

NHF EXCELLENCE IN GOVERNANCE

Sections D, E and F

D – Essential functions of the Board

Para-graph	Do we comply?	Comments
D1.1	X	Derby Homes' values, vision, mission and strategic objectives are not included in the Governance Arrangements. They are recorded in the Delivery & Business Plan
D1.2	✓	The Board has reserved the responsibility for approving strategies and policies. Delivery & Business Plan is annually reviewed and agreed by the Board. The Board has delegated responsibility to the Performance Management Committee to monitor the organisation's achievement of the Delivery Business Plan.
D1.3	✓	The Board approves annually the end of year accounts, budget and business plan. Prior to approval, scrutiny of the accounts and operating budget is delegated to Audit and Resources & Remuneration Committees.
D1.4	✓	A framework for the delegation of responsibility is contained in the Governance Arrangements. The Audit Committee is delegated responsibility for reviewing internal controls. Delegation of responsibility is not reviewed annually at present.
D1.5	✓	A framework for identification, management and reporting of risk is in place. The Performance Committee and Senior Management Team have been delegated responsibility for managing and reporting risk. The Audit Committee is responsible for reviewing the framework. A non-statutory statement of internal control is included in the financial accounts.
D1.6	✓	The Board has retained responsibility for agreeing policies (other than those relating to HR, which are approved by the R&R Committee), and any matter that results in incurring expenditure or savings in excess of £200,000 or has a significant impact on both North and South LHB areas.
D1.7	✓	The Board has delegated responsibility for these matters to the Resources & Remuneration and Performance Management Committees.
D1.8	✓	There are several mechanisms for communicating and receiving customer feedback. These include the DACP, Housing Focus Groups, Local Housing Boards, Questions to the Board, Satisfaction Surveys. Feedback is provided through the website, Derby Homes News and the annual report.

D1.9	✓	This has been established through a variety of ways including fortnightly Chair's meetings, interaction at meetings, briefings and training sessions, performance reviews as well as day to day contact.
D1.10	✓	This is covered in the Delegation of Responsibilities (Appointments Panel, Disciplinary Panel and Remuneration Committee).
D1.11	✓	The Board depends on the advice of the Company Secretary for governance and business law matters and Chief Executive for housing law. It also obtains advice from Council and external solicitors, accountants and other professionals as necessary.
D1.12	✓	The Governance Services Committee undertakes this role. To ensure full compliance, Committee could consider the inclusion of a compliance statement in the annual report and accounts and ask the Board and Audit Committee for approval.
D1.13	✓	The appointment process for the Chair of the Board is laid down in the Governance Arrangements (Article 38, Standing Order 1(e)).
D1.14	✓	The Board has established a Code of Conduct which includes expected behaviour for the Board.
D2	<p>*As a company owned by the Council, Derby Homes only has the power to approve certain significant matters. In order to obtain approval for any matter outside of its remit, the Board would need to to seek approval from the Council.</p> <p>Matters reserved to the Board are attached at Appendix 2 and are referenced below in brackets.</p>	
D2.1	✓	<p>The Board has reserved the responsibility to approve proposals for providing new/additional Housing, Maintenance & Financial management Services. 1(h)</p> <p>See * above regarding expanding the organisation's geographical areas.</p>
D2.2	NA	See* above.
D2.3	NA	See* above.
D2.4	✓	1(j)
D2.5		See* above.
D2.6	✓	We do not have a nominations committee. 1(e)
D2.7	✓	We do not have subsidiaries or nomination committee. 1(l)
D2.8	X	
D2.9	X	
D2.10	X	
D2.11	✓	1(a) and (b)
D2.12	X	Rules set out in Articles 27-30 and Code of Conduct.

D2.13	✓	2.1(a)
D3	NA	
D4	NA	
D5	NA	

E – Responsibilities of the Chair

Responsibilities of the Chair are attached at Appendix 3 and are referenced below in brackets.

Para-graph	Do we comply?	Comments
1	✓	(2)
2	X	
3	✓ X	First part (3) Second part
4	✓	(4)
5	✓	(5)
6	✓	(7)
7	X	
8	✓	(9)
9	✓	(11)
10	X	
11	NA	
12	✓	(12)
13	X	The Chair does this but it is not included in the list of responsibilities
14	X	
15	X	
16	X	

F – Conduct of the Board's business

Para-graph	Do we comply?	Comments
F1	✓	
F2	✓	
F3	✓	Board effectiveness is discussed as part of the Board appraisal process. The organisation's future has discussed regularly at Board meetings.
F4	✓	Yes
F5	✓	Yes
F6	✓	Yes

F7	✓	Equalities, Health & Safety Champions
F8	✓	This is ensured by having tenants on the Board.
F9	✓	
F10	✓	Contained in the Code of Conduct
F11	✓	
F12	✓	Contained in the Code of Conduct and Board Members Job Description