

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

<b>Principle A</b>	<p><b>A. Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law</b></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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<b>Sub-principles (in bold) and behaviours and actions that demonstrate good governance in practice</b>	<b>Responsibility</b>	<b>Examples of systems, processes, documentation and other evidence demonstrating compliance</b>	<b>CBC Situation</b>	<b>Compliance Achieved</b>
<p><b>Behaving with integrity</b>            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>	Members, SLT, CMT	<ul style="list-style-type: none"> <li>• Codes of conduct</li> <li>• Individual sign off with regard to compliance with</li> </ul>	<p>Member and Officers Codes of Conduct are within the Constitution</p> <p>Complaints procedure            Councillor complaints assessed in accordance with the council</p>	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 organisation		<p>code</p> <ul style="list-style-type: none"> <li>• Induction for new members and staff on standard of behaviour expected</li>   <li>• Performance appraisals</li> </ul>	<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	
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)	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"> <li>• Decision making practices</li> <li>• Declarations of interests made at meetings</li> <li>• Conduct at meetings</li> </ul>	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

<b>Sub-principles (in bold) and behaviours and actions that demonstrate good governance in practice</b>	<b>Responsibility</b>	<b>Examples of systems, processes, documentation and other evidence demonstrating compliance</b>	<b>CBC Situation</b>	<b>Compliance Achieved</b>
		<ul style="list-style-type: none"> <li>• Shared values guide decision making</li> <li>• Develop and maintain an effective standards committee</li> </ul>	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"> <li>• Anti-fraud and corruption policies are working effectively</li> <li>• Up-to-date</li> </ul>	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

<b>Sub-principles (in bold) and behaviours and actions that demonstrate good governance in practice</b>	<b>Responsibility</b>	<b>Examples of systems, processes, documentation and other evidence demonstrating compliance</b>	<b>CBC Situation</b>	<b>Compliance Achieved</b>
		<ul style="list-style-type: none"> <li>register of interests (members and staff)</li> <li>• Up-to-date register of gifts and hospitality</li> <li>• Whistleblowing policies are in place and protect individuals raising concerns</li> <li>• Whistleblowing policy has been made available to members of the public, employees, partners and contractors</li> </ul>	<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"> <li>• Complaints policy and examples of responding to complaints about behaviour</li> <li>• Changes/improvements as a result of complaints received and acted upon</li> <li>• Members and officers code of conduct refers to a requirement to declare interests</li> <li>• Minutes show declarations of interest were sought and appropriate declarations made</li> </ul>	<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>	

<b>Sub-principles (in bold) and behaviours and actions that demonstrate good governance in practice</b>	<b>Responsibility</b>	<b>Examples of systems, processes, documentation and other evidence demonstrating compliance</b>	<b>CBC Situation</b>	<b>Compliance Achieved</b>
<p><b>Demonstrating strong commitment to ethical values</b>  Seeking to establish, monitor and maintain the organisation's ethical standards and performance</p>	<p>Members,  Monitoring Officer  Policy and Communication  s</p>	<ul style="list-style-type: none"> <li>• Scrutiny of ethical decision making</li>   <li>• Championing ethical compliance at governing body level</li> </ul>	<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>

<b>Sub-principles (in bold) and behaviours and actions that demonstrate good governance in practice</b>	<b>Responsibility</b>	<b>Examples of systems, processes, documentation and other evidence demonstrating compliance</b>	<b>CBC Situation</b>	<b>Compliance Achieved</b>
<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"> <li>• Appraisal processes take account of values and ethical behaviour</li> <li>• Staff appointments policy</li> <li>• Procurement policy</li> </ul>	<p>Yes e.g. ensuring that others are treated fairly</p> <p>Anti- harassment and bullying policy</p> <p>Anti- Fraud, Bribery and corruption policy Code of Conduct</p> <p>Equality, diversity and social inclusion policy</p> <p>There is a recruitment Policy that ensures a fair appointments process</p>	Yes

<b>Sub-principles (in bold) and behaviours and actions that demonstrate good governance in practice</b>	<b>Responsibility</b>	<b>Examples of systems, processes, documentation and other evidence demonstrating compliance</b>	<b>CBC Situation</b>	<b>Compliance Achieved</b>
			<p>The Procurement Strategy is currently in Development but will include ethical issues. Council values form part of EPD process</p>	
<p>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</p>	<p>SLT,CMT</p>	<ul style="list-style-type: none"> <li>Agreed values in partnership working: Statement of business ethics communicates commitment to ethical values to external suppliers</li> </ul>	<p>Review required 2017/18</p>	<p>Part – Review required see action plan</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"> <li>• Ethical values feature in contracts with external service providers</li> <li>• Protocols for partnership working</li> </ul>		
<p><b>Respecting the rule of law</b> Ensuring members and staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations</p>	Monitoring Officer	<ul style="list-style-type: none"> <li>• Statutory provisions</li> <li>• Statutory guidance is followed</li> <li>• Constitution</li> </ul>	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"> <li>• Job</li> </ul>	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"> <li>• Compliance with CIPFA's <i>Statement on the Role of the Chief Financial Officer in Local Government</i> (CIPFA, 2015)</li> <li>• Terms of reference</li> <li>• Committee support</li> </ul>	<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>	

<b>Sub-principles (in bold) and behaviours and actions that demonstrate good governance in practice</b>	<b>Responsibility</b>	<b>Examples of systems, processes, documentation and other evidence demonstrating compliance</b>	<b>CBC Situation</b>	<b>Compliance Achieved</b>
Striving to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders	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"> <li>• Monitoring officer provisions</li> <li>• Record of legal advice provided by officers</li> <li>• Statutory provisions</li> </ul>	The Council has a Monitoring Officer With oversight of governance at the Council	Yes

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

<p><b>Principle B</b></p>	<p><b>Ensuring openness and comprehensive stakeholder engagement</b>  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><b>Openness</b>  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"> <li>• Annual report</li> </ul>	<p>There is not a specific annual report published but there are other means of communication:-</p> <ul style="list-style-type: none"> <li>• Annual financial statements</li> <li>• Council Plan</li> <li>• The Council Newspaper "Your Chesterfield"</li> <li>• The Council website</li> <li>• Social Media Channels.</li> <li>• 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.</li> </ul>	<p>Yes</p>

		<ul style="list-style-type: none"> <li>• Freedom of Information Act publication scheme</li> <li>• Online council tax information</li> <li>• Authority's goals and values</li> <li>• Authority website</li> </ul>	<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>	<p>Members, SLT, CMT</p>	<p>Record of decision making and supporting materials</p>	<p>All reports are "open" agenda items unless there is a valid reason. All decisions by Committees are minuted</p>	<p>Yes</p>
<p>Providing clear reasoning and evidence for decisions in both</p>	<p>Policy and Communication</p>	<ul style="list-style-type: none"> <li>• Decision making protocols</li> </ul>	<p>Set out in the Constitution</p>	<p>Yes</p>



<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"> <li>• Report pro-formas</li> <li>• Record of professional advice in reaching decisions</li> <li>• Meeting reports show details of advice given</li> <li>• Discussion between members and officers on the information needs of members to support decision making</li> <li>• Agreement on the information that will be provided and timescales</li> <li>• Calendar of dates</li> </ul>	<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"> <li>• Community strategy</li> <li>• Use of consultation feedback</li> <li>• Citizen survey</li> </ul>	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
<b>Engaging comprehensively with institutional stakeholders</b> 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"> <li>Partnership framework</li> <li>Partnership protocols</li> </ul>	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
<b>Engaging stakeholders effectively, including individual citizens and service users</b> Establishing a clear policy on the type of issues that the	Policy and Communication s Manager	<ul style="list-style-type: none"> <li>Record of public consultations</li> <li>Partnership framework</li> </ul>	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"> <li>• Communications strategy</li> <li>• Joint strategic needs assessment</li> </ul>	<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>	
<p>Implementing effective feedback mechanisms in order to demonstrate how their views have been taken into account</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>Part of decision making process – report template</p> <p>Equality Impact Assessments</p> <p>Results of consultation</p>	<p>Yes</p>

			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 Communications 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"> <li>• Reports</li> <li>• Joint strategic needs assessment</li> </ul>	Annual State of the Borough Report and briefing notes on emerging issues.	Yes

<p><b>Principle C</b></p>	<p><b>Defining outcomes in terms of sustainable economic, social, and environmental benefits</b></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><b>Defining outcomes</b> 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"> <li>• Community engagement and involvement</li> <li>• Corporate and</li> </ul>	<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"> <li>• Community strategy</li> </ul>	<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
Identifying and managing risks to the achievement of outcomes	SLT, CMT, Risk Management Group	<ul style="list-style-type: none"> <li>• Performance trends are established and reported upon</li> <li>• Risk management protocols</li> </ul>	<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	
Managing service users expectations effectively with regard to determining priorities and making the best use of the resources available	SLT, CMT	<ul style="list-style-type: none"> <li>• An agreed set of quality standard measures for each service element and included in service plans</li> <li>• Processes for dealing with competing demands within the community</li> </ul>	<p>Communications strategy</p> <p>Service plans include performance targets</p> <p>Budgeting/service reviews/forward planning</p>	Yes
<p><b>Sustainable economic, social and environmental benefits</b></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"> <li>• Capital programme</li>   <li>• Capital investment strategy</li> </ul>	<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"> <li>• Discussion between members and officers on the information needs of members to support decision making</li> <li>• Record of decision making and supporting materials</li> </ul>	<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"> <li>• Record of decision making and supporting materials</li> <li>• Protocols for consultation</li> </ul>	<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><b>Principle D</b></p>	<p><b>Determining the interventions necessary to optimise the achievement of the intended outcomes</b></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><b>Determining interventions</b> 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"> <li>• Decision making protocols</li> <li>• Option appraisals</li> <li>• Agreement of information that will be provided and timescales</li> </ul>	<p>Member/officer decision making protocols in place</p> <p>All Committee reports contain various options and an officer recommendation 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><b>Planning interventions</b> 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"> <li>• Partnership framework</li> <li>• Risk management protocol</li> </ul>	<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"> <li>Budget guidance and protocols</li> </ul>	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"> <li>• Medium term financial plan</li> <li>• Corporate plans</li> </ul>	managers There is a medium term financial plan that is reported to Members There is a financial planning group that meets every fortnight	
<p><b>Optimising achievement of intended outcomes</b></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"> <li>• Feedback surveys and exit/ decommissioning strategies</li> <li>• Changes as a result</li> </ul>	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"> <li>• Service plans demonstrate consideration of 'social value'</li> <li>• Achievement of 'social value' is monitored and reported upon</li> </ul>	<p>The priorities in the Council plan are</p> <ol style="list-style-type: none"> <li>1) To make Chesterfield a thriving Borough</li> <li>2) To improve the quality of life for local people</li> <li>3) To provide value for money services</li> </ol> <p>Service plans are built up to reflect these priorities</p>	<p>Yes</p>

<p><b>Principle E</b></p>	<p><b>Developing the entity’s capacity, including the capability of its leadership and the individuals within it</b></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><b>Developing the entity’s capacity</b>  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>	<p>SLT, CMT</p>	<p>Utilisation of research and benchmarking exercise</p>	<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>	<p>Yes</p>

			<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"> <li>• Workforce plan</li> <li>• Organisational development plan</li> </ul>	<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><b>Developing the capability of the entity's leadership and other individuals</b></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"> <li>• Job descriptions</li> <li>• Chief executive and leader pairings have considered how best to establish and maintain effective communication</li> </ul>	<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"> <li>• Scheme of delegation reviewed at least annually in the light of legal and organisational changes</li> <li>• Standing orders and financial regulations which are reviewed on a regular basis</li> </ul>	<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"> <li>• Induction programme</li> <li>• Personal development plans for members and officers</li> </ul> <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"> <li>• scrutinise and challenge</li> <li>• recognise when outside expert advice is required</li> <li>• promote trust</li> <li>• work in partnership</li> <li>• lead the organisation</li> <li>• act as a community leader</li> <li>• Efficient systems and technology used for effective support</li> </ul> <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"> <li>• Residents' panels</li> <li>• Stakeholder forum terms of</li> </ul>	<p>Community Engagement Strategy</p>	<p>Yes</p>



		<p>reference</p> <ul style="list-style-type: none"> <li>• Strategic partnership frameworks</li> </ul>	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>	Monitoring Officer	<ul style="list-style-type: none"> <li>• Reviewing individual member performance on a regular basis taking account of their attendance and considering any training or development needs</li> <li>• Peer reviews</li> </ul>	<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"> <li>• Training and development plan</li> <li>• Staff development plans linked to appraisals</li> <li>• Implementing appropriate human resource policies and ensuring that they are working</li> </ul>	<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><b>Principle F</b></p>	<p><b>Managing risks and performance through robust internal control and strong public financial management</b></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><b>Managing risk</b> 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
<b>Managing performance</b> Monitoring service delivery effectively including planning, specification, execution and independent post implementation review	SLT, CMT	<ul style="list-style-type: none"> <li>• Performance map showing all key activities have performance measures</li> <li>• Benchmarking information</li> <li>• Cost performance (using inputs and outputs)</li> <li>• Calendar of dates for submitting, publishing and distributing timely reports that are adhered to</li> </ul>	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"> <li>• Discussion between</li> </ul>	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"> <li>• Publication of agendas and minutes of meetings</li> <li>• Agreement on the information that will be needed and timescales</li> </ul>	<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"> <li>• The role and responsibility for scrutiny has been established and is clear</li> <li>• Agenda and minutes of scrutiny meetings</li> <li>• Evidence of improvements as a result of scrutiny</li> <li>• Terms of reference</li> <li>• Training for</li> </ul>	<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"> <li>• Membership</li> </ul>	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"> <li>• Financial standards, guidance</li> <li>• Financial regulations and standing orders</li> </ul>	Financial Standards and guidance are adhered to. The accounts are audited by KPMG Financial Regulations and Standing orders are within the Constitution	Yes
<b>Robust internal control</b> Aligning the risk management strategy and policies on internal control	Internal Audit Consortium Manager	<ul style="list-style-type: none"> <li>• Risk management strategy</li> <li>• Audit plan</li> <li>• Audit reports</li> </ul>	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"> <li>Annual governance statement</li> </ul>	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"> <li>• Effective internal audit service is resourced and maintained</li> </ul>	<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"> <li>• Terms of reference</li> <li>• Membership</li> <li>• Training</li> </ul>	<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><b>Managing data</b> 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"> <li>• Data management framework and procedures</li> <li>• Designated data protection officer</li> <li>• Data protection policies and procedures</li> </ul>	<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"> <li>• Data sharing agreement</li> <li>• Data sharing register</li> <li>• Data processing</li> </ul>	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"> <li>• Data quality procedures and reports</li> <li>• Data validation procedures</li> </ul>	<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><b>Strong public financial management</b></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><b>Principle G</b></p>	<p><b>Implementing good practices in transparency, reporting, and audit to deliver effective accountability</b></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><b>Implementing good practice in transparency</b></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"> <li>• Website</li> <li>• Annual report</li> </ul>	<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><b>Implementing good practices in reporting</b></p>	<p>SLT</p>	<ul style="list-style-type: none"> <li>• Formal annual report which</li> </ul>	<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"> <li>• Annual financial statements</li> </ul>	<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>

Ensuring that the Framework is applied to jointly managed or shared service organisations as appropriate	SLT	Annual governance statement	The framework applies to jointly managed and shared service organisations	Yes
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	Director of Resources	Format follows best practice	The financial statement are reviewed and signed off by external audit which confirms that they comply with best practice.	Yes
<b>Assurance and effective accountability</b> 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	Director of Resources	<ul style="list-style-type: none"> <li>• Recommendations have informed positive improvement</li> <li>• Compliance with CIPFA's Statement on the Role of the Head of Internal Audit (2010)</li> <li>• Compliance with Public Sector</li> </ul>	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	Yes

recommendations are acted upon		Internal Audit Standards	CIPFA qualified and complies with the statement on the role of the Head of Internal Audit.	
Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations	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

<b>Key Element</b>	<b>CBC Arrangement</b>
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 31<sup>st</sup> 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:

<b>No.</b>	<b>Issue Identified</b>	<b>Action to address</b>
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"> <li>• Financial Planning Group</li> <li>• Great Place Great Service Board</li> <li>• Corporate Cabinet and CMT workshops</li> <li>• Monthly budget monitoring reports to service managers</li> <li>• Quarterly budget monitoring reports to the Council, Cabinet and Scrutiny Forum</li> <li>• Regular dialogue with the trade unions</li> </ul>
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 <sup>st</sup> 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"> <li>• Financial Planning Group</li> <li>• Great Place Great Service Board</li> <li>• Corporate Cabinet and CMT workshops</li> <li>• Monthly budget monitoring reports to Service Managers</li> <li>• Quarterly budget monitoring reports to the Council, Cabinet and Scrutiny Forum</li> <li>• Regular dialogue with the trade unions.</li> </ul>	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 <sup>st</sup> 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		√