

DOCUMENTATION/FUNCTION – SUSTAINABLE COMMUNITY STRATEGY (SCS)

<b>IMPLEMENTATION</b>				
<b>Target Population</b>	<b>Members, Managers, Staff, LSP Partners and Public</b>			
<b>Duty</b>	<b>To have a long term Sustainable Community Strategy for the borough in accordance with duties under the Local Governments Acts 2000 &amp; 2007</b>			
<b>Training Requirements</b>	<b>General awareness raising for all - plus enhanced training and support for key stakeholders (Board Members/ Lead Officers etc.)</b>			
<b>Lead Officer</b>	<b>Chief Executive of LSP and secretariat</b>			
<b>PROCESS</b>	<b>ACTIONS (HOW)</b>	<b>WHEN</b>	<b>OUTPUT</b>	<b>WHO</b>
AWARENESS (keeping it live in people's minds)	Copy of adopted SCS distributed to all Members, Managers and Teams.	April 2008	Member and officer awareness of purpose and content of strategy.	LSP Secretariat
	Copy available on internet and intranet.	April 2008	LSP understands and owns the SCS. Other partners aware of strategy purpose and content.	
	Ongoing reference in induction training for Members and staff.	Ongoing	Public awareness of existence of strategy.	
MONITORING (keeping it effective – recording when it happens)	Regular reports to LSP Board and periodically to Cabinet and Council as appropriate.	Bi-monthly to LSP Cabinet/ Council as necessary.	Delivery against strategy vision, and themed priorities checked and challenged.	LSP Secretariat
REVIEW (keeping it up to date)	Sustainable Community Strategy adopted as a medium term document. Fundamental review every 3-5 years. The LAA (as the delivery document of the SCS) will however be subject to annual review and refresh.	(SCS) Every 3-5 years.  (LAA) Third and fourth quarter of each financial year.	Sustainable Community Strategy remains up to date and relevant.	LSP Secretariat

DOCUMENTATION/FUNCTION – LOCAL AREA AGREEMENT (LAA)

<b>IMPLEMENTATION</b>				
<b>Target Population</b>	<b>Members, Managers, Staff, LSP Partners and Public</b>			
<b>Duty</b>	<b>To produce a three year delivery plan for the Sustainable Community Strategy in accordance with guidance and duties under the Local Government Act 2007</b>			
<b>Training Requirements</b>	<b>General awareness raising for all – plus enhanced training and support for key stakeholders (Board Members/ Lead Officers)</b>			
<b>Lead Officer</b>	<b>Chief Executive of LSP and secretariat</b>			
<b>PROCESS</b>	<b>ACTIONS (HOW)</b>	<b>WHEN</b>	<b>OUTPUT</b>	<b>WHO</b>
AWARENESS (keeping it live in people’s minds)	Copy of adopted LAA distributed to all Members, Managers and Teams.  Copy available on internet and intranet.  Ongoing reference in induction training for Members and staff.	April 2008  April 2008  Ongoing	Member and officer awareness of purpose and content of the LAA.  LSP understands and owns the LAA.  Other partners aware of LAA purpose and content.  Public awareness of existence of Agreement.	LSP Secretariat
MONITORING (keeping it effective – recording when it happens)	Regular reports to LSP Board and periodically to Cabinet as Accountable Body.	Bi-monthly to LSP. Quarterly/ half yearly to Cabinet (frequency to be determined once adopted).	Delivery against SCS themed priorities, actions and performance targets checked and challenged.	LSP Secretariat
REVIEW (keeping it up to date)	The LAA as the delivery document of the SCS will be subject to annual review and refresh. Monitoring reports will be produced in collaboration with Government Office North East.	Monitoring reports at the half-year and end of the full financial year positions is most likely.  Annual review and refresh in the third and fourth quarter of each financial year.	Local Area Agreement remains up to date and relevant with SMART targets.	LSP Secretariat

DOCUMENTATION/FUNCTION - CONSTITUTION OF THE COUNCIL

<b>IMPLEMENTATION</b>				
<b>Target Population</b>	<b>Members and Senior Officers</b>			
<b>Duty</b>	<p>To ensure that the relative roles and responsibilities of Cabinet and other Members generally and Senior Officers are clearly defined.</p> <p>To develop and maintain a scheme of delegated powers which should include a formal schedule of those matters specifically reserved for the collective decision of the authority.</p> <p>To put in place clearly documented and understood management processes for policy development, implementation and reviews for decision-making; and formal procedural and financial regulations to govern the conduct of the business of the Council.</p> <p>To ensure that the role of the Cabinet Member is formally defined, to include responsibility for providing effective strategic leadership to the authority and for ensuring that the authority successfully discharges its overall responsibilities for the activities of the organisation as a whole.</p> <p>To ensure that the roles and responsibilities of all Members of the authority, together with the terms of their remuneration and its review, are defined clearly.</p> <p>To ensure that a Senior Officer is made responsible to the authority for ensuring that agreed procedures are followed and that all applicable statutes, regulations and other relevant statements of good practice are complied with.</p> <p>To ensure that a Senior Officer is made responsible to the authority for ensuring that appropriate advice is given to it on all financial matters, for keeping proper financial records and accounts, and for maintaining an effective system of internal financial control.</p>			
<b>Training Requirements</b>	<b>Member Training Programme, Senior Officer Training</b>			
<b>Lead Officer</b>	<b>Borough Solicitor</b>			
<b>PROCESS</b>	<b>ACTIONS (HOW)</b>	<b>WHEN</b>	<b>OUTPUT</b>	<b>WHO</b>
AWARENESS (keeping it live in people's minds)	Copy of Constitution distributed to all Members and Senior Officers and available on the Internet. Induction training for Members. Available to all other staff.	Every four years.	Members and Officers are aware of the contents and operation of the Constitution.	Borough Solicitor  Directors
	Training provided to all Assistant Directors Training available to Departmental Management Teams	Annually or on request	Members and Officers are aware of the contents and operation of the Constitution.	Borough Solicitor

DOCUMENTATION/FUNCTION - CONSTITUTION OF THE COUNCIL

<p>MONITORING (keeping it effective – recording when it happens)</p>	<p>Ensuring provisions of Constitution are followed.</p> <p>Committee Reports checked by Legal Services, ensure decision making is at the appropriate level</p>	<p>Annually.</p> <p>Ongoing</p>	<p>Constitution is complied with.</p> <p>Constitution and legal requirements complied with</p>	<p>Borough Solicitor and Standards Committee</p> <p>Borough Solicitor</p>
<p>REVIEW (keeping it up to date)</p>	<p>The content of the Constitution is reviewed to reflect necessary amendments.</p>	<p>As and when required and at least annually.</p>	<p>Responsibilities and procedures are updated and remain relevant.</p>	<p>Borough Solicitor and Standards Committee</p>

DOCUMENTATION/FUNCTION – SERVICE AND CORPORATE PLANNING

<b>IMPLEMENTATION</b>				
<b>Target Population</b>	<b>Managers, Employees, Members</b>			
<b>Duty</b>	<b>To ensure the authority’s contribution to the Community Strategy is translated into a series of actions at corporate, departmental and service level.</b>			
<b>Training Requirements</b>	<b>Members and Departmental Management Teams Training Seminars. Corporate Planning Network Meetings. Corporate and Senior Managers Workshops.</b>			
<b>Lead Officer</b>	<b>Policy Manager</b>			
<b>PROCESS</b>	<b>ACTIONS (HOW)</b>	<b>WHEN</b>	<b>OUTPUT</b>	<b>WHO</b>
AWARENESS (keeping it live in people’s minds)	Managers/ Partners receive a copy of full plans for reference.	Annually (April)	Managers aware of and own plans.	Policy Manager
	Employees – posters in all rooms and used in team briefings.	Annually (April)	Employees aware of and own plans.	
	Members – Inclusion in training programme and participation in developing and monitoring plans.	Training Programme and Cabinet Forward Plan, Scrutiny Work Plans	Members aware of and own plans.	
	Copies of all plans available on the intranet for reference.	Annually (April)	All plans readily available for reference.	
MONITORING (keeping it effective – recording when it happens)	Through Performance Management Framework (PMF)	PMF timetable. Periodic reporting to DMTs, Cabinet and Scrutiny Committees	Performance against actions and performance targets checked and challenged. Corrective action taken where necessary.	Policy Manager

DOCUMENTATION/FUNCTION – SERVICE AND CORPORATE PLANNING

<p>REVIEW (keeping it up to date)</p>	<p>CMT and DMTs take responsibility for annual review and refresh in consultation with Members.</p> <p>Development through Corporate Managers Network, Senior Managers Workshops and Departmental Management Teams away days and planning sessions. Corporate Planning Network co-ordinates the process.</p>	<p>Ongoing review throughout the year with detailed refresh in the third and fourth quarters.</p> <p>Draft Corporate and Departmental Plans submitted to Cabinet/Council for approval</p>	<p>Amended and refreshed plans - incorporating changes in circumstances, lessons from good practice and resource updates.</p> <p>Good internal and external audit findings.</p>	<p>Policy Manager</p>
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DOCUMENTATION/FUNCTION – BUSINESS TRANSFORMATION PROJECTS

<b>IMPLEMENTATION</b>				
<b>Target Population</b>	<b>Public, non service users, service users, stakeholders, senior managers, employees, members</b>			
<b>Duty</b>	<b>Service improvement and Efficiency savings</b>			
<b>Training</b>	<b>Senior managers – training prior to participation in reviews. Employees – general awareness sessions/communication in Flyer/team</b>			
<b>Requirements</b>	<b>meetings. Members – as part of member training programme</b>			
<b>Lead Officer</b>	<b>Programme Manager</b>			
<b>PROCESS</b>	<b>ACTIONS (HOW)</b>	<b>WHEN</b>	<b>OUTPUT</b>	<b>WHO</b>
AWARENESS (keeping it live in people’s minds)	'Leading Edge' Programme of change incorporated into Corporate Plan <ul style="list-style-type: none"> <li>• Corporate Plan/Consultation processes</li> <li>• Article in Town Crier</li> <li>• Service users/ stakeholders</li> <li>• Consultation processes</li> <li>• Senior Managers</li> <li>• Participation in SMNs</li> <li>• Corporate Plan &amp; internet/intranet also source of information</li> <li>• Articles in the flyer and team briefings</li> <li>• Member training Programme</li> <li>• Reports on individual projects</li> </ul> Project portfolio highlight report developed & used	Ongoing	Effective challenge in change projects. Ownership of problems and willingness to change	Programme Manager
MONITORING (keeping it effective – recording when it happens)	Monitor programme to ensure review programme commensurate with Council and Community priorities	Risk based monitoring report to CMT Improvement plans monitored through PMF and Scrutiny Project briefs, plans and PIDs in place with exception reports for deviation against plan.	Audit trail in place with regard to the approval process and progress update  Monitoring ensures programme reflective of changing requirements	Programme Manager

DOCUMENTATION/FUNCTION – BUSINESS TRANSFORMATION PROJECTS

<p>REVIEW (keeping it up to date)</p>	<p>Methodology assessed to ensure priority areas are reviewed.</p> <p>Integrated financial and service reporting allows for assessments of performance to be made against each major service area. This judgement, reported to CMT, allows for an intervention based approach to service review, with the degree of intervention depending on the cost effectiveness, performance and procurement options of the service in question.</p> <p>Adopted project management methodology - linked to MP2</p>	<p>Completed</p> <p>Quarterly</p> <p>Completed</p>	<p>Programme Board Highlight reports</p> <p>Subject to review through the monthly programme board</p>	<p>Programme Manager</p>
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DOCUMENTATION/FUNCTION – COMMUNITY ENGAGEMENT

<b>IMPLEMENTATION</b>				
<b>Target Population</b>	<b>Public, Members, Managers, Supervisors, Staff</b>			
<b>Duty</b>	<b>To have a Community Engagement Strategy that meets the current and future requirements of the Council to deliver effective mechanisms and opportunities in serving the needs of the local community.</b>			
<b>Training Requirements</b>	<b>General awareness raising for all - plus enhanced training and support for those directly involved or responsible for delivering projects involving elements of engagement.</b>			
<b>Lead Officer</b>	<b>Head of Connecting with Communities</b>			
<b>PROCESS</b>	<b>ACTIONS (HOW)</b>	<b>WHEN</b>	<b>OUTPUT</b>	<b>WHO</b>
AWARENESS (keeping it live in people's minds)	Community Engagement Strategy approved by Cabinet (May 2007) and associated appendices published on the intranet.	Completed	Strategy approved by Cabinet and available to Members, Managers, Supervisors and Staff	Head of Connecting with Communities
	Updated Work Plan and Project Plan published each year as part of CWC Service Plan.	Annually	Updated plans relating to the Strategy	
	Related training sessions for Members and relevant officers.	Annually/ as required.	Members and relevant staff familiar with the Council's Connecting with Community Strategy.	
MONITORING (keeping it effective – recording when it happens)	CMT, Departmental Liaison Group and Leading Edge Board – regular reports to these groups.	Monthly	Strategy complied with and modified if required.	Head of Connecting with Communities
	Resources Scrutiny Committee can ask to receive progress reports	Ad hoc	Compliance and progress checked/ challenged.	
	Periodically, projects, procedures and processes would be subject to review for adequacy by Internal or External Audit.	Ad hoc	Compliance and progress checked and challenged.	

DOCUMENTATION/FUNCTION – COMMUNITY ENGAGEMENT

REVIEW (keeping it up to date)	Community Engagement Strategy and related work plan formally reviewed annually. Any necessary amendments subject to the approval of Assistant Chief Executive or Cabinet, depending upon the degree of change.  Components of the Engagement Strategy subject to regular review, i.e.: Service Plan, Project Plan, Work Plan	Annually       Ongoing	Strategy remains up to date and relevant       Strategy remains up to date and relevant	Head of Connecting with Communities
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DOCUMENTATION/FUNCTION – COMMUNICATIONS STRATEGY

<b>IMPLEMENTATION</b>				
<b>Target Population</b>	<b>Public, Managers, Staff, Partners, businesses</b>			
<b>Duty</b>	<b>To have a communications strategy that enhances both internal and external communications with all stakeholders throughout the borough</b>			
<b>Training Requirements</b>	<b>General awareness raising for all - plus enhanced training and support for key stakeholders</b>			
<b>Lead Officer</b>	<b>Head of Communications</b>			
<b>PROCESS</b>	<b>ACTIONS (HOW)</b>	<b>WHEN</b>	<b>OUTPUT</b>	<b>WHO</b>
AWARENESS (keeping it live in people's minds)	Communications Strategy approved October 2006. Published on Intranet.  Action plan also published. Regular reporting through Leading Edge Programme Board.  Member training programmes.  Internal Communications Strategy developed from original strategy.	Completed   Ongoing  Currently out to consultation	Strategy approved. Enhanced communications, both internal and external, plus raised awareness.	Head of Communications
MONITORING (keeping it effective – recording when it happens)	Regular reports to Leading Edge Board. Internal Communications Strategy under consultation, via Corporate Managers' Network and Senior Managers' Network.	Monthly  Ad hoc	Strategy compiled and modified as required.	Head of Communications
REVIEW (keeping it up to date)	Communications Strategy action plans reviewed annually. Key elements delivered via service planning.	Annually	To ensure strategy remains up to date and relevant	Head of Communications

DOCUMENT/FUNCTION - ICT STRATEGY

<b>IMPLEMENTATION</b>				
<b>Target Population</b>	<b>Public, Members, Managers/Supervisors/Staff</b>			
<b>Duty</b>	<b>To have a Corporate ICT Strategy to deliver suitable infrastructure and system to the council that meets the current and future requirements of the Council and staff to deliver services that meet the needs of the local community</b>			
<b>Training Requirements</b>	<b>General awareness with key staff in particular projects receiving relevant training and support</b>			
<b>Lead Officer</b>	<b>Assistant Director - ICT</b>			
<b>PROCESS</b>	<b>ACTIONS (HOW)</b>	<b>WHEN</b>	<b>OUTPUT</b>	<b>WHO</b>
AWARENESS (keeping it live in people's minds)	ICT Strategy approved by Cabinet (September 2007) and associated appendices published on the Intranet.	Completed	Strategy approved by Cabinet and available to Members, Managers/Supervisors/Staff	Assistant Director - ICT
	Updated Work Plan and Project Plan published each year as part of Service Plan.	Completed.	Updated plans relating to the Strategy	Assistant Director – ICT
	Regular updates to Corporate IT Working Group, Departmental ICT Liaison Groups and Leading Edge Board.	On-going	Update on progress, issues and changes.	Assistant Director – ICT
	Related training sessions for Members and relevant officers.	Annually/as required.	Members and relevant staff familiar with the Council's ICT Strategy.	Assistant Director – ICT
MONITORING (keeping it effective – recording when it happens)	CMT, Corporate IT Working Group, Departmental ICT Liaison Groups and Leading Edge Board – regular reports to these groups.	Monthly	Strategy complied with and modified if required.	Assistant Director – ICT
	Resources Scrutiny Committee can ask to receive progress reports.	Ad hoc	Compliance and progress checked/challenged	Assistant Director - ICT

DOCUMENT/FUNCTION - ICT STRATEGY

	Periodically, projects, procedures and processes would be subject to review for adequacy by Internal or External Audit.	Ad hoc	Compliance and progress checked/challenged	Assistant Director – ICT
REVIEW (keeping it up to date)	ICT Strategy and related work plan formally reviewed annually. Any necessary amendments subject to the approval of Director of Corporate Services or Cabinet, depending upon the degree of change.	Annually	Strategy remains up to date and relevant.	Assistant Director - ICT
	Components of the ICT Strategy subject to regular review, i.e.: Project Plan, Work Plan, Technical Infrastructure Strategy (TIS), Application Portfolio Analysis (APA).	On-going	Strategy remains up to date and relevant.	Assistant Director - ICT

DOCUMENTATION/FUNCTION – HUMAN RESOURCES STRATEGY

<b>IMPLEMENTATION</b>				
<b>Target Population</b>	<b>Public, Members, Managers/Supervisors/Staff</b>			
<b>Duty</b>	<b>To have a Corporate HR Strategy to support the organisation vision and goals that meets the current and future requirements of the Council to enable the delivery of services that meet the needs of the local community</b>			
<b>Training Requirements</b>	<b>General awareness with key staff receiving relevant training and support</b>			
<b>Lead Officer</b>	<b>Head of HRM</b>			
<b>PROCESS</b>	<b>ACTIONS (HOW)</b>	<b>WHEN</b>	<b>OUTPUT</b>	<b>WHO</b>
AWARENESS (keeping it live in people’s minds)	HR Strategy approved by Cabinet (July 2007) and associated appendices published on the Intranet.	Completed	Strategy approved by Cabinet and available to Members, Managers/Supervisors/Staff	Head of HRM
	Road-shows, Flyer Articles and Communication announcements for employees and members. Leaflet attached to Payslips.	Completed		Head of HRM
	Work Plan and Project Plan published each year as part of Service Plan.	Completed.	Updated plans relating to the Strategy	Head of HRM
	Regular updates to Leading Edge Board.	On-going	Update on progress, issues and changes.	Head of HRM
	Related training sessions for Members and relevant officers.	Annually/as required.	Members and relevant staff familiar with the Council’s HR Strategy.	Head of HRM
MONITORING (keeping it effective – recording when it happens)	Leading Edge Board – regular reports to these groups.	Monthly	Strategy complied with and modified if required.	Head of HRM
	JCC and Resources Scrutiny Committee can ask to receive progress reports.	Ad hoc	Compliance and progress checked/challenged	Head of HRM

DOCUMENTATION/FUNCTION – HUMAN RESOURCES STRATEGY

	Periodically, projects, procedures and processes would be subject to review for adequacy by Internal or External Audit.	Ad hoc	Compliance and progress checked/challenged	Head of HRM
REVIEW (keeping it up to date)	HR Strategy and related work plan formally reviewed annually. Any necessary amendments subject to the approval of Director of Corporate Services or Cabinet, depending upon the degree of change.	Annually	Strategy remains up to date and relevant.	Head of HRM
	Components of the HR Strategy subject to regular review, i.e.: Service plan, Project Plan, Work Plan.	On-going	Strategy remains up to date and relevant.	Head of HRM

DOCUMENTATION/FUNCTION – PERFORMANCE MANAGEMENT FRAMEWORK (PMF)/LEADING EDGE  
CORPORATE PLAN/MONITORING REPORTS

<b>IMPLEMENTATION</b>				
<b>Target Population</b>	<b>Members, Senior Managers, Employees, Partners, Public</b>			
<b>Duty</b>	<b>To demonstrate continuous improvement in the delivery of the Council’s objectives, especially in service delivery</b>			
<b>Training</b>	<b>Members - Training session and 1:1 on the use of <i>PerformancePlus</i> and interpretation of this system and performance reports</b>			
<b>Requirements</b>	<b>(Cabinet and Scrutiny), documentation (including Corporate Plan) and reports on the intranet as well as <i>PerformancePlus</i> briefing books. Access to the live <i>PerformancePlus</i> system. Senior Managers - 1:1 on the use of <i>PerformancePlus</i> and interpretation of the system and performance reports to DMTs produced by departments, Cabinet and Scrutiny reports and other documentation (including Corporate Plan) on the intranet as well as <i>PerformancePlus</i> briefing books. Access to the live <i>PerformancePlus</i> system. Employees - Reports and other documentation (including the Corporate Plan) on the intranet Partners - Performance information relating to the Community Strategy on the Darlington Partnership website and six-monthly reports to the Partnership Board.</b>			
<b>Lead Officer</b>	<b>Public – Summary report on the Council’s website and access to the Cabinet and Scrutiny reports Assistant Chief Executive</b>			
<b>PROCESS</b>	<b>ACTIONS (HOW)</b>	<b>WHEN</b>	<b>OUTPUT</b>	<b>WHO</b>
AWARENESS (keeping it live in people’s minds)	Continued awareness raising of PMF (including new National Indicators and LAA). Systematic and regular reporting.	As necessary, in particular during service and corporate plan production. When new systems are introduced, for example NI 198.	Awareness of changes in direction of performance and achievement or otherwise of targets amongst all stakeholders.  Feedback from external auditors and inspectors to show stakeholders, especially the citizen and Government that the authority performs well.	Chief Executive
MONITORING (keeping it effective – recording when it happens)	Monitoring through individual (PDRs) and team meetings, DMTs, CMT, Cabinet and Scrutiny.	As set out in the PMF timetable. Quarterly combined service and financial performance report	Taking action to ensure that the Council meets challenging targets, against its overall aims and specific priorities/initiatives.	Cabinet, CMT and Accountable Officers



DOCUMENTATION/FUNCTION – PERFORMANCE MANAGEMENT FRAMEWORK (PMF)/LEADING EDGE  
CORPORATE PLAN/MONITORING REPORTS

REVIEW (keeping it up to date)	Review and incorporation of good practice from external audit, inspectors and process benchmarking.	As and when especially annual to inform the development of ‘new year’ systems.	Improved systems (forms, etc.) to operate the PMF, for example to monitor and manage the SCS LAA. Improved reporting processes and documentation. This will be recognised by those who operate the systems, users and external auditors/inspectors.	Assistant Chief Executive
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DOCUMENTATION/FUNCTION - SCHEDULE OF COUNCIL MEETINGS

<b>IMPLEMENTATION</b>				
<b>Target Population</b>	<b>Public, Members, CMT, Senior Managers</b>			
<b>Duty</b>	<b>To ensure that Members meet on a formal basis regularly to set the strategic direction of the authority and to monitor service delivery</b>			
<b>Training Requirements</b>	<b>General awareness amongst Members and Employees</b>			
<b>Lead Officer</b>	<b>Borough Solicitor</b>			
<b>PROCESS</b>	<b>ACTIONS (HOW)</b>	<b>WHEN</b>	<b>OUTPUT</b>	<b>WHO</b>
AWARENESS (keeping it live in people's minds)	Published on website, in Council diaries, on e-mail system, as agreed by Council.	Annually, following Annual Meeting.	The public, Members and employees are aware of the programme of Council meetings.	Borough Solicitor
MONITORING (keeping it effective – recording when it happens)	Update where meetings re-scheduled or added.	As and when required.	The public, Members and employees are kept up to date.	Borough Solicitor
REVIEW (keeping it up to date)	The schedule is agreed at each Annual Meeting.	May each year.	Public, Members and employees are aware of the schedule of meetings for the forthcoming year.	Borough Solicitor

DOCUMENTATION/FUNCTION - COUNCIL PROCEDURE RULES

<b>IMPLEMENTATION</b>				
<b>Target Population</b>	<b>Members, Managers/Supervisors</b>			
<b>Duty</b>	<b>To put in place proper arrangements and rules to ensure that the Council operates efficiently, effectively and in accordance with recognised standards which comply with statutory requirements and government guidance</b>			
<b>Training Requirements</b>	<b>Members Induction and Departmental Management Teams Training Sessions</b>			
<b>Lead Officer</b>	<b>Borough Solicitor</b>			
<b>PROCESS</b>	<b>ACTIONS (HOW)</b>	<b>WHEN</b>	<b>OUTPUT</b>	<b>WHO</b>
AWARENESS (keeping it live in people's minds)	Rules covered at Officer/Member's Induction.	On taking up post/seat	% of Members stating that they are aware of the content of the Rules which ensure the Council complies with appropriate procedures in the way in which it carries out its business.	Borough Solicitor
	Copies of rules available in seats at all Council Meetings.	Every meeting		
	Training for Members on request.	Ongoing	% of Members of DMTs stating that they are aware of the content of the Rules.	
	DMT Briefings			
MONITORING (keeping it effective – recording when it happens)	Mayor and Borough Solicitor ensure compliance with rules at Council Meetings.	Every meeting	Rules complied with	Borough Solicitor
REVIEW (keeping it up to date)	Annual Review by Council with input from Standards Committee incorporating statutory changes.	May each year	Rules remain up to date and relevant	Borough Solicitor

DOCUMENTATION/FUNCTION - RECORDS OF DECISIONS

<b>IMPLEMENTATION</b>				
<b>Target Population</b>	<b>Members, Public, Senior Officers, Auditors</b>			
<b>Duty</b>	<b>To ensure that the relative roles and responsibilities of executives and other Members, Members generally and Senior Officers are clearly defined</b>			
<b>Training Requirements</b>	<b>Member Training Programme</b>			
<b>Lead Officer</b>	<b>Senior Officer Training</b>			
	<b>Borough Solicitor</b>			
<b>PROCESS</b>	<b>ACTIONS (HOW)</b>	<b>WHEN</b>	<b>OUTPUT</b>	<b>WHO</b>
AWARENESS (keeping it live in people's minds)	Copies of Member decisions available on the Intranet and Council website. Approved at next meeting of relevant body.	Ongoing.	Members, Officers and the public are aware of decisions made by the Council, Cabinet and other decision making bodies.	Borough Solicitor
	Systems for recording delegated decisions made by officers within Departments.	Systems in place	Members, Officers and the public are aware of decisions made by the Council, Cabinet and other decision making bodies.	Directors
	Key Decisions made by officers subject of a decision record available on the Intranet.	System in place	Members, Officers and the public are aware of decisions made by the Council, Cabinet and other decision making bodies.	Borough Solicitor
MONITORING (keeping it effective – recording when it happens)	Ensuring all Member decisions are adequately recorded. Scrutiny Committee are able to 'call in' decision of Cabinet.	System in place.	All decisions are properly recorded and made publicly available.	Borough Solicitor
REVIEW (keeping it up to date)	The systems are reviewed to check whether improvements can be made to widen circulation.	Annually.	Record systems are updated and improved.	Borough Solicitor

DOCUMENTATION/FUNCTION - PARTNERSHIP WORKING TOOLKIT

<b>IMPLEMENTATION</b>				
<b>Target Population</b>	<b>Partners (including LSP), Senior Officers, Members</b>			
<b>Duty</b>	<b>To put in place a system to record that the performance of each partnership in which the Council is involved is monitored and that adequate governance arrangements are in place.</b>			
<b>Training Requirements</b>	<b>General awareness raising with Departmental Senior Management Teams and specific training for Partnership Lead Officers</b>			
<b>Lead Officer</b>	<b>Head of Corporate Assurance</b>			
<b>PROCESS</b>	<b>ACTIONS (HOW)</b>	<b>WHEN</b>	<b>OUTPUT</b>	<b>WHO</b>
AWARENESS (keeping it live in people's minds)	Partnership toolkit adopted by Cabinet.	Toolkit adopted by Cabinet in March 2007 (Minute Ref. C174/Mar/07)	Council's approach to partnership working formally documented.	Head of Corporate Assurance
	Toolkit rolled out through Departmental Senior Management Team.	Ongoing	Senior Managers aware and understand the requirements of the Toolkit.	Risk and Insurance Manager
	Partnership Lead Officers trained in use of the Toolkit.	As required	Partnership Lead Officers aware of understand and are able to complete the Toolkit for the partnerships for which they are responsible.	Risk and Insurance Manager
MONITORING (keeping it effective – recording when it happens)	Significant partnerships approved by Cabinet.	As required	Member approval to significant partnerships in the knowledge that governance arrangements have been assessed with reference to the Toolkit and are considered adequate.	Directors/Cabinet Portfolio Holders/Chief Executive of the LSP
	Annual review of significant partnerships reported to Cabinet.	Annually	Performance and ongoing adequacy of governance arrangements of significant partnerships reported to Members.	Directors/Chief Executive of the LSP
	Other partnerships approved by the relevant Director, Cabinet portfolio holder and the Chief Executive of the	As required	Member approval to other partnerships in the knowledge that governance arrangements have been assessed with	Directors/Cabinet Portfolio Holders/Chief

DOCUMENTATION/FUNCTION - PARTNERSHIP WORKING TOOLKIT

	LSP.  Annual review of other partnerships conducted by Lead Officers and reported to Director.  Usage of Toolkit monitored by the Insurance and Risk Management Section.	Annually  Ongoing	reference to the Toolkit and are considered adequate.  Performance and ongoing adequacy of governance arrangements of other partnerships reported to Director.  Use of Toolkit independently monitored.	Executive of the LSP  Lead Officers/Directors  Risk and Insurance Manager
REVIEW (keeping it up to date)	Content of Toolkit reviewed.	Annually	Toolkit remains up to date and relevant.	Assistant Chief Executive/Chief Executive of the LSP

DOCUMENTATION/FUNCTION - MEMBERS CODE OF CONDUCT

<b>IMPLEMENTATION</b>				
<b>Target Population</b>	<b>All Members</b>			
<b>Duty</b>	<p>To ensure that all Members are aware of the provisions of the Code, which they must undertake to follow</p> <p>To put in place arrangements to ensure that Members are not influenced by prejudice, bias or conflict of interest in dealing with different stakeholders and put in place appropriate processes to ensure that they continue to operate in practice</p> <p>To put in place arrangements to ensure that procedures and operations are designed in conformity with appropriate ethical standards and to monitor their continuing compliance in practice</p>			
<b>Training Requirements</b>	<b>Members Training Programme</b>			
<b>Lead Officer</b>	<b>Borough Solicitor</b>			
<b>PROCESS</b>	<b>ACTIONS (HOW)</b>	<b>WHEN</b>	<b>OUTPUT</b>	<b>WHO</b>
AWARENESS (keeping it live in people's minds)	Members Training Module Members Induction Individual Sessions.	Sessions compulsory for every Member every four years. Training top up provided at least annually	No Complaints upheld against Members. Members able to demonstrate that understand the contents of the Code	Borough Solicitor
	Newsletter to all Members on Code of Conduct.	At least twice per year	Members able to demonstrate that they understand the contents of the Code	Borough Solicitor
MONITORING (keeping it effective – recording when it happens)	Standards Committee to consider report from Monitoring Officer.	Annually	Report to Council by Standards Committee	Borough Solicitor
	Review entries in the Register of Members Interests.	Every 6 months	Register of Interests up to date and complete for all Members	Borough solicitor
	Standards Committee to consider report from MO.	Every 6 months	Standards Committee to make recommendations to Council as a result of their findings	Borough Solicitor

DOCUMENTATION/FUNCTION - MEMBERS CODE OF CONDUCT

REVIEW (keeping it up to date)	Standards Committee to receive reports from Monitoring Officer re best practice and ongoing developments.	Annual	Revisions to the Code as agreed by Standards Committee and Council	Borough Solicitor
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DOCUMENTATION/FUNCTION - MEMBER INDUCTION ARRANGEMENTS/MEMBER TRAINING & DEVELOPMENT PROGRAMME  
MEMBER APPRAISALS

<b>IMPLEMENTATION</b>				
<b>Target Population</b>	<b>Members of the Council</b>			
<b>Duty</b>	<b>To put in place arrangements to ensure that Members are properly trained for their roles and have access to all relevant information to enable them to carry out their roles.</b>			
<b>Training Requirements</b>	<b>Member Induction</b>			
<b>Lead Officer</b>	<b>Officer Training</b>			
	<b>Borough Solicitor</b>			
<b>PROCESS</b>	<b>ACTIONS (HOW)</b>	<b>WHEN</b>	<b>OUTPUT</b>	<b>WHO</b>
AWARENESS (keeping it live in people's minds)	All Members to attend Induction Programme. Members Training and Development Programme. Members Appraisals.	After election.  5 Sessions p.a.  Annually.	Members understand their roles and the operations of the Council. Members enabled to perform more effectively. Assess needs for training and support.	Borough Solicitor.
MONITORING (keeping it effective – recording when it happens)	Maintain records of attendance and views on the effectiveness of training.  Regular reports to Standards Committee about Member Training and attendance of Members at training sessions	System in place.  At least annually but in practice more regularly	Evidence of attendance in accordance with Council requirements. Amendment to training provision, if required.  Evidence of attendance in accordance with Council requirements. Amendment to training provision, if required.	Borough Solicitor  All Chief Officers  Borough Solicitor
REVIEW (keeping it up to date)	Standards Committee assess attendance records and course assessments.	Annually.	Overview of effectiveness of programme.	Borough Solicitor

DOCUMENTATION/FUNCTION - CODE OF CONDUCT FOR EMPLOYEES

<b>IMPLEMENTATION</b>				
<b>Target Population</b>	<b>All employees</b>			
<b>Duty</b>	<b>To ensure that the responsibilities of all employees in relation to their conduct are defined clearly in writing and are understood</b>			
<b>Training</b>	<b>Officer Induction &amp; Training Programme</b>			
<b>Requirements</b>				
<b>Lead Officer</b>	<b>Borough Solicitor</b>			
<b>PROCESS</b>	<b>ACTIONS (HOW)</b>	<b>WHEN</b>	<b>OUTPUT</b>	<b>WHO</b>
AWARENESS (keeping it live in people's minds)	Officer Induction	On taking up post	New employees aware of the contents of the Code	Head of HRM
	Departmental Team briefings/CETIS	Annually	Other employees aware of the contents of the Code	Borough Solicitor
	Training Programme HR Bulletin	HR Training Programme	All employees aware of the contents of the Code	Head of HRM
MONITORING (keeping it effective – recording when it happens)	Examine declaration of Officer Interests Examine records of offers of gifts and hospitality.	Annually	Assistant Director level completing register of interests Assess numbers of employees offered and/or accepting gifts and hospitality	Borough Solicitor
		Every 6 months		Borough Solicitor
REVIEW (keeping it up to date)	Amend as required by statute and in the light of experience.	As appropriate	Employee Code of Conduct up to date and fit for purpose	Borough Solicitor

DOCUMENTATION/FUNCTION - PROTOCOL OF MEMBER/OFFICER RELATIONSHIPS, INCLUDING DEALING WITH PLANNING MATTERS

<b>IMPLEMENTATION</b>				
<b>Target Population</b>	<b>Members/Senior Officers/Officers dealing with Planning Matters</b>			
<b>Duty</b>	<b>To ensure that Members and Officers recognise their respective roles and acknowledge the implications for supporting political leadership for the whole Council</b>			
<b>Training Requirements</b>	<b>Member Induction, Officer Training</b>			
<b>Lead Officer</b>	<b>Borough Solicitor</b>			
<b>PROCESS</b>	<b>ACTIONS (HOW)</b>	<b>WHEN</b>	<b>OUTPUT</b>	<b>WHO</b>
AWARENESS (keeping it live in people's minds)	Included in Constitution.	On induction of Members.  Referred to at induction of newly recruited DMT/Planning Officers.	Members and Senior Officers are aware of the content of the Protocol.	Borough Solicitor
MONITORING (keeping it effective – recording when it happens)	Directors responsible for alerting BS to any issues arising.  BS to monitor.	As and when.  Annually	Protocol complied with.  Protocol complied with.	Borough Solicitor  Borough Solicitor and Standards Committee
REVIEW (keeping it up to date)	Constitution including Protocol is reviewed annually.	Annually.	Protocol remains up to date and relevant	Borough Solicitor

DOCUMENTATION/FUNCTION - CONFIDENTIAL REPORTING POLICY - WHISTLEBLOWING

<b>IMPLEMENTATION</b>				
<b>Target Population</b>	<b>All employees and agents contracting with the Council</b>			
<b>Duty</b>	<b>To ensure that all employees and agents are aware of the provisions of the policy</b>			
<b>Training</b>	<b>Officer Induction and Training Programme</b>			
<b>Requirements</b>				
<b>Lead Officer</b>	<b>Borough Solicitor</b>			
<b>PROCESS</b>	<b>ACTIONS (HOW)</b>	<b>WHEN</b>	<b>OUTPUT</b>	<b>WHO</b>
AWARENESS (keeping it live in people's minds)	Officer Induction.	On taking up post	New employees aware of the contents of the policy and the hotline	Borough Solicitor
	Departmental Team briefings and CETIS. Posters and awareness raising publicity.	Ongoing	Other employees aware of the contents of the policy and the hotline	Borough Solicitor
	Whistleblowing Hotline.	Established		
	Informing agents and providing copy of policy.	On entering into arrangements with the Council	Agents aware of the policy	Officers dealing with agents
MONITORING (keeping it effective – recording when it happens)	Standards Committee review of Ethical Health Indicators.	Six monthly	Use of the Confidential Report Policy is regular and appropriate	Borough Solicitor
	Examine records of use of policy.	Annually	Assess numbers of employees/agents using the policy	Borough Solicitor
REVIEW (keeping it up to date)	Standards Committee to monitoring effectiveness of policy.	Annually	Adjustments made to policy as result of monitoring	Borough Solicitor

DOCUMENTATION/FUNCTION - LOCAL CODE OF CORPORATE GOVERNANCE

<b>IMPLEMENTATION</b>				
<b>Target Population</b>	<b>Public, Members, Managers, Staff</b>			
<b>Duty</b>	<b>To put in place a Local Code that demonstrates the Council's commitment to the core principles of good governance and outlines how that commitment will be met.</b>			
<b>Training Requirements</b>	<b>General awareness raising with staff and the public</b>			
<b>Lead Officer</b>	<b>Head of Corporate Assurance</b>			
<b>PROCESS</b>	<b>ACTIONS (HOW)</b>	<b>WHEN</b>	<b>OUTPUT</b>	<b>WHO</b>
AWARENESS (keeping it live in people's minds)	Local Code adopted.	Original Local Code adopted in 2002	Council's commitment to good corporate governance demonstrated together with how that commitment will be met.	Head of Corporate Assurance
	Local Code covered at Officer/Member Induction and in CETIS on-line training.	On taking up post/seat	Staff and Members aware and understand the requirements of the Local Code.	Borough Solicitor/Head of Corporate Assurance
	Local Code module delivered as part of the members Training and Development Programme.	Annually	Members aware and understand the requirements of the Local Code.	Borough Solicitor
	Area on the Intranet devoted to Corporate Governance.	Completed	Staff and Members aware and understand the requirements of the Local Code.	Head of Corporate Assurance
	Local Code available through the Constitution and on-line on the Council's website.	Completed	Public aware of the Council's commitment to good corporate governance and how this commitment will be met.	Borough Solicitor
MONITORING (keeping it effective – recording when it happens)	Application and effectiveness of the Local Code monitored through a half-yearly report to the Audit Committee and publication of the Annual Governance Statement.	Half-yearly/ Annually	Application and effectiveness of the Local code reported to Members and the public.	Governance Framework Officer Group

DOCUMENTATION/FUNCTION - LOCAL CODE OF CORPORATE GOVERNANCE

REVIEW (keeping it up to date)	Local code reviewed as and when necessary but as a minimum, annually as part of the review of the Council Constitution.	Annually	Local Code remains up to date and relevant.	Borough Solicitor/Head of Corporate Assurance
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DOCUMENTATION/FUNCTION - RISK MANAGEMENT STRATEGY

<b>IMPLEMENTATION</b>				
<b>Target Population</b>	<b>Members, Managers/Supervisors.</b>			
<b>Duty</b>	<b>To develop and maintain robust systems for identifying and evaluating all significant risks which involve the participation of all those associated with planning and delivering services.</b>			
<b>Training Requirements</b>	<b>Training for Departmental Risk Champions. Members and Departmental Management Teams Training Sessions.</b>			
<b>Lead Officer</b>	<b>Head of Corporate Assurance</b>			
<b>PROCESS</b>	<b>ACTIONS (HOW)</b>	<b>WHEN</b>	<b>OUTPUT</b>	<b>WHO</b>
AWARENESS (keeping it live in people's minds)	Risk Management Strategy and Implementation Plan originally agreed by Cabinet.	September 2002.	Risk Management Process approved (Min. C97/Sep/2002) Approved (Min C125/Jan/2007)	Head of Corporate Assurance
	Risk Management Strategy reviewed and updated.	January 2007		
	Risk Awareness Sessions for Members and Senior Managers.	Module on Annual Members Development Programme Ongoing training for senior officers	Understanding of the Risk Management Process.	Head of Corporate Assurance
	Training of Departmental Risk Champions in the Risk Management Methodology.	Original training in December 2002 Ongoing training as part of annual Service Planning Process	Effective adoption of the Risk Management Methodology.	Head of Corporate Assurance

DOCUMENTATION/FUNCTION - RISK MANAGEMENT STRATEGY

	<p>Risk management process incorporated into Service Planning Guidance.</p> <p>Risk assessment processes incorporated by Departments within their Service Planning arrangements.</p> <p>Development of Intranet Service to assist/inform Members and Senior Managers.</p>	<p>Processes incorporated within Guidance</p> <p>Processes incorporated within Services Plans.</p> <p>In place - ongoing development</p>	<p>Integration of Risk Management into existing processes.</p> <p>Risk reflected in Departmental Service Plans.</p> <p>Intranet Service continuously updated to assist the risk management process.</p>	<p>Policy Manager</p> <p>Head of Corporate Assurance/Planning Network Officers</p> <p>Head of Corporate Assurance</p>
<p>MONITORING (keeping it effective – recording when it happens)</p>	<p>Departmental Service Plans and Corporate Plan, which reflect an analysis of risk, prepared and approved by Cabinet.</p> <p>Departmental Service Plans and Corporate Plan Indicators/Targets monitored via Performance Management Framework.</p> <p>Risk Management Reports to the Audit Committee</p>	<p>Annually.</p> <p>Annually.</p> <p>Half yearly</p>	<p>Risk analysis incorporated into Departmental Service Plans and Best Value Performance Plan.</p> <p>Position statements against planned indicators/targets.</p> <p>Annual Risk Management Report, progress reports and emerging risks reported to Audit Committee.</p>	<p>CMT/Planning Network Officers</p> <p>CMT/Planning Network Officers</p> <p>Head of Corporate Assurance</p>
<p>REVIEW (keeping it up to date)</p>	<p>Risk Management Strategy reviewed annually. Any necessary amendments subject to the approval of Audit Committee.</p>	<p>Annually.</p>	<p>Risk Management Strategy remains up to date and relevant.</p>	<p>Head of Corporate Assurance</p>



DOCUMENTATION/FUNCTION - ANTI-FRAUD AND CORRUPTION POLICY

<b>IMPLEMENTATION</b>				
<b>Target Population</b>	<b>Public, Employees, Senior Managers, Members</b>			
<b>Duty</b>	<b>To put in place arrangements which demonstrate the Council's zero tolerance approach to fraud and corruption. To ensure awareness of, and compliance with, the content of the Council's Anti-Fraud and Corruption Policy and Strategy and Proceeds of Crime (POCA) (Anti-Money Laundering) Policy</b>			
<b>Training Requirements</b>	<b>Officers and Members Induction and Training Programme, Departmental Management Teams Training Sessions</b>			
<b>Lead Officer</b>	<b>Head of Corporate Assurance</b>			
<b>PROCESS</b>	<b>ACTIONS (HOW)</b>	<b>WHEN</b>	<b>OUTPUT</b>	<b>WHO</b>
AWARENESS (keeping it live in people's minds)	Member approval of anti-fraud and corruption arrangements comprising an Anti-Fraud and Corruption Policy Statement and Strategy, Anti-Money Laundering Policy and a Housing Benefit/Council Tax Benefit Anti-Fraud Policy, Strategy and Sanctions Policy.	Arrangements originally approved by Council in September 2005 (Minute Ref. C48/Sep/05) and updates approved by the Audit Committee in December 2006 (Minute Ref. A24/Dec/07)	Member endorsement of zero tolerance approach to fraud and corruption and associated arrangements.	Head of Corporate Assurance
	Arrangements and guidance on the prevention of fraud publicised on the Intranet.	Ongoing	Staff and Member awareness raised on anti-fraud and corruption matters.	Audit Manager
	Arrangements covered in CETIS on line training.	Ongoing	Staff and Members understanding of the arrangements demonstrated.	Head of Performance and Development/Audit Manager
	Training Sessions for relevant identified employees.	Ongoing Initial sessions delivered in May 2006	Targeted training for relevant staff covering the arrangements in more detail.	Audit Manager

DOCUMENTATION/FUNCTION - ANTI-FRAUD AND CORRUPTION POLICY

	<p>Publicity covering fraud and housing benefit fraud, for example in</p> <ul style="list-style-type: none"> <li>• council tax wall planner</li> <li>• posters in Council buildings</li> <li>• articles in the Flyer magazine</li> </ul> <p>Internet web page to be developed.</p> <p>Dedicated 24 hour telephone line and email address to enable the public and employees to notify the Council of suspected fraud and corruption.</p>	<p>Ongoing</p> <p>March 2008</p> <p>Established</p>	<p>Public, staff and Member awareness of Council's zero tolerance approach to fraud and corruption.</p> <p>Public awareness raised on the Council's zero tolerance approach to fraud and corruption.</p> <p>Access readily available to enable the public and staff to report suspected fraud and corruption (in confidence).</p>	<p>Audit Manager</p> <p>Audit Manager</p> <p>Audit Manager</p>
<p>MONITORING (keeping it effective – recording when it happens)</p>	<p>Annual report(s) on the outcomes from the Council's anti-fraud and corruption arrangements presented to the Audit Committee.</p>	<p>Annually</p>	<p>Consideration of outcomes from the Council's anti-fraud and corruption arrangements.</p>	<p>Head of Corporate Assurance/Housing Benefits Manager</p>
<p>REVIEW (keeping it up to date)</p>	<p>Anti-fraud and corruption arrangements reviewed by the Audit Committee.</p>	<p>Annually</p>	<p>Arrangements remain up to date and relevant.</p>	<p>Head of Corporate Assurance</p>

DOCUMENTATION/FUNCTION – CAPITAL PROJECT MANAGEMENT

<b>IMPLEMENTATION</b>				
<b>Target Population</b>	<b>Members and Officers, particularly those involved in management of capital projects; project stakeholders, partners/suppliers and contractors.</b>			
<b>Duty</b>	<p><b>Practicing effective and efficient management of capital projects to ensure that project outcomes are delivered within specified time and cost parameters and designed in accordance with stakeholder expectations.</b></p> <p><b>Ensuring that projects are managed and implemented in accordance with Contract Procedure Rules, Financial Procedure Rules and the new Construction (Design and Management) Regulations 2007.</b></p> <p><b>Ensuring that project management roles and responsibilities are clearly defined and assigned; that management structures and processes are properly developed, available and understood, and followed by project managers</b></p> <p><b>Allocating responsibility and accountability for the overall management of the Council’s capital programme, and ensuring that it is managed effectively within resource limits.</b></p> <p><b>Ensuring that planning processes that generate capital projects are co-ordinated and linked into the capital process, with appropriate Member involvement in the origination of programmes and projects.</b></p> <p><b>Ensuring learning from projects is fed back into the capital process to inform and improve future project management</b></p>			
<b>Training Requirements</b>	<b>Member training; induction and training for all staff involved in capital project management</b>			
<b>Lead Officer</b>	<b>Director of Community Services</b>			
<b>PROCESS</b>	<b>ACTIONS (HOW)</b>	<b>WHEN</b>	<b>OUTPUT</b>	<b>WHO</b>
AWARENESS (keeping it live in people’s minds)	<p>New capital process currently under development via team representing all areas involved in project management.</p> <p>Roll-out event to process stakeholders in January 2008, to present new process and guidance.</p> <p>Include capital process in future Member training programmes</p> <p>Training for staff and induction for new staff to be developed.</p> <p>Process, guidance and standard documents to be available on intranet.</p> <p>Availability to partners/suppliers to be considered</p>	<p>First tranche of guidance products to be completed mid January 2008</p> <p>Roll-out end of January 2008</p> <p>Further tranches of products to be completed March 2008 and May 2008</p> <p>Annual Member Training</p> <p>New starter induction.</p> <p>Training cycles to be determined</p>	Single capital process that achieves above duties	Director of Community Services (Capital Process Review Sponsor and lead director on project management)

DOCUMENTATION/FUNCTION – CAPITAL PROJECT MANAGEMENT

<p>MONITORING (keeping it effective – recording when it happens)</p>	<p>Ensuring new capital process (when implemented) is followed Ensuring Contract Procedure Rules and Financial Procedure Rules are followed in project management. Ensuring all legal requirements, including CDM Regulations, are followed in project management</p>	<p>Ongoing for all</p>	<p>Projects are implemented effectively Time and cost parameters are achieved Outcomes are delivered Corporate and statutory requirements and regulations complied with</p>	<p>Asset Management Group</p>
<p>REVIEW (keeping it up to date)</p>	<p>The capital process will be reviewed to reflect statutory changes and national/regional/local drivers</p>	<p>As and when required and at least annually</p>	<p>Capital process is up to date and fit for purpose</p>	<p>Asset Management Group/Director of Community Services</p>

DOCUMENTATION/FUNCTION - INFORMATION GOVERNANCE POLICY

<b>IMPLEMENTATION</b>				
<b>Target Population</b>	<b>Senior management, officers, members, public</b>			
<b>Duty</b>	<b>To provide “leading edge” information governance through the implementation of best practice, facilitating efficient business processes, excellent customer service delivery and legislative compliance to create a knowledge management environment.</b>			
<b>Training Requirements</b>	<b>Members, Managers and staff.</b>			
<b>Lead Officer</b>	<b>Head of Corporate Assurance</b>			
<b>PROCESS</b>	<b>ACTIONS (HOW)</b>	<b>WHEN</b>	<b>OUTPUT</b>	<b>WHO</b>
AWARENESS (keeping it live in people’s minds)	Corporate Information Governance Policy and implementation programme approved by CMT.	Completed - November 2007	Formal approved of Policy and Work Programme. Awareness raised amongst senior management of their responsibilities under and importance of information governance	Head of Corporate Assurance
	Establish Corporate Information Governance Group.	Established - December 2007		Head of Corporate Assurance
	Strategic framework of policies and procedures, standards and guidance.	From January 2008	Raised awareness amongst Council staff and the public of information governance, particularly information rights legislation and records management.	Head of Corporate Assurance and Corporate Information Governance Group
	Information governance in Member Development Programmes.	Completed	Raised awareness amongst elected members of their responsibilities under and importance of information governance	Records and Information Manager
	Information governance roadshow to business/service management team meetings.	From January 2008	Raised awareness amongst managers of their responsibilities under importance of information governance	Records and Information Manager
	Staff awareness training in records management and information rights/access to information.	From Spring/Summer 2008	Raised awareness amongst council of their responsibilities under and importance of information governance	Records and Information Manager

DOCUMENTATION/FUNCTION - INFORMATION GOVERNANCE POLICY

	Staff training in access to information request policies and procedures.	From Spring 2008	Compliance with the requirements of information rights legislation	Records and Information Manager
MONITORING (keeping it effective – recording when it happens)	Corporate information governance policy project plan and Gantt chart.	In place	Keeping the policy and project plan relevant and effective	Head of Corporate Assurance
	Corporate Information Governance Group and workplan.	In place		Head of Corporate Assurance
	Keeping records of staff and members' attendance to training.	Records maintained	Keeping the training up-to-date, relevant and effective	Records and Information Manager
	Training feedback forms from all attendees.	From Spring/Summer 2008		Records and Information Manager
	Refresher sessions as appropriate	From January 2008	Keeping staff compliant with the requirements of the information rights legislation	Records and Information Manager
REVIEW (keeping it up to date)	Review Corporate Information Governance Policy.	November 2008	Keeping the group and policy's terms of reference and work plan up-to-date	Corporate Information Governance Group
	Review policies and procedures manual.	Spring 2009	Keeping the policies and procedures up-to-date	Records and Information Manager
	Review staff and member's training.	Spring 2009	Keeping the course materials up-to-date	Records and Information Manager

DOCUMENTATION/FUNCTION – PROCUREMENT STRATEGY

<b>IMPLEMENTATION</b>				
<b>Target Population</b>	<b>Public, members and officers</b>			
<b>Duty</b>	<b>To have a Corporate Procurement Strategy to enable informed decisions to be taken upon the method of delivering services to meet the needs of the local community.</b>			
<b>Training Requirements</b>	<b>Officer Training, Member Training Programme, Partner organisations,</b>			
<b>Lead Officer</b>	<b>Head of Strategic procurement and Contract Management</b>			
<b>PROCESS</b>	<b>ACTIONS (HOW)</b>	<b>WHEN</b>	<b>OUTPUT</b>	<b>WHO</b>
AWARENESS (keeping it live in people's minds)	Procurement Strategy available on the Council's Intranet and Internet  Procurement code of practice available on Intranet  Corporate Procurement Unit in place, to reflect priority of local authority  Training sessions for Members and officers and partners on procurement practices	Completed, although subject to review  As above  From October 2007  Ongoing	Strategy available to Members, managers, etc.  Those involved in procurement are aware of the strategy. Practitioners guide also available.  Dedicated resource available to support and advise on procurement issues. Members and relevant staff familiar with the Council's procurement processes.	Head of Strategic Procurement and Contract Management
MONITORING (keeping it effective – recording when it happens)	Directors are responsible for ensuring that their departmental procedures and processes reflect the requirements of the procurement strategy and that appropriate controls are in place to prevent non-compliance  Linkages identified between transformational change projects and procurement, and awareness/monitoring of joint savings and efficiencies.	Savings monitored six-monthly to CMT	Strategy complied with	Head of Strategic Procurement and Contract Management

DOCUMENTATION/FUNCTION – PROCUREMENT STRATEGY

REVIEW (keeping it up to date)	Procurement Strategy and Code of Practice to be reviewed and revised	Due April 2008 and annually thereafter.	To ensure strategy remains up to date and relevant	Head of Strategic Procurement and Contract Management
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DOCUMENTATION/FUNCTION – CONTRACT PROCEDURE RULES

<b>IMPLEMENTATION</b>				
<b>Target Population</b>	<b>Members, Managers/Supervisors.</b>			
<b>Duty</b>	<b>To put in place rules and compliance arrangements to ensure that public funds are used in accordance with statutory powers, economically, efficiently and effectively and that Members and employees are not influenced by prejudice, bias or conflicts of interest.</b>			
<b>Training Requirements</b>	<b>Members and Departmental Management Teams Training Seminars.</b>			
<b>Lead Officer</b>	<b>Borough Solicitor</b>			
<b>PROCESS</b>	<b>ACTIONS (HOW)</b>	<b>WHEN</b>	<b>OUTPUT</b>	<b>WHO</b>
AWARENESS (keeping it live in people's minds)	Rules covered at Officer/ Member Induction and in CETIS on line training.	On taking up post/seat	Staff and Members understanding of Rules requirements governing contractual matters in the Council which ensure uniformity of contract administration within an established framework.	Borough Solicitor
	Rules widely available through Constitution and on line on the Council's website.	Refreshed as required after each Annual Council	Staff and Members understanding of Rules requirements governing contractual matters in the Council which ensure uniformity of contract administration within an established framework.	Borough Solicitor
	Procurement Unit provide advice on all new procurements.	Ongoing	Staff and Members understanding of Rules requirements governing contractual matters in the Council which ensure uniformity of contract administration within an established framework.	Head of Strategic Procurement and Contract Management
	Procurement Guide.	Guide produced and available on the intranet	Staff and Members understanding of Rules requirements governing contractual matters in the Council which ensure uniformity of contract administration within an established framework.	Borough Solicitor/Head of Corporate Assurance
	Advice also provided through Internal Audit and Legal Services.	Ongoing	Staff and Members understanding of Rules requirements governing contractual matters in the Council which ensure uniformity of contract administration within an established framework.	Borough Solicitor/Head of Corporate Assurance

DOCUMENTATION/FUNCTION – CONTRACT PROCEDURE RULES

<p>MONITORING (keeping it effective – recording when it happens)</p>	<p>Directors are responsible for ensuring that their Departmental procedures and processes reflect the requirements of the Rules and that appropriate controls are in place to prevent non-compliance. Periodically, such procedures and processes would be subject to review for adequacy by Internal or External Audit.</p>	<p>Controls built into systems</p>	<p>Rules complied with.</p>	<p>Directors Internal Audit</p>
<p>REVIEW (keeping it up to date)</p>	<p>Rules reviewed as and when necessary but as a minimum annually as part of the review of the Council Constitution.</p>	<p>Annually</p>	<p>Rules remain up to date and relevant.</p>	<p>Borough Solicitor</p>

DOCUMENTATION/FUNCTION - MEDIUM TERM FINANCIAL PLAN (MTFP) ANNUAL BUDGETS

<b>IMPLEMENTATION</b>				
<b>Target Population</b>	<b>Public, Members, CMT, Managers/Supervisors, External Audit.</b>			
<b>Duty</b>	<b>To conform to existing and proposed statutory requirements upon annual budget setting and longer term financial planning.</b>			
<b>Training</b>	<b>Budgetary Control Awareness Training for Budget Holders.</b>			
<b>Requirements</b>				
<b>Lead Officer</b>	<b>Assistant Director - Accounting Services and Local Taxation</b>			
<b>PROCESS</b>	<b>ACTIONS (HOW)</b>	<b>WHEN</b>	<b>OUTPUT</b>	<b>WHO</b>
AWARENESS (keeping it live in people's minds)	Budget setting process comprising a series of reports and discussions throughout the year involving CMT, Resources Scrutiny, Cabinet and Council.  The Service Planning Framework underpins Departmental allocations of resources.  Budgetary Control Awareness training for budget holders.	Annually.    As required in response to training needs identified from Performance Appraisals. Foundation Managers Programme Darlington Manager Programme - 2 a year	MTFP and yearly budgets set which allocate resources according to priorities.    Budgetary Control training needs addressed.	CMT/Cabinet/ Council    Managers/ Supervisors
MONITORING (keeping it effective – recording when it happens)	Annual budget monitoring regime :- monthly reports to DMT's and CMT Quarterly Joint Finance/Performance Reports to Cabinet/Scrutiny	Monthly.  Quarterly	Regular in year budget monitoring to facilitate control.	Director of Corporate Services.

DOCUMENTATION/FUNCTION - MEDIUM TERM FINANCIAL PLAN (MTFP) ANNUAL BUDGETS

<p>REVIEW (keeping it up to date)</p>	<p>Outcomes from Annual Budgets against Actual built into the review of the MTFP.</p> <p>Consultation with public and stakeholder groups.</p>	<p>Annually</p> <p>Various annual and four-monthly events</p>	<p>MTFP Reviewed.</p> <p>Information taken into account in budget setting.</p>	<p>CMT/Cabinet/Council</p> <p>Citizens' Panel, Citizens Budget Panel, Electorate, Partner Organisations</p>
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DOCUMENTATION/FUNCTION – TREASURY MANAGEMENT

<b>IMPLEMENTATION</b>				
<b>Target Population</b>	<b>Members, Senior Managers.</b>			
<b>Duty</b>	<b>To develop and maintain robust systems for the management of the organisations cashflow, its banking, money market and capital transactions; the effective management of risks associated with those activities; and the pursuit of optimum performance consistent with those</b>			
<b>Training Requirements</b>	<b>Professional training for Treasury Management staff, Members and Departmental Management Teams Training</b>			
<b>Lead Officer</b>	<b>Assistant Director - Corporate Services</b>			
<b>PROCESS</b>	<b>ACTIONS (HOW)</b>	<b>WHEN</b>	<b>OUTPUT</b>	<b>WHO</b>
AWARENESS (keeping it live in people's minds)	Treasury Policy Statement agreed by Council	February 2002.	Policy statement approved (Min. C250/Feb/2002)	Assistant Director-Corporate Services
	Treasury Management Strategy and Prudential Indicators agreed by Council.	March 2007.	Annual Investment strategy and Prudential Indicators Report approved by Council (Min 94(3)March 2007).	Assistant Director-Corporate Services
	Familiarisation sessions on the Treasury Management Function for Members and officers	May 2006	Member training and Development Programme Service information Posted on the Intranet.	Assistant Director-Corporate Services
	Completion of the Treasury Management Procedures (TMP'S) and associated Schedules in accordance with theCIPFA Code of Practice	October 2002.	Procedures produced and approved by Cabinet(Min C119/Oct /2002)	Assistant Director-Corporate Services
	Compilation of the Treasury Management Manual	Initial document produced March 2003 which is continually updated as necessary	Treasury Management manual	Assistant Director-Corporate Services

DOCUMENTATION/FUNCTION – TREASURY MANAGEMENT

	Training for Treasury Management Staff identified and addressed through the Performance Appraisal System	Annually	Quality of Service delivery maintained and enhanced	Financial Services Manager
MONITORING (keeping it effective – recording when it happens)	Performance of the function monitored Monthly by the Assistant Director-Corporate Services from management information reports  Annual and Half Yearly reports approved by Cabinet on the Performance of the function	Ongoing on a monthly basis  July 2007 Interim report for 2007/08 in December 2007	Monthly Management reports on the Treasury Management Function  Cabinet approved Annual report for 2006/07 Min ref C44/Jul/07 Cabinet approved interim Report December 2007	Financial Services Manager  Financial Services Manager
REVIEW (keeping it up to date)	Treasury Management Function reviewed annually by Internal/ external Audit.  Treasury Management policy statement, strategy and TMP's reviewed annually	Annually.  Annually	Audit reports  Latest strategy for 2007/08 approved by Council in March 2007 Min Ref 94(3) March 2007	Internal Audit/ External Audit  Assistant Director-Corporate Services

DOCUMENTATION/FUNCTION - ANNUAL STATEMENT OF ACCOUNTS

<b>IMPLEMENTATION</b>				
<b>Target Population</b>	<b>Public, Members, CMT, External Audit</b>			
<b>Duty</b>	<b>To publish on a timely basis an Annual Statement of Accounts, produced in accordance with relevant standards and codes, which presents the financial position of the Council.</b>			
<b>Training Requirements</b>	<b>Professional Training for Finance Staff.</b>			
<b>Lead Officer</b>	<b>Assistant Director - Accounting Services and Local Taxation</b>			
<b>PROCESS</b>	<b>ACTIONS (HOW)</b>	<b>WHEN</b>	<b>OUTPUT</b>	<b>WHO</b>
AWARENESS (keeping it live in people's minds)	Statement of Accounts reported to Audit Committee for approval pre External Audit.	Annually	Annual Statement of Accounts approved by Audit Committee.	Director of Corporate Services
	Statutory advertising requirements adhered to :- <ul style="list-style-type: none"> <li>• publicising that Annual Accounts are available for public inspection; and</li> <li>• informing when the External Audit completed</li> </ul>	Annually	Objections/queries on the Accounts from Council Tax Payers dealt with by External Audit. Annual Statement of Accounts signed off by External Audit.	External Audit
	Any necessary professional training for Finance Staff e.g. to keep abreast of new legislation, etc. identified and addressed through the Performance Appraisal System.	As required in response to training needs identified from Performance Appraisals	Finance training needs addressed.	Assistant Director - Accounting Services and Local Taxation.
MONITORING (keeping it effective – recording when it happens)	Production process of Annual Statement of Accounts underpinned by a comprehensive workplan/task list.	Annually	Workplan in place for production of Annual Statement of Accounts. Performance against Workplan monitored to enable objectives to be met.	Assistant Director - Accounting Services and Local Taxation.

DOCUMENTATION/FUNCTION - ANNUAL STATEMENT OF ACCOUNTS

	Outcomes against the workplan monitored through the Performance Management Framework (PMF).	See Performance Management Framework	Workplan in place for production of Annual Statement of Accounts. Performance against  Workplan monitored to enable objectives to be met.	Assistant Director - Accounting Services and Local Taxation.
REVIEW (keeping it up to date)	Review of the process undertaken by all those officers who have contributed and including External Audit.  Process Benchmarking/ Networking with other organisations to compare practice and performance.	Annually  Periodically during the year	Process of production of Annual Statement of Accounts reviewed to reflect efficiencies and best practice.  Process of production of Annual Statement of Accounts reviewed to reflect efficiencies and best practice.	Assistant Director - Accounting Services and Local Taxation.  Assistant Director - Accounting Services and Local Taxation.



DOCUMENTATION/FUNCTION - FINANCIAL PROCEDURE RULES

<b>IMPLEMENTATION</b>				
<b>Target Population</b>	<b>Members, Managers/Supervisors.</b>			
<b>Duty</b>	<b>To put in place rules and compliance arrangements to ensure that public funds are used in accordance with statutory powers, economically, efficiently and effectively and that Members and employees are not influenced by prejudice, bias or conflicts of interest.</b>			
<b>Training Requirements</b>	<b>Members and Departmental Management Teams Training Seminars.</b>			
<b>Lead Officer</b>	<b>Head of Corporate Assurance</b>			
<b>PROCESS</b>	<b>ACTIONS (HOW)</b>	<b>WHEN</b>	<b>OUTPUT</b>	<b>WHO</b>
AWARENESS (keeping it live in people's minds)	Rules covered at Officer/ Member Induction and in CETIS on-line training.	On taking up post/seat	Staff and Members understanding of Rules requirements governing financial matters in the Council which ensure uniformity of financial administration within an established framework.	Head of Corporate Assurance
	Rules covered on Foundation and Darlington Managers training programme.	Annually	Managers understanding of Rules requirements governing financial matters in the Council which ensure uniformity of financial administration within an established framework.	Accounting Manager
	Advice provided by Accounting and Audit Services on application of the Rules.	Ongoing	Staff understanding of Rules requirements governing financial matters in the Council, which ensure uniformity of financial administration within an established framework.	Accounting Manager/Head of Corporate Assurance

DOCUMENTATION/FUNCTION - FINANCIAL PROCEDURE RULES

<p>MONITORING (keeping it effective – recording when it happens)</p>	<p>Directors are responsible for ensuring that their Departmental procedures and processes reflect the requirements of the Rules and that appropriate controls are in place to prevent non-compliance. Periodically, such procedures and processes would be subject to review for adequacy by Internal or External Audit.</p>	<p>Controls built into systems</p>	<p>Rules complied with.</p>	<p>Directors.</p>
<p>REVIEW (keeping it up to date)</p>	<p>Rules reviewed as and when necessary but as a minimum annually as part of the review of the Council Constitution.</p>	<p>Annually</p>	<p>Rules remain up to date and relevant.</p>	<p>Head of Corporate Assurance</p>

DOCUMENTATION/FUNCTION - SCHEME OF DELEGATION

<b>IMPLEMENTATION</b>				
<b>Target Population</b>	<b>Members, Managers/Supervisors</b>			
<b>Duty</b>	<b>To put in place a scheme which sets out which body or individual is able to make which decisions. To ensure that the nature of that decision, whether Executive or not, is recorded. To record powers delegated by statute and to ensure that proper arrangements are in place for the operation of the scheme.</b>			
<b>Training Requirements</b>	<b>To develop and maintain a scheme of delegated powers which should include a formal schedule of those matters specifically reserved for the collective decision of the authority.</b>			
<b>Lead Officer</b>	<b>Members Induction and Departmental Management Teams Training Sessions</b>			
	<b>Borough Solicitor</b>			
<b>PROCESS</b>	<b>ACTIONS (HOW)</b>	<b>WHEN</b>	<b>OUTPUT</b>	<b>WHO</b>
AWARENESS (keeping it live in people's minds)	Scheme set out in the Constitution.	On taking up post/seat	Members and officers aware of the content of the scheme	Borough Solicitor
	Member and Officer Induction.	On taking up office/seat	Members of DMTs aware of the content of the scheme	
	DMT Briefings.	Ongoing		
MONITORING (keeping it effective – recording when it happens)	Legal Advice on Committee Reports.	Every meeting	Decisions made in accordance with scheme	Borough Solicitor
REVIEW (keeping it up to date)	Annual Review by Council with input from Standards Committee incorporating statutory changes.	May each year	Rules remain up to date and relevant	Borough Solicitor

DOCUMENTATION/FUNCTION – COMPLAINTS PROCEDURE

<b>IMPLEMENTATION</b>				
<b>Target Population</b>	<b>Public, members and officers</b>			
<b>Duty</b>	<b>To put in place appropriate procedures to ensure that members of the public know how to make a complaint regarding Council's services, and to ensure that the authority handles complaints fairly and equitably, whilst monitoring, evaluating and learning from complaints.</b>			
<b>Training Requirements</b>	<b>Officer Training, Member Training Programme, Partner organisations,</b>			
<b>Lead Officer</b>	<b>Policy Manager</b>			
<b>PROCESS</b>	<b>ACTIONS (HOW)</b>	<b>WHEN</b>	<b>OUTPUT</b>	<b>WHO</b>
AWARENESS (keeping it live in people's minds)	Public complaint forms Internet access Online procedure Local Government Ombudsman reports and publications	Ongoing	Public and officers and members aware of procedure	Policy Manager Borough Solicitor
MONITORING (keeping it effective – recording when it happens)	Currently monitored within departments, with information collated and sent to corporate centre for reporting alongside quarterly combined performance and financial report	Quarterly	Numbers of complaints received	Departmental officers
REVIEW (keeping it up to date)	Procedure has been subject to review	Completed December 2007	Areas for improvement identified, including: Process needs amending to be more streamlined; Improved learning and performance management arrangements required Consideration to centralised point of contact for complaints Requirement for vexatious complaints policy	Policy Manager Borough Solicitor

DOCUMENTATION/FUNCTION – SOCIAL INCLUSION

<b>IMPLEMENTATION</b>				
<b>Target Population</b>	<b>Public, Members and Officers</b>			
<b>Duty</b>	<b>To improve the life chances of those suffering or at risk of suffering discrimination and disadvantage</b>			
<b>Training</b>	<b>Member Training Programme, Officer Training, Partner organisations</b>			
<b>Requirements</b>				
<b>Lead Officer</b>	<b>Communities and Social Inclusion Manager</b>			
<b>PROCESS</b>	<b>ACTIONS (HOW)</b>	<b>WHEN</b>	<b>OUTPUT</b>	<b>WHO</b>
AWARENESS (keeping it live in people’s minds)	Deliver the Social Inclusion Strategy  Rollout training programme  Ensure clear linkages between Community Engagement Strategy, corporate intelligence work and the Social inclusion Strategy	Member training in place  Six-monthly assessment of action plans  Ongoing	Social Inclusion Strategy in place  Member training programmed  Linkages in place between key strategies	Communities and Social Inclusion Manager
MONITORING (keeping it effective – recording when it happens)	Performance indicator basket linked to Social Inclusion Strategy  Regular action planning	Quarterly reporting of indicators where available.  Actions six-monthly	Social Inclusion Strategy contains performance indicators  Measurable delivery of social inclusion in Darlington	Strategic and Implementation Groups Communities and Social Inclusion Manager



DOCUMENTATION/FUNCTION - EQUALITIES

<b>IMPLEMENTATION</b>				
<b>Target Population</b>	<b>Public, Members and Senior Officers</b>			
<b>Duty</b>	<b>To ensure equal opportunities for all</b>			
<b>Training</b>	<b>Member Training Programme, Officer Training, Partner organisations</b>			
<b>Requirements</b>				
<b>Lead Officer</b>	<b>Communities and Social Inclusion Manager</b>			
<b>PROCESS</b>	<b>ACTIONS (HOW)</b>	<b>WHEN</b>	<b>OUTPUT</b>	<b>WHO</b>
AWARENESS (keeping it live in people's minds)	Project initiation document for attainment of level 4 of the Equality Standard for Local Government.  Disability Equality Scheme in place.  Corporate Equalities Review and Plan 05/06 (incorporating Race Equality Scheme) 2).  Gender Equality Scheme in place.	Assessed annually	Members and Officers are aware of the contents through training,  Documents held on Intranet/Internet and are accessible	Communities and Social Inclusion Manager  Communities and Social Inclusion Manager
MONITORING (keeping it effective – recording when it happens)	Monitoring via Social Inclusion Implementation Group and Strategic Inclusion Group.	Strategic and Implementation groups monitor progress	Delivery of the Equalities Plan.	Strategic and Implementation Groups Communities and Social Inclusion Manager
REVIEW (keeping it up to date)	Continue to develop the basket of performance indicators to review equalities.  Departmental delivery teams.	Quarterly	Ensures equalities remains a high level priority for every department Supports Darlington schools	Communities and Social Inclusion Manager