

Code of Governance 2020: compliance checklist

The Code of Governance	Compliance (Y/N) Comments:	Evidence:	Action needed:
Principle 1: Mission and values			
The board sets and actively drives the organisation's social purpose, mission and values and through these embeds within the organisation resident focus, inclusion, integrity, openness and accountability.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Annual approval of the Derby Homes delivery plan to be submitted to the Council each year - this includes Mission, Values and Strategic Objectives	Action needed:
	Comments: The Board understands its unique status being both part of and not part of the Council as our owner. The Board reviews its mission and sets a delivery plan every year to be agreed with the Council.		By whom:
			By date:
Compliance: from principle to practice			
1.1 Mission: the board leads the organisation in pursuit of achieving its social purpose. The board sets the organisation's mission and values, and regularly reviews and reaffirms their relevance.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Annual approval of the Derby Homes delivery plan to be submitted to the Council each year - this includes Mission, Values and Strategic Objectives	Action needed:
	Comments: This is reviewed every year by both management and the Board		By whom:
			By date:

1.2 Resident focus: the needs and safety of the organisation's current and future residents and other customers are placed at the heart of the board's decision-making.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: A third of Board Members are tenants.	Action needed:
	Comments: The ALMO structure includes a very strong emphasis on tenant representation which Derby Homes has always strived to sustain.		By whom:
			By date:
(1) There are policies, frameworks and opportunities which enable, encourage and support residents and other customers to engage with, influence and contribute to strategic decision-making.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Board is one third residents. The Operational Board (OB) is constituted to consist of a majority of residents - tenants and leaseholder representatives are included in decisions on policy matters that affect tenants	Action needed:
	Comments:		By whom:
			By date:
(2) The board has access to insight into the views and needs of the organisation's residents and other customers (including insight into their concerns and complaints) and uses this to inform decisions where appropriate.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence:	Action needed: Area for improvement- Recruit to remaining Operational Board vacancies
	Comments:		By whom: Appointment Panel

	The Operational Board has a few vacancies and new members and needs to recruit to the remaining vacancies.	The DACP (independent residents' group) has direct representation on the Operational Board and is consulted on key decisions (e.g. rents and service charges). We also operate a Customer Voice panel to scrutinise any area of operation and make recommendations where it feels that improvements should be considered. Complaints are reported regularly to the OB	By date: September 2021
(3) There are policies in place which reflect that the safety of residents and other customers (as well as that of the workforce and the wider public) is an overriding priority, and the board receives reports annually on their operation.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: ROSPA Presidents Award for H&S. Extensive policies in place as well as risk assessments including for COVID-19. Report to Board on H&S every meeting. SMT meetings have H&S update every month and further meetings with Exec and unions as required	Action needed:
	Comments: Health and Safety forum is chaired by Board Member (H&S champion) and meets 6 times a year to focus on all H&S issues.		By whom:
			By date:
(4) The organisation regularly reports to its residents on how its commitments to	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence:	Action needed:

resident focus have been delivered.	Comments: Existing feedback to tenants has been shifting from paper to electronic gradually and can go further over time.	Derby Homes News is delivered to all homes 3 times a year. DH website is being refreshed to increase usability and feedback. Annual Report has won national awards (Public Finance Innovation)	By whom: By date:
1.3 The board demonstrates a clear and active commitment to achieve equality of opportunity, diversity and inclusion in all of the organisation's activities, as well as in its own composition. It has policies and statements which meaningfully demonstrate this commitment, and sets priorities and objectives for the organisation to achieve.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: DH has an Equalities forum and Board Champion for equalities who meet to review issues and make recommendations to the Board and management. Equalities reports and policies in place and reviewed. Data collated and considered by SMT and reported to the Board.	Action needed:
	Comments: Board has appointed a champion and has relevant reports and policies in place		By whom:
			By date:
(1) The board seeks regular assurance about how these commitments and objectives are being delivered in practice, and tracks progress against the priorities it has set.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Board Report March 2021 adopted the Equality Forum's workplan and objectives as the Board's own.	Action needed:
	Comments:		By whom:
			By date:

(2) The organisation annually publishes information about its work to deliver these commitments and objectives, and the progress it has made.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Following on from the Board setting its objectives it will report on progress through the Equalities forum back to the Board.	Action needed:
	Comments:		By whom:
			By date:
1.4 Culture: the board regularly considers and defines the culture and behaviours that will best enable the organisation to deliver its mission and values.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Delivery Plans for many years	Action needed:
	Comments: Plans have consistently reviewed and stated not only mission and strategic objectives but also the culture and standards - Values - that are expected of everyone in Derby Homes.		By whom:
			By date:
(1) The board leads by example and promotes the culture of the organisation.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Chair is Vice Chair of the National Federation of ALMOs. Councillors actively operate on DH Board in a non political manner to promote the positive nature of DH within the Council.	Action needed:
	Comments:		By whom:
			By date:
	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence:	Action needed:

(2) The board seeks regular assurance that its desired culture and behaviours are being enacted in practice in alignment with its mission and values.	Comments: Assurance on culture is a constant theme in all areas of the operation of the Board	Accounts and Delivery Plan reports,	By whom:
			By date:
1.5 Integrity: the board, its members and the organisation maintain high standards of probity and conduct.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Board Members sign up to an internal Code of Conduct and services agreement and abide by Standing orders which are periodically reviewed. Governance Committee scrutinises governance issues and recommends practice to the Board.	Action needed:
	Comments:		By whom:
			By date:
(1) The board adopts a formal code of conduct to which all its members adhere.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Code of Conduct	Action needed:
	Comments: Code of conduct in place		By whom:
			By date:
(2) The board has clear policies and procedures for its members to identify, declare, record and manage any actual, potential and perceived conflicts of interest.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence:	Action needed:
	Comments:		By whom:

		Sign up documentation, annual report of interests of not only Board members but also SMT.	By date:
(3) There is a publicly available register for board and committee member declarations of interest which is reported on annually to the board	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: annual report of interests [if not public make it so]	Action needed:
	Comments: check this is public?		By whom:
			By date:
(4) Where there is a material conflict of interest, any individual concerned withdraws from the board's discussions and decisions on relevant matters.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Standing orders	Action needed:
	Comments: Written into Standing orders that this is the case		By whom:
			By date:
(5) In case of a fundamental or ongoing material conflict, the board determines whether the person concerned should cease to be a board member.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Removal of former Vice Chair when he became Cabinet Member for Housing at the Council - Council advised that he could not continue	Action needed:
	Comments: Would take action in such an event - only recent case related to action by Council rather than the Board.		By whom:
			By date:
	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence:	Action needed:
	Comments:		By whom:

1.6 Accountability: the board operates openly and transparently, and demonstrates accountability to key stakeholders including residents, other customers, and partner statutory bodies.		Board meetings are open to the Public. Questions are allowed at meetings. AGM held each year for shareholder. Regular oversight meetings with the Council as client at all levels.	By date:
(1) The board publishes information annually about the organisation's activities, performance and plans for future improvements which is accessible to its key stakeholders, and covers the matters referred to in this code.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Self assessment reports have been made public and are available on our website. Similar openness relating to the Delivery plan, accounts and Board meetings. Performance statistics published via Council's performance team and system.	Action needed:
	Comments:		By whom:
			By date:
(2) The organisation systematically identifies and regularly communicates with its key stakeholders and receives feedback about their views. In doing so it has regard to the communication needs of the diverse groups and communities it serves.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Regular canvassing of opinion of residents. Follow up to all negative feedback on repairs and complaints.	Action needed:
	Comments:		By whom:
			By date:
	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence:	Action needed:

(3) Opportunities and information are provided for residents and other customers independently to scrutinise the work of the organisation and to hold it to account, and the board reviews these arrangements regularly to ensure that they remain fit for purpose.	Comments:	Customer Voice (formerly Scrutiny panel) is supported by DH officers and offered the opportunity to investigate and report on any area of operations.	By whom:
			By date:
(4) The organisation publishes clear and up-to-date information about its board members, committees, and governance.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Website has information on all these aspects. Board papers other than confidential accessible on the web	Action needed:
	Comments:		By whom:
			By date:
(5) The organisation responds in a considered, open and transparent way to requests for information about its work, activities, and decisions made by the board, where it cannot provide certain information it gives clear reasons as to why this is the case.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Data protection and FOI officer employed with specific remit on this and GDPR issues. Responses dealt with in an open manner.	Action needed:
	Comments: Responses dealt with in an open manner.		By whom:
			By date:
(6) The role of shareholders in the governance of the organisation is documented and understood.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence:	Action needed:
	Comments:		By whom:

	DCC are our only shareholder	Governance arrangements make clear that the Council is our 100% owner and that the Council is the Person with Significant Control (PSC) for Derby Homes.	By date:
(7) Organisations with open shareholding publish their policy for admission of shareholders.	Yes <input type="checkbox"/> No <input type="checkbox"/>	Evidence: M&As	Action needed:
	Comments: N/A Shareholding is closed to DCC only.		By whom:
			By date: N/A
1.7 Reputation and trust: the board takes into account in its actions and decisions the importance of maintaining trust in the organisation and upholding its reputation.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Board papers over many years. Risk management approach includes reputational damage as a metric.	Action needed:
	Comments:		By whom:
			By date:
Principle 2: Strategy and delivery			
The board sets ambitions, plans and strategies which enable the organisation to fulfil its social purpose and remain viable and sustainable, and exercises demonstrable and effective oversight of their delivery.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Board budget setting arrangements and delivery plan setting, monitoring and outcomes all reported	Action needed:
	Comments:		By whom:
			By date:

Compliance: from principle to practice			
2.1 Strategy, resources and plans: the board sets the organisation's overall direction and strategy in line with its charitable, community benefit or other constitutional purposes.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Delivery Plan, Budget, long term planning horizon for investments, consideration of homelessness spend above income	Action needed:
	Comments: The Board has clear ambitions to both grow the stock at a moderate pace but also to support Council services especially homelessness to a degree beyond our annual income for those services.		By whom:
			By date:
(1) The board sets financially sustainable plans to ensure that the organisation has the resources it needs to deliver its strategy.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Budget papers every year and planning meetings plus finance training on an annual basis.	Action needed:
	Comments: Board plans are clearly financially sustainable and have been altered according to prevailing situations.		By whom:
			By date:
	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence:	Action needed:
	Comments:		By whom:

(2) The board gives specific consideration in setting such plans to value for money, financial sustainability; carbon neutrality and environmental sustainability; and social sustainability.	Vfm and finances are routinely considered and stable, carbon/environmental/social policies are an area that are good on the ground but need to be updated.	VfM report every year to OB and Board, financial sustainability through budget process, carbon use is reported in annual accounts, social value policy in place. All Board reports consider impact on environment and finances amongst other things.	By date:
2.2 Structures: organisational and governance structures support the delivery of the organisation's social purpose and strategic objectives.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence:	Action needed:
	Comments: Single company PRP structure works for limited scale of owned property (well under 1,000 owned properties)		By whom:
			By date:
(1) Structures are designed to support effective delivery and oversight of strategy, are clearly set out, and are regularly reviewed to ensure they remain fit for purpose.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: ALMO reviews over many years.	Action needed:
	Comments: ALMO reviews over last decade have each come to the same conclusion - that the single company structure is the most efficient and effective for our current plans.		By whom:
			By date:

(2) The board considers regularly whether the organisation's purpose could be better achieved through changes to its group, governance or staffing structures.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Example of the enhanced Fire Safety team considered by Board in September 2020 Governance arrangements and reviews	Action needed:
	Comments: Any major (over £250k/yr) change to staffing structure requires Board approval, governance committee considers all governance issues including rule changes on a regular basis.		By whom:
			By date:
2.3 Working with others: within the organisation's overall corporate strategy (or associated strategies and plans) there is consideration given to whether and how active cooperation, collaboration, joint working or partnership with other organisations could enable it to deliver its social purpose and strategies more effectively and economically.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Homelessness strategy, working with the Council on many issues beyond narrow remit	Action needed:
	Comments:		By whom:
			By date:
2.4 The chief executive: the organisation has a chief executive, or equivalent, with the delegated authority to oversee and manage operational delivery of the strategies set by the board.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Governance arrangements	Action needed:
	Comments: Chief Executive is the Managing Director to avoid confusion with the Council's Chief Executive in internal communications.		By whom:
			By date:

(1) The responsibilities of, and delegations to, the chief executive are clearly set out.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Delegation of Authority	Action needed:
	Comments: Delegation of Authority in governance arrangements sets out a lot of detail.		By whom:
(2) The chief executive has a formal contract of employment; this and the remuneration under it are reviewed regularly, with independent advice as required.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Governance Committee paper on Exec pay December 2017	Action needed:
	Comments: Last review of exec pay was in 2017		By whom:
(3) The chief executive's remuneration package is set at a level which is proportionate to the organisation's size, complexity, level of risk, and resources; it is also aligned with the organisation's social purpose and wider reputation.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Governance Committee paper on Exec pay December 2017	Action needed:
	Comments: Report makes reference to these issues.		By whom:
	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Leaving Work policy	Action needed:
	Comments:		By whom:

(4) If the chief executive's contract is to be determined, any extra contractual severance payments or benefits are approved by the board with the reasons, costs and reputational risks clearly minuted.	Not happened yet but any payment above procedures has to be approved by the Governance committee and policy states that any additional costs must be approved by governance committee.		By date:
(5) There is a formal process for the chief executive's annual appraisal, overseen by the board or an appropriate committee.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Process exists but is out of date	Action needed: Area for improvements - appraisal process needs to recommence
	Comments: This is overdue - was postponed as a result of the pandemic		By whom: Chair
2.5 Workforce: the board ensures that its workforce policies and practices support the success of the organisation and reflect its values and its commitments to equality, diversity and inclusion.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Personnel policies include many aspects of positive support for those requiring it and an approach to equality that promotes diversity and inclusion.	Action needed:
	Comments:		By whom:
	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence:	Action needed:
	Comments:		By whom:

(1) The board has access to insight into the views of staff, such that their opinions and needs are understood, and influence the board's decisions as appropriate.		Annual Report on equalities, updates on staff matters through Managing Director's report. Staff Survey results.	By date:
(2) The board determines a strategy for remuneration of the workforce which is aligned to the organisation's size and complexity, and to its purpose and values.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Adoption of NJC and Trades standard remuneration scales other than for Executives. Exec pay reviewed by Governance Committee and compared to similar organisations in size and complexity - December 2017 review.	Action needed:
	Comments:		By whom:
			By date:
(3) The board has policies on the safety and wellbeing of its workforce and reviews their effectiveness.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: H&S policy. Wellbeing initiatives. Employee feedback through surveys. Risk Assessments in place for known risks. Access to Employee support/ wellness independent of DH.	Action needed:
	Comments:		By whom:
			By date:
	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence:	Action needed:

2.6 Performance: the board has demonstrable oversight of the organisation's performance.	Comments: Oversight of performance can be strengthened at Board level. OB given the task along with the Council as owner. Board get reports in Part C but wish to highlight any exceptions.		By whom:
			By date:
(1) The board exercises active and regular oversight of delivery of strategies and plans. This includes scrutinising key operational and finance performance information, and information concerning resident insights and satisfaction.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence:	Action needed:
	Comments: Lots of data is provided especially around performance and finance including resident satisfaction		By whom:
			By date:
(2) The board has assurance that the reports it receives provide an accurate picture of performance.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Internal Audit reports are required for any areas of concern to management on data. Performance reporting is handled by the Council semi independently from DH	Action needed:
	Comments: Safety statistics being subjected to additional scrutiny in view of forthcoming increased regulation in this area.		By whom:
			By date:
2.7 Group structures: organisations with subsidiaries ensure that these entities support and enhance delivery of the group parent's mission.	Yes <input type="checkbox"/> No <input type="checkbox"/>	Evidence:	Action needed:
	Comments:		By whom:

	N/A		By date:
(1) Where the group parent is not a registered provider, formal arrangements are in place to ensure that any registered provider subsidiaries remain compliant with their own charitable or community benefit purposes, and with regulatory requirements.	Yes <input type="checkbox"/> No <input type="checkbox"/>	Evidence:	Action needed:
	Comments: N/A		By whom:
			By date:
(2) Where a subsidiary is to be or has been established, the benefits, risks and relationship are reviewed by the board of the parent beforehand and thereafter regularly.	Yes <input type="checkbox"/> No <input type="checkbox"/>	Evidence:	Action needed:
	Comments: N/A		By whom:
			By date:
(3) The board of a parent organisation in a group structure has the responsibility and the reserve powers to direct, and if necessary, intervene in the governance of its subsidiaries.	Yes <input type="checkbox"/> No <input type="checkbox"/>	Evidence:	Action needed:
	Comments: N/A		By whom:
			By date:
	Yes <input type="checkbox"/> No <input type="checkbox"/>	Evidence:	Action needed:
	Comments:		By whom:

(4) The constitutional relationship and arrangements between parent and each subsidiary including how oversight and control will be exercised, are formally documented.	N/A		By date:
(5) The board of the parent approved the group's plans and budgets, and holds the board of each subsidiary accountable for the delivery of its objectives.	Yes <input type="checkbox"/> No <input type="checkbox"/>	Evidence:	Action needed:
	Comments: N/A		By whom:
			By date:
(6) The board of the parent considers and determines whether and how this code should apply to each of its subsidiaries.	Yes <input type="checkbox"/> No <input type="checkbox"/>	Evidence:	Action needed:
	Comments: N/A		By whom:
			By date:
(7) Where, within a group, there are people who serve on more than one board, there is guidance and documentation to set out how board members must deal with their overlapping responsibilities and any resulting conflicts of interest.	Yes <input type="checkbox"/> No <input type="checkbox"/>	Evidence:	Action needed:
	Comments: N/A		By whom:
			By date:

(8) Where there is, within a group, a single or common board which governs more than one organisation, the organisation has documented how its meetings will be conducted, serviced and minuted.	Yes <input type="checkbox"/> No <input type="checkbox"/>	Evidence:	Action needed:
	Comments: N/A		By whom:
			By date:
2.8 Joint ventures and partnerships: organisations that set up joint ventures or partnership vehicles with external counterparties ensure that these are in support of their mission and objectives.	Yes <input type="checkbox"/> No <input type="checkbox"/>	Evidence:	Action needed:
	Comments: N/A		By whom:
			By date:
(1) There are formal documented arrangements concerning the accountability, performance, compliance, risk management and governance of such entities	Yes <input type="checkbox"/> No <input type="checkbox"/>	Evidence:	Action needed:
	Comments: N/A		By whom:
			Action needed:
(2) The benefits and risks of such entities are reviewed annually.	Yes <input type="checkbox"/> No <input type="checkbox"/>	Evidence:	Action needed:
	Comments: N/A		By whom:
			Action needed:
Principle 3: Board effectiveness			

The organisation is led by a skilled and diverse board which regularly reviews and capably manages its own performance and effectiveness, and ensures that it complies with this code.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: This review, previous adoption of the NHF 2015 Code and annual reporting on this issue to be stated in the accounts. Annual Board Effectiveness reviews at Board level	Action needed:
	Comments:		By whom:
			By date:
Compliance: from principle to practice			
3.1 Roles and responsibilities: the statutory and governance roles and responsibilities of the board, of its individual members, office holders and of others who work to the board are clearly set out.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Governance arrangements	Action needed:
	Comments: Governance arrangements all in one document		By whom:
			By date:
(1) The board elects or appoints a chair with appropriate skills to be responsible for leading the board and ensuring its effectiveness.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>		Action needed:
	Comments:		By whom:
			By date:
	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Governance arrangements	Action needed:

(2) The chair of the board does not chair and is not a member of the committee responsible for audit, nor does the chair of the board chair the committee responsible for remuneration.	Comments:		By whom:
			By date:
(3) Where there are executive board members, the board formally records and publishes policies about the role they play on the board and committees, and makes clear those matters for which they must leave the meeting, or not participate in debate or decision-making.	Yes <input type="checkbox"/> No <input type="checkbox"/>	Evidence: - no executive directors	Action needed:
	Comments: N/A - no executive directors		By whom:
			By date:
(4) The roles of chair of the board and standing committees (and those of vice chair or senior independent director as applicable) are not held by an executive.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: - no executive directors	Action needed:
	Comments: - no executive directors		By whom:
			By date:
(5) Executives are not members of the committees responsible for nominations, remuneration or audit.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: - no executive directors	Action needed:
	Comments: - no executive directors		By whom:
			By date:
(6) There is a clear, documented framework setting out delegations to staff, committees and subsidiaries.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Scheme of Delegations	Action needed:
	Comments:		By whom:

	No subsidiary companies		By date:
3.2 Functions of the board: there is a record of the essential functions and other matters which are reserved for board decision and cannot be delegated. In addition to matters set out in law, statute, regulations and in the organisation's constitution these include as a minimum:	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Scheme of Delegations	Action needed:
	Comments:		By whom:
			By date:
(1) Setting and ensuring compliance with the values, vision, mission and strategic objectives of the organisation, ensuring its long-term success;	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Delegation of Responsibilities in Governance Arrangements	Action needed:
	Comments:		By whom:
			By date:
(2) Establishing a culture that is positive, focused on the needs of current and future residents, other customers and other key stakeholders, and embeds equality, diversity and inclusion in the organisation;	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Delivery plans, policies, reporting structures, equality forum, reports, governance arrangements, mission/values	Action needed:
	Comments:		By whom:
			By date:
(3) Ensuring the organisation operates effectively, efficiently and economically;	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence:	Action needed:
	Comments:		By whom:

		Annual reports using Housemark and other sources to Board and Operational Board as well as formal accounts.	By date:
(4) Providing oversight, support, direction and constructive challenge to the organisation's chief executive and other executives;	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Regular discussions at Board meetings, monthly briefing session for Chair/VCs, Committee level challenges to reports, approvals required of significant spends.	Action needed:
	Comments:		By whom:
			By date:
(5) Appointing and, if necessary, dismissing the chief executive;	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Governance arrangements	Action needed:
	Comments:		By whom:
			By date:
	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence:	Action needed:
	Comments:		By whom:

(6) Satisfying itself as to the integrity of financial information, and setting and approving each year's budget, business plan and annual accounts prior to publication;		Budget - scrutiny day held in Nov/Dec in advance of meeting to set budget, approval in January to allow time to revise if necessary. Accounts scrutinised by external audit then Audit Committee before Board approval.	By date:
(7) Establishing, overseeing and regularly reviewing a framework of delegations to committees and staff;	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Scheme of Delegations	Action needed:
	Comments:		By whom:
			By date:
(8) Establishing and overseeing control and risk management frameworks in order to safeguard the assets, compliance and reputation of the organisation;	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Audit Committee scrutiny and recommendation to the Board each year on risk management	Action needed:
	Comments:		By whom:
			By date:
(9) Holding to account the organisation's subsidiary boards, committees and senior staff for the exercise of any powers delegated to them.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Constitutions of committees reviewed regularly	Action needed:
	Comments:		By whom:

			By date:
3.3 Board composition: board members have the attributes and time needed to govern effectively, and each member exercises independent judgement in doing so.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Skills matrix maintained; independent judgement required attribute in Board Members code of conduct.	Action needed:
	Comments:		By whom:
			By date:
(1) The organisation determines, documents and regularly reviews the board composition best suited to its needs; in the case of a group subsidiary, this may be a matter for the group parent.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Change from 15 to 9 members in 2013	Action needed:
	Comments: Matter for the Council as shareholder		By whom:
			By date:
(2) The board has between five and 12 members, including and co-optees and executive members.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Constitution	Action needed:
	Comments: 9 - one third tenants, Councillors and independents		By whom:
			By date:
(3) Executive board members, if appointed, are in a minority on the board and in the quorum for a board meeting.	Yes <input type="checkbox"/> No <input type="checkbox"/>	Evidence: - no exec members	Action needed:
	Comments:		By whom:

	N/A		By date:
(4) There is a dedicated senior board member (normally a vice-chair or senior independent director) with duties that include appraisal of the chair and assisting the chair to ensure the effectiveness of the board.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Evidence: Appraisals to take place this year and next - DH is behind at present with this process as a result of deferring in initial stages of pandemic	Action needed: Will be actioned May 21 making this area compliant. Add duty to vice chairs' role description.
	Comments: Not a dedicated duty at present		By whom: Board approval
			By date: May 2021
3.4 Board election, selection and appointment: the board has a diverse membership with the collective skills and attributes needed to govern effectively.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Skills Matrix kept and shared with appointment panel and Council (for DCC appointees)	Action needed:
	Comments:		By whom:
			By date:
(1) The board understands, states and regularly reviews the collective skills and attributes it requires to be effective.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Skills Matrix kept	Action needed:
	Comments:		By whom:
			By date:

(2) Prospective board and committee members undergo an open and merit-based assessment process to establish their suitability. Where the organisation's constitution provides for one or more board members to be nominated by an external body, or directly elected, the organisation ensures that those coming forward have the necessary attributes and qualities, and that they are aware of the responsibilities of the role, including those of exercising independent judgement.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: While the Board's constitution recognises that the Council has the right to nominate a third of the Board members, the induction process undertaken for all new members ensures that the need for an independent approach to Derby Homes matters. It is also open to the Board to reject any member that it regards as not have the necessary attributes and qualities.	Action needed:
	Comments: While this applies fully to tenant and independent board members, those nominated by the Council are not subject to any vetting by the Board in line with our constitution. We have, though, submitted our skills matrix to the Council to assist with their selection and to see if any gaps might be addressed		By whom:
	By date:		
(3) The membership of board and committees comprises people with diverse backgrounds and attributes, having regard to the diversity of the communities the organisation serves and in line with the organisation's stated commitments to equality, diversity and inclusion.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Diversity monitoring	Action needed:
	Comments: Within the constraints above, the Board appointments while based on merit have attempted to balance the Board composition wherever possible.		By whom:
	By date:		
	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: One third tenants on main board, majority tenants on OB.	Action needed:
	Comments:		By whom:

(4) People with direct lived experience of (or particular insight into) the communities served by the organisation are meaningfully engaged in governance structures.	This is why we prefer to have tenants on the Board and a majority on the OB.		By date:
(5) Shareholders who are not board members are supported and informed to play their proper constitutional role in the organisation's governance and in particular in the election of board members.	Yes <input type="checkbox"/> No <input type="checkbox"/>	Evidence: DCC only shareholder	Action needed:
	Comments: N/A		By whom:
			By date:
(6) The organisation annually publishes information about the appointment of new board members, and about the diversity, skills and attributes of all the board members.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Accounts detail all members during the year	Action needed:
	Comments: Each Board Member has short summary on website.		By whom:
			By date:
3.5 Committees: committees are established where the board determines that they will enable it to exercise more effective scrutiny, control or oversight of particular areas of the organisation's activity.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Committees are: Audit, Governance, Operational	Action needed:
	Comments:		By whom:
			By date:
	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Board agendas indicate reports back	Action needed:
	Comments:		By whom:

(1) Each committee has formally recorded terms of reference approved by the board, and reports regularly to the board on its work and the exercise of any delegated authority.	could add requirement to report on any exercise of delegated authority?		By date:
(2) The membership of committees is determined on the basis of the skills, attributes and diverse characteristics which the board determines are appropriate.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Audit - experience of relevant discipline helpful (bearing in mind limited pool of members), boosted by OB additional members with such skills; OB - majority of tenants but also one each sector (Cllr/Ind/Tenant) Board Member	Action needed:
	Comments:		By whom:
			By date:
3.6 Board remuneration: organisations paying non-executive board members have an objective mechanism for setting payment levels. This will normally be the responsibility of a committee responsible for remuneration, using independent advice. Such payment is:	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Governance Committee taking advice from the Council and external advice if required.	Action needed:
	Comments:		By whom:
			By date:
(1) Permitted by law and by the organisation's own constitution;	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Board approvals	Action needed:

	Comments:		By whom:
			By date:
(2) Agreed by the board as being in the best interests of the organisation;	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Board approvals	Action needed:
	Comments:		By whom:
			By date:
(3) Aligned with the organisation's social purpose and wider reputation;	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Board approvals	Action needed:
	Comments:		By whom:
			By date:
(4) Proportionate to the organisation's size, complexity, level of risk and resources;	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Comparators made when establishing the scheme, no change since original scheme applied other than to add GC chair to paid offices.	Action needed:
	Comments:		By whom:
			By date:

(5) Linked to the role's responsibilities, against which performance is reviewed;	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Only Chairs of Committees, Chair and VCs paid - no payment for Councillors	Action needed:
	Comments:		By whom:
			By date:
(6) Regularly reviewed, drawing on external advice as necessary;	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Report to Governance Committee April 2019 and Board November 2018.	Action needed:
	Comments: Last reviewed in 2019. Awaiting update from DCC on own allowance changes / inflationary increases.		By whom:
			By date:
(7) Disclosed in the organisation's annual financial statements.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Accounts	Action needed:
	Comments:		By whom:
			By date:
3.7 Tenure and renewal: tenure for non-executive board members (and independent committee members) complies with the organisation's constitution and is managed so as to enable the organisation to achieve an appropriately skilled, diverse and independent board membership.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence:	Action needed:
	Comments:		By whom:
			By date:

(1) The board has a strategy for its own renewal which is based on an agreed statement of the skills, qualifications, diversity and other attributes required.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Skills matrix, recruitment processes	Action needed:
	Comments: Board appoints appointment panel who are made aware of overall skills matrix and if any areas of weakness overall.		By whom:
			By date:
(2) Where a member is at the end of a term of office and is eligible for reappointment, this is subject to considering the member's performance and skills, and the needs of the board.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Constitution and Board resolution to subject renewal to a recruitment process	Action needed:
	Comments: Board tightened own renewal each three years by requiring an open recruitment each time - exception made in 2020 due to pandemic.		By whom:
			By date:
	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Evidence: Constitution	Action needed: Continued non compliance explanations for those Members exceeding 9 years.
	Comments:		By whom:

<p>(3) Maximum tenure will normally be up to six consecutive years (typically comprising two terms of office), but where a member has served six years, and the board agrees that it is in the organisation's best interests, their tenure may be extended up to a maximum of nine years.</p>	<p>DH Constitution limits to normal 9 years in line with previous Code and allows for further extension with the approval of the Board. This has been a consistent non compliance under the previous code and will remain so in the new one. The Board's view is that 6 years is too short for a maximum tenure and that 9 years would remain. The provision of open recruitment competition at each 3 year cycle is considered to be sufficient to ensure that membership is set for the organisation's best interest. With a limited membership and with thirds from tenants, councillors and independents, longer periods up to nine years and sometimes beyond are beneficial in maintaining an appropriate skills mix.</p>		<p>By date:</p>
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(4) A member who has left the board is not re-appointed for at least three years.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Evidence: Constitution	Action needed: Non compliance explanation will be necessary. Previous requirement was for not reappointed for a whole cycle which for councillors was one year and therefore compliant.
	Comments: The Council has the right to appoint members on an annual basis. It would be possible for a member to leave the board one year and return the next. While this hasn't happened, it could.		By whom: By date:
(5) These provisions concerning tenure apply to office held across all of the organisation's boards and committees, and those of predecessor organisations, including service as a co-optee.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Evidence: OB arrangement for Dennis Rees OBE	Action needed: Non compliance statement required
	Comments: Dennis Rees OBE has been appointed on a lifetime basis to the OB to reflect his long service and extensive knowledge of both Derby Homes and the sector.		By whom: By date:
	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Board papers	Action needed:

3.8 Conduct of business: the board and its committees conduct their business efficiently, and on the basis of an appropriate level and quality of information.	Comments:		By whom:
			By date:
(1) The board has appointed (and is responsible for the removal of) a company secretary who is accessible to all board and committee members and accountable to the board for advising on governance matters.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Company Secretary in place and accessible - supported by Governance Services manager and corporate support team	Action needed:
	Comments:		By whom:
(2) Board and committee meetings are quorate.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Minutes on CMIS	By date:
	Comments:		Action needed:
(3) Scheduled board and committee meetings are based on agendas and documents circulated well in advance. Decisions and the main reasons for them are recorded in the minutes.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Agendas on CMIS, circulated nine days in advance of the meeting to ensure receipt a week before.	By whom:
	Comments:		Action needed:
			By date:

(4) Urgent decisions between board meetings are taken in accordance with predetermined and formally recorded arrangements.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Urgent Actions - decisions recorded at next meeting and approved by at least two Chair and VCs.	Action needed:
	Comments: long established and working practice when necessary.		By whom:
(5) Meetings are fully inclusive and accessible, with adjustments made as necessary so that all members are able to attend and participate.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Payments of childcare invoices.	Action needed:
	Comments: Any requests for support are positively responded to. Childcare cover given where it is required.		By whom:
(6) Where meetings are conducted remotely, arrangements are made and support provided so that all members can fully participate and contribute.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Meetings now held on Skype with appropriate equipment given to any Board Members requiring it.	Action needed:
	Comments:		By whom:
(7) There is a policy and procedure setting out how disputes and grievances involving members of the board can be raised and are responded to.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Disciplinary policy Code of Conduct Members Services agreement	Action needed:
	Comments:		By whom:
			By date:

3.9 Board performance, review and learning: the board reviews and seeks to improve its performance.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence:	Action needed:
	Comments:		By whom:
			By date:
(1) All boards and committees consider their effectiveness annually and assess how they conduct their business, including their:	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Annual effectiveness review at Board level.	Action needed:
	Comments:		By whom:
			By date:
(a) Composition, skills, experience and diversity;	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Skills matrix updated with each change of membership - more than annually. Diversity reported via NFA survey.	Action needed:
	Comments:		By whom:
			By date:
(b) Effectiveness in role-modelling the desired culture, values and behaviours of the organisation;	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Lack of formal actions relating to Board Members.	Action needed:
	Comments:		By whom:

	The track record of the Board in role modelling the culture, values and behaviours of the organisation has been consistent for many years.		By date:
(c) Governing instruments, delegations, regulations, standing orders, structures, systems and other formal documentation as referred to in this code;	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Rules and policies all reviewed every three years	Action needed:
	Comments:		By whom:
			By date:
(d) Timing and frequency of meetings;	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Meetings set out a year in advance	Action needed:
	Comments: Slight adjustments to timing of meetings especially committees have been made but only when necessary - pattern of Board meetings is well established as last Thursday of every other month and is therefore known well in advance.		By whom:
			By date:
(e) Format of agendas, quality and scope of papers, minutes and communications;	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Agendas, minutes	Action needed:
	Comments:		By whom:

	changes have been made e.g. including Other Options considered. Changes required in 2020 as result of pandemic included making YouTube broadcasts available for public sessions, technological improvements to allow mixed attendance (ie physical and via internet) in the future.		By date:
(f) Effectiveness of decision-making, including how the views and needs of key stakeholders, including residents and other customers, have informed decisions;	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Lived experienced of tenants and residents is a key feature of the Derby Homes structure with 33% Board members tenants, majority residents on Operational Board, equalities forum and resident surveys and scrutiny through many routes as well as Councillor and MP questions and oversight from the Council.	Action needed:
	Comments:		By whom:
			By date:
	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Board report each May, inclusion of statements in annual accounts	Action needed:
	Comments:		By whom:

(g) Compliance with this code and legal duties.			By date:
(2) These matters are regularly and formally reviewed.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: See above - Board report each September on effectiveness	Action needed:
	Comments:		By whom:
			By date:
(3) All new board and committee members receive a full induction.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Induction process and papers	Action needed:
	Comments:		By whom:
			By date:
(4) All members have an agreed programme of ongoing learning and development opportunities, including to address needs identified through the appraisal process.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Regular training offered through an annual programme including external speakers	Action needed:
	Comments:		By whom:
			By date:

3.10 Member appraisal: A full, rigorous and documented appraisal process for the individual members of the board and its committees, including the chairs, is carried out at least every two years.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Evidence:	Action needed: Full process of Board Appraisal
	Comments: currently non compliant - due last year and postponed during pandemic - requires action to rectify this year		By whom: Board supported by Governance
(1) The appraisal of the board's chair is led by a senior board member, informed by the views of all board members.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Evidence:	Action needed:
	Comments: As above		By whom:
(2) There is an appropriate process for responding to under-performance by individual board members, and to any conduct which may breach policies or codes.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Code of Conduct Services Agreement Disciplinary process	Action needed:
	Comments:		By whom:
3.11 Compliance with this code: a compliance statement is published with the annual report, with an explanation given for any non-compliance.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Accounts	Action needed:
	Comments: Have consistently reported in accounts on 2015 Code and will do for this one		By whom:
			By date: September 2021

(1) Where the formal constitution of an organisation conflicts with the code, the constitution takes precedence.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Accounts and Board reports	Action needed:
	Comments: Constituion overrides 9 / 6 year limits.		By whom:
			By date:
(2) Where a statement of non-compliance is needed it sets out:	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence:	Action needed:
	Comments:		By whom:
			By date:
(a) The reasons for non-compliance, and an explanation of how the relevant principle in this code is being upheld; and	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Accounts and Board reports	Action needed:
	Comments:		By whom:
			By date:
(b) Summary plans for the achievement of compliance, if applicable.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Accounts and Board reports	Action needed:
	Comments: Previous reports have not needed this but this year will address any that require improvement especially in new areas of the Code.		By whom:
			By date:

(3) Where an organisation has subsidiaries which have not adopted this code, the reasons for this are given.	Yes <input type="checkbox"/> No <input type="checkbox"/>	Evidence: no subsidiaries	Action needed:
	Comments: N/A		By whom:
			By date:
(4) All policies, documents and statements referred to in this code are formally recorded as appropriate and are regularly reviewed.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: policy reviews	Action needed:
	Comments: Every three years a policy review is carried out		By whom:
			By date:
Principle 4: Control and assurance			
The board actively manages the risks faced by the organisation, and obtains robust assurance that controls are effective, that plans and compliance obligations are being delivered, and that the organisation is financially viable.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Audit Committee review risk registers each year and recommend approval to Board	Action needed:
	Comments: Well established processes, refined to align with Council approach last year, training carried out on risk appetite with external body.		By whom:
			By date:
Compliance: from principle to practice			
4.1 Audit: the board has formal and transparent arrangements ensuring that the	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: External Auditors and EA	Action needed:

organisation is financially viable and maintains both a sound system of internal audit and controls and an appropriate relationship with its external auditors.	Comments:	contract in place.	By whom:
			By date:
(1) The board can have confidence in the information it receives and there are robust internal controls and systems for business and control assurance in place which are reviewed annually.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence:	Action needed:
	Comments:	CMAF deliver internal audit.	By whom:
	Improvements on data?	council performance team check performance statistics Housemark reports each year	By date:
(2) There is a committee primarily responsible for audit, and there are arrangements for effective internal control assurance and audit functions.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence:	Action needed:
	Comments:	Audit committee	By whom:
		AC agendas and minutes	By date:
(3) The organisation's external auditors are independent and effective, and their appointment is reviewed at least every six years.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence:	Action needed:
	Comments:	BDO appointed on 6 year contract to 2022[check]	By whom:
			By date:
4.2 Audit committee: a committee exercises independent scrutiny and challenge to provide the board with assurance.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence:	Action needed:
	Comments:	Existence of AC, appropriate Membership, extension to OB members.	By whom:

			By date:
(1) The committee responsible for audit meets regularly and its minutes are available to the board.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Meets three times a year Report by AC chair to each following board meeting. Minutes attached.	Action needed:
	Comments:		By whom:
			By date:
(2) The committee exercises oversight of the internal and external audit functions.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Appointment of both made by AC and challenges to either	Action needed:
	Comments:		By whom:
			By date:
(3) The committee annually meets with the external auditors with only non-executives present.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Requirement at least once a year - and usually at each meeting.	Action needed:
	Comments:		By whom:
			By date:
(4) The chair of the committee is a member of the board and regularly reports to it.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: AC chair is a member of the	Action needed:

	Comments:	Board	By whom:
			By date:
(5) The membership of the committee includes at least one person with recent and relevant financial experience, proportionate to the size and complexity of the organisation.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Limited financial experience in the membership but does include both former Chief Executive and Member of Council's audit committee, so not directly financial but indirect experience especially for audit. professional support from both officers and auditors.	Action needed:
	Comments: Commensurate with the size and complexity of the organisation and the limited number of members, the Board has adequate financial experience.		By whom:
			By date:
4.3 Risk: the board retains ultimate responsibility for risk management and ensures that appropriate risk management arrangements are in place.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Approves registers annually after scrutiny by AC. Regular reports updating the position.	Action needed:
	Comments:		By whom:
			By date:
(1) The board may delegate the detailed scrutiny and evaluation of risk to a committee.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: AC delegated scrutiny role	Action needed:
	Comments:		By whom:
			By date:

(2) The board has a suitable risk management framework in place; it understands the organisation's risk profile and the effectiveness of key controls.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Risk registers - Strategic and Operational- includes mitigations and controls as well as appetite	Action needed:
	Comments: check previous		By whom:
			By date:
(3) The board establishes and documents its appetite for the risks the organisation faces in pursuit of its strategy.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Risk registers - Strategic and Operational	Action needed:
	Comments:		By whom:
			By date:
(4) The board ensures that the organisation is resilient to the risks it may face, with appropriate mitigations and a suitably comprehensive, tested and up-to-date business continuity plan.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: BCP	Action needed:
	Comments: BCP has been reviewed over last year at officer level		By whom:
			By date:
(5) The board includes members with skills and experience appropriate to the level and type of risks faced by the organisation.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Background of independent members varied but includes direct housing management and also senior leadership roles in previous careers	Action needed:
	Comments: Balance is good considering size and scale of risks being faced.		By whom:
			By date:

(6) The board regularly reviews the risks the organisation faces and how they are being managed; this includes the risks associated with activities carried out by subsidiaries or partnership vehicles.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Quarterly reports on risk registers	Action needed:
	Comments: No subsidiaries		By whom:
			By date:
(7) The board regularly participates in stress-testing of its plans, to identify the risks (or combination of risks) that may pose a material threat to the viability of the business and ensure that appropriate mitigations are in place.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Budget reports	Action needed:
	Comments: Stress testing for 2% loss of income / additional spending used in budget setting		By whom:
			By date:
(8) The organisation's annual report includes a statement about the risk management work of the board, including its understanding of principal and emerging risks and how these are being managed or mitigated.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Accounts	Action needed:
	Comments: Statement covers risk management approach and its application for many years.		By whom:
			By date:
4.4 Compliance: in line with its mission and values, the board retains ultimate responsibility for the organisation's compliance with all legal, statutory, regulatory and constitutional requirements.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Scheme of delegations Accounts	Action needed:
	Comments:		By whom:
			By date:

(1) The board has a robust internal control framework and has regular assurance about the effectiveness of key controls including controls to ensure compliance.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: CMAP and Performance reports independent of DH	Action needed:
	Comments:		By whom:
			By date:
(2) The board has regular assurance about compliance, including those requirements relating to the health and safety of residents, other customers and employees, and to safeguarding.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Board reports on H&S compliance	Action needed:
	Comments:		By whom:
			By date:
(3) The board publishes an annual statement setting out its approach to compliance and internal control.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Statement of internal control approved through Audit Committee and Board	Action needed:
	Comments: check previous?		By whom:
			By date:
4.5 Whistleblowing and confidential concerns: there are clear and well-publicised arrangements for members of staff and others associated with the organisation to raise confidential concerns with a designated non-executive member of	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Evidence: Whistleblowing policy and advice line independent of the company	Action needed: Clarify role of Chair of Governance to take lead on all whistleblowing.
	Comments:		By whom: Board

the board (other than the chair), where these are serious concerns and cannot appropriately be raised through the usual channels, and for these to be dealt with through proportionate and independent investigation as necessary.	Whistleblowing usually to Company Secretary and/ or Chair - if about either then also possible to the Chair of Governance.		By date: May 2021
(1) The board ensures that appropriate whistleblowing policies and procedures are in place.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: Whistleblowing policy and independent reporting	Action needed:
	Comments:		By whom:
			By date:
(2) The board (or an appropriate committee) regularly receives an account of matters raised under these policies, and actions taken in response.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Evidence:	Action needed: Annual Report on whistleblowing required to Governance Committee
	Comments: This is a new idea which should be actioned - not currently compliant but will instigate		By whom: Company Secretary
			By date: May 2021(for 2020)
(3) If a board member has concerns about the board or the organisation that	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: None - not happened to date	Action needed:

cannot be resolved, these concerns are shared with the board and formally recorded.	Comments:		By whom:
			By date:

This table was prepared by consultancy Campbell Tickell for the National Housing Federation.

See www.campbelltickell.com for further information.

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