



*Our vision is
"to deliver excellent Housing Services"*

Governance Guide

Newark and Sherwood Homes Limited



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Stephen Feast

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Newark and Sherwood Homes Limited – Governance Guide

Introduction

Newark and Sherwood Homes is an Arms Length Management Organisation which was set up with effect from 1st November 2004 to manage, maintain and improve Council housing on behalf of Newark and Sherwood District Council and which has been able to secure additional investment to meet the Government's Decent Homes Standard.

Newark and Sherwood Homes is a non-profit making Company that undertakes the main housing management functions such as letting homes, repairs and maintenance, rent collection and estate management whilst the landlord will still be the Council. The Company has one shareholder, the Council.

The Company has responsibility for managing approximately 5,500 council homes in Newark and Sherwood along with approximately 160 staff.

The Board's purpose is to actively lead, direct and control the business of Newark and Sherwood Homes ensuring that the Senior Management Team effectively delegates the management of the Delivery Plan.

"Good governance leads to good management, good performance, good stewardship of public money, good public engagement and, ultimately, good outcomes" (Sir Alan Langlands, January 2005)

This Governance Guide has been implemented to support Directors of the Board in understanding and applying common principles of good governance in carrying out their role within Newark and Sherwood Homes. The Guide has been developed in line with The Good Governance Standard for Public Services and the Tenant Services Authority (TSA) Standard on Governance and Financial Viability.

In order for the effective governance of Newark and Sherwood Homes, Directors of the Board must be prepared to make the commitment to undertaking the responsibilities as detailed in this guide, and adhere to its protocols and codes of behaviour.

Section One

The Board – Terms of Reference of the Board

1. The role of the Board is to add value to Newark and Sherwood Homes, enabling it to deliver excellent housing services, sustainable homes and sustainable communities and service improvements. It does this by providing a framework of good governance within which the organisation can thrive and grow.

The Board has ultimate responsibility for the governance practice of Newark and Sherwood Homes. The Board's central role is to direct the organisation's work - that is to determine strategic direction, deliver the terms of the management agreement, and approve overall expenditure and policies.

The Board should:

- Set the Vision – where does the organisation want to operate or what does the organisation want to do.
 - Set the Objectives - the stages for reaching the Vision.
 - Define the strategy – the details of how the organisation will deliver the Objectives.
 - Define the Core Values – how should the organisation act and behave.
2. Management, that is the implementation, of the above, should be delegated to paid staff.
 3. The Board must provide active leadership in carrying out this role. Directors of the Board should take collective responsibility for decisions made by the Board. Each Director of the Board should act only in the interests of Newark and Sherwood Homes and not on behalf of any constituency or interest group.
 4. To discharge their responsibilities for the direction of Newark and Sherwood Homes, Directors of the Board should have or acquire a diverse range of skills, competencies and experience. These should cover the following broad areas:
 - Working as an effective team to take strategic decisions for social outcomes;
 - Direct knowledge of the needs and aspirations of the communities and people served;
 - General business, financial and management skills;
 - Other relevant skills, such as legal, property, development, and public affairs.

5. Each Director of the Board will be given a formal letter specifying their obligations and a copy of the Code of Conduct as part of an induction pack and should sign a copy of the code to indicate acceptance.
6. The Board should regularly review the effectiveness of its own Governance arrangements. A checklist is provided as an annexe, in this Governance Guide.

Duties of the Board

The duties of the Newark and Sherwood Homes Board are:-

1. Good Governance means focussing on the Company's purpose and on outcomes for tenants, leaseholders and other stakeholders.
2. Good Governance performing effectively with clearly defined functions and roles.
3. Good Governance means promoting values for the whole Company and demonstrating the values of good governance through behaviour.
4. Good Governance means taking focussed, transparent decisions and managing risk.
5. Good Governance means developing the capacity and capability of the governing body to be effective.
6. Good Governance means engaging stakeholders and making accountability real.
7. Define and ensure compliance with the vision, values and objectives of Newark and Sherwood Homes.
8. Agree the annual Delivery Plan with Newark & Sherwood District Council.
9. Establish policies and plans to achieve the Delivery Plan and meet the agreed objectives and/or targets.
10. Approve each year's budget and accounts prior to publication
11. Establish and oversee a framework of delegation and systems of control
12. Agree policies and make decisions on all matters that might create significant financial or other risk to Newark and Sherwood Homes, or which raise material issues of principle

13. Monitor Newark and Sherwood Homes' performance in relation to these plans, budgets, controls and decisions taking decisive action to correct under performance and to achieve continuous improvement.
14. Appoint (review the performance of, and if necessary, dismiss) the Chief Executive; and
15. Satisfy it that Newark and Sherwood Homes' affairs are conducted lawfully and in accordance with generally accepted standards of performance and propriety.

Functions of the Board

The primary functions of the Board are:-

1. To ensure compliance with the Memorandum and Articles of Association.
2. To ensure the affairs of Newark and Sherwood Homes are conducted lawfully and ethically and within the terms of its Constitution.
3. To ensure compliance with the Management Agreement between Newark and Sherwood Homes and Newark & Sherwood District Council.
4. To define and ensure compliance with the Delivery Plan through the agreement of:
 - Policies for action
 - Budgets
 - A framework of delegation and system control including performance monitoring
 - Risk Management Plan
5. To ensure arrangements are in place for urgent decisions to be made in between meetings.
6. To appoint the Chief Executive and the Company Secretary.

Purpose of the Board

To lead and direct the affairs of Newark and Sherwood Homes ensuring that the management is effectively delegated and carried out by the Chief Executive and his/her staff.

Newark and Sherwood Homes Director of the Board – Role Description

Carrying out the role of Director of the Board requires active leadership.

The role of a non-Executive Director of the Board is to:

1. Support the Vision and values of Newark and Sherwood Homes
2. Exercise care and skill in carrying out their functions (as set out in the Memorandum and Articles of Association).
3. Identify personal training and development needs, seek opportunities for development and attend appropriate training events.
4. Give time and positive support to the development and management of Newark and Sherwood Homes.
5. Ensure personal interests do not come into conflict with the responsibilities of a Director of the Board.
6. Sign and adhere to Newark and Sherwood Homes' Code of Conduct.
7. Constructively challenge and contribute to the development of strategy.
8. Scrutinise the performance of management in meeting agreed goals and objectives and monitor the reporting of performance.
9. Satisfy themselves that financial information is accurate and that financial controls and systems of risk management are robust and defensible.
10. Determine appropriate levels of remuneration of Directors of the Board and have a prime role in appointing, and when necessary removing, senior management.
11. Ensure the Board acts in the best interests of the organisation with regard to the interest of tenants, leaseholders and the local community and not act in representation of any particular constituency or interest, political or personal.
12. Collectively as a Board to ensure the interests of tenants, leaseholders and the community remain at the heart of its discussions.
13. Collectively as a Board in carving out these responsibilities within this role to ultimately be accountable to Newark & Sherwood District Council.
14. Accept collective responsibility for decisions made by the Board.

Newark and Sherwood Homes Chair of the Board – Role Description

The Chair of Newark and Sherwood Homes has a role in addition to other general Director of the Board responsibilities.

1. Ensure efficient conduct of Board business and General Meetings ensuring the appropriate involvement of all Directors of the Board.
2. Establish a constructive working relationship and provide support to the management executive.
3. Carry out an annual appraisal of Directors of the Board as decided by the Board.
4. Carry out annual appraisal of the Chief Executive.
5. Where delegated by the Board to take urgent decisions in between meetings considering advice of the Chief Executive and consulting with Directors of the Board as appropriate.
6. Ensure the Board receives professional advice, if necessary from external organisations or advisers.
7. Maintain an overview of the composition of the Board recommending action to remedy deficiencies.
8. To represent Newark and Sherwood Homes as appropriate.
9. To meet with Newark & Sherwood District Council's Leader and Portfolio Holder or their representatives as appropriate.

Newark and Sherwood Homes Chair of the Board – Person Specification

	Essential	Desirable
Commitment <ul style="list-style-type: none"> ❑ to Newark and Sherwood Homes' Vision and values ❑ to making a positive difference for tenants and local communities 	 ✓ ✓	
Experience <ul style="list-style-type: none"> ❑ Significant involvement in public service/people centred organisations ❑ Chairing groups of people ❑ Managing large organisations ❑ Delivery of large scale projects/programmes 	 ✓ ✓ ✓	 ✓
Knowledge and skills <ul style="list-style-type: none"> ❑ Social housing ❑ Leadership ❑ Ability to chair meetings impartially, encourage all participants to make a contribution and to reach consensus ❑ Listening and verbal communication skills ❑ Good grasp of strategy and ability to delegate ❑ Ability to manage personal and corporate relationships ❑ Ability to display energy and confidence in public ❑ Effective networking skills and the ability to build partnerships and alliances ❑ Ability to be focussed and delegate ❑ Team building skills ❑ Company law ❑ Awareness of what an ALMO is and its purpose 	 ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓	 ✓ ✓
Circumstances <ul style="list-style-type: none"> ❑ Time to attend Board meetings, training, informal meetings, conferences and events 	 ✓	
Others <ul style="list-style-type: none"> ❑ Commitment to Equality and Diversity ❑ Commitment to customer care and excellence in delivery 	 ✓ ✓	

Newark and Sherwood Homes – Directors of the Board **Who are Tenants or Leaseholders**

1. The establishment of Newark and Sherwood Homes has created a new dynamic relationship between Newark & Sherwood District Council and its tenants and leaseholders and Tenants' Representatives in particular. For Tenant Directors of the Board and Leaseholder Co-optees this has changed from "the Council must" to "we must". Therefore, being a Tenant Representative is very different from being a Tenant Directors of the Board or a Leaseholder Co-optee.
2. The Management Agreement signed by the Board includes the responsibilities for service delivery and for the Tenant Compact. The relationship between Tenants/Leaseholder representatives and Newark and Sherwood Homes may be a partnership, but clarity is needed over the responsibilities and duties of each partner.
3. The Memorandum and Articles of Association of Newark and Sherwood Homes will define the responsibilities of Directors of the Board including Tenant Directors of the Board and Leaseholder Co-optees. On the Board all members are equal and do not represent any particular constituency or interest. As a Company, Directors of the Board must vote in the best interest of Newark and Sherwood Homes. Co-optees will not be entitled to vote. In reaching decisions at Board meetings the Directors of the Board must vote in the best interests of Newark and Sherwood Homes. Tenant Directors of the Board and Leaseholder Co-optees can raise concerns of tenants/leaseholders on issues, but are prevented from being mandates by other external organisations they are members of.
4. Tenant Directors of the Board and Leaseholder Co-optees do not replace the responsibility of Newark and Sherwood Homes to consult and involve other tenants and leaseholders. Tenant members have equal responsibility for service delivery success and failures, the expenditure of resources and the recruitment and deployment of staff.
5. In entering this new relationship between tenants/leaseholders and Newark and Sherwood Homes, Directors of the Board should pay attention to the following:
 - Tenant Directors of the Board and Leaseholder Co-optees will neither receive favourable or unfavourable treatment in terms of any aspect of housing management, allocations and transfers of property, reporting repairs or anti social behaviour and the recovery of rent, housing benefit arrears or other debts to the Company.
 - Membership of Tenant/Leaseholder Associations, Representative Organisations and federations should be declared in the Register of Interests.

- Tenant Directors of the Board should declare interests on any Board agenda item or Committee agenda item affecting their Tenants and Residents Association, the Federation or themselves.
- Tenant Directors of the Board should be trained in acting as advocates or representatives in particular issues. This will include training on dealing with issues, acting as advocates for constituents and holding advice surgeries. It will also include the difference between investigating legitimate policy or performance failures and promises to deliver outcomes.
- Ensure that Newark and Sherwood Homes continues to consult and involve tenants in all areas of decision making and that the Director of the Board does not become a substitute for effective and full consultation.
- Membership on the Board should not be regarded as the summit of tenant participation and it is important that we have a strong Federation of Tenants and Residents Associations and other mechanisms to actively engage with the tenant population as well as participation on the Board.

Newark and Sherwood Homes Director of the Board – Person Specification

	Essential	Desirable
Commitment <input type="checkbox"/> To Newark and Sherwood Homes' Vision and values	✓	
Experience <input type="checkbox"/> Significant involvement in public service/people centred organisations <input type="checkbox"/> Of managing organisations <input type="checkbox"/> Of delivery of projects/programmes	✓	✓ ✓
Knowledge and skills <input type="checkbox"/> Good grasp of strategy and ability to delegate <input type="checkbox"/> Social housing <input type="checkbox"/> Leadership <input type="checkbox"/> Listening and verbal communication skills <input type="checkbox"/> Ability to manage personal and corporate relationships <input type="checkbox"/> Ability to display energy and confidence in public <input type="checkbox"/> Effective networking skills and the ability to build partnerships and alliances <input type="checkbox"/> Ability to be focussed <input type="checkbox"/> Team building skills <input type="checkbox"/> Company law <input type="checkbox"/> Awareness of what an ALMO is and its purpose	✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓	✓ ✓ ✓
Circumstances <input type="checkbox"/> Time to attend Board meetings, training, conferences, informal meetings and events	✓	
Others <input type="checkbox"/> Commitment to Equality and Diversity <input type="checkbox"/> Commitment to customer care and excellence in service delivery <input type="checkbox"/> Commitment to Value for Money service delivery	✓ ✓ ✓	

Newark and Sherwood Homes – Board Review and Renewal

The Board should ensure its continuing effectiveness; this needs clarity of purpose, and a focus on performance and renewal. The Board should consider and implement succession planning arrangements, to ensure a planned and orderly renewal of the Board over a period of years. In doing so, it should bear in mind the need to reflect the organisation's commitment to equality of opportunity and the diversity of the community in the composition of the Board. In particular it should:

- ❑ Carry out a regular review of its own strengths and weaknesses in order to ensure its continuing effectiveness.
- ❑ Carry out regular equality and diversity monitoring of the Board to ensure it reflects the community it represents and positively recruits Directors of the Board where there is an under representation.
- ❑ Ensure that new members are recruited or elected on a systematic and continuous basis, and thus avoid bigger changes at infrequent intervals.
- ❑ Ensure the recruitment and selection policies do not exclude a wider pool of potential skills through the imposition of geographical or other restrictions on members.
- ❑ Publish how new members are recruited.
- ❑ Set and publish standards on the required qualities, skills and experience of Directors of the Board.
- ❑ Adhere to maximum terms of office for individual Directors of the Board and the Chair of the Board, to the extent that these are set out in the Memorandum and Articles of Association.
- ❑ Use a range of recruitment techniques to secure a wider choice of candidates and attempt to identify potential Directors of the Board who may have no connection with the organisation or existing Directors of the Board.
- ❑ Appraise the training needs and provide induction training for new members and ensure that effective arrangements are made to maintain and enhance the skills and motivation of all Directors of the Boards. Ensure that all Directors of the Boards fully understand their role and responsibilities.
- ❑ Have a regular Director of the Board appraisal system to ensure all Directors of the Boards comply with the Code of Conduct and Constitution and that the Directors of the Boards skills and competencies are developed to meet their roles and responsibilities.

Newark and Sherwood Homes – Checklist for Recruitment of Independent Directors of the Board and Arising Casual Vacancies

- ❑ Identify skills, knowledge and experience gaps of the Board against current and future requirements.
- ❑ Consider the diversity profile of the Board identifying underrepresented groups.
- ❑ Design person specification.
- ❑ Consider appropriate recruitment media e.g.: Local newspapers, local centres: libraries, community centres.
- ❑ Shortlist candidates against relevant person specification criteria.
- ❑ Interview candidates.
- ❑ Select candidate and seek confirmation of position and understanding/acceptance of role.
- ❑ New member to declare other interests to the Secretary.
- ❑ Report and minute approval of appointment at Board.
- ❑ Enter details in Register of Members and inform Secretary.
- ❑ Notify the Registrar of Companies within 14 Days.
- ❑ Identify induction and training programme.

Newark and Sherwood Homes – Check list for Recruitment of Tenant / Leaseholder Directors of the Board and Arising Casual Vacancies

- ❑ The recruitment of Tenant / Leaseholder Directors of the Board will, in line with the rotation set out in the company's constitution, be either by election or, in the event of a casual vacancy by nomination by the Federation of Tenants' Associations. The following should be considered within the process undertaken.
- ❑ Identify skills, knowledge and experience gaps of the Board against current and future requirements.
- ❑ Consider any equality and diversity issues identifying underrepresented groups on the Board.

- ❑ Advertise vacancy.
- ❑ Seek assurances of a potential Directors of the Board' ability to discharge these duties.
- ❑ Seek assurance of no prohibition to being a Director of the Board
- ❑ Organise ballot of tenants in the relevant area.
- ❑ Candidate elected, seek confirmation of position and understanding/ acceptance of role.
- ❑ New Director of the Board declares other interests to the Company Secretary in accordance with the Constitution.
- ❑ Report and minute approval of appointment at Board meeting.
- ❑ Notify Newark & Sherwood District Council's client officer.
- ❑ Enter details in Register of Members and inform Secretary.
- ❑ Notify the Registrar of Companies within 14 days.

Newark and Sherwood Homes – Checklist for Appointment of Councillors and Arising Casual Vacancies

- ❑ Identify skills, knowledge and experience gaps of the Board against current and future requirements.
- ❑ Consider equal opportunities issues identifying under-represented groups.
- ❑ Notify the Council of casual vacancy or the requirement for the Council to appoint Directors of the Board, including any preference from the above for the Council to consider.

Newark and Sherwood Homes – Expenses for Directors of the Board

1. Newark and Sherwood Homes' Memorandum and Articles of Association set down the basis for paying Director of the Board expenses and outline the basis that payment of Directors of the Board is permitted although it is not the intention that Directors of the Board will be paid initially.
2. The payment of legitimate expenses is permitted and a scheme of expenses payments will be set by the Board.

3. Newark and Sherwood Homes' Board should ensure the provision of adequate financial re-imbusement so that no Director of the Board is financially disadvantaged from attending Board meetings or other designated events of the Board.
4. Newark and Sherwood Homes' expenses repayment scheme will give regard to the following:
 - Definition of Newark and Sherwood Homes' business matters that expenses will be paid for
 - Special consideration for members with mobility problems including the provision of taxis
 - Carers (which includes care of elderly, infirm or children of school age) allowance that differentiates between meetings and overnight events.
 - Payment of travel costs (Public Transport or mileage rates)
 - Reimbursement of telephone, computer and mobile telephone calls related to the business of the Board
 - Payment of all reasonable expenditure when Directors of the Board are requested to attend events/training/conferences on behalf of the Board
 - The Board will also consider initiatives for low income friendly policies to ensure that participation in Board activities does not infringe an individual's cash flow and income. These initiatives may include:
 - Reasonable daily allowances for attending events away from home paid in advance where necessary,
 - Tickets and bookings should be made on behalf of the Director of the Board in advance,
 - Ensuring that there are no restrictions on the frequency of re-imbusement claims and that arrangements are made to ensure swift payment.

Newark and Sherwood Homes – Committee Structures

1. The Board of Newark and Sherwood Homes has the power to set up Committees to oversee specified areas of the Company's work.
2. The following principles will be applied to the work of Committees:
 - The Board will annually review all Committees reporting to it.

- The structure of Committees will be clear and avoid any duplication of work effort.
- Each Committee will have clear Terms of Reference and membership approved by the Board and they will report regularly to the Board.
- No paid member of staff from Newark and Sherwood Homes shall Chair any of its Committees.
- The responsibility of Committee Chairs will be defined in documents approved by the Board.
- In the case of dispute, the Board's decision will override those of any Committee. Any Committee responsible for audit will have the right to report any such decision to the external auditor and Newark & Sherwood District Council, after discussion at Board about this proposed course of action.
- The Board will ensure that specific arrangements are made to cover the following responsibilities:-
 - Audit matters
 - Standards and ethics
 - Remuneration of the Chief Executive.
- The membership of each Committee will be disclosed in the annual Delivery Plan.
- Committee structures will be simple and minimise servicing attendance by Directors of the Board. Simple and clear instructions assist the clarity of reporting lines and makes decisions more transparent.

Newark and Sherwood Homes – Board and Committee Meetings

1. The effective conduct of Board business is vital to the good governance of Newark and Sherwood Homes. Without suitably clear and incisive documents, the Board cannot hope to make wise decisions. A principle of good governance is that all Directors of the Boards should contribute to making decisions, which may involve Newark and Sherwood Homes in significant financial or other risks, or which, raise material issues of principle.

2. The principles for meetings are:

- i) Board decisions should, wherever possible, be based on full agendas and supporting documents circulated to members 10 working days in advance of meetings.
- ii) Directors should, where possible, give apologies for absence at least 5 working days in advance of a meeting.
- iii) Stationery and pen / pencils should be available for Directors of the Board at all meetings.
- iv) Refreshments should be provided in advance of meetings
- v) Board meetings will usually commence at 5.15pm
- vi) Committee meetings times will be set by its Chairmen
- vii) Reports should focus upon strategic issues.
- viii) Points for decision should be clearly identified in the reports.
- ix) Reports should provide sufficient information to enable informed decision-making presented as cogently as possible.
- x) Meetings should be carried out in accordance with adopted standing orders on:
 - formality of the meetings
 - officer attendance protocol
 - details and presentations
 - access to the public
 - public right to speak
 - name and place badges
 - location, notification and time of meetings
 - refreshments
- xi) All decisions should be recorded in the minutes.
- xii) The Board should make an annual review of how effective it is in conducting its business.
- xiii) Urgent decisions should be taken in accordance with predetermined arrangements as set out in the standing orders.
- xiv) Very occasionally, such decisions will be required urgently between meetings and the systems must be robust enough to deal with these properly.

- xv) These arrangements should place on the Chair the responsibility, in the case of key decisions, to ensure that all the Directors of the Board are consulted whenever possible by letter, telephone or e-mail. The fact that Directors of the Board were consulted and the views expressed should be formally recorded.

Section Two

Newark and Sherwood Homes – Openness, Propriety and Equality of the Board

Openness

1. Newark and Sherwood Homes is an open and accountable organisation. All decisions will be transparent in demonstrating that individuals, organisations, partners and staff are treated fairly.
2. Newark and Sherwood Homes will balance the difficult task of being open and accountable and at the same time respecting confidentiality in line with legislation and good practice. Newark and Sherwood Homes will set clear guidelines to be followed, but will allow issues, if necessary to be dealt with on a case by case basis.
3. The openness and confidentiality policy will include:
 - Recognition of Newark and Sherwood Homes' responsibilities under Data Protection and Freedom of Information legislation.
 - The information Newark and Sherwood Homes will make available concerning its work, its Board and its employees.
 - The details of what information will be accessible for example personnel files, tenancy files, policies and procedures.
 - Providing appropriate and informed information to major stakeholders.
 - In what circumstances personal information will be provided both internally and externally including:
 - What information will be kept confidential?
 - Informed consent of the person concerned
 - Who is authorised to make media/press statements on behalf of Newark and Sherwood Homes and the Board.
 - Identification of which Board/Committee Agendas and Minutes are confidential and the rules of authorisation and penalties for release of those papers to third parties.
 - A whistle blowing policy for staff and Directors of the Board

Propriety

Newark and Sherwood Homes – Conduct of Directors of the Board

Lord Nolan said:

"It is essential that people who work for any organisation have guidance on what behaviour is acceptable and what is not. But a Code is useless if it just hangs on the wall. Organisations need to draw up their own Codes, management and staff need to be committed to them and they need to form part of the working ethos".

Newark and Sherwood Homes receives substantial amounts of public funding and we need to demonstrate the highest standards of conduct and probity.

It is essential that the Board adopt a Code of Conduct so that they as individuals and as a group have a set of rules to adhere to.

Why do we need a Code of Conduct?

- The Board of Management has responsibility for all actions carried out by staff and Directors of the Board. This includes responsibility for large sums of money and the housing care of large numbers of people. Therefore, the Board is determined that the conduct of staff and Directors of the Board should give tenants of homes managed by us and other customers confidence; that, as representatives of the Company, we all show integrity; that our actions are transparent and, therefore, at all times our professionalism allows us to avoid any suggestion of influence by improper motives.
- The Board believes that staff and Directors of the Board, as well as residents, want to be associated with an organisation that publicises and upholds its core values. Therefore, in line with the TSA Standard on Governance and Financial Viability this 'Code of Conduct' includes the legal requirements and the findings of the Nolan Committee, the Company's adopted Code of Governance, on "Standards in Public Life", and goes beyond these. High standards of conduct imply disclosure of matters that might conceivably be seen as giving rise to a duality of interest, and require staff and Directors of the Board to uphold the spirit, as well as the wording, of this Code of Conduct.
- The term 'we' has been used throughout the summary to show that the Code of Conduct applies to staff and Directors of the Board.

A Summary of the Code of Conduct

- We will not get improper personal benefits from the Company's activities. Each Director of the Board will receive a copy of the Code.
- We must be especially careful of relationships with residents, and never allow any personal relationship with a resident to conflict with their best interests.
- Giving and receiving gifts creates a relationship that can be seen to influence our judgement. Therefore, we should always avoid gifts except in the very limited circumstances set out in the Code.
- We should also avoid hospitality except in the limited circumstances set out in the Code.
- Our work involves confidential information about our customers and the Company's business, and we must respect that confidentiality.
- Our work and reputation relies upon us all upholding and promoting the Company's aims and values.
- Our work can take the Company into the political arena but we must ensure that we demonstrate its non-political nature and keep our personal political activities totally separate from the Company's work.
- We must avoid suspicion of preferential treatment of suppliers by separating our private purchasing from the Company's wherever possible.

The Principles of Good Governance

The six principles of good governance in public services are identified in the Good Governance Standard for Public Services which is Newark and Sherwood Homes chosen governance code.

1. Good governance means focusing on the organisation's purpose and on outcomes for citizens and service users

- Being clear about the organisation's purpose and its intended outcomes for citizens and service users.
- Making sure that users receive a high quality service.
- Making sure that taxpayers receive value for money.

2. Good governance means performing effectively in clearly defined functions and roles

- Being clear about the functions of the governing body.
- Being clear about the responsibilities of non-executives and the executive, and making sure that those responsibilities are carried out.

- Being clear about relationships between governors and the public.

3. Good governance means promoting values for the whole organisation and demonstrating the values of good governance through behaviour

- Putting organisational values into practice.
- Individual governors behaving in ways that uphold and exemplify effective.
- Governance.

4. Good governance means taking informed, transparent decisions and managing risk

- Being rigorous and transparent about how decisions are taken.
- Having and using good quality information, advice and support.
- Making sure that an effective risk management system is in operation.

5. Good governance means developing the capacity and capability of the governing body to be effective

- Making sure that appointed and elected governors have the skills, knowledge and experience they need to perform well.
- Developing the capability of people with governance responsibilities and evaluating their performance, as individuals and as a group.
- Striking a balance, in the membership of the governing body, between continuity and renewal.

6. Good governance means engaging stakeholders and making Accountability real

- Understanding formal and informal accountability relationships.
- Taking an active and planned approach to dialogue with and accountability to the public.
- Taking an active and planned approach to responsibility to staff.
- Engaging effectively with institutional stakeholders.

Code of Conduct – General Provisions

Scope

A Director of the Board must observe Newark and Sherwood Homes' **Code of Conduct** whenever they –

- (a) conduct the business of Newark and Sherwood Homes;
- (b) conduct the business of the office to which he/she has been nominated elected or appointed; or
- (c) acts as a representative of Newark and Sherwood Homes.

General Obligations

A Director of the Board must –

- (a) promote equality by not discriminating unlawfully against any person;
- (b) treat others with respect; and
- (c) Not do anything which compromises or which is likely to compromise the impartiality of those who work for, or on behalf of, Newark and Sherwood Homes.

A Director of the Board must not –

- (a) Disclose information given to him in confidence by anyone, or information acquired which he/she believes is of a confidential nature, without the consent of a person authorised to give it, or unless he/she is required by law to do so; nor
- (b) Prevent another person from gaining access to information to which that person is entitled by law.

A Director of the Board must not in his official capacity, or any other circumstance, conduct himself in a manner which could reasonably be regarded as bringing his office or Newark and Sherwood Homes into disrepute

A Director of the Board –

- (a) Must not be in his official capacity, or any other circumstance, use his position as a Director of the Board improperly to confer on or secure for himself or any other person, an advantage or disadvantage; and
- (b) Must, when using or authorising the use by others of the resources of Newark and Sherwood Homes:-
 - (i) Act in accordance with Newark and Sherwood Homes' requirements; and
 - (ii) Ensure that such resources are not used for political purposes unless that use could reasonably be regarded as likely to facilitate, or be conducive to, the discharge of the functions of Newark and Sherwood Homes or of the office to which the Director of the Board has been elected or appointed.

A Director of the Board must when reaching decisions have regard to any relevant advice provided to him by –

- (a) Newark and Sherwood Homes' Finance Officer acting in pursuance of their duties.
- (b) Newark and Sherwood Homes' Company Secretary acting in pursuance of his duties.

A Director of the Board must, if he/she becomes aware of any conduct by another Director of the Board which he/she reasonably believes involves a failure to comply with the organisation's **Code of Conduct**, make a written allegation to that effect to the Chief Executive Officer as soon as it is practicable for them to do so.

Interests

Personal Interests

(1) A Director of the Board must regard himself as having a personal interest in any matter if the matter relates to an interest in respect of which notification must be given under paragraphs 25 and 26 below, or if a decision upon it might reasonably be regarded as affecting to a greater extent than other tenants or inhabitants of the organisation's area, the well-being or financial position of himself, a relative or a friend or:-

- (a) Any employment or business carried on by such persons.
- (b) Any person who employs or has appointed such persons, any firm in which they are a partner, or any company of which they are directors.
- (c) Any corporate body in which such persons have a beneficial interest in a class of securities exceeding a nominal value as set out in the Memorandum and Articles of Association.
- (d) Anybody listed in sub-paragraphs (a) to (e) of paragraph 26 below in which such persons hold a position of general control or management.

(2) In this paragraph –

- (a) "Relative" means a spouse, partner, parent, parent-in-law, son, daughter, step-son, step-daughter, child of a partner, brother, sister, grandparent, grandchild, uncle, aunt, nephew, niece, or the spouse or partner of any of the preceding persons; and
- (b) "Partner" in sub-paragraph (2) (a) above means a Director of the Board of a couple who live together.

Disclosure of Personal Interests

A Director of the Board with a personal interest in a matter who attends a meeting of the organisation at which the matter is considered must disclose to that meeting the existence and nature of that interest at the commencement of that consideration, or when the interest becomes apparent.

Prejudicial Interests

- (1) Subject to sub-paragraph (2) below, a Director of the Board with a personal interest in a matter also has a prejudicial interest in that matter if the interest is one which a tenant of the Local Authority covered by the Management Agreement or a member of the public with knowledge of the relevant facts would reasonably regard as so significant that it is likely to prejudice the Director of the Board's judgement of the public interest.
- (2) A Director of the Board may regard himself as not having a prejudicial interest in a matter if that matter relates to –
- (a) another relevant organisation of which he/she is a member;
 - (b) another public organisation in which he/she holds a position of general control or management;
 - (c) a body to which he/she has been appointed or nominated by the organisation as its representative;
 - (d) where a Director of the Board holds a tenancy or lease with a relevant organisation, provided that he/she does not have arrears of rent with that relevant organisation of more than two months, and provided that those functions do not relate particularly to the Director of the Board's tenancy or lease;

Participation in Relation to Disclosed Interests

A Director of the Board with a prejudicial interest in any matter must –

- (a) withdraw from the room where a meeting is being held whenever it becomes apparent that the matter is being considered at that meeting, unless he/she has obtained a dispensation from the organisation's Company Secretary; and
- (b) Not seek improperly to influence a decision about that matter.

For the purposes of this Part, "meeting" means any meeting of –

- (a) the organisation; or
- (b) Any of the organisation's committees, area committee, sub-committees, joint committees, joint sub-committees, or advisory committees.

Registration of Financial and Other Interests

Within 28 days of the provisions of an organisation's **Code of Conduct** being adopted or applied to that organisation or within 28 days of his election, nomination or appointment to office (if that is later), a Director of the Board must register his financial interests as required in Newark and Sherwood Homes' Memorandum and Articles of Association, in the organisation's register maintained by the Company Secretary by providing written notification to the Company Secretary of the organisation of –

- (a) any employment or business carried on by him;
- (b) the name of the person who employs or has appointed him, the name of any firm in which he/she is a partner, and the name of any company for which he/she is a remunerated director;
- (c) the name of any person, other than a relevant organisation, who has made a payment to him in respect of election or any expenses incurred by him in carrying out his duties;
- (d) the name of any corporate body which has a place of business or land in the organisation's area, and in which the Director of the Board has a beneficial interest in a class of securities of that body that exceeds the nominal value as set out in the Memorandum and Articles of Association;
- (e) a description of any contract for goods, services or works made between the organisation and himself or a firm in which he/she is a partner, a company of which he/she is a remunerated director, or a body of the description specified in sub-paragraph (d) above;
- (f) the address or other description (sufficient to identify the location) of any land in which he/she has a beneficial interest and which is in the area of the organisation;
- (g) the address or other description (sufficient to identify the location) of any land where the landlord is the organisation and the tenant is a firm in which he/she is a partner, a company of which he/she is a remunerated director, or a body of the description specified in sub-paragraph (d) above; and
- (h) The address or other description (sufficient to identify the location) of any land in the organisation's area in which he/she has a licence (alone or jointly with others) to occupy for 28 days or longer.

Within 28 days of the provisions of Newark and Sherwood Homes' **Code of Conduct** being adopted or applied to Newark and Sherwood Homes, or within 28 days of his election, nomination or appointment to office (if that is

later), a Director of the Board must register his other interests in Newark and Sherwood Homes' register maintained by the Company Secretary by providing written notification to Newark and Sherwood Homes' Company Secretary his membership of or position of general control or management in any –

- (a) body to which he/she has been appointed or nominated by the organisation as its representative;
- (b) public organisation or body exercising functions of a public nature;
- (c) company, industrial and provident society, charity, or body directed to charitable purposes;
- (d) body whose principal purposes include the influence of public opinion or policy;
- (e) private club, and
- (f) Trade union or professional association.

A Director of the Board must within 28 days of becoming aware of any changes to the interests specified under paragraphs 25 and 26 above, provide written notification to Newark and Sherwood Homes' monitoring officer of that change.

Relationships with Residents

Directors of the Board must be especially careful of relationships with residents, and never allow any personal relationships with a resident to conflict with their best interest by bringing undue pressure to bear in matters concerning their rights as a resident.

Directors of the Board must, therefore, never allow themselves to be compromised by, nor take advantage of, their relationships with residents. The relationship of trust must never be abused.

Directors of the Board must not invite or influence a resident to make a will or trust under which a Director of the Board is named as executor, trustee or beneficiary. If handling a resident's money, they must take extreme care including receipting every transaction.

Registration of Gifts and Hospitality

A Director of the Board must within 28 days of receiving any gift or hospitality over the value of £25, provide written notification to Newark and Sherwood Homes' monitoring officer of the existence and nature of that gift or hospitality.

It is the role of the Company Secretary to ensure that Directors of the Board adhere to the Code of Conduct. There are examples of situations likely to lead to potential conflicts of interest that may be difficult to manage. For example the Local Authority Cabinet Member for housing may find it extremely difficult to effectively operate both as the lead member for housing within the authority and also as a Director of the Newark and Sherwood Homes' Board.

Newark and Sherwood Homes - Audit

1. Newark and Sherwood Homes will have annually audited accounts and as required under the Management Agreement these accounts will be presented along with the external audit management letter to Newark and Sherwood District Council. As a public organisation the annual accounts of Newark and Sherwood Homes will be made available to the public and the public will be notified of that availability.
2. Newark and Sherwood Homes needs to ensure there are sufficient safe guards, checks and monitoring arrangements. It is, therefore, essential that the Board have internal audit systems in place to ensure Newark and Sherwood Homes has sound financial controls, accounting policies; complies with legislation, the Management Agreement and other standards and policies.
3. To achieve these responsibilities, the Board will:-
 - Retain ultimate responsibility for ensuring that all audits are carried out. A Committee will be set up to maintain regular control and monitoring of all financial expenditures.
 - The Committee will have an overview of:-
 - Internal controls
 - Financial controls
 - Internal audit
 - External audit including appointment.
 - The Audit Committee will include a Director of the Board with expertise in an area other than finance.
 - All internal audit reports will be presented to the Board.
4. The Board shall adopt Rules of Procedure and Codes and Protocols.
5. The Rules, Codes and Protocols will also adopt appropriate parts of the Tenant Services Authority and Homes and Community Agency Audit Practice.

Newark and Sherwood Homes – Equality and Diversity

1. Newark and Sherwood Homes has a responsibility to serve the whole community equally. Equality of opportunity is a core objective of both the Board and the organisation as a whole.
2. In promoting good governance on equality and diversity, the Board will ensure:-
 - That the Board's membership reflects the community that it serves.
 - Recruitment to the Board or Committee is fair, transparent and that positive action principles are followed where appropriate.
 - That all Directors of the Boards attend training on equality and diversity issues.
 - That employment and recruitment policies and procedures for staff are fair, transparent and open.
 - That training on equality and diversity issues for staff is provided and that staff attendance is monitored.
 - That structures operate to ensure that tenants and leaseholders can be involved in decision making processes.
 - That all partners and contractors address equality and diversity issues.
 - That Newark and Sherwood Homes follows the Commission for Racial Equality (CRE) Code of Practice for Social Housing.
 - That Newark and Sherwood Homes works with all representative groups.
 - That all relevant legislation and policies are adhered to.
 - The Company maintains an active, relevant Equality and Diversity Strategy and completes and publicises Equality Impact Assessments.

Section Three

Management of the Board

Newark and Sherwood Homes operates within an effective and robust Performance Management Framework –

- The Board are the accountable body for approving the Business Plan, the resources to support it, and ensuring services are delivered and targets are met. Progress reports on Corporate Tasks are itemised on the agenda at Board meetings.
- The Senior Management Team are accountable for ensuring achievement of tasks and performance at the Service level.

Performance Management

1. The Board is responsible for performance management which is essential to ensure continuous improvement.
2. This is undertaken by monitoring and scrutiny of how Newark and Sherwood Homes is performing.
3. The Board needs to ask challenging questions about performance receive answers and take appropriate action to bring about positive change and improvement.
4. In undertaking its performance management role, the Board will use the following:
 - i Establishment of a clear Vision, Objectives and priorities
 - ii monitoring performance to demonstrate delivery of Newark and Sherwood Homes' Vision, Objectives and priorities
 - iii Deploying resources to deliver, Vision, Objectives and priorities
 - iv Determining best practice through consultation with other appropriate organisations
 - v. Comparing benchmarking data of other appropriate organisations.
 - vi. Consulting with customers
 - vii Ensuring availability of quality and timely performance information

- viii. Performance information will be produced and considered in accordance with Newark and Sherwood Homes' performance management framework which will be regularly reviewed.

Newark and Sherwood Homes – Risk Management

1. Risk is the threat that an event or action will adversely affect Newark and Sherwood Homes' ability to achieve its Objectives and to execute its strategies successfully.
2. It is essential, therefore, that Board decisions are taken using all available information on possible outcomes – this is risk management. The main principle underpinning risk management is that Newark and Sherwood Homes should be assured that it is managing all risks as effectively as is reasonably possible within the resources available. This requires Newark and Sherwood Homes to continuously review risk and the controls in place to mitigate risk through a process of critical self assessment to assure itself and others that systems are in place and working effectively.
3. There are many different types of risk across all levels of Newark and Sherwood Homes. It is, therefore, important to undertake effective risk management throughout Newark and Sherwood Homes.
4. Newark and Sherwood Homes has a risk management strategy with a formal framework to manage risk. This will include:
 - Significant risk identification, profiling, assessment, prioritisation and related control measures
 - Monitoring and review mechanisms.

Newark and Sherwood Homes – Framework for Delegation

1. It is essential for the effectiveness of Newark and Sherwood Homes that the key responsibilities for the Chief Executive, and delegated authority given to staff are clearly set out. Newark and Sherwood Homes will operate a Scheme of Delegation based on giving strategic responsibility to the Board, and management responsibility to the Chief Executive and Senior Management Team.
2. The Board will ensure that the scheme of delegation:-
 - Has a clear separation of responsibilities between the Board and the Chief Executive.
 - Makes clear any responsibilities not delegated remain the responsibility of the Board.

- Sets out the Chief Executive's responsibility to operate plans and policies approved by the Board and he/she is able to delegate this responsibility further to other members of staff.
- Is regularly reviewed and areas of high risk are rigorously examined.
- Allows for decisions that require addressing urgently and should be clear about the circumstances in which this can occur.
- Sets out the requirement for regular meetings of staff; for example senior management team, the terms of reference with powers and responsibilities defined
- Will be in plain English, user friendly and easy to follow which will encourage the Board and staff to use it.

Newark and Sherwood Homes – Executive Recruitment

1. The Board is responsible for ensuring that the executive team has the appropriate balance of skills, knowledge and attitudes to manage the affairs of Newark and Sherwood Homes.
2. Appointments will require the Board to consider a wide range of issues including:
 - Defining the right mix of skills required by the executive team for a new type of organisation.
 - The Human Resources Strategy and associated policies.
3. In ensuring that any appointment to the senior positions is appropriate, the Board will:-
 - Define the right mix of skills required to deliver the objectives of the organisation.
 - Ensure that all appointments are the result of an open recruitment exercise.
 - Ensure that all senior positions are advertised externally. Testing the wider market will ensure access to the best possible candidates for the job.
 - Ensure that the salary and remuneration package are agreed in advance.

- Ensure that any training needs are identified early.

Newark and Sherwood Homes – Role of the Company Secretary

1. The Board is responsible for ensuring the role of the Company Secretary is filled and that the post holder undertakes the following:-
 - Organise, attend and minute Board and General Meetings.
 - Understand and ensure the Board of Directors act within their authority as outlined in the Memorandum and Articles of Association, the contractual agreement with the Local Authority and the agreed Delivery Plan.
 - Ensure Directors of the Board have access to and acquire Professional Indemnity insurance.
 - Develop and maintain a good working relationship between the Chair and the Board.
 - Maintain statutory registers and complete statutory returns.
 - Ensure that the correct, full name of the Company is displayed outside every Company office on business stationery and on the Company seal, if there is one.
 - Ensure the Company's full, correct name is shown on cheques and Company stationery together with the Company's place of registration, registered number and address of registered office and a statement that it is a Local Authority controlled Company.
 - Maintain records of changes to Memorandum and Articles of Association.
 - Ensure all Board vacancies are filled in accordance with the Memorandum and Articles of Association.
2. The Company Secretary is not required to perform all the statutory duties personally. He/she is responsible for seeing that they are done.

Annex One

Checklist for Newark and Sherwood Homes' Directors of the Board

Checklist for Newark and Sherwood Homes' Directors of the Board

1. Properly Governed

Newark and Sherwood Homes operates according to its Constitution.

- The Board meet regularly and acts within its Constitution and all relevant legislation
- The Board has established effective arrangements to ensure compliance with all applicable statutes and regulations

The Board should be effective with a wide range of expertise – supported by appropriate systems of governance and control

- The Board has made a senior executive Company Secretary - not necessarily the Chief Executive, responsible for ensuring that Board procedures are followed and that all applicable statutes and regulations, and other relevant statements of best practice are complied with.
- The Board has a wide range of skills, expertise and up to date knowledge and regularly assess its performance as a Board
- The Board identifies gaps in knowledge and takes positive action to ensure ongoing training and development.
- The Board is diverse and reflects the community it represents
- Individual Directors of the Board act in a personal capacity
- Organisational management structures reflect the objectives set out in the Delivery Plan
- A Code of Conduct for the Board and staff is in place including a payments and hospitality policy
- The Board has established appropriate mechanisms to ensure that members and employees of the body are not influenced by prejudice, bias or conflicts of interest
- Make publicly available the names of all Directors of the Board, together with their relevant other interests

The Board should work with the Council in an open and co-operative manner. It should notify anything that might be a breach of these requirements or affect the ability of Newark and Sherwood Homes to fulfil its obligations

Checklist for Newark and Sherwood Homes' Directors of the Board

- Any areas where there is a need for improvement must be considered by the Board and actions agreed with the Council
- There should be an agreed disputes mechanism in place with the Council

The Board should maintain the highest standards of probity in all its dealings and act at all times to maintain the good reputation of the Organisation and the Council.

- Approved terms of reference for Committees and delegation are in place
- Sound procurement practices are in place and partnerships with other organisations are clearly defined and documented
- There are internal control systems and their effectiveness is regularly reviewed by the Board
- External audit reports are considered and acted upon by the Board
- The Board has established a remuneration committee to make recommendations on the remuneration of the management team

2. Financially Viable

Newark and Sherwood Homes operates the highest standards of financial management and probity at all times

- Accounts and returns are submitted on time and demonstrate Newark and Sherwood Homes is, and will, remain solvent
- Financial policies and procedures are in evidence and the Board has timely financial information to inform its decision making process

The Board protects the public investment it is responsible for.

- The Board has established formal procedural and financial regulations to govern the conduct of its business

Newark and Sherwood Homes must operate as a viable business

- Newark and Sherwood Homes' Business Plan demonstrates its priorities and strategy for achieving its Objectives including commitments to the Council, tenants and other stakeholders
- Newark and Sherwood Homes operates a risk management framework that effectively identifies and then manages any risks that might prevent Newark and Sherwood Homes meeting its Objectives

Checklist for Newark and Sherwood Homes' Directors of the Board

- Newark and Sherwood Homes' business planning is informed by asset management information which is reviewed regularly

3. Properly Managed

The Board regularly review activities and policies including new business opportunities and a clear case is developed for the proposed or existing direction

- Any material changes of direction are considered by the Board contained in the Delivery Plan and reported to the Council
- Newark and Sherwood Homes must have management arrangements resources, systems and skills which are appropriate for the circumstances, scale and scope of the operation. Ensuring their activities are:
 - Monitored
 - Best value compliant
 - Backed by proper systems of assurance for internal control
- The Board receives reports on all areas of Newark and Sherwood Homes' performance.
- The Board has established clearly documented management processes for the development, implementation and review of policy and for decision-making, monitoring, control and reporting. That services and structures are regularly subject to challenge and the principles of Best Value and that Newark and Sherwood Homes can demonstrate via benchmarking that its services compared to other similar organisations are competitive

4. Engaged and Communicating

Newark and Sherwood Homes seeks and is responsive to tenants and residents views and shall where appropriate consult other external organisations in carrying out its duties

- Regularly gives tenants the opportunity to comment on their performance
- Enables tenants to play an active part in decision making
- Information about Newark and Sherwood Homes is regularly published and distributed to tenants and other stakeholders
- An effective complaints procedure is publicised and operated
- Newark and Sherwood Homes uses a range of methods of consultation consistent with the Tenant Compact

Checklist for Newark and Sherwood Homes' Directors of the Board

- Tenants are supported and encouraged to play an active part in the Board and all other management activities.
- The Board supports existing TMO's and encourage the establishment of new ones
- Meetings of the Board are open and accessible
- Tenants and other stakeholders have access to the AGM and all reports to the AGM
- Report publicly the processes for making appointments to the Board

Annex Two

**Newark and Sherwood Homes Directors of the Board –
Review and Self Assessment**

Director of the Board Date

The purpose of this exercise is to enable individuals to discuss with the Chair of the Board:

- a. Their performance as a Director of the Board.*
- b. Corporate training as identified by the Company.*
- c. Individual development needs.*

These review sessions are a two way process and are Strictly Private and Confidential. Only what has been discussed will be noted on the form and written before the review is signed by the Director and the Chair.

COMPANY IDENTIFIED – TRAINING

The target that the Board has set itself for attendance at training for Directors of the Board with more than one year's service following appointment is 75%.

You have attended % of them.

Chairs / Individuals Comments:

Of those you have attended, how useful have you found them?

The Company has identified the following sessions, which you will need to attend this year:

Any additional individual training identified?

Depending on the urgency of the need and cost of this activity, budget provision may have to be made in the revised budget.

You will also be required to attend Strategic Planning day sessions.

Would like to see more of?

Would like to see less of?

You did / did not attend the Housing Conference. How useful did you find this? **OR** what benefits would you find in attending?

What other external training events have you attended?

How useful did you find this?

BOARD MEETINGS

The target that the Board has set itself for attendance at Board meetings is 70%.

You have attended % of them.

Chairs / Individuals Comments:

How do you feel you contribute at Board meetings?

Are there any specific frustrations you have when attending Board meetings?

COMMITTEE MEETINGS

Do you feel Committee meetings are constructive? If no, why not?

Are you able to contribute at these meetings?

How could these meetings be improved?

How do you see the continuous development of the Board and how can we ensure our performance as a Board continues to improve?

Do more of:

Do less of:

What are your expectations for the future?

As a Director of the Board, what strengths do you feel you have which will help the Board to develop?

Any final comments you would like to make?

Chair's final comments:

Director's Name:

Signature:

Chair's Name:

Signature:

Date:

Copies: To the Individual and Personal File.

Annex Three**Newark and Sherwood Homes – Equality and Diversity Monitoring***Equal Opportunities Monitoring*

Newark and Sherwood Homes actively seeks to achieve equality of opportunity and embraces the diversity of staff, residents and its communities. We believe that no person should be disadvantaged or discriminated against on the basis of their age, disability, gender, race, religion or belief, or sexual orientation. In order to achieve this, the following information will be treated in the strictest confidence and will be used for monitoring purposes only.

Gender (Please tick): **Female** **Male** **Transgender**

Age: **Years**

Ethnicity (Please Tick)

1. <i>White</i>		3. <i>Asian</i>	
British	<input type="checkbox"/>	Indian	<input type="checkbox"/>
Irish	<input type="checkbox"/>	Pakistani	<input type="checkbox"/>
White Other	<input type="checkbox"/>	Bangladeshi	<input type="checkbox"/>
		Asian Other	<input type="checkbox"/>
2. <i>Mixed</i>		4. <i>Black</i>	
White and Black Caribbean	<input type="checkbox"/>	Caribbean	<input type="checkbox"/>
White and Black African	<input type="checkbox"/>	African	<input type="checkbox"/>
White and Asian	<input type="checkbox"/>	Black Other	<input type="checkbox"/>
Mixed Other	<input type="checkbox"/>		
		5. <i>Chinese</i>	<input type="checkbox"/>
		6. <i>Gypsy/Traveller</i>	<input type="checkbox"/>
		7. <i>Other Ethnic Group (please state _____)</i>	<input type="checkbox"/>
		8. <i>Prefer not to say</i>	<input type="checkbox"/>
Nationality		(Please Tick)	
UK national resident in UK	<input type="checkbox"/>	Slovenia	<input type="checkbox"/>
UK national returning from residence from over seas	<input type="checkbox"/>	Slovakia	<input type="checkbox"/>
Czech Republic	<input type="checkbox"/>	Bulgaria	<input type="checkbox"/>
Estonia	<input type="checkbox"/>	Romania	<input type="checkbox"/>
Hungary	<input type="checkbox"/>	Other European Economic Area (EEA)	<input type="checkbox"/>
Latvia	<input type="checkbox"/>	Any other Country	<input type="checkbox"/>
Lithuania	<input type="checkbox"/>	Prefer not to say	<input type="checkbox"/>
Poland	<input type="checkbox"/>		
Religion or Belief (Please Tick)		Buddhist	<input type="checkbox"/>
Christian	<input type="checkbox"/>	Hindu	<input type="checkbox"/>
Sikh	<input type="checkbox"/>	Muslim	<input type="checkbox"/>
Jewish	<input type="checkbox"/>	Prefer Not To Say	<input type="checkbox"/>
Other (Please State)	<input type="checkbox"/>		
No Religion or Belief	<input type="checkbox"/>		

Disability (Please Tick up to 4)		
Blind	<input type="checkbox"/>	Mental Health
Physical Co-ordination Difficulties	<input type="checkbox"/>	Partially sighted
Wheelchair User (Full)	<input type="checkbox"/>	Profoundly deaf
Learning Difficulties	<input type="checkbox"/>	Partial hearing
Limited mobility	<input type="checkbox"/>	Wheelchair User (Partial)
		Speech Impairment

No Disability
Other

Sexual Orientation (Please Tick)

Bisexual
Gay man
Gay woman/Lesbian

Heterosexual/Straight
Other
Prefer not to say

Newark and Sherwood Homes – Delegation Planning

The framework below indicates how decisions are made; it gives examples of where decisions are taken and, therefore, the related delegation.

Newark and Sherwood Homes will have various projects requiring decisions throughout the year.

Example Project/Task	Management Executive Officers Group *	Committee	Board
External service agreements	Decision	-	Delegate
Annual Investment Programme	Review and Recommend	Decision	Delegate
Budget	Review and Recommend	Review and Recommend	Decision
SMT Appointments	Review and Recommend	Decision	Delegate
Delivery Plan	Review and Recommend	-	Decision

* Working with Scheme of Delegation and any terms of reference.

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