

**Chesterfield Borough Council**  
**Local Code of Corporate Governance – 2018/19 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>
--------------------	---

<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</p>	Members, SLT, CMT	<ul style="list-style-type: none"> <li>• Codes of conduct</li> <li>• Individual sign</li> </ul>	<p>Member and Officers Codes of Conduct are within the Constitution..</p> <p>Complaints procedures in place. Councillor</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>
protecting the reputation of the organisation		<p>off with regard to compliance with code</p> <ul style="list-style-type: none"> <li>• Induction for new members and staff on standard of behaviour expected</li> <li>• Adherence to behaviours outlined in council's competency framework</li> </ul>	<p>complaints 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</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>
		<ul style="list-style-type: none"> <li>• Performance appraisals</li> </ul>	performance appraisals, 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, the core brief, team meetings, the aspire intranet and the Borough Bulletin.	Yes
Leading by example and using these standard operating principles or values	Members, SLT, CMT	<ul style="list-style-type: none"> <li>• Decision making practices</li> <li>• Declarations of</li> </ul>	These are set out in the Constitution Declarations of interest	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>
as a framework for decision making and other actions		interests made at meetings <ul style="list-style-type: none"> <li>• Conduct at meetings</li> <li>• Shared values guide decision making</li> <li>• Develop and maintain an effective standards committee</li> </ul>	are asked for at the start of every Committee meeting. Included in the Members Code of Conduct. Protocols on Members/Officer relations and Employee Code. There is an Audit and Standards Committee to consider these issues. Changes to the Standards system are being examined following the publication of A Review of the Committee on the Standards in Public Life	
Demonstrating, communicating and	Monitoring Officer, Internal	<ul style="list-style-type: none"> <li>• Anti-fraud and corruption</li> </ul>	Anti-Fraud Bribery and Corruption policy	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>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</p>	<p>Audit Consortium Manager, HR, Assistant Director - Policy and communications</p>	<p>policies are working effectively</p> <ul style="list-style-type: none"> <li>• Up-to-date register of interests (members and staff)</li> <li>• Up-to-date register of gifts and hospitality</li> </ul>	<p>reviewed and approved by the Standards and Audit Committee September 18 and advertised to staff on the intranet. Anti – fraud training provided to officers and Members September 16.</p> <p>Fraud and corruption training module on Aspire Learning.</p> <p>Members and staff are expected to declare any interests.</p> <p>There is a current register of gifts and hospitality.</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>
		<ul style="list-style-type: none"> <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 examples of responding to</li> </ul>	<p>The Council has a current Confidential Reporting Code (Whistleblowing Policy) in place</p> <p>The Confidential Reporting 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>	

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>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>				

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>Members,  Monitoring Officer  Assistant Director - Policy and Communications</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>
Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the organisation's culture and operation	Members, SLT, CMT	Provision of ethical awareness training	<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</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>
			established core values which are publicised widely to staff and members and re-enforced during the Performance Development Review process.	
Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values	Assistant Director - Policy and Communications , Monitoring Officer Human Resources Corporate Management Team	<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>An employee's commitment to the Council's values are assessed at performance development reviews.</p> <p>Anti- harassment and bullying policy</p> <p>Anti- Fraud, Bribery and corruption policy Code of Conduct</p>	Part – The Procurement Strategy requires approval

<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>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>	
<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</li> </ul>	<p>Draft partnership guidance/protocol has been developed and is currently out for consultation with SLT/CMT and relevant managers. This includes new arrangements for considering partnership arrangements including</p>	<p>Compliance expected March 19</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>
		<ul style="list-style-type: none"> <li>• suppliers</li> <li>• Ethical values feature in contracts with external service providers</li> <li>• Protocols for partnership working</li> </ul>	concerns and resource requests at Finance and Performance Board.	
<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 promote and maintain standards and vested in Standards and Audit Committee	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>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</p>	<p>SLT, CMT, HR</p>	<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> <li>• Terms of reference</li> </ul>	<p>All jobs are required to have job descriptions and person specifications that must be reviewed each time a post becomes vacant. Employment contracts specify whether posts are politically restricted and the constraints placed on office holders</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>	<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>
		<ul style="list-style-type: none"> <li>Committee support</li> </ul>	<p>Each Committee has its own terms of reference</p> <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	Monitoring	Record of legal advice	Constitution is	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>
the full powers available for the benefit of citizens, communities and other stakeholders	Officer	provided by officers	underpinned by legal references Committee minutes and reports  Constitution reviewed and updated as necessary and is subject 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	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>
			function in the absence of the Monitoring Officer)	
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 2018	Yes



<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> </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 Newsletter "Your Chesterfield" which includes Our Homes for Tenants and Leaseholders</li> <li>• The council website</li> <li>• Videos</li> <li>• Social media channels.</li> <li>• An annual report to tenants is prepared and sent to the Housing Regulator</li> </ul>	Yes

		<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>(HCA), published on the website and summarised in the Our Homes publication which goes to all households in the Borough as part of the Your Chesterfield publication.</p> <ul style="list-style-type: none"> <li>• Core brief to staff</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>	
Making decisions that are open about actions, plans,	Members, SLT, CMT	Record of decision making and supporting	All reports are "open" agenda items unless	Yes

<p>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>materials</p>	<p>there is a valid reason to exclude the public. All decisions by Committees are minuted</p>	
<p>Providing clear reasoning and evidence for decisions in both 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>Assistant Director - Policy and Communications Democratic and Scrutiny Officer</p>	<ul style="list-style-type: none"> <li>• Decision making protocols</li> <li>• Report pro-formas</li> <li>• Record of professional advice in reaching decisions</li> </ul>	<p>Set out in the Constitution</p> <p>There is a template for Committee reports with Standard headings and an online system in place for reviewing and signoff of reports via ModGov</p> <p>Officers reports are all retained with the Committee agendas and papers Officer</p>	<p>Yes</p>

		<ul style="list-style-type: none"> <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 for submitting, publishing and distributing timely reports is adhered to</li> </ul>	<p>Recommendations included in Committee reports</p> <p>Members can request whatever information they need</p> <p>Terms of reference of 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>Communications and engagements strategy which includes an annual action plan. 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 including a Tenant Challenge "Scrutiny" Panel.</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 clear so that outcomes are achieved successfully and sustainably</p>	<p>Assistant Director – Policy and Communications</p>	<p>Communication strategy</p>	<p>There is an approved internal and external communication and engagement strategy in place.</p> <p>Senior Leadership Team has defined relationship leads for key.</p>	<p>Yes</p>

<p>Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively</p>	<p>SLT, CMT</p>	<p>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</p>	<p>Stakeholder groups identified for different consultation types e.g. community and voluntary sector, sport and leisure organisations, planning consultations, equality and diversity forum etc. Bespoke communication consultation and research plans.</p>	<p>Yes</p>
<p>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</p>	<p>Assistant Director - Policy and Communications</p>	<ul style="list-style-type: none"> <li>• Partnership framework</li>   <li>• Partnership protocols</li> </ul>	<p>Housing's Tenant Challenge Panel (Scrutiny equivalent) has a clear set of Terms of Reference and Code of Conduct for Members.</p> <p>Draft partnership guidance/protocol has been developed and is currently out for consultation with SLT/CMT AND RELEVANT MANAGERS. This includes new</p>	<p>Yes</p>

			arrangements for considering partnership arrangements including concerns and resource requests at Finance and Performance Board.	
<p><b>Engaging stakeholders effectively, including individual citizens and service users</b></p> <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>	Assistant Director - Policy and Communications	<ul style="list-style-type: none"> <li>• Record of public consultations</li> <li>• Partnership framework</li> </ul>	<p>Communications and Engagement Strategy including an annual action plan.</p> <p>Consideration in decision reports</p> <p>Equality impact assessments</p>	Yes
Ensuring that communication methods are effective and that members and officers are clear about their roles with regard to community engagement	Assistant Director – Policy and Communications	Communications strategy	<p>There is an approved communications and engagement strategy in place.</p> <p>Community Engagement Group</p>	Yes

			Derbyshire wide engagement group to share best practice and develop joint approaches where applicable	
Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs	Assistant Director - Policy and Communications and Marketing Manager	<ul style="list-style-type: none"> <li>• Communications strategy</li> <li>• Joint strategic needs assessment</li> </ul>	<p>There is an approved Communication and Engagement Strategy in place including an annual action plan</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</p>	Yes



			research plans developed.	
Implementing effective feedback mechanisms in order to demonstrate how their views have been taken into account	Assistant Director - Policy and Communications and Marketing Manager	Communications strategy	<p>There is an approved Communication and Engagement Strategy in place.</p> <p>Community Engagement Group A consultation page is being developed on the website which brings together all consultation activities including “you said, we did” reports on what actions were taken following consultation.</p> <p>Part of decision making process – report template</p> <p>Equality Impact Assessments</p> <p>Results of consultation exercises are published e.g. employee survey .</p>	Yes

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	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.  Horizon scanning activity with Corporate Cabinet/SLT/CMT at development days Review of the Council Plan	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. Progress against the Council Plan is reviewed on an annual basis.</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</p>	<p>Assistant Director - Policy and communications</p>	<ul style="list-style-type: none"> <li>Community engagement and involvement</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>Yes</p>

the course of a year or longer		<ul style="list-style-type: none"> <li>• Corporate and service plans</li> <li>• Community strategy</li> </ul>	<p>Service Plans are renewed every year and are developed from the Council Plan</p> <p>Communications and 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>	The performance framework includes quarterly challenge at Finance and Performance Board and Overview and Performance Scrutiny. Annual performance report to Cabinet.	Yes

			<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> <p>There is a risk management strategy in place</p>	
<p>Managing service users expectations effectively with regard to determining priorities and making the best use of the resources available</p>	<p>SLT, CMT</p>	<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 and Engagement strategy</p> <p>Service plans include performance targets</p> <p>Budgeting/service reviews/forward planning</p>	<p>Yes</p>

<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>	<p>Members, SLT</p>	<p>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 wellbeing:</p> <ul style="list-style-type: none"> <li>• Capital programme</li>   <li>• Capital investment strategy</li> </ul>	<p>The Council's property portfolio is constantly under review, The aim is to sell a number of assets to release funds for capital projects.</p> <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>Yes</p>
<p>Taking a longer-term view with regard to decision making, taking account of risk and acting transparently</p>	<p>Members, SLT, CMT</p>	<ul style="list-style-type: none"> <li>• Discussion between members and officers on the</li> </ul>	<p>Meetings with Cabinet Member for Finance and Governance on constitution review and</p>	<p>Yes</p>

<p>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>information needs of members to support decision making</p> <ul style="list-style-type: none"> <li>• Record of decision making and supporting materials</li> </ul>	<p>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>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>Assistant Director - Policy and Communications</p>	<ul style="list-style-type: none"> <li>• Record of decision making and supporting materials</li> <li>• Protocols for consultation</li> </ul>	<p>Communications and Engagement Strategy Annual action plans</p> <p>State of the Borough Report. Modgov system to access decision making papers and records.</p>	<p>Yes</p>

Ensuring fair access to services	Assistant Director - Policy and Communications	Protocols ensure fair access and statutory guidance is followed	<p>Communications and Engagement Strategy</p> <p>Consultation is part of The Council's Equality Impact Assessments. Equality, Diversity and Social Inclusion Policy, Strategy and action plan.</p>	Yes



<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 competing demands within limited resources available including people, skills, land and assets and bearing in mind future impacts</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>HRA Business Plan Steering Group has been fully involved in recommending financial savings to Cabinet in respect of HRA Business Plan.</p>	<p>Yes</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 Forward Plan</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>Assistant Director - Policy and Communications</p>	<p>Communication strategy</p>	<p>The Council has adopted a Communications and Engagement Strategy and develops annual action plans. Core brief. Feedback given on</p>	<p>Yes</p>

			consultation via the CBC website, social media, public meetings, and Your Chesterfield/ Our Homes where appropriate	
Considering and monitoring risks facing each partner when working collaboratively including shared risks	Assistant Director - Policy and Communications SLT, CMT	<ul style="list-style-type: none"> <li>• Partnership framework</li> <li>• Risk management protocol</li> </ul>	There is a risk management strategy in place that is refreshed every year	Yes
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 Job Descriptions/Person Specifications for SLT/CMT increases flexibility and agility. This is being rolled out across the Council.</p>	Yes

			One Council: One Team is a core CBC value which is considered during all Performance Development Reviews.	
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	Service plans all contain performance indicators.  The performance framework includes quarterly challenge at Finance and Performance Board and Overview and Performance Scrutiny. Annual Performance report to Cabinet.	Yes
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	Yes

			framework includes quarterly challenge at Finance and Performance Board and Overview and Performance Scrutiny. Annual Performance report to Cabinet.	
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
Informing medium and long term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy	Director of Finance and Resources/ Chief Accountant	<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</p> <p>There is a medium term financial plan that is reported to Members</p> <p>There is a Finance and Performance Board that meets every fortnight</p>	Yes

<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>	Director of Finance and 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 Finance and Resources	Budgeting guidance and protocols	Budget guidance and protocols are issued to all service managers. Well established budget preparation and review procedures Budget challenge sessions	Yes
Ensuring the medium term financial strategy sets the context for on-going decisions on significant delivery issues or responses to changes in	Director of Finance and Resources	Financial strategy	The financial strategy is regularly reviewed and updated as new external information emerges	Yes

<p>the external environment that may arise during the budgetary period in order for outcomes to be achieved while optimising resource usage</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</p>	<p>Part compliance – Condition surveys have been used to identify the capital and revenue budgets for some non- housing properties, the next set of properties is now being worked upon</p>



			<p>House.</p> <p>Housing has an agreed process for disposing of 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>	
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	SLT, CMT	Utilisation of research and benchmarking exercise	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	Yes

effectively and efficiently			<p>regard to those in place in other areas and reviewed each year by Cabinet.</p> <p>Sector led improvement activity including LGA peer challenge, East Midlands Performance Network and APSE.</p>	
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	Yes

			of deliverables. A new staff group has been set up to help deliver this.	
<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>	SLT, Democratic Services, Monitoring Officer	<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.</p> <p>The CE has regular meetings with the leader</p>	Yes
<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>	Monitoring Officer	<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</li> </ul>	<p>The Constitution is reviewed on an on-going basis</p> <p>Standing orders and financial regulations are reviewed periodically</p>	Yes

		which are reviewed on a regular basis		
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 services and other outputs set by members and each provides a check and a balance for each other's authority	Members, CE	Clear statement of respective roles and responsibilities and how they will be put into practice	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.	Yes
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	SLT, CMT, HR	<ul style="list-style-type: none"> <li>• Induction programme</li> <li>• Personal development plans for members and officers</li> </ul>	Training programme for managers – management modules on Aspire Learning Annual performance development reviews that identify training requirements Induction programme	Yes

<p>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 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</p>		<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> <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>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, standards. Officers undergo relevant CPD to ensure their professional skills and knowledge maintained and updated.</p> <p>Workforce Planning Strategy</p>	
--	--	--	--	--

both internal and external				
Ensuring that there are structures in place to encourage public participation	Assistant Director - Policy and Communications	<ul style="list-style-type: none"> <li>• Residents' panels</li> <li>• Stakeholder forum terms of reference</li> <li>• Strategic partnership frameworks</li> </ul>	<p>Communications and Engagement Strategy</p> <p>Annual Community Engagement Programme</p> <p>Stakeholder mapping</p> <p>Bespoke communication consultation and research plans</p>	Yes
Taking steps to consider the leadership's own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections	Democratic Services / 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> </ul>	<p>Member development Group includes learning and development programme</p> <p>Investors in people</p> <p>Employee survey Core brief</p>	Yes

		<ul style="list-style-type: none"> <li>• Peer reviews</li> </ul>		
Holding staff to account through regular performance reviews which take account of training or development needs	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 effectively</li> </ul>	<p>Annual PDRs and regular 1:1's. The PDR contains Objectives and Learning Plan that is completed.</p> <p>Learning and Development undertaken in the previous year is also reviewed.</p> <p>There are appropriate human resources policies in place.</p>	Yes
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/Health and Safety	Human resource / Health and Safety policies	<p>Managing workplace Stress policy</p> <p>Capability Policy</p> <p>Managing attendance Policy</p> <p>Mental Health awareness training day for managers.</p> <p>Training on various topics available on</p>	Part – A number of health and safety policies are out of date. See AGS action plan

			<p>Aspire Learning. OH clinics on a monthly basis. However, there are a number of health and safety policies that are out of date and require review. There is a health and safety recovery plan in operation.</p>	
--	--	--	--	--



<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. All committee reports include a risk section</p>	<p>Yes</p>
<p>Implementing robust and integrated risk management arrangements and ensuring that they are working</p>	<p>Director of Finance and Resources</p>	<p>Risk management strategy/ policy formally approved and adopted and reviewed</p>	<p>There is a risk management strategy in place that is reviewed every year.</p>	<p>Yes</p>

effectively		and updated on a regular basis	There is a Corporate risk register and service risk registers There is a risk management Group that meets on a quarterly basis.	
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</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>	Yes

		distributing timely reports that are adhered to		
Making decisions based on relevant, clear objective analysis and advice pointing out the implications and risks inherent in the organisation's financial, social and environmental position and outlook	Member, SLT, CMT	<ul style="list-style-type: none"> <li>• Discussion between members and officers on the information needs of members to support decision making</li> <li>• Publication of agendas and minutes of meetings</li> <li>• Agreement on the information that will be needed and timescales</li> </ul>	<p>All committee reports 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>	Yes
Ensuring an effective scrutiny or oversight function is in place which encourages	Monitoring Officer, Assistant Director - Policy	<ul style="list-style-type: none"> <li>• The role and responsibility for scrutiny has</li> </ul>	Scrutiny Roles and Responsibilities are defined in the	Yes

<p>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 constructive challenge and debate on policies and objectives to support balanced and effective decision making</p>	<p>and Communications Democratic and Scrutiny Officer.</p>	<p>been established and is clear</p> <ul style="list-style-type: none"> <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 members</li> <li>• Membership</li> </ul>	<p>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 reports and recommendations which advise Cabinet, the Council or relevant Committees on Policies, budget and service delivery.</p>	
<p>Providing members and senior management with regular reports on service delivery plans and on progress towards outcome achievement</p>	<p>CMT</p>	<p>Calendar of dates for submitting, publishing and distributing timely reports that are adhered to</p>	<p>A full Committee calendar is published at the start of each financial year</p>	<p>Yes</p>

<p>Ensuring there is consistency between specification stages (such as budgets) and post implementation reporting (eg. financial statements )</p>	<p>Director of Finance and Resources</p>	<ul style="list-style-type: none"> <li>• Financial standards, guidance</li> <li>• Financial regulations and standing orders</li> </ul>	<p>Financial Standards and guidance are adhered to. The accounts were audited by KPMG and Mazars from 2018/19. Financial Regulations and Standing orders are within the Constitution</p>	<p>Yes</p>
<p><b>Robust internal control</b> Aligning the risk management strategy and policies on internal control with achieving the objectives</p>	<p>Internal Audit Consortium Manager</p>	<ul style="list-style-type: none"> <li>• Risk management strategy</li> <li>• Audit plan</li> <li>• Audit reports</li> </ul>	<p>The audit plan takes in to account high risk areas and areas that are included in the corporate and service risk registers</p>	<p>Yes</p>
<p>Evaluating and monitoring the authority's risk management and internal control on a regular basis</p>	<p>Standards and Audit Committee, Internal Audit Consortium Manager</p>	<p>Risk management strategy/ policy has been formally approved and adopted and is reviewed and updated on a regular basis</p>	<p>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</p>	<p>Yes</p>

			arrangements	
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 2018). All managers received fraud awareness training in September 2016	Yes
Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor	Director of Finance and Resources, Standards and Audit Committee	<ul style="list-style-type: none"> <li>• Annual governance statement</li> <li>• Effective internal audit service is resourced and maintained</li> </ul>	The Internal Audit Consortium Manager is heavily involved in 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.	Yes

<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 appointment in May 16 and new appointees receive relevant training. The Standards and Audit Committee undertook a self -assessment on the CIPFA audit committees</p>	<p>Yes</p>
--	--------------------------------------	--	---	------------

			Practical Guidance for Local Authorities and Police 2018 edition and concluded that the Committee complies with best practice.	
<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>	<p>Customers, Commissioning and Change Manager</p>	<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>There is a data asset register</p> <p>There is a designated Data Protection Officer</p> <p>The Council's IT and Data Protection Policies have recently been refreshed</p> <p>The GDPR action plan has been completed. The Council has an information assurance risk register in place which details the</p>	<p>Yes</p>



			mitigating actions and steps we are taking to address issues identified and this is being monitored quarterly via CMT/SLT	
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 agreements have been reviewed and updated where appropriate for GDPR. Processes are in place preventing new contracts being taken out without the appropriate data sharing agreement in place or approval to progress has been provided by the Council's SIRO.	Yes
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	Yes

			Service plans are in place.	
<p><b>Strong public financial management</b> Ensuring financial management supports both long term achievement of outcomes and short-term financial and operational performance</p>	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 Managers. Finance and Performance Board Savings Strategy	Yes

<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 approved Communications and Engagement strategy</p> <p>The website has been developed</p> <p>The council newspaper “Your Chesterfield” which incorporates Our Homes for council tenants is sent out 4 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>Social media is used to report on council meetings in live time.</p> <p>The style of committee reports is specified to ensure ease of reading and consistency</p>	
<p><b>Implementing good practices in reporting</b> Reporting at least annually on performance, value for money and the stewardship of its resources</p>	SLT	<ul style="list-style-type: none"> <li>• Formal annual report which includes key points raised by external scrutineers and service users' feedback on service delivery</li> <li>• Annual financial statements</li> </ul>	<p>The annual update on the council plan includes a section on performance in the previous year</p> <p>The annual financial statement for 2017/18 were signed off by the required date</p>	Yes
Ensuring members and senior management own the results	Members, SLT	Appropriate approvals	The Corporate Management Team are all involved in monitoring progress against the council plan which is reported to members	Yes

<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 the Head of Internal Audit.  An external review in October 2016 confirmed that internal audit is compliant with PSIAS. An annual internal self-assessment of internal audit also confirms compliance.</p>	<p>Yes</p>
--	--	--	--	------------

<p>Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations</p>	<p>SLT</p>	<p>Recommendations have informed positive improvement</p>	<p>Achieved Investors in people silver status in 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 – CBC is fully engaged with the Derbyshire Safeguarding boards including the district sub group which challenge and share best practice amongst district authorities.</p>	<p>Yes</p>
<p>Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in</p>	<p>SLT , Internal Audit Consortium Manager</p>	<p>Annual governance statement</p>	<p>Internal audit review the areas that are delivered by Arvato and Kier and any significant internal</p>	<p>Yes</p>

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

SLT = Senior Leadership Team

CMT = Corporate Management Team