

# South Derbyshire District Council – Local Code of Corporate Governance

## SELF ASSESSMENT 2007

### 1. Community Focus

REQUIREMENTS	HOW THIS HAS BEEN ACHIEVED SO FAR	ACTION POINTS	DATE	LEAD OFFICER
<p>Publish an Annual Report that is objective and gives an understandable account of the Council's activities and achievements and its financial position and performance</p> <p>Publish an Annual Performance Plan which is objective, balanced and understandable and which assesses the Council's current service delivery performance and its plans to maintain and improve service quality</p>	<p>Publishing a Corporate Plan which sets out the Council's plans and priorities for delivering local services over the next 3 years</p> <p>Medium Term Financial Plan (MTFP) which sets out the Council's spending plans over the next 3 years linked to Corporate Plan</p> <p>Publishing an annual Statement of Accounts and Summary Report on Financial Performance</p> <p>Risk Management Strategy</p> <p>Publishing a three year Corporate Plan (which is reviewed annually)</p> <p>Publishing a Best Value Performance Plan in June of each year (in accordance with statutory guidance) and a Best Value Summary information leaflet which is sent out to every household in South Derbyshire in the preceding March</p> <p>Producing Service Plans (also reviewed annually)</p> <p>Compliance audited by external auditors</p> <p>Service standards published for Customer Services and Environmental Services</p>	<p>Review Corporate Plan (SP)</p> <p>Deliver a plan for establishing service standards (in consultation with service users) across all service areas (CPM)</p>	<p>March 2007</p> <p>March 2007</p>	<p>Head of Policy &amp; Economic Regeneration</p> <p>Director of Corporate Services and Head of IT &amp; Customer Services</p>
<p>Have in place arrangements for the independent review of its financial and operational reporting processes</p>	<p>External/Internal Audit Programmes considered and approved by Members.</p> <p>The results of individual Audit Reports considered by Audit Sub-Committee.</p> <p>The Annual Audit Letter and other Audit Reports submitted by the External Auditor are considered by Audit Sub-Committee</p> <p>Independent arrangements for the scrutiny of the Council's budget consultation process undertaken by the Corporate Scrutiny Committee</p> <p>Consultation with private and voluntary/community sector partners on the budget</p> <p>All external reports considered by Audit Sub-Committee on an as and when basis</p>			
<p>Have in place arrangements which actively encourage individuals and groups from all sections of the community to engage with, contribute to, and participate in the work of the Council and to make</p>	<p>By complying with external arrangement procedures set out in the Council's Constitution</p> <p>Supporting the SDLSP to develop and deliver the Community Strategy</p> <p>Improved communication and consultation is a priority within the Community Strategy</p>	<p>Develop a good practice protocol for partnership working (IP)</p> <p>Institute an annual award for good citizenship (CPM)</p>	<p>March 2007</p> <p>March 2007</p>	<p>Head of Policy &amp; Economic Regeneration</p> <p>Head of Legal &amp; Democratic Services</p>

<p>sure that these arrangements are monitored to ensure that they are working</p>	<p>Area Meetings (established 1997)          Consultation Strategy (adopted March 2000)          Consultants currently engaged on work in connection with the Statement of Community Involvement (SCI) and Local Development Framework (LDF) and linkages to producing a Communications Strategy          Tenants' Forums – TACT (established 2000) – incorporating views on relevant Housing and Community Services Committee Report          Tenants Xtra and SHINE newsletters (2003)          Values &amp; Attitudes Advisory Forum (March 2004)          Citizens Panel (since 2001) consultation undertaken quarterly          Parish Liaison Meetings – quarterly          Derbyshire Community Engagement Group          Various Forum e.g. Crime &amp; Disorder, S Derbyshire Sports, Roslison Liaison Group, "Friends of" Groups          Use of e-forms and e-democracy to support community consultation and engagement          Supporting the National Forest          Youth Needs Survey          Traveller Needs Survey          BME Survey  <b>Quarterly Newspaper</b> produced and distributed          Reviewing the operation &amp; performance of SDLSP (including funding arrangements) (CPM)  <b>Use website for consultation</b></p>	<p>Assist the South Derbyshire Local Strategic Partnership (SDLSP) to operate effectively (CPM)</p>	<p>March 2007</p>	<p>Head of Policy &amp; Economic Regeneration</p>
<p>Be open in all our dealings and balance that openness with a respect for privacy and confidentiality where appropriate</p>	<p>Making this explicit in the Council's Corporate Values and in the Council's Constitution          Developing a Publication Scheme under the Freedom of Information Act          Whistle-blowing Policy (1999) – <b>updated Nov 2006</b>          Having provision for the public to ask questions and present petitions at Council, Policy and <b>Scrutiny Committee Meetings</b>  <b>6 month trial of public participation at Development Control Meetings (2006)</b></p>	<p>Review public participation at Development Control Meetings</p>	<p>March 2007</p>	<p>Head of Planning</p>
<p>Establish and maintain clear and accessible channels of communication with all sections of the community and other stakeholders and monitor this to make sure that they are operating effectively</p>	<p>Working with and supporting the SDLSP          Having a well publicised and monitored Customer Complaints Procedure          Providing Laptops for Members          Publishing 'Helping You' leaflets          Tenants' Forums – TACT          Parish Liaison Meetings          Citizens Panel          Commitment to Citizen/Stakeholder consultation, participation and involvement          Updated website which is compliant with AA, W3 &amp; Bobby</p>	<p>Bring more services within the scope of the 'Customer First' Contact Centre (IP)          Develop a Corporate Communication and Consultation Strategy (CPM)          Actively promote our complaints/complaints procedure (so that we can learn from our customers (CPM))</p>	<p>Ongoing          March 2007          Ongoing</p>	<p>Head of IT &amp; Customer Services          Head of Policy &amp; Economic Regeneration          Head of IT &amp; Customer Services</p>

<p>Standards</p> <p>Customer Complaints Procedure reviewed</p> <p>Installing reception information monitor following refurbishment</p> <p>Completing key stages in Customer Services project plan</p> <p>4 kiosks with Internet access installed at Green Bank, Melbourne Leisure Centre &amp; Old Post Office, Newhall and Lift Centre (Swadlincote)</p>	<p>Working with the SDLSP</p> <p>Adopting appropriate Corporate and service related Strategies</p> <p>By setting and publicising the Council's aims and objectives through the Corporate Plan</p> <p>Consultation through Citizens Panel</p> <p>Having robust service planning and monitoring processes</p> <p>BVPP</p> <p>Half yearly/Annual Service Plan monitoring to Committee.</p> <p>Compendium of Service Plans published</p> <p>Working with the South Derbyshire Crime &amp; Disorder Partnership</p> <p>Publicising via web site, sent to key partners</p> <p>Identifying and training authors and editors in all service areas to maintain Council website</p> <p>Customer First to provide information to citizens and links to partners</p> <p>Working with the Derbyshire Partnership Forum to develop and deliver a range of e-government projects and the Derbyshire Local Area Agreement</p> <p>Citizens' Panel refreshed &amp; regular pattern of consultation taking place</p> <p>Year 1 Action Plan of SD Community Strategy produced &amp; delivery underway (CPM)</p> <p>Web-site Editorial Officer appointed to ensure corporate guidelines on site and content are maintained</p> <p>Clarifying delivery and reporting arrangements for the Derbyshire Local Area Agreements and link to Council plans and policies (CPM)</p> <p>Members are nominated for positions on the Local Area Agreement (LAA) Board and Executive</p> <p>The Chief Executive is a member of the LAA Board</p> <p>The Leader is a representative on the East Midlands Regional Assembly (EMRA)</p> <p>The Chief Executive works closely with the East Midlands Development Agency (EMDA)</p>	<p>Provide details of the work we are doing to represent South Derbyshire interests (CPM)</p> <p>Do more to consult with hard to reach groups (CPM)</p> <p>Establish a rolling programme of customer satisfaction surveys (CPM)</p>	<p>March 2007</p> <p>Ongoing</p> <p>March 2007</p>	<p>Head of Legal &amp; Democratic Services</p> <p>Head of Policy &amp; Economic Regeneration</p> <p>Head of Policy &amp; Economic Regeneration</p>
<p>Have a clear vision for our local community, developed through comprehensive consultation with every community within South Derbyshire and other stakeholders and make sure that this vision is widely known and understood</p>	<p>Deliver our contribution to the Community Strategy (CPM)</p> <p>Deliver key stages in the Local Development Scheme (CPM)</p> <p>Establish a rolling programme of Local Community Plans (CPM)</p> <p>Lobby county, regional and national Local Government Associations on issues affecting South Derbyshire (CPM)</p> <p>Resist changes in the delivery of services by other agencies which will have an adverse impact on local people and communities (CPM)</p> <p>Ensure that the Council's voice is heard at meetings at the East Midlands Regional Assembly, the East Midlands Development Agency and the Derbyshire Partnership Forum (CPM)</p>	<p>March 2007</p> <p>March 2007</p> <p>March 2007</p> <p>Ongoing</p> <p>Ongoing</p> <p>Ongoing</p>	<p>Head of Policy &amp; Economic Regeneration</p> <p>Head of Planning Services</p> <p>Head of Policy &amp; Economic Regeneration</p> <p>Head of Legal &amp; Democratic Services</p> <p>Head of Legal &amp; Democratic Services</p> <p>Head of Legal &amp; Democratic Services</p>	

	<b>Through Area Meetings the Council raises concerns regarding community safety and highways issues with the Police and County Council.</b>			
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## 2. Service Delivery Arrangements

REQUIREMENTS	HOW THIS HAS BEEN ACHIEVED SO FAR	ACTION POINTS	DATE	LEAD OFFICER
<p>Set achievable and sustainable standards and targets for performance in the delivery of all the Council's services, with equal access for all</p>	<p>Including a commitment to equality in the Council's Corporate Values Equalities and Diversity Policy Statement (2003)            Race Equality Scheme Action Plan (adopted Dec 03)  <b>Disability Equality Scheme Action Plan (adopted Nov 06)</b>            Values &amp; Attitudes Advisory Forum comprising of external stakeholders established (Mar 2004)            Level 1 of the Local Govt Equalities Standard (LGES) achieved (Apr 2004)            Appointing a Member Champion for Equalities &amp; Diversity and Social Inclusion            Committee approval to produce Corporate Equalities Plan (March 2004)            Updating website which is compliant with W3 and Bobby standards            Having a 3 year financial plan – stable finances achieved            Publicising targets for services and performance against these in the annual Best Value Performance Plan            Having robust service planning and monitoring e.g. BVPP, Corporate Plan, Service Plans, development of Local Performance Indicators            Conducting Best Value Reviews            Customer Charters for Development Control, <b>Housing and Environmental Services</b>            Web based A to Z of Services            Annual report published on the delivery of the Race Equality Scheme (CPM)            Completing key stages in Customer Services project plan to end March 2006  <b>Race Equality Scheme updated</b>            Procedure agreed with employee representatives &amp; implemented for building capacity within Contact Centre as part of Customer First Project            The Council formally adopting a People Strategy (March 2006)  <b>Continue building on foundations of the completed IEG programme</b>            Adopting Partnership Strategies eg Community Plan, Crime &amp; Disorder Plan            Initially assessing services against DEFRA rural standards and the Countryside Agency's rural proofing checklist to develop an action plan to tackle inequalities (CPM)</p>	<p>Develop a Corporate Equalities Plan (CPM)            Develop a Disability Equality Scheme (SP)            Develop a Gender Equality Scheme (SP)            Consult older people about the services they need from the Council            Develop a strategic approach to social inclusion (CPM)</p>	<p>March 2007            March 2007            March 2007            March 2007            March 2007</p>	<p>Head of Policy &amp; Economic Regeneration            Head of Policy &amp; Economic Regeneration            Head of Policy &amp; Economic Regeneration            Head of Policy &amp; Economic Regeneration            Head of Policy &amp; Economic Regeneration</p>

<p>Have in place reliable systems for providing management information, so that performance can be measured against those targets and standards, and develop comprehensive and understandable performance plans</p>	<p>Through service planning, performance management and information systems and processes          Best Value Performance Plans          Scrutiny Committee reports          Use of new IT systems to improve the efficiency and effectiveness of service delivery (such as Flare, Orchard and FMS)          Consistent monitoring and review framework set up in relation to performance management</p>	<p>Produce Data Quality Strategy (SP)          Continue to deliver and develop our 'Achieving More' Performance Management framework (IP)          Improve arrangements for reporting racial incidents and supporting victims</p>	<p>March 2007          March 2007          March 2007</p>	<p>Head of Policy and Economic Regeneration          Head of Policy &amp; Economic Regeneration          Head of Policy &amp; Economic Regeneration</p>
<p>Have in place arrangements to allocate resources according to community priorities</p>	<p>Having service bid processes for capital and revenue          Community Grant Scheme operated through the Housing &amp; Community Services Committee          Use of the Citizens' Panel          Submitting Annual Efficiency Statements to ODPM          Corporate Scrutiny Committee Strategic Planning report considered by Finance &amp; Management Committee  <b>Assessed current base budget services against priorities in the Corporate Plan</b>  <b>Monitored and reviewed our Financial Strategy and Medium Term Financial Plan (MTFP)</b>  <b>Funding arrangements with Parish Councils for the delivery of local priorities have been reviewed</b></p>	<p>Set up a sustainable funding regime for the community and voluntary sector (CPM)          Improve the efficiency of our services (IP)</p>	<p>Review to be completed by April 2007.          Recommendations to be delivered in 2007/08          March 2007</p>	<p>Head of Leisure &amp; Community Development          Head of Finance &amp; Property Services</p>
<p>Develop partnerships where it is efficient and effective to do so, to deliver services to meet the needs of local communities and to have systems in place to ensure they operate effectively</p>	<p>Working with the SDLSP          Having robust service planning and monitoring which is reviewed annually eg publication of Compendium of Service Plans          Best Value Toolkit – 4 Cs: Competition, Consultation, Comparison and Challenge as part of the Best Value Review of Services (published 2000)          Various Partnerships eg Derbyshire Transformational Government Partnership, EMRLGA Partnership etc.          Community Strategy published (Apr 05)          Various contractual partnerships in Housing, Revenues Division          Service Level Agreements with community/voluntary sector groups, incl. Groundwork          Procurement Strategy in place (2006)          Derbyshire Voluntary Sector Compact in place          Corporate Procurement Manager now in post &amp; revised Procurement Strategy produced</p>	<p>Deliver key stages of the Corporate Procurement Strategy (IP)          Conclude South Derbyshire Compact with Voluntary Sector Partners (CPM)          Continue to work with the Derbyshire E-Government Partnership to expand the number of services that can be delivered electronically (CPM)          Develop a Good Practice Protocol for partnership working (IP)          Review the operation of major partnerships (IP)</p>	<p>Ongoing          South Derbyshire CVS leading on work which is progressing slowly March 2007          Ongoing          March 2007          March 2007</p>	<p>Head of IT &amp; Customer Services          Head of Leisure and Community Development          Head of IT &amp; Customer Services          Head of Policy &amp; Economic Regeneration          Head of Finance &amp; Property Services</p>

Respond positively to any improvements recommended by external assessors and to have Action Plans in place to make sure these improvements are made		Revision of Anti-Social Behaviour Policy in accordance with the Respect in Housing Management Agenda	March 2007	Head of Housing
Consider the Annual Audit and Inspection Letter and any other reports from the Audit Commission at Full Council Follow up reports on Best Value Reviews go to the Scrutiny Committee for monitoring Work programmes established for the Scrutiny committees Peer Review reports Improvement Working Panel established Development and delivery of an Improvement Plan (post CPA) Policy Committee Work Programmes being implemented <b>Delivered the Use of Resources Action Plan</b>		Deliver the Improvement Plan for the Council's Housing Repairs and Maintenance Service (CPM)  Agree improvement priorities with Audit Commission and deliver required actions (CPM)	March 2007  March 2007	Head of Housing  Head of Policy & Economic Regeneration

### 3. Structures and Processes

#### Balance of Power and Authority

REQUIREMENTS	HOW THIS HAS BEEN ACHIEVED SO FAR	ACTION POINTS	DATE	LEAD OFFICER
Have in place, and keep under review, a protocol that regulates the relationship between Members and employees	Producing a Protocol on Member/Employee Relations as set out in the Council's Constitution			
Make sure that Members and employees' roles and responsibilities are clearly defined	As above, plus having the roles, responsibilities and functions identified in the Council's Constitution Committee Scheme of Delegation reviewed Joint meetings with CMT / Elected Members Record of Decisions and Background Papers Job Descriptions – Senior Officers Planning Good Practice Protocol Protocol on use of IT by Members Fully inducting new Members All Members and Co-opted Members signing the Code of Conduct and Register of Interests Adopting an Officer Code of Conduct Reviewing the Scheme of Delegation to Officers Licensing Protocol and Procedure adopted & implemented Revised Scheme of Delegation to Officers formally approved & adopted by Council			

#### Roles and Responsibilities – Members

REQUIREMENTS	HOW THIS HAS BEEN ACHIEVED SO FAR	ACTION POINTS	DATE	LEAD OFFICER
Make sure Members meet formally on a regular basis to set the strategic direction of the Council and monitor the delivery of its services	Adopting a 3 year Corporate Plan Having a planned and published annual cycle of Council & Policy Committees and quasi-judicial meetings Having a robust service planning and monitoring process Members involved in the setting and review of Performance Management Systems e.g. BVPP, Corporate Plan, Service Plans Scrutiny arrangements in place			
Make sure that the Council's decision making processes, whether delegated or reserved, are kept under review and clearly documented	Including this in the Council's Constitution Policy Working Groups reviewing their decision making process and recommending to Council changes in the Constitution Reviewing the way the Full Council operates, including minor modifications to the Constitution, revisions to the order of business, and publicising the mechanism for the public to ask questions at Full Council			



<p>Have in place written processes that are properly understood for policy development, implementation and review; decision making, monitoring, control and reporting; and for formal procedural and financial regulations to govern the conduct of the Council's business</p> <p>Make sure Members are properly trained and have access to all the relevant information, advice and resources that are necessary to enable them to carry out their roles effectively</p>	<p>Including this in the Council's Constitution Having a robust service planning and monitoring process</p>	<p>Implement Gambling Act 2005 (SP)</p>	<p>Policy published already Applications from April 2007 Full implementation September 2007</p>	<p>Head of Environmental Services</p>
<p>Define clearly and in writing the roles of Members, including their responsibility for strategic leadership and ensure the Council achieves its community aims and provides services in accordance with its targets</p>	<p>Having an annual Training and Development Programme for all Members Running an Induction Programme for new Members All Members of the Development Control and Licensing &amp; Appeals Committees provided with annual training Briefings provided to Chair, Vice-Chair and Opposition Members prior to Policy Meetings Briefings provided to all members prior to meetings of Scrutiny Committees Having clear protocols about Members' access to information The Council's Constitution details public rights of access to information Regular meetings between CMT and senior Members Providing IT training and IT resources for Members All Members have laptop computers with access to Council e-mail system and the Intranet/Internet Members committing to a Member Development Charter (CPM) The publication &amp; circulation of regular Members' Bulletins Members provided with suitable accommodation <b>Establish protocol for Member involvement in Section 106 Agreements – considered by Environmental &amp; Development Services Committee 9/1/07</b></p>	<p>Members to conduct Development Review Meetings with Members to establish training needs  Gain accreditation for the Member Development Charter</p>	<p>Ongoing to December 2007  December 2007</p>	<p>Head of Human Resources  Head of Human Resources</p>
<p>Define clearly in writing details of Members' Allowances and the way in which these are reviewed</p>	<p>Including this in the Council's Constitution Publishing a BVPP and a Corporate Plan which sets out our aims for community leadership Working with SDLSP on the implementation and monitoring of the Community Strategy Monitoring the Performance Management Framework – BVPIs, delivery of the Corporate Plan and CPA Improvement Plan Through the work of the Improvement Working Panel Adopting a Protocol for existing Members on outside bodies to provide feedback to Council on meetings &amp; matters arising Appointing an Independent Remuneration Panel – Part 6 of the Constitution Having a publicised Members' Allowances Scheme</p>	<p>Review of Members' Allowances Scheme</p>	<p>March 2007</p>	<p>Head of Finance &amp; Property Services</p>

## Roles and Responsibilities – Officers

REQUIREMENTS	HOW THIS HAS BEEN ACHIEVED SO FAR	ACTION POINTS	DATE	LEAD OFFICER
<p>Ensure the Chief Executive, as the Head of Paid Service, is fully responsible and accountable to the Council for all aspects of its operational management</p>	<p>Designating the Chief Executive as the Head of Paid Service and ensuring that his duties, roles and responsibilities are set out in a Job Description and in the Council's Constitution Having a performance management system in place Completing an Annual Performance Appraisal</p>			
<p>Ensure the Director of Corporate Services, as the statutory Section 151 Officer, is fully responsible and accountable to the Council for giving appropriate advice on all financial matters, for keeping proper financial records and accounts, and for maintaining an effective system of internal financial control</p>	<p>Designating the Director of Corporate Services as the statutory Section 151 Officer and ensuring that his/her duties, roles and responsibilities are set out in a Job Description and in the Council's Constitution Having a performance management system in place Completing an Annual Performance Appraisal</p>			
<p>Ensure that the Head of Legal &amp; Democratic Services, as Monitoring Officer, is fully responsible and accountable to the Council for making sure that agreed procedures are followed and that all relevant statutes, regulations and statements of good practice are complied with</p>	<p>Designating the Head of Legal and Democratic Services as the statutory Monitoring Officer and ensuring that his/her duties, roles and responsibilities are set out in a Job Description and in the Council's Constitution Having a performance management system in place Completing an Annual Performance Appraisal</p>			
<p>Ensure that the roles and responsibilities of all other senior employees of the Council, together with their contract terms including remuneration and the way they are reviewed, are clearly set out in writing</p>	<p>Including this in the Council's Constitution – Article 11, Officers Job Descriptions/Person Specifications Contracts of Employment Employee Handbook Annual Employee Performance Development Review Interviews and half-yearly updates Adhering to national terms and conditions of employment</p>			
<p>Make sure the Council adopts and keeps up to date clear protocols and a Code of Conduct to ensure the community leadership role of the whole Council is based on a clear, ethical framework</p>	<p>Producing a Protocol governing Member/Employee Relations in the Council's Constitution Adopting an Officer Code of Conduct Reviewing politically restricted posts</p>	<p>Review Officer Code of Conduct when national guidance issued</p>	<p>March 2007</p>	<p>Head of Human Resources</p>

## 4. Risk Management and Internal Control

REQUIREMENTS	HOW THIS HAS BEEN ACHIEVED SO FAR	ACTION POINTS	DATE	LEAD OFFICER
<p>Develop and maintain an effective Risk Management system to identify and evaluate all significant risks, which includes the active participation of all those involved in planning and delivering services</p>	<p>Having a Risk Management Strategy, including risk analysis and action plan with quarterly reviews            Officer Risk Management Group chaired by the Director of Community Services            Corporate Risk Register            Risk Analysis in Corporate Plan and Service Plans            Computer Disaster Policy in place on individual server level            Emergency Planning System in place            Implementing &amp; updating the Risk Management Strategy</p>	<p>Develop and adopt a Business Continuity Plan, to include impact of complete loss of server room or building on computer systems            Ensure that Service Recovery Plans have been developed &amp; tested</p>	<p>Ongoing to December 2007            March 2007</p>	<p>Director of Community Services &amp; Head of IT &amp; Customer Services            Director of Community Services &amp; Head of IT &amp; Customer Services with all Heads of Service</p>
<p>Ensure systems of internal control, including an internal Audit function, are in place and that they comply with any relevant statutes, regulations, the best practice and guidance, the outcome of which will be to ensure that public funds are properly safeguarded and used economically, efficiently and effectively and in accordance with the law</p>	<p>Having appropriate arrangements in place for delivery of an adequate and effective internal Audit function and ensuring adequate reporting arrangements to safeguard its independence            Having an up to date risk based Internal Audit Plan            Undertaking systematic Risk Assessments in all areas of the Council's activities  <b>Audit Sub-Committee created (May 2006)</b>            Audit Commission annually considers the Council's approach to legality, its response to major legislation and any matter of legality relevant to the Audit of financial transactions            Having Financial Regulations/Procedures as part of the Council's Constitution. Also the Council Procedure Rules relate to Contracts in the Council's Constitution to help safeguard public funds            Treasury Management Policy            Insurance cover            Risk Register and Risk Management Policy            Producing a Statement of Internal Control (June 2005)            Having a performance management system in place</p>			
<p>Make sure that services are delivered by trained and experienced people</p>	<p>Maintaining the Council's Investors in People accreditation            Having an effective Recruitment Policy (reviewed annually)            Providing Council Managers and staff with ongoing advice and support and training in Risk Management issues and in Health &amp; Safety legislation            Ensuring that the Council's Risk Management objectives are communicated and embraced throughout the organisation via service plans            Offering guidance on internal control and financial management            Implementing an Induction Programme for starters            Ensuring, through staff appraisals, that all staff have a training and development plan which relates to the business and service needs of the area of the Council within which they work, and that this is implemented</p>	<p>Develop a Leadership and Management Development Programme (IP)            Establish Corporate Workforce Development Plan (SP)            Review Recruitment and Selection Process (SP)            Implement Year 1 Actions in the People Strategy (IP)</p>	<p>March 2007            April 2008            March 2007            March 2007</p>	<p>Head of Human Resources            Head of Human Resources            Head of Human Resources            Head of Human Resources</p>

	<p>Work force planning issues contained within Service Plans          Undertaking an Employee Survey 2004          Completing the IP re-accreditation in November 2005          The Council adopting a People Strategy in March 2006, following consultation with stakeholders          Having focus groups in place and initial actions completed arising from the 2004 Employee Survey          Commencing a pilot Leadership &amp; Management Development Programme</p>	<p>Provide child protection training to Councillors and employees (CPM)</p>	<p>March 2007</p>	<p>Head of Human Resources</p>
<p>Have systems in place for objectively reviewing the effectiveness of Risk Management and Internal Control (including Internal Audit) systems</p>	<p>An annual assessment by Audit Commission of the adequacy of the Council's control environment (Audit Commission also review the adequacy of the Internal Audit service as part of their annual assessment of the control environment)          Having appropriate arrangements in place for the delivery of an adequate and effective internal audit function and ensuring adequate reporting arrangements to safeguard its independence          Progress reports to F &amp; M are made by Internal Audit, including assessments on the adequacy of internal control at the Council Corporate Risk Management Group (including Member Champion)</p>	<p>Produce Data Quality Strategy (SP)</p>	<p>March 2007</p>	<p>Head of Policy &amp; Economic Regeneration</p>
<p>Maintain an objective and professional relationship with our External Auditors and Statutory Inspectors</p>	<p>Officers meeting with the Audit Commission Relationship Manager and other Audit Commission representatives for Audit and Inspection Planning purposes and ongoing liaison          Audit Protocol in place allowing for joint working between Internal and External Audit (Audit Commission)</p>			
<p>Publish within the Annual Report an objective, balanced and understandable statement and Assessment of the Council's Risk Management and Internal Control mechanisms and their effectiveness</p>	<p>Including a risk assessment within the Council's Corporate Plan          Statement of Internal Control reviewed &amp; published annually</p>			

## 5. Standards of Conduct

REQUIREMENTS	HOW THIS HAS BEEN ACHIEVED SO FAR	ACTION POINTS	DATE	LEAD OFFICER
<p>Keep under review the Council's Code of Conduct for Members and employees and develop a Code for agents acting on behalf of the Council and make sure systems are in place to ensure they are being complied with.</p>	<p>By adopting Codes of Conduct and a Protocol for Members and Employees in the Council's Constitution – Part 5 – and ensuring that their provisions are understood</p> <p>By establishing a Standards Committee with independent Members, including independent Chair and Vice-Chair, to advise the Council and Members on ethics and standards issues and reporting to that Committee annually on compliance with the Code</p> <p>A code for agents acting on behalf of the Council is included in all Building Contracts</p> <p>By having well publicised policies for whistle blowing and complaints procedure</p> <p>By adopting local codes, including Members Planning Code of Good Practice and Protocol for the use of IT by Members and ensuring that their provisions are understood</p> <p>By having Member Registers of Interests and Officer Gifts and Hospitality Registers</p> <p>By having an Anti-fraud and Corruption Policy and a Performance Management System and ensuring that these topics are covered when inducting Members and Officers</p>	<p>Review Member Code of Conduct when national guidance issued</p>	<p>May 2007</p>	<p>Head of Legal &amp; Democratic Services</p>
<p>Make sure neither Members nor employees are influenced by prejudice, bias or have conflicts of interest in dealing with different stakeholders and have systems in place to make sure these principles are being observed</p>	<p>Equal Opportunities and Diversity Policy Statement adopted</p> <p>Race Equality Scheme Action Plan adopted</p> <p>Through the Codes of Conduct, Protocols, Council Procedure Rules relating to contracts and external partnership arrangements, financial procedure and regulations and the Articles on decision making in the Council's Constitution</p> <p>Through the Members Planning Code of Good Practice for Members and Employees, dealing with planning matters</p> <p>High profile Standards Committee</p>			
<p>Have in place arrangements ensuring that all procedures and operations conform with any appropriate ethical standards and monitor compliance</p>	<p>Having a Monitoring Officer appointed</p> <p>Monitoring of compliance with codes undertaken by the Standards Committee</p> <p>By having Codes of Conduct subject to Government guidelines being published</p> <p>By publishing Annual reports for the Standards Committee and Oversight and Scrutiny</p> <p>By adopting, publishing &amp; reviewing twice yearly a Local Code of Corporate Governance</p> <p>By appointing the Chief Executive to monitor the Council's performance under its Local Code of Corporate Governance</p> <p><b>By appointing the Leader of the Council as a Member Champion for Corporate Governance</b></p>			

Have a Whistle-blowing Policy for staff and contractors and monitor its effectiveness	By publishing and making readily available the Whistle-blowing document <b>Whistle-blowing Policy 1999 updated November 2006</b> Anti-Fraud and Corruption Policy			
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