

### Local Code of Corporate Governance – key policies and processes

#### Core Principles

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

**Principle B:** Ensuring openness and comprehensive stakeholder engagement

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

**Principle D:** Determining the interventions necessary to optimise the achievements of the intended outcomes

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

**Principle F:** Managing risks and performance through robust internal control and strong financial management

**Principle G:** Implementing good practices in transparency, reporting and audit to deliver effective accountability

Policy or process	Owner	Principle A	Principle B	Principle C	Principle D	Principle E	Principle F	Principle G
Corporate Plan	DCFO (delegated to ADP&I)	Y	Y	Y	Y	Y	Y	Y
Constitution	ADP&I / DMO	Y	Y		Y	Y	Y	Y
Integrated Risk Management Plan	DCFO / ADP&I	Y			Y		Y	Y
Operational policies and processes	ADOSR	Y		Y	Y	Y		
Risk Management Strategy	ADR/T	Y		Y	Y			Y
Medium Term Finance Plan	ADR/T	Y		Y			Y	
Budget and financial management (incl. DFM scheme)	Finance Manager	Y		Y			Y	
Statement of Accounts	ADR/T		Y	Y			Y	Y
Standing Orders	DMO		Y	Y	Y		Y	Y

<b>Policy or process</b>	<b>Owner</b>	<b>Principle A</b>	<b>Principle B</b>	<b>Principle C</b>	<b>Principle D</b>	<b>Principle E</b>	<b>Principle F</b>	<b>Principle G</b>
Contract Standing Orders	DMO / ADR/T	Y		Y	Y		Y	
Financial Regulations	ADR/T	Y		Y	Y		Y	
Scheme of Delegation	DMO / ADR/T	Y	Y		Y	Y		Y
Code of Conduct for Members	DMO	Y	Y					Y
Code of Conduct for Member and Employee Relations	ADPS	Y	Y	Y				Y
Information Transparency	DCFO	Y	Y				Y	Y
Anti-fraud, Bribery & Corruption Policy	ADR/T	Y	Y	Y				Y
Member Learning & Development	ADP&I / ADPS	Y	Y			Y		
Whistleblowing Policy	ADPS / DMO	Y	Y	Y			Y	Y
Complaints Policy	ADP&I	Y		Y	Y		Y	
Code of Conduct and Conflict of Interest	ADPS	Y	Y	Y	Y			Y
Prevention & Protection Strategy	ADSC	Y	Y	Y	Y	Y	Y	Y
Collaboration Framework	DCFO / ADPS	Y	Y	Y	Y	Y	Y	Y
Communications and Consultation Strategy	ADP&I	Y	Y	Y		Y	Y	Y
Health, Safety & Wellbeing Strategy	ADPS	Y	Y	Y	Y			
People Strategy	ADPS	Y	Y	Y		Y		Y
Local Code of Corporate Governance	DCFO / DMO / ADR/T	Y	Y	Y	Y	Y	Y	Y
IT Strategy	ADR/T	Y	Y	Y	Y			Y
Procurement Strategy	ADR/T			Y	Y			

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Estates Strategy	ADR/T		Y	Y	Y		Y	
Project Management / Stage Gate processes	ADP&I	Y			Y		Y	Y
Internal Audit Plan	ADR/T	Y		Y	Y		Y	Y
Performance Management	ADP&I	Y	Y	Y		Y	Y	Y
Freedom of Information Scheme	ADP&I	Y		Y	Y	Y		Y
Data Protection Policy	DCFO	Y	Y	Y				Y
Regulation of Investigatory Powers Act Policy	DCFO	Y			Y			Y