

APPENDIX 3

Appendix E

3.0 LOCAL CODE OF CORPORATE GOVERNANCE

1. Introduction

This Code of Corporate Governance is a document that explains how the Council is clear and accountable in its governance. Governance is about how the Council ensures that it is doing the right things, in the right way, in a timely, inclusive, open, honest and accountable manner.

Governance arrangements in public services are vitally important and local government organisations need to ensure that they meet the highest standards, are kept up to date and are relevant. Governance is about how the Council ensures resources are directed in accordance with agreed policy and according to priorities, that there is sound and inclusive decision making and there is clear accountability for the use of those resources in order to achieve the desired outcomes for service users and communities.

It includes the systems, policies and processes, as well as the culture and values that underpin the Council's arrangements for effective:

- Leadership
- Management
- Performance
- Delivery of positive customer outcomes
- Community engagement
- Stewardship of public money

2. Good Corporate Governance

Newark & Sherwood District Council is committed to achieving good corporate governance and this local Code describes how the Council intends to achieve this in an open and explicit way. Good governance enables the Council to pursue its vision effectively as well as underpinning that vision with mechanisms for control and management of risk.

In developing this Code, the Council has considered best practice and guidance, particularly the CIPFA/SOLACE framework "Delivering Good Governance in Local Government". This is an integrated system that brings together an underlying set of legislative requirements, governance principles and management processes. The governance framework produced by CIPFA/SOLACE remains a discretionary code and is offered to local authorities as good practice.

However, this Code is purposefully written in a way that best reflects the Council's own structure, functions, size and governance arrangements.

The Council carries out an ongoing review and monitoring of its governance arrangements. The results of this process are incorporated into the **Annual Governance Statement**, the preparation and publication of which is necessary to meet statutory requirements. The purpose of the Annual Governance Statement is to provide assurance that governance arrangements are adequate and operating effectively; and where the review has revealed gaps, that action is planned that will ensure effective governance in future. The Annual Governance Statement is considered by the Council's Senior Leadership Team before being presented to Audit & Accounts Committee. Once approved it is signed by the Leader of the Council and the Chief Executive and is published with the Annual Statement of Accounts prior to review by the Council's External Auditors.

This Local Code of Corporate Governance is based on the following key principles:-

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

Good governance means acting in the public interest with members and officers demonstrating integrity, putting ethical values into practice, leading by example and demonstrating commitment to upholding the law.

B. Ensuring openness and comprehensive stakeholder engagement

Good governance means developing an open culture, consulting, seeking views, evidence and experiences, encouraging feedback, being a trustworthy partner and accepting challenge.

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

Good governance means developing a vision, specifying desired impacts, managing competing priorities and expectations, identifying risks, balancing impacts of policies and decisions, taking the longer term view and working within resource restraints.

D. Determining the interventions of the intended outcomes

Good governance means analysing options, understanding risks, planning, controlling and monitoring quality, performance, impact and effectiveness and remaining responsive.

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

Good governance means reviewing the use of assets, benchmarking, workforce planning, ensuring clarity of roles, leadership development, supporting training and development of skills, feeding back and reviewing performance and supporting health and wellbeing.

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

Good governance means managing risks, using scrutiny to support better decision making, aligning controls to objectives, providing internal audit assurance, Audit and Accounts Committee assurance and recommendations, effective counter fraud and anti-corruption, managing and sharing data, ensuring data quality, integrating financial management with planning and control and supporting operational performance.

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

Good governance means supporting transparency, understandable and timely reporting, assessing the Council's performance, supporting public comparisons, being responsive to recommendations from external audit, internal audit, regulators and inspectors and peer reviews and maintaining accountability when working collaboratively.

The following schedule illustrates how the Council meets these core principles and the systems, policies and procedures it has in place to support this. This schedule is reviewed and updated annually in conjunction with preparation of the Annual Governance Statement.

Schedule to the Code of Corporate Governance

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

<p>Good governance is about:</p>	<p>To demonstrate its commitment to achieving good governance, Newark & Sherwood District Council :</p>
<ul style="list-style-type: none"> • Behaving with integrity • Demonstrating strong commitment to ethical values • Respecting the rule of law 	<ul style="list-style-type: none"> (i) Has published a Local Code of Corporate Governance, which has been reviewed (May 2026), that demonstrates its commitment to the principles of good governance and the importance of operating in an open and accountable manner and demonstrating high standards of conduct. (ii) Has developed and continues to promote a culture of behaviour based on shared values, high ethical principles and good conduct that includes the following:- <ul style="list-style-type: none"> • Member code of conduct • Officers code of conduct • Purpose and Values embedded into the Council’s Community Plan • Protocol on member/officer relations (reviewed 2026) • Social Media Protocol (reviewed 2026) • Procedure for dealing with Ombudsman matters (Housing and Local Government) • Protocol for members on hospitality and gifts (reviewed 2026) • Policy for officers on hospitality and gifts (reviewed 2026) • Protocol for members on dealing with planning matters • Whistleblowing policy (reviewed 2026) • Appointment of two Independent Persons (iii) Has established a local complaints procedure updated in 2026 for considering any complaint that a councillor (District, Parish or Town) has breached the Code of Conduct with the Governance, General Purposes and LGR Committee having responsibility for standards and probity issues to reflect the importance which the Council attaches to ethical governance issues. (iv) Provides regular training to district and town and parish councillors on ethical governance (v) Provides an advice service to district and town and parish councillors on code of conduct issues through its Democratic Services team.

	<ul style="list-style-type: none"> (vi) Provides training on codes and protocols to Members as part of the Member Development Plan approved in 2026. (vii) Is able to monitor and investigate officer and member behaviour through its customer complaints procedure (viii) Regularly reviews the completion and updating by Members and staff of their Register of Interest forms (including those of town and parish councillors) (ix) Maintains a register of gifts and hospitality for staff as well as Members (x) Has adopted a whistleblowing policy which is accessible to officers, Members and the public on the Council’s website and which has been updated to reflect changes from the Employment Rights Act. The policy provides guidance around how to raise concerns and to whom these should be addressed. (xi) Has anti-fraud and corruption policies that are up to date and working effectively. A counter fraud policy is in place and is available to all staff and on the Council’s website. A comprehensive programme of counter fraud training has been delivered to all staff. An annual fraud risk assessment is carried out, leading to an action plan to address any identified risks and to proactively work on fraud prevention. (xii) Has appropriate governance arrangements in place in respect of its significant partnerships including the Bassetlaw, Newark & Sherwood Community Safety Partnership, its relationships with Arkwood Limited and Active4Today, Welland Procurement and East Midlands Building Control Services. (xiii) Publishes a report which is presented to every Governance, General Purposes and LGR Committee on ethical governance and code of conduct issues. (xiv) Has clear role specifications within the constitution in respect of the Statutory Officer roles. (xv) Regularly reviews the effectiveness of the Council’s Constitution and Protocols through Governance, General Purposes and LGR Committee. (xvi) Has an established breach reporting procedure in relation to data protection breaches
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Core Principle B: Ensuring Openness and Comprehensive Stakeholder Engagement

<p>Good governance is about:</p>	<p>To demonstrate its commitment to achieving good governance, Newark & Sherwood District Council:</p>
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<ul style="list-style-type: none"> • Openness • Engaging comprehensively with institutional stakeholders • Engaging with individual citizens and services users effectively 	<ul style="list-style-type: none"> (i) Has developed an informative, user-friendly website to share information with the community. (ii) Proactively communicates through Facebook, LinkedIn, Instagram as the primary social media channels. The Council regularly uploads videos to YouTube, informing the public on a wide range of issues. (iii) Livestreams all formal public meetings of Full Council, Cabinet and Committees. (iv) Has arrangements in place to seek and respond to the views of stakeholders and the community by: <ul style="list-style-type: none"> • Consulting residents about Council services and priorities • Having a Petition Scheme so that the community can have their say about any issues that concern them • Holding meetings in public wherever possible • Documenting and publishing agendas, minutes and decisions as well as the criteria, rationale and considerations on which decisions are based. • Making provision in its Council Procedure Rules for the public to ask questions at Full Council meetings • Developing effective relationships with other public sector agencies and the private and voluntary sectors (v) Has a Consultation and Engagement Strategy which is published on the Council’s website. Consultation is always appropriate to the subject and stakeholder and adheres to good practice, including representative sampling and complying with GDPR data collection. The Council uses a range of methodologies to consult and engage including; face to face, digital and paper surveys, workshops and focus groups. The Council has a resident panel which is made up of resident volunteers.. (vi) Has a Tenant Engagement framework including a dedicated Board where the Tenant Voice is directly heard. Wider tenant engagement includes involvement in working groups, performance and scrutiny of services, editing tenant facing communications such as Tenant Times and the Annual Report as well as a range of bespoke opportunities to have a say through local meetings throughout the district
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	<ul style="list-style-type: none"> (vii) Undertakes Equality Impact Assessments to identify how the needs of particular communities have been considered to inform decision making. (viii) In the Local Development Framework has a statement of Community Involvement that has been subject to external validation. (ix) By its Policy and Performance Improvement Committee undertakes reviews of the work of other public service providers and holds those representatives to account. (x) Proactively engages in the health agenda through officer and member involvement in the Nottinghamshire Health and Wellbeing Board and with the Integrated Care Board. (xii) Has available 4 electronic newsletters designed for specific audiences; Residents, Tenants, Businesses and Staff. These are widely promoted and available to anyone to sign up to and an electronic publication is distributed at least once per month for each of these. Paper copies are placed in community centres. Tenants also receive an informational leaflet quarterly with their rent statements to highlight key information, services and performance. An annual leaflet is sent to all households with their council tax billing which sets how their council tax is spent. (xiii) Has established safer neighbourhood groups under the umbrella of the Bassetlaw, Newark & Sherwood Community Safety Partnership. (xiv) Works proactively with local communities and partners in establishing resilience in emergencies, for example flooding where flood wardens have been identified and local flood forums established. (xv) Has a Freedom of Information Act Publication Scheme on the Council’s website. (xvi) Adheres to the calendar of dates for submitting, publishing and distributing timely reports. (xvii) Has a Partnership Register which is reviewed annually as part of the business planning cycle. It identifies significant partnerships and potential impacts on the council. (xviii) Has worked proactively with other authorities on the preparation of bids for Local Government Reorganisation (LGR) and has established resource to support LGR implementation with other authorities.
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Core Principle C: Defining outcomes in terms of sustainable economic, social and environmental benefits

<p>Good governance is about:</p>	<p>To demonstrate its commitment to achieving good governance, Newark & Sherwood District Council :</p>
<ul style="list-style-type: none"> • Developing a vision • Managing competing priorities and expectations • Identifying risks • Balancing impacts of policies and decisions • Taking the longer term view • Working within resource constraints 	<ul style="list-style-type: none"> (i) Has agreed its vision and priorities – the Council’s priorities are set out in the Community Plan 2023-2027 which was last refreshed in May 2025. The Plan sets out the Council’s Values and Ambitions and how performance is measured. (ii) Has developed and maintains proper financial management arrangements. These include a Medium Term Financial Strategy designed to set a sound financial planning framework for the Council which reflects its vision and priorities; agrees a balanced budget before the start of each financial year together with a Medium Term Financial Plan which looks ahead four years; and an annual Accounting Statement that details the Council’s financial position in the previous year. (iii) Regularly reviews risks at a Strategic, Project and Operational level and ensures that appropriate plans are in place to mitigate risks. (iv) Has arrangements in place to publish the annual external auditor’s report which includes a formal conclusion on whether the Council has put in place proper arrangements to secure economy, efficiency and effectiveness in its use of resources. (v) Has developed and recently reviewed its Contract Procedure Rules. (vi) Undertakes regular monitoring and review of strategic and operational risks and risk owners are clearly identified. (vii) Via Internal Audit regularly reviews the risk and control framework and produces a Combined Assurance Report in conjunction with Business Managers and the Senior Leadership Team. (viii) Communicates its priorities and values to staff via several channels such as annual staff roadshows, drop-in sessions, staff forums, digital newsletters, directorate meetings. (ix) Reflects the Council’s strategic priorities though individual business unit plans. Business plans are produced annually as part of the business planning process, which includes setting of annual performance KPIs and associated targets. These are approved through the Senior

	<p>Leadership Team, Policy and Performance Improvement Committee and Cabinet.</p> <p>(ix) Includes details of carbon reduction/environmental sustainability implications in reports where appropriate.</p> <p>(x) Includes implications of LGR in reports where appropriate.</p>
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Core Principle D: Determining the interventions necessary to optimise the achievement of the intended outcomes

Good governance is about	To demonstrate its commitment to achieving good governance, Newark & Sherwood District Council:
<ul style="list-style-type: none"> • Analysing options, understanding risks, planning, controlling and monitoring quality, performance, impact and effectiveness in order to: • Determine interventions • Plan interventions • Optimistic achievement of intended outcomes • Remain responsive 	<p>(i) Has established a Governance, General Purposes and LGR Committee with the ability to convene informal working parties of the Committee to ensure there are sufficient forums for discussion between Members on governance matters. A further vehicle for such dialogue is through the holding of agenda meetings prior to the publication of formal agendas.</p> <p>(ii) Reports to committee include an analysis of options together with the reasons for the recommendation contained within the report.</p> <p>(iii) Ensures that Key Performance Indicators aligned to the Council’s priorities are regularly monitored, reviewed and reported on. Behind the formally reported performance indicators sits a range of management indicators which are used to improve service delivery on a day to day basis and these are monitored by the Business Manager and Director. Members receive quarterly reports and have access to the member intranet system which gives additional information including dashboards on reports/performance at award level.</p> <p>(iv) Has developed a budget to reflect the Council’s priorities and the Council has a clear financial strategy including a Medium-Term Financial Plan– budgets, plans and objectives are aligned, and a 30-year Housing Revenue Account.</p>

Core Principle E: Developing the entity’s capacity, including the capability of its leadership and the individuals within it

Good governance is about:	To demonstrate its commitment to achieving good governance, Newark & Sherwood District Council :

<ul style="list-style-type: none"> • Reviewing use of assets • Benchmarking • Workforce planning • Working with others • Ensuring clarity of roles • Leadership development • Supporting training and development of skills • Feeding back and reviewing performance • Supporting health and wellbeing 	<p>(i) Has robust mechanisms in place to identify the development needs of members and senior officers in relation to their strategic roles which it supports with appropriate training, in particular:-</p> <p>(ii) Has a Member Induction Plan and a Member Training and Development Plan which will be regularly reviewed and updated by Members. There is a dedicated budget for member training and development.</p> <p>(iii) Understands the importance of learning and training and has a dedicated learning and development officer. All staff complete a range of mandatory training and are able to access a wide range of further additional learning opportunities through a learning management system. All staff can apply for funding for additional training throughout the year, training is supported at all levels.</p> <p>(iv) Has a diverse apprenticeship programme, which compliments the graduate, gap year and career grading pathways into work at the council. Supports ongoing conversations between managers and staff about performance and development throughout the year. This is managed by a digital tool which records appraisals and supervision/feedback sessions.</p> <p>(v) Has a Workforce Development Strategy in place with an appropriate action plan. Progress against the action plan is reviewed annually.</p> <p>(vi) Has an HR team which works closely with service areas to ensure that team structures are fit for purpose and staffing resources are used to best effect to deliver Council priorities.</p> <p>(vii) Operates a robust recruitment and selection process. All managers are trained before they are able to undertake recruitment. The council has committed to guarantee interviews for those applicants who are armed forces veterans, family of serving or veteran armed forces personnel, those in care or who are care leavers and anyone who declares a disability (as defined by the Equality Act 2010). The Council is an accredited mindful employer, adhering to a policy which reflects best practice in standards for the recruitment of staff..</p> <p>(viii) Has a raft of HR Policies and Procedures which are reviewed regularly to ensure that they remain fit for purpose.</p>
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	<p>(ix) Adopts and publishes an annual Pay Policy Statement that sets out the Council’s approach to pay and provides links to relevant policies and procedures.</p> <p>(x) Recently undertook a Corporate Peer Review and has developed an action plan to address the key recommendations contained in that review.</p> <p>(xi) Uses systems and technology effectively – for example as a training tool and to enable members to scrutinise and challenge – including a member’s intranet to assist members in undertaking their roles.</p> <p>(xii) Has adopted a hybrid working strategy to facilitate flexible and home working.</p> <p>(xiii) Has a Wellbeing at Work Team led by the Senior Health Improvement Officer which provides regular updates around health and wellbeing related matters as well as running a calendar of events to encourage staff to become more active and take care of their mental health too.</p>
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Core Principle F: Managing risks and performance through robust internal control and strong public financial management

<p>Good governance is about:</p>	<p>To demonstrate its commitment to achieving good governance Newark & Sherwood District Council :</p>
<ul style="list-style-type: none"> • Managing risk • Managing performance • Robust internal control • Managing data • Strong public financial management 	<p>(i) Has put in place assurance arrangements which conform with CIPFA’s requirements:</p> <ul style="list-style-type: none"> • The Council has an Audit and Accounts Committee which can report to full Council if it considers this necessary. • The Risk Management Strategy is reviewed by the Committee along with the strategic and operational Risk Registers • The Council has contracted with TIAA Limited to provide an internal audit service. Internal auditors are independent and have access to all people, premises and systems. An annual report from the Head of Internal Audit is presented to the Committee. • The Annual Audit Plan is shaped through an assessment of the Council’s key strategic risk areas and critical services • All audit reports are considered by the Senior Leadership Team. • Results of audit reviews are reported to the Audit & Accounts and Committees along with follow up

	<p>work to ensure that the recommendations have been implemented.</p> <ul style="list-style-type: none"> • Financial systems are reviewed annually to ensure appropriate, effective controls are in place. • External audit report to the Audit and Accounts Committee annually on the results of the audit of the financial statements • The Annual Governance Statement considers the internal control framework and is presented to the Audit and Accounts Committee annually with the Statement of Accounts. It is also reviewed halfway through the year, to ensure that significant control issues are monitored and reported on. <p>(ii) Has ensured that effective arrangements are in place for the discharge of statutory officer roles by:</p> <ul style="list-style-type: none"> • Defining roles and responsibilities in the constitution • A meeting of the statutory officers not less than once a year to review governance issues <p>(iii) Ensures compliance with relevant laws and regulations, internal policies and procedures and that expenditure is lawful by:-</p> <ul style="list-style-type: none"> • Incorporating , HR, financial and legal comments in reports to members where necessary and appropriate • Ensuring that senior managers are briefed on significant legislative changes or changes in policies and procedures – there is a regular dialogue with the Senior Leadership Team through monthly business managers meetings. <p>(iv) Has financial management arrangements that conform with the requirements of the CIPFA statement on the role of chief financial officer in local government and with statutory provisions in the Local Government Act 1972, the Local Government Act 1988 and the Accounts and Audit Regulations 2011.</p> <p>(v) Has Regulations, Rules and Policies covering all aspects of financial management including contract procedure rules are in place and reviewed regularly. Training on Financial Regulations has been provided to all relevant staff.</p> <p>(vi) Sends Financial performance reports to business managers monthly. Reports are then tabled quarterly with the Senior Leadership Team and Members (through Cabinet, PPIC and Audit and Accounts Committee) forecasting the outturn position to the year-end..</p>
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	<p>(vii) Has clear performance management arrangements set out within management agreements for the Council’s companies, Arkwood Limited and Active4Today Ltd.</p> <p>(viii) Has members of the Senior Leadership Team carry out an annual review of strategic, corporate and project related risks to ensure that they are relevant, whilst at the same time reviewing risk appetite. Quarterly reports are submitted to the Senior Leadership Team to allow for effective monitoring. SLT have more regular updates in relation to high risk projects and activities to ensure that these are being mitigated effectively. Members of the Risk & Insurance team work closely with business managers to ensure that they regularly review operational based risks and provide assurance to SLT in this regard.</p> <p>(ix) Carries out an annual review of fraud risks to ensure controls are in place and are effective. The results of the review are reported to the Audit & Accounts Committee.</p> <p>(x) Takes biannual reports on counter-fraud activity to the Audit & Accounts Committee.</p>
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Core Principle G: Implementing good practices in transparency, reporting and audit to deliver effective accountability

<p>Good governance is about:</p> <ul style="list-style-type: none"> • Implementing good practice in transparency • Implementing good practices in reporting • Assurance and effective accountability 	<p>To demonstrate its commitment to achieving good governance Newark & Sherwood District Council :</p> <p>(i) Operates under the executive arrangements style of governance where overview and scrutiny undertaken by the Policy and Performance Improvement Committee.</p> <p>(ii) Has appointed a Data Protection Officer and a Senior Responsible Officer and Single Point of Contact for CCTV and surveillance camera systems.</p> <p>(iii) Has established a dedicated Information Governance Team to monitor compliance with the Freedom of Information Act and Data Protection legislation and deal with access to information requests.</p> <p>(iv) Has a presumption of openness and transparency and publishes key information on its website. The Council adheres to the Government’s Transparency Initiative.</p> <p>(v) Seeks to minimise the number of and sections of reports which need to be considered in the confidential section of Council, Cabinet and Committee meetings.</p>
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	<p>(vi) Has assurance arrangements that conform with CIPFA's requirements (see F(i) ante) with regular training being provided to members of Audit & Accounts Committee.</p> <p>(vii) Publishes an Annual Statement of Accounts, which details the goals and key achievements for the year. An annual Tenants Report is also published which details the work done to support the council's housing tenants through the preceding year. A summary of the work of the Policy and Performance Improvement Committee and its impact is also produced annually. There is an end of year performance report which reports on all the key measurable activities and outcomes of the core services of the council Through reviews by external auditors, external agencies, internal audit and its performance team, constantly seeks ways of ensuring that value for money is achieved and for securing continuous improvement in the way in which its functions are exercised.</p> <p>(viii) Has an effective two stage complaints policy and process which is led by Customer Services and is compliant with Local Government and Social care Ombudsman and Housing Ombudsman Service Complaint Handling Code. All complaints are logged within a digital system and then allocated to appropriately trained officers and complaints can be escalated to a more senior officer if the complainant remains dissatisfied.</p> <p>(vix) The Senior Leadership Team along with the Policy and Performance Improvement, Governance, General Purposes and LGR Committee and the Tenant Engagement Board committees receive regular reports on complaints. The council has an appointed Member Champion for complaints.</p>
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