

## Chesterfield Borough Council

### Local Code of Corporate Governance – 2020/21 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 and behaviours and actions that demonstrate good governance in practice</b>	<p style="text-align: center;"><b>In place at CBC</b></p>
<p><b>Behaving with integrity</b></p> <p>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>	<p>Member and Officers Codes of Conduct are within the Constitution.</p> <p>Complaints procedures in place. Councillor complaints assessed in accordance with the council procedure.</p> <p>All new staff follow an induction process with their line manager and are required</p>

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	<p>to complete various online 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>Specific amendments to the Constitution, guidance and training have enabled virtual meetings to take place during 2020/21 because of Covid-19.</p> <p>The Council is strongly working towards all staff having annual performance appraisals, mid- year review and 1:1's. Mid- year reviews were cancelled due to COVID – 19 however managers are expected to maintain regular contact with staff whilst working from home.</p>
<p>Ensuring members take the lead in establishing specific standard operating principles or values for the organisation and its staff and that they are communicated and understood. These should build on the Seven Principles of Public Life (the Nolan Principles)</p>	<p>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, CLT, service managers meetings, managers weekly bulletins, team meetings and the aspire intranet.</p>

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<p>Leading by example and using these standard operating principles or values as a framework for decision making and other actions</p>	<p>Decision making is set out in the Constitution  Declarations of interest are asked for at the start of every Committee meeting.  There is a Members Code of Conduct and protocols on Members/Officer relations and an Employee Code.  There is an Audit and Standards Committee to consider these issues.  Changes to the Standards system were examined following the publication of A Review of the Committee on the Standards in Public Life.</p>
<p>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</p>	<p>The Anti-Fraud Bribery and Corruption policy was reviewed and approved by the Standards and Audit Committee in September 2018 and was advertised to staff on the intranet. The policy is currently in the process of being reviewed and updated. Anti – fraud training was provided to officers and Members in September 2016. There is also a fraud and corruption training module on Aspire Learning.</p> <p>Members and staff are expected to declare business interests every 6 months. The process is currently under review.</p> <p>There is a current register of gifts and hospitality that Support Services update every 6 months. The way this information is kept and updated is being reviewed following internal audit recommendations.</p> <p>The Council has a current Confidential Reporting Code (Whistleblowing Policy) in place which is on the intranet and the Council’s website.</p>

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	<p>The Council keeps a record of complaints and how they are dealt with 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> <p>All members and senior officers are required to sign a declaration of related party interests on an annual basis.</p>
<p><b>Demonstrating strong commitment to ethical values</b> Seeking to establish, monitor and maintain the organisation's ethical standards and performance</p>	<p>There are 3 Scrutiny Committees: -</p> <ul style="list-style-type: none"> <li>1) Overview and Performance Scrutiny Forum</li> <li>2) Enterprise and Wellbeing Scrutiny Committee</li> <li>3) Community, Customer and Organisational Scrutiny Committee</li> </ul> <p>An annual Scrutiny report goes to Full Council.</p>
<p>Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the organisation's culture and operation</p>	<p>Members receive training on ethical standards which is repeated as necessary. Regulatory Committees have a mandatory training requirement. Specific training given for virtual meetings during Covid-19.</p> <p>All staff and elected members receive a comprehensive induction which covers</p>

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	<p>behaviour and ethical values.</p> <p>Training is also available to both members and officers on specific equality and diversity issues.</p> <p>The Council has established core values which are publicised widely to staff and members and re-enforced during the Performance Development Review process.</p>
Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values	<p>An employee's commitment to the Council's values are assessed at performance development reviews.</p> <p>The Council has the following policies in place: -</p> <ul style="list-style-type: none"> <li>Anti- harassment and bullying policy</li> <li>Anti- Fraud, Bribery and corruption policy</li> <li>Codes of Conduct</li> <li>Equality, diversity and social inclusion policy</li> <li>Recruitment Policy</li> </ul> <p>A Procurement Strategy has recently been adopted.</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>There is a partnership guidance/protocol in place. This includes arrangements for considering partnership arrangements including concerns and resource requests at the Finance and Performance Board.</p>

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<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>	<p>Legal Services Protocols Constitution Standards and Audit Committee - the legal duty to promote and maintain standards are vested in the Standards and Audit Committee Procedures in place and training to ensure e.g. planning decisions properly made.</p>
<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>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 Service Director - Finance is the nominated section 151 Officer (currently recruiting for a finance service lead) and there is also a nominated Deputy. CIPFA'S statement on the role of the Chief Financial Officer is complied with.</p> <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>

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Striving to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders	<p>Constitution is underpinned by legal references Committee minutes and reports</p> <p>Constitution reviewed and updated as necessary and is subject to regular review, with amendments approved by Standards and Audit committee/Full Council (as appropriate). Special emergency delegations and arrangements for virtual meetings put in place with approval of Standards and Audit Committee during Covid-19.</p>
Dealing with breaches of legal and regulatory provisions effectively	The Council has a Monitoring Officer and team to deal with legal breaches. The Monitoring Officer has oversight of governance at the Council and a Deputy Monitoring Officer (in whom vests the legal function in the absence of the Monitoring Officer).
Ensuring corruption and misuse of power are dealt with effectively	The Anti-Fraud Bribery and Corruption Policy was approved by the Standards and Audit Committee September 2018.
<b>Principle B</b>	<p><b>Ensuring openness and comprehensive stakeholder engagement</b></p> <p>Local government is run for the public good, organisations therefore should ensure openness in their activities. Clear, trusted channels of communication and consultation should be used to engage effectively with all groups of stakeholders, such as individual citizens and service users, as well as institutional stakeholders.</p>
<p><b>Openness</b></p> <p>Ensuring an open culture through demonstrating, documenting and communicating the organisation's</p>	<p>There is not a specific annual report published but there are other means of communication: -</p> <ul style="list-style-type: none"> <li>• Annual financial statements</li> <li>• Council Plan</li> </ul>

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commitment to openness	<ul style="list-style-type: none"> <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 (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.</li> <li>• FOI Publication Scheme</li> <li>• Council Tax information is on the website</li> </ul>
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>All reports are “open” agenda items unless there is a valid reason to exclude the public.</p> <p>All decisions by Committees are minuted.</p>
Providing clear reasoning and evidence for decisions in both public records and explanations to stakeholders and being explicit about	<p>Decision making is 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>



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the criteria, rationale and considerations used. In due course, ensuring that the impact and consequences of those decisions are clear	<p>Officers reports are all retained with the Committee agendas and papers. Officer recommendations are included in Committee reports.</p> <p>Members can request whatever information they need.</p> <p>All Committees have adopted Terms of Reference and have scheduled meetings during the year.</p> <p>An annual meeting timetable is published.</p>
Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/ courses of action	<p>There is a Communications and Engagements Strategy which includes an annual action plan.</p> <p>Housing have a Customer Engagement Strategy as required by the HCA and provide a variety of opportunities for tenants to be involved in and shape service delivery including a Tenant Challenge” Scrutiny” Panel.</p>
<b>Engaging comprehensively with institutional stakeholders</b> Effectively engaging with institutional stakeholders to ensure that the	<p>There is an approved internal and external Communication and Engagement Strategy in place.</p> <p>Senior Leadership Team has defined relationship leads.</p>

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purpose, objectives and intended outcomes for each stakeholder relationship are clear so that outcomes are achieved successfully and sustainably	
Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively	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.
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	Housing's Tenant Challenge Panel (Scrutiny equivalent) has a clear set of Terms of Reference and Code of Conduct for Members.  A partnership guidance/protocol has been developed. This includes arrangements for considering partnership arrangements including concerns and resource requests at the Finance and Performance Board.
<b>Engaging stakeholders effectively, including individual citizens and service users</b> Establishing a clear policy on the type of issues that the organisation will	There is a Communications and Engagement Strategy that includes an annual action plan. Consideration in decision reports Equality impact assessments take place

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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.	
Ensuring that communication methods are effective and that members and officers are clear about their roles with regard to community engagement	<p>There is an approved Communications and Engagement Strategy in place.</p> <p>Community Engagement Group.</p> <p>Derbyshire wide engagement group to share best practice and develop joint approaches where applicable.</p>
Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs	<p>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.</p>

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	Stakeholder mapping. Bespoke communication consultation and research plans developed.
Implementing effective feedback mechanisms in order to demonstrate how their views have been taken into account	<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> <p>Alternative Covid-19 secure consultation routes developed during the pandemic to enable key consultation activity to continue.</p>
Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity	<p>Forms part of the decision-making report template.</p> <p>Equality Impact Assessments.</p>

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Taking account of the interests of future generations of tax payers and service users	<p>Annual State of the Borough Report and briefing notes on emerging issues.</p> <p>Horizon scanning activity with Corporate Cabinet/CLT at development days Review of the Council Plan.</p> <p>Supporting the Office of National Statistics to deliver the 2021 Census with a commitment to feed in key demographic data into decision making and service delivery – via the State of the Borough report updates and briefings.</p>
<b>Principle C</b>	<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></p> <p>Having a clear vision which is an agreed formal statement of the organisation's purpose and intended outcomes containing appropriate</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>

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performance indicators, which provides the basis for the organisation's overall strategy, planning and other decisions	
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>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 Council Plan 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	<p>The Council Plan is aligned to the medium-term financial plan (2019 – 2023) and is refreshed each year based on the affordability of each of the priorities.</p> <p>The Council's financial arrangements have been assessed against the CIPFA Financial Management Code and been found to be compliant.</p>
Identifying and managing risks to the achievement of outcomes	<p>The performance framework includes quarterly challenge at the Finance and Performance Board and Overview and Performance Scrutiny.</p> <p>Annual performance report to Cabinet.</p> <p>The risk management group meets on a quarterly basis and reviews the strategic risk register and the service risk registers on a rotational basis.</p>

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	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	Communications and Engagement strategy. Service plans include performance targets. Budgeting/service reviews/forward planning.
<b>Sustainable economic, social and environmental benefits</b> Considering and balancing the combined economic, social and environmental impact of policies, plans and decisions when taking decisions about service provision	The Council's property portfolio is constantly under review. The aim is to dispose of a number of assets to release funds for capital projects.  The capital programme is approved by Members each year. Officers have to submit capital bids.  There is a treasury management strategy that is reviewed and approved on an annual basis.
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	Meetings with Cabinet Member for Governance on constitution review and effective decision making. Scrutiny interest in these matters.  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).  All committee meetings are minuted and the associated reports retained.

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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>Communications and Engagement Strategy Annual action plans</p> <p>State of the Borough Report. Modgov system to access decision making papers and records.</p>
Ensuring fair access to services	<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>
<b>Principle D</b>	<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>



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<b>Determining interventions</b> Ensuring decision makers receive objective and rigorous analysis of a variety of options indicating how intended outcomes would be achieved and including the risks associated with those options. Therefore ensuring best value is achieved however services are provided	Member/officer decision making protocols in place.  All Committee reports contain various options and an officer recommendation. All committee reports contain a risk analysis.
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	There is a medium- term financial strategy in place and a savings plan both of which are regularly reviewed.  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,	Schedule of meetings in place Annual budgets and revised budgets Council Plan reviewed annually Forward Plan

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priorities and targets	
Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered	<p>The Council has adopted a Communications and Engagement Strategy and develops annual action plans.</p> <p>Feedback given on consultation via the CBC website, social media, public meetings, and Your Chesterfield/ Our Homes where appropriate</p> <p>Managers weekly bulletin</p> <p>Elected members e-bulletin</p> <p>Aspire intranet for staff and members</p>
Considering and monitoring risks facing each partner when working collaboratively including shared risks	<p>There is a risk management strategy in place that is refreshed every year.</p> <p>There is a risk management group</p>
Ensuring arrangements are flexible and agile so that the mechanisms for delivering outputs can be adapted to changing circumstances	<p>Corporate Leadership 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/CLT 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</p>

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	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	<p>Service plans all contain performance indicators.</p> <p>The performance framework includes quarterly challenge at Finance and Performance Board and Overview and Performance Scrutiny. Annual update on progress against the Council Plan.</p>
Ensuring capacity exists to generate the information required to review service quality regularly	The performance 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	<p>Accountancy has regular budget meetings with service managers.</p> <p>Budgets prepared in liaison with service managers taking in to account service plans and savings targets.</p>
Informing medium and long term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at	<p>Budget guidance protocols issued to all managers.</p> <p>There is a medium- term financial plan that is reported to Members on a quarterly basis.</p> <p>There is a Finance and Performance Board that meets every 3 weeks.</p>

<b>Sub-principles and behaviours and actions that demonstrate good governance in practice</b>	<b>In place at CBC</b>
developing a sustainable funding strategy	
<b>Optimising achievement of intended outcomes</b> Ensuring the medium term financial strategy integrates and balances service priorities, affordability and other resource constraints	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.
Ensuring the budgeting process is all-inclusive, taking into account the full cost of operations over the medium and longer term	Budget guidance and protocols are issued to all service managers. Well established budget preparation and review procedures. Medium term financial plan covers the current year and future 5 years. Budget challenge sessions.
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	The financial strategy is regularly reviewed and updated as new external information emerges.

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optimising resource usage	
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>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>
<b>Principle E</b>	<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>

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<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>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 have been relocated so that more rental income can be achieved at Venture 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. There is a risk that there is insufficient funding to meet requirements.</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>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 peer challenge, East Midlands Performance Network and APSE.</p>

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Recognising the benefits of partnerships and collaborative working where added value can be achieved	The Council has many partnerships including the Internal Audit Consortium, a Building Control company, Joint Crematorium, Sheffield City Region and D2N2 LEP; these are monitored to ensure that the desired outcomes are obtained.
Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources	The Council has a People Plan 2019 - 23 that all managers have been made aware of.
<b>Developing the capability of the entity's leadership and other individuals</b> 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	Every post has a job description and person specification. The CE has regular meetings with the leader.
Publishing a statement that specifies the types of decisions that are delegated and those reserved for the	The Constitution is reviewed on an on-going basis.  Standing Orders and Financial Regulations are reviewed periodically with special

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collective decision making of the governing body	standing orders put in place for virtual meetings during Covid-19.
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	<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>A new Corporate Leadership Team Structure came in to force from December 2020.</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	<p>Training programme for managers – management modules on Aspire Learning Annual performance development reviews that identify training requirements Induction programme.</p> <p>IIP accreditation – going for gold delayed by COVID-19 but due to take place during 2021/22.</p> <p>.</p> <p>Specific series of training provided for remote leadership and management during</p>



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<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</p>	<p>Covid-19.</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. Specific training given for virtual meetings during Covid-19.</p> <p>People Plan 2019 – 23</p> <p>Officers encouraged to undertake continuous professional development</p> <p>Aspire Learning – additional COVID 19 modules</p>

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lessons learnt from governance weaknesses both internal and external	
Ensuring that there are structures in place to encourage public participation	<p>Communications and Engagement Strategy.</p> <p>Annual Community Engagement Programme.</p> <p>Stakeholder mapping.</p> <p>Bespoke communication consultation and research plans.</p>
Taking steps to consider the leadership's own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections	<p>Member development group includes learning and development programme.</p> <p>Investors in people.</p> <p>Employee survey.</p> <p>Peer review planned (cancelled due to COVID-19, re-arranged for June 2021 but could be changed due to further restrictions).</p>
Holding staff to account through regular performance reviews which	Annual PDRs and regular 1:1's. The PDR contains Objectives and a Learning Plan is completed.

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take account of training or development needs	Learning and Development undertaken in the previous year is also reviewed. There are appropriate human resources policies in place.
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	Managing workplace Stress policy Capability Policy Managing attendance Policy Employee support programme – counselling and advice line Mental Health awareness training day for managers. Webinars for managers and staff to help mental health Training on various topics available on Aspire Learning. Referral to Occupational Health. Corporate Health & Safety Committee Additional risk assessments during COVID 19 Equipment e.g. chairs, desks, monitors supplied to Officers homes whilst working from home due to COVID 19.
<b>Principle F</b>	<b>Managing risks and performance through robust internal control and strong public financial management</b> 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. A strong system of financial management is essential for the implementation of

Sub-principles and behaviours and actions that demonstrate good governance in practice	In place at CBC
	<p>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>There is a risk management strategy in place that is reviewed every year. All committee reports include a risk section. All services have an operational risk register that is reviewed by the risk management group. There is a corporate risk register.</p>
<p>Implementing robust and integrated risk management arrangements and ensuring that they are working effectively</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. There is a risk management Group that meets on a quarterly basis. Internal audit review risk management arrangements on a regular basis.</p>
<p>Ensuring that responsibilities for managing individual risks are clearly allocated</p>	<p>The risk management strategy outlines everybody's responsibilities. Individual risk owners are identified on operational risk registers.</p>

Sub-principles and behaviours and actions that demonstrate good governance in practice	In place at CBC
<b>Managing performance</b> Monitoring service delivery effectively including planning, specification, execution and independent post implementation review	<p>All areas have a service plan and performance measures form part of that.</p> <p>Finance and Performance Board receives regular reports from each service to track delivery against financial targets.</p> <p>Performance Management Framework with quarterly reporting schedule.</p>
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	<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>
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	<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 reports and recommendations which advise Cabinet, the</p>

<b>Sub-principles and behaviours and actions that demonstrate good governance in practice</b>	<b>In place at CBC</b>
<p>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>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>A full Committee calendar is published at the start of each financial year.</p> <p>Progress against the objectives in the Council Plan are monitored regularly.</p>
<p>Ensuring there is consistency between specification stages (such as budgets) and post implementation reporting (eg. financial statements)</p>	<p>Financial Standards and guidance are adhered to. The accounts are audited by Mazars.</p> <p>Financial Regulations and Standing orders are within the Constitution.</p> <p>Variances between budget and outturn are reported to Cabinet on a quarterly basis.</p>
<p><b>Robust internal control</b> Aligning the risk management strategy</p>	<p>The audit plan takes in to account high risk areas and areas that are included in the corporate and service risk registers.</p>

<b>Sub-principles and behaviours and actions that demonstrate good governance in practice</b>	<b>In place at CBC</b>
and policies on internal control with achieving the objectives	
Evaluating and monitoring the authority's risk management and internal control 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.
Ensuring effective counter fraud and anti-corruption arrangements are in place	There is an anti-fraud Bribery and Corruption policy in place (revised September 2018). This policy is in the process of being reviewed. All managers received fraud awareness training in September 2016.
Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor	The Internal Audit Consortium Manager oversees the production of 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. A further review will be undertaken in 2021. The IAC Manager provides an annual audit opinion on the council's governance, risk and control processes.
Ensuring an audit committee or equivalent group or function which is independent of the executive and accountable to the governing body:	The Standards and 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.

<b>Sub-principles and behaviours and actions that demonstrate good governance in practice</b>	<b>In place at CBC</b>
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>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 19 and new appointees receive relevant training. The Standards and Audit Committee undertake self -assessments against the CIPFA audit committees Practical Guidance for Local Authorities and Police 2018 edition on a regular basis and in the main the Committee complies with best practice.</p>
<p><b>Managing data</b></p> <p>Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data</p>	<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>There are IT and Data Protection Policies in place.</p> <p>The Council has an information assurance risk register in place which details the mitigating actions and steps we are taking to address issues identified.</p>
Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies	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



<b>Sub-principles and behaviours and actions that demonstrate good governance in practice</b>	<b>In place at CBC</b>
	provided by the Council's SIRO.
Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring	Methodology checks for data e.g. consultation activity, State of the Borough report. Performance Management Framework Service plans are in place.
<b>Strong public financial management</b> Ensuring financial management supports both long term achievement of outcomes and short-term financial and operational performance	Medium term financial plan in place. Finance and Performance Board. Quarterly monitoring reports to Cabinet / Council.
Ensuring well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls	Managers receive monthly budget monitoring reports. Regular reporting to Members. Finance and Performance Board. Progress in achieving savings action plan reported to SLT monthly and members as part of the quarterly budget monitoring reports to Cabinet.
<b>Principle G</b>	<b>Implementing good practices in transparency, reporting, and audit to deliver</b>

Sub-principles and behaviours and actions that demonstrate good governance in practice	In place at CBC
	<p><b>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>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, Statement of Accounts and various social media channels.</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></p> <p>Reporting at least annually on performance, value for money and the</p>	<p>The annual update on the council plan includes a section on performance in the previous year.</p> <p>The annual financial statements for 2019/20 were signed off by the required date.</p>

<b>Sub-principles and behaviours and actions that demonstrate good governance in practice</b>	<b>In place at CBC</b>
stewardship of its resources	
Ensuring members and senior management own the results	The Corporate Leadership Team are all involved in monitoring progress against the council plan which is reported to members.
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)	The annual governance statement is produced via a robust process that involves all of the Corporate Leadership Team. Attainment against the framework is assessed. Each year an action plan is produced and monitored to address identified weaknesses.
Ensuring that the Framework is applied to jointly managed or shared service organisations as appropriate	The framework applies to jointly managed and shared service organisations.
Ensuring the performance information that accompanies the financial statements is prepared on a consistent and timely basis and the statements	The financial statements are reviewed and signed off by external audit (Mazars) which confirms that they comply with best practice.

<b>Sub-principles and behaviours and actions that demonstrate good governance in practice</b>	<b>In place at CBC</b>
allow for comparison with other similar organisations	
<p><b>Assurance and effective accountability</b></p> <p>Ensuring that recommendations for corrective action made by external audit are acted upon</p> <p>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>The implementation of internal audit recommendations is monitored by CLT and the Standards and Audit Committee.</p> <p>The Internal Audit Consortium Manager is CIPFA qualified and complies with the statement on the role of the Head of Internal Audit.</p> <p>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>
Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations	<p>Achieved Investors in people silver status in 2018 – going for gold in 2021.</p> <p>External review of Internal audit undertaken October 2016 and a further review scheduled for May 2021.</p> <p>Effective risk management procedures in place.</p>

<b>Sub-principles and behaviours and actions that demonstrate good governance in practice</b>	<b>In place at CBC</b>
	<p>Safeguarding – CBC is fully engaged with the Derbyshire Safeguarding boards including the district subgroup which challenge and share best practice amongst district authorities. There is mandatory safeguarding training for all officers.</p> <p>A peer challenge review was to take place in March 20 (cancelled due to COVID-19, to be re arranged).</p>
<p>Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement</p>	<p>Internal audit review the areas that are delivered through third parties.</p>
<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>Communications and Engagement Strategy.</p> <p>Decision making arrangements – committee management and Modgov.</p>