

## Self Assessment of Performance under Local Code of Corporate Governance

### 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
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 (1-5)	Actions to strengthen performance
1) Develop and promote the Council's purpose and vision	Chief Executive	Council's Vision Statement – used as a basis for: <ul style="list-style-type: none"> <li>• Corporate Plan 2009 to 2014</li> <li>• Corporate Action Plan 2013/14</li> <li>• Service planning</li> <li>• Communications Strategy</li> <li>• Communications Campaigns</li> <li>• Consultation Strategy</li> <li>• Corporate Communications Team</li> <li>• Annual Report</li> <li>• South Derbyshire's Sustainable Community Strategy 2009-2029</li> <li>• Area profile information</li> <li>• Corporate Identity Guidelines</li> </ul>	5	

<b>The local code should reflect the requirements to:</b>	<b>Officer(s) responsible</b>	<b>Source documents/processes/other means that may be used to demonstrate compliance</b>	<b>Self assessment score on how far the Council's current processes and documentation meet the criteria (1-5)</b>	<b>Actions to strengthen performance</b>
2) Review on a regular basis the Council's vision for the local area and its implications for the Council's governance arrangements	Chief Executive	<ul style="list-style-type: none"> <li>• Annual review of Corporate Action Plan</li> <li>• Periodic review of Sustainable Community Strategy</li> <li>• Six monthly self assessment of governance arrangements</li> <li>• Annual report on South Derbyshire Partnership (SDP)</li> <li>• Presentation to Full Council from SDP</li> </ul>	4	Development of the Core Strategy/Local Plan – this is currently in progress
3) Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all partners	Director of Finance and Corporate Services	<ul style="list-style-type: none"> <li>• Partnership Agreements/Terms of Reference in place for SDP and Safer South Derbyshire Partnership (SSDP)</li> <li>• South Derbyshire's Sustainable Community Strategy 2009-2029</li> <li>• Community/Parish Plans in place</li> <li>• Partnership Year End Reports</li> <li>• Service Planning</li> <li>• Recommendations implemented following Internal Audit on partnerships in 2011/12</li> </ul>	5	
4) Publish an annual report on a timely basis to communicate the Council's activities and achievements, its financial position and performance	Director of Finance and Corporate Services	<ul style="list-style-type: none"> <li>• Corporate Plan</li> <li>• Statutory Statement of Accounts</li> <li>• External Audit Management Letter</li> <li>• Annual Budget Report</li> <li>• Medium Term Financial Plan</li> <li>• Council Tax leaflet</li> <li>• Annual Report</li> </ul>	5	

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 (1-5)	Actions to strengthen performance
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	Director of Finance and Corporate Services	This information is reflected in the Council's: <ul style="list-style-type: none"> <li>• Locally defined Key Performance Indicators (KPIs)</li> <li>• Development of a Customer Charter</li> <li>• Citizens Panel</li> <li>• Annual Ombudsman's Report</li> <li>• Complaints Scheme – on website</li> <li>• Service Plans</li> <li>• Quarterly performance reports to policy Committees</li> <li>• Performance Management System</li> <li>• Overview and Scrutiny Committee</li> <li>• Achievement of Environmental Standard ISO14001</li> </ul>	5	
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>• Governance arrangements in place for the management of Corporate Services contract</li> <li>• Business Continuity Plans containing Accommodation Strategy</li> <li>• Ombudsman's Complaints Procedure</li> <li>• Reporting of Complaints to Committee</li> <li>• Overview and Scrutiny Committee</li> <li>• Performance Management System</li> <li>• External Audit</li> <li>• Risk Management Strategy with reports to Committee</li> <li>• Medium Term Financial Plan</li> <li>• Quarterly performance reports to Policy Committees</li> <li>• Service Planning</li> </ul>	5	

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 (1-5)	Actions to strengthen performance
<p>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</p>	<p>Director of Finance and Corporate Services</p>	<p>The results are reflected in the 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>• Cost Comparator Assessment</li> <li>• Business Improvement Board</li> <li>• Service Planning</li> <li>• Procurement Strategy</li> <li>• Environmental Policy</li> <li>• Annual Audit Management letter</li> <li>• South Derbyshire's Sustainable Community Strategy</li> <li>• Maintenance of a prudential financial framework in line with CIPFA's code</li> <li>• Governance arrangements in place for the management of Corporate Services contract</li> <li>• Performance reports</li> <li>• Achievement of Environmental Standard ISO14001</li> <li>• Rolling programme of Transformational Reviews through the Northgate Partnership</li> </ul>	<p>5</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
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)

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 (1-5)	Actions to strengthen performance
8) Set out a clear statement of the respective roles and responsibilities of Council Members and of senior officers	<p>Director of Finance and Corporate Services</p> <p>Legal and Democratic Services Manager</p>	<ul style="list-style-type: none"> <li>• Constitution</li> <li>• Member training and development programme for statutory functions such as Planning and Licensing</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> <li>• Role Profiles of Members</li> <li>• Monitoring Officer Protocol</li> <li>• Section 151 Officer and Monitoring Officer report directly to the Chief Executive</li> <li>• The Council's CFO (Section 151 Officer) is a member of the Corporate Management Team</li> </ul>	4	Members' training and development programme to be reviewed

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 (1-5)	Actions to strengthen performance
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	Legal and Democratic Services Manager	<ul style="list-style-type: none"> <li>• Constitution (part 3)</li> <li>• Scheme of Delegation</li> <li>• Monitoring Officer</li> </ul>	4	Update the Council's scheme of delegation to reflect the Council's new structure.
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>	5	
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 of both the Controlling and Opposition Groups with the Chief Executive</li> <li>• Leading Members meet regularly with Corporate Management Team</li> <li>• Protocol on Member/Employee relations</li> </ul>	5	

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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	Chief Executive	<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>• Financial Procedure Rules and Regulations</li> <li>• Compliance with the statement on the role of the Chief Finance Officer in Local Government</li> </ul>	5	
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	Chief Executive	<ul style="list-style-type: none"> <li>• Monitoring Officer appointed</li> <li>• Job Description/Specification</li> <li>• Annual Performance Development Review</li> <li>• Monitoring Officer Protocol</li> </ul>	5	
14) Develop protocols to ensure effective communication between Members and officers in their respective roles	Legal and Democratic Services Manager	<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> <li>• Members' Code of Conduct</li> <li>• Committee structure</li> <li>• Constitution</li> </ul>	5	

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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)	<p>Legal and Democratic Services Manager</p> <p>Director of Finance and Corporate Services</p>	<ul style="list-style-type: none"> <li>• Independent Remuneration Panel – review of Members' Allowances and Chief Officer Salaries</li> <li>• Members' Allowances Scheme</li> <li>• National (NJC) Pay and Conditions</li> <li>• Contracts of Employment for Officers</li> <li>• Pay Policy published</li> </ul>	5	
16) Ensure that effective mechanisms exist to monitor service delivery	Director of Finance and Corporate Services	<ul style="list-style-type: none"> <li>• Data Quality Strategy and Action Plan</li> <li>• Data Quality Annual Audit</li> <li>• Performance Management system – reporting to Policy Committees</li> <li>• Scrutiny arrangements in place</li> <li>• Council wide Performance Management System which include Corporate and local indicators</li> </ul>	5	
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, that they are clearly articulated and disseminated	Director of Finance and Corporate Services	<ul style="list-style-type: none"> <li>• Area Forums/Safer Neighbourhood meetings</li> <li>• Parish Liaison Meetings</li> <li>• Citizens Panel</li> <li>• Local Priorities consultation</li> <li>• Corporate Communications Team</li> <li>• Area Profiles</li> <li>• Corporate Consultation Strategy</li> <li>• Corporate Communications Strategy</li> <li>• 5 year medium term corporate and financial planning process</li> <li>• Annual reports</li> <li>• SDP</li> <li>• Local events – such as Liberation Day, South Derbyshire Day and Healthier South Derbyshire Day</li> </ul>	5	

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 (1-5)	Actions to strengthen performance
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	Director of Finance and Corporate Services	<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> <li>• Member's Role profiles</li> </ul>	5	
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>	Director of Finance and Corporate Services	<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. SDP, SSDP</li> <li>• A number of key partnerships in place e.g. ARCH, Northgate and Law Public</li> </ul>	5	

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

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)

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 (1-5)	Actions to strengthen performance
<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	Chief Executive	<ul style="list-style-type: none"> <li>• Core/Team Briefings</li> <li>• IIP Accreditation</li> <li>• Joint Consultative Committee</li> <li>• Joint Negotiating Group</li> <li>• Members' and Officers' Code of Conduct</li> <li>• Regular staff meetings</li> <li>• Committee Meetings open to public</li> <li>• "Better" Newsletter and Blogs</li> <li>• Employee Survey</li> <li>• PDR Scheme.</li> <li>• Competency Framework for all posts in the Council.</li> <li>• Planning for the Future sessions</li> <li>• Management Development Programme</li> </ul>	5	
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	Legal and Democratic Services Manager  Director of Finance and Corporate Services	<ul style="list-style-type: none"> <li>• Members'/Officers' Code of Conduct</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> </ul>	5	

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<b>Balance of Power and Authority</b>				
21) cont/.....		<ul style="list-style-type: none"> <li>• Procurement Strategy</li> <li>• Employment policies</li> <li>• Code of Conduct for Representatives on Outside Bodies</li> <li>• Standards Committee with Independent persons</li> <li>• Performance Development Reviews for Officers</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> <li>• Whistleblowing Policy</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	<p>Director of Finance and Corporate Services</p> <p>Legal and Democratic Services Manager</p>	<ul style="list-style-type: none"> <li>• Members' and Officers' 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 and Fairness training</li> <li>• Member's Interests, 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>• Tendering and Procurement processes</li> <li>• Audit Sub-Committee review instances of fraud and corruption</li> </ul> <p><i>cont/.....over</i></p>	5	

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<b>Balance of Power and Authority</b>				
22) cont/....		<ul style="list-style-type: none"> <li>• Officer Gifts &amp; Hospitality Register monitored</li> </ul>		
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	Chief Executive	<ul style="list-style-type: none"> <li>• Corporate Leadership and Management Programme</li> <li>• Planning for the Future sessions</li> <li>• PDR Scheme</li> <li>• Competency Framework for all posts in the Council.</li> <li>• Corporate Plan</li> <li>• Codes of Conduct</li> <li>• Council's Values</li> <li>• Communicate via Team Brief/Blogs/Better</li> <li>• Staff Briefings</li> <li>• Members' Bulletin</li> <li>• Key Corporate Messages from CMT</li> <li>• Community Strategy</li> <li>• Corporate Communications Team</li> <li>• Communication Campaigns</li> </ul>	5	
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	Legal and Democratic Services Manager	<ul style="list-style-type: none"> <li>• Codes of Conduct for Members and Officers</li> <li>• Standards Committee training</li> <li>• Equality training for staff/Members</li> <li>• Corporate Equality and Fairness Scheme</li> <li>• Council's Values</li> <li>• Leadership and Management Development Programme</li> </ul>	5	

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<b>Balance of Power and Authority</b>				
25) Develop and maintain an effective Standards Committee	Legal and Democratic Services Manager	<ul style="list-style-type: none"> <li>• New Standards Committee introduced in July</li> <li>• Annual Report to Full Council</li> <li>• Standard's hearings and outcomes</li> <li>• Training</li> <li>• Supported by legal professionals</li> </ul>	5	
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	Chief Executive	<ul style="list-style-type: none"> <li>• Council's Values</li> <li>• Various implications set out in all Committee agenda paperwork to aid decision making process</li> <li>• Open decision making structure</li> <li>• Appropriate use of "exempt reports"</li> <li>• Web based Committee documentation system</li> <li>• </li> </ul>	5	
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	Director of Finance and Corporate Services	<ul style="list-style-type: none"> <li>• Protocols for partnership working and minutes of meetings e.g. SDP</li> <li>• South Derbyshire Crime and Disorder Partnership</li> <li>• South Derbyshire's Sustainable Community Strategy 2009-2029</li> <li>• Governance arrangements for the Partnership with Northgate</li> </ul>	5	

## 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 (35 & 36)
Using their legal powers to the full benefit of the citizens and communities in their area (37 – 39)

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 (1-5)	Actions to strengthen performance
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	Legal and Democratic Services Manager	<ul style="list-style-type: none"> <li>• Overview and Scrutiny Annual Report to Council</li> <li>• Training of Scrutiny Members</li> <li>• Call-in procedure</li> <li>• Annual scrutiny work plan</li> <li>• Scrutiny function make recommendations for budget reviews and resource allocations and have been instrumental in pursuing external issues such improved Broadband facilities for the District</li> </ul>	5	
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	Legal and Democratic Services Manager	<ul style="list-style-type: none"> <li>• Committee report templates set out all relevant considerations</li> <li>• Web based Committee documentation system</li> <li>• Attendance by qualified and experienced Democratic Services professionals at all meetings to record discussions, decisions and to ensure proper conduct</li> </ul>	5	

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 (1-5)	Actions to strengthen performance
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.	Legal and Democratic Services Manager  Director of Finance and Corporate Services	<ul style="list-style-type: none"> <li>• Members' and Officers' Code of Conduct</li> <li>• Protocol on Employee/Member Relations</li> <li>• Monitoring Officer in post</li> <li>• Whistleblowing Policy</li> <li>• Planning Code of Good Practice</li> <li>• Code of Conduct for Representatives on Outside Bodies</li> <li>• Training and induction process for Members</li> <li>• Gifts/Hospitality Register for Members and Officers</li> </ul>	5	
31) Develop and maintain an effective Audit Sub-Committee	Director of Finance and Corporate Services	<ul style="list-style-type: none"> <li>• Committee in place with constituted Terms of Reference</li> <li>• Training for Committee Members</li> <li>• Annual self-assessment checklist</li> <li>• Audit Manager has direct access</li> </ul>	4	Keep under review requirement to have independent chair of Audit Sub-Committee.
32) Ensure that effective, transparent and accessible arrangements are in place for dealing with complaints	Director of Finance and Corporate Services	<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's Annual Letter reported</li> <li>• Ombudsman's Complaints Procedure</li> <li>• Whistleblowing Policy</li> <li>• Petitions Scheme</li> </ul>	5	
33) Ensure that those making decisions, whether for the Council or the partnership, are provided with information that is fit for purpose – relevant, timely and gives clear explanations of technical issues and their implications	Legal and Democratic Services Manager	<ul style="list-style-type: none"> <li>• Members' Induction Programme</li> <li>• Committee report template includes provision to show financial, legal, risk, environmental, etc. considerations</li> <li>• Committee timetable allows for consultation and review prior to report issue</li> </ul>	5	

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33) cont/.....		<ul style="list-style-type: none"> <li>• Open Member briefings for technical and complex reports</li> <li>• Pre agenda meetings with both Lead and Opposition Groups</li> </ul>		
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	Legal and Democratic Services Manager	<ul style="list-style-type: none"> <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 oversee reports for major issues</li> <li>• Advice provided on levels of reserves and balances</li> <li>• Legal, HR and Finance implications flagged in Committee Reports</li> </ul>	5	
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	Director of Finance and Corporate Services	<ul style="list-style-type: none"> <li>• Risk Management Strategy and Policy Statement</li> <li>• Corporate Risk Management Group)</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>• Business Continuity Plans</li> <li>• Audit review in 2012/13 confirmed good risk management framework in place with focus good across the Council</li> </ul>	5	
36) Ensure that arrangements are in place for whistle blowing to which staff and all those contracting with the Council have access	Director of Finance and Corporate Services	<ul style="list-style-type: none"> <li>• Regularly reviewed whistleblowing reporting code available on website</li> <li>• Anti-fraud and Corruption Policy</li> <li>• Monitoring Officer and S151 Officers in post</li> </ul>	4	Change to legislation expected in October 2013; need to review policy.

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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	Legal and Democratic Services Manager	<ul style="list-style-type: none"> <li>• Constitution</li> <li>• Monitoring Officer/ S151 Officer</li> <li>• Member Protocol</li> <li>• Planning Code of Good Practice</li> <li>• Member Induction process</li> <li>• Standards Code of Conduct</li> <li>•</li> </ul>	4	Review of Member's Induction process – to include Member's powers and role as community leaders
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	Legal and Democratic Services Manager	<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>• Decisions and Recommendations from Committee</li> </ul>	4	Review of Member's Induction process – to include Member's powers and role as community leaders
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	Legal and Democratic Services Manager	<ul style="list-style-type: none"> <li>• Monitoring Officer's provision</li> <li>• Job Description/Specification</li> <li>• Statutory provision</li> <li>• Article 12 of the Constitution</li> <li>• Continuous professional training for Members and Officers where appropriate, for example in Planning and Licensing.</li> <li>• Decisions and Recommendations from Committee</li> </ul>	4	Review of Member's Induction process – to include Member's powers and role as community leaders

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

How the principles of corporate governance should be reflected
<p>Making sure that Members and Officers have the skills, knowledge, experience and resources they need to perform well in their roles (40 &amp; 41)</p> <p>Developing the capability of people with governance responsibilities and evaluating their performance, as individuals and as a group (42 – 44)</p> <p>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 &amp; 46)</p>

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 (1-5)	Actions to strengthen performance
40) Provide induction programmes tailored to individual needs and opportunities for Members and Officers to update their knowledge on a regular basis	Legal and Democratic Services Manager	<ul style="list-style-type: none"> <li>• Training and Development Plan</li> <li>• E-Induction Programme for Officers</li> <li>• Induction Programme for Members</li> <li>• Performance Development Reviews for Officers</li> <li>• Member Champions for several work areas</li> <li>• E-learning resources</li> <li>• Training events for all Members</li> <li>• Access to regional training sessions and seminars</li> </ul>	4	Review of Member's Induction process – to include Member's powers and role as community leaders
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	Chief Executive	<ul style="list-style-type: none"> <li>• Job Description/Person Specifications</li> <li>• Article 11 in Constitution</li> <li>• Performance Development Reviews</li> <li>• S151 and Monitoring Officers have support from professional organisations</li> </ul>	5	

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 (1-5)	Actions to strengthen performance
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	<p>Director of Finance and Corporate Services</p> <p>Legal and Democratic Services Manager</p>	<ul style="list-style-type: none"> <li>• Member and Officer training and development programme</li> <li>• Member and Officer training budget</li> <li>• PDR Scheme</li> <li>• IIP accreditation</li> <li>• Competency Framework for all posts in the Council.</li> <li>• Specific training for Standards, Planning, Licensing and Audit Sub-Committee</li> <li>• Leadership and Management Development Programme for all managers</li> <li>• Planning for the Future sessions</li> <li>• Workforce Development Strategy reviewed on an annual basis</li> </ul>	5	
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	<p>Director of Finance and Corporate Services</p> <p>Legal and Democratic Services Manager</p>	<ul style="list-style-type: none"> <li>• Training and development frameworks</li> <li>• PDR Scheme</li> <li>• Competency Framework for all posts in the Council.</li> <li>• Leadership and Management Development Programme for all Managers</li> <li>• IIP accreditation</li> <li>• Partnership with Law Public to provide resources and independent advice on legal issues as required</li> <li>• Use of field experts for major projects such as plans to deliver new housing and major procurement exercises</li> </ul>	5	

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 (1-5)	Actions to strengthen performance
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	<p>Director of Finance and Corporate Services</p> <p>Legal and Democratic Services Manager</p>	<ul style="list-style-type: none"> <li>• Training and development courses</li> <li>• Call-in arrangements</li> <li>• Corporate Plan 2009-2014 - reviewed annually</li> <li>• Annual Report</li> <li>• Appointment of Training Champions</li> <li>• PDR Scheme and Training Plans for Officers</li> <li>• Workforce Development Strategy 2009-2014</li> <li>• Scrutiny Function</li> </ul>	5	
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	Director of Finance and Corporate Services	<ul style="list-style-type: none"> <li>• Corporate Equality and Fairness Scheme</li> <li>• Citizens Panel</li> <li>• Communities and Equalities Forum</li> <li>• Parish Liaison Meetings</li> <li>• Communication Strategy</li> <li>• Consultation Strategy</li> <li>• Area Forums</li> <li>• Flood Liaison Forums</li> <li>• Public participation at Planning meetings</li> <li>• Local Democracy Week</li> <li>• EIRA screening on key policy documents</li> <li>• 'Achieving' status under National Equality Framework</li> <li>• Area Forums/Safer Neighbourhood Meetings</li> </ul>	5	

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 (1-5)	Actions to strengthen performance
46) Ensure that career structures are in place for Members and Officers to encourage participation and development	Director of Finance and Corporate Services	<ul style="list-style-type: none"> <li>• Workforce development in Service Plan</li> <li>• Leadership and Management Development Programmes</li> <li>• Post-entry Training Scheme</li> <li>• Career Graded Posts</li> <li>• Modern Apprenticeships</li> <li>• IIP accreditation</li> <li>• Corporate Workforce Development Strategy</li> <li>• Recruitment and Selection Policy</li> <li>• Role Profiles for Members</li> <li>• Modern Apprenticeship Schemes and career graded posts for Officers</li> <li>• PDR Scheme</li> <li>• Competency Framework for all posts in the Council.</li> </ul>	5	

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

How the principles of corporate governance should be reflected
<p>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)</p> <p>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)</p> <p>Making best use of human resources by taking an active and planned approach to meet responsibility to staff (56)</p>

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 (1-5)	Actions to strengthen performance
47) Make clear to ourselves, all Officers and the community to whom they are accountable and for what	Director of Finance and Corporate Services	<ul style="list-style-type: none"> <li>• South Derbyshire's Sustainable Community Strategy</li> <li>• Corporate Plan 2009/14</li> <li>• Job Descriptions</li> <li>• Person Specifications</li> <li>• Annual Report</li> </ul>	5	
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>• South Derbyshire Crime and Disorder Partnership</li> <li>• Parish Liaison Meetings/Flood Liaison Meetings</li> <li>• Area Forums/Safer Neighbourhood Meetings</li> <li>• Derbyshire Sustainable Community Strategy</li> <li>• SDP Board</li> <li>• Derbyshire Economic Partnership</li> <li>•</li> </ul>	5	
49) Produce an annual report on the activity of the scrutiny function	Legal and Democratic Services Manager	<ul style="list-style-type: none"> <li>• Annual report to Council</li> </ul>	5	

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 (1-5)	Actions to strengthen performance
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	Director of Finance and Corporate Services	<ul style="list-style-type: none"> <li>• Communications Strategy, including campaign evaluation</li> <li>• Consultation Strategy</li> <li>• Citizens Panel</li> <li>• Updated Website</li> <li>• Communities and Equalities Forum</li> <li>• Corporate Communications Team</li> <li>• Monthly Media Report</li> <li>• Petitions</li> </ul>	5	
51) Hold meetings in public, unless there are good reasons for confidentiality	Director of Finance and Corporate Services	<ul style="list-style-type: none"> <li>• Open Committee Meetings</li> </ul>	5	
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	Director of Finance and Corporate Services	<ul style="list-style-type: none"> <li>• Complaints Scheme</li> <li>• Tenants' forum</li> <li>• Communities and Equalities Forum</li> <li>• Parish Liaison Meetings</li> <li>• Housing News</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 Forums/Safer Neighbourhoods</li> </ul> <p style="text-align: right;"><i>cont/....over</i></p>	5	

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 (1-5)	Actions to strengthen performance
52) cont/.....		<ul style="list-style-type: none"> <li>• Petitions Scheme</li> <li>• Hearing Loops</li> <li>• Housing Allocation Policy</li> <li>• "Get South Derbyshire Active" Project</li> <li>• Unauthorised Encampment of Traveller's Policy</li> <li>• Youth Engagement through Sport Project</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	Director of Finance and Corporate Services	<ul style="list-style-type: none"> <li>• Corporate Plan 2009-2014</li> <li>• Citizens Panels and Forums</li> <li>• Consultation Strategy</li> <li>• Communications Strategy</li> <li>• Corporate Communications Team</li> <li>• Communication Campaigns</li> <li>• Area Forums</li> <li>• Parish Liaison Meetings</li> <li>• Petitions</li> <li>• Annual Report</li> </ul>	5	
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	Director of Finance and Corporate Services	<ul style="list-style-type: none"> <li>• Annual financial statements</li> <li>• Corporate Plan 2009-2014</li> <li>• Annual Service Plans</li> <li>• Annual Report</li> <li>• Annual Audit Management Letter</li> <li>• Year End Performance Report</li> <li>• Council Tax Leaflet</li> </ul>	5	

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 (1-5)	Actions to strengthen performance
55) Ensure that the Council 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	Director of Finance and Corporate Services	<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>• Communications Strategy</li> <li>• Comments, Compliments and Complaints Scheme</li> <li>• Access Strategy</li> <li>• Petitions</li> <li>• Pay Policy Statement</li> <li>• Publication of over £200 spend on website</li> </ul>	5	
56) Develop and maintain a clear policy on how Officers and their representatives are consulted and involved in decision making	Director of Finance and Corporate Services	<ul style="list-style-type: none"> <li>• Constitution</li> <li>• Joint Consultative Committee</li> <li>• Joint Negotiating Group</li> <li>• "Better" Newsletter/Blogs</li> <li>• Team Meetings</li> <li>• Planning for the Future sessions</li> <li>• Trade Union's Facilities Agreement</li> <li>• Guidance on Organisational Change</li> <li>• Joint Health &amp; Safety Committee</li> <li>• Employee Forum</li> <li>• Partnership Liaison Group</li> </ul>	5	