

Daventry District Council
Local Code of
Corporate Governance

2014/15

Year End Progress Report

1. Core Governance Principle: ‘Focusing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area.’

Supporting principles

- A. Exercising strategic leadership by developing and clearly communicating the authority’s purpose and vision and its intended outcome for citizens and service users.
- B. Ensuring that users receive a high quality of service whether directly, or in partnership, or by commissioning.
- C. Ensuring that the authority makes best use of resources and that taxpayers and service users receive excellent value for money.

Supporting Principle
(3A) Exercising strategic leadership by developing and clearly communicating the authority’s purpose and vision and its intended outcome for citizens and service users.

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
3A1	Develop and promote the authority’s purpose and vision.	<ul style="list-style-type: none"> • Constitution (Part 5: Strategy Group responsibility for strategic policy and budget formulation; full Council responsibility for policy and budget approval). 			
		<ul style="list-style-type: none"> • Vision and Objectives 2014-2017 consideration and confirmation by full 			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		<p>Council, led by its Strategy Group.</p> <ul style="list-style-type: none"> • Corporate Strategic Plan 2014-2017 translation of Vision and Objectives into measures and targets for service planning purposes. • IIP status • Communications Management Plan. • Daventry Calling magazine, Annual Review and Council Courier publications. 			<p>Feb 2015 – Accreditation uplifted to Silver</p> <p>Feb 2015 - Marketing brochure approved by Portfolio Holders.</p> <p>Love Daventry campaign agreed with NEP.</p>
3A2	Review on a regular basis the authority's vision for the local area and its implications for the authority's governance arrangements.	<ul style="list-style-type: none"> • Review of Vision and Objectives by full Council every three years, and its measures and targets every year, led by its Strategy Group. 			
		<ul style="list-style-type: none"> • Full Council's review and determination of its governance arrangements for achieving its Vision and Objectives, 			<p>July 2014 - Deemed not necessary to change governance requirements following review of Corporate Strategic Plan and its adoption in February 2014.</p>

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		<p>including new committee structure pursuant to Localism Act.</p> <ul style="list-style-type: none"> • Full Council's review of its Strategic Risk Register, via Strategy Group. • Review of governance arrangements against amended CIPFA / SOLACE guidance on Local Code of Corporate Governance and Annual Governance Statement. 			<p>Feb 2015 – Strategic Risk Register reviewed and 2015/16 Register adopted by Council.</p>
3A3	<p>Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all partners.</p>	<ul style="list-style-type: none"> • Daventry Local Strategic Partnership's (LSP) adoption of Sustainable Communities Strategy for Daventry District 2010-2026, incorporating the Council's Vision and Objectives. • Generic Council 	<ul style="list-style-type: none"> • Amend partnerships' Terms of Reference (where silent on the point) to confirm commitment to achievement of the Council's Vision and Objectives. 	SBW	<p>July 2014 - Community Strategy reviewed and adopted by Council June 2014, following LSP endorsement and consultation.</p>

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		<p>Partnership Policy Statement and Protocol, as framework for partnership working.</p> <ul style="list-style-type: none"> Supplementary partnership Terms of Reference, Service Level Agreement and Memorandum of Intent variously in operation and embracing common values (inc. for LSP, Daventry Regeneration Partnership Board / Daventry and South Northamptonshire Community Safety Partnership / NBC & DDC Environmental Services / Northamptonshire Waste Partnership / West Northamptonshire Joint Planning Unit). 			
3A4	Publish an annual report on a timely basis to	<ul style="list-style-type: none"> Annual Review production (including performance against 			August 2014 - included in Daventry Calling summer 2014.

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
	communicate the authority's activities and achievements, its financial position and performance.	<p>Corporate Strategic Plan and summary financial information).</p> <ul style="list-style-type: none"> Summary of Accounts annual production. 			

Supporting Principle

(3B) Ensuring that users receive a high quality of service whether directly, or in partnership, or by commissioning.

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
3B1	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.	<ul style="list-style-type: none"> Corporate Strategic Plan priority measures and targets for service planning purposes. Service Plans, with priority and local 	<ul style="list-style-type: none"> Formal consultation with partners and Peoples Panel annually on Corporate Strategic Plan. 	SBw	<p>July 2014 - Peoples Panel engaged on focused consultation on measures in January 2014, which was reported to Strategy Group in development of Corporate Strategic Plan, subsequently adopted at Council.</p> <p>Aug 2014 - Equalities Steering Group to consider service activities and actions against the new Equalities Impact Assessment.</p> <p>Feb 2015 - Equalities Steering Group review of impact assessments from service areas.</p> <p>July 2014 - Limited consultation considered for 2014/15 budget and</p>

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		<p>measures and targets.</p>			<p>Medium Term Financial Plan 2014/15 – 2017/18. Not deemed appropriate given consultation on priorities in Community Strategy/Corporate Strategic Plan.</p>
		<ul style="list-style-type: none"> • Public consultations with service users ahead of specific policy or service changes e.g. housing allocations. • Formal Performance Management Framework in operation (inc. quarterly reports to Portfolio Holders and Senior Management Team and Scrutiny & Improvement Committee). 			<p>July 2014 - Revised Equality Scheme adopted in July 14. Evidence that each team selected a couple of services to assess each year, as per revised Equality Scheme.</p> <p>Feb 2015 - Progressing from Development level to Achieving level of the Equality Scheme framework.</p>
		<ul style="list-style-type: none"> • Deputy Chief Executive/Manager monthly service reviews, via template. • Managers' monthly service team reviews. • Data Quality Strategy adopted. 			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
3B2	Put in place effective arrangements to identify and deal with failure in service delivery.	<ul style="list-style-type: none"> • Formal Performance Management Framework in operation (inc. performance reports and standing item on Corporate Performance and Portfolio issues to Senior Management Team, Portfolio holders and reports to Committee/Council). • Corporate and Service Risk Mitigation Plans. • Customer contact centre report production. 			
		<ul style="list-style-type: none"> • Customer Feedback and Complaints Procedure and examples of service alteration (eg. Power of Attorney claims handling). • Daventry Calling 'Contact Us' prompt facility. 			Feb 2015 - Complaints monitoring and reporting subject of S&I Task Panel.

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		<ul style="list-style-type: none"> • Scrutiny & Improvement Committee task panels. • Portfolio Holder one-to-one liaisons. • Deputy Chief Executive/Manager monthly service reviews, via template. • Managers' monthly service team reviews. • Internal Audit management reporting and implementation of recommendations. External audit and Ombudsman reports and recommendations submitted to Corporate Governance Committee in particular. 			

Supporting Principle

(3C) Ensuring that the authority makes best use of resources and that taxpayers and service users receive excellent value for money.

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
3C1	Decide how value for money is to be measured and make sure that the authority or partnership has the information needed to review value for money and performance effectively.	<ul style="list-style-type: none">• Value for Money corporate guidance on intranet.• Constitution (Contract and Procurement Regulations).• Corporate Procurement Strategy 2012-2015	<ul style="list-style-type: none">• Expand instruction on how to measure Value for Money, including of service-led initiatives.	SBw	Year-End – Revised Partnership annual review template directly addresses VfM of partnerships. The drafting of the annual review form draws on CIPFA partnerships toolkit.
		<ul style="list-style-type: none">• Senior Management Team reports.• Business Task Panel service efficiencies matrix.• Right to Challenge programme identified.• Corporate Procurement and Efficiencies Working Group reports (e.g.			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		<p>standing item on Savings Projects).</p> <ul style="list-style-type: none"> Resources Working Group reports on service/financial performance monitoring. 			
3C2	Measure the environmental impact of policies, plans and decisions.	<ul style="list-style-type: none"> 'Environmental implications' in all committee reports, via corporate report template. Environmental Objectives with measures and targets. Accredited Environmental Management System. 			

2. Core Governance Principle: ‘Members and officers working together to achieve a common purpose with clearly defined functions and roles.’

Supporting principles

- A. Exercising effective leadership throughout the authority and being clear about executive and non-executive functions and of the roles and responsibilities of the scrutiny functions.
- B. Ensuring that a constructive working relationship exists between elected members and officers and that the responsibilities of authority members and officers are carried out to a high standard.
- C. Ensuring relationships between the authority, its partners and the public are clear so that each know what to expect of the other.

Supporting Principle

(4A) Exercising effective leadership throughout the authority and being clear about executive and non-executive functions and of the roles and responsibilities of the scrutiny functions.

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
4A1	Set out a clear statement of the respective roles and responsibilities of the executive and of the executive’s members individually and the authority’s approach towards putting this into	<ul style="list-style-type: none"> • Constitution (inc. Articles 7, 11 and 12; Responsibility for Functions; Council and Committee Procedure Rules; Appendix - Expectations of Head of Paid Service). 			July 2014 - Plain English statement of the roles of, and within, the Council’s political and managerial leadership produced. Democratic process hand-out and flowchart for induction completed. Website entries for Chief Executive/Deputy Chief Executive/Managers also continue to be available on website – not requiring update.

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
	practice.	<ul style="list-style-type: none"> • Strategy Group portfolios. • Councillor Development Policy and Strategy. • Councillor role descriptions (for Leader and Portfolio Holders). 			
4A2	Set out a clear statement of the respective roles and responsibilities of other authority members, members generally and senior officers.	<ul style="list-style-type: none"> • Constitution (inc. Articles 2, 4, 6, 8, 11, 12; Council and Committee Procedure Rules; Scrutiny & Improvement Procedure Rules; Protocol on Member/Officer Relations; Appendix – Functions of a Councillor). • Councillor Development Policy and Strategy. 			<p>July 2014 - Additional information on the roles of statutory officers and clarifying Member/Officer relation added to the 'About Us' section of the DDC website: http://www.daventrydc.gov.uk/your-council/about-us/organisational-structure/.</p> <p>Feb 2015 - Annual changes made in April – June period. Interim changes made December 14, including new legislation responsibilities (Development Consent Orders).</p>
		<ul style="list-style-type: none"> • Councillor role descriptions (for Leader of the 			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		<p>Opposition, Chair of Scrutiny & Improvement Committee and general).</p> <ul style="list-style-type: none"> • Scrutiny & Improvement Committee. • Corporate Governance Committee. • Chief Executive, Deputy Chief Executive and Managers' job descriptions. 			

Supporting Principle

(4B) Ensuring that a constructive working relationship exists between elected members and officers and that the responsibility of authority members and officers are carried out to a high standard.

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
4B1	Determine a scheme of delegation and	<ul style="list-style-type: none"> • Constitution (inc. Articles 12, 14; Responsibility for 			Aug 2014 - Additional guidelines issued to ensure compliance with Openness of Local Government Bodies Regulations regarding

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
	reserve powers within the Constitution, including a formal schedule of those matters specifically reserved for collective decision of the authority, taking account of relevant legislation, and ensure that it is monitored and updated when required.	<p>Functions).</p> <ul style="list-style-type: none"> • Constitution annual review. 			<p>certain delegated officer decisions.</p> <p>July 2014 - Full Council confirmed delegated responsibility to the Monitoring Officer to annually update the Constitution with minor factual changes.</p>
4B2	Make a Chief Executive or equivalent responsible and accountable to the authority for all aspects of operational management.	<ul style="list-style-type: none"> • Constitution (inc. Articles 11; Responsibilities for Functions; Appendix – Expectations of Head of Paid Service). • Chief Executive job description/person specification. • Chief Executive appraisal by Leader. • Corporate Performance Management 			<p>July 2014 - Plain English statement of the responsibility for operational matters being with the Chief Executive and other</p>

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		Framework.			officers produced. Current material tested by Communications team and content amended on DDC website
4B3	Develop protocols to ensure that the Leader and Chief Executive (or equivalent) negotiates their respective roles early in the relationship and that a shared understanding of roles and objectives is maintained.	<ul style="list-style-type: none"> • Constitution (inc. Protocol on Member/Officer Relations; Appendix – Expectations of Head of Paid Service). • Councillor role description (Leader). • Chief Executive job description/person specification. • Leader/Chief Executive liaison meetings. • ‘Top Team Development’ events. 			
4B4	Make a senior officer (the S151 Officer) responsible to the authority for ensuring that appropriate advice is given on all	<ul style="list-style-type: none"> • Constitution (inc. Article 11; Responsibilities for Functions). • Chief Financial Officer job description/person 	<ul style="list-style-type: none"> • Production of Chief Financial Officer and SMT Protocol, defining the relative role and contribution of the statutory Chief Financial Officer. 	TG	Year-End – not completed in 14/15 to be carried forward to 15/16.

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
	financial matters, for keeping proper financial records and accounts, and for maintaining an effective system of internal financial control.	<ul style="list-style-type: none"> specification with S.151 responsibility • Annual report of the S.151 Officer under S.25 of the Local Government Act 2003 • ‘Financial Implications’ in all committee reports, via corporate report template. • Annual review of effectiveness of internal audit. 			
4B5	Make a senior officer (usually the Monitoring Officer) responsible to the authority for ensuring that agreed procedures are followed and that all applicable statutes and regulations are complied with.	<ul style="list-style-type: none"> • Constitution (inc. Article 11; Responsibilities for Functions). • Deputy Chief Executive job description / person specification with 			<p>Feb 2015 - Recording of Chief Executive decisions in Senior Management Team minutes, as necessary. Occurring routinely.</p> <p>The Openness of Local Government Bodies Regulations 2014 came into force 6 August 2014 and Constitution duly amended. Briefing note supplied to Members and staff as guidance. Committee agendas, signage and rules adjusted.</p>

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		<p>Monitoring Officer responsibility.</p> <ul style="list-style-type: none"> • 'Legal Implications' in all committee reports, via corporate report template. 			

Supporting Principle

(4C) Ensuring relationships between the authority, its partners and the public are clear so that each know what to expect of the other.

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
4C1	Develop protocols to ensure effective communication between members and officers in their respective roles.	<ul style="list-style-type: none"> • Constitution (Protocol on Member/Officer Relations). • Open Evening for Prospective Councillors. • Induction for New Members event. 			Feb 2015 - Supplementary Codes of Conduct on Housing, Planning and Licensing matters in place.
4C2	Set out the terms and conditions for remuneration of members and	<ul style="list-style-type: none"> • Constitution (Members Allowances Scheme). • Independent 			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
	officers and an effective structure for managing the process, including an effective remuneration panel.	<p>Remuneration Panel in operation annually.</p> <ul style="list-style-type: none"> • Officers' Job Evaluation Scheme. • Pay Policy Statement. • Employee Handbook (inc Pay and Benefits). 			Feb 2015 - Formal process in place for setting pay increases. Discussions at Unison Liaison meetings
4C3	Ensure that effective mechanisms exist to monitor service delivery.	<ul style="list-style-type: none"> • Formal Performance Management Framework in operation (inc. performance reports and standing items on Corporate Performance and on Portfolio Issues to Senior Management Team, Portfolio holders and reports to Committee/Council including Scrutiny & Improvement Committee. • Portfolio Holder one-to-one liaisons with officers of Senior Management Team. 	<ul style="list-style-type: none"> • Pursue increased effectiveness of inter-authority partnership performance reporting. 	SBw	<p>Year-End – Performance reporting pursued from the Partnership Unit but limited improvement to date.</p> <p>Year-End – Addition to in-house establishment to provide greater contract monitoring resource.</p>

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		<ul style="list-style-type: none"> • Deputy Chief Executive/Manager monthly service reviews, via template. • Managers monthly service team reviews. 			
		<ul style="list-style-type: none"> • Customer complaints and feedback evaluation. • Partnership performance management reports to respective Boards / Committees (e.g. LSP/ Northamptonshire Waste Partnership /West Northamptonshire Joint Planning Unit). • Contractors and grant aided bodies' reporting requirements, under contracts (eg. NBC & DDC Environmental Services) or Service Level Agreements. 			<p>July 2014 - Enterprise/Partnership Unit particularly challenged during 2013 and continuing in 2014. NBC/DDC engagement also subject to robust review.</p> <p>Year-End – Ongoing challenge to performance of environmental services contractor and NBC as host of the joint</p>

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
					client (Partnership Unit). Recruitment of (DDC) Environmental Services Officer to enhance monitoring and enforcement capacity.
4C4	Ensure that the organisation'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.	<ul style="list-style-type: none"> Strategy Group and Senior Management Team development of Vision and Objectives and its Corporate Strategic Plan priorities and targets, subject to scrutiny and decision by full Council. Strategy Group, Senior Management Team and Chief Financial Officer's development of 	<ul style="list-style-type: none"> Conduct formal consultation with employees, partners and Peoples Panel annually on Corporate Strategic Plan. 	SBw	<p>July 2014 - Peoples Panel engaged on focused consultation on measures in January 2014. Employees and Members also engaged. Some managers consulted on first stage, using team inputs. All reported to Strategy Group in development of Corporate Strategic Plan, subsequently adopted at Council.</p> <p>Limited consultation considered for 2014/15 budget and Medium Term Financial Plan 2014/15 – 2017/18. Not deemed appropriate given consultation on priorities in Community Strategy/Corporate Strategic Plan.</p> <p>Feb 2015 - Public Engagement S&I Task Panel. Four Recommendations approved by Council Dec 14.</p>
		Medium Term Financial Plan and			Feb 2015 - Limited consultation considered for 2014/15 budget and

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		<p>Annual Budget, subject to scrutiny and decision by full Council.</p> <ul style="list-style-type: none"> • Corporate Strategic Risk Register review and refresh via full Council. • Council tax and service priority periodic reviews, via Council. 			<p>Medium Term Financial Plan 2014/15 – 2017/18. Not deemed appropriate given consultation on priorities in Community Strategy/ Corporate Strategic Plan.</p> <p>S& I Public Engagement Task Panel. Four Recommendations approved by Council Dec 14.</p>
		<ul style="list-style-type: none"> • Top Team Development Event (inc. consideration of ‘strategic options’). • Business Improvement Group. • Public consultations ahead of specific proposals e.g. Town Centre Vision implementation. • Daventry Calling 			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		publication.			
4C5	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 authority.	<ul style="list-style-type: none"> • Generic Council Partnership Policy Statement and Protocol as framework for partnership working. • Councillor role descriptions. • Supplementary partnership Terms of Reference, Service Level Agreement and Memorandum of Intent variously in operation (inc. for LSP / 	<ul style="list-style-type: none"> • Review need for key partnerships to have protocols that define partnership principles, partner roles and responsibilities, dispute resolution procedure. 	SBw	Year-End – Partnership annual review form updated.
	Ensure that there is clarity about the legal status of the	<p>Daventry Regeneration Partnership Board / NBC & DDC Environmental Services Partnership Board / Northamptonshire Waste Partnership).</p> <ul style="list-style-type: none"> • Terms of Reference and Service Level Agreement variously 	<ul style="list-style-type: none"> • Confirm that all key partnerships have clarity of status and update Terms of 	SBw	Year-End – Partnership annual review.

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
	<p>partnership.</p> <p>Ensure that representatives or organisations both understand and make clear to all other partners the extent of their authority to bind their organisation to partner decisions.</p>	<p>specified for some key partnerships (e.g. Northamptonshire Waste Partnership).</p> <ul style="list-style-type: none"> • Annual Review of partnerships expressly seeks clarity, via template. • Generic Council Partnership Policy Statement and Protocol. • Terms of Reference and Service Level Agreement variously specified for key partnerships (e.g. Daventry Estate Trading Company, Northamptonshire Waste Partnership). 	<p>Reference etc. accordingly.</p>		

3. Core Governance Principle: “Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour”.

Supporting principles

- A. Ensuring authority members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance.
- B. Ensuring that organisational values are put into practice and are effective.

Supporting Principle
(5A) Ensuring authority members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance.

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
5A1	Ensure that the authority’s leadership sets a tone for the organisation by creating a climate of openness, support and respect.	<ul style="list-style-type: none"> • Corporate Values promotion (inc. openness and respect). • Confidential Reporting Policy. • Anti-Fraud, Bribery & Corruption Policy. • Code of Conduct for Members. • Code of Conduct for Employees 			
		<ul style="list-style-type: none"> • Management 			Feb 2015 - Management competencies incorporated into appraisal system for

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		<p>competencies.</p> <ul style="list-style-type: none"> • Council Courier articles. • Staff consultations (eg. service efficiencies; Christmas closure). • Union liaison meetings. • Staff comments and feedback, via intranet. • Team Brief attendance by senior management. • Behaviour at meetings generally. 			service managers agreed at SMT January 2015.
5A2	Ensure that standards of conduct and personal behaviour expected of members and staff, of work between members and staff and between the authority,	<ul style="list-style-type: none"> • Code of Conduct for Members, and local Supplementary Codes, with better-than-statute requirement for compliance. 			<p>July 2014 - Updated DDC 'Team Induction Checklist' for staff.</p> <p>Updated Anti-Fraud, Bribery & Corruption Policy.</p> <p>Revised policies and response plan relating to fraud, bribery and corruption (inc. anti-money laundering) adopted by Council February 2014. Constitution updated at June 2014 Council.</p>

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
	its partners and the community are defined and communicated through codes of conduct and protocols.	<ul style="list-style-type: none"> • Protocol on the Conduct of Members. • Protocol on Member/Officer Relations. • Code of Conduct for Employees. • Guidance Notes on Code of Conduct for Employees. • Inductions for new Members and new staff. • Grievance Procedure. • Disciplinary Procedure. • Staff appraisal system. • Partnership Protocol. 			Feb 2015 - Management competencies incorporated into appraisal system for service managers agreed at SMT January 2015
5A3	Put in place arrangements to ensure that members and employees of the authority are not	<ul style="list-style-type: none"> • Constitution (inc. Codes of Conduct, Responsibility for Functions, Financial Regulations, Contract and Procurement 	<ul style="list-style-type: none"> • Appropriate additional training for Members and employees as required eg. Code of Conduct guidance for employees, Appeals training for Members. 	TG	Aug 2014 - Appeals training takes place prior to hearings.

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
	<p>influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders, and put in place appropriate processes to ensure that they continue to operate in practice.</p>	<p>Regulations) with annual and periodic review.</p> <ul style="list-style-type: none"> • Register of Members Interests. • Registers of Gifts and Hospitality, better-than-statute for Members. • ‘DDC Arrangements for Dealing with Allegations of Breaches of the Code of Conduct for Members – 2012’. • Staff protocol (e.g. Daventry Estate Trading Company). 			
		<ul style="list-style-type: none"> • Register of Employees Interests and Outside Commitments. • Monitoring Officer advice circulation to Members (eg. on Predetermination and Bias, and on Council Tax setting). 			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		<ul style="list-style-type: none"> • Appeals & Standards Committee. • Employee Handbook references to expectations. • Standards and Code of Conduct training for Members. • Councillor learning and development events, inc. Code of Conduct training. • Staff induction. • Equalities training for Members and employees 			Feb 2015 – E-learning modules for employees on Equality & Diversity and dignity at Work

Supporting Principle

(5B) Ensuring that organisational values are put into practice and are effective.

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
5B1	Develop and maintain shared values including leadership values	<ul style="list-style-type: none"> • Corporate Values adopted and consistently referenced in 			Feb 2015 - Social Media protocol. Employees are appraised by reference to the values.

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
	for both the organisation and staff reflecting public expectations and communicate these with members, staff, the community and partners	<p>communications such as Council Courier and Daventry Calling, DDC Website and Intranet.</p> <ul style="list-style-type: none"> • Code of Conduct for Members, and local Supplementary Codes. • Protocol on the Conduct of Members. • Protocol on Member/Officer Relations. • Code of Conduct for Employees. 			<p>Review of corporate values in 2014.</p> <p>Year-End - Presentation/staff meeting for employees in March encouraging participation in service delivery planning.</p>
		<ul style="list-style-type: none"> • 'DDC Management Development Competencies' framework applied. • SMT meetings, Team Briefs and staff meetings' reinforcement of leadership expectations and values. 			<p>Feb 2015 - Updated management development competencies used in appraisals for service managers; as agreed. Updated January 2015 SMT</p>

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
5B2	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	<ul style="list-style-type: none"> Constitution (inc. Article 11 Monitoring Officer responsibility for promoting high ethical standards. Constitution annual and periodic review (inc. Codes of Conduct, Responsibility for Functions, Financial Regulations, Contract and Procurement Regulations). 	<ul style="list-style-type: none"> Further review the effectiveness of Local Code of Conduct for Members 2012 and 'DDC Arrangements for Dealing with Allegations of Breaches of the Code of Conduct for Members - 2012', via Appeals & Standards Committee. 	SB	<p>July 2014 - Appeals and Standards Committee (July 2014) reviewed effectiveness, identifying additional training needs and procedural enhancement.</p> <p>Feb 2015 - Review the effectiveness of Local Code of Conduct for Members 2012 and 'DDC Arrangements for Dealing with Allegations of Breaches of the Code of Conduct for Members - 2012', via Appeals & Standards Committee. Annually reviewed. (June/July).</p>
		<ul style="list-style-type: none"> Local choice made by full Council to establish Appeals and Standards Committee, assisting with developing and reviewing ethical behaviour. 'DDC Arrangements for Dealing with 	<ul style="list-style-type: none"> Review the approach of the Police in dealing with alleged 	SB	<p>Feb 2015 - Police approached with suggested Operational Protocol.</p>

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		<p>Allegations of Breaches of the Code of Conduct for Members - 2012'.</p> <ul style="list-style-type: none"> Annual review of the Local Code of Conduct for Members 2012 and 'DDC Arrangements for Dealing with Allegations of Breaches of the Code of Conduct for Members - 2012' via Appeals and Standards Committee. 	<p>criminal offences, arising from the Localism Act and disclosure of pecuniary interests etc.</p>		<p>Police considering and formal response awaited.</p>
		<ul style="list-style-type: none"> Confidential Reporting Policy for employees to report improper conduct or standards of practice below that expected. Anti-Fraud, Bribery & Corruption Policy. 			<p>July 2014 - Greater prominence given to Confidential Reporting Policy on Intranet and counter-fraud whistleblowing arrangements on DDC website following review of corporate fraud policies and arrangements.</p> <p>Feb 2015 – E-learning Fraud module for employees released.</p> <p>All employees required to complete module. 66% have completed at Year-End.</p>
5B3	Develop and maintain an	<ul style="list-style-type: none"> Constitution (inc. Appeals & Standards 	Further review the effectiveness of 'DDC Arrangements for	SB	July 2014 - Appeals and Standards Committee (July) reviewed effectiveness,

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
	effective standards committee.	<p>Committee terms of reference and annual reporting requirements to Full Council).</p> <ul style="list-style-type: none"> • Appeals & Standards Committee receives annual report on standards (inc. effectiveness of arrangements). • Hearing Panels convened to deal with alleged breaches of Code of Conduct. 	Dealing with Allegations of Breaches of the Code of Conduct for Members - 2012', inc. Appeals & Standards Committee, via full Council (e.g. as part of post 2014 Corporate Strategic Plan review).		<p>identifying additional training needs and procedural enhancement.</p> <p>Feb 2015 - Annual review of the effectiveness of 'DDC Arrangements for Dealing with Allegations of Breaches of the Code of Conduct for Members - 2012', via Appeals & Standards Committee. Annually reviewed (June/July).</p>
5B4	Use the organisation's shared values to act as a guide for decision making and as a basis for developing positive and trusting relationships within	<ul style="list-style-type: none"> • Constitution (inc. principles of decision making in 'Article 12: Decision Making' and citing of values in 'Appendix: Functions of a Councillor'). • Citing of values in 			Feb 2015 - Updated management

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
	the authority.	<p>specific publications (inc Communications Handbook).</p> <ul style="list-style-type: none"> • Citing of values in SMT and committee reports and minutes. 			development competencies used in appraisals for service managers more overtly links values with management competencies.
5B5	<p>In pursuing the vision of a partnership, agree a set of values against which decision making and actions can be judged.</p> <p>Such values must be demonstrated by partners' behaviour both individually and collectively.</p>	<ul style="list-style-type: none"> • Generic Council Partnership Policy Statement and Protocol, as framework for partnership working. • Supplementary partnership Terms of Reference, Service Level Agreement and Memorandum of Intent variously in operation (inc. for LSP, Daventry Regeneration Partnership Board / Daventry and South Northamptonshire Community Safety Partnership / NBC & DDC Environmental Services / Northamptonshire 			Feb 201 5 - County Traveller Unit is an excellent example of a range of partners with different agendas coming together. Liaison officers engage travellers daily.

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		<p>Waste Partnership / West Northamptonshire Joint Planning Unit).</p> <ul style="list-style-type: none"> Partners and staff demonstration of values in partner liaison, part demonstrated by absence of complaints of failings. 			

4. Core Governance Principle: “Taking informed and transparent decisions which are subject to effective scrutiny and managing risk”.

Supporting principles

- A. Being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny.
- B. Having good-quality information, advice and support to ensure that services are delivered effectively and are what the community wants/needs.
- C. Ensuring that an effective risk management system is in place.
- D. Using their legal powers to the full benefit of the citizens and communities in their Area.

Supporting Principle

(6A) Being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny.

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
6A1	Develop and maintain an effective scrutiny function which encourages constructive challenge and enhances the authority’s performance overall and that of any organisations for which it is	<ul style="list-style-type: none"> • Committee style system enables all member challenge ahead of and at time of decision making. • Local choice made by full Council to establish Scrutiny & Improvement Committee, assisting with challenge and improvement. 			<p>July 2014 - Refreshed current scrutiny arrangements, to ensure timely and meaningful contributions to the development and review of council policies and performance.</p> <p>CIPFA benchmarking report obtained.</p> <p>‘Closing the loop’ approach now in play, after report back to S&I Committee on Council’s progression of S&I recommendations.</p> <p>Examples of effective contributions include Environmental Services review.</p> <p>High percentage of S&I recommendations</p>

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
	responsible.				<p>accepted by Council.</p> <p>Recording of Chief Executive decisions in Senior Management Team minutes, as necessary. Occurring routinely.</p> <p>Aug 2014 - The Openness of Local Government Bodies Regulations 2014 came into force 6 August 2014 and Constitution duly amended. Briefing note supplied to Members and staff as guidance. Committees' agendas, signage and rules adjusted.</p>
		<ul style="list-style-type: none"> • Constitution (inc. 'Part 5' terms of reference and annual reporting requirements for Corporate Governance and Scrutiny & Improvement Committees; 'Article 6'; 'Part 6D Scrutiny and Improvement Procedure Rules'). • Scrutiny & Improvement Committee annual work plan. • Scrutiny requests for training met. 			<p>Year- End - S&I Committee agreed to carry out post implementation reviews.</p> <p>Feb 2015 - Members of Scrutiny & Improvement Committee requested to identify training requirements at start of municipal year. Regular request for scoping a review and report writing is</p>

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
					met. Training delivered.
		<ul style="list-style-type: none"> Scrutiny & Improvement Task Panels, inc. for EMS contractor performance. Internal Audit function. Constitution (inc. principles of decision making in 'Article 12: Decision Making' and ' Part 3D Code for the Recording of Proceedings at Meetings'). Corporate committee report template (inc. 'Implications' and 'Background Papers'. 			<p>Year-End - Task Panel reports to Scrutiny & Improvement Committee with recommendations taken to Strategy Group and Council: Public Engagement Rural Transport Contracting with other Authorities Corporate Strategic Plan Reporting Feb 2015 - TDECL lessons learned corporate report commissioned.</p> <p>Feb 2015 – CPEWG receives and considers Lessons Learnt reports from projects (in accordance with The Council's Project Management Methodology)</p> <p>Feb 2015 – Committee report template revised May 2014.</p>
6A2	Develop and maintain open and effective mechanisms for	<ul style="list-style-type: none"> Council / Committee reports and minutes (professional advisors and 			Feb 2015 - Record of decisions included on website, as per Openness regulations. Link to officer decisions especially Planning, Licensing

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
	documenting evidence, for decisions and recording the criteria, rationale and considerations on which decisions are based.	<p>authors).</p> <ul style="list-style-type: none"> • Senior Management Team reports and minutes (professional advisors and authors). 			and Building Control on website
6A3	Put in place arrangements to safeguard members and employees against conflicts of interest and put in place appropriate processes to ensure that they continue to operate in practice.	<ul style="list-style-type: none"> • Constitution (inc. Codes of Conduct requiring registration and disclosure of pecuniary and other interests). • Corporate report template with standing item on 'Declarations of Interests'. • Minutes recording disclosure of Members and Officers interests. • Monitoring Officer advice circulation to Members (e.g. on Predetermination and Bias and on Council Tax setting). • Councillor Learning 			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		<p>and Development events (e.g. on disclosing interests).</p> <ul style="list-style-type: none"> • New staff induction. • Council Courier reminders (inc. update to Guidance Notes on Employees Code of Conduct). 			
6A4	Develop and maintain an effective audit committee (or equivalent) which is independent of the executive and scrutiny functions or make other appropriate arrangements for the discharge of the functions of such a committee.	<ul style="list-style-type: none"> • Committee style system enables all Member challenge ahead of and at time of decision making. • Councillor Learning and Development events (e.g. on budget preparation and contracts). 			<p>July 2014 - IA Charter approved by Corporate Governance Committee (23/01/14). Constitution has also included appropriate cross reference.</p> <p>Detailed review of compliance undertaken for Annual Audit Review in June 2014. (Corporate Governance Committee).</p>
		<ul style="list-style-type: none"> • Constitution (inc. 'Part 5' terms of reference and annual reporting requirement for Corporate Governance 			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		<p>Committee).</p> <ul style="list-style-type: none"> Annual review of effectiveness as part of review of internal audit. 			
6A5	Ensure that effective, transparent and accessible arrangements are in place for dealing with complaints.	<ul style="list-style-type: none"> 'DDC Arrangements for Dealing with Allegations of Breaches of the Code of Conduct for Members – 2012'. Anti-Fraud, Bribery & Corruption Policy inc. whistleblowing arrangements. Complaints Procedure. Feedback invited (inc. DDC website front page, Daventry Calling). Corporate Governance Committee annual report on Ombudsman and 			<p>Feb 2015 - S&I Complaints Task Panel considering.</p> <p>Year-End – Revised Customer Feedback and Complaints Procedure agreed.</p>

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		other complaints.			

Supporting Principle

(6B) Having good-quality information, advice and support to ensure that services are delivered effectively and are what the community wants/needs.

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
6B1	Ensure that those making decisions whether for the authority or the partnership are provided with information that is fit for the purpose – relevant, timely and gives clear explanations of technical and financial issues and their implications.	<ul style="list-style-type: none"> Councillor development needs assessment (inc. use of Personal Development Plans). Councillor development events (inc. evaluation questionnaires). 	<ul style="list-style-type: none"> Conduct formal consultation annually with partners and Peoples Panel on delivery of key services. 	SBW	<p>July 2014 - Updates to both the Community Strategy and the Corporate Strategic Plan consulted on with a range of stakeholders including the Peoples Panel, resulting in adoption by Council at meetings in February and June 2014.</p> <p>Consultation in respect of Corporate Strategic Plan and Sustainable Community Strategy gives opportunity for service delivery responses.</p> <p>Task Panel (albeit not annual) on environment services and leisure facilities engaged community and partners.</p> <p>Feb 2015 - S&I post implementation review of Council imposition of Task Panel recommendations.</p>
		<ul style="list-style-type: none"> Leader/Deputy Leader/Portfolio Holders group and 			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		<ul style="list-style-type: none"> one-to-one briefings/liaisons. • Opposition party briefings/liaisons. • Council committees and Senior Management Team calendars for timely report preparation. • Consultation protocol for Council and committee reports. 			
		<ul style="list-style-type: none"> • Council and committee reports required to cite all 'Implications', via corporate report template. • Performance reporting to Senior Management Team and Portfolio Holders. 			
6B2	Ensure that proper professional advice on matters that have legal or financial implications is	<ul style="list-style-type: none"> • Constitution (Article 11 duty to provide sufficient resources to Monitoring Officer and Chief Financial Officer). 			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
	available and recorded well in advance of decision making and used appropriately	<ul style="list-style-type: none"> • Professionally registered, qualified and trained staff as advisors and authors for all decisions/reports. • Bespoke professional advice obtained from qualified solicitors/Queens Counsel (e.g. planning cases, environmental health cases, and development cases). • ‘Financial Implications’ and ‘Legal Implications’ cited in all committee reports, via corporate report template. 			

Supporting Principle

(6C) Ensuring that an effective risk management system is in place.

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
6C1	Ensure that risk management is embedded into the culture of the authority, with members and managers at all levels recognising that risk management is part of their jobs.	<ul style="list-style-type: none"> • Corporate Risk Management Strategy and Policy. • ‘Risk Management Process and Guidance’ supplied on Intranet. • Strategic Risk Register populated via service team inputs. • Constitution (inc Part 6 Regulations and Part 5 Responsibility 	<ul style="list-style-type: none"> • Embed new Information Risk Policy, and understanding of its relationship to supporting practices and guidance. 	TG	<p>July 2014 - Risk Management Working Group considered information risk assurance February 2014.</p> <p>Role of Senior Information Risk Owner particularly highlighted to Members via report. Annual Governance Statement expresses the importance of the risk management arrangements/policy in place.</p> <p>Revised policies and response plan relating to fraud, bribery and corruption (inc. anti-money laundering) presented to Council February 2014 and agreed. Constitution updated.</p> <p>Feb 2015 – Strategic Risk Register reviewed and 2015/16 Register adopted by Council.</p> <p>Year-End – Members Information Risk training session held March 15.</p>

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		<p>for Functions: Managers to have due regard to risks).</p> <ul style="list-style-type: none"> • Risk Management Working Group (officer). 			
		<ul style="list-style-type: none"> • Risk Management Champions (Deputy Chief Executive and Chair of Corporate Governance Committee). • Service team risk registers populated via service team inputs. • Corporate Governance Committee responsibility to ensure effectiveness of risk management. • Councillor Development events on risk management. • Management workshops on risk management (external specialist 			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		<p>facilitation and accreditation).</p> <ul style="list-style-type: none"> Financial and other risks citation required in all reports, via corporate report template. 			
		<ul style="list-style-type: none"> DDC Project Management Methodology incorporates 'Risk Log'. Anti-Fraud, Bribery & Corruption Policy. Leader/Deputy Leader/Portfolio Holders meeting; standing item. Deputy Chief Executive/Manager monthly service reviews inc. risk management, via template. 			
6C2	Ensure that effective arrangements for whistle-blowing are	<ul style="list-style-type: none"> Anti-Fraud, Bribery & Corruption Policy. 			July 2014 - Greater prominence given to counter-fraud and whistle-blowing arrangements, externally via DDC website and Council Courier.

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
	in place to which officers, staff and all those contracting with or appointed by the authority have access.				Year-End - Corporate Fraud Officer has been appointed and in post. DCLG Counter Fraud Fund bid to develop a fraud whistleblowing app has been approved.

Supporting Principle

(6D) Using their legal powers to the full benefit of the citizens and communities in their area.

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
6D1	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.	<ul style="list-style-type: none"> Constitution (inc annual and periodic review to reflect current legal position). Monitoring Officer and Chief Financial Officer duties (inc ensuring lawfulness). Use and citing of general competence powers (under Localism Act 2011) subject to other legal provisions. 	<ul style="list-style-type: none"> Provide annual staff development briefings on Legislative Opportunities and Pitfalls, to identify up-to-date range of available powers. 	SB (via District Law)	<p>July 2014 - Briefings considered. District Law approached re. provision, and agreed at District Law Board April 2014 as worthy of bespoke production.</p> <p>Feb 2015 - First issue.</p> <p>Not all embracing and doubts as to sense of all embracing brief. Better, as now, to have highlighted examples.</p>

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		<ul style="list-style-type: none"> Bespoke professional advice obtained from qualified solicitors/Queens Counsel. 			
6D2	Recognise the limits of lawful action and observe both the specific requirements of legislation and the general responsibilities placed on local authorities by public law.	<ul style="list-style-type: none"> Use and citing in reports of specific legal powers and responsibilities. Use and citing in decisions/reports of bespoke professional advice obtained from qualified solicitors/Queens Counsel. 	<ul style="list-style-type: none"> Provide annual staff development session on Legislative Opportunities and Pitfalls, to identify up-to-date limitations of powers, as necessary. 	SB (via District Law)	July 2014 - Briefings considered. District Law approached re. provision, and agreed at District Law Board April 2014 as worthy of bespoke production.
6D3	Observe all specific legislative requirements placed upon them, as well as the requirements of general law, and in	<ul style="list-style-type: none"> Constitution (inc. 'Article 12 Decision Making'; and, annual and periodic review to reflect current legal position) 			
	particular to integrate the key principles of good administrative law	<ul style="list-style-type: none"> Monitoring Officer duties (inc. ensuring lawfulness and promoting good 			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
	<p>– rationality, legality and natural justice – into their procedures and decision making processes.</p>	<p>governance).</p> <ul style="list-style-type: none"> • Bespoke professional advice obtained from qualified solicitors/Queens Counsel. 			

5. Core Governance Principle: “Developing the capacity and capability of members and officers to be effective”.

Supporting principles

- A. Making sure that members and officers have the skills, knowledge, experience and resources they need to perform well in their roles.
- B. Developing the capability of people with governance responsibilities and evaluating their performance, as individuals and as a group.
- C. Encouraging new talent for membership of the authority so that best use can be made of individuals’ skills and resources in balancing continuity and renewal.

Supporting Principle

(7A) Making sure that members and officers have the skills, knowledge, experience and resources they need to perform well in their roles.

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
7A1	Provide induction programme tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis.	<ul style="list-style-type: none"> • Councillor Development Strategy and Policy. • Prospective Members event. 			<p>Aug 2014 – Officers as member of steering groups for regional CPD programmes.</p> <p>Feb 2015 – Agreement that mandatory Davlearn modules to be rolled out at 3 monthly intervals and reports to be sent to service managers re completions.</p> <p>Elearning – 7 modules agreed as mandatory to Sept 15).</p> <p>Employee induction programme includes mandatory modules for new starters</p>

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		<ul style="list-style-type: none"> • Member Induction programme. • Learning and Development Policy for employees. • Staff induction programme via induction checklist. 			
7A2	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 authority.	<ul style="list-style-type: none"> • Job Descriptions and Person Specifications. • Constitution (inc. Article 11). • Direct access to specialist support staff and specialist advisors. • Subscriptions to sector resources (e.g. ACSeS, Westlaw). • Annual appraisals. • Senior Management 			<p>July 2014 - Plain English roles of statutory officers included on website: http://www.daventrydc.gov.uk/your-council/about-us/organisational-structure/.</p> <p>Feb 2015 - MO and CFO attended relevant training and development sessions, externally-led.</p>

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		Team participation in decision making. <ul style="list-style-type: none"> • Development sessions • Evidence of CPD 			

Supporting Principle

(7B) Developing the capability of people with governance responsibilities and evaluating their performance, as individuals and as a group.

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
7B1	Assess the skills required by members and officers and make a commitment to develop those skills to enable roles to be carried out effectively.	<ul style="list-style-type: none"> • Councillor Development Strategy and Policy. • Councillor Development committee needs analysis. • Councillor Learning & Development Group. • Learning and Development Policy for employees. • Staff appraisals. 			
7B2	Develop skills on a continuing basis to	<ul style="list-style-type: none"> • Councillor Learning and Development 			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
	improve performance, including the ability to scrutinise and challenge and to recognise when outside expert advice is needed.	<p>sessions programme.</p> <ul style="list-style-type: none"> • Learning and development events (inc questioning and chairing skills). • Management development programme. 			
		<ul style="list-style-type: none"> • Staff development programme of events and e-learning modules. 			
7B3	Ensure that effective arrangements are in place for reviewing the performance of the executive as a whole and of individual members and agreeing an action plan which might, for example, aim to address any training or development needs	<ul style="list-style-type: none"> • Formal Performance Management Framework in operation (inc. performance reports and standing item on Corporate Performance and Portfolio issues to Senior Management Team, Portfolio holders and reports to Committee/Council). • Scrutiny of effectiveness via full Council, Scrutiny & Improvement 			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		Committee and Corporate Governance Committee. <ul style="list-style-type: none"> • Councillor Learning and Development needs assessment. 			
		<ul style="list-style-type: none"> • Councillor Learning and Development sessions programme. • Management Development programme. • Senior officers' appraisals. • Leader appraisal of Chief Executive. • Top Team Development Event. 			

Supporting Principle

(7C) Encouraging new talent for membership of the authority so that best use can be made of individuals' skills and resources in balancing continuity and renewal.

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
7C1	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 authority.	<ul style="list-style-type: none">• Local Democracy Week programme.• Open Evening for Prospective Councillors.• Peoples Panel.• Public consultations.• Participation and feedback invited (inc. DDC website front page; Daventry Calling) .• Forums' Terms of Reference (inc. Junction 18 Forum, Daventry Over Fifties).• Work experience placements.			
7C2	Ensure that career structures are in	<ul style="list-style-type: none">• Personal development plan	<ul style="list-style-type: none">• Review need for succession planning	TG	July 2014 - All Members encouraged to identify learning needs after elections.

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
	place for members and officers to encourage participation and development.	<p>process for members.</p> <ul style="list-style-type: none"> • Appraisal process for employees. 	<p>for portfolio holders and career development strategy for staff, taking account of morale and motivation.</p> <ul style="list-style-type: none"> • Review of the effectiveness of service managers appraisals included in Action Plan. 		<p>Succession planning. Administration has 1-2-1 liaison with its Members to identify aspirations. Mentoring also deployed variously by Groups.</p> <p>All jobs advertised. Annual appraisals identify development needs.</p> <p>Feb 2015 - Completed</p>

6. Core Governance Principle: “Engaging with local people and other stakeholders to ensure robust public accountability”.

Supporting principles

- A.** Exercising leadership through a robust scrutiny function which effectively engages local people and all local institutional stakeholders, including partnerships, and develops constructive accountability.
- B.** 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.
- C.** Making best use of human resources by taking an active and planned approach to meet responsibilities to staff.

Supporting Principle

(8A) Exercising leadership through a robust scrutiny function which effectively engages local people and all local institutional stakeholders, including partnerships, and develops constructive accountability.

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
8A1	Make clear to themselves, all staff and the community to whom they are accountable and for what.	<ul style="list-style-type: none"> • Sustainable Communities Strategy for Daventry District published. • Vision and Objectives published. • Corporate Strategic Plan published. • Constitution (Part 1). 			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
8A2	Consider those institutional stakeholders to whom the authority is accountable and assess the effectiveness of the relationships and any changes required	<ul style="list-style-type: none"> Stakeholder database established (inc. for consultation). Local Strategic Partnership structure review. Generic Council Partnership Policy Statement and Protocol. Partnerships annual review, via corporate template. 	<ul style="list-style-type: none"> Ensure “Annual Review of Effectiveness of the [partnership]” is considered by each partnership, to help inform composite report to Senior Management Team. 	SBw	<p>Nov 14 - Note: Meeting with management on 21/11/14 to firm up Draft Audit Report on Partnership - Governance Arrangements (SP)</p> <p>July 2014 - Corporate report to SMT November 2013.</p> <p>Year –End -Partnership Action Plan to be monitored via the Risk Management Group.</p>
8A3	Produce an annual report on the activity of the scrutiny function.	<ul style="list-style-type: none"> Scrutiny & Improvement Committee annual report to Council. Corporate Governance Committee annual report to Council. 			<p>July 2014 - Scrutiny activity demonstrates positive and constructive change to Council policy, processes and performance, within the annual reports.</p> <p>‘Closing the loop’ approach now in play, after report back to S&I Committee on Council’s progression of S&I recommendations.</p> <p>Examples of effective contributions include Environmental Services review.</p> <p>High percentage of S&I recommendations accepted by Council.</p>

Supporting Principle

(8B) 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.

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
8B1	Ensure clear channels of communication are in place with all sections of the community and other stakeholders, including monitoring, and ensure that they operate effectively.	<ul style="list-style-type: none">• Daventry Calling and Council Courier publications.			<p>July 2014 - Review of Daventry Calling presented to Council February 2014, including alternative to e-zine and quarterly print and e-zine publication being implemented.</p> <p>Corporate social media channels (Twitter and Facebook).</p> <p>Council's use of social media sites progress – significant increase in daily updates and links to news, information and consultations. Twitter followers continue to increase and also Facebook likes.</p> <p>Social Media guidelines for Members and revised social staff guidelines for staff agreed.</p> <p>Social media monitoring software purchased and monthly reports established to gauge online coverage and public engagement levels.</p> <p>Video being developed as an additional publicity channel for local news sites alongside media releases.</p> <p>Corporate communications survey conducted with residents June 2013 – findings presented to SMT September 2013.</p>

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		<ul style="list-style-type: none"> • Customer Feedback and Complaints Procedure. • Website. • Media releases and briefings. • Peoples' Panel. • Public consultations. • Partnership Boards (inc. LSP / Daventry Regeneration Partnership Board / NBC & DDC Environmental Services Partnership). 			<p>Council formally agreed to publication of audio recordings of meetings on website.</p> <p>Aug 2014 - Social Media Guidelines revised to reflect The Openness of Local Government Bodies Regulations 2014.</p> <p>Year –End - Social media and webcast access for staff agreed at SMT February 2015.</p> <p>Inclusion of social media access included in Surveillance Policy.</p> <p>Feb 2015 - Video releases produced and commended by LGA.</p>

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		<ul style="list-style-type: none"> • Forums (eg. Junction 18, Daventry Over Fifties). 			
8B2	Ensure that arrangements are in place to enable the authority 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	<ul style="list-style-type: none"> • Local Community Engagement Strategy. • Local Community Engagement toolkit. • Communications Management Plan. • Communications reviews by Senior Management Team. • Partnership Protocol (Partnership Communications Agreements) • 			<p>July 2014 - Council Courier focus on community engagement to remind staff of the strategy and procedures featured in the May 2014 edition.</p> <p>Feb 2015 - Community Engagement Strategy and toolkit being reviewed.</p> <p>Public Engagement S&I Task Panel.</p>
8B3	Establish a clear policy on the types of issue on which they will meaningfully consult or engage with the public and service users,	<ul style="list-style-type: none"> • Local Community Engagement Strategy. • Local Community Engagement toolkit 	<ul style="list-style-type: none"> • Review effectiveness of feedback mechanisms (inc. use of social media) 	TG	<p>July 2014 - Customer Services reviewed the complaints and feedback policy. This includes integrating messages and informal feedback from social media into the corporate reporting procedures. Annual report on complaints is submitted to Corporate Governance Committee</p>

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
	including a feedback mechanism for those consultees to demonstrate what has changed as a result.	<ul style="list-style-type: none"> • Consultation Strategy • Partnership Communications Agreements 			
8B4	Publish an annual performance plan giving information on the authority'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.	<ul style="list-style-type: none"> • Annual Review production (including performance against Corporate Strategic Plan and summary financial information) 			August 2014 - included in Daventry Calling summer 2014.
8B5	Ensure that the authority as a whole is open and accessible to the community, service users and its staff and ensure that it has made a	<ul style="list-style-type: none"> • Corporate Values promotion (inc. openness). • Constitution (inc. 'Article 3: Citizens Rights' and 'Part 6 B: Access to Information 			Feb 2015 - Judged as compliant with Local Government Transparency Code 2014.

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
	commitment to openness and transparency in all its dealings, including partnerships, subject only to the need to preserve confidentiality in those specific	Procedure Rules’). <ul style="list-style-type: none"> • Publication of Council and committee agendas and minutes on website. • Website information range. 			
		<ul style="list-style-type: none"> • Publication Scheme. 			
	circumstances where it is proper and appropriate to do so.	<ul style="list-style-type: none"> • Freedom of Information (inc. ‘Access to Information’ leaflet publication). 			

Supporting Principle

(8C) Making best use of human resources by taking an active and planned approach to meet responsibilities to staff.

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
8C1	Develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision	<ul style="list-style-type: none"> • Communications Management Plan. • Consultation and Negotiation Policy and Procedure 2009 revised 2014. 	<ul style="list-style-type: none"> • Formally include team members in service development eg. service planning • Formal performance management 	Managers SBw	Year-End - Presentation/staff meeting for employees in March encouraging participation in service delivery planning.

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
	making.	<ul style="list-style-type: none"> Unison Liaison 	<p>process exists and current flowchart revised appropriately (for appraisal system), but actual performance management process and disseminating needs to be revisited.</p> <ul style="list-style-type: none"> A review of the performance management process publication on Davnet to be carried out as new Corporate Strategic Plan has been approved. 	SBw	