

**Local Code of Corporate Governance 2018/19**  
**Evidence (documents) of compliance by Principle**

Principle	
<b>A</b>	Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law.
<b>B</b>	Ensuring openness and comprehensive stakeholder engagement.
<b>C</b>	Defining outcomes in terms of sustainable economic, social, and environmental benefits.
<b>D</b>	Determining the interventions necessary to optimise the achievement of the intended outcomes.
<b>E</b>	Developing the entity's capacity, including the capability of its leadership and the individuals within it.
<b>F</b>	Managing risks and performance through robust internal control and strong public financial management.
<b>G</b>	Implementing good practices in transparency, reporting, and audit, to deliver effective accountability.

Evidence document(s)	Principle							Date of last review	Action plan 2019/20
	A	B	C	D	E	F	G		
Annual report	✓	✓	✓	✓	✓	✓	✓	June 2018	✓
Assurance framework	✓					✓	✓	February 2019	✓
Calendar of meetings, agendas and reports	✓	✓	✓	✓	✓	✓	✓	On-going	
Code of Conduct for employees	✓						✓	September 2018	
Code of Conduct for members	✓						✓	May 2014	
Code of Corporate Governance	✓	✓					✓	February 2019	✓
Communications Strategy	✓	✓	✓	✓	✓	✓	✓	March 2015	
Complaints Handling Procedure	✓	✓				✓	✓	May 2014	
Corporate Risk Register	✓		✓	✓		✓	✓	On-going	✓
Counter Fraud Strategy	✓					✓		November 2018	
Customer service standards	✓	✓	✓	✓	✓	✓	✓	May 2014	
Data Protection Policy	✓	✓				✓		September 2018	
Digital policies and guidance	✓	✓			✓			February 2019	✓
Financial Regulations	✓		✓	✓	✓	✓	✓	December 2016	
Financial statements	✓	✓	✓	✓	✓	✓	✓	September 2018	✓
Guideline criteria subsidy limits	✓	✓	✓	✓				June 2006	✓
HR policies and guidance	✓				✓	✓		September 2017	✓
Internal Audit plan	✓			✓		✓	✓	February 2019	✓
Members allowances and expenses guide	✓				✓		✓	May 2014	
Procurement Strategy	✓	✓	✓	✓		✓	✓	December 2016	
Publication scheme	✓	✓					✓	February 2016	
Records Management Policy and plan	✓						✓	August 2016	
Risk Management Strategy	✓		✓	✓		✓		November 2018	
Regional Transport Strategy	✓	✓	✓	✓			✓	November 2018	
Safety performance report	✓	✓				✓	✓	September 2018	✓
Scheme of Delegated Functions	✓	✓		✓	✓	✓	✓	April 2018	
Service plans	✓		✓	✓	✓			October 2018	✓
Single Outcome Agreements (SOA) /Transport Outcome Reports (TOR's)	✓	✓	✓	✓			✓	November 2018	✓
Standing Orders of SPT	✓	✓	✓	✓	✓	✓	✓	June 2017	
Standing Orders Relating to Contracts	✓			✓		✓	✓	November 2016	
Statement on efficiency gains	✓					✓	✓	July 2018	✓
Subway Modernisation programme	✓	✓	✓	✓				December 2018	✓
Subway passenger survey	✓	✓		✓		✓	✓	April 2018	
Treasury Management Strategy	✓		✓	✓	✓	✓	✓	March 2018	✓
Website and intranet	✓	✓	✓	✓	✓	✓	✓	On-going	✓