

**PRINCIPLE 1: Focusing on the purpose of the Council and on outcomes for the community and creating and implementing a vision for the local area**

| How the principles of corporate governance should be reflected  |
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| Exercising strategic leadership by developing and clearly communicating the Council's purpose and vision and its intended outcomes for citizens and service users (1 – 4) |
| Ensuring that users receive a high quality service, whether directly or in partnership, or by commissioning (5 & 6)   |
| Ensuring that the Council makes best use of resources and that tax payers and service users receive excellent value for money (7)   |

| The local code should reflect the requirements to:  | Officer(s) responsible   | Source documents/processes/other means that may be used to demonstrate compliance   | Self assessment score on how far the Council's current processes and documentation meet the criteria (1-10) | Comments / Plans for improvement   |
|---|--|---|---|--|
| 1) Develop and promote the Council's purpose and vision   | Corporate Management Team  | <p>Council Vision Statement – used as a basis for:</p> <ul style="list-style-type: none"> <li>• Corporate Plan</li> <li>• Corporate and service planning</li> <li>• Shaping the Community Strategy</li> <li>• Derbyshire Local Area Agreement (LAA)</li> <li>• Direction of Travel Statement</li> <li>• Communications Strategy</li> <li>• Consultation Strategy</li> </ul> | 8   | <p>Review Corporate Plan (HOD)</p> <p>Corporate Communications Review (D Corp S)</p> <p>Publish Annual Report (D Corp S)</p>               |
| 2) Review on a regular basis the Council's vision for the local area and its implications for the Council's governance arrangements | Corporate Management Team  | <ul style="list-style-type: none"> <li>• Periodic review of Corporate Plan</li> <li>• Periodic review of Community Strategy</li> <li>• Six monthly self assessment of governance arrangements</li> </ul>  | 9   | Publish Annual report on South Derbyshire Local Strategic Partnership (SDLSP) to Council (HLCD / HOD)                                      |
| 3) Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all partners          | <p>Head of Organisational Development</p> <p>Head of Leisure &amp; Community Development</p> | <ul style="list-style-type: none"> <li>• Partnership Agreements / Terms of Reference in place for South Derbyshire Local Strategic Partnership (SDLSP) and Safer South Derbyshire Partnership (SSDP)</li> </ul>   | 7   | <p>Develop a good practice protocol for partnership working (HOD / HLCD)</p> <p>Support development of Community / Parish Plans (HLCD)</p> |

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|---|------------------------------------|--|---|--|
| 4) Publish an annual report on a timely basis to communicate the Council's activities and achievements, its financial position and performance                              | Corporate Management Team          | <ul style="list-style-type: none"> <li>• Corporate Plan</li> <li>• Statutory Statement of Account</li> <li>• Summary Report on Financial Performance</li> <li>• External Audit Management Letter</li> <li>• Annual Budget Report</li> <li>• Medium Term Financial Plan</li> <li>• Council Tax leaflet</li> <li>• Best Value Performance Plan</li> </ul>  | 8   | The source information will be amalgamated and an Annual Report published (D Corp S)   |
| 5) Decide how the quality of service for users is to be measured and make sure that the information needed to review service quality effectively and regularly is available | Head of Organisational Development | <p>This information is reflected in the Council's:</p> <ul style="list-style-type: none"> <li>• National Indicator / BVPI targets / User Satisfaction Survey</li> <li>• Service Standards published for Customers Services</li> <li>• Chartermark for Environmental Services/Housing</li> <li>• Citizens Panel</li> <li>• Mystery Shopper</li> <li>• Customer Charter for Development Control/Housing/Environmental Services</li> <li>• Annual Ombudsman Report</li> <li>• Comments, Compliments and Complaints Scheme – on website</li> </ul> | 7   | <p>Develop Service Standards across all service areas (All HOS)</p> <p>Place Survey to be undertaken (HOD)</p> <p>Service Plans to be developed to link to customer outcomes (All HOS)</p> |
| 6) Put in place effective arrangements to identify and deal with failure in service delivery  | Corporate Management Team          | <ul style="list-style-type: none"> <li>• Business Continuity Plans</li> <li>• Ombudsman Complaints Procedure</li> <li>• Reporting of Comments, Compliments and Complaints scheme to F &amp; M Committee</li> <li>• Overview and Scrutiny Committee</li> <li>• Performance Management System</li> <li>• Annual Governance Report 2006/07 – External Audit</li> <li>• Prince 2 methodology</li> <li>• Risk Management Strategy with reports to Committee</li> </ul>  | 8   | Accommodation Strategy to be developed (D Comm S)  |

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|---|-------------------------------------|--|---|---|
| 7) Decide how value for money is to be measured and make sure that the Council or partnership has the information needed to review value for money and performance effectively. Measure the environmental impact of policies, plans and decisions | Head of Finance & Property Services | <p>The results are reflected in Council's performance plans and in reviewing the work of the Council e.g.</p> <ul style="list-style-type: none"> <li>• Value for Money Framework</li> <li>• Efficiency Statements</li> <li>• Use of Resources judgement</li> <li>• Cost Comparator Assessment</li> <li>• Business Improvement Plan</li> <li>• EMAS Officer</li> <li>• Service Plans</li> <li>• Procurement Strategy</li> <li>• Environment Policy</li> <li>• EMAS Action Plan</li> </ul> | 8   | <p>Business Improvement Team to be established to look at the efficiency and effectiveness of services (HITBI)</p> <p>EMAS accreditation to be progressed (HES)</p> <p>Service Plans to be developed and include comparative performance data (All HOS)</p> |

**PRINCIPLE 2: Members and Officers working together to achieve a common purpose with clearly defined functions and roles**

| How the principles of corporate governance should be reflected  |
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| Ensuring effective leadership throughout the Council and being clear about Council functions and of the roles and responsibilities of the scrutiny function (8 & 9)                                     |
| Ensuring that a constructive working relationship exists between Council members and officers and that the responsibilities of Council members and officers are carried out to a high standard (9 – 13) |
| Ensuring relationships between the Council and the public are clear so that each knows what to expect of the other (14 – 19)  |

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|--|---|---|---|---|
| 8) Set out a clear statement of the respective roles and responsibilities of Council members and of senior officers  | Head of Legal & Democratic Services<br><br>Head of Organisational Development | <ul style="list-style-type: none"> <li>• Constitution</li> <li>• Member training and development programme</li> <li>• Role definitions of Senior Officers</li> <li>• Senior Officers job description</li> <li>• Officers Employment Procedure Rules</li> <li>• Protocol on Member/Employee Relations</li> </ul> | 9   |   |
| 9) Determine a scheme of delegation and reserve powers within the Constitution, including a formal schedule of those matters specifically reserved for collective decision of the Council, taking account of relevant legislation, and ensure that it is monitored and updated when required | Head of Legal & Democratic Services – Monitoring Officer                      | <ul style="list-style-type: none"> <li>• Constitution (part 3)</li> <li>• Scheme of Delegation</li> <li>• Monitoring Officer</li> </ul>   | 9   | Financial Regulations to be reviewed and Contract Procedure Rules to be reviewed (HFPS) |

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|--|--|---|---|----------------------------------|
| 10) Ensure the Chief Executive is fully responsible and accountable to the Council for all aspects of operational management   | Chief Executive  | <ul style="list-style-type: none"> <li>• Constitution</li> <li>• Conditions of Employment</li> <li>• Scheme of Delegation</li> <li>• Statutory provisions</li> <li>• Job Description / Specification</li> <li>• Performance Management system</li> <li>• Annual Performance Development Review</li> </ul>   | 10  |                                  |
| 11) Develop protocols to ensure that the Leader and Chief Executive negotiate their respective roles early in the relationship and that a shared understanding of roles and objectives is maintained   | Chief Executive  | <ul style="list-style-type: none"> <li>• Scheduled regular meetings with Leader/ Deputy and Chief Executive</li> </ul>  | 8   |                                  |
| 12) Ensure the S151 Officer is fully responsible 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 | Director of Corporate Services                           | <ul style="list-style-type: none"> <li>• Section 151 Officer appointment</li> <li>• Statutory provision</li> <li>• Statutory reports</li> <li>• Budget documentation</li> <li>• Job Description / Specification</li> <li>• Committee report template</li> <li>• Annual Performance Development Review</li> <li>• Statement on Internal Control</li> </ul> | 10  |                                  |
| 13) Ensure the Monitoring Officer is fully responsible to the Council for making sure that agreed procedures are followed and that all applicable statutes and regulations are complied with   | Head of Legal & Democratic Services – Monitoring Officer | <ul style="list-style-type: none"> <li>• Monitoring Officer appointment</li> <li>• Statutory provision</li> <li>• Job Description / Specification</li> <li>• Annual Performance Development Review</li> </ul>   | 10  |                                  |
| 14) Develop protocols to ensure effective communication between members and officers in their respective roles   | Head of Legal & Democratic Services – Monitoring Officer | <ul style="list-style-type: none"> <li>• Planning Good Practice protocol</li> <li>• Protocol on Use of IT by Members</li> <li>• Licensing Protocol and Procedure</li> <li>• Protocol on Member/Employee relations</li> <li>• Use of Member Champions</li> </ul>   | 9   |                                  |

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|--|--|---|---|--|
| 15) Set out the terms and conditions for remuneration of members and officers and an effective structure for managing the process, including an effective remuneration panel (if applicable)   | Head of Organisational Development<br>Head of Legal & Democratic Services – Monitoring Officer | <ul style="list-style-type: none"> <li>• Independent Remuneration Panel – review of Members' Allowances</li> <li>• Members' Allowances Scheme</li> <li>• National (NJC) Pay and Conditions</li> <li>• Contracts of Employment for Officers</li> </ul> | 10  |  |
| 16) Ensure that effective mechanisms exist to monitor service delivery   | Head of Organisational Development   | <ul style="list-style-type: none"> <li>• Performance Management system – reporting to Policy Committees and Corporate Management Team</li> <li>• Scrutiny arrangements in place</li> </ul>  | 7   | Implementation of new Performance Management system (HOD)  |
| 17) Ensure that the Council's vision, strategic plans, priorities and targets are developed through robust mechanisms and in consultation with the local community and other key stakeholders and that they are clearly articulated and disseminated   | Head of Organisational Development   | <ul style="list-style-type: none"> <li>• Area Meetings</li> <li>• Parish Liaison Meetings</li> <li>• Citizens Panel</li> <li>• User Satisfaction Survey</li> <li>• Corporate Plan consultation</li> </ul>   | 7   | Consultation timetable to be developed and undertaken to shape the new Corporate Plan (HOD)<br><br>Corporate Communication Review (D Corp S) |
| 18) When working in partnership, ensure that members are clear about their roles and responsibilities, both individually and collectively in relation to the partnership and to the Council  | Corporate Management Team  | <ul style="list-style-type: none"> <li>• All Financial Partnership agreements contain "terms of reference"</li> <li>• Constitution (Article 10)</li> <li>• Code of Conduct for Representatives on Outside Bodies</li> </ul>                           | 8   | Develop a Good Practice Protocol for partnership working (HLCD / HOD)  |
| 19) When working in partnership: <ul style="list-style-type: none"> <li>◆ ensure that there is clarity about the legal status of the partnership</li> <li>◆ ensure that representatives of organisations both understand and make clear to all other partners the extent of their authority to bind their organisation to partner decisions</li> </ul> | Corporate Management Team  | <ul style="list-style-type: none"> <li>• Legal status of Financial Partnerships and authority to bind partners are defined in their "terms of reference" e.g. LAA, SDLSP, SSDP</li> </ul>   | 8   | Develop a Good Practice Protocol for partnership working (HLCD / HOD)  |

### PRINCIPLE 3: Promoting values for the Council and demonstrating the values of good governance through upholding high standards of conduct and behaviour

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| How the principles of corporate governance should be reflected  |
| Ensuring Council members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance (20 – 22) |
| Ensuring that organisational values are put into practice and are effective (23 – 27)   |

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|--|--|---|---|---|
| <b>Balance of Power and Authority</b>  |  |   |   |   |
| 20) Ensure that the Council's leadership sets a tone for the organisation by creating a climate of openness, support and respect   | Corporate Management Team  | <ul style="list-style-type: none"> <li>• Core / Team Briefings</li> <li>• IIP Accreditation</li> <li>• Joint Consultative Committee</li> <li>• CPA Final Inspection report 2004</li> <li>• Members' and Officers' Code of Conduct</li> <li>• Regular staff meetings</li> <li>• Committee Meetings open to public</li> </ul>   | 9   |   |
| 21) Ensure that standards of conduct and personal behaviour expected of members and officers, of work between members and officers and between the Council, its partners and the community are defined and communicated through codes of conduct and protocols | Head of Legal & Democratic Services – Monitoring Officer<br><br>Head of Organisational Development | <ul style="list-style-type: none"> <li>• Members'/Officers' Code of Conduct</li> <li>• Employee "Conditions of Service"</li> <li>• Complaints procedures</li> <li>• Ombudsman Complaints Procedure</li> <li>• Anti-fraud and corruption policy</li> <li>• Confidential reporting code</li> <li>• Protocols on Member/Employee Relations</li> <li>• Protocol on Use of IT by Members</li> <li>• Planning Code of Good Practice</li> <li>• Financial procedure rules</li> <li>• Induction process</li> <li>• Procurement Strategy</li> <li>• Employment policies</li> </ul> | 10  | Review Officer Code of Conduct when National Guidelines issued (HOD / HLDS) |

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|---|---------------------------|---|---|----------------------------------|
| <b>Balance of Power and Authority</b>   |                           |   |   |                                  |
| 21) cont/.....  |                           | <ul style="list-style-type: none"> <li>• Code of Conduct for Representatives on Outside Bodies</li> <li>• Standards Committees with independent Chair/Vice-Chair</li> <li>• Performance Development Reviews</li> <li>• Members' Handbook</li> <li>• Performance Management system</li> <li>• Members' Register of Interests and Officer Gifts and Hospitality Register</li> <li>• Competency Framework for Senior Managers</li> </ul>   |   |                                  |
| 22) Put in place arrangements to ensure that members and officers of the Council are not influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders and put in place appropriate processes to ensure that they continue to operate in practice | Corporate Management Team | <ul style="list-style-type: none"> <li>• Members' Code of Conduct</li> <li>• High profile Standards Committee</li> <li>• Planning Code of Good Practice</li> <li>• Corporate Equality and Fairness Scheme</li> <li>• Equality training</li> <li>• Members Interests and Gifts &amp; Hospitality Registers in place which are monitored</li> <li>• Employees sign up to Conditions of Service as part of employment</li> <li>• Anti-fraud and corruption policy</li> <li>• Complaints procedure</li> <li>• Finance &amp; Management Committee review of complaints received</li> <li>• Tendering and Procurement process</li> <li>• Audit Sub-Committee review instances of fraud and corruption</li> <li>• Officer Gifts &amp; Hospitality Register monitored</li> <li>• Use of IT at home policy</li> <li>• S151 Officer review / revision of Financial Procedure Rules. Also monitoring and reporting number of significant breaches</li> </ul> | 10  |                                  |



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|---|--|---|---|---|
| <b>Balance of Power and Authority</b>   |  |   |   |   |
| 23) Develop and maintain shared values including leadership values for both the Council and officers, reflecting public expectations and communicate these with members, officers, the community and partners           | Corporate Management Team  | <ul style="list-style-type: none"> <li>• Corporate Plan</li> <li>• Codes of Conduct</li> <li>• Core values and ethical regime in place</li> <li>• Communicate via Team Brief</li> <li>• Staff Briefings</li> <li>• CPA Final Inspection Report 2004</li> <li>• Members' Bulletin</li> <li>• Community Strategy</li> </ul>       | 7   | Corporate Communications Review (D Corp S)  |
| 24) Put in place arrangements to ensure that systems and processes are designed in conformity with appropriate ethical standards, and monitor their continuing effectiveness in practice                                | Head of Legal & Dem. Services – Monitoring Officer<br><br>Head of Organisational Development | <ul style="list-style-type: none"> <li>• Codes of Conduct for staff/members</li> <li>• Standards Committee training</li> <li>• Equality training for staff / members</li> <li>• Corporate Equality and Fairness Scheme</li> </ul>   | 8   |   |
| 25) Develop and maintain an effective Standards Committee   | Head of Legal & Democratic Services – Monitoring Officer                                     | <ul style="list-style-type: none"> <li>• 5 Independent Members (including Chair and Vice-Chair), 3 District Council, 2 Parish Council</li> <li>• Regular meetings of Standards Committee</li> <li>• Annual Report to Full Council</li> <li>• Ethics and Behaviour website</li> <li>• Standards Hearings and outcomes</li> </ul> | 9   | Following introduction of the Local Assessment of Complaints Regulations, an additional Parish Council Representative will be appointed to Standards Committee (HLDS) |
| 26) Use the Council's shared values to act as a guide for decision making and as a basis for developing positive and trusting relationships within the Council  | Corporate Management Team  | <ul style="list-style-type: none"> <li>• Various implications set out in all Committee agenda paperwork to aid decision making process</li> <li>• Open decision making structure</li> <li>• Minimal use of "exempt reports"</li> </ul>  | 9   |   |
| 27) In pursuing the vision of a partnership, agree a set of values against which decision making and actions can be judged. Such values must be demonstrated by partners' behaviour, both individually and collectively | Corporate Management Team  | <ul style="list-style-type: none"> <li>• Protocols for partnership working and minutes of meetings e.g. LAA, SDLSP</li> <li>• South Derbyshire Crime and Disorder Partnership</li> </ul>  | 7   | Develop a Good Practice Protocol for Partnership working (HOD / HLCD)   |

## PRINCIPLE 4: Taking informed and transparent decisions which are subject to effective scrutiny and managing risk

| How the principles of corporate governance should be reflected   |
|--|
| Being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny (28 – 32)                            |
| Having good-quality information, advice and support to ensure that services are delivered effectively and are what the community wants/needs (33 – 34)             |
| Ensuring that an effective risk management system is in place using their legal powers to the full benefit of the citizens and communities in their area (35 & 36) |
| Using their legal powers to the full benefit of the citizens and communities in their area (37 – 39)   |

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|---|--|--|---|---|
| 28) Develop and maintain an effective scrutiny function which encourages constructive challenge and enhances the Council's performance overall and that of any organisation for which it is responsible | Head of Legal & Democratic Services – Monitoring Officer | <ul style="list-style-type: none"> <li>Overview and Scrutiny Annual Report to Council</li> <li>Training of Scrutiny members</li> <li>Scrutiny is supported by robust evidence and data analysis</li> <li>Call-in procedure</li> <li>Work Plan</li> </ul>   | 8   | Overview and Scrutiny Committee to review arrangements and develop an action plan (HLDS)  |
| 29) Develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based                     | Head of Legal & Democratic Services – Monitoring Officer | <ul style="list-style-type: none"> <li>Committee report templates set out all relevant considerations</li> </ul>   | 8   | Introduction of Committee Management Information System to allow reports and decisions to be viewed electronically (HLDS)<br>Review of the format of Minutes (HLDS) |
| 30) Put in place arrangements to safeguard members and officers against conflicts of interest and put in place appropriate processes to ensure that they continue to operate in practice                | Head of Legal & Democratic Services – Monitoring Officer | <ul style="list-style-type: none"> <li>Members' and Officers' Code of Conduct</li> <li>Protocol on Employee/Member Relations</li> <li>Licensing Code of Good Practice</li> <li>Monitoring Officer in post</li> <li>Confidential reporting code</li> <li>Planning Code of Conduct</li> <li>Code of Conduct for Representatives on Outside Bodies</li> </ul> | 10  |   |

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|--|---|---|---|--|
| 31) Develop and maintain an effective Audit Sub-Committee  | Corporate Management Team   | <ul style="list-style-type: none"> <li>• Constitution</li> <li>• Terms of Reference</li> <li>• Training for Committee Members</li> <li>• Annual self-assessment checklist</li> </ul>  | 9   | External review of Audit Sub-Committee (HFPS)  |
| 32) Ensure that effective, transparent and accessible arrangements are in place for dealing with complaints  | Head of Customer Services<br><br>Head of Legal & Democratic Services – Monitoring Officer           | <ul style="list-style-type: none"> <li>• Comments, Compliments and Complaints Scheme</li> <li>• Open reporting of complaints to Finance and Management Committee</li> <li>• Ombudsman Annual Letter reported</li> <li>• Ombudsman Complaints Procedure</li> <li>• Confidential Reporting Procedure</li> </ul> | 9   |  |
| 33) Ensure that those making decisions, whether for the Council or the partnership, are provided with information that is fit for the purpose – relevant, timely and gives clear explanations of technical issues and their implications | Head of Legal & Democratic Services – Monitoring Officer<br><br>All Heads of Service                | <ul style="list-style-type: none"> <li>• Members' Induction Scheme</li> <li>• Committee report template show implications and considerations</li> </ul>   | 8   | Member training and development programme to be created and Action Plan implemented (HLDS / HOD)<br><br>Training for Committee Chairs / Vice-Chairs (HLDS) |
| 34) Ensure that professional advice on matters that have legal or financial implications is available and recorded well in advance of decision making and used appropriately   | Head of Legal & Democratic Services – Monitoring Officer<br><br>Head of Finance & Property Services | <ul style="list-style-type: none"> <li>• Committee meeting agendas and minutes</li> <li>• Committee template requires financial implications to be laid down in reports</li> <li>• Draft reports discussed at pre-meetings</li> <li>• Corporate Management Team oversees reports for major issues</li> </ul>  | 9   |  |

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|--|--|---|---|----------------------------------|
| 35) Ensure that risk management is embedded into the culture of the Council, with members and managers at all levels recognising that risk management is part of their jobs  | Head of Finance & Property Services                      | <ul style="list-style-type: none"> <li>• Risk Management Strategy and Policy Statement</li> <li>• Corporate Risk Management Group (including Member Champion)</li> <li>• Included in Financial Procedure Rules</li> <li>• Risk Analysis in Corporate Plan and Services Plans</li> <li>• Staff / Members attend risk awareness training</li> <li>• Corporate Risk Registers</li> <li>• Emergency Planning system in place</li> <li>• Computer Disaster Policy</li> </ul> | 9   |                                  |
| 36) Ensure that arrangements are in place for whistle blowing to which staff and all those contracting with the Council have access  | Head of Organisational Development                       | <ul style="list-style-type: none"> <li>• Regularly reviewed confidential reporting code, which is notified to staff and significant contractors</li> <li>• Anti-fraud and Corruption Policy</li> <li>• Monitoring Officer and S151 Officers in post</li> </ul>  | 10  |                                  |
| 37) Actively recognise the limits of lawful activity placed on them by, for example, the ultra vires doctrine, but also strive to utilise their powers to the full benefit of their communities  | Head of Legal & Democratic Services – Monitoring Officer | <ul style="list-style-type: none"> <li>• Constitution</li> <li>• Monitoring Officer provisions</li> <li>• Statutory provision</li> </ul>  | 9   |                                  |
| 38) Recognise the limits of lawful action and observe both the specific requirements of legislation and the general responsibilities placed on authorities by public law   | Head of Legal & Democratic Services – Monitoring Officer | <ul style="list-style-type: none"> <li>• Circulation of reports prior to going to Committee</li> <li>• Monitoring Officer and S151 Officers in post</li> <li>• No live examples of Judicial Reviews against the Council</li> </ul>  | 9   |                                  |
| 39) Observe all specific legislative requirements placed upon them, as well as the requirements of general law, and in particular to integrate the key principles of good administrative law - rationality, legality and natural justice – into their procedures and decision-making processes | Head of Legal & Democratic Services – Monitoring Officer | <ul style="list-style-type: none"> <li>• Monitoring Officer provisions</li> <li>• Job Description / Specification</li> <li>• Statutory provision</li> <li>• Article 12 of the Constitution</li> </ul>   | 9   |                                  |

## PRINCIPLE 5: Developing the capacity and capability of members and officers to be effective

| How the principles of corporate governance should be reflected   |
|--|
| Making sure that members and officers have the skills, knowledge, experience and resources they need to perform well in their roles (40 & 41)                        |
| Developing the capability of people with governance responsibilities and evaluating their performance, as individuals and as a group (42 – 44)                       |
| Encouraging new talent for membership of the Council so that best use can be made of individuals' skills and resources in balancing continuity and renewal (45 & 46) |

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| 40) Provide induction programmes tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis   | Head of Organisational Development<br><br>Head of Legal & Democratic Services – Monitoring Officer | <ul style="list-style-type: none"> <li>• Training and Development Plan</li> <li>• Induction Programme</li> <li>• Update courses / information</li> <li>• Performance Development Reviews for Officers</li> <li>• Regular meeting of Councillors Member Development Champions</li> <li>• E-learning resources, including Modern Councillor (IDeA)</li> </ul>  | 9   |  |
| 41) Ensure that the statutory officers have the skills, resources and support necessary to perform effectively in their roles and that these roles are properly understood throughout the Council | Corporate Management Team  | <ul style="list-style-type: none"> <li>• Job Description / Personal Specifications</li> <li>• Article 11 in Constitution</li> <li>• Performance Development Reviews</li> </ul>   | 9   |  |
| 42) Assess the skills required by members and officers and make a commitment to develop those skills to enable roles to be carried out effectively  | Head of Organisational Development<br><br>Head of Legal & Democratic Services – Monitoring Officer | <ul style="list-style-type: none"> <li>• Member and officer training and development programme</li> <li>• Officer and member training budget</li> <li>• Personal Development Review (PDR)</li> <li>• IIP Accreditation</li> <li>• 360 degree feedback process</li> <li>• Specific training for Standards Development Control, Licensing and Audit Sub-Committee</li> <li>• Competency Framework for Senior Managers</li> </ul> | 8   | Members' training and development programme to be created and Action Plan implemented (HLDS / HOD) |

| The local code should reflect the requirements to:   | Officer(s) responsible   | Source documents/processes/other means that may be used to demonstrate compliance  | Self assessment score on how far the Council's current processes and documentation meet the criteria (1-10) | Comments / Plans for improvement  |
|--|--|--|---|---|
| 43) Develop skills on a continuing basis to improve performance, including the ability to scrutinise and challenge and to recognise when outside expert advice is needed   | Head of Organisational Development<br>Head of Legal & Democratic Services – Monitoring Officer | <ul style="list-style-type: none"> <li>• Training and development courses which reflect requirements of a modern councillor, including E-learning resources</li> </ul>   | 7   | Members' training and development programme to be created and Action Plan implemented (HLDS / HOD)  |
| 44) Ensure that effective arrangements are in place for reviewing the performance of the Council as a whole and of individual members and agreeing an action plan which might, for example, aim to address any training or development needs | Head of Organisational Development   | <ul style="list-style-type: none"> <li>• Training and development courses</li> <li>• Call-in arrangements</li> <li>• Annual Direction of Travel document</li> </ul>  | 7   | Publish Annual Report (D Corp S)  |
| 45) Ensure that effective arrangements are in place, designed to encourage individuals from all sections of the community to engage with, contribute to and participate in the work of the Council   | Head of Organisational Development   | <ul style="list-style-type: none"> <li>• Corporate Equality and Fairness Scheme</li> <li>• Citizens Panel</li> <li>• SDLSP framework</li> <li>• Values and Attitudes Group</li> <li>• Level 2 of the National Equality Standard</li> <li>• Parish Liaison Meetings</li> <li>• Communication Strategy</li> <li>• Consultation Strategy</li> <li>• Area Meetings</li> <li>• Public participation at Development Control meetings</li> <li>• Local Democracy Week</li> <li>• Investors in People accreditation (IIP)</li> </ul> | 8   | Develop a robust Action Plan to take us to Level 3 of the Equality Standard and monitor progress against this (HOD)   |
| 46) Ensure that career structures are in place for members and officers to encourage participation and development   | Head of Organisational Development   | <ul style="list-style-type: none"> <li>• Workforce development in Service Plan</li> <li>• Leadership and Management Development Programmes</li> <li>• People Strategy</li> <li>• Post-entry Training Scheme</li> <li>• Career Graded Posts</li> </ul>  | 7   | Establish a Corporate Workforce Development Strategy (HOD)<br><br>Review recruitment and selection process (HOD)<br><br>Implement Year 3 Actions in People Strategy (HOD) |

## PRINCIPLE 6: Engaging with local people and other stakeholders to ensure robust public accountability

| How the principles of corporate governance should be reflected   |
|--|
| Exercising leadership through a robust scrutiny function which effectively engages local people and all local institutional stakeholders, including partnerships, and develops constructive accountability relationships (47 – 49) |
| Taking an active and planned approach to dialogue with and accountability to the public to ensure effective and appropriate service delivery whether directly by the authority, in partnership or by commissioning (50 – 55)       |
| Making best use of human resources by taking an active and planned approach to meet responsibility to staff (56)   |

| The local code should reflect the requirements to:  | Officer(s) responsible                                   | Source documents/processes/other means that may be used to demonstrate compliance  | Self assessment score on how far the Council's current processes and documentation meet the criteria (1-10) | Comments / Plans for improvement |
|---|--|--|---|----------------------------------|
| 47) Make clear to ourselves, all officers and the community to whom they are accountable and for what   | Corporate Management Team                                | <ul style="list-style-type: none"> <li>Community Strategy</li> <li>Corporate Plan</li> <li>Job Descriptions</li> <li>Scrutiny Committee</li> <li>Regular update of Governance checklist</li> </ul> | 8   | Publish Annual Report (D Corp S) |
| 48) Consider those institutional stakeholders to whom the Council is accountable and assess the effectiveness of the relationships and any changes required | Corporate Management Team                                | <ul style="list-style-type: none"> <li>Consultation for LSP and LAA</li> <li>South Derbyshire Crime and Disorder Partnership</li> <li>Parish Liaison Meetings</li> <li>Area Meetings</li> </ul>    | 8   |                                  |
| 49) Produce an annual report on the activity of the scrutiny function   | Head of Legal & Democratic Services – Monitoring Officer | <ul style="list-style-type: none"> <li>Annual report to Council</li> </ul>   | 10  |                                  |

| The local code should reflect the requirements to:   | Officer(s) responsible  | Source documents/processes/other means that may be used to demonstrate compliance   | Self assessment score on how far the Council's current processes and documentation meet the criteria (1-10) | Comments / Plans for improvement  |
|--|---|---|---|---|
| 50) Ensure clear channels of communication are in place with all sections of the community and other stakeholders, and put in place monitoring arrangements and ensure that they operate effectively   | Head of Organisational Development<br><br>Head of Information Technology and Business Improvement | <ul style="list-style-type: none"> <li>• Communications Strategy</li> <li>• Consultation Strategy</li> <li>• Citizens Panel</li> <li>• Website</li> <li>• BVPI Survey</li> <li>• Values and Attitudes Group</li> </ul>  | 8   | Place Survey to be undertaken (HOD)<br><br>Corporate Communications Review (D Corp S)<br><br>Review Action Plan for Communications Strategy and Consultation Strategy (HOD) |
| 51) Hold meetings in public, unless there are good reasons for confidentiality   | Head of Legal & Democratic Services – Monitoring Officer  | <ul style="list-style-type: none"> <li>• Open Committee Meetings</li> </ul>   | 10  |   |
| 52) Ensure that arrangements are in place to enable the Council to engage with all sections of the community effectively. These arrangements should recognise that different sections of the community have different priorities and establish explicit processes for dealing with these competing demands | Head of Organisational Development  | <ul style="list-style-type: none"> <li>• Comments, Compliments and Complaints Scheme</li> <li>• Laptops for Members</li> <li>• Publishing 'Help You' leaflets</li> <li>• Derbyshire Community Engagement Group</li> <li>• Tenants' forum (TACT)</li> <li>• South Derbyshire Local Strategic Partnership (SDLSP)</li> <li>• Parish Liaison Meetings</li> <li>• 4 kiosks with internet access in remote locations</li> <li>• Tenants Xtra and Shine newspapers</li> <li>• Crime and Disorder Partnership</li> <li>• Communications Strategy</li> <li>• Consultation Strategy</li> <li>• Equality and Fairness Scheme</li> <li>• Language Line / Translation Service</li> <li>• Citizens Panel</li> <li>• Area Meetings</li> </ul> | 8   | Develop a robust Action Plan to take us to Level 3 of the Equality Standard and monitor progress against this (HOD)   |



| The local code should reflect the requirements to:  | Officer(s) responsible  | Source documents/processes/other means that may be used to demonstrate compliance   | Self assessment score on how far the Council's current processes and documentation meet the criteria (1-10) | Comments / Plans for improvement           |
|---|---|---|---|--|
| 52) cont/.....  |   | <ul style="list-style-type: none"> <li>• Equality Standard Level 2</li> <li>• Hearing Loops</li> <li>• Housing Allocation Policy</li> <li>• Get South Derbyshire Active Project</li> <li>• Unauthorised Encampment of Travellers Policy</li> <li>• Youth Engagement through Sport Project</li> <li>• 'Respect' Programme</li> <li>• Neighbourhood Watch Schemes</li> <li>• Safer Neighbourhood Wardens</li> <li>• Liberation Day</li> </ul> |   |  |
| 53) Establish a clear policy on the types of issues they will meaningfully consult on or engage with the public and service users about including a feedback mechanism for those consultees to demonstrate what has changed as a result                       | Head of Organisational Development  | <ul style="list-style-type: none"> <li>• Corporate Plan</li> <li>• Citizens Panels</li> <li>• Consultation Strategy</li> <li>• Communications Strategy</li> </ul>   | 8   | Corporate Communications review (D Corp S) |
| 54) On an annual basis, publish a performance plan giving information on the Council's vision, strategy, plans and financial statements, as well as information about its outcomes, achievements and the satisfaction of service users in the previous period | Head of Finance & Property Services<br><br>Head of Organisational Development | <ul style="list-style-type: none"> <li>• Annual Performance Plan</li> <li>• Annual financial statements</li> <li>• Corporate Plan</li> <li>• Annual Service Plans</li> </ul>  | 7   | Publish Annual Report (D Corp S)           |

| The local code should reflect the requirements to:   | Officer(s) responsible   | Source documents/processes/other means that may be used to demonstrate compliance  | Self assessment score on how far the Council's current processes and documentation meet the criteria (1-10) | Comments / Plans for improvement |
|--|--|--|---|----------------------------------|
| 55) Ensure that the authority as a whole is open and accessible to the community, service users and its officers and ensure that it has made a commitment to openness and transparency in all its dealings, including partnerships, subject only to the need to preserve confidentiality in those specific circumstances where it is proper and appropriate to do so | Head of Legal & Democratic Services – Monitoring Officer<br><br>Head of IT                         | <ul style="list-style-type: none"> <li>• Constitution</li> <li>• Consultation Strategy</li> <li>• Agenda and Minutes of Committee Meetings published on internet</li> <li>• Freedom of Information policy</li> <li>• Data Protection policy</li> <li>• A – Z of Services</li> <li>• Website – web enabled</li> <li>• Communications Strategy</li> <li>• Comments, Compliments and Complaints Scheme</li> </ul> | 9   |                                  |
| 56) Develop and maintain a clear policy on how officers and their representatives are consulted and involved in decision making  | Head of Organisational Development<br><br>Head of Legal & Democratic Services – Monitoring Officer | <ul style="list-style-type: none"> <li>• Constitution</li> <li>• Joint Consultative Committee</li> <li>• Core / Team Brief</li> <li>• Team Meetings</li> <li>• Employee Meetings</li> <li>• Trade Union Facility Agreement</li> <li>• Guidance on Organisational Change</li> </ul>   | 9   |                                  |