

## 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 (1-10)	Comments / Plans for improvement to enable SDDC to move to a score of 8 or above
1) Develop and promote the Council's purpose and vision	Chief Executive	Council Vision Statement – used as a basis for: <ul style="list-style-type: none"> <li>• Corporate Plan 2009-2014</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> <li>• Corporate Communications Team</li> <li>• Annual Report</li> <li>• South Derbyshire's Sustainable Community Strategy 2009-2029</li> <li>• Evidence Base</li> <li>• Corporate Identity Guidelines</li> <li>• CMT Mission Statement</li> </ul>	9	Promotion of Corporate Vision, Values and Priorities (HOD)

<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>	Self assessment score on how far the Council's current processes and documentation meet the criteria (1-10)	<b>Comments / Plans for improvement to enable SDDC to move to a score of 8 or above</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>• Periodic review of Corporate Plan and Action Plan</li> <li>• Periodic review of Community Strategy</li> <li>• Six monthly self assessment of governance arrangements</li> <li>• Annual report on SDLSP</li> </ul>	9	
3) Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all partners	Director of Community Services	<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> <li>• Derbyshire Compact</li> <li>• South Derbyshire's Sustainable Community Strategy 2009-2029</li> <li>• A number of Parish Plans in place</li> </ul>	8	<p>Research options available to develop a good practice protocol for partnership working and its value to the Council (HOD / HLCD)</p> <p>Ongoing support and development of Community / Parish Plans (HLCD)</p>
4) Publish an annual report on a timely basis to communicate the Council's activities and achievements, its financial position and performance	Director of Corporate Services	<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>• Annual Report</li> <li>• <a href="http://www.south-derbys.gov.uk">www.south-derbys.gov.uk</a></li> </ul>	10	
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 Indicators / User Satisfaction Survey / Local Indicators / LAA targets</li> <li>• Service Standards published for Customers Services</li> <li>• Chartermark for 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>	8	<p>Develop Service Standards across all service areas and link into Performance Management System to support measurement of qualitative service standards (All HOS – Lead by HCS)</p>

		<ul style="list-style-type: none"><li>• Place Survey</li><li>• Service Plans</li><li>• <a href="http://www.south-derbys.gov.uk">www.south-derbys.gov.uk</a></li><li>• Quarterly performance reports to policy Committees</li><li>• Performance Management System (PRiDe)</li></ul>		
--	--	--	--	--

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 to enable SDDC to move to a score of 8 or above
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 containing Accommodation Strategy</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 2007/08 – External Audit</li> <li>• Prince 2 methodology</li> <li>• Risk Management Strategy with reports to Committee</li> <li>• Medium Term Financial Plan</li> <li>• Quarterly reports to Committee on performance management</li> </ul>	9	
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 Assessment</li> <li>• Managing Performance Assessment</li> <li>• Organisational Assessment</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 and Accreditation</li> <li>• Business Improvement Team</li> <li>• Service Plans</li> <li>• Annual Audit Management letter</li> <li>• CMT Efficiency Review</li> <li>• South Derbyshire's Sustainable</li> </ul>	9	<p>Continuing review of all Council Services (All HOS)</p> <p>Implementation of the Corporate Services Partnership (DCS)</p>

		<p>Community Strategy</p> <ul style="list-style-type: none"><li>• Retention of Level 3 Use of Resources</li><li>• Receipt of timely, accurate and impartial financial advice</li><li>• Maintenance of a prudential financial framework in line with CIPFA's code</li></ul>		
--	--	--	--	--

**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 (1-10)	Comments / Plans for improvement to enable SDDC to move to a score of 8 or above
8) Set out a clear statement of the respective roles and responsibilities of Council members and of senior officers	Head of Legal & Democratic Services  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> <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 Section 151 Officer is a member of CMT</li> </ul>	10	

<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>	Self assessment score on how far the Council's current processes and documentation meet the criteria (1-10)	<b>Comments / Plans for improvement to enable SDDC to move to a score of 8 or above</b>
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	
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 of both the Controlling and Opposition Groups with the Chief Executive</li> <li>• Leading Members meet fortnightly with Corporate Management Team ('Star Chamber')</li> </ul>	9	
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>• Deputy Section 151 Officer</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> <li>• Financial Procedure Rules and Regulations</li> <li>• Compliance with the statement on the</li> </ul>	10	Financial Regulations to be reviewed and Contract Procedure Rules to be reviewed as the Council moves towards E-procurement (HFPS)

		role of the Chief Finance Officer in Local Government		
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> <li>Monitoring Officer Protocol</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> <li>Members' Code of Conduct</li> </ul>	10	
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 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>Data Quality Strategy and Action Plan</li> <li>Performance Management system – reporting to Policy Committees and Corporate Management Team</li> <li>Scrutiny arrangements in place</li> <li>Local performance systems within each service area</li> <li>Managing Performance Assessment</li> <li>PRiDe Performance Management System</li> </ul>	9	Client Services Team / Governance arrangements for the Corporate Services Partnership ('CSP') (DCS)
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 Forums</li> <li>Parish Liaison Meetings</li> <li>Citizens Panel</li> <li>User Satisfaction Survey</li> <li>Local Priorities consultation</li> <li>Corporate Communications Team</li> <li>Development of comprehensive evidence base</li> <li>Corporate Consultation Strategy</li> <li>Corporate Communications Strategy</li> </ul>	9	Implementation of an Action Plan to undertake the outcomes of the Place Survey (HOD)



		<ul style="list-style-type: none"> <li>• <a href="http://www.south-derbys.gov.uk">www.south-derbys.gov.uk</a></li> <li>• Promotional material – You said we did leaflets</li> <li>• Action Plan in place for Place Survey</li> <li>• 5 year medium term corporate and financial planning process</li> </ul>		
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 Community 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> </ul>	8	Research options available to develop a Good Practice Protocol for partnership working and its value to the Council (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>	Head of Legal & Democratic 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. LAA, SDLSP, SSDP</li> </ul>	8	Research options available to develop a Good Practice Protocol for partnership working and its value to the Council (HLCD / HOD)

### 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 (1-10)	Comments / Plans for improvement to enable SDDC to move to a score of 8 or above
<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>• Members' and Officers' Code of Conduct</li> <li>• Regular staff meetings</li> <li>• Committee Meetings open to public</li> <li>• Joint Negotiating Group</li> <li>• "Better" Newsletter / CMT Blogs</li> <li>• CAA Organisational Report</li> <li>• Employee Survey</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  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> </ul>	10	Review Officer Code of Conduct when National Guidelines issued (HOD / HLDS)  Adopt revised Members Code of Conduct when legislation introduced (HLDS)

*cont/...over*

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 to enable SDDC to move to a score of 8 or above
<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 Committees with Independent Chair/Vice-Chair</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>• Performance Development Plan Scheme for Members</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	Head of Legal & Democratic Services	<ul style="list-style-type: none"> <li>• Members' and Employees' 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>• 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> </ul> <p style="text-align: right;"><i>cont/...over</i></p>	10	Six monthly review of Local Code of Corporate Governance Action Plan (HLDS)

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 to enable SDDC to move to a score of 8 or above
<b>Balance of Power and Authority</b>				
22) cont/....		<ul style="list-style-type: none"> <li>• Officer Gifts &amp; Hospitality Register monitored</li> <li>• S151 Officer review / revision of Financial Procedure Rules. Also monitoring and reporting number of significant breaches</li> <li>• Local Code of Corporate Governance</li> <li>• Annual Governance Statement</li> <li>• External Peer Assessment (SOLACE)</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>• Management Competency Framework</li> <li>• Corporate Plan</li> <li>• Codes of Conduct</li> <li>• Core values and ethical regime in place</li> <li>• Council's Values</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> <li>• Corporate Communications Team</li> <li>• <a href="http://www.south-derbys.gov.uk">www.south-derbys.gov.uk</a></li> </ul>	9	Promotion of Corporate Vision, Values and Priorities (HOD)
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 & Democratic Services – Monitoring Officer 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> <li>• Council's Values</li> <li>• Leadership and Management Development Programme</li> </ul>	9	

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 to enable SDDC to move to a score of 8 or above
<b>Balance of Power and Authority</b>				
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, 3 Parish Council</li> <li>• Regular meetings of Standards Committee and ad hoc meetings of the Initial Assessment, Review and Consideration Sub-Committees</li> <li>• Annual Report to Full Council</li> <li>• Standards and Behaviour website</li> <li>• Standards Hearings and outcomes</li> <li>• Quarterly and annual returns to Standards for England</li> <li>• Press Policy</li> </ul>	9	
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>• 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	Head of Organisational Development  Head of Leisure and Community Development	<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> <li>• South Derbyshire's Sustainable Community Strategy 2009-2029</li> <li>• Business case for the Corporate Services Partnership</li> </ul>	8	Research options available to develop a Good Practice Protocol for Partnership working and its value to the Council (HOD / HLCD)  Corporate Services Partnership (DCS)

**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)

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 to enable SDDC to move to a score of 8 or above
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> <li>• Peer Review of function</li> <li>• Effective internal audit function</li> </ul>	9	Overview and Scrutiny Committee to review arrangements annually and implement any recommendations (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> <li>• Revised format of minutes</li> <li>• Committee Management Information System (CMIS)</li> <li>• Attendance by Democratic Services at all meetings</li> </ul>	9	

<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>	Self assessment score on how far the Council's current processes and documentation meet the criteria (1-10)	<b>Comments / Plans for improvement to enable SDDC to move to a score of 8 or above</b>
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 Good Practice</li> <li>• Code of Conduct for Representatives on Outside Bodies</li> </ul>	10	
31) Develop and maintain an effective Audit Sub-Committee	Director of Corporate Services	<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> <li>• External Review of function</li> <li>• Section 151 Officer has direct access</li> </ul>	9	Peer Review of the Audit Sub-Committee (HFPS)
32) Ensure that effective, transparent and accessible arrangements are in place for dealing with complaints	Head of Customer Services  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> <li>• Quarterly reports to Committee highlighting performance</li> <li>• <a href="http://www.south-derbys.gov.uk">www.south-derbys.gov.uk</a></li> </ul>	9	Awareness raising to ensure more effective complaint resolution at first stage (HCS)  Review of comments, compliments and complaints scheme (HCS)
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	Head of Legal & Democratic Services – Monitoring Officer  All Heads of Services	<ul style="list-style-type: none"> <li>• Members' Induction Programme</li> <li>• Committee report template show implications and considerations</li> <li>• Chair/Vice-Chair training</li> <li>• Corporate Evidence base</li> <li>• Local Priorities consultation</li> <li>• Place Survey evidence base</li> </ul>	9	

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 to enable SDDC to move to a score of 8 or above
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  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> <li>• Advice provided on levels of reserves and balances</li> </ul>	9	
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>	8	Full implementation of the Risk Management Strategy via the Corporate Risk Management Group (HFPS)
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> <li>• Procurement Strategy</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	



<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>	Self assessment score on how far the Council's current processes and documentation meet the criteria (1-10)	<b>Comments / Plans for improvement to enable SDDC to move to a score of 8 or above</b>
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
<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 (1-10)	Comments / Plans for improvement to enable SDDC to move to a score of 8 or above
40) Provide induction programmes tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis	<p>Head of Organisational Development</p> <p>Head of Legal &amp; Democratic Services – Monitoring Officer</p>	<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>• 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> <li>• Performance Development Plans for Members</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	Chief Executive	<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	

<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>	Self assessment score on how far the Council's current processes and documentation meet the criteria (1-10)	<b>Comments / Plans for improvement to enable SDDC to move to a score of 8 or above</b>
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  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 Silver status</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> <li>• Leadership and Management Development Programme for Senior Officers</li> <li>• Performance Development Plan Scheme for Members</li> <li>• Officer Training Matrix</li> </ul>	9	<p>Members' training and development programme to be reviewed and Action Plan implemented (HLDS / HOD)</p> <p>Corporate Skills Audit for Officers to be undertaken (HOD)</p>
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  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, including equality &amp; fairness, corporate manslaughter, divisional briefing sessions facilitated by all Heads of Service, Chair and Vice-Chair training, Development Control Standards, Licensing &amp; Appeals training</li> <li>• PDR and Training Plans for Officers</li> <li>• Leadership and Management Development Programme for Senior Officers</li> <li>• Performance Development Plan Scheme for Members</li> <li>• IIP Silver status</li> </ul>	8	<p>Members' training and development programme to be reviewed and Action Plan implemented (HLDS / HOD)</p> <p>Personal Development Plans to be undertaken by Members (HLDS)</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 (1-10)	Comments / Plans for improvement to enable SDDC to move to a score of 8 or above
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  Head of Legal & Democratic Services – Monitoring Officer	<ul style="list-style-type: none"> <li>• Training and development courses</li> <li>• Call-in arrangements</li> <li>• Managing Performance Assessment – Level 3 (out of 4)</li> <li>• Organisational Assessment – Level 3 (out of 4)</li> <li>• Corporate Plan 2009-2014</li> <li>• Annual Report</li> <li>• Appointment of Training Champions</li> <li>• PDR and Training Plans for Officers</li> <li>• Workforce Development Strategy 2009-2014</li> <li>• Performance Development Plan Scheme for Members</li> </ul>	8	<p>Members Training and Development Programme to be reviewed and Action Plan implemented (HLDS / HOD)</p> <p>Personal Development Plans to be undertaken by Members (HLDS)</p>
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>• The South Derbyshire Partnership framework</li> <li>• Values and Attitudes Group</li> <li>• Parish Liaison Meetings</li> <li>• Communication Strategy</li> <li>• Consultation Strategy</li> <li>• Area Forums</li> <li>• Flood Liaison and Highway Forums</li> <li>• Public participation at Development Control meetings</li> <li>• Local Democracy Week</li> <li>• Investors in People accreditation (IIP)</li> <li>• Equality Impact Risk Assessment (EIRA) training</li> <li>• EIRA completed on key policy documents</li> <li>• EIRA screening assessment of policy documents</li> <li>• 'Achieving' status under National</li> </ul>	9	<p>Implementation of the Corporate Equalities and Fairness Action Plan (HOD)</p> <p>To complete EIRA assessments of all the Council's policy documents (HOD)</p>

		Equality Framework		
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> <li>• Modern Apprenticeships</li> <li>• IIP profile accreditation – Level 4 for leadership and development, management effectiveness and involvement and empowerment</li> <li>• Corporate Workforce Development Strategy</li> <li>• Recruitment and Selection Policy</li> <li>• Role Profiles for Members</li> </ul>	9	

## 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 to enable SDDC to move to a score of 8 or above
47) Make clear to ourselves, all officers and the community to whom they are accountable and for what	Director of 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>• Overview and Scrutiny Committee</li> <li>• Regular update of Governance checklist</li> <li>• Annual Report</li> <li>• CMT Mission Statement</li> </ul>	9	
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>• Local Priorities consultation</li> <li>• South Derbyshire Crime and Disorder Partnership</li> <li>• Parish Liaison Meetings / Highway Forum / Flood Liaison Meetings</li> <li>• Area Forums</li> <li>• Derbyshire Sustainable Community Strategy</li> <li>• Derbyshire Local Area Agreement</li> </ul>	9	National Review of Derbyshire Local Area Agreement (HOD)
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	

<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>	Self assessment score on how far the Council's current processes and documentation meet the criteria (1-10)	<b>Comments / Plans for improvement to enable SDDC to move to a score of 8 or above</b>
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	<ul style="list-style-type: none"> <li>• Communications Strategy, including campaign evaluation</li> <li>• Consultation Strategy</li> <li>• Citizens Panel</li> <li>• Website</li> <li>• Values and Attitudes Group</li> <li>• Corporate Communications Team</li> <li>• Place Survey</li> <li>• Social Media – Twitter / Facebook / Flickr</li> </ul>	9	Formation and implementation of an Action Plan to undertake the outcomes of the Place Survey
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>• Parish Liaison Meetings</li> <li>• 4 kiosks with internet access in remote locations</li> <li>• Housing newsheets</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</li> <li>• Petitions Scheme</li> </ul>	9	Create an E-Petition Scheme (HLDS/HITBI)

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 to enable SDDC to move to a score of 8 or above
52) cont/.....		<ul style="list-style-type: none"> <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> <li>• Corporate Monitoring Scheme</li> <li>• Medium Term Financial Plan</li> <li>• South Derbyshire's Sustainable Community Strategy 2009-2029</li> <li>• 'Achieving' status of National Equality Framework</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 2009-2014</li> <li>• Citizens Panels and Forums</li> <li>• Consultation Strategy</li> <li>• Communications Strategy</li> <li>• Corporate Communications Team</li> <li>• <a href="http://www.south-derbys.gov.uk">www.south-derbys.gov.uk</a></li> <li>• Area Forums</li> <li>• Place Survey</li> <li>• Parish Liaison Meetings</li> </ul>	9	
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 Organisational Development	<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>• Managing Performance Assessment</li> <li>• Annual Audit Management Letter</li> <li>• Year End Performance Report</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 to enable SDDC to move to a score of 8 or above
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 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> <li>• Access Strategy</li> <li>• Petitions Scheme</li> </ul>	9	Create an E-Petition Scheme (HLDS/HITBI)
56) Develop and maintain a clear policy on how officers and their representatives are consulted and involved in decision making	Head of Organisational Development	<ul style="list-style-type: none"> <li>• Constitution</li> <li>• Joint Consultative Committee</li> <li>• "Better" Newsletter / CMT Blogs</li> <li>• Team Meetings</li> <li>• Employee Meetings</li> <li>• Trade Union Facility Agreement</li> <li>• Guidance on Organisational Change</li> <li>• Joint Negotiating Group</li> <li>• Joint Health &amp; Safety Committee</li> </ul>	10	