Daventry District Council
Local Code of
Corporate Governance

2015/16

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.	• Constitution (Part 5: Strategy Group responsibility for strategic policy and budget formulation; full Council responsibility for policy and budget approval). • 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
		Council, led by its Strategy Group. • Corporate Strategic Plan 2014-2017 translation of Vision and Objectives into measures and targets for service planning purposes. • IIP status Silver accreditation. • Communications Management Plan. • Daventry Calling magazine, Annual Review and Council Courier publications. • Marketing brochure published 2015. • Love Daventry campaign (working with Northamptonshire Enterprise Partnership)			
3A2	Review on a regular basis the authority's vision for the local area and its implications for the	• Review of Vision and Objectives by full Council every three years, and its measures and targets			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
	authority's governance arrangements.	every year, led by its Strategy Group. • Full Council's review and determination of its governance arrangements for achieving its Vision and Objectives. • Full Council's review of its Strategic Risk Register, via Strategy Group. 2015/16 Register adopted by Council. • Review of governance arrangements against amended CIPFA / SOLACE guidance on Local Code of Corporate Governance and Annual Governance Statement.			
3A3	Ensure that partnerships are underpinned by a common vision of their work that is	• Daventry Local Strategic Partnership's (LSP) adoption of Daventry District Community			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
	understood and agreed by all partners.	Strategy 2014, incorporating the Council's Vision and Objectives or equivalent. • 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 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 /			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		West Northamptonshire Joint Planning Unit). • Community Strategy reviewed and adopted by Council June 2014, following LSP endorsement and consultation.			
3A4	Publish an annual report on a timely basis to communicate the authority's activities and achievements, its financial position and performance.	• Annual Review production (including performance against Corporate Strategic Plan and summary financial information). • 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

	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.	• Corporate Strategic Plan priority measures and targets for service planning purposes. • 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. • Service Plans, with priority and local measures and targets. • Revised Equality Scheme adopted in July 14. • Equalities Steering Group review of impact assessments from service areas.		SBw	July 15 – New Engagement Strategy adopted by Council. This includes a proposal for triannual public survey, to feed into Corporate Strategic Plan reviews.
		• Public consultations with service users ahead of specific policy or service changes e.g. housing allocations. • Formal Performance Management Framework in operation (inc.			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		quarterly reports to Portfolio Holders and Senior Management Team and Scrutiny & Improvement Committee).			
		• Deputy Chief Executive/Manager monthly service reviews, via template. • Managers' monthly service team reviews.			
3B2	Put in place effective arrangements to identify and deal with failure in service delivery.	• 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.			
		• Customer Feedback and Complaints Procedure			Sept 15 – Revised Customer Feedback and Complaints Procedure implemented.

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		reviewed March 2015			Oct 15 – S&I Corporate Complaints task panel recommendations agreed by Council.
		• Daventry Calling 'Contact Us' prompt facility.			
		• 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.			June 15 – Corporate Governance Committee request for combined Corporate Complaints and Local Government Ombudsman Complaints report agreed. (To be implemented from June 2016.)

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.	• Value for Money corporate guidance on intranet. • Revised Partnership annual review template directly addresses VfM of partnerships. • External Audit ISA 260 Value for Money opinion. • Constitution (Contract and Procurement Regulations). • Corporate Procurement Strategy 2012-2015	• Review VfM guidance on Council's intranet (Davnet) (fit for purpose?) • Consider cost-benefit analysis for some projects to measure social and community capacity – measuring added value (as used by Age UK and DDH).	SBw MT	Dec 15 - The existing quick guide is a useful summary, although largely superseded by the Procurement Toolkit. Sept 15 – Review of added value models being undertaken. May 15 - Corporate Procurement Strategy 2015 – 2018 adopted by Council.
		• Senior Management Team reports. • Community Right to Challenge programme in place. • Corporate Procurement and Efficiencies Working			Dec 15 – Template for Inter Public Sector Cooperation agreed.

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		Group (CPEWG) reports (e.g. standing item on Savings Projects). • CPEWG five year rolling review of ICT systems • Resources Working Group reports on service/financial performance monitoring.			
3C2	Measure the environmental impact of policies, plans and decisions.	• 'Environmental implications' in all committee reports, via corporate report template. • Environmental Objectives with measures and targets. • Accredited to the Investors in the Environment (iiE) scheme Nov 2013.	• Consider strategic review of environmental impact of collective decisions.	MT	

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 practice.	• Constitution (inc. Articles 7, 11 and 12; Responsibility for Functions; Council and Committee Procedure Rules; Appendix - Expectations of Head of Paid Service).			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		• Strategy Group portfolios. • Councillor Development Policy and Strategy. • Councillor role descriptions (for Leader and Portfolio Holders). • Plain English statement of the roles of, and within, the Council's political and managerial leadership. • Democratic process hand-out and flowchart for induction. • Website entries for Chief Executive/Deputy Chief Executive/Managers also available on website.	• Review of role of Members (all) Descriptions for possible endorsement by Learning & Development Group (if necessary)	RD	Dec 15 - Review of role descriptions drafted.
4A2	Set out a clear statement of the respective roles and responsibilities of other authority	• Constitution (inc. Articles 2, 4, 6, 8, 11, 12; Council and Committee Procedure Rules;			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
	members, members generally and senior officers.	Scrutiny & Improvement Procedure Rules; Protocol on Member/Officer Relations; Appendix – Functions of a Councillor). • New legislative responsibilities included (e.g. Development Consent Orders) • Councillor Development Policy and Strategy.			
		• Councillor role descriptions (for Leader of the Opposition, Chair of Scrutiny & Improvement Committee and general). • Scrutiny & Improvement Committee. • Corporate Governance			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		Committee.			
		• Chief Executive, Deputy Chief Executive and Managers' job descriptions.			
		• Roles of statutory officers and clarifying Member/Officer relation on the 'About Us' section of the DDC website			

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 reserve powers within the Constitution, including a formal schedule of those	• Constitution (inc. Articles 12, 14; Responsibility for Functions). • Constitution annual review. • Full Council			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
	matters specifically reserved for collective decision of the authority, taking account of relevant legislation, and ensure that it is monitored and updated when required.	confirmed delegated responsibility to the Monitoring Officer to annually update the Constitution with minor factual changes. • Guidelines issued to ensure compliance with Openness of Local Government Bodies Regulations regarding certain delegated officer decisions.			
4B2	Make a Chief Executive or equivalent responsible and accountable to the authority for all aspects of operational management.	• 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. • Plain English statement of the responsibility for			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		operational matters being with the Chief Executive and other officers on website. • Corporate Performance Management Framework.			
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.	• 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	• Constitution (inc. Article 11; Responsibilities for Functions).	• Production of Chief Financial Officer and SMT Protocol, defining the relative role and contribution of the statutory	TG	

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
	ensuring that appropriate advice is given on all financial matters, for keeping proper financial records and accounts, and for maintaining an effective system of internal financial control.	• Chief Financial Officer job description/person 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.	Chief Financial Officer.		
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.	• Constitution (inc. Article 11; Responsibilities for Functions). • Deputy Chief Executive job description / person specification with Monitoring Officer responsibility. • 'Legal Implications' in all committee reports, via			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		corporate report template.			
		• Recording of Chief Executive decisions in Senior Management Team minutes, as necessary.			
		• The Openness of Local Government Bodies Regulations 2014 briefing note supplied to Members and staff as guidance. Committee agendas, signage and rules adjusted. Constitution duly amended.			

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	• Constitution			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
	to ensure effective communication between members and officers in their respective roles.	(Protocol on Member/Officer Relations). • Supplementary Codes of Conduct on Housing, Planning and Licensing matters in place. • Induction for New Members event.			
4C2	Set out the terms and conditions for remuneration of members and officers and an effective structure for managing the process, including an effective remuneration panel.	• Constitution (Members Allowances Scheme). • Independent Remuneration Panel in operation annually. • Officers' Job Evaluation Scheme. • Pay Policy Statement. • Employee Handbook (inc Pay and Benefits). • Formal process in place for setting pay increases. Discussions at Unison Liaison meetings			Oct 15 – Refresh of membership of Independent Remuneration Panel agreed by Council.

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
4C3	Ensure that effective mechanisms exist to monitor service delivery.	• 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. • Deputy Chief Executive/Manager monthly service reviews, via template. • Managers monthly service team reviews.	• Assurance mapping	SP	Oct 15 - An assurance mapping exercise is being undertaken to identify the nature of assurance provided to the Council from third parties including partner authorities, as well as assurances provided by this Council to others, and also to identify any gaps. Primarily this work will inform the audit planning process but may well become useful to management if eventually aligned with or embedded into corporate risk management arrangements. Dec 15 - Exercise partly undertaken but put on hold due to former senior auditor leaving. Will be completed 16/17.
		• Customer complaints and feedback			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		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.			
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	• 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.	• Conduct formal consultation with employees, partners and Peoples Panel annually on Corporate Strategic Plan.	SBw	July 15 – New Engagement Strategy adopted by Council. This includes a proposal for triannual public survey, to feed into Corporate Strategic Plan reviews.

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
	stakeholders, and that they are clearly articulated and disseminated.	• Peoples Panel engaged on focused consultation on Corporate Strategic Plan measures • Public Engagement S&I Task Panel recommendations approved by Council Dec 14. • Strategy Group, Senior Management Team and Chief Financial Officer's development of			
		• Medium Term Financial Plan and Annual Budget, subject to scrutiny and decision by full Council. • Corporate Strategic Risk Register review and refresh via full Council. • Council tax and service priority periodic reviews, via Council.			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		• 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 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.	• 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 /			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		Daventry Regeneration Partnership Board / NBC & DDC Environmental Services Partnership Board / Northamptonshire Waste Partnership).			
	Ensure that there is clarity about the legal status of the partnership.	• Terms of Reference and Service Level Agreement variously specified for some key partnerships (e.g. Northamptonshire Waste Partnership).			
		• Annual Review of partnerships expressly seeks clarity, via template.			
	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	• Generic Council Partnership Policy Statement and Protocol.			
		• Terms of Reference and Service Level Agreement variously specified for key partnerships (e.g., Northamptonshire			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
	decisions.	Waste Partnership).			

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.	• 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			
		• Management			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		competencies incorporated into appraisal system for service managers. • 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.			
5A2	Ensure that standards of conduct and personal behaviour expected of members and staff, of work between members and staff and between the	• Code of Conduct for Members, and local Supplementary Codes, with better-than-statute requirement for compliance.			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
	authority,				
	its partners and the community are defined and communicated through codes of conduct and protocols.	• 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 (including updated checklist. • Grievance Procedure. • Disciplinary Procedure. • Staff appraisal system. Management competencies incorporated into appraisal system for service managers. • Partnership Protocol. • Updated Anti-Fraud, Bribery & Corruption	• Review and consider adoption of SOLACE Employee Code of Conduct.	SB	Sept 15 - Revised Code drafted by SOLACE Feb 16 - Members Learning and Development event on Code of Conduct with external provider.

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		Policy. • Revised policies and response plan relating to fraud, bribery and corruption (inc. anti-money laundering) adopted by Council			
5A3	Put in place arrangements to ensure that members and employees of the authority are not influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders, and put in place appropriate processes to ensure that they continue to operate in practice.	• Constitution (inc. Codes of Conduct, Responsibility for Functions, Financial Regulations, Contract and Procurement Regulations) with annual and periodic review. • 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'.			Feb 16 - Members Learning and Development event on Code of Conduct (and including bias) with external provider.

Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
	• Staff protocol (e.g. The Daventry Estate Company Limited).			
	• Register of Employees Interests and Outside Commitments. • Monitoring Officer advice circulation to Members (eg. on Predetermination and Bias, and on Council Tax setting). • Appeals & Standards Committee. • Appeals training takes place prior to hearings. • Employee Handbook references to expectations. • Standards and Code of Conduct training for Members. • Councillor learning and development events, inc. Code of Conduct training.			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		• Staff induction. • Equalities training for Members and employees. • E-learning modules for employees on Equality & Diversity and dignity at Work.			March 16 – 30% of Members have completed Equalities training e-learning module.

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 for both the organisation and staff reflecting public expectations and communicate these with members, staff, the community and partners	• Corporate Values adopted and consistently referenced in communications such as Council Courier and Daventry Calling, DDC Website and Intranet. • Code of Conduct for Members, and local Supplementary Codes. • Protocol on the Conduct of Members.			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		• Protocol on Member/Officer Relations. • Social Media protocol. • Code of Conduct for Employees. • Customer care training for all new employees reflects the values.			
		• 'DDC Management Development Competencies' framework applied. • SMT meetings, Team Briefs and staff meetings' reinforcement of leadership expectations and values. • Employees are appraised by reference to the values. • Annual staff meeting/presentation for employees in encouraging participation in service delivery planning.			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		• Updated management development competencies used in appraisals for service managers.			March 16 - Leadership competencies for Managers also incorporated into appraisals.
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	• 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). • 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).			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		• Appeals and Standards Committee annually reviews effectiveness, identifying additional training needs and procedural enhancement.			
		• Local choice made by full Council to establish Appeals and Standards Committee, assisting with developing and reviewing ethical behaviour.			
		• 'DDC Arrangements for Dealing with Allegations of Breaches of the Code of Conduct for Members - 2012'.	Operational Protocol in place with the Police in dealing with alleged criminal offences, arising from the Localism Act and disclosure of pecuniary interests etc. (Police approached with suggested Operational Protocol - formal response awaited.	SB	July 15 - Appeals & Standards Committee resolved to urge Police to agree to Protocol
		• Annual review of the Local Code of Conduct for Members 2012 and 'DDC Arrangements for Dealing with			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		Allegations of Breaches of the Code of Conduct for Members - 2012' via Appeals and Standards Committee.			
		• Confidential Reporting Policy for employees to report improper conduct or standards of practice below that expected on Intranet. • Counter-fraud whistleblowing arrangements on website following review of corporate fraud policies and arrangements. • Anti-Fraud, Bribery & Corruption Policy. • Mandatory E-learning Fraud module for employees.	• Effectiveness of e-learning fraud module to be reviewed by Internal Audit.	SP	March 16 – review carried out, improvements identified. March 16 – 86% of employees completed the e-learning module.
5B3	Develop and maintain an effective standards committee.	• Constitution (inc. Appeals & Standards Committee terms of reference and annual reporting requirements to Full			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		Council).			
		• Appeals & Standards Committee receives annual report on standards (inc. effectiveness of arrangements).			
		• Appeals and Standards Committee reviewed effectiveness, identifying additional training needs and procedural enhancement.			
		• 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).			
		• Hearing Panels convened to deal with alleged breaches of Code of Conduct.			
5B4	Use the organisation's shared values to act	• Constitution (inc. principles of decision making in 'Article 12:			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
	as a guide for decision making and as a basis for developing positive and trusting relationships within the authority.	Decision Making' and citing of values in 'Appendix: Functions of a Councillor'). • Citing of values in specific publications (inc Communications Handbook). • Updated management development competencies used in appraisals for service managers more overtly links values with management competencies.			March 16 - Leadership competencies for Managers also incorporated into appraisals.
5B5	In pursuing the vision of a partnership, agree a set of values against which decision making and actions can be judged. Such values must be demonstrated by partners' behaviour both individually and collectively.	• 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,			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		Daventry Regeneration Partnership Board / Daventry and South Northamptonshire Community Safety Partnership / NBC & DDC Environmental Services / Northamptonshire Waste Partnership / West Northamptonshire Joint Planning Unit).			
		• Partners and staff demonstration of values in partner liaison, part demonstrated by absence of complaints of failings.			
		• County Traveller Unit is an excellent example of a range of partners with different agendas coming together. Liaison officers engage travellers daily.			

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	• 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.			

Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
responsible.	• Scrutiny arrangements, to ensure timely and meaningful contributions to the development and review of council policies and performance. • 'Closing the loop' approach in play, after report back to S&I Committee on Council's progression of S&I recommendations. • All S&I recommendations considered by Council.			
	• Constitution (inc. 'Part 5' terms of reference and annual reporting requirements for Corporate Governance and Scrutiny & Improvement Committees; 'Article 6'; 'Part 6D Scrutiny			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		and Improvement Procedure Rules'). • Scrutiny & Improvement Committee annual work plan. • S&I Committee agreed to carry out post implementation reviews. • Scrutiny requests for training met.		TG	June 15 – Post implementation review of SLM task panel report to S&I Committee.
		• 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.			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		'Implications' and 'Background Papers'. • TDECL lessons learned corporate report commissioned. • CPEWG receives and considers Lessons Learnt reports from projects (in accordance with The Council's Project Management Methodology)	Organisational learning shared (from TEDCL lessons learned report)	SBw	Dec 15 - Report considered by SMT
6A2	Develop and maintain open and effective mechanisms for documenting evidence, for decisions and recording the criteria, rationale and considerations on which decisions are based.	• Council / Committee reports and minutes (professional advisors and authors). • Senior Management Team reports and minutes (professional advisors and authors). • Record of decisions included on website, as per Openness regulations. Link to officer decisions especially Planning			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		and Licensing 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.	• Constitution (inc. Codes of Conduct requiring registration and disclosure of pecuniary and other interests). • Register of Members Interests and Employees Outside Interests • Corporate agenda 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 and Development events (e.g. on			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		disclosing interests). • 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.	• 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).			
		• Constitution (inc. 'Part 5' terms of reference and annual reporting requirement for Corporate Governance Committee). • Annual review of	• Review need for		Sept 15 - Corporate Governance (Audit)

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		effectiveness as part of review of internal audit. • IA Charter approved by Corporate Governance Committee (23/01/14). Constitution has appropriate cross reference. • Detailed review of compliance undertaken for Annual Audit Review.	internal annual effectiveness review in light of external review 2016/17 and requirements of A&A Regs 2015.	TG/SP	Committee self-assessment reported. Sept 15 – Corporate Governance Committee resolved that an external review of effectiveness is carried out during 2016/17 and one interim internal review is carried out before the next external review in 2021/2022.
6A5	Ensure that effective, transparent and accessible arrangements are in place for dealing with complaints.	• 'DDC Arrangements for Dealing with Allegations of Breaches of the Code of Conduct for Members – 2012'. • Anti-Fraud, Bribery & Corruption Policy inc. whistleblowing arrangements. • Revised Customer Feedback and Complaints Procedure agreed.			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		• Feedback invited (inc. DDC website front page, Daventry Calling). • Corporate Governance Committee annual report on Ombudsman and 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.	• Councillor development needs assessment.		SBw	July 15 – New Engagement Strategy adopted by Council. This includes a proposal for triannual public survey, to feed into Corporate Strategic Plan reviews. May 2015 – Following S&I review, revised format and processes for reporting Corporate Strategic Plan approved by Council and implemented.
				TG/MT	June 15 – Corporate Governance Committee request for combined Corporate Complaints and Local Government Ombudsman Complaints report agreed. To be implemented from June 2016. Sept 15 – Revised Customer Feedback and Complaints Procedure implemented.
		• Councillor development events (inc. evaluation questionnaires).			
		• Leader/Deputy Leader/Portfolio Holders group and one-to-one			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		briefings/liaisons.			
		• Opposition party briefings/liaisons.			
		• Council committees and Senior Management Team calendars for timely report preparation.			
		• Consultation protocol for Council and committee reports.			
		• Community Engagement Strategy (adopted 2015) includes principles on for consultation on changes to or new strategies, policies or services.			
		• Council and committee reports required to cite all 'Implications', via corporate report template.			
		• Performance reporting to Senior Management Team and Portfolio			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		Holders.			
6B2	Ensure that proper professional advice on matters that have legal or financial implications is available and recorded well in advance of decision making and used appropriately	• Constitution (Article 11 duty to provide sufficient resources to Monitoring Officer and Chief Financial Officer). • 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.	• Corporate Risk Management Strategy and Policy. • Strategic Risk Register reviewed and 2015/16 Register adopted by Council. • '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 for Functions: Managers to have due regard to risks). • Risk Management Working Group (officer).	• Review effectiveness of Information Risk arrangements.	TG	June 15 – Corporate Governance Committee endorsed the Councils approach to Information Management (included management of information risks).

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		• Risk Management Champions (Deputy Chief Executive and Chair of Corporate Governance Committee).			
		• Resources Working Group (standing agenda item)			
		• Resources Manager has role of Senior Information Risk Owner (SIRO)			
		• 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			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		(external specialist facilitation and accreditation). • Financial and other risks citation required in all reports, via corporate report template.			
		• DDC Project Management Methodology incorporates 'Risk Log'. • Revised policies and response plan relating to fraud, bribery and corruption (inc. anti-money laundering) adopted by Council and Constitution updated.	• Development of fraud risk register to inform counter fraud strategy.	SP	Sept 15 – Progress reported to Corporate Governance Committee, register to be delivered early 2016. March 16 - An initial fraud risk register has been developed by using the results from Internal Audit's own planning process, by comparing the fraud risks identified at similar authorities, and from current and emerging fraud risks identified from national studies. The results from this work were used to inform the Council's first Counter Fraud Strategy. Further work is required to finalise the register of fraud risks by evaluating the inherent likelihood and significance of each risk together with the existing control environment to highlight any residual risks. Once the fraud register is complete consideration can then be

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
					given to integrating the fraud risks into the organisation's risk management arrangements, allowing them to be owned in the same way as other risks. The Council's insurers, Zurich, to provide consultancy to assist with completion of the risk register into a format acceptable by management.
		• 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 in place to which officers, staff and all those contracting with or appointed by the authority have access.	• Anti-Fraud, Bribery & Corruption Policy. • Counter-fraud and whistle-blowing arrangements promoted externally via DDC website and Council Courier. • Corporate Fraud Officer has been	• Internal Audit to develop a Counter Fraud Strategy which will include actions to further promote counter fraud and whistleblowing arrangements both internally and externally to the Council. Known actions arising at this	SP	June 15 - proactive approach to counter fraud endorsed by Corporate Governance Committee. Sept 15 – Counter Fraud Strategy and work programme endorsed by Corporate Governance Committee. For consideration by Strategy Group October 2015 and Council December 2015. Sept 15 – Review of whistle blowing arrangements in progress. Dec 15 – refreshed Anti-Fraud, Bribery & Corruption Policy and Response Plan, Confidential

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		appointed and in post.	point include the development of a fraud whistleblowing app and a review of the Council's whistleblowing arrangements against recently published good practice guidance.		Reporting Policy and Procedure. Accompanying Response Plan flowchart produced.
		• 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.	• 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	.		

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		Localism Act 2011) subject to other legal provisions. • 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.	• 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.			
6D3	Observe all specific legislative requirements placed upon them, as well as the requirements of general law, and in	• Constitution (inc. 'Article 12 Decision Making'; and, annual and periodic review to reflect current legal position)			
	particular to integrate the key	• Monitoring Officer duties (inc. ensuring			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
	principles of good administrative law – rationality, legality and natural justice – into their procedures and decision making processes.	lawfulness and promoting good governance). • 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.	• Councillor Development Strategy and Policy. • Prospective Members event. • Member Induction programme. • Learning and Development Policy for employees.	• Further Development of Davlearn	TG	Sept 15 – Complaints and Equalities modules added to Davlearn for all employees to complete. March 16 – Review of development programme for members to include annual financial development sessions, plus annual planning developments. Members expected to attend. Induction programme for members revised to include equalities e-learning module. LGA leadership programme for identified members.

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		• Mandatory Davlearn modules for employees. • Employee induction programme includes mandatory Davlearn modules for new starters • Officers as member of steering groups for regional CPD programmes.			Sept 15 - Separate Managers induction checklist/programme introduced.
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.	• Job Descriptions and Person Specifications. • Plain English roles of statutory officers included on website. • Constitution (inc. Article 11). • Direct access to specialist support staff and specialist advisors. • Subscriptions to sector resources (e.g. ACSeS, Westlaw). • Subscribe to national	• Council Courier feature on statutory responsibilities.	TG	March 16 – targeted for completion April 2016

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		best practice/guidance (e.g. Jim Button for licensing.) • Annual appraisals. • Senior Management Team participation in decision making. • Development sessions • Evidence of CPD • MO and CFO attend relevant training and development sessions, externally-led.			

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	• Councillor Development Strategy and Policy. • Councillor Development committee needs			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
	to enable roles to be carried out effectively.	analysis. • Councillor Learning & Development Group. • Learning and Development Policy for employees. • Staff appraisals. • Workforce Development Plan. • Annual Learning & Development Programme for employees.			
7B2	Develop skills on a continuing basis to improve performance, including the ability to scrutinise and challenge and to recognise when outside expert advice is needed.	• Councillor Learning and Development sessions programme. • Learning and development events (inc questioning and chairing skills). • Management development programme.			
		• Annual Learning & Development Programme for employees. • Davlearn mandatory	• HR and People Management Self-Assessment	TG	Feb 16 – self assessment drafted considered at SMT.

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		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	• 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 Committee and Corporate Governance Committee. • Councillor Learning and Development needs assessment through committees, individuals and officers.			
		• Councillor Learning			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		and Development programme.			
		• Management Development programme.			
		• Senior officers' appraisals.			
		• Leader appraisal of Chief Executive.			
		• Top Team Development Events.			

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.	• 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 and student placements identified as a priority in the Corporate Strategic			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		Plan. • Community-centric campaigns e.g. dog poo painting, Clean Up My Community.			
7C2	Ensure that career structures are in place for members and officers to encourage participation and development.	• Personal development plan process for members. • All Members encouraged to identify learning needs after elections. • Succession planning. Administration has 1-2-1 liaison with its Members to identify aspirations. Mentoring also deployed variously by Groups. • Appraisal process for employees.			March 16 – Mentoring training sessions for Members.

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.	• Daventry District Community Strategy published. • Vision and Objectives published. • Corporate Strategic Plan published. • Constitution (Part 1).			
8A2	Consider those institutional	• Stakeholder database established (inc. for	•		

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
	stakeholders to whom the authority is accountable and assess the effectiveness of the relationships and any changes required	consultation). • Local Strategic Partnership structure review. • Generic Council Partnership Policy Statement and Protocol. • Partnerships annual review, via corporate template.			
8A3	Produce an annual report on the activity of the scrutiny function.	• Scrutiny & Improvement Committee annual report to Council. • Corporate Governance Committee annual report to Council.	• Corporate Governance Committee self-assessment to be compiled, via template.	TG	Sept 15 - Corporate Governance (Audit) Committee self-assessment reported.

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.	• Daventry Calling and Council Courier publications. • Review of Daventry Calling February 2014 • Corporate social media channels (Twitter and Facebook). • 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. • Social Media guidelines for Members and revised social staff guidelines for staff agreed.			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		- Social media monitoring software purchased and monthly reports established to gauge online coverage and public engagement levels. - Video being developed as an additional publicity channel for local news sites alongside media releases. - Social media and webcast access for staff agreed. - Inclusion of social media access included in Surveillance Policy. - Revised Customer Feedback and Complaints Procedure. - Website. - Media releases and briefings.			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		• Peoples' Panel. • Public consultations. • Partnership Boards (inc. LSP / Daventry Regeneration Partnership Board / NBC & DDC Environmental Services Partnership. • 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	• Community Engagement Strategy adopted 2015. • Local Community Engagement toolkit. • Communications Management Plan. • Communications reviews by Senior Management Team. • Partnership Protocol (Partnership Communications Agreements)			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
	these competing demands	• Public Engagement S&I Task Panel			
8B3	Establish a clear policy on the types of issue on which they will meaningfully consult or engage with the public and service users, including a feedback mechanism for those consultees to demonstrate what has changed as a result.	• Community Engagement Strategy adopted 2015. • Local Community Engagement toolkit • Partnership Communications Agreements • Revised Customer Feedback and Complaints Procedure. • Annual report on complaints is submitted to Corporate Governance Committee			
8B4	Publish an annual performance plan giving information on the authority's	• Annual Review production (including performance against Corporate Strategic			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
	vision, strategy, plans and financial statements as well as information about its outcomes, achievements and the satisfaction of service users in the previous period.	Plan and summary financial information)			
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 commitment to openness and transparency in all its dealings, including partnerships, subject only to the need to preserve confidentiality in those specific circumstances where it is proper and appropriate to do so.	• Corporate Values promotion (inc. openness). • Constitution (inc. 'Article 3: Citizens Rights' and 'Part 6 B: Access to Information Procedure Rules'). • Publication of Council and committee agendas and minutes on website. • Information Charter • Website information range. • Guide to			June 15 – Reviewed Data Protection Policy and Manual includes the adoption of Privacy Impact Assessments and Privacy Statements.

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		Information.			
		• Information Access legislation eg FOIs, EIRs, DP, Reuse Regs, LG Transparency Code 2015			

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 making.	• Communications Management Plan. • Consultation and Negotiation Policy and Procedure 2009 revised 2014. • Unison Liaison • Annual presentation/staff meeting for employees encouraging participation in			

	Governance requirement	Evidence of Council compliance	Potential future action to sustain compliance	Lead Officer	Progress
		service delivery planning.			