

Derby City Council – Review of Arrangements for Corporate Governance

Dimension 3 – Structures and Processes

Code requirement	Source Documents as per CIPFA / SOLACE	Evidence	Compliance
(a) Clearly documented protocols governing relationships between members and officers.	Protocols	Code of Conduct - protocol on member/officer relationships. Standards Committee	Full
(b) Defined roles and responsibilities of executive and other members and senior officers.	Constitution	New Constitution - outlines roles and responsibilities. Protocol as per (a)	Full
	Record of decisions and supporting materials	Decisions made in meetings of the full Council, the Executive, and the committees are minuted. Reports and background papers All Executive decisions are collective Full schemes of delegation in departments eg Finance	Full

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(c) Members meet regularly to set the strategic direction of the authority and to monitor service delivery.	Schedule of council meetings	Strategic direction – Council Cabinet meets twice per calendar month Budget/Policy framework ensures involvement and scrutiny	Full
	Performance and management system	Quarterly reports on the performance of services	Full
	Financial standards and regulations	Part 4 of the Constitution handbook includes Corporate Financial Procedural Rules and Contract Procedures Rules.	Full
(d) Develop/maintain a scheme of delegated or reserved powers. Schedule of matters specifically reserved for the collective decision of the authority.	Constitution	Part 3 of the Constitution handbook includes scheme of delegations.	Full

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(e) Management processes in place for policy development, implementation and review, decision making, monitoring and control and reporting. Formal procedural and financial regulations to govern the conduct of the authority's business	Constitution	Constitution fully complies with the model scheme. Policy/Budget framework Call in procedure Overview & Scrutiny Financial Procedure Rules	Full
(f) Arrangements to ensure that members are properly trained for their roles and have access to all relevant information to carry out their roles effectively.	Members Induction Scheme	Members receive an induction.	Full
	Training for committee chairs	To be included in the training plan.	Partial
	Regular update sessions	Briefing Sessions	Full
	Training Plan	Training plan is being developed.	Partial
(g) Defined role of executive member, including responsibility to provide effective strategic leadership to the authority and ensuring that the authority successfully discharges its overall responsibilities for the activities of the organisation as a whole.	Constitution	The constitution handbook - part 3, part b sets out the responsibility of the Executive. Collective decision making	Full

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(h) Defined roles of Members in terms of their remuneration, and its review.	Constitution	Functions of the full council include adopting a scheme for members allowances, following receipt of recommendations from independent remuneration panel. Subject to annual review based on changes in portfolio.	Full
	Members' allowance scheme	Included in the Constitution handbook, Part 6 Codes and Protocols.	Full
(i) Chief Executive is made responsible to the authority for all aspects of operational management.	Conditions of employment	Constitution – Article 12.1 & 12.4 Included in contract of employment	Full
	Scheme of delegation	The first statement of 'Officers Areas of Responsibility' in Scheme of delegation for the Chief Executive states this.	Full

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	Statutory provisions	Constitution – Article 12.1&12.4 Included in the Scheme of delegation for the Chief Executive.	Full
	Job description/ specification	Job description – Head of Paid Service	Full
(j) Senior Officer is made responsible to the authority for ensuring that appropriate advice is given to it on all matters, for keeping proper financial records/accounts and for keeping an effective system of internal financial control.	Section 151 responsibilities	Director of Finance is CIPFA Qualified Included in Director of Finance - Scheme of Delegation.	Full
	Statutory provision	Constitution – Article 12.4 Statutory functions are included in Director of Finance - Scheme of Delegation.	Full
	Statutory reports	Included in the policies and plans that are required to be drawn up in the Director of Finance - Scheme of Delegation.	Full

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	Budget documentation	Budget and Policy Framework included in the Constitution handbook.	Full
	Job description/ specification	New Chief Officer job description	Full
(k) Senior Officer is made responsible to the authority for ensuring that agreed procedures are followed and that all applicable statutes, regulations and other relevant statements of good practice are complied with.	Monitoring officer provisions	Director of Corporate Services is the Responsible officer. Part 3, Part F of the Constitution handbook is 'Matters that are delegated to officers'	Full
	Statutory provision	Constitution – Article 12.3 Part 3, Part F of the Constitution handbook is 'Matters that are delegated to officers' which includes the statutory functions.	Full
	Job description/ specification	New Chief Officer job description	Full
(l) Defined roles of Senior Officers in terms of their remuneration, and its review.	Job description/ specification	Included as Part 3, Part F of the Constitution handbook is 'Matters that are delegated to officers'	Full

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Code requirement	Source Documents as per CIPFA / SOLACE	Evidence	Compliance
	Pay and conditions of service	Included in individuals contracts of employment	Full
	Performance review and appraisal	All employees are appraised through the Achievement and Development Scheme.	Full
(m) Clear protocols and codes of conduct ensuring implications for supporting community political leadership for the whole council are acknowledged and resolved.	Protocols governing member/manager relations	Part 5 of the Constitution includes Protocol on member/officer relations.	Full