

Appendix A  
**Chesterfield Borough Council**  
**Local Code of Corporate Governance – 2017/18 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 the organisation</p>	Members, SLT, CMT	<ul style="list-style-type: none"> <li>• Codes of conduct</li> <li>• Individual sign off with regard to compliance with code</li> </ul>	<p>Member and Officers Codes of Conduct are within the Constitution. A revised employee code was adopted earlier this year.</p> <p>Complaints procedure Councillor complaints</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
		<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>assessed in accordance with the council procedure</p> <p>All new staff follow an induction process with their line manager and are required to complete various on line training modules</p> <p>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, SLT, 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> <li>• Shared values</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 Code of Conduct Protocols on	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
		guide decision making <ul style="list-style-type: none"> <li>Develop and maintain an effective standards committee</li> </ul>	Members/Officer relations and Employee Code 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, Assistant Director - Policy and communications	<ul style="list-style-type: none"> <li>Anti-fraud and corruption policies are working effectively</li> <li>Up-to-date register of interests</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 expected to declare any interests	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>(members and staff)</p> <ul style="list-style-type: none"> <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> <li>• Complaints policy and</li> </ul>	<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> <p>The Council keeps a record of complaints and how they are dealt with</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>examples of responding to complaints about behaviour</p> <ul style="list-style-type: none"> <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>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 agendas and minutes and any declarations are recorded</p>	
<b>Demonstrating strong</b>	Members,	<ul style="list-style-type: none"> <li>• Scrutiny of</li> </ul>	There are 3 Scrutiny	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><b>commitment to ethical values</b> Seeking to establish, monitor and maintain the organisation's ethical standards and performance</p>	<p>Monitoring Officer Assistant Director - Policy and Communications</p>	<p>ethical decision making</p> <ul style="list-style-type: none"> <li>Championing ethical compliance at governing body level</li> </ul>	<p>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>Underpinning personal behaviour with ethical values and ensuring they permeate</p>	<p>Members, SLT, CMT</p>	<p>Provision of ethical awareness training</p>	<p>Members receive training on ethical standards which is</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>
all aspects of the organisation's culture and operation			repeated as necessary. Regulatory Committees have a mandatory training requirement  All staff and elected members receive a comprehensive induction which covers behaviour and ethical values Training is also available to both members and officers on specific equality and diversity issues.  The Council has established core values which are publicised widely to staff and members and re-enforced during EPD process.	



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
Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values	Assistant Director - Policy and Communications, 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> <p>The Procurement Strategy is currently in Development</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>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> <li>• Ethical values feature in contracts with external service providers</li> <li>• Protocols for partnership working</li> </ul>	<p>Partnership Strategy Review required - this activity has been paused due to the complexity and pace of change in partnership arrangements at the moment. Horizon scanning activity has been taking place with the political and officer leadership teams to identify next steps.</p>	<p>Part – see AGS action plan</p>
<p><b>Respecting the rule of law</b> Ensuring members and staff demonstrate a strong</p>	<p>Monitoring Officer</p>	<ul style="list-style-type: none"> <li>• Statutory provisions</li> <li>• Statutory</li> </ul>	<p>Legal Services Protocols Constitution Standards and Audit</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>
commitment to the rule of the law as well as adhering to relevant laws and regulations		<ul style="list-style-type: none"> <li>• guidance is followed</li> <li>• Constitution</li> </ul>	Committee Procedures in place and training to ensure e.g. planning decisions properly made. Legal duty to promote and maintain standards and vested in Standards and Audit Committee	
Creating the conditions to ensure that the statutory officers, other key post holders and members are able to fulfil their responsibilities in accordance with legislative and regulatory requirements	SLT, CMT, HR	<ul style="list-style-type: none"> <li>• Job description/specs</li> <li>• Compliance with CIPFA's <i>Statement on the Role of the Chief Financial Officer in Local Government</i> (CIPFA, 2015)</li> </ul>	<p>All jobs are required to have job descriptions and person specifications</p> <p>The Director of Finance and 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>	Yes

Sub-principles (in bold) and behaviours and actions that demonstrate good governance in practice	Responsibility	Examples of systems, processes, documentation and other evidence demonstrating compliance	CBC Situation	Compliance Achieved
		<ul style="list-style-type: none"> <li>• Terms of reference</li> <li>• Committee support</li> </ul>	<p>The Local Government and Regulatory Law Manager (the Council's senior solicitor) is the Monitoring Officer. The Deputy Monitoring Officer is a nominated solicitor in their team</p> <p>The Constitution is underpinned by legal references</p> <p>Democratic and Scrutiny functions.</p>	
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	<p>Constitution is underpinned by legal references</p> <p>Committee minutes and reports</p> <p>Constitution reviewed and updated as necessary and is subject</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>
			to a rolling review, with amendments approved by Standards and Audit committee/Full Council (as appropriate)	
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 and a Deputy Monitoring Officer (in whom vests the legal function in the absence of the Monitoring Officer)	Yes
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</li> </ul>	The Anti-Fraud Bribery and Corruption Policy was approved by the Standards and Audit Committee September 2016	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>
		appropriate)		

<b>Principle B</b>	<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			
<b>Openness</b> Ensuring an open culture through demonstrating, documenting and communicating the organisation's commitment to openness	Members, SLT, CMT	<ul style="list-style-type: none"> <li>Annual report</li> <li>Freedom of</li> </ul>	There is not a specific annual report published but there are other means of communication:- <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>	Yes

		<p>Information Act publication scheme</p> <ul style="list-style-type: none"> <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 to exclude the public. All decisions by Committees are minuted</p>	<p>Yes</p>
<p>Providing clear reasoning and evidence for decisions in both public records and explanations to stakeholders</p>	<p>Assistant Director - Policy and Communications</p>	<ul style="list-style-type: none"> <li>• Decision making protocols</li> <li>• Report pro-</li> </ul>	<p>Set out in the Constitution</p> <p>There is a template for</p>	<p>Yes</p>



and being explicit about the criteria, rationale and considerations used. In due course, ensuring that the impact and consequences of those decisions are clear

Democratic and Scrutiny Officer

formas

- Record of professional advice in reaching decisions
- Meeting reports show details of advice given
- Discussion between members and officers on the information needs of members to support decision making
- Agreement on the information that will be provided and timescales
- Calendar of

Committee reports with Standard headings and an online system in place for reviewing and signoff of reports via ModGov

Officers reports are all retained with the Committee agendas and papers  
Officer

Recommendations included in Committee reports

Members can request whatever information they need

Terms of reference of

		<p>dates for submitting, publishing and distributing timely reports is adhered to</p>	<p>the Committees and scheduled meetings during the year</p> <p>Meeting timetable is published</p>	
<p>Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/ courses of action</p>	<p>Assistant Director - Policy and Communications</p>	<ul style="list-style-type: none"> <li>• Community strategy</li> <li>• Use of consultation feedback</li> <li>• Citizen survey</li> </ul>	<p>External communications strategy. Community engagement strategy and annual programme. 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.</p>	<p>Yes</p>
<p><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</p>	<p>Assistant Director – Policy and Communications</p>	<p>Communication strategy</p>	<p>There are approved internal and external communication strategies in place.</p> <p>Senior Leadership Team has defined relationship leads for key stakeholders.</p>	<p>Yes</p>

clear so that outcomes are achieved successfully and sustainably			Stakeholder mapping. Bespoke communication and research plans developed.	
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. Stakeholder mapping. Bespoke communication consultation and research plans.	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	Assistant Director - Policy and Communications	<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	Part – see action plan
<b>Engaging stakeholders effectively, including individual citizens and service users</b>	Assistant Director - Policy and Communications	<ul style="list-style-type: none"> <li>Record of public consultations</li> <li>Partnership</li> </ul>	Community Engagement Strategy Community Engagement Programme	Yes

<p>Establishing a clear policy on the type of issues that the 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>framework</p>	<p>Consideration in decision reports 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>Assistant Director – Policy and Communications</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>Derbyshire wide engagement group to share best practice and develop joint approaches where applicable</p>	<p>Yes</p>
<p>Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and</p>	<p>Assistant Director - Policy and Communications</p>	<ul style="list-style-type: none"> <li>• Communications strategy</li> <li>• Joint strategic needs</li> </ul>	<p>There is an external Communications Strategy in place</p>	<p>Yes</p>

<p>organisations of different backgrounds including reference to future needs</p>	<p>Communications and Marketing Manager</p>	<p>assessment</p>	<p>Community Engagement Strategy</p> <p>Annual Community Engagement 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. Stakeholder mapping. Bespoke communication consultation and research plans developed.</p>	
<p>Implementing effective feedback mechanisms in order to demonstrate how their views have been taken into account</p>	<p>Assistant Director - Policy and Communications 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>Part of decision making process – report template</p> <p>Equality Impact Assessments</p> <p>Results of consultation exercises are published e.g. (during 16/17) on future use of the former Queens Park Sports Centre Site.</p>	
Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity	Assistant Director - Policy and Communications	Processes for dealing with competing demands within the community, for example a consultation	<p>Forms part of the decision making report template</p> <p>Equality Impact Assessments</p>	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>	<p>Annual State of the Borough Report and briefing notes on emerging issues.</p> <p>Horizon scanning activity with Corporate Cabinet/SLT/CMT at development days</p>	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>Assistant Director - Policy and communications</p>	<ul style="list-style-type: none"> <li>• Community engagement and involvement</li> <li>• Corporate and service plans</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 renewed every year and are developed from the</p>	<p>Yes</p>

		<ul style="list-style-type: none"> <li>Community strategy</li> </ul>	<p>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 includes quarterly challenge at Finance and Performance Board and Overview and Performance Scrutiny. Annual performance report to Cabinet. 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>	Yes



			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 decisions about service provision</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 environmental	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>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 members (scrutiny is part of this group)</p>	<p>Yes</p>

			All committee meetings are minuted and the associated reports retained	
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	Assistant Director - Policy and Communications	<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</p> <p>Annual action plans</p> <p>External Communications Strategy including media protocol and social media policy.</p> <p>State of the Borough Report.</p> <p>Modgov system to access decision making papers and records.</p>	Yes
Ensuring fair access to services	Assistant Director - Policy and Communications	Protocols ensure fair access and statutory guidance is followed	<p>Community engagement Strategy</p> <p>External communications strategy</p> <p>Consultation is part of our Equality Impact Assessments.</p> <p>Equality, Diversity and Social Inclusion Policy, Strategy and action plan.</p>	Yes

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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></p> <p>Ensuring decision makers receive objective and rigorous analysis of a variety of options indicating how intended outcomes would be achieved and including the risks associated with those options. Therefore ensuring best value is achieved however services are provided</p>	<p>SLT, CMT</p>	<p>Discussion between members and officers on the information needs of members to support decision making</p> <ul style="list-style-type: none"> <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</p> <p>All committee reports contain a risk analysis</p>	<p>Yes</p>
<p>Considering feedback from citizens and service users when making decisions about service improvements or where services are no longer required in order to prioritise</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>

competing demands within limited resources available including people, skills, land and assets and bearing in mind future impacts			HRA Business Plan Steering Group has been fully involved in recommending financial savings to Cabinet in respect of HRA Business Plan.	
<b>Planning interventions</b> Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets	SLT, CMT	Calendar of dates for developing and submitting plans and reports that are adhered to	Schedule of meetings in place Annual budgets and revised budgets Council plan reviewed annually Forward Plan	Yes
Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered	Assistant Director - Policy and Communications	Communication strategy	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	Yes
Considering and monitoring risks facing each partner	Assistant Director - Policy	<ul style="list-style-type: none"> <li>Partnership framework</li> </ul>	There is a risk management strategy in	Yes

when working collaboratively including shared risks	and Communications SLT, CMT	<ul style="list-style-type: none"> <li>• Risk management protocol</li> </ul>	place that is refreshed every year	
Ensuring arrangements are flexible and agile so that the mechanisms for delivering outputs can be adapted to changing circumstances	SLT, CMT	Planning protocols	<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>	Yes
Establishing appropriate key performance indicators (KPIs) as part of the planning process in order to identify how the performance of services and projects is to be measured	SLT, CMT	KPIs have been established and approved for each service element and included in the service plan and are reported upon regularly	<p>Service plans all contain performance indicators.</p> <p>The performance framework includes quarterly challenge at Finance and</p>	Yes

			Performance Board and Overview and Performance Scrutiny. Annual Performance report to Cabinet.	
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. The performance framework includes quarterly challenge at Finance and Performance Board and Overview and Performance Scrutiny. Annual Performance report to Cabinet.	Yes
Preparing budgets in accordance with organisational objectives, strategies and the medium term financial plan	Director of Finance and 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



<p>Informing medium and long term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy</p>	<p>Director of Finance and Resources/ Chief Accountant</p>	<ul style="list-style-type: none"> <li>• Budget guidance and protocols</li> <li>• Medium term financial plan</li> <li>• Corporate plans</li> </ul>	<p>Budget guidance protocols issued to all managers There is a medium term financial plan that is reported to Members There is a Finance and Performance Board that meets every fortnight</p>	<p>Yes</p>
<p><b>Optimising achievement of intended outcomes</b> Ensuring the medium term financial strategy integrates and balances service priorities, affordability and other resource constraints</p>	<p>Director of Finance and Resources/ Chief Accountant</p>	<ul style="list-style-type: none"> <li>• Feedback surveys and exit/ decommissioning strategies</li> <li>• Changes as a result</li> </ul>	<p>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.</p>	<p>Yes</p>
<p>Ensuring the budgeting process is all-inclusive, taking into account the full cost of operations over the medium and longer term</p>	<p>Director of Finance and Resources</p>	<p>Budgeting guidance and protocols</p>	<p>Budget guidance and protocols are issued to all service managers. Well established budget preparation and review procedures Budget challenge sessions</p>	<p>Yes</p>

<p>Ensuring the medium term financial strategy sets the 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>Director of Finance and Resources</p>	<p>Financial strategy</p>	<p>The financial strategy is regularly reviewed and updated as new external information emerges</p>	<p>Yes</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>Housing has an agreed process for disposing of</p>	<p>Part compliance – Condition surveys should be used to identify the capital and revenue budgets required to maintain non housing properties. See AGS action plan</p>

			<p>underperforming assets. Disposal of shops, miscellaneous properties and plot garage sites.</p> <p>The condition of the Council's non housing properties are in the process of being assessed in order to be able to identify appropriate capital and revenue budgets to maintain assets to an appropriate standard.</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 Cabinet.</p> <p>Sector led improvement activity including LGA</p>	<p>Yes</p>

			peer challenge, East Midlands Performance Network and APSE.	
Recognising the benefits of partnerships and collaborative working where added value can be achieved	Members, SLT, CMT	Effective operation of partnerships which deliver agreed outcomes	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	Yes
Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources	SLT, HR	<ul style="list-style-type: none"> <li>• Workforce plan</li> <li>• Organisational development plan</li> </ul>	The Council has a workforce Strategy and plan that all managers have been made aware of. The plan was revised during 2017/18 to ensure focus and a realistic set of deliverables. A new staff group has been set up to help deliver this.	Yes
<b>Developing the capability of the entity's leadership and other individuals</b> Developing protocols to	SLT, Democratic Services, Monitoring Officer	<ul style="list-style-type: none"> <li>• Job descriptions</li> <li>• Chief executive and leader pairings have</li> </ul>	Every post has a job description and person specification. The CE has regular	Yes

<p>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>considered how best to establish and maintain effective communication</p>	<p>meetings with the leader</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 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</p>	<p>Members, CE</p>	<p>Clear statement of respective roles and responsibilities and how they will be put into practice</p>	<p>The Constitution defines 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>Yes</p>

<p>services and other outputs set by members and each provides a check and a balance for each other's authority</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 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</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> <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> </ul>	<p>Training programme for managers – management modules on Aspire Learning 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 working relationship.</p> <p>All members undergo induction training, and this is supplemented by specific training on e.g. planning, licensing,</p>	<p>Yes</p>

<p>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>• 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>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>Assistant Director - Policy and Communications</p>	<ul style="list-style-type: none"> <li>• Residents' panels</li> <li>• Stakeholder forum terms of reference</li> <li>• Strategic partnership frameworks</li> </ul>	<p>Community Engagement Strategy</p> <p>Annual Community Engagement Programme</p> <p>Stakeholder mapping</p> <p>Bespoke communication consultation and research plans</p>	<p>Yes</p>



<p>Taking steps to consider the leadership's own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections</p>	<p>Democratic Services / Monitoring Officer</p>	<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>Member development Group includes learning and development programme</p> <p>The Council had a Peer challenge review in November 2013</p> <p>Investors in people</p> <p>Employee survey</p>	<p>Yes</p>
<p>Holding staff to account through regular performance reviews which take account of training or development needs</p>	<p>SLT, CMT</p>	<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 effectively</li> </ul>	<p>Annual PDRs and regular 1:1's. The PDR contains Objectives and Learning Plan that is completed. Learning and Development undertaken in the previous year is also reviewed.</p>	<p>Yes</p>
<p>Ensuring arrangements are in</p>	<p>HR</p>	<p>Human resource</p>	<p>Managing workplace</p>	<p>Part – A number of</p>

<p>place to maintain the health and wellbeing of the workforce and support individuals in maintaining their own physical and mental wellbeing</p>		<p>policies</p>	<p>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 2017/18.</p> <p>However, there are a number of health and safety policies that are out of date and require review.</p>	<p>policies are out of date, lack of reporting on health issues to Health and Safety Committee. See AGS action plan</p>
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<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 Finance and 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 registers</p>	<p>Yes</p>

<p>Ensuring that responsibilities for managing individual risks are clearly allocated</p>	<p>Risk Management Group, SLT, CMT</p>	<p>Risk management protocol</p>	<p>The risk management strategy outlines everybody's responsibilities</p>	<p>Yes</p>
<p><b>Managing performance</b> Monitoring service delivery effectively including planning, specification, execution and independent post implementation review</p>	<p>SLT, CMT</p>	<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>	<p>All areas have a service plan and performance measures form part of that.</p> <p>Financial Planning Group receives regular reports from each service to track delivery against financial targets.</p> <p>Performance Management Framework with quarterly reporting schedule.</p>	<p>Yes</p>
<p>Making decisions based on</p>	<p>Member, SLT,</p>	<ul style="list-style-type: none"> <li>• Discussion</li> </ul>	<p>All committee reports</p>	

<p>relevant, clear objective analysis and advice pointing out the implications and risks inherent in the organisation's financial, social and environmental position and outlook</p>	<p>CMT</p>	<p>between 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>have a section for risk 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)</p>	<p>Monitoring Officer, Assistant Director - Policy and Communications Democratic and Scrutiny Officer.</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> </ul>	<p>Scrutiny Roles and Responsibilities are defined in the Constitution. There are 3 scrutiny committees:-</p> <ul style="list-style-type: none"> <li>• Enterprise and Wellbeing,</li> <li>• Community, Customer and Organisational</li> <li>• Overview and Performance</li> </ul> <p>Their role is to produce</p>	<p>Yes</p>

Encouraging effective and constructive challenge and debate on policies and objectives to support balanced and effective decision making		<ul style="list-style-type: none"> <li>• Terms of reference</li> <li>• Training for members</li> <li>• Membership</li> </ul>	reports and recommendations which advise Cabinet, the 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 Finance and 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	Internal Audit Consortium Manager	<ul style="list-style-type: none"> <li>• Risk management strategy</li> </ul>	The audit plan takes in to account high risk areas and areas that are	Yes

policies on internal control with achieving the objectives		<ul style="list-style-type: none"> <li>• Audit plan</li> <li>• Audit reports</li> </ul>	included in the corporate 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 framework of governance, risk	Director of Finance and Resources, Standards and	<ul style="list-style-type: none"> <li>• Annual governance statement</li> <li>• Effective internal</li> </ul>	The Internal Audit Consortium Manager is heavily involved in producing the AGS.	Yes

<p>management and control is provided by the internal auditor</p>	<p>Audit Committee</p>	<p>audit service is resourced and maintained</p>	<p>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 Committee members received relevant training after</p>	<p>Yes</p>



			appointment in May 16 and new appointees receive relevant training	
<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 disposal and retention schedule covering all areas of the Council.</p> <p>The Council is actively working towards becoming compliant with the new GDPR regulations when they are introduced in May 2018 however there is still a significant amount of work to be completed.</p>	Partly – Data Protection issues have been identified. There is a GDPR action plan and ICT improvement plan in place that will address these issues. See AGS 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 agreements</li> </ul>	Data sharing and data processing agreements are in place for key partnerships and being revised for GDPR. Privacy notices developed. Information assurance system implemented to track data sharing. Secure file sharing is now in place.	Partly – Contracts and data sharing agreement amendments are ongoing with all suppliers and is expected to be completed by August 2018. An intra-council data sharing review will be completed

				during 2018.
Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring	Assistant Director - Policy and communications , Executive Director	<ul style="list-style-type: none"> <li>• Data quality procedures and reports</li> <li>• Data validation procedures</li> </ul>	Methodology checks for data e.g. consultation activity, State of the Borough report  Performance Management Framework – still needs further development, relies on service plans being in place.	Part – needs further development of indicators and relies on service plans being in place. See AGS action plan.
<b>Strong public financial management</b> Ensuring financial management supports both long term achievement of outcomes and short-term financial and operational performance	Director of Finance and Resources	Financial management supports the delivery of services and transformational change as well as securing good stewardship	Medium term financial plan Finance and Performance Board Reporting to Members	Yes
Ensuring well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls	Director of Finance and Resources	Budget monitoring reports	Managers receive monthly budget monitoring reports Regular reporting to Members Quarterly budget meetings with CMT	Yes

			Managers. Finance and Performance Board 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>The style of committee reports is specified to ensure ease of reading and consistency</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 2016/17 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 which is reported to members</p>	<p>Yes</p>
<p>Ensuring robust arrangements for assessing the extent to which the principles contained in the Framework have been applied and publishing the results on this assessment including an action plan for improvement and evidence to demonstrate good governance (annual governance statement)</p>	<p>SLT, CMT, Internal Audit Consortium Manager</p>	<p>Annual governance statement</p>	<p>The annual governance statement is produced via a robust process that involves all of the Corporate Management Team. Attainment against the framework is assessed. Each year an action plan is produced and monitored to address identified weaknesses</p>	<p>Yes</p>

<p>Ensuring that the Framework is applied to jointly managed or shared service organisations as appropriate</p>	<p>SLT</p>	<p>Annual governance statement</p>	<p>The framework applies to jointly managed and shared service organisations</p>	<p>Yes</p>
<p>Ensuring the performance information that accompanies the financial statements is prepared on a consistent and timely basis and the statements allow for comparison with other similar organisations</p>	<p>Director of Finance and Resources</p>	<p>Format follows best practice</p>	<p>The financial statement are reviewed and signed off by external audit (KPMG) which confirms that they comply with best practice.</p>	<p>Yes</p>
<p><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 recommendations are acted upon</p>	<p>Director of Finance and Resources</p>	<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 Internal Audit Standards</li> </ul>	<p>An action plan is put in place to implement external audits recommendations. The implementation of internal audit recommendations is monitored by CMT and the Standards and Audit Committee. The Internal Audit Consortium Manager is CIPFA qualified and complies with the statement on the role of</p>	<p>Yes</p>

			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 – re assessment starts January 2018</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 the annual governance statement	SLT , Internal Audit Consortium Manager	Annual governance statement	Internal audit review the areas that are delivered by Arvato and Kier and any significant internal control weaknesses are fed through to the AGS	Yes

<p>Ensuring that when working in partnership, arrangements for accountability are clear and that the need for wider public accountability has been recognised and met</p>	<p>Assistant Director - Policy and Communications</p>	<p>Community strategy</p>	<p>Community Engagement Strategy</p> <p>Decision making arrangements – committee management and Modgov.</p>	<p>Yes</p>
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SLT = Senior Leadership Team

CMT = Corporate Management Team