

Chesterfield Borough Council Local Code of Corporate Governance – 2013/14 Review

Principle 1	Focusing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area.
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Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
Supporting Principle 1.1 – Exercising strategic leadership by developing and clearly communicating the authority’s purpose and vision and its intended outcome for citizens and service users.					
1.1.1	Develop and promote the authority’s purpose and vision	CE / H o S/ Executive Members	<ul style="list-style-type: none"> • Vision used as a basis for corporate and service planning • Community engagement and involvement • Communication strategy in respect of corporate objectives has been developed, approved and implemented. 	<ul style="list-style-type: none"> • Great Place: Great Service was launched to all staff in November 2013. All staff have been invited to join working parties in respect of the key areas the Council wants to focus on. • Corporate Plan and Vision statement updated January 2013 and again January 2014 (approved by Council 27 February 2014), cascaded down through the Performance Management System, managers breakfast seminars and team meetings. • A Peer Challenge review took place in Nov 13 • Service Plans, monthly 	Yes

Appendix 1

Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
				performance clinics and regular EPD's	
1.1.2	Review on a regular basis the authority's vision for the local area and its implications for the authority's governance arrangements	CE / H o S / Executive Members	Record the review of: <ul style="list-style-type: none"> The authority's vision The governance code 	<ul style="list-style-type: none"> A new operating model for the council is also being developed by CMT. Corporate Plan is refreshed annually (latest February 2014). The Code is formally reviewed on an annual basis as part of the process of preparing the Annual Governance Statement 	Yes
1.1.3	Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all partners	CE / Head of Business Transformation	<ul style="list-style-type: none"> Partnership protocol including an agreement on the role and scope of each partner's contribution. Strategic partnership priorities Partnership arrangements 	<ul style="list-style-type: none"> The Community Safety Partnership, Joint Board, Derbyshire Health and Wellbeing Board and Waterside are all examples of Partnerships supporting Council Priorities There is a partnership strategy but this is due for review 	Yes
1.1.4	Publish an annual report on a timely basis to communicate the authority's activities and achievements, its financial position	CE / Head of Business Transformation	<ul style="list-style-type: none"> Formal annual report which includes key points raised by external scrutineers 	<ul style="list-style-type: none"> Annual Financial Statements published on website. Regular reporting / 	Partial

Appendix 1

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	and performance		<ul style="list-style-type: none"> • and service users' feedback on service delivery • Annual financial statements 	<ul style="list-style-type: none"> • monitoring of Corporate Plan and Performance Targets. • In addition to this a council "newspaper" Your Chesterfield is circulated to residents 3 times a year with stories based around updates on progress with corporate priorities. 	
Supporting Principle 1.2 – Ensure that users receive a high quality of service whether directly, or in partnership, or by commissioning.					
1.2.1	Decide how the quality of service for users is to be measured and make sure that the information needed to review service quality effectively and regularly is available	Head of Business Transformation	<ul style="list-style-type: none"> • An agreed set of quality standard measures for each service element and included in service plans. • Evidence that views of service users and non-users have been received. • Evidence that views have been taken into account in service planning and delivery 	<ul style="list-style-type: none"> • Vision and Objectives • Service Plans • Periodic surveys through Citizens Panel • Place Survey • Performance Clinics • Corporate Plan performance indicators • Service Specific Surveys • Quality assurance audits are undertaken in some service areas. 	Yes
1.2.2	Put in place effective arrangements to identify and deal with failure in service delivery.	CE / HoS Supported by Arvato	<ul style="list-style-type: none"> • Regular reports on the progress of service delivery • Performance trends are established and reported 	<ul style="list-style-type: none"> • Customer Services Charter in place. • Complaints, Compliments and Comments system 	Yes

Appendix 1

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			<p>upon</p> <ul style="list-style-type: none"> • Formal complaints policy and procedures exist and are operating effectively • Evidence that complaints have informed positive service improvement 	<p>operating.</p> <ul style="list-style-type: none"> • Corrective actions within (QA) Quality Assurance procedures. • Customer Service Strategy adopted by Council 14/12/11. • Heads of Service reporting on service performance at Performance Clinics • Regular reports summarising comments and complaints submitted to Corporate Management Team. 	
<p>Supporting Principle 1.3 – Ensuring that the authority makes best use of resources and that tax payers and service users receive excellent value for money.</p>					
1.3.1	<p>Decide how value for money is to be measured and make sure that the authority or partnership has the information needed to review value for money and performance effectively. Measure the environmental impact of policies, plans and decisions.</p>	<p>Head of Business Transformation</p>	<ul style="list-style-type: none"> • Clear corporate requirement and instruction on how to measure VFM • Corporate procurement policy and strategy • Comparison of information on the authority's economy, efficiency and effectiveness of services with that provided by 	<ul style="list-style-type: none"> • All employees to undertake lean training some of which has started in 2013/14. • A benefits optimisation tool has been developed by the Business Transformation service and this will help in the preparation of a programme of lean reviews. Target date June 	<p>Yes</p>

Appendix 1

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			<p>similar organisations</p> <ul style="list-style-type: none"> • Evidence that the results are reflected in the authority's performance plans and in reviewing the work of the authority. 	<p>2014.</p> <ul style="list-style-type: none"> • Value for Money included as part of Performance Clinics • EMAS (Eco Management and Audit Scheme) • Commenced 'Lean' reviews in some areas. • Undertake benchmarking of services. • Revised Business Transformation Strategy approved in 2012. • Are you being served survey undertaken every 2 years which includes a measure on their perception of VFM. • Benchmarking clubs used e.g Housemark for Housing 	

Appendix 1

Principle 2	Members and officers working together to achieve a common purpose with clearly defined functions and roles
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Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
Supporting Principle 2.1 – Ensuring effective leadership throughout the authority and being clear about executive and non executive functions and the roles and responsibilities of the scrutiny function.					
2.1.1	<p>Set out a clear statement of the respective roles and responsibilities of the executive and of the executive’s members individually and the authority’s approach towards putting this into practice.</p> <p>Set out a clear statement of the respective roles and responsibilities of other authority members, members generally and senior officers.</p>	Head of Governance	<ul style="list-style-type: none"> • Publish job descriptions for the leader of the authority and chief executive • Member / officer protocol • Constitution 	<ul style="list-style-type: none"> • Constitution revised to reflect revised management structure and revisions necessary as a result of the Public Private Partnership. • Constitution Part 3 allocates responsibilities amongst executive members and of the executive as a whole. Each officer report identifies which executive member(s) portfolio(s) the content of the report comes under. The decision is then made individually (by the executive member) or collectively according to the rules in Part 3. Where a function is for an individual member to carry out, he or she may 	Yes

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				<p>at her discretion refer a decision up for collective decision by the executive.</p> <ul style="list-style-type: none"> • Role Profiles for Council Members agreed by Council 14/12/11. • Code of conduct and advice on its use, Planning and licensing Codes of Conduct • Terms of reference of non-executive committees and bodies • Member/Officer protocol: • Management Code (for senior officers) 	
<p>Supporting Principle 2.2 – Ensuring that a constructive working relationship exists between elected members and officers and that the responsibilities of authority members and officers are carried out to a high standard.</p>					
2.2.1	<p>Determine a scheme of delegation and reserve powers within the constitution, including a formal schedule of those matters specifically reserved for collective decision of the authority, taking account of relevant legislation, and ensure that it is monitored and updated when required.</p>	<p>Head of Governance</p>	<ul style="list-style-type: none"> • Scheme of delegation reviewed at least annually in the light of legal and organisational changes • Standing orders and financial regulations which are reviewed on a regular basis 	<ul style="list-style-type: none"> • Constitution Part 3 allocates responsibilities amongst executive members and of the executive as a whole. Each officer report identifies which executive member(s) portfolio(s) the content of the report comes under. The decision is then made 	<p>Yes</p>

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				<p>individually (by the executive member) or collectively according to the rules in Part 3. Where a function is for an individual member to carry out, he or she may at her discretion refer a decision up for collective decision by the executive.</p> <ul style="list-style-type: none"> • The constitution provides for reserve powers in various contexts. • Also in the Constitution are the terms of reference of non-executive committees and other council bodies. • The constitution shows legal references, and is monitored and updated on a continuous basis, as Cabinet and other minutes will show. 	
2..2.2	Make a chief executive or equivalent responsible and accountable to the authority for all aspects of operational management.	Leader / Executive Members	<ul style="list-style-type: none"> • Statutory provisions • Conditions of employment • Up-to-date job description / specification • Appraisal arrangements 	<ul style="list-style-type: none"> • The Chief Executive is the designated Head of Paid Service, with the statutory responsibility for the overall monitoring 	Yes

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			<ul style="list-style-type: none"> • Robust performance management system 	<p>and review of the council's staffing and operation. The performance management system ensures that the Chief Executive is monitored for performance in the delivery of political priorities, which are in turn monitored and measured across all staff.</p> <ul style="list-style-type: none"> • The Performance Management System is objectively assessed through IIP status 	
2..2.3	Develop protocols to ensure that the leader and chief executive negotiate their respective roles early in the relationship and that a shared understanding of roles and objectives is maintained.	CE / Leader / Executive Members	<ul style="list-style-type: none"> • Job descriptions • New chief executive and leader pairing consider how best to establish and maintain effective communication 	<ul style="list-style-type: none"> • From May 2011, the new Leader of the Council and the Chief Executive agreed to appoint East Midlands Councils to conduct a facilitated annual performance appraisal for the Chief Executive. The most recent annual performance appraisal meeting took place on 11 June 2013. At the meeting the Leader of 	Yes

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				<p>the Council and CE reviewed the latter's performance in the financial year 2012/13, discussed their respective roles and relationship, and considered the challenges and opportunities that the Council faces in the short and medium-term. The CE's priority work activities for the financial year 2013/14 were also discussed and agreed. Additional to the annual meeting, the Leader of the Council and the CE hold regular review meetings through the financial year to monitor and discuss progress on the CE's agreed work priorities.</p>	
2.2.4	<p>Make a senior officer (the S151 officer) responsible to the authority for ensuring that appropriate advice is given on all financial matters, for keeping proper</p>	<p>CE / Leader / Executive Members</p>	<ul style="list-style-type: none"> • Section 151 responsibilities • Statutory provision • Up-to-date job description / specification • The authority has complied 	<ul style="list-style-type: none"> • The section 151 officer is appointed and his role is clear and transparent. He has appointed a Deputy. He reports regularly to 	<p>Yes</p>

Appendix 1

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	financial records and accounts, and for maintaining an effective system of internal financial control.		<p>with the <i>CIPFA Statement on the Role of the Chief Financial Officer in Local Government</i> and has reported on it accordingly in its annual governance statement.</p> <ul style="list-style-type: none"> The authority has complied with the <i>CIPFA Statement on the Role of the Head of Internal Audit in Public Service Organisations</i> and has reported on it accordingly in its annual governance statement 	members and to relevant officers through regular diaried and minuted Financial Planning Group meetings. There is close liaison between the Head of the Internal Audit Consortium and the CFO.	
2.2.5	Make a senior officer (usually the monitoring officer) responsible to the authority for ensuring that agreed procedures are followed and that all applicable statutes and regulations are complied with.	CE / Leader / Executive Members	<ul style="list-style-type: none"> Monitoring officer provisions Statutory provision Up-to-date Job description / specification 	<ul style="list-style-type: none"> The legal services protocol sets detailed procedures for ensuring legal compliance and timely advice when needed. Our Constitution shows relevant legal infrastructure. Regular Corporate Management Team meetings. 	Yes
<p>Supporting Principle 2.3 – Ensuring relationships between the authority, its partners and the public are clear so that each know what to expect of the other.</p>					

Appendix 1

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2.3.1	Develop protocols to ensure effective communication between members and officers in their respective roles.	Head of Governance	<ul style="list-style-type: none"> • Member / Officer protocol 	<ul style="list-style-type: none"> • We have a member/officer protocol. There is regular communication with and involvement of key members for strategic issues. Formal Executive Member meetings (held in private) allow full communication between officers at all levels and executive members on forthcoming Cabinet reports. • The Council's culture encourages informal communication whenever needed. 	Yes
2.3.2	<p>Set out the terms and conditions for remuneration of members and officers and an effective structure for managing the process, including an effective remuneration panel.</p> <p>Ensure that effective mechanisms exist to monitor service delivery.</p>	<p>Members remuneration – Head of Governance</p> <p>Single status - Arvato / CBC Client Officer</p>	<ul style="list-style-type: none"> • Scheme for members remuneration and allowances • Robust pay and conditions policies and practices for employees • Structured pay scales reflecting competence • Established process for grading and appeals procedures 	<ul style="list-style-type: none"> • Job evaluation maintained. • As well as reporting of external inspections (including reviews of accreditations e.g. IIP), and customer surveys, there is integration of the performance monitoring system, Individual EPD's and Service Plans. 	Yes

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				<ul style="list-style-type: none"> • Role Profiles for all Member's roles agreed by Council 14/12/11 • An Independent Remuneration Panel Protocol agreed by Council 28/09/11 • Recommendations of the Independent Remuneration Panel's review of the members' allowances scheme agreed by Council 11/01/12. • Senior Pay Policy adopted by Council 24/04/13. 	
2.3.3	Ensure that effective mechanisms exist to monitor service delivery.	CE / H o S	<ul style="list-style-type: none"> • Key performance indicators have been established and approved for each service element and included in the service plan and are reported upon regularly • Reports include detailed performance results and highlight areas where corrective action is 	<ul style="list-style-type: none"> • Corporate Plan updated and published during 2013/14. • Performance clinics held with each Head of Service • Performance monitoring reports are presented to Cabinet twice a year. 	Yes

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			necessary		
2.3.4	Ensure that the organisation's vision, strategic plans, priorities and targets are developed through robust mechanisms, and in consultation with the local community and other key stakeholders, and that they are clearly articulated and disseminated	CE / H o S	<ul style="list-style-type: none"> • Business and financial planning processes established to deliver strategic objectives • Protocols for consultation • Statutory guidance is followed 	<ul style="list-style-type: none"> • The Corporate plan was approved at full Council on the 28th February 2013 and the revised plan for 2014/15 was approved on the 27th February 2014. • CBC has a full programme of Community Engagement activity as detailed in the Community Engagement Strategy and Plan. 	Yes
2..3.5	<p>When working in partnership ensure that members are clear about their roles and responsibilities both individually and collectively in relation to the partnership and to the authority.</p> <p>Ensure that there is clarity about the legal status of the partnership</p> <ul style="list-style-type: none"> • Ensure that representatives or organisations both understand 	CE / Head of Business Transformation	<p>Protocols for partnership working mean that for each partnership there is:</p> <ul style="list-style-type: none"> • a clear statement of the partnership principles and objectives • clarity of each partner's role within the partnership • definition of roles of 	<ul style="list-style-type: none"> • Key partnerships substantially satisfy these requirements. • Joint Board Constitution 	Yes

Appendix 1

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	and make clear to all other partners the extent of their authority to bind their organisation to partner decisions.		<p>partnership board members</p> <ul style="list-style-type: none"> • line management responsibilities for staff who support the partnership • a statement of funding sources for joint projects and clear accountability for proper financial administration • a protocol for dispute resolution within the partnership 		

Appendix 1

Principle 3	Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour.
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Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
Supporting Principle 3.1 – Ensuring authority members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance					
3.1.1	Ensure that the authority's leadership sets a tone for the organisation by creating a climate of openness, support and respect	CE / H o S Supported by Arvato	<ul style="list-style-type: none"> • Codes of conduct, annual governance statement • Conduct at meetings 	<ul style="list-style-type: none"> • Management competency framework • Leader and Chief Executive "Open Door" sessions • Para. 11 of the protocol on member/officer Relations • IIP Accreditation and Review report 	Yes
3.1.2	Ensure that standards of conduct and personal behaviour expected of members and staff, of work between members and staff and between the authority, its partners and the community are defined and communicated through codes of conduct and protocols	Head of Governance / Arvato	<ul style="list-style-type: none"> • Members' / Officers' code of conduct which acknowledges professional bodies' codes of conduct • Performance appraisal • Complaints procedures • Anti Fraud and anti corruption policies are up to date and working effectively • Induction for new members and staff on standard of behaviour expected 	<ul style="list-style-type: none"> • Codes of Conduct are components of regular members' and employees' induction and other training courses. • The Constitution includes a Members Code of Conduct with the current version being effective from 1/07/12 – after the Localism Act changes to the Standards system took effect. 	Yes

Appendix 1

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				<ul style="list-style-type: none"> • Advice is regularly issued to members by the Monitoring officer/standards and audit committee. • The council supplements legal requirements with additional voluntary and non-statutory arrangements such as the register of gifts and hospitality offered to employees and the register of gifts refused by councillors. • The Council has an Anti Fraud, bribery and Corruption Strategy which was refreshed and approved by the Standards and Audit Committee on the 20th September 2013 	
3.1.3	Put in place arrangements to ensure that members and employees of the authority are not influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders and put in	Head of Governance	<ul style="list-style-type: none"> • Standing Orders, financial regulations and codes of conduct, all reviewed and updated on a regular basis • Register of Interests (members and staff) 	<ul style="list-style-type: none"> • The council supplements legal requirements (e.g. members' register of gifts and hospitality) with additional voluntary and non-statutory 	Yes

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	place appropriate processes to ensure that they continue to operate in practice		<ul style="list-style-type: none"> • Provision of ethical awareness training • Procedures for dealing with conflicts of interest • Up-to-date register of gifts and hospitality 	<p>arrangements such as the register of gifts and hospitality offered to employees and the register of gifts refused by councillors.</p> <ul style="list-style-type: none"> • As well as ad hoc advice to individual members, Monitoring officer and Standards and Audit Committee issue timely written guidance on salient conduct issues 	
Supporting Principle 3.2 – Ensuring that organisational values are put into practice and are effective					
3.2.1	Develop and maintain shared values including leadership values for both the organisation and staff reflecting public expectations and communicate these with members, staff, the community and partners	CE / H o S Supported by Arvato	<ul style="list-style-type: none"> • Codes of conduct • Evidence of communicating shared values with members, staff, the community and partners • Whistleblowing arrangements are in place and protect individuals raising concerns 	<ul style="list-style-type: none"> • Core values – in February 2014 the Council refreshed its core values. Staff have been consulted on these. The values have been presented in the Borough bulletin and posters are being produced. • Management competency framework • Vision / Corporate Plan • Protocols on Member / Officer relations. • Leadership Development Training Programme for 	Yes

Appendix 1

Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
				CMT <ul style="list-style-type: none"> • Joint Working Protocol • Joint Sustainable Community Strategy • IIP Review Report • Protocol on Service Reviews and TUPE Transfers agreed with local unions 	
3..2.2	Put in place arrangements to ensure that systems and processes are designed in conformity with appropriate ethical standards, and monitor their continuing effectiveness in practice.	Head of Governance	<ul style="list-style-type: none"> • Codes of Conduct 	<ul style="list-style-type: none"> • Independent Chair and Vice Chair of Standards and Audit committee • Effective reciprocal system for borrowing independent members / Monitoring Officer from neighbouring authority where necessary for panels and hearings. • From July 2012 the role of independent member and chair of standards (&audit) committee will be replaced, by an elected member. • Constitution and advice to members underpinned by ethical framework • Monitoring Officer/Deputy attend member and officer 	Yes

Appendix 1

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				meetings at all levels <ul style="list-style-type: none"> • Induction and refresher training on code of conduct for all members 	
3.2.3	Develop and maintain an effective standards committee	Head of Governance	<ul style="list-style-type: none"> • Terms of reference (Constitution) • Regular reporting to full council • Examples of responding to complaints about behaviour 	<ul style="list-style-type: none"> • See Standards Committee minutes. • Training of Standards and Audit Committee members. • Written advice on salient conduct issues sent to all members and put in Constitution 	Yes
3.2.4	Use the organisation's shared values to act as a guide for decision making and as a basis for developing positive and trusting relationships within the authority	Head of Governance & CE / H o S	<ul style="list-style-type: none"> • Decision-making practices • Evidence that shared values have guided the decision making 	<ul style="list-style-type: none"> • Core Values • Constitution Part 2 article 13 "Decision making" • Executive member meetings in preparation for cabinet decisions • Relevant portfolio holder introducing officers' reports at cabinet meetings • Extensive Delegation of appropriate decisions to officers (see Part 3 constitution and minutes) • Cabinet minutes recording gratitude to officers for 	Yes

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				specific projects <ul style="list-style-type: none"> • Joint workshops of Executive Members and Heads of Service to discuss major issues. 	
3.2.5	In pursuing the vision of a partnership, agree a set of values against which decision making and actions can be judged. Such values must be demonstrated by partners' behaviour both individually and collectively	CE / Head of Business Transformation	<ul style="list-style-type: none"> • Protocols for partnership working • Evidence of agreed values 	<ul style="list-style-type: none"> • There is a partnership strategy in place although this is due for review. • Relevant Minutes e.g. Joint Board • Service level agreements have been developed 	Yes

Appendix 1

Principle 4	Taking informed and transparent decisions which are subject to effective scrutiny and managing risk.
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Supporting Principle 4.1 – Being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny					
4.1.1	Develop and maintain an effective scrutiny function which encourages constructive challenge and enhances the authority's performance overall and that of any organisations for which it is responsible.	Head of Governance and Chairs Overview and Performance Scrutiny Forum & Scrutiny Committees Scrutiny Officer	<ul style="list-style-type: none"> • The role of and responsibility for scrutiny have been established • Agenda and minutes of scrutiny meetings • Evidence of improvements to proposals as a result of scrutiny • An effective internal audit function is resourced and maintained 	<ul style="list-style-type: none"> • Scrutiny Reports and reviews • The annual Scrutiny report was presented to Council 24/04/13. • Partnerships Protocol • Joint Scrutiny Ctte ToR • Derbyshire Scrutiny Liaison Group ToR • Constitution Part 2 - provides for wide participation of non-executive councillors in flexible and responsive review panel arrangements. • New Scrutiny arrangements agreed by Council 14/12/11. 	Yes
4.1.2	Develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based.	Head of Governance	<ul style="list-style-type: none"> • Decision – making protocols • Record of decisions and supporting materials • Record of professional advice in reaching decisions 	<ul style="list-style-type: none"> • Constitution - decision-making and access to information provisions. • Electronic committee management system for all formal decisions • Refreshed Report Writing Guide (2010) giving template for relevant decision making 	Yes

Appendix 1

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				considerations including risk management, equality impact assessment and value for money.	
4.1.3	Put in place arrangements to safeguard members and employees against conflicts of interest and put in place appropriate processes to ensure that they continue to operate in practice.	Head of Governance	<ul style="list-style-type: none"> • Members' and officers' code of conduct which refers to a requirement to declare interests • Minutes showing declarations of interest were sought and appropriate declarations made 	<ul style="list-style-type: none"> • Employees' Code of Conduct requires recording of gifts and hospitality offered and received. Records of these are monitored centrally. • Minutes will show employees' and councillors' declaration of private, personal and prejudicial interests, as advised generally in training and by ad hoc advice. • Constitution (e.g. Cabinet Procedure Rules) provide for members decision making to be transferred in case of confliction • Council Political Groups get initial written advice on likelihood of regular conflicts of interest (arising from a councillor's outside activities), before committee seats are allocated by groups. This advice is refreshed. • Constitution lists specific restrictions on members, apart from the code of conduct (e.g. 	Yes

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				insider dealing, council tax arrears). <ul style="list-style-type: none"> • Committee constitutions reference have statutory and non-statutory exclusions designed to minimise conflict of interest or predisposition in quasi-judicial functions • Protocol on service reviews restricts officers' potential conflicts of interest relating to in-house competitive tendering situations. • Transparency is assisted by members registered interests being accessible through the web site 	
4.1.4	Develop and maintain an effective audit committee (or equivalent) which is independent of the executive and scrutiny functions or make other appropriate arrangements for the discharge of the functions of such a committee.	Head of Governance & Head of Internal Audit Consortium	<ul style="list-style-type: none"> • Terms of reference • Membership • Training for Committee members 	<ul style="list-style-type: none"> • The Standards and Audit committee is set up as independent of the cabinet and of scrutiny. The constitution gives it statutory and non-statutory (CIPFA recommended) audit functions • Members of the committee have been given training in audit matters. 	Yes
4.1.5	Ensure that effective, transparent and accessible arrangements are	Head of Business	<ul style="list-style-type: none"> • Complaints Procedures 	<ul style="list-style-type: none"> • Complaints, Comments and Compliments outcomes 	Yes

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	in place for dealing with complaints.	Transformation / Arvato	<ul style="list-style-type: none"> Evidence of changes / improvements as a result of complaints received and acted upon 	regularly reported to the Corporate Management team. <ul style="list-style-type: none"> The system has been improved to facilitate analysis of trends 	
Supporting Principle 4.2 – Having good quality information, advice and support to ensure that services are delivered effectively and are what the community wants / needs					
4.2.1	Ensure that those making decisions whether for the authority or the partnership are provided with information that is fit for the purpose – relevant, timely and gives clear explanations of technical and financial issues and their implications.	CE / Heads of Service	<ul style="list-style-type: none"> Discussion between members and officers on the information needs of members to support decision making Agreement on the information that will be provided and timescales Calendar of dates for submitting, publishing and distributing timely reports that are adhered to 	<ul style="list-style-type: none"> See Constitution Part 2 Article 11 for Constitution of Joint Board - Executive member system applies. Prior to Executive Member meetings, reports are tabled for discussion at WBR meetings Plain English guides and training Reports to Members include all the information needed for Members to make decisions. This includes Equality Impact assessments (refreshed report writing template – see above). 	Yes
4.2.2	Ensure that proper professional advice on matters that have legal or financial implications is available and recorded well in advance of the decision-making and used appropriately.	CE / Heads of Service	<ul style="list-style-type: none"> The authority complies with the <i>CIPFA Statement on the Role of the Chief Financial Officer in Local Government</i> and 	<ul style="list-style-type: none"> The Council has a Chief Financial Officer that is a member of CMT 	Yes

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			<ul style="list-style-type: none"> reports accordingly in its annual governance statement • Record of decision making and supporting materials • Meeting reports show details of advice given 	<ul style="list-style-type: none"> • Meetings and decisions are minuted. • Report writing Guide • Legal Services protocol 	
Supporting Principle 4.3 – Ensuring that an effective risk management system is in place					
4.3.1	Ensure that risk management is embedded into the culture of the authority, with members and managers at all levels recognising that risk management is part of their jobs.	Head of Finance	<ul style="list-style-type: none"> • Risk management protocol • Risk management strategy / policy has been formally approved and adopted and is reviewed and updated on a regular basis • Financial standards and regulations • Counter- fraud arrangements are in place and operating effectively 	<ul style="list-style-type: none"> • Revised Risk Management Strategy approved by Council 24th July 2013. • Risk Management Group • Risks considered in all Cabinet Reports • Risk Management training • Strategic Risk register reviewed • Service Plans and Performance Management Clinics include regular review of risks. 	Yes
4.9	Ensure that effective arrangements for whistle – blowing are in place to which officers, staff and all those contracting with or appointed by	Arvato	<ul style="list-style-type: none"> • A whistle blowing policy exists and is reviewed on a regular basis 	There is a Confidential Reporting Policy in place that is on the intranet and internet. The policy was brought to staff	Yes

Appendix 1

Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
	the authority have access.		<ul style="list-style-type: none"> The policy has been made available to members of the public, employees, partners and contractors 	attention in the March 2014 Borough Bulletin.	
Supporting Principle 4.4 – Using their legal powers to the full benefit of the citizens and communities in their area					
4.4.1	Actively recognise the limits of lawful activity placed on them by, for example, the ultra vires doctrine but also strive to utilise powers to the full benefit of their communities.	Head of Governance	<ul style="list-style-type: none"> Constitution Monitoring Officer provisions Statutory provision 	<ul style="list-style-type: none"> Constitution is underpinned by legal references This is supported by the Council's Constitution and by the Monitoring Officer, Legal Team and Internal Audit. 	Yes
4.4.2	Recognise the limits of lawful action and observe both the specific requirements of legislation and the general responsibilities placed on local authorities by public law.	Head of Governance	<ul style="list-style-type: none"> Record of legal advice provided by officers 	<ul style="list-style-type: none"> Constitution is underpinned by legal references (e.g. caselaw on decision-making Part 2 Article 13) Planning and Licensing Codes of Conduct 	Yes
4.4.3	Observe all specific legislative requirements placed upon them, as well as the requirements of general law, and in particular to integrate the key principles of good administrative law – rationality, legality and natural justice – into their procedures and decision making processes.	Head of Governance	<ul style="list-style-type: none"> Monitoring Officer provisions Job description / specification Statutory provision. 	<ul style="list-style-type: none"> Constitution : decision-making Part 2 Article 13 Cabinet Procedure Rules, restrictions on committee membership as shown in the constitution and guides to groups when allocating seats (see above) Consultative processes (e.g. 	Yes

Appendix 1

Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
				<p>Community Assemblies) precede key decision-making.</p> <ul style="list-style-type: none"> • Detailed practical guides on quasi judicial functions (planning and licensing codes of conduct), and on compliance with general code (e.g. declaring interests at full Council meetings) 	

Appendix 1

Principle 5	Developing the capacity and capability of members and officers to be effective.
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Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
Supporting Principle 5.1 – Making sure that members and officers have the skills, knowledge, experience and resources they need to perform well in their roles					
5.1.1	Provide induction programmes tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis.	Head of Governance / Arvato	<ul style="list-style-type: none"> • Training and development plan • Induction programme • Access to update courses / information/ briefings on new legislation 	<ul style="list-style-type: none"> • Member development training for councillors based on individual annual PDRs. • EPD (Employee Performance and Development) process identifies training needs • IIP (investors in People) accreditation • CPD (Continuing professional development) needs are met • Induction training for new employees. 	Yes
5..1.2	Ensure that the statutory officers have the skills, resources and support necessary to perform effectively in their roles and that these roles are properly understood throughout the authority.	CE	<ul style="list-style-type: none"> • Job description / personal specifications • Membership of top management team 	<ul style="list-style-type: none"> • Statutory Officers attending Corporate Management Team , cabinet and other key meetings • Monitoring Officer, CFO and Head of Paid Service have relevant professional qualifications and 	Yes

Appendix 1

Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
				experience. <ul style="list-style-type: none"> • Induction and other training communicates these roles through the authority • No adverse audit comments 	
Supporting Principle 5.2 – Developing the capability of people with governance responsibilities and evaluating their performance as individuals and as a group					
5.2.1	Assess the skills required by members and officers and make a commitment to develop those skills to enable roles to be carried out effectively.	Members - Head of Governance Officers – CE, and HoS supported by Arvato	<ul style="list-style-type: none"> • Training development plan • Performance reviews of officers and members 	<ul style="list-style-type: none"> • Personal Development Reviews (PDR's) for Councillors. • Member Development & Training programme • Workforce Development Plan • EDP process (see above) 	Yes
5..2.2	Develop skills on a continuing basis to improve performance, including the ability to scrutinise and challenge and to recognise when outside expert advice is needed.	CE, and HoS supported by Arvato	<ul style="list-style-type: none"> • Training and development plan reflects requirements of a modern councillor including: <ul style="list-style-type: none"> - the ability to scrutinise and challenge - the ability to recognise when outside advice is required - advice on how to act as an ambassador for the 	<ul style="list-style-type: none"> • Development Programme for Councillors • Leadership Development Programme for CMT • Ongoing Training programme for Scrutiny 	Yes

Appendix 1

Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
			community - leadership and influencing skills		
5.2.3	Ensure that arrangements are in place for reviewing the performance of the executive as a whole and of individual members and agreeing an action plan which might, for example, aim to address any training or development needs.	CE / Heads of Service	<ul style="list-style-type: none"> • Performance management system. • Staff development plans linked to staff appraisals 	<ul style="list-style-type: none"> • Scrutiny Board has reviewed each portfolio holder's performance at special scrutiny board meetings 	Yes
Supporting Principle 5.3 – Encouraging new talent for membership of the authority so that best use can be made of individuals' skills and resources in balancing continuity and renewal					
5.3.1	Ensure that effective arrangements are in place designed to encourage individuals from all sections of the community to engage with, contribute to and participate in the work of the authority.	Heads of Service	<ul style="list-style-type: none"> • Strategic partnership frameworks • Stakeholders' forums' terms of reference. • Area forums' roles and responsibilities. • Residents' panel structure 	<ul style="list-style-type: none"> • Community Assemblies have now been established. 	Yes
5.3.2	Ensure that career structures are in place for members and officers to encourage participation and development.	Arvato	<ul style="list-style-type: none"> • Succession planning 	<ul style="list-style-type: none"> • PDP's for Members. • EPD (Employee Performance and Development) process identifies development needs • IIP (Investors in People) 	Yes

Appendix 1

Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
				accreditation <ul style="list-style-type: none"> • The Workforce Strategy & Action Plan considers emerging issues including succession planning. 	

Appendix 1

Principle 6	Engaging with local people and other stakeholders to ensure robust public accountability.
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Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
Supporting Principle 6.1 – Exercising leadership through a robust scrutiny function which effectively engages local people and all local institutional stakeholders, including partnerships, and develops constructive accountability relationships.					
6.1.1	Make clear to themselves, all staff and the community to whom they are accountable and for what	Head of Governance & Head of Business Transformation	<ul style="list-style-type: none"> • Corporate Plan • Community Assembly action plans 	<ul style="list-style-type: none"> • Induction training for members and employees makes clear those accountabilities • Councillors' Democratic Representative role (and Community Forums) make clear these accountabilities to the public • Derbyshire Partnership Forum and Derbyshire Community Legal Services Partnership and DCLS Partnership Strategy) • Petitions Scheme and electronic petitions. • Joint Board (and Protocol) on Joint Working • Sheffield City Region Partnership Arrangements • Derbyshire Partnership Forum. • EPD's • Service Plans and 	Yes

Appendix 1

Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
				Performance Clinics	
6.1.2	Consider those institutional stakeholders to whom the authority is accountable and assess the effectiveness of the relationships and any changes required.		<ul style="list-style-type: none"> Establish a 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 	<ul style="list-style-type: none"> The Corporate Plan, the MTFP and Service Plans give structured consideration to the views of the Council's key stakeholders 	
6.1.3	Produce an annual report on the activity of the scrutiny function.	Head of Governance	<ul style="list-style-type: none"> Annual Report 	<ul style="list-style-type: none"> Annual Scrutiny Report for 2012/13 submitted to Council 24/4/13. 	Yes
<p>Supporting Principle 6.2 – Taking an active and planned approach to dialogue with and the accountability to the public to ensure effective and appropriate service delivery whether directly by the authority, in partnership or by commissioning.</p>					
6.2.1	Ensure that clear channels of communication are in place with all sections of the community and other stakeholders, including monitoring arrangements and ensure that they operate effectively.	CE / Head of Governance	<ul style="list-style-type: none"> Community Assemblies Tenants participation programme Equality and Diversity forum Range of surveys 	<ul style="list-style-type: none"> A new model for community engagement was developed in 2013 – Community Assemblies. Going forward these will be chaired by the public. Annual Reports from Community Assembly presented to Cabinet. Equalities policies and Equalities Impact Assessments Equality and Diversity annual report 	Yes

Appendix 1

Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
				<ul style="list-style-type: none"> • The council holds all meetings in public (including Joint Board meetings), subject to the rules on access to information. • Initiatives for engaging with young and old people • Consultation is part of our Equality Impact Assessments • Your Chesterfield the Council's newspaper is sent to residents three times a year • The Council's website and social media channels are used to communicate with the community and stakeholders on a variety of issues. 	
6.2.2	Ensure that arrangements are in place to enable the authority to engage with all sections of the community effectively. These arrangements should recognise that different sections of the community have different priorities and establish explicit processes for		<ul style="list-style-type: none"> • Record of public consultations • Processes for dealing with competing demands within the community 	<ul style="list-style-type: none"> • Community Engagement Strategy 	Yes

Appendix 1

Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
	dealing with these competing demands.				
6.2.3	Establish a clear policy on the types of issues they will meaningfully consult on or engage with the public and service users including a feedback mechanism for those consultees to demonstrate what has changed as a result.	CE / Head of Business Transformation	<ul style="list-style-type: none"> • Partnership framework • Communication strategy 	<ul style="list-style-type: none"> • The Council has adopted a Community Engagement Strategy and develops annual action plans. • Feedback given on consultation via the CBC website, Community Assemblies and Your Chesterfield where appropriate 	Yes
6.2.4	Publish an annual performance plan giving information on the authority's vision, strategy, plans and financial statements as well as information about its outcomes, achievements and the satisfaction of service users in the previous period.	CE	<ul style="list-style-type: none"> • Annual report • Annual financial statements • Corporate plan • Annual business plan 	<ul style="list-style-type: none"> • Covered by performance monitoring reports to Cabinet and update of Corporate Plan. 	Yes
6.2.5	Ensure that the authority as a whole is open and accessible to the community, service users and its staff and ensure that it has made a commitment to openness and transparency in all its dealings, including partnerships, subject only to the need to preserve	CE / H o S	<ul style="list-style-type: none"> • Constitution • Freedom of Information Act publication scheme • Council tax leaflet • Authority website 	<ul style="list-style-type: none"> • Protocol on Service Reviews. • Communications Strategy • Media Protocol. • Joint Board meetings are open to the public • Community Forums offer public participation in 	Yes

Appendix 1

Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
	confidentiality in those specific circumstances where it is proper and appropriate to do so.			decision making and consultation <ul style="list-style-type: none"> • Website/Social media • Policy to debate issues on the open agenda wherever possible 	
Supporting Principle 6.3 – Making best use of human resources by taking an active and planned approach to meet responsibilities to staff					
6.3.1	Develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision making.	CE / Arvato	<ul style="list-style-type: none"> • Constitution • Adherence to best practice standards in recruitment and staff terms and conditions 	<ul style="list-style-type: none"> • Policy on representatives facility time • Joint Consultative Committee / Service Consultative Committees. • Protocol on Service Reviews and TUPE agreed with Unions • Protocol on TUPE transfers under joint working agreed with unions. • Joint Board • An Internal Communications Strategy was approved by Cabinet on the 25th March 2014 • Union representation on project steering groups. 	Yes

Notes:

CE Chief Executive

H o S = Heads of Service

WBR = Weekly Business Review Meeting

LSP = Local Strategic Partnership (CHART)

EPD = Employee Performance and Development Interviews