



Please ask for Martin Elliott
Direct Line: 01246 345236
Email committee.services@chesterfield.gov.uk

The Chair and Members of Cabinet

5 May 2017

Dear Councillor,

Please attend a meeting of the CABINET to be held on TUESDAY, 16 MAY 2017 at 10.30 am in Committee Room 1, Town Hall, Rose Hill, Chesterfield, the agenda for which is set out below.

AGENDA

Part 1(Public Information)

1. Declarations of Members' and Officers' Interests relating to items on the Agenda
2. Apologies for Absence
3. Minutes (Pages 3 - 6)

To approve as a correct record the Minutes of the Cabinet meeting held on 18 April, 2017.

4. Forward Plan (Pages 7 - 16)
5. Delegation Report (Pages 17 - 20)
6. Minutes of the Sheffield City Region Combined Authority (Pages 21 - 30)

To note the Minutes of the meeting of the Sheffield City Region Combined Authority held on 23 March, 2017.

Items Recommended to Cabinet via Cabinet Members

Cabinet Member for Governance

7. Review of Code of Corporate Governance and Annual Governance Statement (Pages 31 - 110)

Cabinet Member for Homes and Customers

8. Adaptations Policy and Procedure 2017 - 2020 (Pages 111 - 146)

Yours sincerely,

A handwritten signature in black ink, appearing to be 'Randy', written in a cursive style.

Local Government and Regulatory Law Manager and Monitoring Officer

CABINET

Tuesday, 18th April, 2017

Present:-

Councillor Burrows (Chair)

Councillors T Gilby
Blank
Huckle

Councillors P Gilby
Ludlow

Non Voting Catt
Members Dickinson

J Innes

*Matters dealt with under the Delegation Scheme

168 **DECLARATIONS OF MEMBERS' AND OFFICERS' INTERESTS
RELATING TO ITEMS ON THE AGENDA**

No declarations of interest were received.

169 **APOLOGIES FOR ABSENCE**

Apologies for absence were received from Councillors Bagley, A Diouf and Serjeant.

170 **MINUTES**

RESOLVED –

That the minutes of the meeting of Cabinet held on 4 April, 2017 be approved as a correct record and signed by the Chair.

171 **FORWARD PLAN**

The Forward Plan for the four month period 1 May to 31 August, 2017 was reported for information.

***RESOLVED –**

That the Forward Plan be noted.

172 **MINUTES OF THE SHEFFIELD CITY REGION COMBINED
AUTHORITY**

The Minutes of the meetings of the Sheffield City Region Combined Authority held on 5 December, 2016 and 30 January, 2017 were reported for information.

***RESOLVED –**

That the Minutes be noted.

173 **EQUALITY AND DIVERSITY POLICY, STRATEGY AND ACTION
PLAN 2017 - 2019**

The Policy Officer submitted a report seeking comments and feedback from Cabinet members on a new Cabinet on a draft Chesterfield Borough Council Equality and Diversity Strategy and Policy for 2017-19, in advance of it being submitted to full Council for approval.

The report noted that the updated Equality and Diversity Policy and Strategy for 2017-19 reflected the council's current understanding of the needs of its local communities as well as the council's corporate priorities as defined in the Council Plan 2015 - 19. The proposed Equality and Diversity Policy was attached as an appendix to the officer's report and included information on the council's corporate commitment to equality and diversity, including service provision and employment, as well as details of the council's corporate equality and diversity principles.

The proposed Equality and Diversity Strategy was also attached as an appendix to the officer's report and provided information on:

- the council's commitment to equality and diversity
- the roles and responsibilities across the council in relation to equalities
- how the council planned to achieve its corporate equality objectives
- the council's corporate equality objectives and the related actions required to deliver the strategy.

The proposed policy and strategy incorporated the council's approach to discharging its responsibilities under the Equality Act 2010 (including the Public Sector Equality Duty) as a service commissioner, service provider,

and employer. Members noted with approval that the scope and objectives of the proposed policy and strategy went over and above the minimum requirements as detailed in the legislation.

***RESOLVED –**

That it be recommended to Full Council that the revised Chesterfield Borough Council Equality and Diversity Policy and Strategy 2017-19, be adopted and implemented.

REASON FOR DECISION

The Policy and Strategy provide a framework for the council to continue to ensure that the services it provides are fair and meet the needs of local communities, and that the council discharges its responsibilities under the Equality Act 2010.

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CHESTERFIELD BOROUGH COUNCIL FORWARD PLAN
FOR THE FOUR MONTH PERIOD 1 JUNE 2017 TO 30 SEPTEMBER 2017

What is the Forward Plan?

This is formal notice under The Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012 of key decisions to be made on behalf of the Council. This Forward Plan sets out the details of the 'key' and other major decisions which the Council expects to take during the next four month period. The Plan is available to the public 28 days before the beginning of each month.

What is a Key Decision?

Any executive decision which is likely to result in the Council incurring significant expenditure or the making of savings where there is:

- a decision to spend £100,000 or more from an approved budget, or
- a decision to transfer funds of more than £50,000 from one budget to another, or
- a decision which would result in a saving of £50,000 or more to any budget head, or
- a decision to dispose or acquire any interest in land or buildings with a value of £50,000 or more, or
- a decision to propose the closure of, or reduction by more than ten (10) percent in the level of service (for example in terms of funding, staffing or hours of operation) provided from any facility from which Council services are supplied.

Any executive decision which will have a significant impact in environmental, physical, social or economic terms on communities living or working in one or more electoral wards. This includes any plans or strategies which are not within the Council's Policy Framework set out in Article 4 of the Council's Constitution.

Are any other decisions included on the plan?

The Forward Plan also includes details of any significant issues to be considered by the Executive Cabinet, full Council and Overview and Scrutiny Committee. They are called "non-key decisions". Non-key decisions that will be made in private are also listed.

How much notice is given of forthcoming decisions?

As far as possible and in the interests of transparency, the Council will seek to provide at least 28 clear days' notice of new key decisions (and many new non-key decisions) that are listed on this document. Where this is not practicable, such key decisions will be taken under urgency procedures (in accordance with Rule 15 (General Exception) and Rule 16 (Special Urgency) of the Access to information Procedure Rules). This will be indicated in the final column and a separate notice is also published with additional details.

What information is included in the plan?

The plan will provide a description of the decision to be taken, who will make the decision and when the decision is to be made. The relevant Cabinet Member for each decision is listed. If you wish to make representations about the decision to be made, the contact details of the appropriate officer are also provided. Decisions which are expected to be taken in private (at a meeting of the Cabinet or by an individual Cabinet Member) are marked "private" and the reasons privacy is required will also be stated. Each issue is also listed separately on the website which will show more details including any Urgency Notices if issued.

How is consultation and Community Engagement carried out?

We want all our communities to be given the opportunity to be involved in the decisions that affect them so before a decision is taken, where appropriate, community engagement activities are carried out. The Council's Community Engagement Strategy sets out a framework for how the Council engages with its customers and communities. Details of engagement activities may be found in reports when published. Alternatively you can contact the officer to whom representations may be made.

Notice of Intention to Conduct Business in Private

Whilst the majority of the business at Cabinet meetings will be open to the public and media to attend, there will inevitably be some business to be considered that contains, for example, confidential, commercially sensitive or personal information. This is formal notice under The Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012 that the Cabinet meetings shown on this Forward Plan will be held partly in private because some of the reports for the meeting will contain either confidential information or exempt information under Part 1 of Schedule 12A to the Local Government (Access to Information) Act 1985 (as amended) and that the public interest in withholding the information outweighs the public interest in disclosing it.

A list of the reports which are expected to be considered at this meeting in private are set out in a list on this Forward Plan. They are marked "private", including a number indicating the reason why the decision will be taken in private under the categories set out below:

- (1) information relating to any individual
- (2) information which is likely to reveal the identity of an individual
- (3) information relating the financial or business affairs of any particular person (including the authority holding that information)
- (4) information relating to any consultations or negotiations, or contemplated consultations or negotiations, in connection with any labour relations matter arising between the authority or a Minister of the Crown and employees of, or office holders under, the authority.
- (5) Information in respect of which a claim to legal professional privilege could be maintained in legal proceedings.
- (6) Information which reveals that the authority proposes (a) to give under any enactment a notice under or by virtue of which requirements are imposed on a person; or (b) to make an order or direction under any enactment.
- (7) Information relating to any action taken or to be taken in connection with the prevention, investigation or prosecution of crime.

If you would like to make representations about any particular decision to be conducted in private at this meeting then please email: democratic.services@chesterfield.gov.uk. Such representations must be received in advance of 5 clear working days before the date Cabinet meeting itself, normally by the preceding Monday. The Council is required to consider any representations received as to why an item should not be taken in private and to publish its decision.

It is possible that other private reports may be added at shorter notice to the agenda for the Cabinet meeting or for a Cabinet Member decision.

Huw Bowen
Chief Executive

Copies of the Council's Constitution and agenda and minutes for all meetings of the Council may be accessed on the Council's website: www.chesterfield.gov.uk



CHESTERFIELD
BOROUGH COUNCIL

Meeting Dates 2017/18

<u>Cabinet</u>	<u>Council</u>
4 April 2017* 18 April 2017	26 April 2017
2 May 2017* 16 May 2017 30 May 2017	10 May 2017
13 June 2017* 27 June 2017	
11 July 2017* 25 July 2017	19 July 2017
5 September 2017* 19 September 2017	
3 October 2017* 17 October 2017 31 October 2017*	11 October 2017
15 November 2017 28 November 2017*	
12 December 2017	13 December 2017
12 January 2018* 23 January 2018	
6 February 2018* 20 February 2018	22 February 2018
6 March 2018* 20 March 2018	
3 April 2018* 17 April 2018	25 April 2018
1 May 2018* 15 May 2018 29 May 2018	9 May 2018

*Joint Cabinet and Employment and General Committee meet immediately prior to the first meeting of Cabinet each month

Cabinet members and their portfolios are as follows:

Leader	Councillor Tricia Gilby
Deputy Leader	Councillor Amanda Serjeant
Cabinet Member for Business Transformation	Councillor Ken Huckle
Cabinet Member for Homes and Customers	Councillor Helen Bagley
Cabinet Member for Economic Growth	Councillor Terry Gilby
Cabinet Member for Governance	Councillor Sharon Blank
Cabinet Member for Health and Wellbeing	Councillor Chris Ludlow
Cabinet Member for Town Centres and Visitor Economy	Councillor Steve Brunt
Minority Member without portfolio	Councillor Alexis Diouf

In addition to the Cabinet Members above, the following Councillors are Assistant Cabinet Members for special projects.

Councillor Ray Catt, Councillor John Dickinson, Councillor Jean Innes

In addition to the Cabinet Members above, the following Councillors are voting Members of the Joint Cabinet and Employment and General Committee

Councillor John Burrows
Councillor Helen Elliott
Councillor Maureen Davenport
Councillor Jean Innes
Councillor Mick Wall

(To view the dates for other meetings please click [here](#).)

Decision No	Details of the Decision to be Taken	Decision to be taken by	Relevant Portfolio Holder	Earliest Date Decision can be Taken	Representations may be made to the following officer by the date stated	Public or Private	Decision Under Urgency Provisions
Key Decisions							
Key Decision 398	Sale of CBC Land/Property	Cabinet Member for Economic Growth	Cabinet Member - Economic Growth	Not before 30th Jun 2017	Matthew Sorby Tel: 01246 345800 matthew.sorby@chesterfield.gov.uk	Exempt 3 Contains financial information	No
Key Decision 584	Purchase of Property under Strategic Acquisitions Policy	Housing Manager	Cabinet Member - Homes and Customers	Not before 30th Jun 2017	Alison Craig Housing Manager Tel: 01246 345156 alison.craig@chesterfield.gov.uk	Exempt 3	No
Key Decision 648	Apprentice Town	Cabinet	Cabinet Member - Economic Growth	30 May 2017	Neil Johnson Tel: 01246 345241 neil.johnson@chesterfield.gov.uk	Public	No
Key Decision 657	Pay and Reward Project Proposals	Joint Cabinet and Employment & General Committee	Cabinet Member - Business Transformation	11 Jul 2017	Kate Harley Kate.Harley@Chesterfield.gov.uk	Exempt 3, 4	No

Decision No	Details of the Decision to be Taken	Decision to be taken by	Relevant Portfolio Holder	Earliest Date Decision can be Taken	Representations may be made to the following officer by the date stated	Public or Private	Decision Under Urgency Provisions
Key Decision 666	Allocations Policy Review 6 month review of Allocations Policy	Cabinet	Cabinet Member - Homes and Customers	13 Jun 2017	Alison Craig Housing Manager Tel: 01246 345156 alison.craig@chesterfield.gov.uk	Public	No
Key Decision 667	Tenancy Strategy & Policy To agree a revised Tenancy Strategy Policy.	Cabinet	Cabinet Member - Homes and Customers	11 Jul 2017	Alison Craig Housing Manager Tel: 01246 345156 alison.craig@chesterfield.gov.uk	Public	No
Key Decision 668	Leaseholder Charges To agree methodology for calculating leaseholder service charges.	Cabinet	Cabinet Member - Homes and Customers	30 May 2017	Alison Craig Housing Manager Tel: 01246 345156 alison.craig@chesterfield.gov.uk	Public	No
Key Decision 670	Barrow Hill Contractor Appointment Approval to appoint contractor.	Cabinet	Cabinet Member - Homes and Customers	11 Jul 2017	Alison Craig Housing Manager Tel: 01246 345156 alison.craig@chesterfield.gov.uk	Exempt 3	No

Decision No	Details of the Decision to be Taken	Decision to be taken by	Relevant Portfolio Holder	Earliest Date Decision can be Taken	Representations may be made to the following officer by the date stated	Public or Private	Decision Under Urgency Provisions
Key Decision 673	Crematorium Delivery Options - Final Report A final decision on the future operating model of the Joint Crematorium.	Cabinet	Cabinet Member - Health and Wellbeing	27 Jun 2017	Angela Dunn Bereavement Services Manager Tel: 01246 345881 angela.dunn@chesterfield.gov.uk	Exempt 3	No
Key Decision 718	Operational Services Division - 5 Year Development Plan	Joint Cabinet and Employment & General Committee	Cabinet Member - Homes and Customers	13 Jun 2017	Mike Brymer michael.brymer@chesterfield.gov.uk	Exempt 1, 3, 4	No
Key Decision 720	Chester Street / Catherine Street Garage Site to obtain permission to clear garage site and make available for Housing Development	Cabinet	Cabinet Member - Homes and Customers	13 Jun 2017	Alison Craig Housing Manager Tel: 01246 345156 alison.craig@chesterfield.gov.uk	Exempt 3	No
Key Decision 721	Consultation on potential Traveller Sites	Cabinet	Cabinet Member - Economic Growth	30 May 2017	Alan Morey Tel: 01246 345371 alan.morey@chesterfield.gov.uk	Public	No
Key Decision 722	Adaptations Policy and Procedure 2017 - 2020 To approve policy and procedure for assessing and delivering disabled adaptations within the councils housing stock.	Cabinet	Cabinet Member - Homes and Customers	16 May 2017	Alison Craig Housing Manager Tel: 01246 345156 alison.craig@chesterfield.gov.uk	Public	No

Decision No	Details of the Decision to be Taken	Decision to be taken by	Relevant Portfolio Holder	Earliest Date Decision can be Taken	Representations may be made to the following officer by the date stated	Public or Private	Decision Under Urgency Provisions
Key Decision 723	Outstanding debts for write off	Cabinet Member for Homes and Customers	Cabinet Member - Homes and Customers	Not before 20th Apr 2017	Maureen Madin Tel: 01246-345487 maureen.madin@chesterfield.gov.uk	Exempt 3	No
Key Decision 724	Extension of Falls Recovery Service Outside of Chesterfield Borough To consider a proposal to provide a Falls Recovery Service outside of the borough.	Joint Cabinet and Employment & General Committee	Cabinet Member - Homes and Customers	2 May 2017	Martyn Hudson Manager - Careline and Support Service martyn.hudson@chesterfield.gov.uk	Exempt 3	Yes Due to the service needing to start immediately, otherwise the opportunity may not exist.
Private Items (Non Key Decisions)							
Non-Key 363	Application for Home Repairs Assistance	Cabinet Member for Homes and Customers	Cabinet Member - Homes and Customers	Not before 30th Jun 2017	Jane Thomas jane.thomas@chesterfield.gov.uk	Exempt 1, 3 Information relating to an individual's information relating to financial affairs	No

Decision No	Details of the Decision to be Taken	Decision to be taken by	Relevant Portfolio Holder	Earliest Date Decision can be Taken	Representations may be made to the following officer by the date stated	Public or Private	Decision Under Urgency Provisions
Non-Key 367	Lease of Commercial and Industrial Properties	Cabinet Member for Economic Growth	Cabinet Member - Economic Growth	Not before 30th Jun 2017	Christopher Oakes Tel: 01246 345346 christopher.oakes@chesterfield.gov.uk	Exempt 3 Information relating to financial or business affairs	No
Non-Key 368	Application for Discretionary Rate Relief	Cabinet Member for Business Transformation	Cabinet Member - Business Transformation	Not before 30th Jun 2017		Exempt	No
Non-Key Non-Key 369	Progress on delivery of the Safeguarding Children and Vulnerable Adults Action Plan for 2016/17 and Action Plan for 2017/18	Cabinet	Deputy Leader	13 Jun 2017	Donna Reddish Tel: 01246 345307 donna.reddish@chesterfield.gov.uk	Exempt 7 Prevention, investigation or prosecution of crime	No
Non Key Decisions							
Non-Key Non Key 66	Progress on Council Plan - Year 2 2016/17	Cabinet	Deputy Leader	13 Jun 2017	Donna Reddish Tel: 01246 345307 donna.reddish@chesterfield.gov.uk	Public	No
Key Decision Non Key 67	Consideration and approval of the Overview and Scrutiny Programme of Work for 2017/18	Overview and Performance Scrutiny Forum	Cabinet Member - Governance	9 May 2017	Anita Cunningham Tel: 01246 345273 anita.cunningham@chesterfield.gov.uk	Public	No

Decision No	Details of the Decision to be Taken	Decision to be taken by	Relevant Portfolio Holder	Earliest Date Decision can be Taken	Representations may be made to the following officer by the date stated	Public or Private	Decision Under Urgency Provisions
Key Decision Non Key 68	Consideration of the Scrutiny Annual Report 2016/17 The report details the work of the Council's Overview and Scrutiny Committees and development of the Overview and Scrutiny function.	Overview and Performance Scrutiny Forum Council	Cabinet Member - Governance	27 Jun 2017 19 Jul 2017	Anita Cunningham Tel: 01246 345273 anita.cunningham@chesterfield.gov.uk	Public	No

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CABINET MEETING

16 May 2017

DELEGATION REPORT

DECISIONS TAKEN BY CABINET MEMBERS

Cabinet Member for Health and Wellbeing

Decision Record No.	Subject	Delegation Reference	Date of Decision
44/16/17	Application for Discretionary Disabled Facilities Loan Assistance (Case No. DFG1925)	HW1360L	5 April 2017
<p>Decision</p> <p>That the discretionary Disabled Facilities Loan Assistance of £10,000 be approved based on the costs outlined in the report.</p>			
<p>Reason for Decision</p> <p>To enable a severely disabled person to continue living independently and safely in his own home.</p>			

Cabinet Member for Economic Growth

Decision Record No.	Subject	Delegation Reference	Date of Decision
45/16/17	Sale of shop and flat at 21-21a Hillman Drive, Inkersall	G260L	6 April 2017
<p>Decision</p> <p>(1) That the disposal of the shop and premises at 21-21a Hillman Drive, Inkersall, on the terms set out in the officers' report, be approved.</p> <p>(2) That the Property, Procurement and Contracts Law Manager be delegated authority to agree any late amendments to the sale.</p>			
<p>Reason for Decision</p> <p>To secure a one off capital receipt for the Housing Revenue Account.</p>			
46/16/17	Sale of land adjacent Ribber Cottage, 1A Ribber Terrace, Boythorpe	G260L	2 May 2017
<p>Decision</p> <p>(1) That the disposal of the land comprising 88 sq m, as outlined in the appendix to the officer's report, be approved.</p> <p>(2) That the Property, Procurement and Contracts Law Manager be granted delegated authority to agree any late amendments to the terms of the legal documentation.</p>			
<p>Reason for Decision</p> <p>The Council will receive a capital receipt for the sale, together with in-house legal costs.</p>			

Cabinet Member for Customers and Communities

Decision Record No.	Subject	Delegation Reference	Date of Decision
47/16/17	Outstanding Debts for Write Off	G100L	24 April 2017
<p>Decision</p> <p>That the debts shown in the officer’s report be written off.</p>			
<p>Reason for Decision</p> <p>That the debts shown in the officer’s report be written off.</p>			

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SHEFFIELD CITY REGION COMBINED AUTHORITY

THE RECEPTION ROOM, TOWN HALL, BARNSELEY

MINUTES OF THE MEETING HELD ON 22 MARCH 2017

PRESENT:

Councillor Sir Steve Houghton CBE, Barnsley MBC (Chair)
Councillor John Burrows, Chesterfield BC (Vice Chair)

Councillor Chris Read, Rotherham MBC
Councillor Glyn Jones, Doncaster MBC
Nigel Brewster, SCR LEP Vice Chair

Ruth Adams, SCR Exec Team
Huw Bowen, Chesterfield BC
Dave Brennan, SCR Exec Team
Sue Coffey, SCR Exec Team
Peter Dale, Doncaster MBC
Steve Edwards, SYPTE
Andrew Frosdick, Monitoring Officer
David Hewitt, SCR Exec Team
Sharon Kemp, Rotherham MBC
Mark Lynam, SCR Exec Team
John Mothersole, Sheffield CC
Mel Dei Rossi, SCR Exec Team
Dave Smith, SCR Exec Team
Gareth Sutton, Sheffield CC / SCR
Neil Taylor, Bassetlaw DC
Craig Tyler, Joint Authorities Governance Unit

Apologies for absence were received from Councillor A Syrett, Councillor G Baxter, Councillor J Dore, Councillor S Greaves, Mayor R Jones, Councillor A Rhodes, Councillor L Rose, N Knowles, J Kenny, D Bunton, J Miller, D Swaine, D Terris and E Walker

1 VOTING RIGHTS FOR NON-CONSTITUENT MEMBERS

It was agreed there were no agenda items where non-Constituent Members should not have voting rights.

2 APOLOGIES

Apologies were noted as above.

3 ANNOUNCEMENTS

None.

4 URGENT ITEMS

RESOLVED, that: Business Investment Fund – Boeing Inward Investment Proposal be taken as an urgent item (at agenda item 24).

5 ITEMS TO BE CONSIDERED IN THE ABSENCE OF THE PUBLIC AND PRESS

RESOLVED: that agenda item 24: Business Investment Fund – Boeing Inward Investment Proposal be taken in the absence of the public and press.

6 DECLARATIONS OF INTEREST BY INDIVIDUAL MEMBERS IN RELATION TO ANY ITEM OF BUSINESS ON THE AGENDA

None received.

7 REPORTS FROM AND QUESTIONS BY MEMBERS

None received.

8 RECEIPT OF PETITIONS

None received.

9 PUBLIC QUESTIONS

The Authority received 2 public questions, these were addressed as follows:

Q1 from N Slack: When the SCRCA Constitution was originally established Sheffield for Democracy commented on reservations over the arrangements for public engagement (questions) and minor changes were made. The commitment was also made that the constitution would be a living document open to further changes in the future.

The handling of my questions at the meeting of 30th January illustrate the need for further change. The response to the questions I put may have been adhering to the letter of the constitution but they fell far short of the spirit of public engagement.

For me, the way public questions are handled should be open & transparent. Questions should be asked in the public forum, not referred to obliquely. Responses should be made publicly at the time and, if more time is required for a fuller response, the written responses should be included in the minutes in retrospect.

Some of the Council Leaders present may not be used to or indeed comfortable with this level of public scrutiny but in Sheffield it is considered normal and welcomed (at least in public) by most senior councillors. I would therefore recommend the City Council's approach as a model for the City Region.

Will the SCRCA look at the matter in detail and take measures to improve the public confidence in their commitment to public scrutiny?

The Chair asserted the Authority is open to, and welcoming of, suggestions for improvement to help ensure that all business is transacted in a manner which meets both the letter and spirit of the constitution.

The suggestion that '*some of the Council Leaders present may not be used to or indeed comfortable with this level of public scrutiny*' was refuted, the Chair noting that the districts have recently been subjected to substantial levels of scrutiny.

Q2 from N Slack: With the Leaders of Barnsley & Doncaster attending the 'Whole Yorkshire' devolution event in York, will the Chair be standing down over what might be construed as a conflict of interest or was accepting the invitation to this event just a sop to back bench discontent within their own Councils?

The Chair provided reassurances that back bench Members are not sopped in any shape or form and confirmed Members are always provided with all appropriate information and options ahead of any final decisions being taken.

The Chair further confirmed that should any conflict of interest arise, the matter would be dealt with through the taking of appropriate steps.

10 MINUTES OF THE MEETING HELD ON 30 JANUARY 2017

RESOLVED: that the minutes of the meeting of the Authority held on 30th January 2017 are agreed to be a true and accurate record.

11 CALEP REVENUE BUDGET HIGHLIGHTS

A report and accompanying presentation were received proposing a revenue budget for financial year 2017/18, and providing forecasts for future years.

It was noted the budget and programmes presented in the paper have been construed to facilitate the work of the SCR Executive in delivering the Strategic Economic Plan.

The paper proposed a £5m revenue core budget to be resourced from grants, contributions, retained business rates, and a significant one-off contribution from reserves of £935k.

Members were advised the revenue budget has been prepared on the basis that devolution Gainshare monies do not flow and asked to recognise that without Gainshare the Authority must seriously consider its funding mix, the call upon partners for resource, and the overriding need to identify sustainable funding streams to allow it to operate with confidence.

Members were advised that the Authority will be confronted with a number of challenges in the coming years as it attempts to manage a number of financial difficulties from a position of relative weakness. Revenue income streams from government are committed on a year-by-year basis, whilst retained business rates due to the region from the Enterprise Zone remain stubbornly difficult for partners to accurately forecast. These matters make medium-term planning difficult, and prejudices the Authority's ability to resource the SCR Executive staffing structure with confidence.

It was noted the SCR is also exposed to unpredictable costs as the issues around the judicial review and devolution consultation have shown. Provision has been taken within the Authority's budgets to manage these risks, restricting the amount of resource available for other priorities.

It was noted these issues will be exacerbated by the level of risk the region could be exposed to if it is to proceed with plans to take on major new strands of activity around adult education and work and health budgets from government. Balance sheet strength and staffing capacity to take on significant complex new spheres of activity without more financial and human resource will be a key consideration moving forward.

It was also noted the Authority continues to operate with a relatively low level of reserves to help guard against financial shock. Anticipated outturn underspend from this financial year will be taken to reserves to bolster our financial resilience, whilst it is proposed that some be released to ease income pressures in 2017/18.

Members were also asked to recognise there is a particular concern with respect to key business growth programmes that are currently funded from the LGF revenue reserve and that once this reserve is exhausted, the activity will become unsustainable unless further resource is identified.

RESOLVED, that the Combined Authority:

1. Approves the proposed revenue budget for 2017/18
2. Notes that subscriptions payable by partner authorities will be frozen on 2016/17 levels
3. Notes that there are significant sustainability issues with the CA/LEP revenue budget

Members were presented with a report of the Director of Finance seeking approval of the capital programme for 2017/18 and advised that the programmes are marked by the shortfall of grant to cover all the region's aspirations. The report also provided information regarding the forecast CA/LEP capital programme outturn position for 2016/17

It was noted the Combined Authority's capital programme is constituted from various discreet programmes of activity which can, considering how these are discreetly funded and also the geography of investment, can be grouped into the Local Growth Fund programme and the South Yorkshire transport programmes.

Regarding transport programmes, the report highlighted the anticipated fall in grant resource available to SYPTE and SY district partners to fund investment and maintenance transport programmes in South Yorkshire, manifesting as a recommendation that the Authority approves borrowing of up to £12.5m over the next three years to support investment at the Rotherham bus interchange.

Cllr Read welcomed the Authority's commitment to support investment at Rotherham Interchange.

Members were also advised of the need for investment on Supertram rails for which SYPTE has a currently unfunded contractual obligation and for which a request for funding will be presented later in the year.

Regarding the Local Growth Fund programme. It was noted the current programme has a potential spend of £85.801m in 2017/18.

RESOLVED, that the Combined Authority:

1. Approves the Local Growth Fund capital programme
2. Approves the South Yorkshire transport capital programme
3. Approves the use of borrowing to fund investment in the Rotherham bus interchange (£12.5m)

13 SCR CA ANNUAL TREASURY MANAGEMENT STRATEGY

A paper was presented providing the proposed Annual Treasury Management Strategy for financial year 2017/18.

It was noted this is a compliance paper which sets out how the Authority's debt and investment portfolio will be managed over the period. Like other public bodies, the Authority adopts an efficient approach to its affairs which seeks to mitigate risk above all else.

Members were advised the proposals within this paper do not contain any material amendments to parameters previously agreed and will allow the Authority to continue to conduct its affairs in an efficient manner which mitigates risk.

Members were reminded the Authority has adopted a prudent approach to managing down its debt, charging a prudent provision to its revenue account each year and that the approach to deploying cash balances until they are required favours the security of investments over the yield they return and recognises the importance of balancing risk and reward over the long-term.

RESOLVED, that the Combined Authority:

1. Notes the prudential indicators
2. Approves the annual investment strategy
3. Approves the minimum revenue provision policy
4. Approves the limits and boundaries on debt

14 DEVOLUTION

A report was received to provide an update on proposals to take forward the Sheffield City Region Devolution Deal and seek delegated authority to put in place support to undertake the additional consultation required.

RESOLVED, that the Combined Authority agrees to provide the SCR Executive Managing Director, in consultation with the Chair and Vice Chair of the Combined Authority, the approval to enter into contractual arrangements with the potential value of this activity to exceed £100k to develop, deliver and analyse the additional consultation required to progress the City Region's Devolution Deal.

15 STRATEGIC ECONOMIC PLAN REFRESH AND INDUSTRIAL STRATEGY

Members were provided with an update regarding ongoing work to refresh the Strategic Economic Plan (SEP) and advised of how this work is linked to the SCR's input into informing the government's emerging Industrial Strategy.

It was noted that phase 1 of this work - the refresh of the supporting evidence base has been completed. This evidence base will then be used to inform any potential policy amendments.

It was reported the evidence suggests the SEP strategy is more than meeting a number of its targets and the SCR is experiencing net jobs growth for the first time in a generation. It was noted these jobs are coming from 2 principal sectors; manufacturing and business services. However, despite overall jobs growth the SCR's economy is still overly compromised of low skilled and poorly paid jobs and this situation still needs to be addressed if the SCR is to meet its GVA uplift target.

It was reported the SCR is still underperforming in respect of its new housing targets (with c50% of target numbers being realised). It was suggested this is principally due to market failures and the lack of market conditions required to attract more housing developers to the region.

Regarding skills and employability, it was reported there is a significant challenge to be addressed in respect of developing local 'jobs with prospects' including the jobs required to retain graduates in the SCR.

It was noted a more detailed report on the findings of the evidence base will be presented to the Authority in due course.

16 UPDATED ASSURANCE AND ACCOUNTABILITY FRAMEWORK

A report was received seeking the Authority's endorsement of the updated SCR Assurance and Accountability Framework (AAF).

The report included an overview of the changes required to implement this Framework necessitated by the Government guidance.

Members were advised that in order to ensure the Framework's compliance with the national guidance, a number of changes need to be implemented within the SCR's existing governance and assurance systems. Specifically, these include: having a named LEP Board member responsible for leading on SME's (the position to be filled by the Vice Chair in the interim, publishing LEP Boards agendas, papers and minutes, ensuring that decisions taken by Boards with delegated authority from the CA are transparently reported back to the CA and LEP on a regular basis to ensure transparency around the actions underway, publishing a diversity statement explaining how the LEP will look to ensure diverse representation at Board and Sub Board level, making any future commissioning calls for schemes seeking funding open to all scheme promoters and publishing online business case information for schemes receiving LGF, including establishing a mechanism for members of the public to provide comments on business cases.

Members were informed that the revised Framework also includes the evolution of the City Region's Executive Board into Delivery Boards. It was noted that the implementation of this change and specifically giving the Delivery Boards delegated authority to make decisions on the programme of activity agreed by the CA and LEP necessitates changes to the suite of other governance documents supporting the LEP and CA, notably the CA's Constitution (including the code of conduct for members and officers), the Financial Regulations of the CA and the terms of reference for the LEP and the Delivery Boards.

It was noted that to fully implement all recommended changes, including additional changes recommended by the 2016 governance review, required actions will include the development of a revised model composition of membership for the Delivery Boards, reconsideration of the optimum operation of the meeting cycle and ensuring that all published meeting papers are easily accessible via the City Region's website.

Members were asked to recognise it is likely the completion of these actions will require the SCR to make further revisions to its Assurance Framework and informed is proposed that changes will be operationalised following the CA's Annual General Meeting in June.

RESOLVED, that the Combined Authority:

1. Endorses the revised Assurance and Accountability Framework
2. Notes the actions required to implement the revised Assurance Framework.
3. Notes the wider changes required to implement the conclusions of the 2016 governance review.

17 LGF CAPITAL PROGRAMME APPROVALS

A report was presented confirming and seeking endorsement of the financial approvals which have progressed through the Appraisal Framework.

RESOLVED, that the Combined Authority:

1. Approves the 12 change requests received since the last meeting of the CA on 30th January 2017 (provided at Appendix A to the accompanying report)
2. Approves the establishment of the financial and management structure of the Housing Investment Fund at a cost of up to £10m, noting the Fund cannot transact on individual schemes / investments until the conditions recommended by Appraisal Panel have been resolved and presented to the CA for approval.
3. Approves the acquisition of the Advanced Manufacturing Park Technology Centre, on behalf of the SCR Combined Authority, at a cost of up to £7.55m.
4. Approves delegated Authority to the Head of Paid of Service, in conjunction with the Section 73 Officer and the Chair of the CA, to enter into the contractual arrangements required as a result of the above approvals.

18 SYLTE DIRECTORS APPOINTMENT

RESOLVED, that the Combined Authority notes the appointment of Ben Gilligan to the position of SYLTE Director of Public Transport and acknowledges that a fair and equitable appointment process has been undertaken.

19 SUMMARY REPORT - HOUSING EXECUTIVE BOARD

RESOLVED – that the matters addressed in the summary report be noted and the recommendations of the Housing Executive Board be endorsed.

20 SUMMARY REPORT - TRANSPORT EXECUTIVE BOARD

RESOLVED – that the matters addressed in the summary report be noted and the recommendations of the Transport Executive Board be endorsed.

21 SUMMARY REPORT - SKILLS, EMPLOYMENT & EDUCATION EXECUTIVE BOARD

RESOLVED – that the matters addressed in the summary report be noted and the recommendations of the Skills Executive Board be endorsed.

22 SUMMARY REPORT - BUSINESS GROWTH EXECUTIVE BOARD

RESOLVED – that the matters addressed in the summary report be noted and the recommendations of the Business Growth Executive Board be endorsed.

23 SUMMARY REPORT - INFRASTRUCTURE EXECUTIVE BOARD

RESOLVED – that the matters addressed in the summary report be noted and the recommendations of the Infrastructure Executive Board be endorsed.

24 BUSINESS INVESTMENT FUND - BOEING INVESTMENT PROPOSAL

A paper was received seeking the Combined Authority's approval of the Business Investment Fund's recommendation of an award of £5.75m to support the establishment of a production facility in the SCR by Boeing United Kingdom Limited, noting CA-level approval is required for any grant of over £2m.

RESOLVED, that the Combined Authority:

1. Notes the proposed investment by Boeing in a research and development programme and a new fabrication facility in the SCR which will (if approved) manufacture components for aircraft actuation systems by 2019.
2. Agrees, subject to contract and satisfactory due diligence, to allocate £5.75m of funding from the Business Investment Fund to support this investment.
3. Delegates authority to the CA's Head of Paid Service (in consultation with the CA's Statutory Officers) to agree appropriate terms and conditions of this grant award

CHAIR

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For publication

Review of the Code of Corporate Governance and the annual Governance Statement

Meeting:	Standards and Audit Committee Cabinet
Date:	24 May 2017 16 May 2017
Cabinet portfolio:	Cabinet Member for Governance
Report by:	Internal Audit Consortium Manager

For publication

1.0 **Purpose of report**

- 1.1 To Review compliance with the Code of Corporate Governance requirements during the year 2016/17 and to present the Annual Governance Statement and associated action plan.

2.0 **Recommendations**

- 2.1 That the Cabinet consider the following documents and refer any comments to the Standards and Audit Committee:
- a) the Annual Review of the Local Code of Corporate Governance for 2016/17 (Appendix A);
 - b) The review of the key elements that comprise the Council's governance arrangements (Appendix B)
 - c) the Annual Governance Statement (Appendix C);

- d) the Annual Governance Statement Action Plan (Appendix D).
- 2.2 That the Standards and Audit Committee:
- a) consider the documents listed in 2.1 above, together with any comments from Cabinet;
 - b) subject to any amendments that they consider appropriate, approve the Annual Governance Statement and Action Plan;
- and
- c) recommend that the Annual Governance Statement be signed by the Leader and Chief Executive.
- 2.3 That a review of the Code of Corporate Governance be undertaken in 12 months' time.
- 2.4 That progress on the Action Plan is monitored by the Corporate Management Team.

3.0 Report Details

Background

- 3.1 As good practice and to promote sound governance arrangements local authorities are recommended to adopt and regularly review a Code of Corporate Governance. The Code of Corporate Governance details the system by which the Council controls and directs its functions and how it relates to its local community. The overall aim is to ensure that resources are directed in accordance with agreed policy and according to priorities, that there is sound and inclusive decision making and that there is clear accountability for the use of those resources in order to achieve desired outcomes for service users and communities.
- 3.2 The Council's Code of Corporate Governance has been revised for 2016/17 following the issue of "delivering good governance in Local Government Framework 2016 Edition" by CIPFA/SOLACE. This Framework applies to annual governance statements prepared for the financial year 2016/17 onwards.
- 3.3 The Annual Governance Statement builds on the annual review of the Code of Corporate Governance. In England, the preparation

and publication of an Annual Governance Statement is necessary to meet the statutory requirement set out in the Accounts and Audit (England) Regulations 2015. The Regulation requires authorities to prepare an Annual Governance Statement in accordance with “proper practices” in relation to internal control. The CIPFA / SOLACE framework, ‘Delivering Good Governance in Local Government: Framework (2016)’, defines such “proper practices”.

3.4 The Annual Governance Statement should be an open and honest self-assessment of the organisation’s performance across all of its activities, with a clear statement of the actions being taken or required to address areas of concern. The 2016 CIPFA/SOLACE Framework sets out the following core principles of good Governance:-

- a. Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law;
- b. Ensuring openness and comprehensive stakeholder engagement;
- c. Defining outcomes in terms of sustainable economic, social and environmental benefits;
- d. Determining the interventions necessary to optimize the achievement of the intended outcomes;
- e. Developing the entity’s capacity, including the capability of its leadership and the individuals within it;
- f. Managing risks and performance through robust internal control and strong public financial management;
- g. Implementing good practices in transparency, reporting, and audit, to deliver effective accountability.

3.5 Local authorities are required to prepare an annual governance statement in order to report publicly on the extent to which they comply with their own code of governance, which in turn is consistent with the good governance principles in the Framework.

- 3.6 Within the delivering good governance in Local Government Framework 2016 Edition is a list of the key elements of the structures and processes that comprise an authority's governance arrangements. The Corporate Management Team and other senior officers have reviewed the position in Chesterfield Borough Council against the key elements and this review is shown at Appendix B.

Review of compliance with the Code of Corporate Governance requirements

- 3.7 The Review in Appendix A shows that compliance with the Code requirements has been largely achieved during the year 2016/17. Where there is only part compliance or no compliance these areas have been addressed within the Annual Governance Statement Action Plan.

The Annual Governance Statement

- 3.8 The review of compliance with the Code of Corporate Governance helps to identify evidence which is then used in the Annual Governance Statement.
- 3.9 The guidance issued by the Chartered Institute of Public Finance and Accountancy (CIPFA) has also been used when producing the Annual Governance Statement. The Annual Governance Statement (Appendix C) and action plan (Appendix D) have been derived from a detailed review of the assurances by senior officers and from the work undertaken and risks identified by internal audit.
- 3.10 The Corporate Management Team and other senior officers have all been involved in the review.
- 3.11 The review indicates that many of the processes and procedures in place at Chesterfield Borough Council are compliant with good practice however there are a number of governance issues that are detailed within the annual governance statement that require addressing.

- 3.12 Where it has been found that there is a gap or an area where the system of internal control could be further improved, the relevant item has been incorporated into an Action Plan shown as Appendix D. The items in the Action Plan have been ranked, with the more significant issues being included in the Annual Governance Statement (Appendix C) that will be published with the Council's Statement of Accounts.
- 3.13 The Annual Governance Statement (Appendix C) follows the layout of a pro forma statement recommended by the CIPFA guidance. The Statement should be signed by the Leader of the Council and the Chief Executive.

4.0 Human resources / people management implications

- 4.1 None

5.0 Financial implications

- 5.1 There are no cost implications.

6.0 Legal and data protection implications

- 6.1 The preparation and publication of an Annual Governance Statement is necessary to meet the statutory requirement set out in the Accounts and Audit (England) Regulations 2015.

7.0 Consultation

- 7.1 The Corporate Management Team and other senior officers have been involved in the review.

8.0 Risk Management

- 8.1 The failure to operate a sound system of Corporate Governance would represent a significant risk to the Council. The review of the Code of Corporate Governance and the preparation of the Annual Governance Statement have resulted in the production of an action plan to address the risks identified. Progress against the action plan will be monitored by the Corporate Management Team and the Standards and Audit Committee.

9.0 Equalities Impact Assessment (EIA)

9.1 Whilst there are not considered to be any direct equalities impacts in relation to this report, sound corporate governance arrangements will support the achievement of the Council's equalities objectives.

10 Alternative options and reason for rejection

10.1 Not Applicable

11.0 Recommendations

11.1 That the Cabinet consider the following documents and refer any comments to the Standards and Audit Committee:

a) the Annual Review of the Local Code of Corporate Governance for 2016/17 (Appendix A);

b) The review of the key elements that comprise the Council's governance arrangements (Appendix B)

c) the Annual Governance Statement (Appendix C);

d) the Annual Governance Statement Action Plan (Appendix D).

11.2 That the Standards and Audit Committee:

a) consider the documents listed in 2.1 above, together with any comments from Cabinet;

b) subject to any amendments that they consider appropriate, approve the Annual Governance Statement and Action Plan;

and

c) recommend that the Annual Governance Statement be signed by the Leader and Chief Executive.

11.3 That a review of the Code of Corporate Governance be undertaken in 12 months' time.

11.4 That progress on the Action Plan is monitored by the Corporate Management Team.

12.0 Reasons for recommendations

- 12.1 To enable the Cabinet and the Standards and Audit Committee to monitor compliance with the Code of Corporate Governance.
- 12.2 In order to comply with the requirements of the Accounts and Audit Regulations 2015.
- 12.3 To support the maintenance of sound governance arrangements within the Council.

Decision information

Key decision number	NA
Wards affected	All
Links to Council Plan priorities	All

Document information

Report author	Contact number/email
Jenny Williams	01246 345468 Jenny.williams@chesterfield.gov.uk
Background documents	
These are unpublished works which have been relied on to a material extent when the report was prepared.	
Accounts and Audit (England) Regulations 2015 CIPFA/SOLACE publication – Delivering Good Governance in Local Government Framework 2016 Edition	
LOCATION: Internal Audit Office	

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Appendix A
Chesterfield Borough Council
Local Code of Corporate Governance – 2016/17 Review

<p>Principle A</p> <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 39</p>	<p>A. Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law</p> <p>Local government organisations are accountable not only for how much they spend, but also for how they use the resources under their stewardship. This includes accountability for outputs, both positive and negative, and for the outcomes they have achieved. In addition, they have an overarching responsibility to serve the public interest in adhering to the requirements of legislation and government policies. It is essential that, as a whole, they can demonstrate the appropriateness of all their actions and have mechanisms in place to encourage and enforce adherence to ethical values and to respect the rule of law.</p>
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Sub-principles (in bold) and behaviours and actions that demonstrate good governance in practice	Responsibility	Examples of systems, processes, documentation and other evidence demonstrating compliance	CBC Situation	Compliance Achieved
<p>Behaving with integrity Ensuring members and officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of</p>	<p>Members, SLT, CMT</p>	<ul style="list-style-type: none"> • Codes of conduct • Individual sign off with regard to compliance with 	<p>Member and Officers Codes of Conduct are within the Constitution</p> <p>Complaints procedure Councillor complaints assessed in accordance with the council</p>	<p>Yes</p>

Sub-principles (in bold) and behaviours and actions that demonstrate good governance in practice	Responsibility	Examples of systems, processes, documentation and other evidence demonstrating compliance	CBC Situation	Compliance Achieved
the organisation		<p>code</p> <ul style="list-style-type: none"> • Induction for new members and staff on standard of behaviour expected • Performance appraisals 	<p>procedure with various</p> <p>All new staff have a Corporate Induction and follow an induction process with their line manager Councillors have training on standards generally and also specifically (relating to e.g. planning, licensing). Training is supplemented by updates and refresher sessions as well as advice as necessary</p> <p>All staff have annual performance appraisals,</p>	

Sub-principles (in bold) and behaviours and actions that demonstrate good governance in practice	Responsibility	Examples of systems, processes, documentation and other evidence demonstrating compliance	CBC Situation	Compliance Achieved
			a 6 month review and 1:1's	
<p>Ensuring members take the lead in establishing specific standard operating principles or values for the organisation and its staff and that they are communicated and understood. These should build on the Seven Principles of Public Life (the Nolan Principles)</p>	Members, Monitoring Officer	Communicating shared values with members, staff, the community and partners	There is a Council Plan that includes a vision statement which is approved by Council on an annual basis. The Council Plan is cascaded down through SLT, CMT, service Managers meetings, team meetings and the Borough Bulletin.	Yes
Leading by example and using these standard operating principles or values as a framework for decision making and other actions	Members, SLT, CMT	<ul style="list-style-type: none"> • Decision making practices • Declarations of interests made at meetings • Conduct at meetings 	These are set out in the Constitution Declarations of interest are asked for at the start of every Committee meeting Included in the Members	Yes

Sub-principles (in bold) and behaviours and actions that demonstrate good governance in practice	Responsibility	Examples of systems, processes, documentation and other evidence demonstrating compliance	CBC Situation	Compliance Achieved
		<ul style="list-style-type: none"> Shared values guide decision making Develop and maintain an effective standards committee 	Code of Conduct Protocols on Members/Officer relations There is an Audit and Standards Committee to consider these issues	
Demonstrating, communicating and embedding the standard operating principles or values through appropriate policies and processes which are reviewed on a regular basis to ensure that they are operating effectively	Monitoring Officer, Internal Audit Consortium Manager, HR, Policy and communications Officer	<ul style="list-style-type: none"> Anti-fraud and corruption policies are working effectively Up-to-date 	Anti-Fraud Bribery and Corruption policy approved by the Standards and Audit Committee September 16 and advertised to staff on the intranet and in the Borough Bulletin. Anti – fraud training provided to officers and Members September 16. Members and staff are	Yes

Sub-principles (in bold) and behaviours and actions that demonstrate good governance in practice	Responsibility	Examples of systems, processes, documentation and other evidence demonstrating compliance	CBC Situation	Compliance Achieved
<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 43</p>		<ul style="list-style-type: none"> register of interests (members and staff) • Up-to-date register of gifts and hospitality • Whistleblowing policies are in place and protect individuals raising concerns • Whistleblowing policy has been made available to members of the public, employees, partners and contractors 	<p>expected to declare any interests</p> <p>There is a current register of gifts and hospitality</p> <p>The Council has a current Confidential Reporting Code (Whistleblowing Policy) in place</p> <p>The Whistleblowing Policy is on the intranet and the Council's website</p>	

Sub-principles (in bold) and behaviours and actions that demonstrate good governance in practice	Responsibility	Examples of systems, processes, documentation and other evidence demonstrating compliance	CBC Situation	Compliance Achieved
		<ul style="list-style-type: none"> • Complaints policy and examples of responding to complaints about behaviour • Changes/improvements as a result of complaints received and acted upon • Members and officers code of conduct refers to a requirement to declare interests • Minutes show declarations of interest were sought and appropriate declarations made 	<p>The Council keeps a record of complaints and how they are dealt with</p> <p>Lessons are learnt from complaints</p> <p>The Members and Officers Codes of Conduct refer to a requirement to declare interests</p> <p>Declarations of interest is a Standard heading on Committee minutes and any declarations are recorded</p>	

Sub-principles (in bold) and behaviours and actions that demonstrate good governance in practice	Responsibility	Examples of systems, processes, documentation and other evidence demonstrating compliance	CBC Situation	Compliance Achieved
<p>Demonstrating strong commitment to ethical values Seeking to establish, monitor and maintain the organisation's ethical standards and performance</p>	<p>Members, Monitoring Officer Policy and Communications</p>	<ul style="list-style-type: none"> • Scrutiny of ethical decision making • Championing ethical compliance at governing body level 	<p>There are 3 Scrutiny Committees:- 1) Overview and Performance Scrutiny Forum 2) Enterprise and Wellbeing Scrutiny Committee 3) Community, Customer and Organisational Scrutiny Committee</p> <p>An annual Scrutiny report goes to Full Council</p>	<p>Yes</p>

Sub-principles (in bold) and behaviours and actions that demonstrate good governance in practice	Responsibility	Examples of systems, processes, documentation and other evidence demonstrating compliance	CBC Situation	Compliance Achieved
<p>Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the organisation's culture and operation</p>	<p>Members, SLT, CMT</p>	<p>Provision of ethical awareness training</p>	<p>Members receive training on ethical standards which is repeated as necessary. Regulatory Committees have a mandatory training requirement</p> <p>All staff and elected members receive a comprehensive induction which covers behaviour and ethical values</p> <p>Training is also available to both members and officers on specific equality and diversity issues.</p> <p>The Council has established core values</p>	<p>Yes</p>

Sub-principles (in bold) and behaviours and actions that demonstrate good governance in practice	Responsibility	Examples of systems, processes, documentation and other evidence demonstrating compliance	CBC Situation	Compliance Achieved
			which are publicised widely to staff and members and re-enforced during EPD process.	
Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values	Policy and Communication s Manager, Monitoring Officer	<ul style="list-style-type: none"> • Appraisal processes take account of values and ethical behaviour • Staff appointments policy • Procurement policy 	Yes e.g. ensuring that others are treated fairly Anti- harassment and bullying policy Anti- Fraud, Bribery and corruption policy Code of Conduct Equality, diversity and social inclusion policy There is a recruitment Policy that ensures a fair appointments process	Yes

Sub-principles (in bold) and behaviours and actions that demonstrate good governance in practice	Responsibility	Examples of systems, processes, documentation and other evidence demonstrating compliance	CBC Situation	Compliance Achieved
			The Procurement Strategy is currently in Development but will include ethical issues. Council values form part of EPD process	
Ensuring that external providers of services on behalf of the organisation are required to act with integrity and in compliance with high ethical standards expected by the organisation	SLT,CMT	<ul style="list-style-type: none"> Agreed values in partnership working: Statement of business ethics communicates commitment to ethical values to external suppliers 	Review required 2017/18	Part – Review required see action plan

Sub-principles (in bold) and behaviours and actions that demonstrate good governance in practice	Responsibility	Examples of systems, processes, documentation and other evidence demonstrating compliance	CBC Situation	Compliance Achieved
Page 49		<ul style="list-style-type: none"> Ethical values feature in contracts with external service providers Protocols for partnership working 		
Respecting the rule of law Ensuring members and staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations	Monitoring Officer	<ul style="list-style-type: none"> Statutory provisions Statutory guidance is followed Constitution 	Legal Services Protocols Constitution Standards and Audit Committee Procedures in place and training to ensure e.g. planning decisions properly made. Legal duty to maintain and uphold Standards, vested in Standards and Audit Committee	Yes
Creating the conditions to	SLT, CMT, HR	<ul style="list-style-type: none"> Job 	All jobs are required to	Yes

Sub-principles (in bold) and behaviours and actions that demonstrate good governance in practice	Responsibility	Examples of systems, processes, documentation and other evidence demonstrating compliance	CBC Situation	Compliance Achieved
<p>ensure that the statutory officers, other key post holders and members are able to fulfil their responsibilities in accordance with legislative and regulatory requirements</p>		<p>description/specs</p> <ul style="list-style-type: none"> • Compliance with CIPFA's <i>Statement on the Role of the Chief Financial Officer in Local Government</i> (CIPFA, 2015) • Terms of reference • Committee support 	<p>have job descriptions and person specifications</p> <p>The Director of Resources is the nominated section 151 Officer and the Chief Accountant is the Deputy. CIPFA'S statement on the role of the Chief Financial Officer is complied with</p> <p>The Constitution is underpinned by legal references</p> <p>Democratic and Scrutiny functions.</p>	

Sub-principles (in bold) and behaviours and actions that demonstrate good governance in practice	Responsibility	Examples of systems, processes, documentation and other evidence demonstrating compliance	CBC Situation	Compliance Achieved
Striving to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders Page 51	Monitoring Officer	Record of legal advice provided by officers	Constitution is underpinned by legal references Committee minutes and reports Constitution reviewed and updated as necessary	Yes
Dealing with breaches of legal and regulatory provisions effectively	Monitoring Officer	<ul style="list-style-type: none"> • Monitoring officer provisions • Record of legal advice provided by officers • Statutory provisions 	The Council has a Monitoring Officer With oversight of governance at the Council	Yes

Sub-principles (in bold) and behaviours and actions that demonstrate good governance in practice	Responsibility	Examples of systems, processes, documentation and other evidence demonstrating compliance	CBC Situation	Compliance Achieved
Ensuring corruption and misuse of power are dealt with effectively	Monitoring Officer, Internal Audit Consortium Manager, SLT	<ul style="list-style-type: none"> • Effective anti-fraud and corruption policies and procedures • Local test of assurance (where appropriate) 	The Anti-Fraud Bribery and Corruption Policy was approved by the Standards and Audit Committee September 2016	Yes

<p>Principle B</p>	<p>Ensuring openness and comprehensive stakeholder engagement Local government is run for the public good, organisations therefore should ensure openness in their activities. Clear, trusted channels of communication and consultation should be used to engage effectively with all groups of stakeholders, such as individual citizens and service users, as well as institutional stakeholders</p>			
<p>Openness Ensuring an open culture through demonstrating, documenting and communicating the organisation's commitment to openness</p>	<p>Members, SLT, CMT</p>	<ul style="list-style-type: none"> • Annual report 	<p>There is not a specific annual report published but there are other means of communication:-</p> <ul style="list-style-type: none"> • Annual financial statements • Council Plan • The Council Newspaper "Your Chesterfield" • The Council website • Social Media Channels. • An annual report to tenants is prepared and sent to the Housing Regulator (HCA), published on the website and a summary sent to all tenants at the end of September each year. 	<p>Yes</p>

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		<ul style="list-style-type: none"> • Freedom of Information Act publication scheme • Online council tax information • Authority's goals and values • Authority website 	<p>The Council has adopted a current FOI Publication Scheme</p> <p>Council Tax information is on the website</p> <p>Included in the Council Plan</p> <p>Current website full of information</p>	
<p>Making decisions that are open about actions, plans, resource use, forecasts, outputs and outcomes. The presumption is for openness. If that is not the case, a justification for the reasoning for keeping a decision confidential should be provided</p>	Members, SLT, CMT	Record of decision making and supporting materials	<p>All reports are "open" agenda items unless there is a valid reason. All decisions by Committees are minuted</p>	Yes
Providing clear reasoning and evidence for decisions in both	Policy and Communication	<ul style="list-style-type: none"> • Decision making protocols 	Set out in the Constitution	Yes

<p>public records and explanations to stakeholders and being explicit about the criteria, rationale and considerations used. In due course, ensuring that the impact and consequences of those decisions are clear</p>	<p>s – Democratic and Scrutiny</p>	<ul style="list-style-type: none"> • Report pro-formas • Record of professional advice in reaching decisions • Meeting reports show details of advice given • Discussion between members and officers on the information needs of members to support decision making • Agreement on the information that will be provided and timescales • Calendar of dates 	<p>There is a template for Committee reports with Standard headings</p> <p>Officers reports are all retained with the Committee agendas and papers Officer</p> <p>Recommendations included in Committee reports</p> <p>Members can request whatever information they want</p> <p>Terms of reference of</p>	
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		for submitting, publishing and distributing timely reports is adhered to	the Committees and scheduled meetings during the year Meeting timetable is published	
Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/ courses of action	Policy and Communication s Manager	<ul style="list-style-type: none"> • Community strategy • Use of consultation feedback • Citizen survey 	External communications strategy. Housing have a Customer Engagement Strategy as required by the HCA and provide a variety of opportunities for tenants to be involved in and shape service delivery.	Yes
Engaging comprehensively with institutional stakeholders Effectively engaging with institutional stakeholders to ensure that the purpose, objectives and intended outcomes for each stakeholder relationship are	Policy Manager, Communication s and Marketing Manager	Communication strategy	There are approved internal and external communication strategies in place. Senior Leadership Team has defined relationship leads for key stakeholders.	Yes

clear so that outcomes are achieved successfully and sustainably				
Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively	SLT, CMT	Database of stakeholders with whom the authority should engage and for what purpose and a record of an assessment of the effectiveness of any changes	Stakeholder groups identified for different consultation types e.g. community and voluntary sector, sport and leisure organisations, planning consultations, equality and diversity forum etc.	Yes
Ensuring that partnerships are based on: trust a shared commitment to change a culture that promotes and accepts challenge among partners and that the added value of partnership working is explicit	Policy and Communication s Manager	<ul style="list-style-type: none"> Partnership framework Partnership protocols 	Housing's Tenant Challenge Panel (Scrutiny equivalent) has a clear set of Terms of Reference and Code of Conduct for Members. Update required to partnership strategy and protocols for 2017/18	Part – under review see action plan
Engaging stakeholders effectively, including individual citizens and service users Establishing a clear policy on the type of issues that the	Policy and Communication s Manager	<ul style="list-style-type: none"> Record of public consultations Partnership framework 	Community Engagement Strategy Community Engagement Programme Consideration in decision reports	Yes

<p>organisation will meaningfully consult with or involve individual citizens, service users and other stakeholders to ensure that service (or other) provision is contributing towards the achievement of intended outcomes.</p>			<p>Equality impact assessments</p>	
<p>Ensuring that communication methods are effective and that members and officers are clear about their roles with regard to community engagement</p>	<p>Policy Manager, Communications and Marketing Manager</p>	<p>Communications strategy</p>	<p>There are internal and external communication strategies in place.</p> <p>Community Engagement Strategy</p> <p>Community Engagement Group</p>	<p>Yes</p>
<p>Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs</p>	<p>Policy and Communications Manager</p>	<ul style="list-style-type: none"> • Communications strategy • Joint strategic needs assessment 	<p>There is an external Communications Strategy in place</p> <p>Community Engagement Strategy</p> <p>Annual Community Engagement</p>	<p>Yes</p>

			<p>Programme</p> <p>Housing operates a variety of ways for tenants to be involved and give their views e.g. focus groups/ formal meetings/ informal drop in's/ use of a consultation bus in the community.</p>	
Implementing effective feedback mechanisms in order to demonstrate how their views have been taken into account	Policy Manager, Communications and Marketing Manager	Communications strategy	<p>There are internal and external communication strategies in place.</p> <p>Community Engagement Strategy</p> <p>Community Engagement Group</p> <p>Part of decision making process – report template</p> <p>Equality Impact Assessments</p> <p>Results of consultation</p>	Yes

			exercises are published e.g. (during 16/17) on future use of the former Queens Park Sports Centre Site.	
Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity	Policy and Communication s Manager	Processes for dealing with competing demands within the community, for example a consultation	Forms part of the decision making report template Equality Impact Assessments	Yes
Taking account of the interests of future generations of tax payers and service users	SLT, CMT	<ul style="list-style-type: none"> • Reports • Joint strategic needs assessment 	Annual State of the Borough Report and briefing notes on emerging issues.	Yes

<p>Principle C</p>	<p>Defining outcomes in terms of sustainable economic, social, and environmental benefits</p> <p>The long-term nature and impact of many of local government’s responsibilities mean that it should define and plan outcomes and that these should be sustainable. Decisions should further the authority’s purpose, contribute to intended benefits and outcomes, and remain within the limits of authority and resources. Input from all groups of stakeholders, including citizens, service users, and institutional stakeholders, is vital to the success of this process and in balancing competing demands when determining priorities for the finite resources available.</p>			
<p>Defining outcomes</p> <p>Having a clear vision which is an agreed formal statement of the organisation’s purpose and intended outcomes containing appropriate performance indicators, which provides the basis for the organisation’s overall strategy, planning and other decisions</p>	<p>Members, SLT,CMT</p>	<p>Vision used as a basis for corporate and service planning</p>	<p>There is a Council Plan that defines the Council’s vision and priorities. This sets the framework for all service plans.</p>	<p>Yes</p>
<p>Specifying the intended impact on, or changes for, stakeholders including citizens and service users. It could be immediately or over the course of a year or longer</p>	<p>Policy and communication s Manger</p>	<ul style="list-style-type: none"> • Community engagement and involvement • Corporate and 	<p>The Council Plan covers 4 years and covers what the Council aims to achieve and what that will mean for people</p> <p>Service Plans are</p>	<p>Yes</p>

		<p>service plans</p> <ul style="list-style-type: none"> • Community strategy 	<p>renewed every year and are developed from the Council Plan</p> <p>Community Engagement Strategy</p> <p>State of the Borough Report</p>	
Delivering defined outcomes on a sustainable basis within the resources that will be available	SLT, CMT	Regular reports on progress	The council plan is aligned to the medium term financial plan and refreshed each year on the basis of the affordability of each of the priorities	Yes
<p>Identifying and managing risks to the achievement of outcomes</p> <p>Page 21</p>	SLT, CMT, Risk Management Group	<ul style="list-style-type: none"> • Performance trends are established and reported upon • Risk management protocols 	<p>The performance framework is in the process of being embedded</p> <p>The risk management group meets on a quarterly basis and reviews the strategic risk register and the service risk registers on a rotational basis</p>	Part – The performance framework is in the process of being embedded – see action plan

			There is a risk management strategy in place	
<p>Managing service users expectations effectively with regard to determining priorities and making the best use of the resources available</p> <p>Page 63</p>	SLT, CMT	<ul style="list-style-type: none"> • An agreed set of quality standard measures for each service element and included in service plans • Processes for dealing with competing demands within the community 	<p>Communications strategy</p> <p>Service plans include performance targets</p> <p>Budgeting/service reviews/forward planning</p>	Yes
<p>Sustainable economic, social and environmental benefits</p> <p>Considering and balancing the combined economic, social and environmental impact of policies, plans and decisions when taking</p>	Members, SLT	Capital investment is structured to achieve appropriate life spans and adaptability for future use or that resources (e.g. land) are spent on optimising social, economic and	The Council's property portfolio is constantly under review, The aim is to sell a number of assets to release funds for capital projects.	Yes

<p>decisions about service provision</p>		<p>environmental wellbeing:</p> <ul style="list-style-type: none"> • Capital programme • Capital investment strategy 	<p>The capital programme is approved by Members each year. Officers have to submit capital bids</p> <p>There is a treasury management strategy that is reviewed and approved on an annual basis</p>	
<p>Taking a longer-term view with regard to decision making, taking account of risk and acting transparently where there are potential conflicts between the organisation's intended outcomes and short-term factors such as the political cycle or financial constraints</p>	<p>Members, SLT, CMT</p>	<ul style="list-style-type: none"> • Discussion between members and officers on the information needs of members to support decision making • Record of decision making and supporting materials 	<p>Meetings with Cabinet Member for Finance and Governance on constitution review and effective decision making. Scrutiny interest in these matters.</p> <p>HRA Business Plan Steering Group to lead on the development of the HRA Business Plan. Comprises of tenants, officers and elected</p>	<p>Yes</p>

			<p>members (scrutiny is part of this group)</p> <p>All committee meetings are minuted and the associated reports retained</p>	
<p>Determining the wider public interest associated with balancing conflicting interests between achieving the various economic, social and environmental benefits, through consultation where possible, in order to ensure appropriate trade-offs</p>	<p>Policy and Communication s Manager</p>	<ul style="list-style-type: none"> • Record of decision making and supporting materials • Protocols for consultation 	<p>Community Engagement Strategy Annual action plans External Communications Strategy including media protocol and social media policy. State of the Borough Report. Modgov system to access decision making papers and records.</p>	<p>Yes</p>
<p>Ensuring fair access to services</p>	<p>Policy and Communication s Manager</p>	<p>Protocols ensure fair access and statutory guidance is followed</p>	<p>Community engagement Strategy External communications strategy Consultation is part of</p>	<p>Yes</p>

			our Equality Impact Assessments. Equality, Diversity and Social Inclusion Policy, Strategy and action plan.	
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<p>Principle D</p>	<p>Determining the interventions necessary to optimise the achievement of the intended outcomes</p> <p>Local government achieves its intended outcomes by providing a mixture of legal, regulatory, and practical interventions. Determining the right mix of these courses of action is a critically important strategic choice that local government has to make to ensure intended outcomes are achieved They need robust decision-making mechanisms to ensure that their defined outcomes can be achieved in a way that provides the best trade-off between the various types of resource inputs while still enabling effective and efficient operations. Decisions made need to be reviewed continually to ensure that achievement of outcomes is optimised.</p>			
<p>Determining interventions</p> <p>Ensuring decision makers receive objective and rigorous analysis of a variety of options indicating how intended outcomes would be achieved and including the risks associated with those options. Therefore ensuring best value is achieved however services are provided</p>	<p>SLT, CMT</p>	<p>Discussion between members and officers on the information needs of members to support decision making</p> <ul style="list-style-type: none"> • Decision making protocols • Option appraisals • Agreement of information that will be provided and timescales 	<p>Member/officer decision making protocols in place</p> <p>All Committee reports contain various options and an officer recommendation</p> <p>All committee reports contain a risk analysis</p>	<p>Yes</p>
<p>Considering feedback from citizens and service users when making decisions about service improvements or where services are no longer</p>	<p>SLT, CMT</p>	<p>Financial strategy</p>	<p>There is a medium term financial strategy in place and a savings plan both of which are regularly reviewed.</p>	<p>Yes</p>

<p>required in order to prioritise competing demands within limited resources available including people, skills, land and assets and bearing in mind future impacts</p>			<p>HRA Business Plan Steering Group has been fully involved in recommending financial savings to Cabinet in respect of HRA Business Plan.</p>	
<p>Planning interventions Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets</p>	<p>SLT, CMT</p>	<p>Calendar of dates for developing and submitting plans and reports that are adhered to</p>	<p>Schedule of meetings in place Annual budgets and revised budgets Council plan reviewed annually</p>	<p>Yes</p>
<p>Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered</p>	<p>Policy and Communications</p>	<p>Communication strategy</p>	<p>The Council has adopted a Community Engagement Strategy and develops annual action plans. Feedback given on consultation via the CBC website, Community Assemblies and Your Chesterfield where appropriate Internal and external communications strategy</p>	<p>Yes</p>

<p>Considering and monitoring risks facing each partner when working collaboratively including shared risks</p>	<p>Policy and Communication s Manager SLT, CMT</p>	<ul style="list-style-type: none"> • Partnership framework • Risk management protocol 	<p>There is a risk management strategy in place that is refreshed every year</p>	<p>Yes</p>
<p>Ensuring arrangements are flexible and agile so that the mechanisms for delivering outputs can be adapted to changing circumstances</p>	<p>SLT, CMT</p>	<p>Planning protocols</p>	<p>Corporate Management Team managers are empowered to run their service flexibly to deliver the Council Plan priorities.</p> <p>Competency based JD/PS for SLT/CMT increases flexibility and agility. This is being rolled out across the Council.</p> <p>One Council: One Team is a core CBC value which is considered during all EPD's.</p>	<p>Yes</p>
<p>Establishing appropriate key performance indicators (KPIs) as part of the planning</p>	<p>SLT, CMT</p>	<p>KPIs have been established and approved for each</p>	<p>Service plans all contain performance indicators.</p>	<p>Part – performance management framework is</p>

process in order to identify how the performance of services and projects is to be measured		service element and included in the service plan and are reported upon regularly	Performance Management Framework adopted and currently being implemented.	currently being embedded – see action plan
Ensuring capacity exists to generate the information required to review service quality regularly	SLT, CMT	Reports include detailed performance results and highlight areas where corrective action is necessary	The Policy and Communications Service has now been restructured with resources being identified to embed the framework. Quarterly performance reports reviewed by CMT, Executive Members and Scrutiny.	Part compliance – see action plan
Preparing budgets in accordance with organisational objectives, strategies and the medium term financial plan	Director of Resources/ Chief Accountant	Evidence that budgets, plans and objectives are aligned	Accountancy has regular budget meetings with service managers. Budgets prepared in liaison with service managers taking in to account service plans and savings targets	Yes
Informing medium and long term resource planning by	Director of Resources/	<ul style="list-style-type: none"> Budget guidance and protocols 	Budget guidance protocols issued to all	Yes

drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy	Chief Accountant	<ul style="list-style-type: none"> • Medium term financial plan • Corporate plans 	managers There is a medium term financial plan that is reported to Members There is a financial planning group that meets every fortnight	
<p>Optimising achievement of intended outcomes</p> <p>Ensuring the medium term financial strategy integrates and balances service priorities, affordability and other resource constraints</p>	Director of Resources/ Chief Accountant	<ul style="list-style-type: none"> • Feedback surveys and exit/ decommissioning strategies • Changes as a result 	Service managers are involved in the budget and revised budget process and receive monthly budget information. The medium term financial plan incorporates budget savings targets etc.	Yes
Ensuring the budgeting process is all-inclusive, taking into account the full cost of operations over the medium and longer term	Director of Resources	Budgeting guidance and protocols	Budget guidance and protocols are issued to all service managers. Well established budget preparation and review procedures	Yes
Ensuring the medium term financial strategy sets the	Director of Resources	Financial strategy	The financial strategy is regularly reviewed and	Yes

<p>context for on-going decisions on significant delivery issues or responses to changes in the external environment that may arise during the budgetary period in order for outcomes to be achieved while optimising resource usage</p>			<p>updated as new external information emerges</p>	
<p>Ensuring the achievement of 'social value' through service planning and commissioning. The Public Services (Social Value) Act 2012 states that this is "the additional benefit to the community...over and above the direct purchasing of goods, services and outcomes"</p>	<p>SLT,CMT</p>	<ul style="list-style-type: none"> • Service plans demonstrate consideration of 'social value' • Achievement of 'social value' is monitored and reported upon 	<p>The priorities in the Council plan are</p> <ol style="list-style-type: none"> 1) To make Chesterfield a thriving Borough 2) To improve the quality of life for local people 3) To provide value for money services <p>Service plans are built up to reflect these priorities</p>	<p>Yes</p>

<p>Principle E</p>	<p>Developing the entity’s capacity, including the capability of its leadership and the individuals within it</p> <p>Local government needs appropriate structures and leadership, as well as people with the right skills, appropriate qualifications and mind-set, to operate efficiently and effectively and achieve their intended outcomes within the specified periods. A local government organisation must ensure that it has both the capacity to fulfil its own mandate and to make certain that there are policies in place to guarantee that its management has the operational capacity for the organisation as a whole. Because both individuals and the environment in which an authority operates will change over time, there will be a continuous need to develop its capacity as well as the skills and experience of the leadership of individual staff members. Leadership in local government entities is strengthened by the participation of people with many different types of backgrounds, reflecting the structure and diversity of communities.</p>			
<p>Developing the entity’s capacity Reviewing operations, performance use of assets on a regular basis to ensure their continuing effectiveness</p>	<p>Executive Director/Kier</p>	<p>Regular reviews of activities, outputs and planned outcomes</p>	<p>The use of the Council’s buildings is regularly reviewed to ensure that they are fully utilised or potentially sold. The Town Hall is being modernised to facilitate bringing in other businesses to share the accommodation. Council staff from Venture house are being relocated so that more rental income can be achieved at Venture House.</p>	<p>Part compliance – use of condition surveys linked to the repairs fund needs development – see action plan</p>

			<p>Housing has an agreed process for disposing of underperforming assets. Disposal of shops, miscellaneous properties and plot garage sites.</p> <p>Work to use condition surveys to inform an appropriate level of contribution from each service to the repairs fund has been delayed bringing some risk that future repair requirements are not fully funded.</p>	
<p>Improving resource use through appropriate application of techniques such as benchmarking and other options in order to determine how the authority's resources are allocated so that outcomes are achieved effectively and efficiently</p>	SLT, CMT	Utilisation of research and benchmarking exercise	<p>Within each service area use is made of available benchmarking e.g. through APSE, in order to compare service provision, value for money etc. Fees and charges are set with regard to those in place in other areas and reviewed each year by</p>	Yes

			<p>Cabinet.</p> <p>Sector led improvement activity including LGA peer challenge, East Midlands Performance Network and APSE.</p>	
<p>Recognising the benefits of partnerships and collaborative working where added value can be achieved</p>	<p>Members, SLT, CMT</p>	<p>Effective operation of partnerships which deliver agreed outcomes</p>	<p>The Council has many partnerships including Arvato, Kier, Internal Audit Consortium, Building Control, Joint Crematorium, Sheffield City Region and these are monitored to ensure that the desired outcomes are obtained</p>	<p>Yes</p>
<p>Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources</p>	<p>SLT, HR</p>	<ul style="list-style-type: none"> • Workforce plan • Organisational development plan 	<p>The Council has a workforce Strategy and plan that all managers have been made aware of. The plan was revised during 2016/17 to ensure focus and a realistic set of deliverables. A new staff group has been set up to help deliver this.</p>	<p>Yes</p>

<p>Developing the capability of the entity's leadership and other individuals</p> <p>Developing protocols to ensure that elected and appointed leaders negotiate with each other regarding their respective roles early on in the relationship and that a shared understanding of roles and objectives is maintained</p>	<p>SLT, Monitoring Officer</p>	<ul style="list-style-type: none"> • Job descriptions • Chief executive and leader pairings have considered how best to establish and maintain effective communication 	<p>Every post has a job description and person specification. The CE has regular meetings with the leader</p>	<p>Yes</p>
<p>Publishing a statement that specifies the types of decisions that are delegated and those reserved for the collective decision making of the governing body</p>	<p>Monitoring Officer</p>	<ul style="list-style-type: none"> • Scheme of delegation reviewed at least annually in the light of legal and organisational changes • Standing orders and financial regulations which are reviewed on a regular basis 	<p>The Constitution is reviewed on an on-going basis</p> <p>Standing orders and financial regulations are reviewed periodically</p>	<p>Yes</p>
<p>Ensuring the leader and the</p>	<p>Members, CE</p>	<p>Clear statement of</p>	<p>The Constitution defines</p>	<p>Yes</p>

<p>chief executive have clearly defined and distinctive leadership roles within a structure whereby the chief executive leads the authority in implementing strategy and managing the delivery of services and other outputs set by members and each provides a check and a balance for each other's authority</p>		<p>respective roles and responsibilities and how they will be put into practice</p>	<p>the roles of Committees and Members. Part 2 of the Constitution defines management roles at paragraph 12.1 including the role of the Chief Executive.</p>	
<p>Developing the capabilities of members and senior management to achieve effective shared leadership and to enable the organisation to respond successfully to changing legal and policy demands as well as economic, political and environmental changes and risks by:</p> <p>-ensuring members and staff have access to appropriate induction tailored to their role and that on-going training</p>	<p>SLT, CMT, HR</p>	<ul style="list-style-type: none"> • Induction programme • Personal development plans for members and officers <p>For example, for members this may include the ability to:</p>	<p>Training programme for managers Annual employee development reviews that identify training requirements Induction programme IIP accreditation</p> <p>Cabinet members and senior management hold regular away days to foster a collaborative</p>	<p>Yes</p>

<p>and development matching individual and organisational requirements is available and encouraged</p> <p>ensuring members and officers have the appropriate skills, knowledge, resources and support to fulfil their roles and responsibilities and ensuring that they are able to update their knowledge on a continuing basis</p> <p>ensuring personal, organisational and system-wide development through shared learning, including lessons learnt from governance weaknesses both internal and external</p>		<ul style="list-style-type: none"> • scrutinise and challenge • recognise when outside expert advice is required • promote trust • work in partnership • lead the organisation • act as a community leader • Efficient systems and technology used for effective support <p>Arrangements for succession planning</p>	<p>working relationship.</p> <p>All members undergo induction training, and this is supplemented by specific training on e.g. planning, licensing, standards. Officers undergo relevant CPD to ensure their professional skills and knowledge maintained and updated.</p> <p>Workforce Planning Strategy</p>	
<p>Ensuring that there are structures in place to encourage public participation</p>	<p>Policy and Communications Manager</p>	<ul style="list-style-type: none"> • Residents' panels • Stakeholder forum terms of 	<p>Community Engagement Strategy</p>	<p>Yes</p>

		<p>reference</p> <ul style="list-style-type: none"> • Strategic partnership frameworks 	Annual Community Engagement Programme	
<p>Taking steps to consider the leadership's own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections</p> <p>Page 79</p>	Monitoring Officer	<ul style="list-style-type: none"> • Reviewing individual member performance on a regular basis taking account of their attendance and considering any training or development needs • Peer reviews 	<p>The Council had a Peer challenge review in November 2013</p> <p>Investors in people</p> <p>Various external reviews</p> <p>External review of internal audit</p>	Yes
<p>Holding staff to account through regular performance reviews which take account of training or development needs</p>	SLT, CMT	<ul style="list-style-type: none"> • Training and development plan • Staff development plans linked to appraisals • Implementing appropriate human resource policies and ensuring that they are working 	<p>6 monthly EPD'S. The EPD contains a Learning and Development section that should be completed and forwarded to Learning and Development. Learning and Development undertaken in the previous year is also</p>	Yes

		effectively	reviewed.	
Ensuring arrangements are in place to maintain the health and wellbeing of the workforce and support individuals in maintaining their own physical and mental wellbeing	HR	Human resource policies	Managing workplace Stress policy Capability Policy Managing attendance Policy Mental Health awareness training day for managers. Training for managers on a number of these policies was undertaken in 2016/17.	Yes

<p>Principle F</p>	<p>Managing risks and performance through robust internal control and strong public financial management</p> <p>Local government needs to ensure that the organisations and governance structures that it oversees have implemented, and can sustain, an effective performance management system that facilitates effective and efficient delivery of planned services. Risk management and internal control are important and integral parts of a performance management system and crucial to the achievement of outcomes. Risk should be considered and addressed as part of all decision making activities.</p> <p>A strong system of financial management is essential for the implementation of policies and the achievement of intended outcomes, as it will enforce financial discipline, strategic allocation of resources, efficient service delivery, and accountability.</p> <p>It is also essential that a culture and structure for scrutiny is in place as a key part of accountable decision making, policy making and review. A positive working culture that accepts, promotes and encourages constructive challenge is critical to successful scrutiny and successful delivery. Importantly, this culture does not happen automatically, it requires repeated public commitment from those in authority.</p>			
<p>Managing risk Recognising that risk management is an integral part of all activities and must be considered in all aspects of decision making</p>	<p>Members, SLT, CMT</p>	<p>Risk management protocol</p>	<p>There is a risk management strategy in place that is reviewed every year</p>	<p>Yes</p>
<p>Implementing robust and integrated risk management arrangements and ensuring that they are working effectively</p>	<p>Director of Resources</p>	<p>Risk management strategy/ policy formally approved and adopted and reviewed and updated on a regular basis</p>	<p>There is a risk management strategy in place that is reviewed every year. There is a Corporate risk register and service risk</p>	<p>Yes</p>

			registers	
Ensuring that responsibilities for managing individual risks are clearly allocated	Risk Management Group, SLT, CMT	Risk management protocol	The risk management strategy outlines everybody's responsibilities	Yes
Managing performance Monitoring service delivery effectively including planning, specification, execution and independent post implementation review	SLT, CMT	<ul style="list-style-type: none"> • Performance map showing all key activities have performance measures • Benchmarking information • Cost performance (using inputs and outputs) • Calendar of dates for submitting, publishing and distributing timely reports that are adhered to 	All areas have a service plan and performance measures form part of that. Financial Planning Group receives regular reports from each service to track delivery against financial targets. Performance Management Framework with quarterly reporting schedule.	Yes
Making decisions based on relevant, clear objective	Member, SLT, CMT	<ul style="list-style-type: none"> • Discussion between 	All committee reports have a section for risk	

<p>analysis and advice pointing out the implications and risks inherent in the organisation's financial, social and environmental position and outlook</p>		<p>members and officers on the information needs of members to support decision making</p> <ul style="list-style-type: none"> • Publication of agendas and minutes of meetings • Agreement on the information that will be needed and timescales 	<p>that officers must complete for Members information.</p> <p>All agendas and minutes are published</p> <p>Agreed between Members and Officers</p>	
<p>Ensuring an effective scrutiny or oversight function is in place which encourages constructive challenge and debate on policies and objectives before, during and after decisions are made thereby enhancing the organisation's performance and that of any organisation for which it is responsible</p> <p>(OR, for a committee system) Encouraging effective and</p>	<p>Monitoring Officer, Policy and Communications – Democratic and Scrutiny.</p>	<ul style="list-style-type: none"> • The role and responsibility for scrutiny has been established and is clear • Agenda and minutes of scrutiny meetings • Evidence of improvements as a result of scrutiny • Terms of reference • Training for 	<p>Scrutiny Roles and Responsibilities are defined in the Constitution. There are 3 scrutiny committees:- Enterprise and wellbeing Community, customer and organisational Overview and performance Their role is to produce reports and recommendations which advise Cabinet, the</p>	<p>Yes</p>

constructive challenge and debate on policies and objectives to support balanced and effective decision making		<p>members</p> <ul style="list-style-type: none"> • Membership 	Council or relevant Committees on Policies, budget and service delivery.	
Providing members and senior management with regular reports on service delivery plans and on progress towards outcome achievement	CMT	Calendar of dates for submitting, publishing and distributing timely reports that are adhered to	A full Committee calendar is published at the start of each financial year	Yes
Ensuring there is consistency between specification stages (such as budgets) and post implementation reporting (eg. financial statements)	Director of Resources	<ul style="list-style-type: none"> • Financial standards, guidance • Financial regulations and standing orders 	Financial Standards and guidance are adhered to. The accounts are audited by KPMG Financial Regulations and Standing orders are within the Constitution	Yes
Robust internal control Aligning the risk management strategy and policies on internal control	Internal Audit Consortium Manager	<ul style="list-style-type: none"> • Risk management strategy • Audit plan • Audit reports 	The audit plan takes in to account high risk areas and areas that are included in the corporate	Yes

with achieving the objectives			and service risk registers	
Evaluating and monitoring the authority's risk management and internal control on a regular basis	Standards and Audit Committee, Internal Audit Consortium Manager	Risk management strategy/ policy has been formally approved and adopted and is reviewed and updated on a regular basis	The risk management Strategy is formally reviewed and approved every year by Standards and Audit Committee and Cabinet Internal Audit review the Council's risk management arrangements	Yes
Ensuring effective counter fraud and anti-corruption arrangements are in place	SLT	Compliance with the Code of Practice on Managing the Risk of Fraud and Corruption (CIPFA, 2014)	There is an anti-fraud Bribery and Corruption policy in place (revised September 2016). All managers received fraud awareness training in September 2016 The CIPFA fraud checklist has been completed and reported to the Standards and Audit Committee Sept 16	Yes
Ensuring additional assurance on the overall adequacy and effectiveness of the	Director of Resources, Standards and	<ul style="list-style-type: none"> Annual governance statement 	The Internal Audit Consortium Manager is heavily involved in	Yes

<p>framework of governance, risk management and control is provided by the internal auditor</p>	<p>Audit Committee</p>	<ul style="list-style-type: none"> • Effective internal audit service is resourced and maintained 	<p>producing the AGS. The IAC is resourced and maintained at a satisfactory level. An external review of internal audit took place in October 2016 and concluded that the IA Consortium was compliant with the PSIAS.</p>	
<p>Ensuring an audit committee or equivalent group or function which is independent of the executive and accountable to the governing body: provides a further source of effective assurance regarding arrangements for managing risk and maintaining an effective control environment that its recommendations are listened to and acted upon</p>	<p>Standards and Audit Committee</p>	<p>Audit committee complies with best practice. See Audit Committees: Practical Guidance for Local Authorities and Police (CIPFA, 2013)</p> <ul style="list-style-type: none"> • Terms of reference • Membership • Training 	<p>The Audit Committee terms of reference are defined in the constitution. The Committee consists of 7 members – 5 Councillors other than the Executive leader. No more than one of those 5 councillors may be a member of the Cabinet. Two parish reps one from Staveley Town Council and one member of Brimington PC</p> <p>Standards and Audit</p>	<p>Yes</p>

			Committee members received relevant training after appointment in May 16	
<p>Managing data Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data</p>	Customers, Commissioning and Change Manager	<ul style="list-style-type: none"> • Data management framework and procedures • Designated data protection officer • Data protection policies and procedures 	<p>There is a data retention schedule covering all areas of the Council.</p> <p>We don't yet have a designated Data Protection Officer but measures are underway to have one in place by 2018 when European Data Protection Directive comes in to effect.</p> <p>There are still various weaknesses in terms of Data Protection issues that are in the process of being addressed</p>	No – There are Data Protection issues that require addressing – see action plan
Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies	Customers, Commissioning and Change Manager	<ul style="list-style-type: none"> • Data sharing agreement • Data sharing register • Data processing 	Work is underway to improve arrangements in this area but further work is still required	No – under review – see action plan

		agreements		
Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring	Policy and communication s Manager, Executive Director	<ul style="list-style-type: none"> • Data quality procedures and reports • Data validation procedures 	<p>Due to be reviewed by internal audit in 2017/18.</p> <p>Methodology checks for data e.g. consultation activity, State of the Borough report</p> <p>Performance Management Framework</p>	Yes
<p>Strong public financial management</p> <p>Ensuring financial management supports both long term achievement of outcomes and short-term financial and operational performance</p>	Director of Resources	Financial management supports the delivery of services and transformational change as well as securing good stewardship	<p>Medium term financial plan</p> <p>Financial Planning Group</p> <p>Reporting to Members</p>	Yes
Ensuring well-developed financial management is integrated at all levels of planning and control, including management of	Director of Resources	Budget monitoring reports	<p>Managers receive monthly budget monitoring reports</p> <p>Regular reporting to Members</p>	Yes

financial risks and controls			Financial Planning Group Savings Strategy	
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<p>Principle G</p>	<p>Implementing good practices in transparency, reporting, and audit to deliver effective accountability</p> <p>Accountability is about ensuring that those making decisions and delivering services are answerable for them. Effective accountability is concerned not only with reporting on actions completed, but also ensuring that stakeholders are able to understand and respond as the organisation plans and carries out its activities in a transparent manner. Both external and internal audit contribute to effective accountability.</p>			
<p>Implementing good practice in transparency</p> <p>Writing and communicating reports for the public and other stakeholders in an understandable style appropriate to the intended audience and ensuring that they are easy to access and interrogate</p> <p>Striking a balance between providing the right amount of information to satisfy transparency demands and enhance public scrutiny while not being too onerous to provide and for users to understand</p>	<p>SLT, CMT</p>	<ul style="list-style-type: none"> • Website • Annual report 	<p>There is an internal and an external communications strategy</p> <p>The website has been developed</p> <p>The Council newspaper “Your Chesterfield” is sent out 3 times a year</p> <p>There is no specific annual report but achievements against priorities are communicated to the public through the media, council website and various social media channels.</p>	<p>Yes</p>
<p>Implementing good practices in reporting</p>	<p>SLT</p>	<ul style="list-style-type: none"> • Formal annual report which 	<p>The annual update on the council plan includes</p>	<p>Yes</p>

<p>Reporting at least annually on performance, value for money and the stewardship of its resources</p>		<p>includes key points raised by external scrutineers and service users' feedback on service delivery</p> <ul style="list-style-type: none"> • Annual financial statements 	<p>a section on performance in the previous year</p> <p>The annual financial statement for 2015/16 were signed off by the required date</p>	
<p>Ensuring members and senior management own the results</p>	<p>Members, SLT</p>	<p>Appropriate approvals</p>	<p>The Corporate Management Team are all involved in monitoring progress against the council plan</p>	<p>Yes</p>
<p>Ensuring robust arrangements for assessing the extent to which the principles contained in the Framework have been applied and publishing the results on this assessment including an action plan for improvement and evidence to demonstrate good governance (annual governance statement)</p>	<p>SLT, CMT, Internal Audit Consortium Manager</p>	<p>Annual governance statement</p>	<p>The annual governance statement is produced via a robust process that involves all of the Corporate Management Team. Attainment against the framework is assessed. Each year an action plan is produced and monitored to address identified weaknesses</p>	<p>Yes</p>

<p>Ensuring that the Framework is applied to jointly managed or shared service organisations as appropriate</p>	<p>SLT</p>	<p>Annual governance statement</p>	<p>The framework applies to jointly managed and shared service organisations</p>	<p>Yes</p>
<p>Ensuring the performance information that accompanies the financial statements is prepared on a consistent and timely basis and the statements allow for comparison with other similar organisations</p>	<p>Director of Resources</p>	<p>Format follows best practice</p>	<p>The financial statement are reviewed and signed off by external audit which confirms that they comply with best practice.</p>	<p>Yes</p>
<p>Page 21 Assurance and effective accountability Ensuring that recommendations for corrective action made by external audit are acted upon Ensuring an effective internal audit service with direct access to members is in place which provides assurance with regard to governance arrangements and</p>	<p>Director of Resources</p>	<ul style="list-style-type: none"> • Recommendations have informed positive improvement • Compliance with CIPFA's Statement on the Role of the Head of Internal Audit (2010) • Compliance with Public Sector 	<p>An action plan is put in place to implement external audits recommendations. The implementation of internal audit recommendations is monitored by CMT and the Standards and Audit Committee. The Internal Audit Consortium Manager is</p>	<p>Yes</p>

recommendations are acted upon		Internal Audit Standards	CIPFA qualified and complies with the statement on the role of the Head of Internal Audit.	
<p>Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations</p> <p>Page 93</p>	SLT	Recommendations have informed positive improvement	<p>Investors in people action plan in place</p> <p>External review of Internal audit undertaken October 2016 – action plan in place</p> <p>The Council's insurers Zurich have aided in putting effective risk management procedures in place</p> <p>Safeguarding – the framework of another council has been used to challenge and review our own approach.</p>	Yes
Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in	SLT , Internal Audit Consortium Manager	Annual governance statement	Internal audit review the areas that are delivered by Arvato and Kier and any significant internal	Yes

the annual governance statement			control weaknesses are fed through to the AGS e.g. Non housing property repairs	
Ensuring that when working in partnership, arrangements for accountability are clear and that the need for wider public accountability has been recognised and met	Policy and Communications Manager	Community strategy	Community Engagement Strategy Decision making arrangements – committee management and Modgov.	Yes

SLT = Senior Leadership Team

CMT = Corporate Management Team

Appendix B

CHESTERFIELD BOROUGH COUNCIL

KEY ELEMENTS OF THE SYSTEMS AND PROCESSES THAT COMPRISE THE COUNCIL'S GOVERNANCE ARRANGEMENTS 2016/17

Key Element	CBC Arrangement
Developing codes of conduct which define standards of behaviour for members and staff, and policies dealing with whistleblowing and conflicts of interest and that these codes and policies are communicated effectively	Codes of conduct for members and staff are included within the Constitution which is available to all staff on the intranet. Codes of conduct cover conflicts of interest. The Council has a Confidential Reporting (Whistle blowing) Policy which is held in the policies section on the intranet Councillors have training on standards generally and also specifically (relating to e.g. planning, licensing). Training is supplemented by updates and refresher sessions as well as advice as necessary. All staff and elected members receive a comprehensive induction which covers behaviour and ethical values.
Ensuring compliance with relevant laws and regulations, internal policies and procedures, and that expenditure is lawful	Retain a properly resourced internal audit function and have an appointed monitoring officer and section 151 officer.
Documenting a commitment to openness and acting in the public interest	Annual financial statements Council Plan The Council has adopted a current FOI Publication Scheme There are approved internal and external communication strategies in place Community Engagement Strategy All decisions by Committees are minuted There is an HRA Business Plan Steering Group to lead on the development of the HRA Business Plan that comprises of tenants, officers and elected members.
Establishing clear channels of communication with all sections of the community and other stakeholders, ensuring accountability and encouraging open consultation	The Council Newspaper "Your Chesterfield" The Council website Social Media Channels Council Tax information is on the website Current website full of information All reports are "open" agenda items unless there is a valid reason. Community Engagement Strategy. Feedback given on consultation through the website.

	<p>An annual report to tenants is prepared and sent to the Housing Regulator (HCA), published on the website and a summary sent to all tenants at the end of September each year.</p> <p>Housing have a Customer Engagement Strategy as required by the HCA and provide a variety of opportunities for tenants to be involved in and shape service delivery e.g. focus groups/formal meetings/informal drop ins/ use of a consultation bus in the community.</p>
Developing and communicating a vision which specifies intended outcomes for citizens and service users and is used as a basis for planning	<p>The council has a Council Plan 2015 – 19 which specifies the Council’s vision, priorities and values. This document details the aims of the council and sets the framework for all service plans. The council plan is aligned to the medium term financial plan and refreshed each year on the basis of the affordability of each of the priorities.</p> <p>One Council : One Team is a core CBC value which is considered during all EPD’s.</p>
Translating the vision into courses of action for the authority, its partnerships and collaborations	<p>The “vision” / corporate Plan is fed in to service plans which include service objectives and performance indicators which all tie back to the Council’s Corporate Plan</p>
Reviewing the effectiveness of the decision making in partnerships, information provided to decision makers and robustness of data quality	<p>The Partnership Strategy is under review, conversations will be required with the new political leadership from May 17 so the new Strategy should be in place by September 2017.</p>
Measuring the performance of services and related projects and ensuring that they are delivered in accordance with defined outcomes and that they represent the best use of resources and value for money	<p>Performance management is under development. The Policy and Communications Service has now been restructured with resource being identified to embed the framework.</p> <p>The contractual review relating to ICT is underway. The review of the remaining services under the public private partnership is currently being scoped. It is intended that the future delivery of services will be party defined by the review and therefore any changes to PI’s will be considered after that output has been received. It is expected that KPI’s will be reviewed by June 17</p>
Defining and documenting the roles and responsibilities of members and management with clear protocols for effective communication in respect of the authority and partnership arrangements	<p>The roles of members and management are documented within the Constitution. All managers have job descriptions.</p> <p>The Partnerships Strategy is currently under</p>

	review
Ensuring that financial management arrangements conform with the governance requirements of the CIPFA statement on the role of the Chief Financial Officer in Local Government (2015) and where they do not, explain why and how they deliver the same impact	The Council has in place an experienced qualified accountant as Chief Financial Officer and complies with the requirements of the CIPFA statement on the Role of the Chief Financial Officer. There is also a very experienced Chief Accountant in post.
Ensuring effective arrangements are in place for the discharge of the monitoring officer function	The Council has an experienced Monitoring Officer in place
Ensuring effective arrangements are in place for the discharge of the head of paid service function	The Chief Executive is the Head of Paid service
Providing induction and identifying the development needs of members and senior officers in relation to their strategic roles, supported by appropriate training	All Members undergo induction training and this is supplemented by specific training on e.g. planning, licensing, standards. All officers have an induction and undergo relevant CPD to ensure that their professional skills and knowledge are maintained and updated. Training needs are identified at EPD's and feed through in to a learning and development plan.
Reviewing the effectiveness of the framework for identifying and managing risks and for performance and demonstrating clear accountability	There is a risk management Group in place, membership is made up of senior officers from every area of the Council. The Group regularly review the strategic and operational Risk registers and is supported by an officer from the Council's insurers. Internal audit undertake regular reviews of the risk management process.
Ensuring effective counter fraud and anti-corruption arrangements are developed and maintained in accordance with the Code of Practice on Managing the Risk of Fraud and Corruption (CIPFA 2014)	The Council has an anti-fraud, bribery and corruption policy and a confidential reporting Code. CIPFA's fraud checklist has been completed and the results reported to the Standards and Audit Committee. Fraud awareness training has been provided to all service managers in September 2016.
Ensuring an effective scrutiny function is in place	There are 3 Scrutiny Committees Overview and Performance Scrutiny Forum Enterprise and Wellbeing Scrutiny Committee Community, Customer and Organisational Scrutiny Committee An annual Scrutiny report goes to Full Council
Ensuring that assurance arrangements conform with the governance requirements of the CIPFA statement on the Role of the Head of Internal Audit	The Council is compliant with the CIPFA statement on the Role of Head of Internal Audit. The Internal Audit Consortium Manager is CIPFA qualified and there are

<p>(2010) and, where they do not, explain why and how they deliver the same impact</p>	<p>sufficient resources to deliver the risk based audit plan.</p>
<p>Undertaking the core functions of an audit committee, as identified in Audit Committees: Practical Guidance for Local Authorities and Police (CIPFA 2013)</p>	<p>The Standards and Audit Committee's terms of reference are included within the Constitution.</p>
<p>Ensuring that the authority provides timely support, information and responses to external auditors and properly considers audit findings and recommendations.</p>	<p>The 2015/16 final accounts were signed off in a timely manner. External audit recommendations are properly considered and acted upon.</p>
<p>Incorporating good governance arrangements in respect of partnerships and other joint working and ensuring that they are reflected across the authority's overall governance structures.</p>	<p>Core partnerships are supported by Service Level Agreements and are monitored accordingly by the Council's Client Officer, Joint Board etc. Housing's Tenant Challenge panel has a clear set of Terms of Reference and Code of Conduct for Members.</p>

CHESTERFIELD BOROUGH COUNCIL**ANNUAL GOVERNANCE STATEMENT 2016/17****Scope of Responsibility**

Chesterfield Borough Council is responsible for ensuring that its business is conducted in accordance with the law and proper standards, and that public money is safeguarded and properly accounted for, and used economically, efficiently and effectively. The Council also has a duty under the Local Government Act 1999 to make arrangements to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness.

In discharging this overall responsibility, the Council is responsible for putting in place proper arrangements for the governance of its affairs, facilitating the effective exercise of its functions, and which includes arrangements for the management of risk.

Chesterfield Borough Council has approved and adopted a code of corporate governance, which is consistent with the principles of the CIPFA / SOLACE Framework *Delivering Good Governance in Local Government Framework 2016 edition*. This Statement explains how the Council has complied with the code and also meets the requirements of Accounts and Audit (England) Regulations 2015 which requires all relevant bodies to prepare an annual governance statement.

The purpose of the governance framework

The governance framework comprises the systems and processes, culture and values, by which the authority is directed and controlled and its activities through which it accounts to, engages with and leads its communities. It enables the authority to monitor the achievement of its strategic objectives and to consider whether those objectives have led to the delivery of appropriate services and value for money.

The system of internal control is a significant part of that framework and is designed to manage risk to a reasonable level. It cannot eliminate all risk of failure to achieve policies, aims and objectives and can therefore only provide reasonable and not absolute assurance of effectiveness. The system of internal control is based on an ongoing process designed to identify and prioritise the risks to the achievement of the Council's policies, aims and objectives, to evaluate the likelihood and potential impact of those risks being realised and to manage them efficiently, effectively and economically.

The governance framework has been in place at the Council for the year ended 31st March 2017 and up to the date of approval of the statement of accounts.

The governance framework

The key elements of the systems and processes that comprise the Council's governance framework are as follows:-

Chesterfield Borough Council identifies and communicates the authority's vision of its purpose and intended outcomes for citizens and service users via its Council Plan and Vision statement. The Council Plan consists of 3 priorities:-

To make Chesterfield a thriving borough
To improve the quality of life for local people
To provide value for money services

The Council's values reflect the way the council wants to achieve its vision, these are:-

Customer focused: delivering great customer service, meeting customer needs

Can do: striving to make a difference by adopting a positive attitude

One council, one team: proud of what we do, working together for the greater good

Honesty and respect: embracing diversity and treating everyone fairly

The Council Plan is cascaded down through, managers, meetings, service plans, team plans, budgets, the medium term financial plan and employee development reviews. This flow ensures that resources are utilised for the achievement of the Council Plan and vision.

The Council works with a number of partnerships to deliver its aims. Where the Council has entered into partnership arrangements it seeks to ensure that these promote the Council's vision of its purpose and intended outcomes for citizens and service users and that they are subject to appropriate governance and performance management arrangements. Two of the Council's significant partnerships are Sheffield City Region Combined Authority and the Local Enterprise Partnership for Derbyshire and Nottinghamshire for which there are inter authority agreements in place.

The best use of resources and value for money are obtained by scrutiny reports and reviews, reviewing service performance, benchmarking and monitoring budgets.

Chesterfield Borough Council has a formal constitution in place that sets out how it operates, how decisions are made and the procedures which are followed to ensure that these are efficient, transparent and accountable to local people. In addition, the constitution sets out the roles and responsibilities of Members and Senior Managers.

The Cabinet is the part of the authority which is responsible for most day to day decisions. The overview and scrutiny committees support the work of the Council by scrutinising the decisions made. The Standards and Audit Committee are responsible for maintaining and promoting high standards of conduct and for considering the effectiveness of the Council's risk management arrangements and the control environment. The Committee also reviews reports from internal and external audit and other inspection agencies and seeks assurance that action has been taken where necessary.

Formal Codes of Conduct are in place for Members and Officers and are available on the intranet and form part of induction procedures. To further enhance these high standards the Council has in place a comments, complaints and compliments procedure, a Customer Services Charter, an Anti- Fraud, Bribery and Corruption policy and a Confidential Reporting (whistle blowing) Code.

In order to ensure compliance with relevant laws and regulations, internal policies and procedures Chesterfield Borough Council has a comprehensive induction policy and provides

training for staff and Members on a regular basis. The Constitution is underpinned by legal references. Training needs are identified through Member and employee performance and development reviews and continuous professional development is encouraged. Policies are readily available on the intranet.

Chesterfield Borough Council has a risk management strategy, a risk management group and risk is considered as part of all Cabinet reports. The corporate risk register and service risk registers are regularly reviewed and appropriate training is provided.

The Council has a suitably qualified Business Transformation section and a Business Transformation Strategy.

The Chief Executive is the designated Head of Paid Service, with the statutory responsibility for the overall review of the Council's staffing and operation. The Chief Executive is monitored for performance in the delivery of political priorities which are in turn monitored and measured across all staff. The Council's Monitoring Officer attends Corporate Management team meetings and is suitably qualified.

The Chief Financial Officer is professionally qualified and experienced to undertake their roles and responsibilities and is supported by an experienced and appropriately qualified finance team. The Chief Financial Officer is a key member of the Corporate Management team and leads and directs a finance function that is fit for purpose. The Council's financial management arrangements conform to the governance requirements of the CIPFA Statement on the Role of the Chief Financial Officer in Local Government.

Internal Audit is provided on a Consortium basis for Bolsover District Council, North East Derbyshire District Council and Chesterfield Borough Council. The Internal Audit function operates in accordance with the Public Sector Internal Audit Standards (PSIAS) and conforms to the requirements of the CIPFA statement on the Role of the Head of Internal Audit. The Internal Audit Consortium Manager is a senior manager, professionally qualified and leads an appropriately resourced and experienced audit team. The recent external review of internal audit confirmed that the team is compliant with the PSIAS.

Chesterfield Borough Council has a variety of means of communicating with all sections of the community and stakeholders including the Community Engagement Strategy, the Council's website, the publication of "Your Chesterfield" three times a year and an annual Community Engagement Programme.

Review of Effectiveness

The Council has responsibility for conducting, at least annually, a review of the effectiveness of its governance framework including the system of internal control. The review of effectiveness is informed by the work of executive managers within the authority who have responsibility for the development and maintenance of the governance environment, the Internal Audit Consortium Manager's annual report, and also by comments made by the external auditors and other review agencies and inspectorates.

The processes that have been applied in maintaining and reviewing the effectiveness of the governance framework include:

- Internal audit reviews of systems and procedures in accordance with the agreed internal audit plan

- Annual review of the Council's Code of Corporate Governance
- Assessment against the key elements of the governance framework
- Monitoring Officer reviews and monitors the operation of the Council's Constitution
- The Chief Executive, Executive Directors and Corporate Management Team monitoring the risks and the associated controls assigned to them
- The Chief Financial Officer (the Director of Finance and Resources) providing the Council and the Management team, with financial reports and financial advice covering the whole range of Council Activities
- Reviews by external agencies such as the Council's external auditor
- A review of the system of assurances/internal controls
- The Council's Standards and Audit Committee receives reports on the work of internal audit, including the annual report by the Internal Audit Consortium manager. The annual review of the Local Code of Corporate Governance is reported to both the Standards and Audit Committee and the Council's Cabinet.
- The Cabinet receives and considers reports on the outcome of reviews by the external auditor and other review agencies.

It can be demonstrated that on the whole the Council's governance arrangements support the council's corporate plan by the sheer volume of achievements. A few of these are:-

- Completing a £350,000 development of Eastwood park
- Refurbishing 5 children's play areas
- Publishing a draft new Local Plan
- Launching the Community infrastructure Levy
- Ensuring all our homes meet the Decent Homes Standard
- Opening and running the new Queen's Park Sports Centre
- Launched a new homelessness Strategy

A Review of 2015/16 Governance Issues

A mid - year review of progress against the 2015/16 AGS action plan was undertaken by the Corporate Management team and was reported to the Standards and Audit Committee. As at march 2017, some actions have been completed but others are in progress and remain to be completed. Where necessary the uncompleted actions have been carried forward to the 2016/17 AGS action plan.

Significant governance issues

Whilst there are many areas of the Governance Framework that are operating satisfactorily, the work of internal audit and discussions with the Corporate Management Team has identified that there are a number of areas where action can be taken to improve the governance arrangements in place. The significant issues are summarised below and Appendix D of this report presents the full action plan.

The following significant governance issues have been identified:

No.	Issue Identified	Action to address
1.	Budget – There is a budget gap as identified in the Medium Term Financial Plan 2017/18 – 2019/20. The general fund and the Housing Revenue Account are both under increasing pressure.	<p>Need to continue to closely manage the Medium Term Financial Plan to ensure that the Council remains of sound financial standing, and to support decisions on the alignment of budgets to enable delivery of the Council’s corporate plan for the period 2015-2019.</p> <p>This will be achieved through the established mechanisms for financial planning and reporting:</p> <ul style="list-style-type: none"> • Financial Planning Group • Great Place Great Service Board • Corporate Cabinet and CMT workshops • Monthly budget monitoring reports to service managers • Quarterly budget monitoring reports to the Council, Cabinet and Scrutiny Forum • Regular dialogue with the trade unions
2.	Data Protection – there is still a significant amount of work required to ensure that the Council will be able to comply with the new European Data Protection Regulations that come in to force from May 2018.	Resources have been allocated to address the weaknesses outstanding. An Information Assurance officer has been appointed.
3.	Information Technology - the Council’s IT infrastructure is in need of review to ensure that it is fit for purpose. Although PSN compliance has been achieved there is a need to ensure that this is retained and that IT can successfully support the Council’s transformation projects.	The Council has initiated a contractual review of the PPP services and is requesting a ‘deep dive’ into the ICT service provided by Arvato. Results of the contractual review will be received during the 1 st quarter of 2017 and will inform changes required.
4	Devolution - Plans to become a full member of the Sheffield City Region Combined Authority have been delayed following a legal challenge from Derbyshire County Council. This has resulted in implementation of the SCR devolution deal being delayed as well as any decision about membership or Mayoral elections.	A further public consultation exercise will be required during 2017. The Council’s Chief Executive and Executive Directors will continue to assist and support the SCR with this project to ensure that the best deal is obtained for Chesterfield residents.
5	Non Housing Property Repairs – The previous 10 year plan has not been adhered to, monitored for completion	Kier has committed to providing additional resource to bring this work back on track as it has continued to be de-prioritised in relation

	or adjusted as a result of condition surveys. This issue has been carried forward from 2015/16.	to other work. This is now likely to be used to inform a fuller re-setting of the property repairs fund leading into the budget setting process for 18/19.
6	Health and Safety - There has been a lack of capacity to ensure that health and safety arrangements are fit for purpose. This is as a result of major projects in 2016/17 such as the town hall restack that has identified asbestos issues and the opening of the Council's new Queens Park Leisure Centre and destruction of the old leisure centre.	The Health and Wellbeing Manager has produced an action Plan to resolve the issues that will be monitored for completion by the Standards and Audit Committee and the Health and Safety Committee.

We have been advised on the implications of the result of the review of the effectiveness of the governance framework by the Cabinet and the Standards and Audit Committee, and that the arrangements continue to be regarded as fit for purpose in accordance with the governance framework. The areas identified for improvement form part of the 2016/17 Annual Governance Statement action plan which is detailed at Appendix D.

We propose over the coming year to take steps to address the above matters to further enhance our governance arrangements. We are satisfied that these steps will address the need for improvements that were identified in our review of effectiveness and will monitor their implementation and operation as part of our next annual review.

Signed:

H Bowen
Chief Executive

Councillor T Gilby
Leader of Chesterfield Borough Council

Date:

On behalf of Chesterfield Borough

CHESTERFIELD BOROUGH COUNCIL – ANNUAL GOVERNANCE STATEMENT 2016/17
ACTION PLAN

	Governance Issue	Action Proposed				Annual Governance Statement	
		Description	By Date	Officer	Priority	Yes	No
1	Budget – There is a budget gap as identified in the Medium Term Financial Plan 2017/18 – 2019/20. The general fund and the Housing Revenue Account are both under increasing pressure.	<p>Need to continue to closely manage the Medium Term Financial Plan to ensure that the Council remains of sound financial standing, and to support decisions on the alignment of budgets to enable delivery of the Council’s corporate plan for the period 2015-2019. This will be achieved through the established mechanisms for financial planning and reporting:-</p> <ul style="list-style-type: none"> • Financial Planning Group • Great Place Great Service Board • Corporate Cabinet and CMT workshops • Monthly budget monitoring reports to Service Managers • Quarterly budget monitoring reports to the Council, Cabinet and Scrutiny Forum • Regular dialogue with the trade unions. 	On going	Members / CE / Executive Directors/ Director of Finance and Resources	H	√	

	Governance Issue	Action Proposed				Annual Governance Statement	
		Description	By Date	Officer	Priority	Yes	No
2	Data Protection – there is still a significant amount of work required to ensure that the Council will be able to comply with the new European Data Protection Regulations that come in to force from May 2018.	Resources have been allocated to address the weaknesses outstanding. An Information Assurance officer has been appointed.	April 2018	Customers, Commissioning and Change Manager	H	√	
3	IT Council's IT infrastructure is in need of review to ensure that it is fit for purpose. Although PSN compliance has been achieved there is a need to ensure that this is retained and that IT can successfully support the Council's transformation projects.	The Council has initiated a contractual review of the PPP services and is requesting a 'deep dive' into the ICT service provided by Arvato. Results of the contractual review will be received during the 1 st quarter of 2017 and will inform changes required.	Sept 2017	Customers, Commissioning and Change Manager	H	√	
4	Plans to become a full member of the Sheffield City Region Combined Authority have been delayed following a legal challenge from Derbyshire County Council. This has resulted in implementation of the SCR devolution deal being delayed as well as any decision about membership or Mayoral elections.	A further public consultation exercise will be required during 2017. The Council's Chief Executive and Executive Directors will continue to assist and support the SCR with this project to ensure that the best deal is obtained for Chesterfield residents.	March 2018	Senior Leadership Team	H	√	

	Governance Issue	Action Proposed				Annual Governance Statement	
		Description	By Date	Officer	Priority	Yes	No
5	Non Housing Property Repairs – The previous 10 year plan has not been adhered to, monitored for completion or adjusted as a result of condition surveys. This issue has been carried forward from 2015/16.	Kier has committed to providing additional resource to bring this work back on track as it has continued to be de-prioritised in relation to other work. This is now likely to be used to inform a fuller re-setting of the property repairs fund leading into the budget setting process for 18/19.	February 2018	Executive Director	H	√	
6	There has been a lack of capacity to ensure that health and safety arrangements are fit for purpose. This is as a result of major projects in 2016/17 such as the town hall restack that has identified asbestos issues and the opening of the Council's new Queens Park Leisure Centre and destruction of the old leisure centre.	The Health and Wellbeing Manager has produced an action Plan to resolve the issues that will be monitored for completion by the Standards and Audit Committee and the Health and Safety Committee.	Sept 17	Health and Wellbeing Manager	H	√	
7	The Performance Monitoring framework requires embedding	The Policy and Communications Service has now been restructured with resource being identified to embed the framework. Recruitment is taking place at the moment.	30/09/17	Policy and Communications Manager	M		√
8	The Public Private Partnership performance indicators require review to ensure that they focus on what the Council wants to achieve	The review of services within the PPP is currently being scoped. It is intended that the future delivery of the services will be partly defined by the review and therefore any changes to PIs will be considered after that output has been received.	30/06/17	Executive Director	M		√

	Governance Issue	Action Proposed				Annual Governance Statement	
		Description	By Date	Officer	Priority	Yes	No
9	Monitoring arrangements for partnerships require review and update.	The Partnership Strategy is to be reviewed in 2017/18 and significant partnerships re-assessed. Discussions will be held with the new political leadership.	30/09/17	Policy and Communications Manager	M		√
10	Procurement – progress has been made during 2016/17 however the procurement Strategy and training still need to be disseminated to staff	The Procurement Strategy is due to be approved by Cabinet in March 2017. Procurement training is to be added to the new E learning system that is in the process of being launched.	30/06/17	Customers, Commissioning and Change Manager	M		√

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For Publication

Adoption of Adaptations Policy And Procedure (CC000)

Meeting:	Cabinet
Date:	16 May 2017
Cabinet portfolio:	Cabinet Member for Homes and Customers
Report by:	Housing Manager

For publication

1.0 **Purpose of report**

- 1.1 The purpose of this report is to seek approval of a new policy and procedure for assessing and delivering disabled adaptations within the Council's housing stock.

2.0 **Recommendations**

- 2.1 That Cabinet approve and adopt the attached "Adaptations Policy and Procedure 2017 - 2020" **Appendix A.**
- 2.2 To review the recording of adaptation work and develop a reporting system.
- 2.3 To carry out an ongoing review of the impact of this Policy and Procedure, and report back to Cabinet by April 2019.

3.0 **Report details**

- 3.1 Chesterfield Borough Council in partnership with Derbyshire County Council forms the Derbyshire Adaptation Partnership. This

facilitates provision of adaptations to council tenant's homes in order to meet the tenant's needs having regard to their disability. Provision of adaptations promotes tenants wellbeing and reduces potential hospitalisation and demand on social care services.

- 3.2 The Derbyshire Adaptation Partnership's provision is separate to that arranged through Disabled Facilities Grants, which primarily deal with grant applications made by owner occupiers, private rental tenants and Housing Association tenants. The Derbyshire Adaptation Partnership deals solely with council tenants.
- 3.3 An annual budget of £750,000, within the Housing Capital Programme, has been agreed to fund both minor and major adaptation requests.
- 3.4 Adaptations can vary from the installation of grab rails (minor) to the installation of a level access shower (major). Occasionally larger and more significant adaptations to a property have been carried out to meet a disabled person's needs.
- 3.5 Examples of the types of adaptations that the council installs are as follows (not exhaustive):

Minor

Grab rails (internal and external)
Lever taps
Hand rails

Major

Stairlifts
Level access showers
Low rise shower trays
Ramps

- 3.6 The council via its Allocations Policy tries to minimise the need for installing adaptations by allocating properties in accordance with need e.g. if a property has previously been adapted and notice has been given by the outgoing tenant, we will seek to allocate the property on the basis of the adaptation already in situ. Preference is given to applicants with a medical need when allocating adapted properties.
- 3.7 Alternatives to adaptation are also initially sought where appropriate, such as resolving matters through provision of equipment or care or rehousing to suitable accommodation.
- 3.8 Nationally the life expectancy rate is increasing. However, Public Health England reports that “the health of people in Chesterfield is generally worse than the England average” with “life expectancy for both men and women in Chesterfield significantly lower than the England average”.

Around 23% of people in the Borough identified themselves as having a disability during the 2011 Census.

Such statistics highlight the increasing need for adaptations and the importance of having a robust policy in place to appropriately manage and monitor service delivery.

- 3.9 The Derbyshire Adaptation Partnership has a Panel of members which meets on a regular basis and continually receives requests for adaptations for elderly and younger disabled residents. The Panel members include a Derbyshire County Council Service Manager and Occupational Therapists, Chesterfield Borough Council’s (Assistant) Housing Options Manager and representatives from the Construction & Design Team.

All members of the Panel have been consulted on the proposed Policy and Procedure.

- 3.10 Currently the Panel decide on a case by case basis whether to approve or refuse requests for adaptations; having general consideration for the guidelines as set out in the policy. Adoption of the Adaptations Policy and Procedure will provide the panel with a robust framework to work within and will allow a clearer, transparent decision making process.

Considering cases subjectively and without the policy framework could potentially lead to inequality plus excessive and unnecessary expenditure.

In 2016/17, most of the budget had been committed in the first three-quarters of the financial year – some of this expenditure was due to additional work being agreed that had not initially been identified as a priority, for example providing ramps at each exit door rather than only the main door, or improving access to areas of the garden, or the provision of storage for a mobility scooter.

The policy will provide consistency and fairness and enable us to manage the adaptations budget appropriately, whilst maintaining a discretionary element to consider those additional requests.

The consequence of utilising most of the budget by December 2016 has created a backlog of requests for adaptation work, which has delayed tenants getting essential work carried out.

- 3.11 Research has been conducted with other Authorities in terms of the type of adaptations considered and approved, processes used, and examples of best practice. Most Authorities have an Adaptations Policy and most have similarities to the proposed policy.
- 3.12 Information relating to adaptation work is currently recorded on the Keystone IT system, but reports are not currently available to provide detailed information on the type and level of adaptation work in the Council's housing stock.

The recording of information relating to adaptation work will be reviewed, and a reporting system developed to provide information on the type and level of work carried out.

4.0 **Human resources/people management implications**

- 4.1 The Policy has been considered by the Human Resources Manager
- 4.2 There are no additional resources required and the policy will be delivered by existing staff.

5.0 **Financial implications**

5.1 Adoption of the new policy and procedure will have positive financial implications, for example discouraging approval of non-standard adaptations that have a cost implication. The policy also promotes pursuance of "value for money".

5.2 The policy has been considered by the Director of Finance and Resources.

6.0 **Legal and data protection implications**

6.1 The policy has been considered by the council's Legal Section with subsequent adjustments and alterations made. The policy states what legal framework has been considered when drafting the policy

7.0 **Consultation**

7.1 Officers having experience and expertise in the subject matter have been consulted with suggested alterations and amendments made throughout. Consultation has been made with stakeholders, and with all members of the Derbyshire Adaptations Panel.

7.2 Consultation has been carried out with tenants via the Tenant Participation Communication Group with suggested amendments made.

8.0 **Risk management**

Description of the Risk	Impact	Likelihood	Mitigating Action	Impact	Likelihood
Adoption of the policy could make the process too rigid	Medium	Medium	The policy contains a discretionary clause which allows discretion	Medium	Low
Legal challenge, adoption of the policy increases	High	Medium	Legal advice has been sought with recommended	High	Low

the potential for legal challenge			amendments made		
Potential increase in expenditure	High	Medium	Strict budget management and monthly monitoring will be undertaken	High	Low

9.0 **Equalities Impact Assessment (EIA)**

9.1 An Equality Impact Assessment has been carried out and is attached at **Appendix B.**

10.0 **Alternative options and reasons for rejection**

10.1 The alternative to adopting the Policy would be to continue without the Policy. This would result in the Panel making decisions without a supportive framework and could lead to inequality, unfairness and reduced control in relation to expenditure of budget. Therefore this is not considered to be a reasonable option.

11.0 **Recommendations**

11.1 That Cabinet approve and adopt the attached "Adaptations Policy and Procedure 2017 - 2020" **Appendix A.**

11.2 To review the recording of adaptation work and develop a reporting system

11.3 To carry out an ongoing review of the impact of this Policy and Procedure, and report back to Cabinet by April 2019.

12.0 **Reasons for recommendations**

12.1 To provide a robust framework that promotes equality and fairness along with compliance with disability legislation, and to meet the increasing demands and needs of our tenants whilst enabling effective management of the service and budget.

Decision information

Key decision number	722
Wards affected	All wards
Links to Council Plan priorities	To improve the quality of life for local people To improve the health and well-being of people in Chesterfield Borough To reduce inequality and support the more vulnerable members of our communities

Document information

Report author	Contact number/email
Chris McDermott	01246 345385 chris.mcdermott@chesterfield.gov.uk
Background documents These are unpublished works which have been relied on to a material extent when the report was prepared.	
Appendices to the report	
Appendix A	Adaptations Policy and Procedure 2017 - 2020
Appendix B	Equality Impact Assessment

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CHESTERFIELD BOROUGH COUNCIL

Adaptations Policy and Procedure 2017 – 2020

Commencement on approval by Cabinet

DRAFT

Purpose

The Adaptations Policy and Procedure (“the policy”) provides Chesterfield Borough Council (CBC) with a framework to consider adaptation requests made via the Derbyshire Adaptation Partnership (DAP).

The main purpose of this document is to consider major adaptations. However, CBC appreciates the essential need in providing minor adaptations, as such provision can often provide a suitable solution to a person’s needs with little disruption caused and offers value for money. Prompt provision of minor adaptations can often mitigate the risk of hospitalisation and deterioration of a person’s health resulting in the potential need for major adaptations. Requests for minor adaptations will generally be processed without the need for approval by panel. Non-standard requests will require consideration by panel, page 4 defines the panel. Examples of standard minor requests are requests for grab rails, lever taps, rails etc. See page 4 for the definition of minor and page 17 in respect of the processes in processing minor and major adaptations.

Aims

CBC seeks to provide assistance in enabling tenants to live independently with privacy, confidence and dignity.

We will

Work in partnership with Derbyshire County Council (DCC) Adult Care Service.

Recognise the vital importance of adaptations in supporting disabled people to live independently with confidence and dignity.

Provide advice and assistance and seek to make best use of our housing stock.

Be fair, transparent and reasonable in our decision making, agreeing only to adaptations that are necessary, reasonable and practical.

Attend monthly meetings with our contractor to monitor how our adaptations budget is being spent having consideration of value for money and to ensure adaptations are completed within the prescribed targets.

Monitor the standard of work completed by attaining feedback following completed adaptations. Feedback will be attained in the form of satisfaction surveys.

Seek to ensure all complaints are dealt with in a timely and efficient manner. CBC on behalf of our tenants will seek to resolve complaints with our contractor.

Legal and regulatory framework

CBC endeavour's to comply with the relevant legislation whilst developing the policy, including:

Chronically Sick and Disabled Persons Act 1970

Housing Act 1980

Housing Act 1985

National Health Service and Community Care Act 1990

Housing Grants, Construction and Regeneration Act 1996

Housing Act 1996

Disabled Facilities Grants (Maximum Amounts and Additional Purposes) (England) Order 2008/1189

Equality Act 2010

Care Act 2014

Childrens & Families Act 2014

Definitions

Adaptation is an alteration or addition to any aspect of a dwelling to make it easier or safer for use by a disabled person.

Disabled person (as defined by the Equality Act 2010) is a person:

“that has a physical or mental impairment that has a “substantial” and “long term” negative effect on your ability to do normal daily activities”

“substantial” is more than minor or trivial, e.g. it takes much longer than it usually would to complete a daily task like getting dressed.

“long term” means 12 months or more, e.g. a breathing condition that develops as a result of a lung infection.

Major adaptation is an adaptation which is likely to cost above £1,000, or which will require the drawing of plans.

Minor adaptation is an adaptation costing £1,000 or less and does not involve the drawing of plans

Panel are the people who will consider requests for major adaptations. Minor adaptations are generally not put before panel unless a request requires panel consideration (this might be to discuss a non-standard request as determined by the Adaptations Assistant). The Adaptations Assistant is employed by CBC and works within the Housing Options Team. The Adaptations Assistant processes requests for minor adaptations and initiates major adaptation requests, see page 17 (the application process). The panel will meet routinely and the panel consists of either the Assistant Housing Options Manager CBC or his/her assigned deputy, the Service Manager of DCC Adult Care or his/her assigned deputy and a representative of CBC’s Architectural Service (“the panel”). Other professionals may attend as invited by the panel. The panel will consist of at least three panel members to remain quorate, represented by Housing & Architects CBC and DCC.

Routine adaptations are adaptations that do not meet the criteria for urgent adaptations.

Urgent adaptations are adaptations which meet one or more of the following criteria:

- The disabled person requires the adaptation to enable attendance at hospital to facilitate lifesaving/extending treatments (dialysis/chemotherapy)
- The disabled person has an unstable and deteriorating condition that precludes an equipment based solution
- The disabled person has a terminal condition with prognosis of 6 to 12 months
- The disabled person cannot bathe without the adaptation

Where the following apply, consideration will be given, in consultation with health and social care providers, to other options, including alternative living arrangements:

- There is an immediate risk of accident or hospital admission
- There is a threat to life or a major health and safety issue
- Person is in the final stages of life (palliative care)

The Adaptations budget is held and distributed via Business Planning and Strategy as part of the Housing Capital Programme.

The Housing Options Manager has overall responsibility for administration and process of the Adaptations Policy and Procedure.

Eligibility

Adaptations will be considered for CBC tenants having a secure tenancy. This extends to their partner or a member of the immediate family who permanently resides in the household.

Adaptations will only be considered for children of tenants where the property is their principle home. (Normally the residence of the parent who is in receipt of child benefit for that child)

The person to which the adaptation benefits must have resided at the property for at least 12 months. Consideration will be given to applicants that have moved within 12 months where it is evident that the move has mitigated the need for adaptations and/or cases where it is not practical or feasible to adapt the former home.

CBC will only approve adaptations of a permanent nature that will assist the disabled person in the long term. Adaptations will not be approved to assist temporary disablements e.g. a stairlift would not be approved in respect of a tenant that has broken their leg, as it would be expected that the tenant would make a recovery over a relatively short period of time.

Where a claim for a possession order, demotion order or suspension order is pending before any court, adaptations will not be considered until such time (if any) as the claim is determined without a possession order, demotion order or suspension order having been made.

If a tenant has rent arrears, but a claim for possession is not pending before any court, a Housing Options Officer would visit to discuss the arrears and consider applications for other benefits (including Discretionary Housing Payments (DHP)) and to discuss/agree/set up a repayment plan. Panel would then make a decision as to whether to consider adaptations based on the individual circumstances of each case.

Where there are allegations of anti-social behaviour or other breaches of tenancy, not including rent arrears, against the tenant or a member of the tenant's household or visitor and there is no claim pending before any court, panel will consider the individual circumstances of the case before a decision is made to consider adaptations. The panel will consider, amongst other things, the seriousness of the allegation(s), the number of allegations, the strength of the evidence, the period of time since the last allegation and the reasons for the request for the adaptation.

A request for an adaptation will generally not be considered for applicants that have submitted a Right to Buy Application. However, discretion will be applied and cases considered by the panel in exceptional circumstances based on emergency medical need.

Where a property has been adapted so that it is substantially different from ordinary dwellings, it may be classed as an exempt property from a Right to Buy application.

Where a tenant's housing need could be met through a move to a different property and where CBC has high levels of stock available of a particular property type, it is expected that the tenant will move to a different property.

Prospective tenants should consider the suitability of a property, in relation to their health needs, before accepting that property. Prospective tenants should not expect CBC to adapt a property in order to make the property suitable, once they have moved in. Where CBC has raised with a prospective tenant the unsuitability of a particular property, before that property has been accepted by the prospective tenant, a request for an adaptation will not be considered until 12 months after the start of the tenancy, unless due to limited stock availability the tenant had no other option but to accept the property.

Panel will consider cases within the 12 month period where it can be demonstrated that a tenant's health or disability has worsened since tenancy commencement. Supporting letters will be required from health professionals such as a tenant's GP or Hospital Consultant.

Requests within the 12 month period will also be considered where it is evident that the applicant has mitigated and lessened their need for adaptations.

Panel will decide whether there is justification in approving recommendations in cases where applicants have resided for less than the required 12 months.

Considerations

Panel will take into account a number of considerations when deciding whether to approve an adaptation request including, but not limited to, the following:

- The age, structure and internal layout of the property.

Due to their construction some properties are not suitable for certain adaptations, such as door widening. The internal layout of a property is of importance in considering "circulation" in respect of wheelchair users.

- Under-occupancy.

Major adaptations will not be carried out in respect of a **single person** occupying a family home. The applicant will be offered a move to a more suitable property that reflects the applicants housing need. CBC will identify a suitable property and submit a proxy bid on behalf of the tenant (“direct match”) in accordance with CBC’s Choice Based Lettings Allocations and Transfer Policy (“the Allocations Policy”). The property identified will be suitable in terms of size and have all, if not most, adaptations already in place. Consideration will be given to whether the identified property is able to be adapted to meet the applicants longer term needs.

If an applicant refuses a property that is considered to be suitable by CBC the applicant will be removed from the “direct match list” and will lose the Priority Band status in accordance with the Allocations Policy. Prior to removal the applicant will be contacted to warn of the implications of refusing a property that is considered suitable.

Once removed, the applicant will be placed in the appropriate band based on their circumstances and will need to “bid” on suitable properties in accordance with the Allocations Policy. The Housing Options Officer will ensure that the applicant is able to bid and understands the bidding process.

As part of the direct matching process there will be occasions where a property is offered as a direct match; acknowledging that the property doesn’t meet all of the applicant’s essential needs. Refusal of a property not meeting all of the essential needs will not result in removal from the direct match list. As an example a property might be offered in an alternate area to the area requested to see whether the applicant might be interested in a different area. Suitable offers will give reasonable preference to area and meet the applicant’s needs in terms of their disability.

Applicants that are added to the direct match list will be notified in writing, they will be advised what criteria are considered to be essential.

In respect of major adaptations in relation to **under occupancy relating to more than one occupant**, the following will apply:

If the property is under occupied by two or more bedroom's the tenant will be treated as a single person as outlined previously.

Otherwise if under occupancy relates to one bedroom only, further consideration will be given in considering the recommendation.

With regards to applicants in receipt of Housing Benefit; a Housing Options Officer will carry out an assessment to determine how the applicant has been managing the under occupancy charge and the applicant's future ability to manage the under occupancy charge. Where applicable the Housing Options Officer will signpost to the relevant agency if assistance in managing the charge is required. It should be noted that the award of Discretionary Housing Payments (DHP's) are usually for a short period of time. Where the under occupancy charge is not manageable in the long term, the tenant will be expected to move to a more suitable property and the procedure under single person under-occupancy above will be applied.

Discretion can be applied in exceptional circumstances if deemed appropriate by the panel. As an example, adaptations may be considered for a property that is under occupied where a member of the household has a learning disability and moving to alternative accommodation may cause significant disruption (including the need to change various service providers) along with considerable distress to the person having learning disabilities. Such consideration could also be extended to family members that have high level behavioural difficulties, high level mental health issues or sensory difficulties where a move to an alternate property would have significant impact.

CBC seeks to make best use of its housing stock by ensuring properties are occupied in accordance with need. To enable movement within our stock CBC has a Tenants Incentive's Scheme (TIS) to incentivise a tenants move to suitable accommodation. A Housing Officer will discuss the TIS with a tenant; advising of the amount available and the potential deductions from the payment e.g if an applicant has rent arrears which are preventing the tenant from moving the TIS could potentially clear the arrears to facilitate the move. ²

² NOTE – at the drafting of policy (February 2017) the TIS payment is £1,250.00, this amount could be changed further to policy amendment.

- Overcrowding.

Where overcrowding has been identified a Housing Options Officer will visit to discuss the current housing situation and to discuss potential remedies for example considering moving family members to alternate accommodation to relieve the overcrowding, this could include rehousing the family member that requires adaptations to a suitable property.

Panel will decide whether to agree to adaptations on a case by case basis where the property is overcrowded.

Major Adaptations will not be as prohibitive in overcrowding situations in comparison to under occupancy.

- Cost.

Consideration will be given whether the estimated cost of the adaptation is excessive in comparison to similar adaptations carried out elsewhere. Panel will decide on a case by case basis whether to agree to an adaptation where the cost is considered excessive.

- Long term outlook

Consideration will be given to the long term outlook and what, if anything, may be required in the future.

- The impact on the amenity of area.

Consideration will be given to the effect that any adaptation would have on the visual outlook of the immediate area.

- The impact on the local community

Consideration will be given to the impact of an adaptation on the local community. For example the installation of a disabled parking space where a bay has already been designated for disabled parking within the confines of a small parking area.

The aforesaid considerations are not exhaustive; the applicant will be advised in writing why the recommendation has been refused

Exclusions

- Adaptations will not be considered in respect of requests for access and storage relating to **mobility scooters**. Nor will electrical charging facilities be installed in respect of mobility scooters. (This is due to there being no requirement for a medical assessment in relation to mobility scooters i.e anyone with or without disability has the option to purchase or use a mobility scooter)
- Adaptations (both minor and major) will only be approved to allow access to the applicant's garden and to allow use of a 2metre by 2metre **garden area**, if applicable and where feasible. This ruling currently aligns with guidelines in respect of the Disabled Facilities Grant guidance, Statutory Instrument 2008 No 1189 and subsequent guidance adopted by Council's throughout Derbyshire. Such approvals will be classified as "routine". This is to allow funding to be concentrated on matters of greater priority such as the safe access/egress of a property, provision of safe washing/bathing facilities along with access to toilet facilities.

The examples above are not exhaustive. The merits of each case are considered by panel.

General principles in respect of common major adaptations

- **Ramping.** To facilitate safe access and egress to the property a ramp (further to DCC recommendation) will be installed (where practical) at the “point furthest from potential fire” (i.e furthest from the kitchen). DCC will consider specific needs in relation to rails and upstands.

In cases where panel consider the applicant’s mobility needs to be such, consideration will be given to installing ramping to both front and rear access points.

- **Shower over baths.** Panel will give consideration to the age of the applicant and the applicant’s health issues. Long term suitability will be considered. Other options that may be considered include a level access shower or low rise tray.
- **Level Access Shower (LASH).** Will be installed in all ground floor accommodation i.e bungalows, ground floor flats, sheltered or where scope to adapt internal (pantry) or external stores (coal store) to a LASH has been identified. We will consider the practicalities and feasibility in converting external stores to a level access shower where identified that ground floor living is essential.
- **High/Low Rise Tray (HRT / LRT).** Will be installed where it is impractical to install a level access shower (above ground floor). Consideration will be given to the applicant’s current and future ability in accessing a low or high rise shower tray.

It is preferable to install LASH’s as opposed to a LRT due to there being no potential trip hazard. Unfortunately, it is not always possible to install a LASH due to drainage issues.

- **Stairlifts.** We will only consider stairlifts in respect of straight stairs and where a stairlift is deemed to be feasible. Stairlifts for curved stairs will not be approved due to the cost and inability to reuse the stairlift. Stairlifts will not be installed in communal areas of blocks of flats.
- **Designated parking/Hardstandings/dropped kerbs.** Initial consideration will require proof/notification that the applicant has a “blue badge” as issued by DCC. Subsequent considerations will consider practicalities and feasibility with potential consent and authority from the Highways Authority (DCC)

Financing

All approved adaptations will be funded via the budget allocated for adaptations. The budget currently stands at £750,000 (February 2017).

Where applicable (e.g. kitchen and bathroom improvement programmes) shared costs will be discussed and negotiated between the appropriate parties.

Currently there is no requirement for applicants to contribute towards adaptations nor are applicant's means tested.

As a general rule; minor adaptations will account for 10% of the budget.

Tenants may wish to finance adaptations themselves (Note "Removal" page 15), a tenant will still need permission from CBC to install and will need to reinstate on termination of the tenancy. A tenant might wish to self-fund an adaptation that has been declined or in instances where the tenant wishes to appoint their own contractor.

Approval limits

Panel are able to approve major adaptations up to the estimated sum of £10,000.

Adaptations likely to exceed the sum of £10,000 will require consultation and subsequent authority by the Housing Options Manager.

Adaptations likely to exceed £25,000 will require approval by Cabinet following approval in the first instance by panel and subsequently by the Housing Options Manager. A report for Cabinet will be drafted by either of the CBC Housing representatives and approved by the Housing Options Manager and submitted to Cabinet for consideration.

Separate adaptation requests made in a 6 month period will count as "one scheme" in respect of the above. Referring agents (Occupational Therapists and Community Care Workers) should give this point consideration when referring.

Continued Occupation

In cases where CBC has committed to improve a tenant's home by use of the adaptations budget the Council would expect the tenant to remain in their adapted property as follows

Adaptations up to £10,000 – continued occupation for at least 2 years

Adaptations up to £25,000 – continued occupation for at least 3 years

Adaptations over £25,000 – continued occupation for at least 5 years

If an applicant makes a Housing Application for alternate accommodation within the above time frames; the move within our stock will only be granted if the property the applicant is moving to meets the household need i.e a move will not be approved where, there would be a further request for adaptations at any new property. Panel will consider any rehousing requests within 3 years of adaptations being made and the Housing Options Manager will consider any request for rehousing within 5 years.

Applicants will be advised of the "continued occupation ruling" prior to proceeding with a major adaptation.

Target times

Where adaptations have been approved CBC along with its contractor will endeavour to progress and promote the adaptation in a timely manner. Key performance indicators (KPI's) have been set as follows; such KPI's will be monitored by CBC.

Commencement of work	Urgent	Routine
Major	10 working days	15 working days
Minor	5 working days	15 working days

The above targets apply once the contractor has been issued with the order i.e. all plans and specifications have been drawn and agreed. Target times commence once the contractor has acknowledged receipt of the order.

The contractor will receive prior notification of the "order" at least two weeks prior to issue. This will allow the contractor time to order materials and factor the order into their work schedule. The Architects are responsible for issuing notification to the contractor.

The order should be completed within 5 working days for both classifications of major works and 5 working days for minor routine orders. Urgent minor orders should be complete within 2 working days.

Occasionally some adaptation requests due to their complexity or number will be considered to be "projects" and classified as projects. Such projects will fall outside the target times; it is expected that job completion will be completed in a timely manner.

Projects will be closely monitored and discussed at the monthly contractor meetings.

An order is considered complete once the order has been installed to the specifications of the order. All remedial work to decorate and "make good" will have been carried out. There will be no further requirement for the contractor to attend site.

KPI's will be marked showing cases whereby applicants have delayed the contractor in completing within the target times. Such cases will be discussed at the monthly contract meeting. KPI's will be marked "AD" (applicant delay)

Further to consideration by panel there will be some cases that having considered the full circumstances will require work to be carried out asap. In such cases the chair or vice chair will contact the contract manager to request work to be carried out asap, it is accepted that such requests may have an impact upon our contractor meeting the targets as above in respect of work already scheduled. Orders that are affected by such requests will be marked ESC (escalation) on all target monitoring data in respect of all cases affected.

Continued use of adapted properties and reusing adaptations

Adaptations to properties will be recorded within the council's Asset Management Register - Keystone - and within the Housing Management System - Northgate - in respect of each individual property, stating the type of adaptation and date installed.

On letting the property at a later date the property will ideally be let to an applicant that has a need for the adaptation. In the event that a property has a number of adaptations the property might be held back from general advertising in an attempt to specifically let to an applicant that has a need for the adaptations already in situ, this will be done via direct match. If advertised, a property that has significant major adaptations will be given preference to applicants with a medical need i.e the applicant has been awarded medical points.

Whilst every effort is made in allocating adapted properties to applicants with a medical need it is accepted that there will be instances where adapted properties are let to applicants without medical need.

Removal

Generally CBC won't remove an adaptation from a property once installed (unless in exceptional circumstances). Equipment such as stairlifts and KeeKlamp rails will be removed where a new tenant does not require the equipment.

Purpose built properties (PBP) generally will not be altered. Exception can be considered if a request is made to alter the property for the purpose of assisting in a disability. Changes will not be made that move a PBP towards a more mainstream property.

Servicing

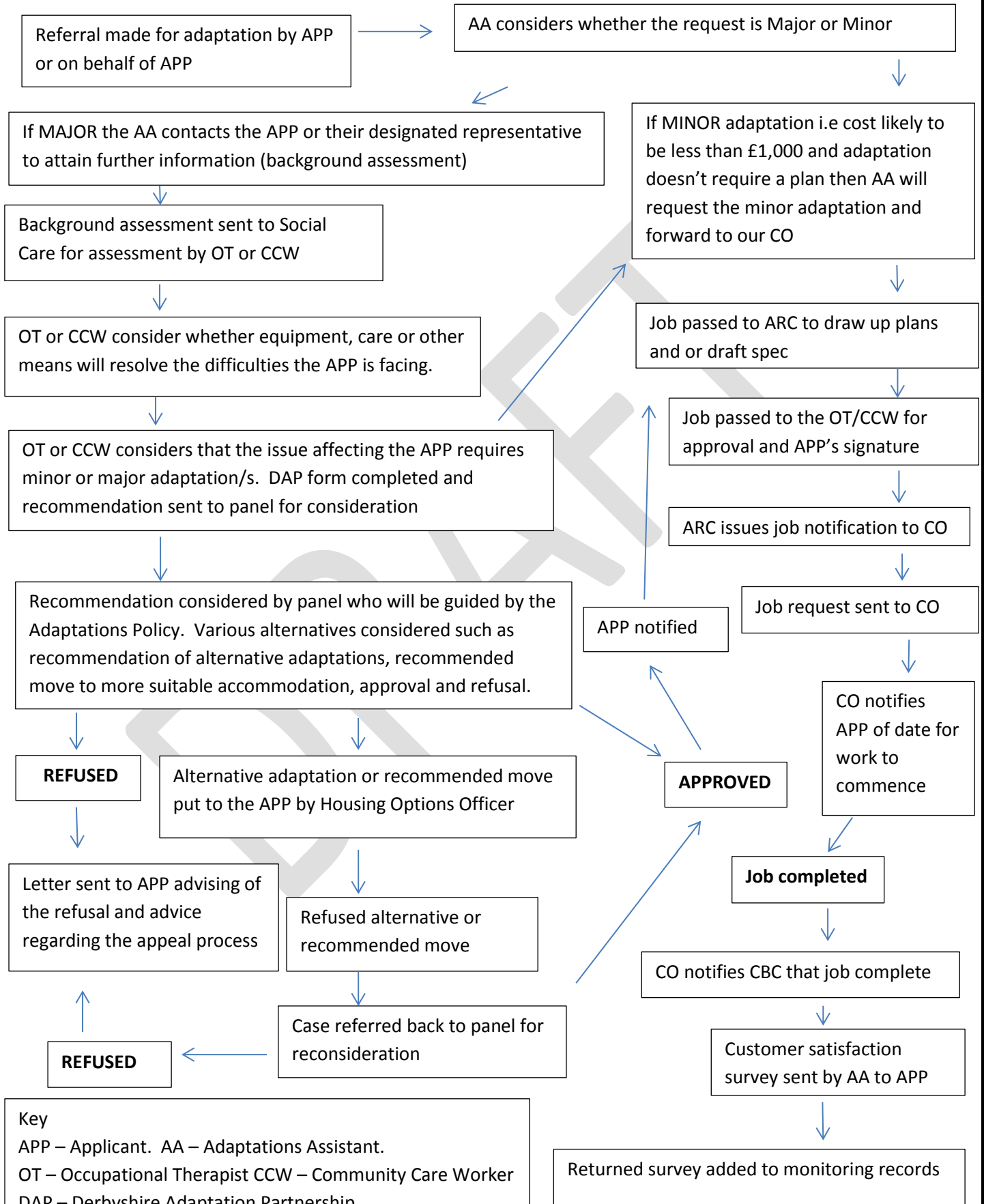
CBC is responsible for servicing certain adaptations such as stairlifts and hoists. CBC continues to be liable for all ongoing servicing and maintenance costs. Tenants in accordance with their Tenancy Agreement must allow CBC and its appointed contractor's access in carrying out servicing and maintenance.

Discretionary decisions

The Housing Options Manager may use their discretion to alter, amend or waive any aspect of this policy in exceptional cases.

Adaptations flow chart – the application process

See key below for abbreviations



Key
 APP – Applicant. AA – Adaptations Assistant.
 OT – Occupational Therapist CCW – Community Care Worker
 DAP – Derbyshire Adaptation Partnership
 ARC – Architect. CO - Contractor

Appeal

If you are dissatisfied with how your application has been dealt with you should initially put your complaint in writing to the Housing Options Manager. Letters should be sent to:

Housing Options Manager
On The Move, 73 Low Pavement
Chesterfield
S40 1PB

The Housing Options Manager will consider whether panel have acted fairly in their decision making and have given due consideration to the Adaptations Policy. The Housing Options Manager can either uphold panel's original decision or request that panel reconsiders the application with recommendations made.

If you are not happy with the response by the Housing Options Manager or feel your complaint has not been dealt with properly or fairly you can send a complaint online via www.chesterfield.gov.uk or you can ask for a complaints form to be sent to you or you can send your complaint in writing to

Chesterfield Borough Council
Town Hall
Rose Hill
Chesterfield
S40 1LP

Your complaint will be dealt with in accordance with the Council's internal complaints procedure.

If you feel that the Council hasn't dealt with your complaint fairly or properly you can escalate to the **Housing Ombudsman Service**. This is the final stage in the complaint process. Before contacting the **Housing Ombudsman Service** you must contact Chesterfield Borough Council initially and allow the Council opportunity to consider your complaint. If you fail to contact the Council in the first instance the **Housing Ombudsman Service** will advise you do to so. You should follow the procedure as outlined above. The **Housing Ombudsman Service** can be contacted at:

Housing Ombudsman Service
Exchange Tower
Harbour Exchange Square
London
E14 9GE

Or by telephone: **0300 111 3000** (lines are open Monday to Friday from 09:15 to 17:15)
or Fax: **020 7831 1942** or Email: info@housing.ombudsman.org.uk

Title	Adaptations Policy and Procedure
Dates Applicable	Awaiting approval – 31 March 2020
Author	Chris McDermott Team Leader – Housing Options
Date drafted	26 January 2017
Equality Impact Assessment	Preliminary completed 26 January 2017 Full – 28 March 2017
Consultation	Councillor Helen Bagley, Cabinet member for Customers & Communities Alison Craig, Housing Manager Carl Griffiths, Housing Options Manager Mark Turner, Assistant Housing Options Manager Chris Jones, Service Manager Stephen Haythorne, Solicitor Cathy Parsons, Housing Options Officer Adrian Presland, Housing Options Assistant Martin Wainwright, Senior Architectural Assistant Craig Alletson, Architectural Assistant Cathy Jones, Senior Quantity Surveyor Robbie Yearl, Quantity Surveyor Communication group – Tenant Participation
Consultation Group	
Weekly Business Review	
Cabinet Approval	
Date signed off as complete	
Review	Reviewed annually (each January) or further to a significant legislative change or further to a case presented that triggers a review requirement. Review 1 December 2019 to update for a further three year period.

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Chesterfield Borough Council

Equality Impact Assessment - Full Assessment Form

Service Area: Housing
Section: Adaptations
Lead Officer: Chris McDermott

Title of the policy, project, service, function or strategy the preliminary EIA is being produced for: Adaptations Policy and Procedure 2017 - 2020

Is the policy, project, service, function or strategy:

Existing
Changed
New/Proposed

STEP 1 – MAKE SURE YOU HAVE CLEAR AIMS AND OBJECTIVES

What is the aim of the policy, project, service, function or strategy?

The policy and procedure provides a framework for case-by-case consideration of major adaptations to the Council's housing stock to meet the needs of individual tenants with disabilities or long term conditions.

Who is the policy, project, service, function or strategy going to benefit and how?

CBC seeks to provide assistance in enabling tenants to live independently with privacy, confidence and dignity. The policy will primarily benefit tenants with disabilities or long term conditions, but ensuring that the resources available are allocated fairly.

What outcomes do you want to achieve?

To ensure that the adaptation budget is spent having consideration for value for money and targeting cases of a higher need. It is hoped that compliance of the policy and procedure will ensure there are funds within the budget throughout the financial year.

What barriers exist for both the Council and the groups/people with protected characteristics to enable these outcomes to be achieved?

The increase in age expectancy and continued requests for adaptations in respect of younger tenants puts pressure on the budget; along with other external factors such as an increase in external contractor fees and costs.

The policy also sets out arrangements

STEP 2 – COLLECTING YOUR INFORMATION

What existing data sources do you have to assess the impact of the policy, project, service, function or strategy?

Consideration has been given to previous year's expenditure in respect of Adaptations.

Consideration has been given with regards to the referrals made over the previous financial year.

Policies passed by other Local Authorities have been considered when drafting the policy.

STEP 3 – FURTHER ENGAGEMENT ACTIVITIES

Please list any additional engagement activities undertaken to complete this EIA e.g. met with the Equalities Advisory Group, local BME groups, Employee representatives etc. Could you also please summarise the main findings.

Date	Engagement Activity	Main findings
13/3/2017	Ongoing consultation with Officers involved	General acceptance, discussion and amendment regarding some points.

	with Adaptations	
March 2017	Tenant Consultation (Postal Group)	Minor amendments made and implemented following recommendation by the group

STEP 4 – WHAT’S THE IMPACT?

Is there an impact (positive or negative) on some groups/people with protected characteristics in the community? (Think about race, disability, age, gender, religion or belief, sexual orientation and other socially excluded communities or groups). You may also need to think about sub groups within each equalities group or protected characteristics e.g. older women, younger men, disabled women etc.

Please describe the potential impacts both positive and negative and any action we are able to take to reduce negative impacts or enhance the positive impacts.

Group or Protected Characteristic	Impact
Age – including older people and younger people.	Disabilities and long term conditions may be more frequent in older age groups. Referrals are considered based on access need, rather than age. Applications from all ages are considered

<p>Disabled people – physical, mental and sensory including learning disabled people and people living with HIV/Aids and cancer.</p>	<p>Around 23% of people in the Borough identified themselves as having a disability during the 2011 Census.</p> <p>The policy is designed to support Council tenants with access needs due to long term conditions and disabilities to live independently in their homes.</p> <p>The policy uses the definition of ‘disability’ within the Equality Act when considering a person’s needs.</p> <p>It also puts into place a process for dealing with ‘urgent’ adaptations, eg. where a person requires an adaptation to enable them to go to hospital for lifesaving/extending treatment.</p> <p>The policy aims to ensure that the limited funds are allocated to those most in need of adaptations. In order to provide a sustainable and fair service, the policy includes a number of eligibility criteria including:</p> <ul style="list-style-type: none"> • Where a tenant’s housing need could be met through a move to a different property and where CBC has high levels of stock available of a particular property type, it is expected that the tenant will consider and accept a move to a different property. • Major adaptations will not be carried out in respect of a single person occupying a family home. • CBC will only approve adaptations of a permanent nature that will assist the disabled person in the long term. • On approval of an application for a major adaptation, the policy sets out guidelines for ‘continued occupation’. This means that the Council would not expect a tenant to request a move to another of the Council’s property where a further adaptation would be needed for a period of time, dependent upon the amount invested in adaptations. <p>In addition to the framework for assessing applications, the policy ensures that every application will be assessed by a panel, and will be considered based on individual circumstances to ensure the fair and reasonable delivery of adaptations.</p>
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Gender – men, women and transgender.	No disproportionate impact anticipated.
Marital status including civil partnership.	No disproportionate impact anticipated.
Pregnant women and people on maternity/paternity.	No disproportionate impact anticipated.
Sexual Orientation	No disproportionate impact anticipated.
Ethnic Groups	No disproportionate impact anticipated.
Religions and Beliefs	No disproportionate impact anticipated.

From the information gathered above does the policy, project, service, function or strategy directly or indirectly discriminate against any particular group or protected characteristic?

Yes

No

If yes what action can be taken to stop the discrimination?

Please see table above.

STEP 5 – RECOMMENDATIONS AND DECISION MAKING

How has the EIA helped to shape the policy, project, service, function or strategy or affected the recommendation or decision?

The EIA has promoted consideration towards all groups of people; ensuring that the drafting of the policy hasn't discriminated against any of the aforesaid protected groups.

How are you going to monitor the policy, project, service, function or strategy, how often and who will be responsible?

All adaptation referrals will be continually monitored to show outcomes for all referrals made. Justification will need to be demonstrated for all decisions made. The ongoing workability of the policy will be closely considered during the infancy of the policy; thereafter the policy will be reviewed on an annual basis.

STEP 6 – KNOWLEDGE MANAGEMENT AND PUBLICATION

Please note the draft EIA should be reviewed by the appropriate Head of Service/Service Manager and the Policy Service before WBR, Lead Member, Cabinet, Council reports are produced.

Reviewed by Head of Service/Service Manager

Name: Alison Craig

Date: 31st March 2017

Reviewed by Policy Service

Name: Katy Marshall

Date: 28th March 2017

Final version of the EIA sent to the Policy Service

Decision information sent to the Policy Service

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