Derbyshire County Council

Local Code of Corporate Governance

Version	Author	Date	Comments
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Derbyshire County Council   Local Code of Corporate Governance

The publication issued by the Chartered Institute of Public Finance and Accountancy (CIPFA) and the Society of Local Authority Chief Executives (SOLACE), entitled "Delivering Good Governance in Local Government (2016)" Framework defines the seven core principles, each supported by sub-principles which should underpin the governance framework of Derbyshire County Council. Acting in the public interest requires a commitment to and effective arrangements for:-

A) Behaving with integrity, demonstrating strong commitment to ethical values and respecting the rules of law.
B) Ensuring openness and comprehensive stakeholder engagement.
C) Defining outcomes in terms of sustainable economic, social and environmental benefits.
D) Determining the interventions necessary to optimise the achievement of the intended outcomes.
E) Developing the Council's capacity, including the capability of its leadership and the individuals within it.
F) Managing risks and performance through robust internal control and strong public financial management.
G) Implementing good practices in transparency, reporting, and audit, to deliver effective accountability.

Policy, Procedures & Actions	Compliance with Principle							Demonstrated by
	A	B	C	D	E	F	G	
Codes of Conduct	✓	✓	✓			✓	✓	Codes of Conduct are in place for Members and staff.
Declarations of Interest	✓	✓	✓			✓	✓	Members are required to declare interests in accordance with the Constitution in both a central register and as part of the order of business at each meeting. Evidence that the conduct at meetings complies with the requirements of the Constitution and decisions are made lawfully. Add the requirement for officers to declare related parties*parties'* interests?
Gifts and Hospitality	✓	✓	✓			✓	✓	There is a requirement for Members and staff to declare offers of gifts and hospitality.
Inductions	✓					✓		Induction policies, procedures and programmes are in place to support newly elected Members and staff. The Induction process is intended to create a positive view of the Council and communicates the corporate culture, values and goals.
Performance appraisals and supervision	✓				✓	✓		The Council's MyPlan process and requirements for certain staff to have regular supervisions.
Audit Memoranda and Reports	✓					✓		Audit outcomes show that overall staff do behave with integrity. Investigation and audits take place in response to any concerns about potential non-compliance.
Whistleblowing Policy	✓					✓	✓	The Whistleblowing Policy has been revised and when concerns are raised they are investigated.
Constitution	✓	✓	✓		✓	✓		The Council's Constitution sets out how the Council operates, how decisions are made and the procedures which are followed to ensure that these are efficient, transparent and accountable to local people. The Constitution is comprehensive having recently been thoroughly revised. A further review is currently underway.
Council Plan	✓	✓	✓	✓		✓	✓	The Council Plan outlines the Council's purpose, vision and values - protecting frontline services for vulnerable people, championing Derbyshire, attracting investment, supporting businesses and creating more jobs. Public engagement in developing the Council Plan. Council plan and service plans detail outcomes to be achieved
Publications and Communication Channels including Website, Press, Newsletters & Emails.	✓							Publications and Communication Channels are in place.
Anti-fraud and corruption policies	✓					✓		The Council has undertaken a recent review of the effectiveness of its Anti-Fraud and corruption arrangements. Policies include the Anti-Fraud and Anti-Corruption Strategy, Fraud Response Plan, Financial Regulations.
Complaints policy	✓							The Council has complaints procedures detailing how complaints about the Council should be handled.
Published Decision Making Process	✓	✓	✓	✓		✓		Decisions are published on the Council's Derbyshire Democracy Website.
Key Decision Register	✓	✓		✓		✓		A list of forthcoming key decisions is published on the Council's website. The process is being reviewed and it is intended to produce officer guidance and embed the production of the key decision 'forward plan' in the mod.gov system as it is rolled out.

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Minutes of Meetings	✓	✓	✓	✓	✓	✓		Draft Cabinet reports are subject to legal compliance process and mainly have comprehensive and robust legal considerations. Lack of successful Judicial Review challenge despite significant spending cuts is notable for large County Council.
Recruitment and Selection Procedures	✓							The Council has established Recruitment and Selection Procedures and provides training to managers. There is an accreditation process to ensure that managers remain up to date with current procedures.
Job Descriptions				✓				Job and Person Profiles are produced and reviewed for all vacancies/positions in accordance with approved guidance. These documents are fundamental to the recruitment process.
Procurement Connection	✓							Procurement toolkit available and used to ensure contractors meet required standards and values. Contract terms and conditions. Robust contract management. Monitoring of social value.
Financial Regulations and Standing Orders relating to contracts	✓			✓	✓	✓		Financial Regulations and Standing Orders relating to Contracts define the responsibilities of Members and Officers. These are reviewed regularly and training is provided.
Schemes of Delegation	✓			✓	✓			Requirements for Schemes of Delegation are set out in the Council's Financial Regulations and Standing Orders relating to Contracts. Financial Schemes of Delegation must be approved by the Director of Finance & ICT.
Staff Surveys	✓			✓				Supervision and performance management systems in place. Processes in place to engage with staff and to seek feedback.
Residents and Service User Feedback Surveys	✓		✓	✓				Processes in place to engage with users of services and to seek feedback.
Internal Quality Assurance Programmes	✓				✓			Regular quality assurance and audit activity takes place e.g. within Children's Services, which tests compliance with statutory and regulatory requirements.
Information Security Management Systems	✓				✓	✓		Proactive approach to potential breaches. Data breaches investigated promptly and the potential impact mitigated. Learning informs future service development and training.
Annual Report		✓					✓	The development of integrated performance and finance data during 2020-21 will be supplemented with an annual report. Work is underway to develop a suitable format.
Freedom of Information Act Publication Scheme		✓					✓	The Council has published its principles of its Freedom of Information Act Publication Scheme on its website to ensure it complies with the requirements of the legislation. More detailed instructions for staff are detailed on the secure area of the OurDerbyshire Website.
Publication of Performance Data		✓	✓	✓	✓	✓	✓	Regular and robust budget management and reporting processes in place. Regular and robust performance management across most service areas – e.g. Performance Clinics / Achievement reports. Value for Money Board. Benchmarking.
Service Plans		✓	✓	✓			✓	Departmental service plans include objectives and outcomes.
Consultation Processes		✓	✓	✓				Involvement of public and service users in providing feedback and assisting with the design of services. The Council has been very active in consulting stakeholders, service users and the public over proposed changes to services including being transparent as to the rational for the proposed policy changes. Range of consultation and engagement techniques used in line with Consultation and Engagement Strategy. Feedback on outcomes of public consultation.\n\nSignificant programme of consultations annually. Council can demonstrate that changes to policy have been made following consultation and in the light of public responses.
Equality Impact Assessments (EIA)		✓	✓					Overarching approach to EIAs in place with clear framework, guidance and templates for managers and departments. Support provided by Policy and Research and Legal Services where required.
Business Cases	✓	✓	✓	✓				Business Cases are required under Financial Regulations and Standing Orders relating to Contracts. A number of templates are available. Business cases are being developed for wider use as part of the Strategic Transformation Project.
Communications Strategy		✓						The recently approved Communications & Customers Strategic roadmap covers stakeholder engagement and the intentions to enhance this area of work in the coming months.
Forums		✓						The Council engages with communities, service users and professionals through a number of surveys, groups, boards, networks and forums. These can be countywide or in particular geographic locations and cover specific service requirements, divisional and departmental activities as well as national and global issues.

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Partnership Arrangements	✓	✓		✓		✓		Derbyshire Partnership Toolkit should be used to identify the aims, objectives, governance arrangements, resources, responsibilities and procedures for partnership working. Formal Partnership arrangements & Derbyshire Children's Partnership and Locality Children's Partnerships, health and wellbeing board, Derby & Derbyshire Safeguarding Children Partnership (DDSCP), Derbyshire Chief Execs. Large number of partnership arrangements in place for different services. Collaborative working arrangements. Use of framework agreements to enhance efficiency in procurement of goods and services. Reviews of local partnership arrangements taking place to maximise efficiency, impact and engagement of partners Partnership agreements/memorandums of understanding in place. There is evidence of openness and challenge within partnership working, although ongoing development and support is needed to build the confidence of staff at all levels to challenge partners where necessary and be able to evidence the impact of this.
Management Meetings	✓				✓			Management seminars and management meetings used to share plans and priorities and update induction and training programmes. Meetings attended by senior management from the individual departments on a weekly basis. Corporate Management Team meetings are also held weekly, Chaired by the Managing Director and attended by the Executive Director from each Department to bring the Council together as a whole. Meetings between Cabinet members and CMT take place on a monthly basis.
External Inspections	✓				✓			Inspection outcomes demonstrate a strong commitment to ethical values and compliance. Regular contact and liaison with regulatory bodies. Council responded to recent (2019) CQC prosecution effectively and transparently.
Committee Meetings	✓					✓		Effective Audit and Standards Committees. Add Improvement and Scrutiny Committee and the recent review, facilitated by Centre for Governance and Scrutiny strengthening the whole council approach to Scrutiny, members and officer and the implementation of the action plan. Suggest that principle B - Ensuring openness and comprehensive stakeholder engagement – should also be ticked for this one.
Corporate Management Team Meetings	✓							Statutory Officers attend Corporate Management Team and are party to the development of policy from an early stage.
Compliance with CIPFA's *Statement on the Role of the Chief Financial Officer in Local Government* (CIPFA, 2015)	✓							High level of compliance in Council supported by a culture of Members respecting officers' advice.
External Peer Reviews	✓							External / peer reviews and audits commissioned where this is considered to add value or assist in confirming compliance with standards. Mention recent Follow Up Review and positive outcome (due to be reported to Cabinet in February 2022).
Effective Risk Management			✓	✓	✓	✓		Departmental and Corporate Risk Registers are in place and actively monitored/reviewed at senior management level. Risk management strategy and toolkit in place. CMT risk champion identified as well as departmental champions. Business continuity plan for the council in place. Health and safety policy and procedures in place and disseminated to staff. Senior manager health and safety champions identified and all senior managers have received training. Performance framework in place with systems for regular reporting and monitoring.
Customer Charter			✓					Service standards to be developed under the Customer Charter.
Capital investment strategy			✓					Capital investment is structured to achieve appropriate life spans and adaptability for future use or that resources (eg land) are spent on optimising social, economic and environmental wellbeing: Capital programme.
Asset Management Strategy			✓					A cross departmental group met on 2nd February 2021 and agreed that a holistic strategy is needed to set out the overall strategy and explain how individual plans, processes and procedures fit together to form the Council's joined up approach. Whilst this shouldn't duplicate existing asset management plans, it will help to identify whether there are any gaps or improvements required. A further meeting is planned for 1st March 2021 to progress.

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Social Value Strategy			✓	✓				An approach to the measurement of social value is under consideration. Following a cross council demonstration of the approach it is expected that Executive Director approval will be sought to utilise it for a year, evaluate its success and then consider any longer-term options.
Derbyshire Investment & Infrastructure Plan and Local Transport Plan			✓					The approach to the new Strategic Growth and Infrastructure Framework (SGIF) has now been confirmed by the Derby and Derbyshire Chief Executives meeting and he Derby and Derbyshire Joint Committee. The Place service plan contains an action to deliver a £40m Local Transport Programme to provide well maintained roads and highways and address road safety concerns.
Environmental Impact Assessments			✓					The Council is jointly preparing with Derby City Council separate Minerals and Waste Local Plans. The preparation process includes a Strategic Environmental Appraisal (SEA) which considers the wider environmental impacts of policies within the plans during and beyond the plan period. Planning proposals determined by the planning authority are screened to establish whether or not they must be considered under the Town and Country Planning (Environmental Impact Assessment) Regulations 2017.
Climate Change Strategy and Action Plan			✓					External consultants Arup have been commissioned to help develop the strategy and action plan. The sponsor for this work is now the Executive Director for Adult Social Care and Health, with the resource in the Environment Division of the Place Department.
Financial Strategy				✓		✓	✓	Five Year Financial Plan Budget Monitoring
Workforce Plan					✓			Heads of Service from each Department undertook a planning exercise to identify the demographics of their workforce, the current challenges and future requirements and actions required. These were fed into a departmental plan and included in Draft Workforce Plans. There is currently no overarching Strategy in place but a Workforce Development Strategy is currently being drafted.
Wellbeing Strategy					✓			Successful deployment of the associated wellbeing strategy action plans, supported by regular monitoring of performance by the Council's Wellbeing Challenge Group.
Health and Safety					✓			The Council produces an annual health and safety report detailing prior year performance and trends.
External Audit					✓			External Audit have a statutory role relating to the Audit of the Authority's Statement of Accounts and are appointed independently. There is an External and Internal Audit Protocol in place defining the roles of both parties.
Statement of Accounts							✓	The Council produces Annual Statement of Accounts in accordance with prescribed deadlines and continues to receive unqualified Audit opinions.
Annual Governance Statement							✓	The Annual Governance Statement is incorporated into the Annual Statement of Accounts. It is underpinned by the Local Code of Corporate Governance, Executive Director Assurance Matrices and the ongoing work of the Governance Group.
Compliance with Public Sector Internal Audit Standards (PSIAS)							✓	The Authority's Internal Audit Service has been subject to independent external review by Cipfa C.Co and was considered to be conforming in all areas of focus assessed.