, and maintain the organisation's ethical standards and performance by underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the council's culture and operation. We have developed and maintain robust policies and procedures which place emphasis on agreed ethical values. We ensure that external service providers on behalf of the council act with integrity and in compliance with ethical standards expected by Dorset Council.</p>	<p>Protocol for officer and member relations</p> <p>Behaviour framework</p> <p>Audit and Governance Committee</p>	
<p><u>To respect the rule of law</u></p> <p>Governance arrangements in the public services are keenly observed and sometimes criticised. Significant governance failings attract huge attention – as they should – and one significant failing can taint a whole sector. Local government organisations are big business and are vitally important to taxpayers and service users.</p> <p>Dorset Council works to ensure that the highest standards and that governance arrangements are not only sound but are seen to be sound.</p> <p>The council works to ensure that its members and staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations. It is important that conditions are created to ensure that the statutory officers, other key post holders, and members, and can fulfil their responsibilities in accordance with legislative and regulatory requirements.</p> <p>The council works to optimise the use of the full powers available for the benefit of Dorset residents, its communities, and other stakeholders.</p> <p>Where required the council deals with any breaches of legal and regulatory provisions and works to ensure that any corruption and misuse of power are dealt with effectively.</p>	<p><u>Evidenced by:</u></p> <p>Financial regulations</p> <p>Audit and Governance Committee</p> <p>Codes of conduct</p> <p>Register of Interests</p> <p>Register of Gifts and Hospitality</p> <p>Comments and Complaints Procedure</p> <p>Constitution</p> <p>Equality, Diversity and Inclusion Strategic Board and Strategy</p>	<p><u>Identified Improvement for 2023/24</u></p>

PRINCIPLE B. Ensuring openness and comprehensive stakeholder engagement.

Sub-Principles Openness - Engaging comprehensively with institutional stakeholders; Engaging with individual citizens and service users effectively		
<p><u>Dorset Council’s commitment to achieving good governance: To ensure openness.</u></p> <p>The Seven Principles of Public Life (also known as the Nolan Principles) apply to anyone who works as a public officeholder. The principles also apply to all those in other sectors delivering public services.</p> <p>Information should not be withheld from the public unless there are clear and lawful reasons for so doing. Dorset Council recognises that we live in a modern, digital world where the use of modern communication methods such as filming, tweeting, and blogging should be embraced for enhancing the openness and transparency of local government bodies. Making decisions that are open about actions, plans, resource use, forecasts, outputs, and outcomes. The presumption is for openness. If that is not the case, a justification for the reasoning for keeping a decision confidential should be provided. Providing clear reasoning and evidence for decisions in both public records and explanations to stakeholders and being explicit about the criteria, rationale and considerations used.</p> <p>Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/courses of action</p>	<p><u>Evidenced by:</u></p> <p>Consultation and engagement activities</p> <p>Dorset Council constitution</p> <p>Freedom of Information compliance and disclosure log</p> <p>Right of Access Compliance (Subject Access Requests)</p> <p>Council Plan and communications to residents across a range of channels</p> <p>Behaviour and Performance Management Framework</p> <p>Performance Targets</p> <p>Streaming of Committee Meetings</p>	<p><u>Identified Improvement for 2023/24</u></p> <p>Ongoing work to improve compliance rates on Subject Access Requests</p>
<p><u>To engage comprehensively with stakeholders</u> - Dorset Council appreciates that if people take time to engage, they need to be listened to and their comments made, when asked, need to be seen to be acknowledged and be seen to be effective. As a council we have ever growing numbers of partners ‘delivering’ services to the community.</p>	<p><u>Evidenced by:</u></p> <p>Consultation and engagement policy</p>	<p><u>Identified Improvement for 2023/24</u></p>

<p>In our day-to-day activities we seek out to reach as many Dorset residents as possible. By engaging people at the point of delivery, we can enable residents to shape their community and in turn community cohesion will build and grow making Dorset an even better place to live, work and visit.</p> <p>Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively.</p> <p>Implementing effective feedback mechanisms to demonstrate how views have been considered. Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity and taking account of the impact of decisions on future generations of taxpayers and service users.</p>	<p>Public consultations on key decisions</p> <p>Equality, Diversity and Inclusion Strategic Board and Strategy</p> <p>Residents’ survey</p> <p>Dorset Council constitution</p> <p>Complaints policy and Annual Report</p>	
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PRINCIPLE C. Defining outcomes in terms of sustainable economic, social, and environmental benefits

<p>Sub-Principles - Defining outcomes - Sustainable economic, social, and environmental benefits</p>		
<p><u>Dorset Council’s commitment to achieving good governance: To define outcomes.</u></p> <p>Dorset Council recognises that clarity about outcomes is essential for any activity. Outcomes do not exist in isolation - they are part of an overall plan.</p> <p>Outcomes help to provide purpose, stronger partnerships through agreement on goals, and improved communication. A clear statement of outcomes establishes effective communication with stakeholders and enables supporters and co-operators to understand what the council is aiming to achieve. Having a sharp vision, which is an agreed formal statement of the council's purpose and intended outcomes containing appropriate performance indicators, which provide the basis for the organisation's overall strategy, planning, and other decisions.</p> <p>Delivering defined outcomes on a sustainable basis within the resources that will be available.</p>	<p><u>Evidenced by:</u></p> <p>Golden thread running through Council Plan, Service Plans and “My Road Map” appraisals.</p> <p>Equality Diversity and Inclusion Strategy</p> <p>Performance and risk reporting</p> <p>Team meetings</p>	<p><u>Identified Improvement for 2023/24</u></p>

<p>Identifying and managing risks to the achievement of outcomes. Managing service users' expectations effectively about determining priorities and making the best use of the resources available.</p>	<p>Statement of Accounts</p> <p>Budget Reports</p> <p>Data and Business Intelligence Strategy</p>	
<p><u>To enable sustainable economic, social, and environmental benefits - Dorset Council works to ensure that social value principles are applied in a way that enables the council to maximise economic, social, and environmental benefits for Dorset residents.</u></p> <p>The council will go beyond the limitations of the Public Services (Social Value) Act 2012, acting as a leader and ensuring that economic, social, and environmental impact of policies are included in everything it does, linking economic and social growth with maximising the value obtained from money spent.</p> <p>The council takes a longer-term view about decision making, taking account of risk, and acting transparently where there are potential conflicts between the organisation's intended outcomes and short-term factors, such as the political cycle or financial constraints. Dorset Council focuses on ensuring fair access to all services.</p>	<p>Evidenced by:</p> <p>Committee report impacts sheet.</p> <p>Risk management</p> <p>Climate and Ecological Emergency Strategy</p> <p>Procurement and Commissioning Policy</p> <p>Equality Diversity and Inclusion Strategy</p>	<p>Identified Improvement for <u>2023/24</u></p>

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

<p>Sub-Principles - Determining interventions - Planning interventions; Optimising achievement of intended outcomes</p>		
<p><u>Dorset Council's commitment to achieving good governance: To determine interventions.</u></p> <p>We ensure that decision makers receive objective and rigorous analysis of a variety of options, indicating how intended outcomes would be achieved and associated risks.</p>	<p>Evidenced by:</p> <p>Dorset Council constitution</p> <p>Service risk registers</p>	<p>Identified Improvement for <u>2023/24</u></p>

<p>As mentioned, Dorset Council considers feedback from residents and service users when making decisions about service improvements or where services are no longer required to prioritise competing demands with limited resources available including people, skills, land, and assets and bearing in mind future impacts.</p>	<p>Committee report and clearance process</p> <p>Portfolio holders</p> <p>Climate change decision making</p>	
<p><u>To plan interventions</u></p> <p>Priority issues are set by using national and local intelligence, including work related accident, injury and ill health statistics, complaints, and information from other regulators. Planned interventions can include a wide range of activities ranging from provision of specific advice and information, training sessions and seminars, working with trade associations, recognising, and sharing good practice and workplace inspections.</p> <p>The council ensure that arrangements are flexible and agile so that the mechanisms for delivering goods and services can be adapted to changing circumstances. Establishing appropriate key performance indicators (KPIs) as part of the planning process to identify how the performance of services and projects is to be measured.</p> <p>Preparing budgets in accordance with objectives, strategies, and the medium-term financial plan.</p> <p>Inform medium- and long-term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy.</p>	<p><u>Evidenced by:</u></p> <p>Service risk registers</p> <p>Public consultations on key decisions / changes to policy</p> <p>Quarterly Reports</p> <p>Financial Strategy - reviewed annually.</p> <p>Business Continuity Plan</p> <p>Assurance Service Lessons Learnt processes (Emergency Planning / complaints)</p> <p>Organisational Compliance and Risk Learning Group</p> <p>Climate change decision wheel</p> <p>Equality Impact Assessments</p> <p>Transformation programme</p>	<p><u>Identified Improvement for 2023/24</u></p>

<p><u>To optimise achievement of intended outcomes</u></p> <p>Dorset Council ensures that the medium-term financial strategy integrates and balances service priorities, affordability, and other resource constraints. Our budgeting process is all-inclusive, considering the full cost of operations over the medium and longer term. The medium-term financial strategy sets the context for ongoing decisions on significant delivery issues or responses to changes in the external environment that may arise during the budgetary period for outcomes to be achieved while optimising resource usage. We ensure the achievement of 'social value' through service planning and commissioning.</p>	<p><u>Evidenced by:</u></p> <p>Medium Term Financial Strategy</p> <p>Annual Audit and Inspection letter</p> <p>Scrutiny Committees</p>	<p><u>Identified Improvement for 2023/24</u></p>
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PRINCIPLE E. Developing the entity’s capacity, including the capability of its leadership and the individuals within it.

<p>Sub-Principles - Developing the entity’s capacity - Developing the entity’s leadership - Developing the capability of individuals within the entity</p>		
<p><u>Dorset Council’s commitment to achieving good governance: To develop capacity.</u></p> <p>Workforce capacity planning helps Dorset Council to determine whether we have the right mix and numbers of employees with the right skills and knowledge.</p> <p>Dorset Council looks to support its managers, workforce, and HR always leads. An important part of workforce capacity planning is that workers understand the needs of the people they are supporting. The council reviews operations, performance, and use of assets on a regular basis to ensure their continuing effectiveness. We strive to improve resources through appropriate application of techniques such as benchmarking and other options to determine how resources are allocated so that defined outcomes are achieved effectively and efficiently.</p> <p>Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources.</p>	<p><u>Evidenced by:</u></p> <p>People strategy and ‘My Roadmap’ appraisals</p> <p>Staff Development Scheme</p> <p>Training and Development Plans</p> <p>Chief Executive role defined in Authority Procedural Rules</p> <p>Staffing Committee</p>	<p><u>Identified Improvement for 2023/24</u></p> <p>Improve compliance rates for mandatory training on data protection and safeguarding awareness</p>

<p><u>To develop the capability of the leadership and other individuals</u></p> <p>We look to develop protocols to ensure that elected and appointed leaders negotiate with each other regarding their respective roles early in the relationship and that a shared understanding of roles and objectives is maintained. The Constitution specifies the type of decisions that are delegated and those that are reserve for the collective decision making of the governing body. Dorset Council ensures the leader and the chief executive have clearly defined and distinctive leadership roles within a structure whereby the chief executive leads in implementing strategy and managing the delivery of service and other outputs set by members and each provides a check and balance for each other's authority. Ensuring that there are structures in place to encourage public participation. Taking steps to consider the leadership's own effectiveness and ensuring leaders are responsive to constructive feedback from peer review and inspections. Holding staff to account through regular performance reviews which take account of learning and development needs. 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.</p>	<p><u>Evidenced by:</u></p> <p>People and Wellbeing strategy</p> <p>Scheme of Delegation</p> <p>My Roadmap' appraisals and 1to1s</p> <p>Mentoring and coaching</p> <p>Peer reviews and external inspections</p> <p>Staff consultative panels</p> <p>Leadership Forum</p>	<p><u>Identified Improvement for 2023/24</u></p>
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PRINCIPLE F. Managing risks and performance through robust internal control and strong public monetary management

<p>Sub-Principles - Managing risk - Managing performance - Robust internal control; Managing Data - Strong public monetary management</p>		
<p><u>Dorset Council's commitment to achieving good governance: To manage risks.</u></p> <p>Dorset Council has a statutory responsibility to have in place arrangements for managing risks.</p> <p>Risks are regularly reviewed by the allocated risk owner(s) and there is an escalation process for those risks assessed as 'extreme or high level' which ensures that senior management and members are aware of those risks that pose the most serious threat to the Council and how they are being managed. Dorset Council's approach to Risk Management sets out activities, roles, and responsibilities required. Corporate Governance is responsible for undertaking regular reviews of the framework to ensure it</p>	<p><u>Evidenced by:</u></p> <p>Risk management policy statement</p> <p>Corporate and service risk registers, with clear risk owners</p>	<p><u>Identified Improvement for 2023/24</u></p> <p>Respond to internal audit actions on embedding risk management, including reassessment of Council's risk appetite. This will incorporate further work on assurance mapping.</p>

<p>remains fit for purpose. We continue to develop and embed our risk management culture. To ensure the successful, ongoing integration of risk management into council's systems and processes it is necessary to maintain a training and awareness for all colleagues.</p> <p>DC makes use of Power BI visual dashboards to provide easy access and reporting for risk management. Work continues to provide Dorset Council with a structured, methodical means of identifying and overseeing significant risks and their management. This is to ensure the continued operation of the Council in meeting its objectives and mitigating against significant risks, particularly those that may be a single point of failure. Through the management of risk, we consider what might go wrong and take steps to reduce the impact if things do go wrong.</p> <p>We provide assurance that we are managing risk effectively through a collaborative approach with other teams involved with the identification and mitigation of key risks and use/share information wherever possible. Training content encompasses the risk management process, application of risk management tools, identification and analysis of risk exposures, and reporting. Training is also available through the Dorset Council Learning Portal where risk management related packages are available. For those colleagues who have limited computer access meetings and mail outs will provide the updates when deemed appropriate.</p>	<p>Risk considerations within committee reports</p> <p>Reporting of significant risks</p> <p>Business continuity framework</p> <p>Emergency Response Plan / Command and Control structure</p> <p>Performance Management Framework</p> <p>Local Code of Corporate Governance</p> <p>Annual Corporate Governance Statement and Assessment</p>	<p>Rollout of Climate Change Risk Assessment</p>
<p><u>To manage performance</u></p> <p>Monitoring service delivery effectively including planning, specification, execution, and independent post implementation review. Making decisions based on relevant, clear objective analysis and advice pointing out the implications and risks inherent in the organisation's financial, social, and environmental position and outlook. Ensuring an effective scrutiny or oversight function is in place which provides constructive challenge and debate on policies and objectives before, during and after decisions are made, thereby enhancing the organisation's performance and that of any organisation for which it is responsible. We monitor performance to help us to track how well services are performing. We also track our progress over time so that we: -</p>	<p><u>Evidenced by:</u></p> <p>Performance Management Framework</p> <p>Impact/Risk considerations</p> <p>Separate Overview and Scrutiny Committees</p> <p>Council Plan</p>	<p><u>Identified Improvement for 2023/24</u></p> <p>Develop and roll out the action plan to support the Council's data strategy</p>

<ul style="list-style-type: none"> • measure progress of Council’s priorities • can challenge our performance. • provide Dorset residents and partners with information so that they can see our progress. • provide assurance to our Independent Regulators • ensure that we provide value for money. <p>As part of the DC performance framework, we produce monthly KPI performance dashboards containing key metrics to monitor performance. Metrics are indicated as within or outside of tolerance against targets and reporting includes associated explanations and required actions where any performance is flagged as sub-optimal. Performance information and dashboards are used by the Scrutiny Committee's to ensure performance is maintained. Performance Scrutiny Information is publicly available via online PowerBi dashboards.</p>	<p>Transformation programme</p> <p>Delivery Plan</p> <p>Supporting strategies</p> <p>Data strategy</p>	
<p><u>To ensure robust internal control</u></p> <p>The council understands and implements policies and controls that help to provide stakeholders with timely information. Work continues with risk management and internal control systems to be embedded in the operations of the council and be capable of responding quickly to evolving risks, whether they arise from factors within the council or from changes in the business environment. The system of internal control helps Dorset Council to ensure that it complies with all relevant laws, acts, regulations, and proper practices. Also secures the economic, efficient, and effective use of public money. Safeguards its assets and interests. Evaluates and monitors risk management and internal control on a regular basis.</p>	<p><u>Evidenced by:</u></p> <p>Southwest Audit Partnership</p> <p>Chief Internal Auditors report</p> <p>Anti-fraud and corruption policy</p> <p>Quarterly reporting to elected members</p>	<p><u>Identified Improvement for 2023/24</u></p>

<p><u>To manage data</u></p> <p>We use personal and sometimes sensitive (special) information to perform our duties and deliver services. Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data.</p> <p>Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies. We are also required to have a Data Protection Officer. Ensuring effective counter fraud and anti-corruption arrangements are in place. The Council is empowered to deliver a range of services and undertake public tasks.</p> <p>All council staff are required to undertake ‘data protection and information security’ training to ensure that personal data is processed in accordance with current data protection principles. The council also reviews and audits regularly the quality and accuracy of data used in decision making and performance monitoring.</p>	<p><u>Evidenced by:</u></p> <p>Information Compliance Team</p> <p>Strategic Information Governance Board and supporting groups.</p> <p>Data sharing agreements</p> <p>Annual Information Governance report</p> <p>Mandatory data protection training</p> <p>Information Governance Policy Framework</p>	<p><u>Identified Improvement for 2023/24</u></p> <p>Embedding “Data Protection by Design and Default” through improved Data Privacy Impact Assessments, potentially incorporating into a wider “whole impact” assessment (equality; climate change etc).</p> <p>Ongoing development and rollout of a DC Information Asset Register</p> <p>Develop and roll out the action plan to support the Council’s data strategy</p>
<p><u>To ensure strong public monetary management</u></p> <p>Dorset Council remains committed to providing value for money and ensuring that public money is spent efficiently to provide an effective service to Dorset residents.</p> <p>Monetary management covers the allocation of available resources to key priorities, monitoring the delivery of those priorities in a changing environment, the effective management of risk, and compliance with relevant legislative requirements.</p> <p>This will be delivered through: -</p> <ul style="list-style-type: none"> • A strong focus on financial management discipline from all managers within the council, as led by the Corporate Leadership Team (CLT). • Strong and meaningful engagement with members and committees of the council. 	<p><u>Evidenced by:</u></p> <p>Performance Management Framework</p> <p>Medium Term Financial Plan</p> <p>Budget update reports to committee</p> <p>Annual Governance Statement</p> <p>Annual Outturn and Financial Statements</p>	

<ul style="list-style-type: none"> • Political and officer ownership of and accountability for all budgets and service outcomes. • Open, honest, and timely reporting on all financial matters and service outcomes. • The appropriate application of professional standards across the council <p>The environment and the changing demand for the services that Dorset Council deliver means that the council has limited control and influence over the level of demand. In addition, the level of resources available has not kept pace with demand. This creates a challenging environment in which to operate effective monetary management. Ensuring well-developed monetary management is integrated at all levels of planning and control, including management of financial risks and controls.</p> <p>Ensure that the Treasurer to the Authority (the S151 officer) is responsible for providing appropriate advice on all financial matters, for keeping proper financial records and accounts, and for maintaining an effective system for internal financial control.</p>	<p>Quarterly Report including performance</p>	
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PRINCIPLE G. Implementing good practices in transparency, reporting, and audit to deliver effective accountability.

<p>Sub-Principles - Implementing good practice in transparency - Implementing good practices in reporting - Assurance and effective accountability</p>		
<p><u>Dorset Council’s commitment to achieving good governance in practice includes: To demonstrate good practice with transparency.</u></p> <p>Dorset Council believes transparency is an essential element of the delivery of council services. We have a duty to Dorset residents to be transparent in our operations and outcomes. Dorset Council believes transparency is an essential element of the delivery of council services. As a publicly funded organisation, we have a duty to Dorset residents to be transparent in our operations and outcomes. As part of this commitment to being open and transparent, a range of information is regularly available or published in line with the Code of Recommended Practice for Local Authorities on Data Transparency.</p>	<p><u>Evidenced by:</u></p> <p>Annual Governance Statement</p> <p>Member allowances scheme</p> <p>Annual audit report</p> <p>Freedom of Information</p>	<p><u>Identified Improvement for 2023/24</u></p>

<p>The idea of open data is that non-personal information held by government and local councils should be freely available for anyone to use. We want to make our data available for the benefit of everyone, so that we increase the transparency and accountability of what we do. Writing and communicating reports for the public and other stakeholders in a fair, balanced, and understandable style appropriate to the intended audience and ensuring that they are easy to access and interrogate. We look to strike a balance between providing the right amount of information to satisfy transparency demands and enhance public scrutiny while not being too onerous to provide and for users to understand.</p>	<p>Independent remuneration panel</p> <p>Committee reports and clearance process.</p> <p>Mod Gov committee reports</p>	
<p><u>To implement good practices in reporting</u></p> <p>We ensure members and senior management own the results reported. Ensuring robust arrangements for assessing the extent to which the principles contained in this framework have been applied and publishing the results on this assessment, including an action plan for improvement and evidence to demonstrate good governance (the annual governance statement). The council ensures that this Framework is applied to jointly managed or shared service organisations as appropriate. We make sure that the performance information that accompanies the financial statements is prepared on a consistent and timely basis and the statements allow for comparison with other similar organisations.</p>	<p><u>Evidenced by:</u></p> <p>Council plan and supporting performance reporting.</p> <p>Accountable officers for performance indicators</p> <p>Accountable officers for risks</p>	<p><u>Identified Improvement for 2023/24</u></p>
<p><u>To provide assurance and effective accountability</u></p> <p>Governance comprises the arrangements put in place by Dorset Council to ensure that the intended outcomes for stakeholders are defined and achieved.</p> <p>The council ensures an effective internal audit service with direct access to members is in place, providing assurance about governance arrangements and that recommendations are acted upon.</p> <p>Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations.</p>	<p><u>Evidenced by:</u></p> <p>Audit and Governance Committee</p> <p>Internal audit delivered by SWAP.</p> <p>Monitoring and reporting of audit recommendations</p>	<p><u>Identified Improvement for 2023/24</u></p>

<p>Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement. We ensure that when working in partnership, arrangements for accountability are clear and the need for wider public accountability has been recognised and met.</p>	<p>Quarterly audit reporting to Audit and Governance Committee</p>	
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What we aim to do to improve: The [Council Plan \(PDF\)](#) incorporates ten cabinet commitments, the political steer from Cllr Spencer Flower, Leader of the council. It also now focuses on five new priorities:

- Protecting our natural environment, climate, and ecology
- Creating stronger, healthier communities
- Creating sustainable development and housing
- Driving economic prosperity
- Becoming a more responsive, customer focused council

We have a [Delivery Plan \(PDF\)](#) which outlines how we will achieve it – what we commit to delivering by 2024. We will report on our performance against this Delivery Plan, and strategic working groups led by corporate directors have also been set-up to monitor progress and success of the five priorities. A list of [supporting strategies](#) can be found on our website. The transformation programme at Dorset Council is made up of many projects from across each directorate looking to find ways that improve the way we work. By putting Dorset residents at the heart of decision making we seek to find more efficient ways to meet the needs of our community.

The programme is not just focused on our residents as we also want to make Dorset Council a wonderful place to work. The transformation programme themes align to the Dorset Council Plan priorities and our corporate values. Each theme has tangible outcomes by which we measure success. We learn and adapt at pace, and we focus on successful outcomes. We recognise that some change requires upfront investment and takes several years to achieve. So, we plan not just for the year ahead, but for the next five to ten years. We take a digital first approach so most residents can engage with us and access the services they need digitally. Digital technology and methodology help our council improve and provide the right service, at the right time, in the right way.

In everything we do, we play our part in tackling the global climate and ecological emergency.

We want to make sure that our transformation plans are visible to our workforce and members. We’ve created the transformation hub, where the programme, its projects and how we’re delivering our vision through the transformation programme and relevant information can be found.