South Derbyshire District Council

LOCAL CODE OF
CORPORATE GOVERNANCE

■ Introduction

During 2005, South Derbyshire District Council ("the Council") carried out a review of its Corporate Governance arrangements.

In order to achieve this, reference was made to both the Guidance and Framework documents published by the Chartered Institute of Public Finance and Accountancy ("CIPFA")/ the Society of Local Authority Chief Executives ("SOLACE") early in 2001 entitled "Corporate Governance in Local Government".

This document, South Derbyshire District Council's "Local Code of Corporate Governance", and its appendix sets out and describes those principles and identifies the arrangements that have been made and, indeed, will continue to be made to achieve the principles of good Corporate Governance in all aspects of the Council's work.

■ What is Corporate Governance ?

Corporate Governance has been defined as:-

> "The systems by which Local Authorities direct and control their functions and relate to their communities".

The Council recognises that effective local government relies upon establishing and maintaining the public's confidence in both its elected Members and its Officers, and that it underpins credibility and confidence in the services that we provide.

There are three overarching principles of Corporate Governance which are:-

• Openness
• Integrity
• Accountability

These principles underpin the Council's community leadership role and the Council seeks to reflect them in everything that it does.

The principles can be translated into five separate dimensions. These are set out below, together with an explanation of the Council's commitment in relation to each one.

The appendix to this Code lists all relevant published documents and explains the processes by which the Council's commitment can be demonstrated and the Council's achievement to date in relation to each one of them.

1. **Community Focus**

The Council will:-

- publish an Annual Report that is objective and gives an understandable account of the Council's activities and achievements and its financial position and performance;

- publish an Annual Performance Plan which is objective, balanced and understandable and which assesses the Council's current service delivery performance and its plans to maintain and improve service quality;

- have in place arrangements for the independent review of its financial and operational reporting processes;

- have in place arrangements which actively encourage individuals and groups from all sections of the community to engage with, contribute to, and participate in the work of the Council and to make sure that these arrangements are monitored to ensure that they are working;

- be open in all our dealings and balance that openness with a respect for privacy and confidentiality where appropriate;

- establish and maintain clear and accessible channels of communication with all sections of the community and other stakeholders and monitor this to make sure that they are operating effectively; and

- have a clear vision for our local community, developed through comprehensive consultation with every community within South Derbyshire and other stakeholders and make sure that this vision is widely known and understood.

2. **Service Delivery Arrangements**

The Council will:-

- set achievable and sustainable standards and targets for performance in the delivery of all the Council's services, with equal access for all;

- have in place reliable systems for providing management information so that performance can be measured against those targets and standards, and develop comprehensive and understandable performance plans;

- have in place arrangements to allocate resources according to community priorities;

- develop partnerships where it is efficient and effective to do so, to deliver services to meet the needs of local communities and to have systems in place to ensure they operate effectively; and

- respond positively to any improvements recommended by external assessors and to have Action Plans in place to make sure these improvements are made.

3. Structures and Processes

Balance of Power and Authority

The Council will:-

- have in place, and keep under review, a protocol that regulates the relationship between Members and Officers; and

- make sure that Members and Officers' roles and responsibilities are clearly defined;

Roles and Responsibilities – Members

The Council will:-

- make sure Members meet formally on a regular basis to set the strategic direction of the Council and monitor the delivery of its services;

- make sure that the Council's decision making processes, whether delegated or reserved, are kept under review and clearly documented;

- have in place written processes that are properly understood for policy development, implementation and review; decision making, monitoring, control and reporting; and for formal procedural and financial regulations to govern the conduct of the Council's business;

- make sure Members are properly trained and have access to all the relevant information, advice and resources that are necessary to enable them to carry out their roles effectively;

- define clearly and in writing the roles of Members, including their responsibility for strategic leadership and ensure the Council achieves its community aims and provides services in accordance with its targets; and

- define clearly in writing details of Members' Allowances and the way in which these are reviewed.

Roles and Responsibilities - Officers

The Council will:-

- ensure the Chief Executive, as the Head of Paid Service, is fully responsible and accountable to the Council for all aspects of its operational management;

- ensure the Director of Corporate Services, as the statutory Section 151 Officer, is fully responsible and accountable to the Council for giving appropriate advice on all financial matters, for keeping proper financial records and accounts, and for maintaining an effective system of internal financial control;

- ensure that the Head of Legal & Democratic Services, as Monitoring Officer, is fully responsible and accountable to the Council for making sure that agreed procedures are followed and that all relevant statutes, regulations and statements of good practice are complied with;

- ensure that the roles and responsibilities of all other senior Officers of the Council, together with their contract terms including remuneration and the way they are reviewed, are clearly set out in writing; and

- make sure the Council adopts and keeps up to date clear protocols and a Code of Conduct to ensure the community leadership role of the whole Council is based on a clear, ethical framework.

4. Risk Management and Internal Control

The Council will:-

- develop and maintain an effective Risk Management system to identify and evaluate all significant risks, which includes the active participation of all those involved in planning and delivering services;

- ensure systems of internal control, including an Internal Audit function, are in place and that they comply with any relevant statutes, regulations, best practice and guidance, the outcome of which will be to ensure that public funds are properly safeguarded and used economically, efficiently and effectively and in accordance with the law;

- make sure that services are delivered by trained and experienced people;

- have systems in place for objectively reviewing the effectiveness of Risk Management and Internal Control (including Internal Audit) systems;

- maintain an objective and professional relationship with our External Auditors and Statutory Inspectors; and

- publish within the Annual Report an objective, balanced and understandable statement and assessment of the Council's Risk Management and Internal Control mechanisms and their effectiveness.

5. Standards of Conduct

The Council will:-

- keep under review the Council's Code of Conduct for Members and Officers and develop a Code for agents acting on behalf of the Council and make sure systems are in place to ensure they are being complied with;

- make sure neither Members nor Officers are influenced by prejudice, bias or have conflicts of interest in dealing with different stakeholders and have systems in place to make sure these principles are being observed;

- have in place arrangements ensuring that all procedures and operations conform with any appropriate ethical standards and monitor compliance;

- have a Whistle-blowing Policy for staff and contractors and monitor its effectiveness.

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South Derbyshire District Council – Local Code of Corporate Governance

S E L F   A S S E S S M E N T

1.   Community Focus

REQUIREMENTS	HOW THIS HAS BEEN ACHIEVED	ACTION POINTS	DATE	LEAD OFFICER
Publish an Annual Report that is objective and gives an understandable account of the Council's activities and achievements and its financial position and performance	• Publishing a Corporate Plan which sets out the Councils plans and priorities for delivering local services over the next 3 years • Financial Strategy & Spending Plans which sets out the Councils spending plans over the next 3 years linked to Corporate Plan • Publishing an annual Statement of Accounts • Risk Management Strategy			
Publish an Annual Performance Plan which is objective, balanced and understandable and which assesses the Council's current service delivery performance and its plans to maintain and improve service quality	• By publishing a three year Corporate Plan (which is reviewed annually • By publishing a Best Value Performance Plan in June of each year (in accordance with statutory guidance) and a Best Value Summary information leaflet which is sent out to every household in South Derbyshire in the preceding March • By producing Service Plans (also reviewed annually) • Compliance audited by external auditors	Establish service standards in consultation with service users for all service areas (CPM)	March 2006	Head of IT & Customer Services
Have in place arrangements for the independent review of its financial and operational reporting processes	• External/Internal Audit Programmes considered and approved by Members. • The results of individual Audit Reports considered by Council. • The Annual Audit Letter and other Audit Reports submitted by the External Auditor are considered by Council • Independent arrangements for the scrutiny of the Council's budget consultation process undertaken by the Corporate Scrutiny Committee • Consultation with private and voluntary/community sector partners on the budget • All external reports considered by Members on a half yearly basis			

Community Focus (cont/....)

Have in place arrangements which actively encourage individuals and groups from all sections of the community to engage with, contribute to, and participate in the work of the Council and to make sure that these arrangements are monitored to ensure that they are working	• By complying with external arrangement procedures set out in the Council's Constitution		
	• Supporting the SDLSP to develop and deliver the Community Strategy		
	• Improved communication and consultation is a priority within the Community Strategy		
	• Area Meetings (established 1997)		
	• Consultation Strategy (adopted March 2000)	Quarterly Newsletter to be produced and distributed	From October 2005	Head of Legal & Democratic Services
	• Consultants currently engaged on work in connection with the Statement of Community Involvement (SCI) and Local Development Framework (LDF) and linkages to producing a Communications Strategy	Develop a good practice protocol for partnership working (CPM)	March 2006	Head of Policy & Economic Regeneration
	• Tenants' Forums – TACT(established 2000) – incorporating views on relevant Housing and Community Services Committee Report	Review the operation and performance of SDLSP (include. funding arrangements) (CPM)	March 2006	Head of Policy & Economic Regeneration
	• Tenants Xtra and SHINE newsletters (2003)	Complete the review of the existing consultation strategy (include. mechanisms for communicating with local people and other stakeholders (CPM)	March 2006	Head of Policy & Economic Regeneration
	• Values & Attitudes Advisory Forum (March 2004)		
	• Citizens Panel (since 2001) consultation undertaken quarterly	Implement an annual programme of communication and consultation (CPM)	From April 2006	Head of Policy & Economic Regeneration
	• Parish Liaison Meetings – quarterly		
	• Derbyshire Community Engagement Group		
	• Various Forum e.g. Crime & Disorder, S Derbyshire Sports, Rosliston Laision Group, "Friends of" Groups		
	• Use of e-forms and e-democracy to support community consultation and engagement		
	• Supporting the National Forest		
	• Youth Needs Survey		
	• Traveller Needs Survey		
	• BME Survey		
Be open in all our dealings and balance that openness with a respect for privacy and confidentiality where appropriate	• By making this explicit in the Council's Corporate Values and in the Council's Constitution		
	• By developing a Publication Scheme under the Freedom of Information Act		
	• Whistle-blowing Policy (1999)		
	• By having provision for the public to ask questions and present petitions at Council and Policy Committee Meetings	Investigate public participation at Development Control Meetings	March 2006	Head of Planning

Community Focus (cont/.....)

Establish and maintain clear and accessible channels of communication with all sections of the community and other stakeholders and monitor this to make sure that they are operating effectively	• By working with and supporting the SDLSP • By having a well publicised and monitored Customer Complaints Procedure • By providing Laptops for Members • By publishing 'Helping You' leaflets • Tenants' Forums – TACT • Parish Liaison Meetings • Citizens Panel • By its commitment to Citizen/Stakeholder consultation, participation and involvement • Updated website which is compliant with W3 & Bobby Standards	Review of Customer Complaints Procedure	March 2006	Head of IT & Customer Services
		Proposal for video conferencing of Council meetings and improved communication channels with residents	March 2006	Head of IT & Customer Services
		Implementation of (2) Information Kiosks at the LIFT Scheme and Reception area	March 2006	Head of IT & Customer Services
		Delivery of key stages in the project plan for 'Customer First' (CPM)	March 2006	Head of IT & Customer Services
		Develop and adopt a Communications Strategy (linked to the review of the Consultation Strategy)	March 2006	Head of Policy & Economic Regeneration
Have a clear vision for our local community, developed through comprehensive consultation with every community within South Derbyshire and other stakeholders and make sure that this vision is widely known and understood	• By working with the SDLSP • By adopting appropriate Corporate and service related Strategies • By setting and publicising the Council's aims and objectives through the Corporate Plan • By consultation through Citizens Panel • By having robust service planning and monitoring processes • BVPP • Half yearly /Annual Service Plan monitoring to Committee. Compendium of Service Plans published • By working with the South Derbyshire Crime & Disorder Partnership • Publicising via web site, sent to key partners • By identifying and training authors and editors in all service areas to maintain Council website • Customer First to provide information to citizens and links to partners • Working with the Derbyshire Partnership Forum to develop and deliver a range of e-government projects and the Derbyshire Local Area Agreement	To make better use of the Citizens Panel by the District Council (linked to the review of the Consultation Strategy)	From April 2006	Head of Policy & Economic Regeneration
		Finalise and deliver the Year 1 Action Plan of SD Community Strategy (CPM)	March 2006	Head of Policy & Economic Regeneration
		Web-site Editorial Officer to be appointed to ensure corporate guidelines on site and content are maintained	March 2006	Head of IT & Customer Services
		Clarify delivery and reporting arrangements for the Derbyshire Local Area Agreements and link to Council plans and policies (CPM)	March 2006	Head of Policy & Economic Regeneration

2. Service Delivery Arrangements

REQUIREMENTS	HOW THIS HAS BEEN ACHIEVED	ACTION POINTS	DATE	LEAD OFFICER
Set achievable and sustainable standards and targets for performance in the delivery of all the Council's services, with equal access for all	• By including a commitment to equality in the Council's Corporate Values	Adoption and publication of a Corporate Equalities Plan (CPM)	March 2006	Head of Policy & Economic Regeneration
	• Equalities and Diversity Policy Statement (2003)	Develop a Social Inclusion Strategy (CPM)	March 2006	Head of Policy & Economic Regeneration
	• Race Equality Scheme Action Plan (adopted Dec 03)			
	• Values & Attitudes Advisory Forum comprising of external stakeholders established (Mar 2004)	Adoption of Partnership Strategies e.g.. Community Plan, Crime & Disorder Plan	March 2006	ALL
	• Level 1 of the Local Govt Equalities Standard (LGES) achieved (Apr 2004)			
	• By appointing a Member Champion for Equalities & Diversity and Social Inclusion	Publish an annual report on the delivery of the Race Equality Scheme (CPM)	March 2006	Head of Policy & Economic Regeneration
	• Committee approval to produce Corporate Equalities Plan (March 2004)			
	• Updating website which is compliant with W3 and Bobby standards	Achieve Level 2 of LGES	March 2006	Head of Policy & Economic Regeneration
	• By having a 3 year financial plan – stable finances achieved	Deliver key stages in the project plan for Customer First (CPM)	March 2006	Head of IT & Customer Services
	• By publicising targets for services and performance against these in the annual Best Value Performance Plan			
	• By having robust service planning and monitoring e.g. BVPP, Corporate Plan, Service Plans, development of Local Performance Indicators	Assess services against DEFRA rural standards and the Countryside Agency's rural proofing checklist and develop an action plan to tackle inequalities (CPM)	March 2006	Head of Policy & Economic Regeneration
	• Conducting Best Value Reviews			
	• Customer Charters for Development Control and Housing			
	• Web based A to Z of Services	Achieve the targets set in the IEG 4 Statement for electronic service delivery (CPM)	March 2006	Head of IT & Customer Services
Have in place reliable systems for providing management information so that performance can be measured against those targets and standards, and develop comprehensive and understandable performance plans	• Through service planning, performance management and information systems and processes	Set up a consistent monitoring and review framework in relation to performance management	March 2006	Head of Policy & Economic Regeneration
	• Best Value Performance Plans			
	• Scrutiny Committee reports			
	• Use of new IT systems to improve the efficiency and effectiveness of service delivery (such as Flare, Orchard and FMS)			

Service Delivery Arrangements (cont/....)

Have in place arrangements to allocate resources according to community priorities	• By having a 3 year financial plan e.g. Financial Strategy & Spending Plans 2004/07 • By having service bid processes for capital and revenue • Community Grant Scheme operated through the Housing & Community Services Committee • Use of the Citizens Panel	Establish a framework agreement with Parish Councils to better support the delivery of community priorities (CPM)	March 2006	Head of Finance / Head of Policy & Economic Regeneration
		Corporate Scrutiny Committee Strategic Planning project	September 2005	Head of Policy & Economic Regeneration
		Develop a strategy for funding community and voluntary sector groups in consultation with stakeholders (CPM)	March 2006	Head of Leisure & Community Development
		Establish a rolling programme of Parish Plans with local communities and partner organisations (CPM)	March 2006	Head of Leisure & Community Development
		Produce a project plan for the Gershon Efficiency Review/Shifting resources Project and deliver key stages (CPM)	March 2006	Head of Business Development
Develop partnerships where it is efficient and effective to do so, to deliver services to meet the needs of local communities and to have systems in place to ensure they operate effectively	• By working with the SDLSP • By having robust service planning and monitoring which is reviewed annually e.g. publication of Compendium of Service Plans • Best Value Toolkit – 4 C's Competition, Consultation, Comparison and Challenge as part of the Best Value Review of Services (published 2000) • Various Partnerships e.g. Derbyshire IEG Partnership, EMRLGA Partnership etc. • Community Strategy published (Apr 05) • Various contractual partnerships in Housing, Revenues Division • Service Level Agreements with community/voluntary sector groups, incl. Groundwork • Procurement Strategy in place (2003) • Derbyshire Voluntary Sector Compact in place	Refresh the current Procurement Strategy and deliver Year 1 actions (CPM)	March 2006	Head of Policy & Economic Regeneration
		Conclude South Derbyshire Compact with Voluntary Sector Partners (CPM)	March 2006	Head of Leisure and Community Development
Respond positively to any improvements recommended by external assessors and to have Action Plans in place to make sure these improvements are made	• By considering the Annual Audit and Inspection Letter and any other reports from the Audit Commission at reports at Full Council • Follow up reports on Best Value Reviews go to the Scrutiny Committee for monitoring • Work programmes established for the Scrutiny committees • Peer Review reports • Improvement Working Panel established • Development and delivery of an Improvement Plan (post CPA)	Policy Committee Work Programmes to be implemented (CPM)	October 2005	Head of Legal & Democratic Services

3. Structures and Processes

Balance of Power and Authority

REQUIREMENTS	HOW THIS HAS BEEN ACHIEVED	ACTION POINTS	DATE	LEAD OFFICER
Have in place, and keep under review, a protocol that regulates the relationship between Members and employees	• By producing a Protocol on Member/Employee Relations as set out in the Council's Constitution			
Make sure that Members and employees' roles and responsibilities are clearly defined	• As above, plus having the roles, responsibilities and functions identified in the Council's Constitution • Committee Scheme of Delegation reviewed • Joint meetings with CMT / Elected Members • Record of Decisions and Background Papers • Job Descriptions – Senior Officers • Planning Good Practice Protocol • Protocol on use of IT by Members • By fully inducting new Members • By all Members and Co-opted Members signing the Code of Conduct and Register of Interests • By adopting an Officer Code of Conduct	Officer Scheme of Delegation to be reviewed Licensing Protocol and Procedure to be adopted and implemented	March 2006 August 2005	ALL Head of Legal & Democratic Services

Roles and Responsibilities – Members

REQUIREMENTS	HOW THIS HAS BEEN ACHIEVED	ACTION POINTS	DATE	LEAD OFFICER
Make sure Members meet formally on a regular basis to set the strategic direction of the Council and monitor the delivery of its services	• By adopting a 3 year Corporate Plan • By having a planned and published annual cycle of Council & Policy Committees and quasi-judicial meetings • By having a robust service planning and monitoring process • Members involved in the setting and review of Performance Management Systems e.g. BVPP, Corporate Plan, Service Plans • Scrutiny arrangements in place			
Make sure that the Council's decision making processes, whether delegated or reserved, are kept under review and clearly documented	• By including this in the Council's Constitution • By Policy Working Groups reviewing their decision making process and recommending to Council changes in the Constitution	Review the way in which Full Council operates (CPM)	March 2006	Head of Legal & Democratic Services

Structures and Processes (cont....)

Roles and Responsibilities – Members (cont...)

Have in place written processes that are properly understood for policy development, implementation and review; decision making, monitoring, control and reporting; and for formal procedural and financial regulations to govern the conduct of the Council's business	• By including this in the Council's Constitution • By having a robust service planning and monitoring process			
Make sure Members are properly trained and have access to all the relevant information, advice and resources that are necessary to enable them to carry out their roles effectively	• By having an annual Training and Development Programme for all Members • Running an Induction Programme for new Members • All Members of the Development Control and Licensing & Appeals Committees are provided with annual training • Briefings provided to Chair, Vice-Chair and Opposition Members prior to Policy Meetings • Briefings provided to all members prior to meetings of Scrutiny Committees • By having clear protocols about Members' access to information • The Council's Constitution details public rights of access to information • Regular meetings between CMT and senior Members • By providing IT training and IT resources for Members • All Members have laptop computers with access to Council e-mail system and the Intranet/Internet	Members to conduct Development Review Meetings with Members to establish training needs Members to adopt a Member Development Charter (CPM) Provide Members with suitable accommodation	March 2006 March 2006 March 2006	Head of Human Resources Head of Human Resources Head of Finance & Property Services
Define clearly and in writing the roles of Members, including their responsibility for strategic leadership and ensure the Council achieves its community aims and provides services in accordance with its targets	• By including this in the Council's Constitution • Publishing a BVPP and a Corporate Plan which sets out our aims for community leadership • By working with SDLSP on the implementation and monitoring of the Community Strategy • By monitoring the Performance Management Framework – BVPIs, delivery of the Corporate Plan and CPA Improvement Plan • Through the work of the Improvement Working Panel	Establish arrangements for existing Members on outside bodies to provide feedback to the Council on meetings and matters arising (CPM)	March 2006	Head of Legal & Democratic Services
Define clearly in writing details of Members' Allowances and the way in which these are reviewed	• By appointing an Independent Remuneration Panel – Part 6 of the Constitution • By having a publicised Members' Allowances Scheme	Review of Members' Allowances Scheme	March 2006	Head of Finance & Property Services

Structures and Processes (cont....)

Roles and Responsibilities – Officers

REQUIREMENTS	HOW THIS HAS BEEN ACHIEVED	ACTION POINTS	DATE	LEAD OFFICER
Ensure the Chief Executive, as the Head of Paid Service, is fully responsible and accountable to the Council for all aspects of its operational management	• By designating the Chief Executive as the Head of Paid Service and ensuring that his duties, roles and responsibilities are set out in a Job Description and in the Council's Constitution • By having a performance management system in place			
Ensure the Director of Corporate Services, as the statutory Section 151 Officer, is fully responsible and accountable to the Council for giving appropriate advice on all financial matters, for keeping proper financial records and accounts, and for maintaining an effective system of internal financial control	• By designating the Director of Corporate Services as the statutory Section 151 Officer and ensuring that his/her duties, roles and responsibilities are set out in a Job Description and in the Council's Constitution • By having a performance management system in place			
Ensure that the Head of Legal & Democratic Services, as Monitoring Officer, is fully responsible and accountable to the Council for making sure that agreed procedures are followed and that all relevant statutes, regulations and statements of good practice are complied with	• By designating the Head of Legal and Democratic Services as the statutory Monitoring Officer and ensuring that his/her duties, roles and responsibilities are set out in a Job Description and in the Council's Constitution • By having a performance management system in place			
Ensure that the roles and responsibilities of all other senior employees of the Council, together with their contract terms including remuneration and the way they are reviewed, are clearly set out in writing	• By including this in the Council's Constitution – Article 11, Officers • Job Descriptions/Person Specifications • Contracts of Employment • Employee Handbook • Annual Employee Performance Development Review Interviews and half-yearly updates • By adhering to national terms and conditions of employment			
Make sure the Council adopts and keeps up to date clear protocols and a Code of Conduct to ensure the community leadership role of the whole Council is based on a clear, ethical framework	• By producing a Protocol governing Member/Employee Relations in the Council's Constitution • By adopting an Officer Code of Conduct	Review Officer Code of Conduct in light of anticipated national guidance	March 2006	Head of Human Resources

4. Risk Management and Internal Control

REQUIREMENTS	HOW THIS HAS BEEN ACHIEVED	ACTION POINTS	DATE	LEAD OFFICER
Develop and maintain an effective Risk Management system to identify and evaluate all significant risks, which includes the active participation of all those involved in planning and delivering services	• By having a Risk Management Policy, including risk analysis and action plan • Officer Risk Management Group chaired by the Director of Community Services • Corporate Risk Register • Risk Analysis in Corporate Plan and Service Plans • Computer Disaster Policy • Emergency Planning System in place	Implement and update the Risk Management Strategy (CPM) Develop and adopt a Computer Disaster Policy Develop and adopt a Business Continuity Plan	March 2006 March 2006 March 2006	Head of Finance & Property Services Head of IT & Customer Services Director of Community Services
Ensure systems of internal control, including an Internal Audit function, are in place and that they comply with any relevant statutes, regulations, best practice and guidance, the outcome of which will be to ensure that public funds are properly safeguarded and used economically, efficiently and effectively and in accordance with the law	• By having appropriate arrangements in place for delivery of an adequate and effective Internal Audit function and ensuring adequate reporting arrangements to safeguard its independence • By having an up to date risk based Internal Audit Plan • By undertaking systematic Risk Assessments in all areas of the Council's activities • Audit Commission annually considers the Council's approach to legality, its response to major legislation and any matter of legality relevant to the Audit of financial transactions • By having Financial Regulations/Procedures as part of the Council's Constitution. Also the Council Procedure Rules relate to Contracts in the Council's Constitution to help safeguard public funds • Treasury Management Policy • Insurance cover • Risk Register and Risk Management Policy • By producing a Statement of Internal Control (June 2005) • By having a performance management system in place	By ensuring that Service Recovery Plans have been developed and tested	March 2006	Director of Community Services

Risk Management and Internal Control (cont....)

Make sure that services are delivered by trained and experienced people	• By maintaining the Council's Investors in People accreditation • By having an effective Recruitment Policy (reviewed annually) • By providing Council Managers and staff with ongoing advice and support and training in Risk Management issues and in Health & Safety legislation • By ensuring that the Council's Risk Management objectives are communicated and embraced throughout the organisation via service plans • By offering guidance on internal control and financial management • By implementing an Induction Programme for starters • By ensuring, through staff appraisals, that all staff have a training and development plan which relates to the business and service needs of the area of the Council within which they work, and that this is implemented • Work force planning issues contained within Service Plans • Undertaking an Employee Survey 2004	IIP to be reviewed Develop a People Strategy in consultation with stakeholders (CPM) Implement actions arising from the 2004 Employee Survey (CPM) Establish a Leadership and Management Development Programme (CPM)	March 2006 March 2006 March 2006 March 2006	Head of Human Resources Head of Human Resources Head of Human Resources Head of Human Resources
Have systems in place for objectively reviewing the effectiveness of Risk Management and Internal Control (including Internal Audit) systems	• By an annual assessment by Audit Commission of the adequacy of the Council's control environment (Audit Commission also review the adequacy of the Internal Audit service as part of their annual assessment of the control environment) • By having appropriate arrangements in place for the delivery of an adequate and effective internal audit function and ensuring adequate reporting arrangements to safeguard its independence • Progress reports to F & M are made by Internal Audit, including assessments on the adequacy of internal control at the Council • Officer Risk Management Group attended by External Insurer - Zurich			
Maintain an objective and professional relationship with our External Auditors and Statutory Inspectors	• By Officers meeting with the Audit Commission Relationship Manager and other Audit Commission representatives for Audit and Inspection Planning purposes and ongoing liaison • Audit Protocol in place allowing for joint working between Internal and External Audit (Audit Commission)			
Publish within the Annual Report an objective, balanced and understandable statement and Assessment of the Council's Risk Management and Internal Control mechanisms and their effectiveness	• By including a risk assessment within the Council's Corporate Plan • Statement of Internal Control to be published in the Annual Statement of Accounts			

5. Standards of Conduct

REQUIREMENTS	HOW THIS HAS BEEN ACHIEVED	ACTION POINTS	DATE	LEAD OFFICER
Keep under review the Council's Code of Conduct for Members and employees and develop a Code for agents acting on behalf of the Council and make sure systems are in place to ensure they are being complied with	• By adopting Codes of Conduct and a Protocol for Members and Employees in the Council's Constitution – Part 5 – and ensuring that their provisions are understood • By establishing a Standards Committee with independent Members, including independent Chair and Vice-Chair, to advise the Council and Members on ethics and standards issues and reporting to that Committee annually on compliance with the Code • A code for agents acting on behalf of the Council is included in all Building Contracts • By having well publicised policies for whistle blowing and complaints procedure • By adopting local codes, including Members Planning Code of Good Practice and Protocol for the use of IT by Members and ensuring that their provisions are understood • By having Member Registers of Interests and Officer Gifts and Hospitality Registers • By having an Anti-fraud and Corruption Policy and a Performance Management System and ensuring that these topics are covered when inducting Members and Officers			
Make sure neither Members nor employees are influenced by prejudice, bias or have conflicts of interest in dealing with different stakeholders and have systems in place to make sure these principles are being observed	• Equal Opportunities and Diversity Policy Statement adopted • Race Equality Scheme Action Plan adopted • Through the Codes of Conduct, Protocols, Council Procedure Rules relating to contracts and external partnership arrangements, financial procedure and regulations and the Articles on decision making in the Council's Constitution • Through the Members Planning Code of Good Practice for Members and Employees, dealing with planning matters • High profile Standards Committee	Adoption and publication of a Corporate Equalities Plan (CPM)	March 2006	Head of Policy & Economic Regeneration
Have in place arrangements ensuring that all procedures and operations conform with any appropriate ethical standards and monitor compliance	• Having a Monitoring Officer appointed • Monitoring of compliance with codes undertaken by the Standards Committee • By having Codes of Conduct subject to Government guidelines being published • Publish Annual reports for the Standards Committee and Overview and Scrutiny	Adopt, publish and review annually a local Code of Corporate Governance Appoint the Chief Executive Officer to monitor the Council's performance under the Code of Corporate Governance Appoint the Leader as a Member Champion for Corporate Governance	September 2006 September 2006 September 2006	Head of Legal & Democratic Services Head of Legal & Democratic Services Head of Legal & Democratic Services

Standards of Conduct (cont....)

Have a Whistle-blowing Policy for staff and contractors and monitor its effectiveness	• By publishing and making readily available the Whistle-blowing document • Anti-Fraud and Corruption Policy	

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