Level of Assurance
None
Limited
Reasonable
Substantial

Principles	Level of Assurance			
	None	Limited	Reasonable	Substantial
Principle A: Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law				
1) Arrangements to ensure ethical conduct for both members and officers, including codes of conduct, management of conflicts of interest, declarations of gift and hospitality, training and evaluation.		3	11	
2) Arrangements covering the ethical behaviour of external service providers			2	
3) Arrangements to support whistleblowing		1	5	
4) How compliance with laws and regulations and internal policies and procedures is ensured and arrangements to ensure expenditure is lawful			6	
5) How breaches of ethical arrangements, laws, regulations and procedures are addressed and learning adopted			2	
6) How all those in governance roles and senior managers demonstrate their leadership of an ethical culture.			2	
Principle B: Ensuring openness and comprehensive stakeholder engagement				
1) How the authority ensures that decisions are made in the public interest and the rationale for decisions is recorded			4	
2) How the authority achieves expected standards of openness and transparency, including a culture of internal challenge and self-assessment			6	
3) The arrangements for consultation and engagement with citizens, service users and stakeholders and how these inform decision-making.			4	
4) The ways in which the authority communicates with the community and stakeholders			5	
Principle C: Defining outcomes in terms of sustainable economic, social and environmental benefits				
1) How the authority establishes its vision, target outcomes, and associated long-term plans to deliver sustainable outcomes.		1	5	1
2) Its decision-making arrangements and how it ensures consideration and demonstration of value for money and best value.			3	
3) Arrangements to achieve fair access to services			1	
4) The authority's strategic approach to commissioning across the entity and its partnerships and collaborations.			1	
Principle D: Determining the interventions necessary to optimise the achievement of the intended outcomes				
1) The arrangements for medium and short-term service planning, supported by projects and programmes, to ensure alignment to the vision and objectives.			12	1
2) How budgets and resource strategies align to the delivery of objectives.			5	1
3) How the authority uses self-assessment and continuous improvement to achieve value for money			10	2
4) The authority's performance management arrangements to ensure continued alignment to its objectives.			2	
5) Arrangements for the achievement of social value in commissioning, procurement and contracting.			1	

Principles	Level of Assurance			
	None	Limited	Reasonable	Substantial
Principle E: Developing the entity's capacity, including the capability of its leadership and the individuals within it				
1) Member and officer protocols and clarity over roles and responsibilities, including schemes of delegation.			3	
2) Application of the Code of Practice on Good Governance for Local Authority Statutory Officers.			2	
3) How financial management roles align with: – CIPFA Financial Management Code (FM Code) – CIPFA Statement on the Role of the Chief Financial Officer in Local Government (2015)			2	
4) The arrangements in place for the discharge of the monitoring officer function.			1	
5) The arrangements in place for the discharge of the head of paid service function.			1	
6) Induction and development programmes to meet the needs of members and senior officers in relation to their strategic roles			4	
7) Workforce planning and organisational development.			10	
8) Arrangements for learning and development, and health and wellbeing.		1	5	
Principle F: Managing risks and performance through robust internal control and strong public financial management				
1) Risk management policy, strategy and arrangements for review.			3	2
2) How financial management arrangements align with the Financial Management Code.			9	3
3) Internal control arrangements including: – Cyber, AI and information security arrangements – information governance – asset management – procurement and contract management.		6	23	2
4) Assurance frameworks across the three lines. The framework should set out how the leadership team obtains its assurance, including from management, risk and compliance arrangements, and internal audit.			4	
5) Internal audit arrangements in conformance with the Global Internal Audit Standards in the UK public sector(GIAS and the Application Note) and the CIPFA Code of Practice on the Governance of Internal Audit			2	
6) Arrangements for formal overview and scrutiny (as applicable)			2	
7) Facilitation of internal and external challenge.			5	
8) Undertaking the core functions of an audit committee, as identified in Audit Committees: Practical Guidance for Local Authorities and Police (CIPFA, 2022).			2	
9) Counter fraud and anti-corruption developed and maintained in accordance with the Code of Practice on Managing the Risk of Fraud and Corruption (CIPFA, 2014).		1	4	
10) Governance, risk and control arrangements across companies, partnerships, collaborations and arm's length bodies.			2	
Principle G: Implementing good practices in transparency, reporting and audit to deliver effective accountability				
1) Arrangements for the timely response and support to the work of external audit, internal audit and other inspection or regulatory action.		1	13	3
2) Approach to welcoming external challenge and implementing recommendations.			3	2
3) How learning and improvement are actioned.			3	
4) How transparency and accountability are maintained across collaborations and arm's length bodies, such as trading companies and joint ventures.			2	

Principles	Level of Assurance			
	None	Limited	Reasonable	Substantial
5) Accountability to the public and stakeholders is supported by clear assurance and ensures core areas are covered to enable better accountability in practice.			6	

Principle A: Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law									
Lead(s):	**Jonathan Mair, Director - Governance & Assurance; Grace Evans, Head of Legal Services**								
Principles	**Ref**	**Evidenced By**	**Link**	**Owner**	**Level of Assurance**	**Means of Assurance**	**Further Improvement Actions Identified**	**By When**	**By Whom**
1) Arrangements to ensure ethical conduct for both members and officers, including codes of conduct, management of conflicts of interest, declarations of gift and hospitality, training and evaluation.	a	Dorset Council constitution	Link	Director - Assurance & Governance	**Reasonable**	Self Assessment	Review following the Mazur case about conduct of litigation, review of shareholder governance and changes to the financial section of the Scheme of Delegation	tbc	Head of Legal Services
	b	Scheme of Delegation	Link	Director - Assurance & Governance	**Reasonable**	Self Assessment	Roll out the new financial section of the Officer Scheme of Delegation with guidance	tbc	Head of Legal Services
	c	Contract Procedural Rules	Link	Director - Assurance & Governance	**Reasonable**	Self Assessment	Review needed following changes to financial section of Scheme of Delegation	tbc	Service Manager for Commercial & Procurement
	d	Officer Code of Conduct, incl register of interests, gifts and hospitality; Portal goes live 14/7/26	Link	Director - Assurance & Governance	**Reasonable**	Self Assessment			
	e	Member Code of Conduct, incl register of interests, gifts and hospitality	Link	Director - Assurance & Governance	**Reasonable**	Self Assessment			
	f	Protocol for officer and member relations	Link	Director - Assurance & Governance	**Reasonable**	Self Assessment			
	g	Complaints Policies (Corporate; Childrens Social Care; Adults Social Care)	Link	Service Manager for Assurance	**Reasonable**	Internal Audit on Childrens Services Complaints (Limited) but actions completed. Self Assessment			
	h	Caldicott Guardian	Link	Director of Adult Social Services	**Reasonable**	Self Assessment			
	i	Equality, Diversity and Inclusion Strategic Board and Strategy / action plan	Link	Head of Strategic Comms and Engagement	**Reasonable**	Self Assessment			
	J	Mandatory training regime, incl data protection and equalities		Head of People and Workforce	**Limited**	Self Assessment	Enable policing process for cyber/data protection training	Sep-26	Service Manager for Assurance

Principle A: Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law									
Lead(s):	**Jonathan Mair, Director - Governance & Assurance; Grace Evans, Head of Legal Services**								
Principles	**Ref**	**Evidenced By**	**Link**	**Owner**	**Level of Assurance**	**Means of Assurance**	**Further Improvement Actions Identified**	**By When**	**By Whom**
	k	Policy Library	Link	Head of Strategy	**Limited**	Self Assessment	An internal policy library tool will be developed to enable all policy and strategy owners to self-serve, manage, and update their review cycles. This will support forward planning and ensure consistent publication standards and processes across the public-facing policy library.	tbc	
	l	Governance working group		Head of Strategy	**Reasonable**	Self Assessment	Develop this group into a permanent governance group	Sep-26	Director - Assurance and Governance
	m	Corporate Social Responsibility Standards	Link	Service Manager for Commercial & Procurement	**Reasonable**	Self Assessment			
	n	Processes for recruitment of interim staff		Head of People and Workforce	**Limited**	Internal audit on Irregularities investigation	A structured induction and training program will be established for interim staff to promote corporate integration and oversight. Corporate policies and procedures for conflict of interest checks during the recruitment and management of interim staff will be enforced. Individuals	tbc	Head of People and Workforce
2) Arrangements covering the ethical behaviour of external service providers	a	Commercial Strategy, incl Corporate Social Responsibility Standards)	Link	Service Manager for Commercial & Procurement	**Reasonable**	Self Assessment			
	b	Protected Disclosure (Whistleblowing Policy)	Link	Service Manager for Assurance	**Reasonable**	Self Assessment			
3) Arrangements to support whistleblowing	a	Protected Disclosure (Whistleblowing Policy) and supporting reporting process	Link	Service Manager for Assurance	**Reasonable**	Self Assessment			
	b	Counter Fraud and Financial Crime Policy	Link	Service Manager for Assurance	**Reasonable**	Self Assessment	Review to ensure fully captures obligations of Economic Crime and Corporate Transparancy Act	Oct-26	Service Manager for Assurance

Principle A: Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law									
Lead(s):	Jonathan Mair, Director - Governance & Assurance; Grace Evans, Head of Legal Services								
Principles	**Ref**	**Evidenced By**	**Link**	**Owner**	**Level of Assurance**	**Means of Assurance**	**Further Improvement Actions Identified**	**By When**	**By Whom**
	c	Fraud and Whistleblowing learning modules		Service Manager for Assurance	**Reasonable**	Self Assessment - Limited internal audit opinion but actions completed	Develop training matrix, for better targetting of training	Oct-26	Service Manager for Assurance
	d	Fraud action plan		Service Manager for Assurance	**Limited**	Self Assessment	Update action plan to better articulate requirements of Economic Crime and Corporate Transparancy Act	Oct-26	Service Manager for Assurance
	e	Annual fraud and whistleblowing report to Audit and Governance Committee	Link	Service Manager for Assurance	**Reasonable**	Self Assessment			
	f	Internal audit on whistleblowing procedures		Service Manager for Assurance	**Reasonable**	Internal Audit			
4) How compliance with laws and regulations and internal policies and procedures is ensured and arrangements to ensure expenditure is lawful	a	Statutory Monitoring Officer (and Deputy)		Director - Governance & Assurance	**Reasonable**	Self Assessment			
	b	Chief Financial Officer (and Deputy)		Director - Resources	**Reasonable**	Self Assessment			
	c	Committee report clearance process, incl statutory officer review		Service Manager for Elections and Democratic Services	**Reasonable**	Self Assessment			
	d	Professional support from Legal Services		Head of Legal Services	**Reasonable**	Self Assessment	Review Legal Services resource v service resource following the Mazur case about conduct of litigation and review and clarify system arrangements for instruction of external legal	Sep-26	Head of Legal Services
	e	Professional support from finance business partners and teams		Director - Resources	**Reasonable**	Self Assessment			
	f	Senior Leadership Team		Chief Executive	**Reasonable**	Self Assessment			
5) How breaches of ethical arrangements, laws, regulations and procedures are addressed and learning adopted	a	"Our Values" Behaviours Framework	Link	Head of People and Workforce	**Reasonable**	Self Assessment			
	b	Councillor Code of Conduct complaints processes	Link	Director for Legal and Democratic	**Reasonable**	Self Assessment	Respond to anticipated change in legislation.	tbc	Head of Legal Services

Principle A: Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law									
Lead(s):	Jonathan Mair, Director - Governance & Assurance; Grace Evans, Head of Legal Services								
Principles	**Ref**	**Evidenced By**	**Link**	**Owner**	**Level of Assurance**	**Means of Assurance**	**Further Improvement Actions Identified**	**By When**	**By Whom**
6) How all those in governance roles and senior managers demonstrate their leadership of an ethical culture.	a	Scrutiny and challenge by Audit and Governance Committee	Link	Director - Governance & Assurance	**Reasonable**	Self Assessment			
	b	1-2-1 / appraisals		Head of People and Workforce	**Reasonable**	Self Assessment			

Principle B: Ensuring openness and comprehensive stakeholder engagement									
Lead(s):	Jen Lowis, Head of Strategic Comms and Engagement; Jacqui Andrews, Service Manager for Electoral and Democratic Services								
Principles	**Ref**	**Evidenced By**	**Link**	**Owner**	**Level of Assurance**	**Means of Assurance**	**Further Improvement Actions Identified**	**By When**	**By Whom**
1) How the authority ensures that decisions are made in the public interest and the rationale for decisions is recorded	a	Committee Meetings open to the public, streamed and accessible on Youtube (unless exempt). Members of the public can attend virtually or in person to ask questions	Link	Service Manager for Electoral and Democratic Services	Reasonable	Self Assessment			
	b	Committee papers and minutes published, including decisions reached	Link	Service Manager for Electoral and Democratic Services	Reasonable	Self Assessment			
	c	Impact assessments as part of committee clearance process		Service Manager for Electoral and Democratic Services	Reasonable	Self Assessment			
	d	Declarations of interest within committee minutes	Link	Service Manager for Electoral and Democratic Services	Reasonable	Self Assessment			
2) How the authority achieves expected standards of openness and transparency, including a culture of internal challenge and self-assessment	a	Open Data and Transparency information	Link		Reasonable	Self Assessment			
	b	Pay Policy Statements	Link	Head of People and Workforce	Reasonable	Self Assessment			
	c	Publishing of payments to suppliers over £500	Link	Service Manager for Commercial & Procurement	Reasonable	Self Assessment			
	d	Freedom of Information process and compliance monitoring	Link	Service Manager for Assurance	Reasonable	Self Assessment			
	e	Subject Access Request internal audit		Service Manager for Assurance	Reasonable	Internal Audit	Look to replicate good practice within the corporate SARs team to wider Dorset Council responses, as part of transformation work	Oct-26	Service Manager for Assurance
	f	Right of Access Compliance (Subject Access Request) process and compliance monitoring	Link	Service Manager for Assurance	Reasonable	Self Assessment	Review and update policy, to reflect any change arising from transformation work	Oct-26	Service Manager for Assurance

Principle B: Ensuring openness and comprehensive stakeholder engagement									
Lead(s):	**Jen Lowis, Head of Strategic Comms and Engagement; Jacqui Andrews, Service Manager for Electoral and Democratic Services**								
Principles	**Ref**	**Evidenced By**	**Link**	**Owner**	**Level of Assurance**	**Means of Assurance**	**Further Improvement Actions Identified**	**By When**	**By Whom**
3) The arrangements for consultation and engagement with citizens, service users and stakeholders and how these inform decision-making.	a	Consultation and engagement activities		Head of Strategic Comms and Engagement	**Reasonable**	Self Assessment			
	b	Citizenspace consultation platform		Head of Strategic Comms and Engagement	**Reasonable**	Self Assessment			
	c	Consultation and engagement policy	Link	Head of Strategic Comms and Engagement	**Reasonable**	Self Assessment			
	d	Data and Insight for Dorset Resources	Link	Head of Strategy	**Reasonable**	Self Assessment	Annual update to the State of Dorset report- State of Dorset 2025 to be published by February 2026. With additional ad hoc data briefings aligned to release of national data sets.	Feb 2027; Feb 2028 etc.	Head of Strategy
4) The ways in which the authority communicates with the community and stakeholders	a	Communication and marketing activities		Head of Strategic Comms and Engagement	**Reasonable**	Peer review			
	b	Corporate Plan Progress reporting - public performance dashboards, quarterly review via scrutiny committees and twice yearly progress reports to Cabinet	Link	Head of Strategy	**Reasonable**	Self Assessment			
	c	Statutory annual complaints report	Link	Service Manager for Assurance	**Reasonable**	Self Assessment			
	d	Annual Local Government and Social Care Ombudsman's report		Service Manager for Assurance	**Reasonable**	Self Assessment	Seek to improve Directorate's performance in providing satisfactory remedies to complainants ahead of LGSCO escalation	Mar-27	Service Manager for Assurance

Principle B: Ensuring openness and comprehensive stakeholder engagement									
Lead(s):	Jen Lowis, Head of Strategic Comms and Engagement; Jacqui Andrews, Service Manager for Electoral and Democratic Services								
Principles	**Ref**	**Evidenced By**	**Link**	**Owner**	**Level of Assurance**	**Means of Assurance**	**Further Improvement Actions Identified**	**By When**	**By Whom**
	e	Customer Strategy and Delivery Plan - Reframes communication as a two-way relationship built around accessibility, clarity, trust and collaboration, redefining as ‘one organisation’, not as multiple departments	Link	Head of Customer Experience	**Reasonable**	Self Assessment			

Principle C: Defining outcomes in terms of sustainable economic, social and environmental benefits									
Lead(s):	Steve Ford, Assistant Chief Executive; Sean Cremer, Director - Resources								
Principles	**Ref**	**Evidenced By**	**Link**	**Owner**	**Level of Assurance**	**Method of Assurance**	**Further Improvement Actions Identified**	**By When**	**By Whom**
1) How the authority establishes its vision, target outcomes, and associated long-term plans to deliver sustainable outcomes.	a	Council Plan	Link	Head of Strategy	**Substantial**	Self Assessment			
	b	Golden thread running through Council Plan, Service Plans and 1to1s /"My Road Map" appraisals. Revised service plans in development.		Head of Strategy	**Reasonable**	Self Assessment	Complete whole Council service planning exercise	tbc	Head of Strategy
	c	Committee report impacts sheet		Service Manager for Democratic and Electoral Services	**Reasonable**	Self Assessment			
	d	Data & BI Strategy	Link	Head of Strategy	**Limited**	Internal Audit	Replace this historic strategy with the new Data and Technology Strategy which is being developed by the Head of ICT.	Apr-27	Executive Director for Modernisation & Customer
	e	Climate and Ecological Emergency Strategy	Link	Assistant Chief Executive	**Reasonable**	Self Assessment			
	f	Equality Diversity and Inclusion Strategy	Link	Head of Strategic Communications & Engagement	**Reasonable**	Self Assessment			
	g	Strategic performance framework and reporting tool, including risk. Corporate Plan Progress reporting - public performance dashboards, quarterly review via scrutiny committees and twice yearly progress reports to Cabinet	Link	Head of Strategy	**Reasonable**	Self Assessment	Publish end year progress report in July 2026 as part of the twice a year update to Cabinet on Council Plan delivery/ progress	Jul-26	Head of Strategy
2) Its decision-making arrangements and how it ensures consideration and demonstration of value for money and best value.	a	Statement of Accounts	Link	Director - Resources	**Reasonable**	Seld Assessment			
	b	Budget Reports	Link	Director - Resources	**Reasonable**	Seld Assessment			
	c	Design Authority managing change activity		Head of Transformation and Design	**Reasonable**	Seld Assessment			

Principle C: Defining outcomes in terms of sustainable economic, social and environmental benefits									
Lead(s):	Steve Ford, Assistant Chief Executive; Sean Cremer, Director - Resources								
Principles	**Ref**	**Evidenced By**	**Link**	**Owner**	**Level of Assurance**	**Method of Assurance**	**Further Improvement Actions Identified**	**By When**	**By Whom**
3) Arrangements to achieve fair access to services	a	Equality Diversity and Inclusion Strategy	Link	Head of Strategic Communications & Engagement	**Reasonable**	Self Assessment			
4) The authority's strategic approach to commissioning across the entity and its partnerships and collaborations.	a	Commercial Strategy	Link	Service Manager for Commercial and Procurement	**Reasonable**	Self Assessment			

Principle D: Determining the interventions necessary to optimise the achievement of the intended outcomes									
Lead(s)	**Steve Ford, Assistant Chief Executive**								
Principles	**Ref**	**Evidenced By**	**Link**	**Owner**	**Level of Assurance**	**Method of Assurance**	**Further Improvement Actions Identified**	**By When**	**By Whom**
1) The arrangements for medium and short-term service planning, supported by projects and programmes, to ensure alignment to the vision and objectives.	a	Council plan	Link	Head of Strategy	**Substantial**	Self Assessment			
	b	Corporate Plan Progress reporting - public performance dashboards, quarterly review via scrutiny committees and twice yearly progress reports to Cabinet	Link	Head of Strategy	**Reasonable**	Self Assessment	Publish end year progress report in July 2026 as part of the twice a year update to Cabinet on Council Plan delivery/ progress	Jul-26	Head of Strategy
	c	Service Plans		Head of Strategy	**Reasonable**	Self Assessment	Whole council service planning exerciseis underway to align with the multiyear financial settlement.	Jul-26	Head of Strategy
	d	Cabinet leads	Link	Service Manager for Democratic and Electoral Services	**Reasonable**	Self Assessment			
	e	Design Authority		Head of Transformation and Design	**Reasonable**	Self Assessment			
	f	Our Future Council Programme and Directorate level changes		Head of Transformation and Design	**Reasonable**	Self Assessment			
	g	Transformation Plan 2025 to 2029	Link	Head of Transformation and Design	**Reasonable**	Self Assessment			
	h	Professional support from Transformation and Design team		Head of Transformation and Design	**Reasonable**	Self Assessment			
	i	ICT Change Management audit (Actions have been taken as far as they can, pending IT restructure)		Head of ICT Operations	**Reasonable**	Internal Audit	Further actions in the audit are to do ITIL v4 training - this is currently a tolerated risk	tbc	Head of ICT Operations
	j	Overview Committees	Link	Service Manager for Democratic and Electoral Services	**Reasonable**	Self Assessment			
	k	Equality Impact Assessments		Head of Strategic Comms and Engagement	**Reasonable**	Self Assessment			
	l	Data Protection Impact Assessments (and screening tool)		Service Manager for Assurance	**Reasonable**	Self Assessment			

Principle D: Determining the interventions necessary to optimise the achievement of the intended outcomes									
Lead(s)	**Steve Ford, Assistant Chief Executive**								
Principles	**Ref**	**Evidenced By**	**Link**	**Owner**	**Level of Assurance**	**Method of Assurance**	**Further Improvement Actions Identified**	**By When**	**By Whom**
	m	Consultation and Engagement policy	Link	Head of Strategic Comms and Engagement	**Reasonable**	Self Assessment	Community Conversations throughout 2026	2026	Head of Strategic Comms and Engagement
2) How budgets and resource strategies align to the delivery of objectives.	a	Design Authority		Head of Transformation and Design	**Reasonable**	Self Assessment			
	b	Financial strategy	Link	Director - Resources	**Reasonable**	Self Assessment			
	c	Capital Strategy	Link	Director - Resources	**Reasonable**	Self Assessment			
	d	Strategic asset management plan 2024-30	Link	Head of Assets and Property	**Substantial**	Internal Audit			
	e	Budgets and Spending	Link	Director - Resources	**Reasonable**	Self Assessment			
	f	Budget cafes for councillors		Director - Resources	**Reasonable**	Self Assessment			
3) How the authority uses self-assessment and continuous improvement to achieve value for money	a	Design Authority		Head of Transformation and Design	**Reasonable**	Self Assessment			
	b	Lessons Learnt processes		Various	**Reasonable**	Self Assessment			
	c	Organisational Learning group		Executive Director - Housing, Communities & Prevention	**Reasonable**	Self Assessment / Internal Audit and Investigation	Ensure that wider transformation work reflectsand embeds the cultural and behavioural improvements identified in the Investigation Action Plan	tbc	Senior Leadership Team
	d	Annual Audit and Inspection letter	Link	Director - Resources	**Reasonable**	Self Assessment			
	e	Scrutiny Committees	Link	Service Manager for Democratic and Electoral Services	**Reasonable**	Self Assessment			
	f	People and Health Scrutiny Performance Dashboard	Link	Head of Strategy	**Reasonable**	Self Assessment			
	g	Place and Resources Scrutiny Performance Dashboard	Link	Head of Strategy	**Reasonable**	Self Assessment			
	h	Peer Reviews and Inspections		Various	**Reasonable**	Self Assessment			
	i	Ofsted inspections and reports	Link	Executive Director for Childrens	**Substantial**	Ofsted Inspection			

Principle D: Determining the interventions necessary to optimise the achievement of the intended outcomes									
Lead(s)	**Steve Ford, Assistant Chief Executive**								
Principles	**Ref**	**Evidenced By**	**Link**	**Owner**	**Level of Assurance**	**Method of Assurance**	**Further Improvement Actions Identified**	**By When**	**By Whom**
	j	CQC inspections and reports	Link	Director for Adult Social Services	**Substantial**	CQC inspections and reports			
	k	Organisational Compliance and Risk Learning Group		Service Manager for Assurance	**Reasonable**	Self Assessment	The remit of this working group is to be combined with the Operational Information Governance Group	Sep-26	Service Manager for Assurance
	l	Response to SWAP investigation on governance and financial controls		Director - Governance & Assurance	**Reasonable**	Self Assessment			
4) The authority's performance management arrangements to ensure continued alignment to its objectives.	a	Performance management framework, incorporating risk		Head of Strategy	**Reasonable**	Self Assessment			
	b	Performance monitoring and challenge by Scrutiny Committees	Link	Head of Strategy	**Reasonable**	Self Assessment			
5) Arrangements for the achievement of social value in commissioning, procurement and contracting.	a	Commercial Strategy, incl Corporate Social Responsibility Standards)	Link	Service Manager for Commercial and Procurement	**Reasonable**	Self Assessment			

Principle E: Developing the entity's capacity, including the capability of its leadership and the individuals within it									
Lead(s):	Catherine Howe, Chief Executive; Chris Matthews, Head of People and Workforce								
Principles	**Ref**	**Evidenced By**	**Link**	**Owner**	**Level of Assurance**	**Method of Assurance**	**Further Improvement Actions Identified**	**By When**	**By Whom**
1) Member and officer protocols and clarity over roles and responsibilities, including schemes of delegation.	a	Officer Code of Conduct, incl register of interests, gifts and hospitality	Link	Director for Legal and Democratic	**Reasonable**	Self Assessment			
	b	Member Code of Conduct, incl register of interests, gifts and hospitality	Link	Director for Legal and Democratic	**Reasonable**	Self Assessment			
	c	Scheme of Delegation	Link	Director for Legal and Democratic	**Reasonable**	Self Assessment	Roll out of guidance to support revised financial section of the Officer Scheme of Delegation?	tbc	Head of Legal
2) Application of the Code of Practice on Good Governance for Local Authority Statutory Officers.	a	Head of Paid Service, Chief Finance Officer, and Monitoring Officer act in compliance with the Code of Practice		Chief Executive	**Reasonable**	Self Assessment			
	b	Statutory officers group		Chief Executive	**Reasonable**	Self Assessment			
3) How financial management roles align with: – CIPFA Financial Management Code (FM Code) – CIPFA Statement on the Role of the Chief Financial Officer in Local Government (2015)	a	CIPFA Financial Management Code self assessment		Director - Resources	**Reasonable**	Self Assessment			
	b	Section 151 Officer		Director - Resources	**Reasonable**	Self Assessment			
4) The arrangements in place for the discharge of the monitoring officer function.	a	Monitoring Officer (and Deputy)		Director - Assurance & Governance	**Reasonable**	Self Assessment			
5) The arrangements in place for the discharge of the head of paid service function.	a	Chief Executive		Chief Executive	**Reasonable**	Self Assessment			

Principle E: Developing the entity's capacity, including the capability of its leadership and the individuals within it									
Lead(s):	Catherine Howe, Chief Executive; Chris Matthews, Head of People and Workforce								
Principles	**Ref**	**Evidenced By**	**Link**	**Owner**	**Level of Assurance**	**Method of Assurance**	**Further Improvement Actions Identified**	**By When**	**By Whom**
6) Induction and development programmes to meet the needs of members and senior officers in relation to their strategic roles	a	Elected member induction and training programme supported by Councillor Development and Support Officer		Service Manager for Democratic and Electoral Services	Reasonable	Self Assessment			
	b	Staff induction programme		Head of People and Workforce	Reasonable	Self Assessment			
	c	Mentoring and coaching		Head of People and Workforce	Reasonable	Self Assessment			
	d	1-2-1 / Appraisals / "My Roadmap"		Head of People and Workforce	Reasonable	Self Assessment			
7) Workforce planning and organisational development.	a	People and Culture strategy	Link	Head of People and Workforce	Reasonable	Self Assessment			
	b	"My Roadmap" / Appraisals		Head of People and Workforce	Reasonable	Self Assessment			
	c	Management Academy		Head of People and Workforce	Reasonable	Self Assessment			
	d	Leadership Forum		Head of People and Workforce	Reasonable	Self Assessment			
	e	Recruitment and Attraction team		Head of People and Workforce	Reasonable	Self Assessment			
	f	Suite of HR policies	Link	Head of People and Workforce	Reasonable	Self Assessment			
	g	Employee seminars		Head of People and Workforce	Reasonable	Self Assessment			
	h	Internal audit on establishment control		Head of People and Workforce	Reasonable	Internal Audit			
	i	"Conversations with Catherine" - Chief Executive meeting members of staff		Chief Executive	Reasonable	Self Assessment	Second round of "Conversations with Catherine" during 2026	tbc	Chief Executive
	j	Staffing Committee	Link	Service Manager for Democratic and Electroral Services	Reasonable	Self Assessment			
8) Arrangements for learning and development, and health and wellbeing.	a	People and Culture strategy	Link	Head of People and Workforce	Reasonable	Self Assessment			
	b	Staff Development Scheme		Head of People and Workforce	Reasonable	Self Assessment			

Principle E: Developing the entity's capacity, including the capability of its leadership and the individuals within it									
Lead(s):	**Catherine Howe, Chief Executive; Chris Matthews, Head of People and Workforce**								
Principles	**Ref**	**Evidenced By**	**Link**	**Owner**	**Level of Assurance**	**Method of Assurance**	**Further Improvement Actions Identified**	**By When**	**By Whom**
	c	Employee Assistance Programme		Head of People and Workforce	**Reasonable**	Self Assessment			
	d	Staff Consultative Panels		Head of People and Workforce	**Reasonable**	Self Assessment			
	e	Mandatory training (and optional modules		Head of People and Workforce	**Limited**	Self Assessment	Enable compliance regime for non compliance of information governance training mechanisms (data protection / cyber) Improve wider mandatory training compliance levels	Sep-26	Service Manager for Assurance Head of People and Wellbeing
	f	Employee networks		Head of Comms and Strategic Engagement	**Reasonable**	Self Assessment			

Principle F: Managing risks and performance through robust internal control and strong public financial management									
Lead(s):	**Sean Cremer, Director - Resources; Liz Crocker, Head of Strategy; Marc Eyre, Service Manager for Assurance**								
Principles	**Ref**	**Evidenced By**	**Link**	**Owner**	**Level of Assurance**	**Method of Assurance**	**Further Improvement Actions Identified**	**By When**	**By Whom**
1) Risk management policy, strategy and arrangements for review.	a	Risk management strategy	Link	Head of Strategy	**Substantial**	Self Assessment	Published in 2025,the strategy will be subject to regular review to ensure it remains current and up to date. Propose internal audit on risk function in 2027 to guide further work.	Apr-27	Head of Strategy
	b	Risk appetite statement	Link	Head of Strategy	**Reasonable**	Self Assessment	Following the adoption of the organisation’s Risk Appetite Statement, work will now progress with all directorates to ensure the approach is fully embedded across services. This will be supported by the development of additional metrics that provide clearer insight and operational guidance aligned to the high-level appetite. The agreed Risk Appetite will also inform the internal audit planning process, strengthening the alignment between risk management, assurance activities, and organisational priorities.	Jul-26	Head of Strategy
	c	Risk Register / Dashboard		Head of Strategy	**Substantial**	Self Assessment	Following the launch of the revamped risk register in 2025, further development will continue through the introduction of a more granular, revised matrix scoring approach—designed to generate deeper insight and enable automated scoring.	Dec-26	Head of Strategy
	d	Risk assessment within Committee report template		Head of Strategy	**Reasonable**	Self Assessment	Risk assessment sections within committee report templates will be updated to reflect the revised risk-scoring approach.	Dec-26	Head of Strategy

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	e	Professional support provided by the Risk and Reporting Officer		Head of Strategy	**Reasonable**	Self Assessment	Continued professional development of IRM-Cert qualified Risk Management and Reporting officer. Risk Learning module to be created to develop competency across the organisation	Apr-27	Head of Strategy
2) How financial management arrangements align with the Financial Management Code.	a	Section 151 Officer		Director - Resources	**Reasonable**	Self Assessment			
	b	CIPFA Financial Management Code self assessment		Director - Resources	**Reasonable**	Self Assessment			
	c	Medium Term Financial Plan	Link	Director - Resources	**Reasonable**	Self Assessment			
	d	Budget updates to committees and SLT		Director - Resources	**Reasonable**	Self Assessment			
	e	Capital Strategy	Link	Director - Resources	**Reasonable**	Self Assessment			
	f	Internal audit on Repairs, Maintenance, Minor and Small Capital Works (RMMSCW) Framework (NB - we no longer have a framework and are now moving to contracts)		Head of Assets and Property	**Reasonable**	Self Assessment; Internal Audit (was limited, but actions complete)			
	g	Treasury Management Strategy	Link	Corporate Director for Finance and Commercial	**Reasonable**	Self Assessment			
	h	Internal audit on treasury management (continuous)		Corporate Director for Finance and Commercial	**Substantial**	Internal Audit			
	i	Internal audit on key controls main accountacy (continual)		Corporate Director for Finance and Commercial	**Reasonable**	Internal Audit			
	j	Internal audit on UK shared propserity fund			**Substantial**	Internal Audit			
	k	Internal audit on revenues and benefits (continuous)		Head of Revenues and Benefits	**Substantial**	Internal Audit			
	l	Annual Outturn and Financial Statements		Director - Resources	**Reasonable**	Self Assessment			

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3) Internal control arrangements including: – Cyber, AI and information security arrangements – information governance – asset management – procurement and contract management.	a	Business Continuity framework, with supporting business impact assessment and service level action cards		Service Manager for Assurance	**Reasonable**	Self Assessment. Internal Audit (Limited) but actions responded to	Revise the business continuity portal; roll out of whole authority cyber exercise	Dec-26	Service Manager for Assurance
	b	Emergency Response Plan / Command and Control structure		Service Manager for Assurance	**Reasonable**	Self Assessment			
	c	Annual Governance Statement supported by Local Code of Corporate Governance		Service Manager for Assurance	**Reasonable**	Self Assessment	Consider development of Service Assurance statements, in line with Head of Audit Annual Governance Statement Effectiveness Checklist to incorporate: Governance; Risk; Internal control; Financial stewardship; Safeguarding (where relevant)	Mar-27	Service Manager for Assurance
	d	Internal Audit on Contract and Expenditure compliance with Council constitution and scheme of delegation;		Director for Public Health and Protection	**Reasonable**	Internal Audit			
	e	Internal investigations by SWAP re health and safety compliance		Director - Assurance & Governance	**Reasonable**	Internal Audit - Limited assurance opinion, but actions now largely completed (one outstanding)	Ensure that wider transformation work reflects and embeds the cultural and behavioural improvements identified in the Investigation Action Plan	tbc	Senior Leadership Team
	f	Data & BI Strategy	Link	Head of Strategy	**Limited**	Internal Audit - Data Maturity	Replace this historic strategy with the new Data and Technology Strategy which is being developed by the Head of ICT.	Apr-27	Executive Director for Modernisation & Customer

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	g	Data Maturity internal audit		Director - Assurance & Governance	**Limited**	Internal Audit - Data Maturity	Respond to priority actions identified within internal audit report, including progressing the records management and information resilience business case through governance	Apr-27	Various
	h	Professional advice from Information Compliance Team and Data Protection Officer		Service Manager for Assurance	**Reasonable**	Self Assessment	Capacity is stretched due to extent of organisational change. Seeking Service Design challenge across information compliance and complaints functions	Oct-26	Service Manager for Assurance
	i	Senior Information Risk Owner	Link	Director - Assurance & Governance	**Reasonable**	Self Assessment			
	j	Caldicott Guardian	Link	Director for Adult Social Services	**Reasonable**	Self Assessment			
	k	Strategic Information Governance Board and supporting groups	Link	Service Manager for Assurance	**Reasonable**	Self Assessment			
	l	Data Sharing Agreements		Service Manager for Assurance	**Reasonable**	Self Assessment			
	m	Annual Information Governance report to SLT and Audit and Governance Committee	Link	Service Manager for Assurance	**Reasonable**	Self Assessment			

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Principles	**Ref**	**Evidenced By**	**Link**	**Owner**	**Level of Assurance**	**Method of Assurance**	**Further Improvement Actions Identified**	**By When**	**By Whom**
	n	Information Governance policy framework (information compliance; information management; cyber security; AI/automation)	Link	Service Manager for Assurance	**Limited**	Self Assessment	Ongoing review and update of information governance policies, on a risk assessed basis. Embedding Responsible AI governance and continuing to evaluate AI opportunities, risks and learning through a controlled test-and-learn approach Strengthening assurance reporting across cyber risk, audit activity, compliance requirements and improvement actions	Dec-26	Service Manager for Assurance Executive Director for Modernisation & Customer Executive Director for Modernisation & Customer
	o	Mandatory data protection training		Service Manager for Assurance	**Reasonable**	Current compliance levels exceed 90%	Enable consequences for officers with low compliance (reminders; lock down of emails)	Sep-26	Service Manager for Assurance
	p	Mandatory cyber training		Executive Director for Modernisation & Customer	**Limited**	Current compliance levels just below 90% but improving	Enable consequences for officers with low compliance (reminders; lock down of emails)	Sep-26	Service Manager for Assurance
	q	Professional advice provided by Cyber security and ICT continuity Lead		Head of ICT Operations	**Reasonable**	Self Assessment	Build more capacity into the new IT structure post restructure to give more time for proactive work to strengthen defences, monitor network activity and build organisational awareness and vigilance to potential cyber attack	tbc	Executive Director for Modernisation & Customer
	r	Internal audit on cyber security risk governance		Head of ICT Operations	**Reasonable**	Internal Audit			
	s	Cyber security assurance mapping		Head of ICT Operations	**Limited**	Internal Audit and subsequent work with Public Digital	Progress actions identified following the work with Public Digital	Mar-26	Executive Director for Modernisation & Customer

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Principles	**Ref**	**Evidenced By**	**Link**	**Owner**	**Level of Assurance**	**Method of Assurance**	**Further Improvement Actions Identified**	**By When**	**By Whom**
	t	Data Protection Impact Assessments, with challenge from Operational Information Governance Group		Service Manager for Assurance	**Reasonable**	Self Assessment			
	u	NHS Data Security and Protection Toolkit		Service Manager for Assurance	**Reasonable**	NHS assessment (awaiting confirmation that standards met) "approaching standards"			
	v	Information Asset Register and identified Information Asset Owners		Service Manager for Archives and Records	**Limited**	Internal Audit	Respond to Data Maturity audit recommendations to improve monitoring and compliance of Information Asset Owners	Apr-27	Service Manager for Archives and Records
	w	Professional advice by Assets and Property Team		Head of Assets and Property	**Reasonable**	Self Assessment			
	x	Capital Strategy & Asset Management Group		Director - Resources	**Substantial**	Internal Audit			
	y	Strategic asset management plan 2024-30	Link	Head of Assets and Property	**Substantial**	Internal Audit			
	z	Strategic Performance Framework	Link	Head of Strategy	**Reasonable**	Self Assessment			
	aa	Commercial Strategy	Link	Service Manager for Commercial and Procurement	**Reasonable**	Self Assessment			
	ab	Modern Slavery Transparancy Statement	Link	Service Manager for Commercial and Procurement	**Reasonable**	Self Assessment			
	ac	Contract Management Procedure Guide	Link	Service Manager for Commercial and Procurement	**Reasonable**	Self Assessment			
	ad	Accord Contract Management platform	Link	Service Manager for Commercial and Procurement	**Reasonable**	Self Assessment			
	ae	Commercial and Procurement Team(internal control tools)	Link	Service Manager for Commercial and Procurement	**Reasonable**	Self Assessment			

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4) Assurance frameworks across the three lines. The framework should set out how the leadership team obtains its assurance, including from management, risk and compliance arrangements, and internal audit.	a	Risk management strategy embraces the three lines model	Link	Head of Strategy	Reasonable	Self Assessment	Risk Learning module to be created to develop competency across the organisation in 2026. Propose internal audit of risk function in 2027 to guide further work.	Apr-27	Head of Strategy
	b	Quarterly SWAP internal audit reports to SLT and Audit and Governance Committee		Chief Executive	Reasonable	Self Assessment			
	c	Audit and Governance Committee call-in where audit actions not progressed		Director - Assurance & Governance	Reasonable	Self Assessment			
	d	Quarterly risk management reports to SLT, Informal Cabinet, Audit and Governance Committee and Scrutiny Committees		Head of Strategy	Reasonable	Self Assessment	A risk overview will form part of the end of year performance report to Cabinet.	Jul-26	Head of Strategy
5) Internal audit arrangements in conformance with the Global Internal Audit Standards in the UK public sector(GIAS and the Application Note) and the CIPFA Code of Practice on the Governance of Internal Audit	a	Internal audit provision via SWAP Internal Audit		Service Manager for Assurance	Reasonable	Self Assessment			
	b	Chief Internal Auditors report		Service Manager for Assurance	Reasonable	Self Assessment			
6) Arrangements for formal overview and scrutiny (as applicable)	a	Two Overview Committees, covering i) Place and Resources; and ii) People and Health		Service Manager for Democratic and Electoral Services	Reasonable	Self Assessment			
	b	Two Scrutiny Committees, covering i) Place and Resources; and ii) People and Health		Service Manager for Democratic and Electoral Services	Reasonable	Self Assessment			

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Principles	**Ref**	**Evidenced By**	**Link**	**Owner**	**Level of Assurance**	**Method of Assurance**	**Further Improvement Actions Identified**	**By When**	**By Whom**
7) Facilitation of internal and external challenge.	a	Peer Reviews and Inspections		Various	**Reasonable**	Self Assessment			
	b	Ofsted inspections and reports		Executive Director for Childrens	**Reasonable**	Self Assessment			
	c	CQC inspections and reports		Director for Adult Social Services	**Reasonable**	Self Assessment			
	d	Officer Task and Finish Group following SWAP investigation, and resultant action plan		Director - Resources	**Reasonable**	Self Assessment			
	e	Overview, Scrutiny, Audit and Governance Committees		Service Manager for Democratic and Electoral Services	**Reasonable**	Self Assessment			
8) Undertaking the core functions of an audit committee, as identified in Audit Committees: Practical Guidance for Local Authorities and Police (CIPFA, 2022).	a	Audit and Governance Committee		Service Manager for Democratic and Electoral Services	**Reasonable**	Self Assessment			
	b	SWAP skills audit		Service Manager for Democratic and Electoral Services	**Reasonable**	Advisory internal audit			
9) Counter fraud and anti-corruption developed and maintained in accordance with the Code of Practice on Managing the Risk of Fraud and Corruption (CIPFA, 2014).	a	Protected Disclosure (Whistleblowing Policy) and supporting reporting process		Service Manager for Assurance	**Reasonable**	Self Assessment			
	b	Counter Fraud and Financial Crime Policy		Service Manager for Assurance	**Reasonable**	Self Assessment			
	c	Fraud and Whistleblowing learning modules		Service Manager for Assurance	**Reasonable**	Self Assessment - Limited findings in an internal audit but actions complete	Develop training matrix, for better targetting of training	Sep-26	Service Manager for Assurance

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Principles	**Ref**	**Evidenced By**	**Link**	**Owner**	**Level of Assurance**	**Method of Assurance**	**Further Improvement Actions Identified**	**By When**	**By Whom**
	d	Fraud action plan		Service Manager for Assurance	**Limited**	Self Assessment	Update action plan to better articulate requirements of Economic Crime and Corporate Transparancy Act	Sep-26	Service Manager for Assurance
	e	Cifas fraud checks on all new employees and agency workers		Service Manager for Assurance	**Reasonable**	Self Assessment			
10) Governance, risk and control arrangements across companies, partnerships, collaborations and arm's length bodies.	a	Shareholder Committees for i) Care Dorset Holdings; ii) Dorset Innovation Park; and iii) Dorset Centre of Excellence		?	**Reasonable**	Self Assessment	Extend fraud action plan to embrace arms length companies, in compliance with Economic Crime and Corporate Transparancy Act Review arrangements for multiple or single shareholder committee.	Sep-26	Service Manager for Assurance Head of Legal Services
	b	Councillor representation on outside bodies	Link	Service Manager for Democratic and Electoral Services	**Reasonable**	Self Assessment			

Principle G: Implementing good practices in transparency, reporting and audit to deliver effective accountability									
Lead(s):	Liz Crocker, Head of Strategy; Marc Eyre, Service Manager for Assurance								
Principles	**Ref**	**Evidenced By**	**Link**	**Owner**	**Level of Assurance**	**Method of Assurance**	**Further Improvement Actions Identified**	**By When**	**By Whom**
1) Arrangements for the timely response and support to the work of external audit, internal audit and other inspection or regulatory action.	a	Quarterly SWAP internal audit reports to SLT and Audit and Governance Committee		Chief Executive	**Reasonable**	Self Assessment			
	b	Annual Internal Audit Opinion report		Service Manager for Assurance	**Reasonable**	SWAP opinion			
	c	Audit and Governance Committee call-in where audit actions not progressed		Director - Assurance & Governance	**Reasonable**	Self Assessment			
	d	Internal audit on brokerage service		Head of Good Care Provision	**Reasonable**	Internal Audit			
	e	Internal audit on payroll key controls (continuous)		HR Manager	**Reasonable**	Internal Audit	Respond to outstanding action	Aug-26	HR Manager
	f	Internal audit on High Needs Block - Transaction and Case Review		Corporate Director - Education & Learning	**Reasonable**	Internal Audit			
	g	Internal audit on school attainment and improvement		Corporate Director - Education & Learning	**Substantial**	Internal Audit			
	h	Internal audit on Childrens Services Direct Payments		Head of B2SA	**Reasonable**	Internal Audit	Respond to outstanding actions	tbc	Head of B2SA
	i	Internal audit on Safer Recruitment and Keeping Children Safe in Education		HR Manager	**Reasonable**	Internal Audit	Respond to outstanding actions	tbc	HR Manager
	j	Internal audit on Voluntary Redundancy (VR)		Head of People & Workforce	**Substantial**	Internal Audit	Respond to outstanding action	tbc	Head of People & Workforce
	k	Main Accounting Continuous Audit		Director for Resources	**Substantial**	Internal Audit			
	l	Internal audit on temporary accommodation		Corporate Director for Housing	**Limited**	Internal Audit	Respond to outstanding actions	tbc	Corporate Director for Housing
	m	Internal audit onQuality Assurance Process for Care Providers		Quality & Contracts Monitoring Manager	**Reasonable**	Internal Audit	Respond to outstanding actions	tbc	Quality & Contracts Monitoring Manager

Principle G: Implementing good practices in transparency, reporting and audit to deliver effective accountability									
Lead(s):	Liz Crocker, Head of Strategy; Marc Eyre, Service Manager for Assurance								
Principles	**Ref**	**Evidenced By**	**Link**	**Owner**	**Level of Assurance**	**Method of Assurance**	**Further Improvement Actions Identified**	**By When**	**By Whom**
	n	Internal audit on application of fixed notice penalties		Head of Children Thriving in Education	**Reasonable**	Internal Audit	Respond to outstanding actions	tbc	Head of Children Thriving in Education
	o	Internal audit on family hubs		Head of Locality & Strategy	**Reasonable**	Internal Audit - Provided a "Limited" assurance opinion, but actions have been completed			
	p	Internal audit on maintained schools financial management		Team Manager - Schools Finance & Support	**Reasonable**	Internal Audit			
	q	External Auditor report and action plan		Director - Resources	**Reasonable**	Self Assessment			
2) Approach to welcoming external challenge and implementing recommendations.	a	Peer Reviews and Inspections		Various	**Reasonable**	Self Assessment	Corporate Peer Challenge	Sep-26	Chief Executive
	b	Ofsted inspections and reports - Full ILACS inspection of service found us outstanding in March 2025. All children's homes currently rated good or outstanding		Executive Director for Childrens	**Substantial**	Ofsted	Deliver on most recent Ofsted inspection recommendations	Ongoing	Executive Director for Childrens
	c	CQC inspections and reports - rated "Good" June 26		Director for Adult Social Services	**Substantial**	Self Assessment	Deliver on most recent CQC inspection recommendations	Ongoing	Director for Adult Social Services
	d	Commissioning SWAP		Service Manager for Assurance	**Reasonable**	Self Assessment			

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	e	Organisational Learning Group		Executive Director - Housing, Communities & Prevention	**Reasonable**	Self Assessment	Develop further improvement actions on culture and behaviour, to be reported through Audit and Governance committee on a regular basis - ensuring join up with wider functions including internal comms, learning and development etc. Including measures for validating effectiveness	Mar-27	
3) How learning and improvement are actioned.	a	Organisational Learning Group		Executive Director - Housing, Communities & Prevention	**Reasonable**	Self Assessment	Develop further improvement actions on culture and behaviour, to be reported through Audit and Governance committee on a regular basis - ensuring join up with wider functions including internal comms, learning and development etc. Including measures for validating effectiveness	Mar-27	Executive Director - Housing, Communities & Prevention
	b	Internal Audit actions tracker		Head of Strategy	**Reasonable**	Self Assessment			
	c	Assurance Service Lessons Learnt processes (Emergency Planning debriefs; complaints and data breach lessons learnt mechanisms)		Service Manager for Assurance	**Reasonable**	Self Assessment			

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4) How transparency and accountability are maintained across collaborations and arm's length bodies, such as trading companies and joint ventures.	a	Shareholder Committees for i) Care Dorset Holdings; ii) Dorset Innovation Park; and iii) Dorset Centre of Excellence			**Reasonable**	Self Assessment			
	b	Freedom of Information and Disclosure log		Service Manager for Assurance	**Reasonable**	Self Assessment			
5) Accountability to the public and stakeholders is supported by clear assurance and ensures core areas are covered to enable better accountability in practice.	a	Annual Governance Statement		Service Manager for Assurance	**Reasonable**	Self Assessment			
	b	Independent remuneration panel		Service Manager for Democratic and Electoral Services	**Reasonable**	Self Assessment			
	c	Committee report clearance process		Service Manager for Democratic and Electoral Services	**Reasonable**	Self Assessment			
	d	Committee reports published and meetings open to the public, including streaming (unless exempt)		Service Manager for Democratic and Electoral Services	**Reasonable**	Self Assessment			
	e	Accountable officers for performance and risk matrices	Internal link	Head of Strategy	**Reasonable**	Self Assessment	Launch of performance indicator library with all accountable officers listed	Jul-26	Head of Strategy
	f	Corporate Plan Progress reporting - public performance dashboards, quarterly review via scrutiny committees and twice yearly progress reports to Cabinet	Link	Head of Strategy	**Reasonable**	Self Assessment	Publish end year progress report in July 2026 as part of the twice a year update to Cabinet on Council Plan delivery/ progress	Jul-26	Head of Strategy