

# **FOR PUBLICATION**

## **UPDATE TO THE ANNUAL GOVERNANCE STATEMENT ACTION PLAN**

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MEETING: **STANDARDS AND AUDIT COMMITTEE**

DATE: **6TH FEBRUARY 2015**

REPORT BY: **INTERIM HEAD OF INTERNAL AUDIT  
CONSORTIUM**

WARD: **ALL**

COMMUNITY  
ASSEMBLIES: **ALL**

KEY DECISION  
REFERENCE (IF  
APPLICABLE): **N/A**

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FOR PUBLICATION

BACKGROUND PAPERS FOR PUBLIC REPORTS:

TITLE: LOCATION:

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### 1.0 **PURPOSE OF REPORT**

1.1 To provide members with an update in respect of the progress made towards implementing the 2013/14 Annual Governance Statement Action Plan.

### 2.0 **RECOMENDATION**

2.1 That the report be noted.

### 3.0 **BACKGROUND**

3.1 Each year the Council reviews the governance arrangements it has in place, including a review of the Code of Corporate Governance.

- 3.2 Following this review, an Annual Governance statement for the Council is produced as required by the Accounts and Audit (England) Regulations 2011.
- 3.3 Part of the review entails formulating an action plan to address any areas of concern that have been identified.
- 3.4 In June 2014 this Committee approved the Annual Governance Statement and Action Plan and agreed that progress on the action plan would be monitored by the Corporate Management Team (CMT).

#### 4.0 **PROGRESS MADE**

- 4.1 CMT has reviewed the progress made against the Annual Governance Statement Action Plan and a summary is shown at Appendix 1.

#### 5.0 **RECOMMENDATION**

- 5.1 That the report be noted.

#### 6.0 **REASON FOR RECOMMENDATION**

- 6.1 To inform Members of the progress made in respect of implementing the 2013/14 Annual Governance Statement Action Plan.

JENNY WILLIAMS  
INTERIM HEAD OF INTERNAL AUDIT CONSORTIUM

Further information on this report can be obtained from Jenny Williams (Extension 5468)

**CHESTERFIELD BOROUGH COUNCIL – ANNUAL GOVERNANCE STATEMENT 2013/14**  
**ACTION PLAN UPDATE**

Objective No. / Area of Assurance	Governance Issue	Action Proposed				Progress as at 9 <sup>th</sup> January 2015
		Description	By Date	Officer	Priority	
1.A.1	Model of Constitution to be modernised.	Following completion of review by the joint member / officer working group, adopt new model of Constitution to improve accessibility and ease of use.	31/7/14	Head of Governance	M	<i>(Progress slowed by implications of SMT review)</i> Systematic updates continuing with various changes approved by Council in December 2014. Now intend to have new version fully in place before new administration

Objective No. / Area of Assurance	Governance Issue	Action Proposed				Progress as at 9 <sup>th</sup> January 2015
		Description	By Date	Officer	Priority	
1.B.3	Implementing actions to address the forecast deficits. Other budget risks such as the continuing impacts of the economic climate on key income streams and investment returns.	<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 2012-2015.</p> <p>This will be achieved through the established mechanisms of the Council's Financial Planning Group, CMT/Executive Member Budget workshops and Risk Management Group, and through the preparation of quarterly monitoring reports to the Council's Cabinet and Scrutiny Forum. Regular dialogue with Regional Trade Union Official will take place.</p>	01/3/15	Members / CE / HoS	H	<p>There is a budget update at each fortnightly Financial Planning Group. Budget monitoring reports are issued to budget holders monthly. Cabinet and CMT are given regular budget updates on the financial position. Quarterly budget monitoring reports are taken to Cabinet, Overview and Performance Scrutiny Forum and Full Council. A draft budget report was taken to Council in December and a final budget report will be presented in February.</p>
1.B.5 & 2.A.10	The External Communications Strategy needs to be finalised and approved.	Refresh External Communications Strategy.	31/03/15	Head of BT	M	The External Communications Strategy went to Cabinet 2/12/2014 and was approved by full Council on the 17 <sup>th</sup> December 2014.

Objective No. / Area of Assurance	Governance Issue	Action Proposed				Progress as at 9 <sup>th</sup> January 2015
		Description	By Date	Officer	Priority	
1.D.5 & 2.A.1	Performance / Risk Management monitoring arrangements for partnerships.	Partnership Strategy to be reviewed in 2014/15 and significant partnerships re-assessed	31/3/15	Head of BT	M	<p>The importance of an effective approach to partnerships has been recognised in early discussions regarding the 2015 – 19 Corporate Plan. However, a key staff absence will make it difficult to conduct a meaningful review prior to March 2015.</p> <p>It is therefore proposed that the work is rolled forward into the early part of 2015-16. By then, the council will have agreed priorities for the new corporate plan and reached a view on membership of the Derbyshire and Derby combined Authority, both of which will allow for a more informed review to take place.</p>

Objective No. / Area of Assurance	Governance Issue	Action Proposed				Progress as at 9 <sup>th</sup> January 2015
		Description	By Date	Officer	Priority	
2.A.6	Examination of Corporate Risk Register	Refresher training in risk management to officers and members should be provided	31/12/14	Head of Finance	M	In November 2014 the Council's insurers Zurich were commissioned to examine and refresh the Council's risk management processes, procedures and registers. The revised strategic risk register and strategy will be presented to full council at the end of February.

Objective No. / Area of Assurance	Governance Issue	Action Proposed				Progress as at 9 <sup>th</sup> January 2015
		Description	By Date	Officer	Priority	
3.A.2 & 3.A.8	Need to complete review of Contract Procedure Rules and organise training for relevant officers and members on these and Procurement Strategy. Procedures for the management of Contractors to be strengthened.	Contract Procedure Rules have been drafted as part of the new Constitution for approval by full council in July 14. Officer / member training will be arranged following this. The procurement strategy will be reviewed and updated. Training to be provided to strengthen the arrangements for the management of contractors.	30/09/14	Head of Governance /Head of B T	H	<p>The Council's contract procedure rules went to Cabinet 2.12.14 and were approved by Council on the 17<sup>th</sup> December 2014. Work now needs to be undertaken to update the procurement strategy and to provide training to Officers in respect of contract procedure rules.</p> <p>The contract management working group has been developing training in respect of the management of contractors and it is hoped to deliver this over the next few months.</p>

Objective No. / Area of Assurance	Governance Issue	Action Proposed				Progress as at 9 <sup>th</sup> January 2015
		Description	By Date	Officer	Priority	
3.A.3	The Whistle blowing policy was last reviewed in 2010	The whistle blowing policy should be reviewed and updated	31/03/2015	Head of HR	M	This policy was scheduled to be reviewed in October. However, it remains on the programme of policies to be reviewed. There is a policy working group that prioritises the review of policies.

Key:

H of B T

Head of Business Transformation

H o S

Heads of Service

CE

Chief Executive

Priority: H = High, M = Medium, L = Low