

DARLINGTON BOROUGH COUNCIL**LOCAL CODE OF CORPORATE GOVERNANCE****1. INTRODUCTION**

Governance comprises the arrangements put in place by the Council to ensure that the intended outcomes for stakeholders are defined and achieved.

To deliver good governance both the Council and individuals working for it must try to achieve the Council's objectives while acting in the public interest at all times. Acting in the public interest implies primary consideration of the benefits for society, which should result in positive outcomes for service users and other stakeholders.

The core principles of good governance are: -

- (a)** Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law.
- (b)** Ensuring openness and comprehensive stakeholder engagement.
- (c)** Defining outcomes in terms of sustainable economic, social, and environmental benefits.
- (d)** Determining the interventions necessary to optimise the achievement of the intended outcomes.
- (e)** Developing the entity's capacity, including the capability of its leadership and the individuals within it.
- (f)** Managing risks and performance through robust internal control and strong public financial management.
- (g)** Implementing good practices in transparency, reporting, and audit, to deliver effective accountability.

The Council supports these principles fully. This Code is a public statement of the commitment to these principles and sets out clearly the way in which the Council will meet that commitment.

The main body of the Code is divided into seven sections, each of which covers a particular core principle together with supporting principles, of good governance. Under each section, the means by which the Council will meet and demonstrate its commitment to good governance in relation to that principle is exemplified.

2. BEHAVING WITH INTEGRITY, DEMONSTRATING STRONG COMMITMENT TO ETHICAL VALUES, AND RESPECTING THE RULE OF LAW

The Council is accountable not only for how much it spends, but also for how it uses the resources under its stewardship. This includes accountability for outputs, both positive

and negative, and for the outcomes it has achieved. In addition, it has an overarching responsibility to serve the public interest in adhering to the requirements of legislation and government policies. It is essential that it can demonstrate the appropriateness of its actions across all activities and that it has mechanisms in place to encourage and enforce adherence to ethical values and to respect the rule of law.

(a) Behaving with integrity

In order to meet this commitment the Council will :-

- (i) Ensure members and officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the organisation;
- (ii) Ensure members take the lead in establishing specific standard operating principles or values for the organisation and its staff and that they are communicated and understood. These will build on the Seven Principles of Public Life (the Nolan Principles);
- (iii) Lead by example and use the above standard operating principles or values as a framework for decision making and other actions;
- (iv) Demonstrate, communicate and embed the standard operating principles or values through appropriate policies and processes which are reviewed on a regular basis to ensure that they are operating effectively.

(b) Demonstrating strong commitment to ethical values

In order to meet this commitment the Council will :-

- (i) Seek to establish, monitor and maintain the organisation's ethical standards and performance;
- (ii) Underpin personal behaviour with ethical values and ensure they permeate all aspects of the organisation's culture and operation;
- (iii) Develop and maintain robust policies and procedures which place emphasis on agreed ethical values;
- (iv) Ensure that external providers of services on behalf of the organisation are required to act with integrity and in compliance with ethical standards expected by the organisation.

(c) Respecting the rule of law

In order to meet this commitment the Council will :-

- (i) Ensure members and staff demonstrate a strong commitment to the rule of law as well as adhering to relevant laws and regulations;

- (ii) Create the conditions to ensure that the statutory officers, other key post holders, and members, are able to fulfil their responsibilities in accordance with legislative and regulatory requirements;
- (iii) Strive to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders;
- (iv) Deal with breaches of legal and regulatory provisions effectively;
- (v) Ensure corruption and misuse of power are dealt with effectively.

3. **ENSURING OPENNESS AND COMPREHENSIVE STAKEHOLDER ENGAGEMENT**

The Council is run for the public good, therefore will ensure openness in its activities. Clear, trusted channels of communication and consultation will be used to engage effectively with all groups of stakeholders, such as individual citizens and service users, as well as institutional stakeholders.

(a) Openness

In order to meet this commitment the Council will:-

- (i) Ensure an open culture through demonstrating, documenting and communicating the organisation's commitment to openness;
- (ii) Make decisions that are open about actions, plans, resource use, forecasts, outputs and outcomes. The presumption is for openness. If that is not the case, a justification for the reasoning for keeping a decision confidential will be provided;
- (iii) Provide clear reasoning and evidence for decisions in both public records and explanations to stakeholders and be explicit about the criteria, rationale and considerations used. In due course, ensure that the impact and consequences of those decisions are clear;
- (iv) Use formal and informal consultation and engagement to determine the most appropriate and effective interventions/courses of action.

(b) Engaging comprehensively with institutional stakeholders

Institutional stakeholders are the other organisations that the Council needs to work with to improve services and outcomes (such as commercial partners and suppliers as well as other public or third sector organisations) or organisations to which it is accountable.

In order to meet this commitment the Council will:-

- (i) Effectively engage with institutional stakeholders to ensure that the purpose, objectives and intended outcomes for each stakeholder relationship is clear so that outcomes are achieved successfully and sustainably;
- (ii) Develop formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively;
- (iii) Ensure that partnerships are based on trust, a shared commitment to change and a culture that promotes and accepts challenge among partners and that the added value of partnership working is explicit.

(c) Engaging with individual citizens and service users effectively

In order to meet this commitment the Council will:-

- (i) Establish a clear policy on the type of issues that the organisation will meaningfully consult with or involve communities, individual citizens, service users and other stakeholders to ensure that service (or other) provision is contributing towards the achievement of intended outcomes;
- (ii) Ensure that communication methods are effective and that members and officers are clear about their roles with regard to community engagement;
- (iii) Encourage, collect and evaluate the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs;
- (iv) Implement effective feedback mechanisms in order to demonstrate how views have been taken into account;
- (v) Balance feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity;
- (vi) Take account of the impact of decisions on future generations of tax payers and service users.

4. DEFINING OUTCOMES IN TERMS OF SUSTAINABLE ECONOMIC, SOCIAL, AND ENVIRONMENTAL BENEFITS

The long-term nature and impact of many Council responsibilities mean that it will define and plan outcomes and that these will be sustainable. Decisions will further the organisation's purpose, contribute to intended benefits and outcomes, and remain within the limits of authority and resources. Input from all groups of stakeholders, including citizens, service users, and institutional stakeholders, is vital to the success of this process and in balancing competing demands when determining priorities for the finite resources available.

(a) Defining outcomes

In order to meet this commitment the Council will :-

- (i) Have a clear vision, which is an agreed formal statement of the organisation's purpose and intended outcomes containing appropriate performance indicators, which provide the basis for the organisation's overall strategy, planning and other decisions;
- (ii) Specify the intended impact on, or changes for, stakeholders including citizens and service users. It could be immediately or over the course of a year or longer;
- (iii) Deliver defined outcomes on a sustainable basis within the resources available;
- (iv) Identify and manage risks to the achievement of outcomes;
- (v) Manage service users' expectations effectively with regard to determining priorities and making the best use of the resources available.

(b) Sustainable economic, social and environmental benefits

In order to meet this commitment the Council will :-

- (i) Consider and balance the combined economic, social and environmental impact of policies and plans when taking decisions about service provision;
- (ii) Take a longer-term view with regard to decision making, taking account of risk and acting transparently where there are potential conflicts between the organisation's intended outcomes and short-term factors such as the political cycle or financial constraints;
- (iii) Determine the wider public interest associated with balancing conflicting interests between achieving the various economic, social and environmental benefits, through consultation where possible, in order to ensure appropriate trade-offs;
- (iv) Ensure fair access to services.

5. DETERMINING THE INTERVENTIONS NECESSARY TO OPTIMISE THE ACHIEVEMENT OF THE INTENDED OUTCOMES

The Council achieves its intended outcomes by providing a mixture of legal, regulatory, and practical interventions (courses of action). Determining the right mix of these courses of action is a critically important strategic choice that the Council has to make to ensure intended outcomes are achieved. It needs robust decision-making mechanisms to ensure defined outcomes can be achieved in a way that provides the best trade-off between the various types of resource inputs while still enabling effective and efficient operations. Decisions need to be reviewed frequently to ensure that achievement of outcomes is optimised.

(a) Determining interventions

In order to meet this commitment the Council will :-

- (i) Ensure decision makers receive objective and rigorous analysis of a variety of options indicating how intended outcomes would be achieved and associated risks. Therefore ensuring best value is achieved however services are provided;
- (ii) Consider feedback from citizens and service users when making decisions about service improvements or where services are no longer required in order to prioritise competing demands within limited resources available including people, skills, land and assets and bearing in mind future impacts.

(b) Planning interventions

In order to meet this commitment the Council will :-

- (i) Establish and implement robust planning and control cycles that cover strategic and operational plans, priorities and targets;
- (ii) Engage with internal and external stakeholders in determining how services and other courses of action will be planned and delivered;
- (iii) Consider and monitor risks facing each partner when working collaboratively, including shared risks;
- (iv) Ensure arrangements are flexible and agile so that the mechanisms for delivering goods and services can be adapted to changing circumstances;
- (v) Establish appropriate key performance indicators (KPIs) as part of the planning process in order to identify how the performance of services and projects is to be measured;
- (vi) Ensure capacity exists to generate the information required to review service quality regularly;

- (vii) Prepare budgets in accordance with objectives, strategies and the medium term financial plan;
- (viii) Inform medium and long term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy.

(c) Optimising achievement of intended outcomes

In order to meet this commitment the Council will :-

- (i) Ensure the medium term financial strategy integrates and balances service priorities, affordability and other resource constraints;
- (ii) Ensure the budgeting process is all-inclusive, taking into account the full cost of operations over the medium and longer term;
- (iii) Ensure the medium term financial strategy sets the context for ongoing decisions on significant delivery issues or responses to changes in the external environment that may arise during the budgetary period in order for outcomes to be achieved while optimising resource usage;
- (iv) Ensure the achievement of 'social value' through service planning and commissioning.

6. DEVELOPING THE ENTITY'S CAPACITY INCLUDING THE CAPABILITY OF ITS LEADERSHIP AND THE INDIVIDUALS WITHIN IT

The Council needs appropriate structures and leadership, as well as people with the right skills, appropriate qualifications and mind-set, to operate efficiently and effectively and achieve intended outcomes within the specified periods. The Council must ensure that it has both the capacity to fulfil its own mandate and to make certain that there are policies in place to guarantee that its management has the operational capacity for the organisation as a whole. As both individuals and the environment in which the Council operates will change over time, there will be a continuous need to develop capacity as well as the skills and experience of individual staff members. Leadership in the Council is strengthened by the participation of people with many types of backgrounds, reflecting the structure and diversity of communities.

(a) Developing the entity's capacity

In order to meet this commitment the Council will :-

- (i) Review operations, performance and use of assets on a regular basis to ensure their continuing effectiveness;
- (ii) Improve resource use through appropriate application of techniques such as benchmarking and other options in order to determine how resources are allocated so that defined outcomes are achieved effectively and efficiently;

- (iii) Recognise the benefits of partnership and collaborative working where added value can be achieved;
- (iv) Develop and maintain an effective workforce plan to enhance the strategic allocation of resources.

(b) Developing the capability of the entity's leadership and other individuals

In order to meet this commitment the Council will :-

- (i) Develop protocols to ensure that elected and appointed leaders negotiate with each other regarding their respective roles early on in the relationship and that a shared understanding of roles and objectives is maintained;
- (ii) Publish a statement that specifies the types of decisions that are delegated and those reserved for the collective decision making of the governing body;
- (iii) Ensure the Leader and the Chief Executive have clearly defined and distinctive leadership roles within a structure whereby the Chief Executive leads in implementing strategy and managing the delivery of services and other outputs set by members and each provides a check and a balance for each other's authority;
- (iv) Develop the capabilities of members and senior management to achieve effective leadership and to enable the organisation to respond successfully to changing legal and policy demands as well as economic, political and environmental changes and risks by:
 - ensuring members and staff have access to appropriate induction tailored to their role and that ongoing training and development matching individual and organisational requirements is available and encouraged;
 - ensuring members and officers have the appropriate skills, knowledge, resources and support to fulfil their roles and responsibilities and ensuring that they are able to update their knowledge on a continuing basis;
 - ensuring personal, organisational and system-wide development through shared learning, including lessons learnt from governance weaknesses both internal and external;
- (v) Ensure there are structures in place to encourage public participation;
- (vi) Take steps to consider the leadership's own effectiveness and ensure leaders are open to constructive feedback from peer review and inspections;
- (vii) Hold staff to account through regular performance reviews which take account of training or development needs;
- (viii) Ensure arrangements are in place to maintain the health and wellbeing of the workforce and support individuals in maintaining their own physical and

mental wellbeing.

7. MANAGING RISKS AND PERFORMANCE THROUGH ROBUST INTERNAL CONTROL AND STRONG PUBLIC FINANCIAL MANAGEMENT

Exercising leadership through a robust scrutiny function which effectively engages local people and all local institutional stakeholders, including partnerships, and develops constructive accountability relationships

The Council needs to ensure that the organisation and governance structures that it oversees have implemented, and can sustain, an effective performance management system that facilitates effective and efficient delivery of planned services. Risk management and internal control are important and integral parts of a performance management system and are crucial to the achievement of outcomes. Risk should be considered and addressed as part of all decision making activities.

A strong system of financial management is essential for the implementation of policies and the achievement of intended outcomes, as it will enforce financial discipline, strategic allocation of resources, efficient service delivery and accountability.

It is also essential that a culture and structure for scrutiny is in place as a key part of accountable decision making, policy making and review. A positive working culture that accepts, promotes and encourages constructive challenge is critical to successful service delivery. Importantly, this culture does not happen automatically, it requires repeated public commitment from those in authority.

(a) Managing risk

In order to meet this commitment the Council will :-

- (i) Recognise that risk management is an integral part of all activities and must be considered in all aspects of decision making;
- (ii) Implement robust and integrated risk management arrangements and ensure that they are working effectively;
- (iii) Ensure that responsibilities for managing individual risks are clearly allocated.

(b) Managing performance

In order to meet this commitment the Council will :-

- (i) Monitor service delivery effectively including planning, specification, execution and independent post implementation review;
- (ii) Make decisions based on relevant, clear objective analysis and advice pointing out the implications and risks inherent in the organisation's financial, social and environmental position and outlook;

- (iii) Ensure an effective scrutiny or oversight function is in place which provides constructive challenge and debate on policies and objectives before, during and after decisions are made thereby enhancing the organisation's performance and that of any organisation for which it is responsible;
- (iv) Provide members and senior management with regular reports on service delivery plans and on progress towards outcome achievement;
- (v) Ensure there is consistency between specification stages (such as budgets) and post implementation reporting (eg financial statements).

(c) Robust internal control

In order to meet this commitment the Council will :-

- (i) Align the risk management strategy and policies on internal control with achieving objectives;
- (ii) Evaluate and monitor risk management and internal control on a regular basis;
- (iii) Ensure effective counter fraud and anti-corruption arrangements are in place;
- (iv) Ensure additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor;
- (v) Ensure that an audit committee, which is independent of the executive and accountable to the governing body:
 - Provides a further source of effective assurance regarding arrangements for managing risk and maintaining an effective control environment;
 - That its recommendations are listened to and acted upon.

(d) Managing data

In order to meet this commitment the Council will :-

- (i) Ensure effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data;
- (ii) Ensure effective arrangements are in place and operating effectively when sharing data with other bodies;
- (iii) Review and audit regularly the quality and accuracy of data used in decision making and performance monitoring.

(e) Strong public financial management

In order to meet this commitment the Council will:-

- (i) Ensure financial management supports both long-term achievement of outcomes and short-term financial and operational performance;
- (ii) Ensure well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls.

8. IMPLEMENTING GOOD PRACTICES IN TRANSPARENCY, REPORTING, AND AUDIT TO DELIVER EFFECTIVE ACCOUNTABILITY

Accountability is about ensuring that those making decisions and delivering services are answerable for them. Effective accountability is concerned not only with reporting on actions completed, but also ensuring that stakeholders are able to understand and respond as the organisation plans and carries out its activities in a transparent manner. Both external and internal audit contribute to effective accountability.

(a) Implementing good practice in transparency

In order to meet this commitment the Council will:-

- (i) Write and communicate reports for the public and other stakeholders in a fair, balanced and understandable style appropriate to the intended audience and ensuring that they are easy to access and interrogate;
- (ii) Strike a balance between providing the right amount of information to satisfy transparency demands and enhance public scrutiny while not being too onerous to provide and for users to understand.

(b) Implementing good practices in reporting

In order to meet this commitment the Council will:-

- (i) Report at least annually on performance, value for money and stewardship of resources to stakeholders in a timely and understandable way;
- (ii) Ensure members and senior management own the results reported;
- (iii) Ensure robust arrangements for assessing the extent to which the principles contained in this Framework have been applied and publish the results of this assessment, including an action plan for improvement and evidence to demonstrate good governance (the annual governance statement);
- (iv) Ensure that this Framework is applied to jointly managed or shared service organisations as appropriate;
- (v) Ensure the performance information that accompanies the financial statements is prepared on a consistent and timely basis and the statements allow for comparison with other, similar organisations.

(c) Assurance and effective accountability

In order to meet this commitment the Council will:-

- (i) Ensure that recommendations for corrective action made by external audit are acted upon;
- (ii) Ensure an effective internal audit service with direct access to members is in place, providing assurance with regard to governance arrangements and that recommendations are acted upon;
- (iii) Welcome peer challenge, reviews and inspections from regulatory bodies and implement recommendations;
- (iv) Gain assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement;
- (v) Ensure that when working in partnership, arrangements for accountability has been recognised and met.

9. EVIDENCING THE CORE PRINCIPLES

All policies, systems, procedures and structures that determine and control the way in which the Council manages its business for the greater good of the community comprise the Local Code or Governance Framework.

To ensure that this Code is a dynamic process that leads to real outcomes, it has been developed as follows :-

- (a) The key documents and functions that support corporate governance, and in turn shape other processes have been identified. Some of these documents and functions such as the Constitution and the authority's Service Planning and Performance Management Framework contribute towards more than one core principle. These are identified in **Appendix 1** to the Code;
- (b) For each document/function the target population i.e. who should be aware of this document or function has been identified. In all cases there are several target audiences and an approach has been developed that distinguishes between audiences to best service their needs;
- (c) A lead officer for each document/function has also been identified to ensure that the identified duty in respect of corporate governance is clearly assigned to an accountable person;
- (d) A distinctive feature of Darlington's Local Code is that it has been designed as a process not a one-off document. Therefore, three discrete types of actions have been identified and assigned to nominated officers. These types of action are :-
 - (i) **AWARENESS** - making sure that everyone who needs to know about the document/function does know about it;

- (ii) **MONITORING** - ensuring that the duty is carried out;
- (iii) **REVIEW** - parts of the Local Code will continue to evolve and develop as local government modernisation continues and legislation changes. Review actions ensure that all parts of the Code are reviewed in the light of effectiveness and emerging good practice.

10. **ARRANGEMENT FOR ENSURING ONGOING APPLICATION AND EFFECTIVENESS**

In order to meet the statutory requirements set out in Regulation 6 (1) (a) of the Accounts and Audit Regulations 2015 an Annual Governance Statement will be signed by the Leader of the Council and Chief Executive and published with the Annual Statement of Accounts to report publicly on the extent to which the Council has complied with its Code. This Statement will include how the effectiveness of the governance arrangements has been monitored and any planned changes in the coming period.

A Corporate Group of officers will be responsible for overseeing the drafting of the annual governance statement after evaluating assurances and supporting evidence. The statement will be subject to independent review and approval by the Audit Committee.

The Corporate Group of officers will consist of the :-

- Chief Executive
- Director of Neighbourhood Services and Resources (S151 Officer)
- Assistant Director – Law and Governance (Monitoring Officer)
- Assistant Director – Finance and HR
- Head of Strategy, Performance and Communications

The Group will regularly monitor the Local Code in order to:-

- (a) Consider whether any aspects of the Local Code need to be specifically reviewed or updated.
- (b) Satisfy themselves that the management processes defined in the Local Code are actually being adhered to throughout the organisation.

11. **FURTHER INFORMATION**

If you have any concerns about the way in which the Borough Council, its Members, officers or agents conduct its business, or believe that elements of this Code are not being complied with, please contact one of the following as appropriate. Your enquiry will be treated confidentially and a response made following investigation of the facts in each case.

(a) Chief Executive

Ada Burns
Darlington Borough Council,
Town Hall, Feethams, Darlington.
DL1 5QT
Tel. (01325) 405815

(b) Director of Neighbourhood Services and Resources

Paul Wildsmith
Town Hall, Feethams, Darlington.
DL1 5QT
Tel. (01325) 405828

(c) External Auditor

Ernst & Young LLP
Citygate,
St James' Boulevard,
Newcastle-upon-Tyne.
NE1 4JD
Tel. (0191) 2694887

Document/Function	Core Principles of Good Governance						
	Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law	Ensuring openness and comprehensive stakeholder engagement	Defining outcomes in terms of sustainable economic, social and environmental benefits	Determining the interventions necessary to optimise the achievement of the intended outcomes	Developing the entity's capacity, including the capability of its leadership and the individuals within it	Managing risks and performance through robust internal control and strong public financial management	Implementing good practices in transparency, reporting, and audit, to deliver effective accountability
Sustainable Community Strategy		✓	✓	✓			✓
Constitution	✓	✓					✓
Corporate/Service Planning and Performance Management Framework		✓	✓	✓	✓	✓	✓
Communications and Engagement Strategy	✓	✓	✓	✓			✓
ICT Strategy			✓		✓		
Workforce Strategy	✓				✓		
Schedule of Council Meetings		✓					✓
Council Procedure Rules	✓	✓					✓
Record of Decisions		✓	✓	✓			
Partnership Working Toolkit	✓	✓	✓	✓	✓	✓	✓
Code of Conduct for Members	✓	✓					✓
Members Induction and Training Programme	✓	✓			✓	✓	✓
Code of Conduct for Employees	✓	✓					

Officer and Member Protocols	✓				✓		
Confidential Reporting Policy	✓					✓	✓
Code of Corporate Governance	✓	✓	✓	✓	✓	✓	✓
Risk Management Approach				✓		✓	✓
Anti-fraud and Corruption Policies	✓					✓	✓
Capital Projects Methodology		✓	✓			✓	
Information Governance Policies	✓	✓				✓	✓
Procurement Strategy	✓	✓	✓			✓	
Contract and Property Procedure Rules	✓	✓	✓			✓	
Medium Term Financial Plan/Budgets		✓	✓	✓		✓	✓
Treasury Management Framework						✓	
Annual Statement of Accounts		✓				✓	✓
Financial Procedure Rules	✓	✓				✓	✓
Scheme of Delegation		✓			✓		✓
Complaints Process	✓	✓					✓
Equalities Plan		✓	✓	✓			
Business Continuity Plans		✓				✓	
Health and Safety Policy		✓				✓	✓

DOCUMENTATION/FUNCTION – SUSTAINABLE COMMUNITY STRATEGY (SCS)

IMPLEMENTATION				
Target Population		Members, Managers, Staff, LSP Partners and Public		
Duty		To have a long term Sustainable Community Strategy for the Borough.		
Training Requirements		General awareness raising for all - plus enhanced training and support for key stakeholders (Board Members/ Lead Officers etc.)		
Lead Officer		Director, Darlington Partnership		
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
AWARENESS (keeping it live in people's minds)	Copy of adopted SCS distributed to all Members, Managers and Teams. Copy available on internet and intranet. Ongoing reference in induction training for Members and staff.	2014 Completed Ongoing	Member and officer awareness of purpose and content of strategy. LSP understands and owns the SCS. Other partners aware of strategy purpose and content. Public awareness of existence of strategy.	Director, Darlington Partnership/Head of Strategy, Performance and Communications
MONITORING (keeping it effective – recording when it happens)	Reports to LSP Board, Cabinet and Council.	Annually	Delivery against strategy vision, and themed priorities checked and challenged.	Director, Darlington Partnership
REVIEW (keeping it up to date)	Periodic review of the Sustainable Community Strategy adopted as a medium term document.	Every 3-5 years.	Sustainable Community Strategy remains up to date and relevant.	Director, Darlington Partnership

DOCUMENTATION/FUNCTION - CONSTITUTION OF THE COUNCIL

IMPLEMENTATION				
<p>Target Population Members and Senior Officers; and the Public</p> <p>Duty 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> <p>Training Member Training Programme, Senior Officer Training</p> <p>Requirements</p> <p>Lead Officer Assistant Director, Law and Governance and Monitoring Officer</p>				
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
<p>AWARENESS (keeping it live in people's minds)</p>	<p>Copy of Constitution emailed to all Members and Senior Officers and available on the Internet.</p> <p>Induction training for Members.</p> <p>Available to all other staff.</p>	<p>Every four years.</p>	<p>Members and Officers are aware of the contents and operation of the Constitution.</p>	<p>Assistant Director, Law and Governance</p> <p>Chief Executive and Directors</p>
	<p>Training provided to all Assistant Directors</p> <p>Training available to Departmental Management Teams</p>	<p>Annually or on request</p>	<p>Members and Officers are aware of the contents and operation of the Constitution.</p>	<p>Assistant Director, Law and Governance</p>

DOCUMENTATION/FUNCTION - CONSTITUTION OF THE COUNCIL

	Governance training (including about the constitution) for new managers	Part of the on-going cycle of training for managers	Raising awareness	Assistant Director, Law and Governance
	Governance briefing/update (including about the constitution)	Annually	Raising awareness	Assistant Director, Law and Governance
MONITORING (keeping it effective – recording when it happens)	Ensuring provisions of Constitution are followed.	Annually.	Constitution is complied with.	Assistant Director, Law and Governance and Monitoring Officer
	Committee Reports checked by Legal/Financial Services, ensure decision making is at the appropriate level	Ongoing	Constitution and legal/financial requirements complied with	Assistant Director, Law and Governance
REVIEW (keeping it up to date)	The content of the Constitution is reviewed to reflect necessary amendments.	As and when required and at least annually.	Responsibilities and procedures are updated and remain relevant.	Assistant Director, Law and Governance and Monitoring Officer/ Head of Democratic and Customer Services

DOCUMENTATION/FUNCTION – CORPORATE PLANNING AND PERFORMANCE MANAGEMENT

IMPLEMENTATION	
Target Population	Members, Senior Managers, Employees, Partners, Public
Duty	To ensure the authority’s contribution to the Sustainable Community Strategy is translated into a series of actions at corporate, departmental and service level, and to demonstrate continuous improvement in the delivery of the Council’s objectives.
Training Requirements	Members, senior management, heads of service. Understanding the council’s commitment to the supporting of the Sustainable Community Strategy and the relevance to their service areas. For relevant staff, understanding the process of submitting performance data, and retrieving performance information from an appropriate system. Training delivered through approaches relevant to audiences such as 1:1, seminars, and online guidance.
Lead Officer	Head of Strategy, Performance and Communications

DOCUMENTATION/FUNCTION – CORPORATE PLANNING AND PERFORMANCE MANAGEMENT

PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
<p>AWARENESS (keeping it live in people's minds)</p>	<p>Ensure that all staff are aware of the Community Strategy, its relationship with the corporate plan, and how their role supports its delivery. Information via Intranet, posters, and discussed at team meetings and via 1:1's</p>	<p>Annually, and whenever the Sustainable Community Strategy, Corporate Plan, or services plans are updated.</p>	<p>All staff have an awareness of the strategies / plans and the relevance to their roles.</p>	<p>Policy Development Manager</p>
	<p>Ensure that members are aware of relevant plans by signposting to Intranet, and where appropriate inclusion in training programme and participation in developing and monitoring plans.</p>	<p>Annually</p>	<p>Members aware of and where appropriate own plans.</p>	<p>Policy Development Manager</p>
	<p>Ensure that services plans are aligned with the Corporate Plan and the Sustainable Community Strategy.</p>	<p>Whenever the Sustainable Community Strategy, Corporate Plan, or services plans are updated.</p>	<p>Service plans aligned with corporate plan and sustainable community strategy.</p>	<p>Policy Development Manager</p>
	<p>Continued awareness raising of PMF (including new National Indicators and LAA). Systematic and regular reporting.</p>	<p>As necessary, in particular during service and corporate plan production. When new systems are introduced.</p>	<p>Awareness of changes in direction of performance and achievement or otherwise of targets amongst all stakeholders.</p> <p>Feedback from external auditors and inspectors to show stakeholders, especially the citizen and Government that the authority performs well.</p>	<p>Performance Manager</p>

DOCUMENTATION/FUNCTION – CORPORATE PLANNING AND PERFORMANCE MANAGEMENT

<p>MONITORING (keeping it effective – recording when it happens)</p>	<p>Plans monitored through individual (PDRs) and team meetings, COB, COE, Cabinet and Scrutiny.</p> <p>Performance to be monitored through performance monitoring framework (in development).</p>	<p>Various – ranges from monthly to annually.</p> <p>As set out in the PMF timetable (in development).</p>	<p>Plans are realistic (achievable), aligned with the appropriate priorities, and are being progressed in line with agreed timescales.</p> <p>Taking action to ensure that the Council meets challenging targets, against its overall aims and specific priorities/initiatives.</p>	<p>Various – ranges from service managers through to cabinet.</p> <p>Cabinet, scrutiny, COE, COB and Accountable Officers</p>
<p>REVIEW (keeping it up to date)</p>	<p>COE and COB take responsibility for annual review of plans and strategies in consultation with Members.</p> <p>Development of plans and strategies through COE, COB and Heads of Service network.</p> <p>Review and incorporation of good practice from external audit, inspectors and process benchmarking.</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>As and when especially annual to inform the development of ‘new year’ systems.</p>	<p>Amended and refreshed plans - incorporating changes in circumstances, lessons from good practice and resource updates.</p> <p>Improved systems (forms, etc.) to operate the PMF. Improved reporting processes and documentation.</p>	<p>Policy Development Manager</p> <p>Policy Development Manager</p> <p>Performance Manager</p>

DOCUMENTATION/FUNCTION – COMMUNICATIONS AND ENGAGEMENT STRATEGY

IMPLEMENTATION				
Target Population		Public, Managers, Staff, Partners, Businesses		
Duty		To have a communications strategy that enhances both internal and external communications with all stakeholders throughout the borough		
Training Requirements		General awareness raising for all - plus enhanced training and support for key stakeholders		
Lead Officer		Head of Strategy, Performance and Communications		
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
AWARENESS (keeping it live in people's minds)	Communications Strategy to be revised and approved by COE. It will include corporate campaigns and incorporate some engagement activities.	June 2017	Strategy approved. Enhanced communications, both internal and external, plus raised awareness.	Head of Strategy, Performance and Communications
	Communications action plan to be revised and published. Regular reporting to COE.	June 2017		
	Internal Communications action plan in place (2016).	Complete		
	Internal Communications action plan implementation (2016).	Ongoing		
MONITORING (keeping it effective – recording when it happens)	Regular reports to COB	Quarterly	Strategy compiled and modified as required.	Head of Strategy, Performance and Communications
	Regular reports to COE	Quarterly		
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 Strategy, Performance and Communications

DOCUMENT/FUNCTION - ICT STRATEGY

IMPLEMENTATION				
Target Population	Public, Members, Managers/Supervisors/Staff			
Duty	To have a Corporate ICT Strategy to deliver suitable infrastructure and systems to the Council that meets the current and future requirements together with an ICT competent workforce.			
Training Requirements	Members, Managers and staff.			
Lead Officer	Assistant Director, Xentrall Shared Service			
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
AWARENESS (keeping it live in people's minds)	ICT Strategy originally approved by Cabinet (September 2007) and refresh subsequently approved by Systems and Information Governance Group (SIGG).	Completed	Strategy approved by Members and Senior Officers.	Assistant Director, Xentrall Shared Service
	Up to date Work/Project Plan published to underpin delivery of the Strategy.	Completed.	Raised awareness amongst Members and managers of the Work Plan that underpins delivery of the Strategy.	Assistant Director, Xentrall Shared Service
	Related training sessions for Members and relevant officers.	Annually/as required	Members and relevant staff familiar with the Council's ICT Strategy.	Assistant Director, Xentrall Shared Service
MONITORING (keeping it effective – recording when it happens)	Implementation of the ICT Strategy monitored by SIGG.	Six - monthly	Implementation of the ICT Strategy monitored by Senior Officers	Assistant Director, Xentrall Shared Service
	Implementation of the ICT Strategy monitored by the Audit Committee	Six - monthly	Implementation of the ICT Strategy monitored by Members	Assistant Director, Xentrall Shared Service
	Periodically, projects, procedures and processes would be subject to review for adequacy by Internal or External Audit.	Ad hoc	Compliance and progress checked/challenged	Internal/External Audit

DOCUMENT/FUNCTION - ICT STRATEGY

IMPLEMENTATION				
Target Population Public, Members, Managers/Supervisors/Staff Duty To have a Corporate ICT Strategy to deliver suitable infrastructure and systems to the Council that meets the current and future requirements together with an ICT competent workforce. Training Requirements Members, Managers and staff. Lead Officer Assistant Director, Xentrall Shared Service				
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
REVIEW (keeping it up to date)	ICT Strategy formally reviewed. Any necessary amendments subject to the approval of SIGG.	Annually	Strategy remains up to date and relevant.	Assistant Director, Xentrall Shared Service
	Related Work/Project Plan to underpin delivery of the Strategy reviewed at each meeting of SIGG.	Six - weekly	Work/Project Plan remains up to date and relevant.	Assistant Director, Xentrall Shared Service

DOCUMENTATION/FUNCTION – WORKFORCE STRATEGY

IMPLEMENTATION				
Target Population	Members, Managers/Supervisors/Staff			
Duty	To have a Corporate Workforce 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			
Training Requirements	General awareness with key staff receiving relevant training and support			
Lead Officer	Assistant Director – Finance and HRM			
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
AWARENESS (keeping it live in people's minds)	WF strategy approved by JCC 7 October 2016 and associated appendices published on the Intranet.	Completed	Strategy approved by JCC and available to Members, Managers/Supervisors/Staff	AD Finance and HRM
	Road-shows, Flyer Articles and Communication announcements for employees and members.	January – February 2017		HR Manager – policy and strategy
	Work Plan and published each year as part of Service Plan.	On-going	Updated plans relating to the Strategy	AD Finance and HRM
	Regular updates to COE/COB	On-going	Update on progress, issues and changes.	AD Finance and HRM
	Related training sessions relevant officers.	Annually/as required.	Relevant staff familiar with the Council's WF Strategy.	AD Finance and HRM
MONITORING (keeping it effective – recording when it happens)	Updates provided for the chief Executives Performance clinics	Quarterly	Strategy complied with and modified if required.	AD Finance and HRM
	JCC and Resources Scrutiny Committee can ask to receive progress reports.	Ad hoc	Compliance and progress checked/challenged	AD Finance and HRM
	Periodically, projects, procedures and processes would be subject to	Ad hoc	Compliance and progress checked/challenged	AD Finance and HRM

DOCUMENTATION/FUNCTION – WORKFORCE STRATEGY

IMPLEMENTATION				
Target Population	Members, Managers/Supervisors/Staff			
Duty	To have a Corporate Workforce 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			
Training Requirements	General awareness with key staff receiving relevant training and support			
Lead Officer	Assistant Director – Finance and HRM			
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
	review for adequacy by Internal or External Audit.			
REVIEW (keeping it up to date)	WF Strategy and related work plan formally reviewed annually. Any necessary amendments subject to the approval of Director of Neighbourhood Services and Resources or Cabinet, depending upon the degree of change.	Annually	Strategy remains up to date and relevant.	AD Finance and HRM
	Components of the WF Strategy subject to regular review, i.e.: Service plan, Project Plan, Work Plan.	On-going	Strategy remains up to date and relevant.	AD Finance and HRM

DOCUMENTATION/FUNCTION - SCHEDULE OF COUNCIL MEETINGS

IMPLEMENTATION				
Target Population	Public, Members, Chief Officers Executive, Assistant Directors and Senior Managers			
Duty	To ensure that Members meet on a formal basis regularly to set the strategic direction of the authority and to monitor service delivery			
Training Requirements	General awareness amongst Members and Employees			
Lead Officer	Assistant Director, Law and Governance and Monitoring Officer			
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
AWARENESS (keeping it live in people's minds)	Published on website, in Council calendars, 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.	Assistant Director, Law and Governance and Monitoring Officer/Head of Democratic and Customer Services
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.	Assistant Director, Law and Governance and Monitoring Officer/Head of Democratic and Customer Services
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.	Assistant Director, Law and Governance and Monitoring Officer/Head of Democratic and Customer Services

DOCUMENTATION/FUNCTION - COUNCIL PROCEDURE RULES

IMPLEMENTATION				
Target Population	Members, Chief Executive, Directors and Assistant Directors			
Duty	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			
Training Requirements	Members Induction and Departmental Management Teams Training Sessions			
Lead Officer	Assistant Director, Law and Governance and Monitoring Officer			
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
AWARENESS (keeping it live in people's minds)	Rules covered at Officer/Members 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.	Assistant Director, Law and Governance
	Copies of rules available 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.	Assistant Director, Law and Governance
	DMT Briefings			
	1:1 training for new Mayor with the Monitoring Officer	After Annual Meeting and before first Ordinary Council meeting	Equipping the Mayor with appropriate knowledge and guidance	Assistant Director, Law and Governance
	'How to' procedural guides produced with separated out procedural stages of possible meeting issues (e.g. dealing with amendments, disruption etc.). Includes suggested words for the mayor to use	At above training session	Awareness raising and practical help guides	Assistant Director, Law and Governance

DOCUMENTATION/FUNCTION - COUNCIL PROCEDURE RULES

IMPLEMENTATION				
Target Population	Members, Chief Executive, Directors and Assistant Directors			
Duty	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			
Training Requirements	Members Induction and Departmental Management Teams Training Sessions			
Lead Officer	Assistant Director, Law and Governance and Monitoring Officer			
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
MONITORING (keeping it effective – recording when it happens)	Mayor, Assistant Director, Law and Governance ensure compliance with rules at Council Meetings.	Every meeting	Rules complied with	Assistant Director, Law and Governance
REVIEW (keeping it up to date)	Annual Review by Council incorporating statutory changes.	May each year	Rules remain up to date and relevant	Assistant Director, Law and Governance

DOCUMENTATION/FUNCTION - RECORDS OF DECISIONS

IMPLEMENTATION				
Target Population	Members, Public, Senior Officers, Auditors			
Duty	To ensure that the relative roles and responsibilities of executives and other Members, Members generally and Senior Officers are clearly defined			
Training Requirements	Member Training Programme			
Lead Officer	Senior Officer Training			
	Assistant Director, Law and Governance			
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
AWARENESS (keeping it live in people's minds)	Copies of Member decisions available on 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.	Assistant Director, Law and Governance
	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.	Chief Executive and 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.	Assistant Director, Law and Governance
MONITORING (keeping it effective – recording when it happens)	Ensuring all Member decisions are adequately recorded. Scrutiny Committees are able to 'call in' a decision of Cabinet.	System in place	All decisions are properly recorded and made publicly available.	Assistant Director, Law and Governance
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.	Assistant Director, Law and Governance

DOCUMENTATION/FUNCTION - PARTNERSHIP WORKING TOOLKIT

IMPLEMENTATION				
Target Population	Partners (including LSP), Senior Officers, Members			
Duty	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.			
Training Requirements	General awareness raising with Departmental Senior Management Teams and specific training for Partnership Lead Officers			
Lead Officer	Director, Darlington Partnership			
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
AWARENESS (keeping it live in people's minds)	Approach to Partnership working adopted by Cabinet.	Approach adopted by Cabinet in March 2007 (Minute Ref. C174/Mar/07)	Council's approach to partnership working formally documented.	Head of Corporate Assurance
	Approach referenced in Financial Procedure Rules.	Completed	Council's approach formally documented.	Head of Corporate Assurance
	Approach rolled out through Departmental Senior Management Team.	Completed	Senior Managers aware and understand the requirements of the approach.	Head of Corporate Assurance
	Partnership Lead Officers trained in use of the Toolkit.	As required	Partnership Lead Officers aware of understand the requirements of the approach.	Director, Darlington Partnership
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 and are considered adequate.	Directors/Cabinet Portfolio Holders/Director, Darlington Partnership
	Annual review of significant partnerships reported to Audit Committee.	Annually	Performance and adequacy of governance arrangements of significant partnerships reported to Members.	Director, Darlington Partnership

DOCUMENTATION/FUNCTION - PARTNERSHIP WORKING TOOLKIT

IMPLEMENTATION				
Target Population	Partners (including LSP), Senior Officers, Members			
Duty	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.			
Training Requirements	General awareness raising with Departmental Senior Management Teams and specific training for Partnership Lead Officers			
Lead Officer	Director, Darlington Partnership			
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
	Other partnerships approved by the relevant Director, Cabinet portfolio holder and Director, Darlington Partnership.	As required	Member approval to other partnerships in the knowledge that governance arrangements have been assessed and are considered adequate.	Directors/Cabinet Portfolio Holders/Director, Darlington Partnership
	Annual review of other partnerships conducted by Lead Officers and reported to Director.	Annually	Performance and ongoing adequacy of governance arrangements of other partnerships reported to Director.	Lead Officers/Directors
REVIEW (keeping it up to date)	Approach reviewed.	Annually	Approach remains up to date and relevant.	Director, Darlington Partnership

DOCUMENTATION/FUNCTION - MEMBERS CODE OF CONDUCT

IMPLEMENTATION				
Target Population	All Members			
Duty	<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>			
Training Requirements	Members Training Programme			
Lead Officer	Assistant Director, Law and Governance and Monitoring Officer			
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
AWARENESS (keeping it live in people's minds)	Members Training Module	Sessions compulsory for every Member every four years.	No Complaints upheld against Members.	Assistant Director, Law and Governance
	Members Induction	Training top up provided at least annually	Members able to demonstrate that they understand the contents of the Code	
	Individual Sessions.			
	Issues related to interests highlighted to Members ahead of meetings (when apparent) by Monitoring Officer.			
	Consultancy advice always available to Members from Monitoring Officer	Annual (and for specific issues as necessary)	Members able to demonstrate that they understand the contents of the Code	Assistant Director, Law and Governance
	Briefing to all Members on Governance issues including Code of Conduct.			

DOCUMENTATION/FUNCTION - MEMBERS CODE OF CONDUCT

IMPLEMENTATION				
Target Population	All Members			
Duty	<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>			
Training Requirements	Members Training Programme			
Lead Officer	Assistant Director, Law and Governance and Monitoring Officer			
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
MONITORING (keeping it effective – recording when it happens)	Audit Committee receive report from Monitoring Officer updating them on standards issues.	Every 6 months	Awareness raising	Assistant Director, Law and Governance
	Review entries in the Register of Members Interests.	Every 6 months	Register of Interests up to date and complete for all Members	
REVIEW (keeping it up to date)	Audit Committee to receive reports from Monitoring Officer re best practice and ongoing developments.	Annual	Any revisions to the Code as agreed by Audit Committee referred to Council for adoption	Assistant Director, Law and Governance

DOCUMENTATION/FUNCTION - MEMBER INDUCTION ARRANGEMENTS/MEMBER TRAINING & DEVELOPMENT PROGRAMME
MEMBER APPRAISALS

IMPLEMENTATION				
Target Population	Members of the Council			
Duty	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.			
Training Requirements	Member Induction Officer Training			
Lead Officer	Assistant Director, Law and Governance			
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
AWARENESS (keeping it live in people's minds)	All Members to attend Induction Programme. Members Training and Development Programme. Specific inductions/training for certain roles (eg the new Mayor, Licensing Committee, Planning Committee,)	After election. Ongoing each year	Members understand their roles and the operations of the Council. Members enabled to perform more effectively. Assess needs for training and support.	Assistant Director, Law and Governance
MONITORING (keeping it effective – recording when it happens)	Maintain records of attendance and views on the effectiveness of training.	System in place.	Evidence of attendance in accordance with Council requirements. Amendment to training provision, if required.	Assistant Director, Law and Governance All Chief Officers
REVIEW (keeping it up to date)	All Group Leaders assess attendance records at the end of the Municipal Year	Annually.	Overview of effectiveness of programme.	Assistant Director, Law and Governance

DOCUMENTATION/FUNCTION - CODE OF CONDUCT FOR EMPLOYEES

IMPLEMENTATION				
Target Population	All employees			
Duty	To ensure that the responsibilities of all employees in relation to their conduct are defined clearly in writing and are understood			
Training Requirements	Officer Induction & Training Programme			
Lead Officer	Assistant Director, Law and Governance and Monitoring Officer			
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
AWARENESS (keeping it live in people's minds)	Officer Induction	On taking up post	New employees aware of the contents of the Code	Assistant Director – Finance and HR
	Departmental Team briefings/Academy 10	Annually/Mandatory Training monitored by Audit Committee	Other employees aware of the contents of the Code All employees aware of the contents of the Code	Assistant Director, Law and Governance
	Intranet Training Information	Ongoing	All employees updated on training availability	Assistant Director – Finance and HR
	Bulletins and updates from Human Resources Division	Ongoing	All employees updated where required	Assistant Director – Finance and HR
	Governance briefing/update	Annually	All staff	Assistant Director, Law and Governance
MONITORING (keeping it effective – recording when it happens)	Examine declaration of Officer Interests	Annually	Assistant Director level completing register of interests	Assistant Director, Law and Governance
	Examine records of offers of gifts and hospitality.	Every 6 months	Assess numbers of employees offered and/or accepting gifts and hospitality	Assistant Director, Law and Governance

DOCUMENTATION/FUNCTION - CODE OF CONDUCT FOR EMPLOYEES

IMPLEMENTATION				
Target Population	All employees			
Duty	To ensure that the responsibilities of all employees in relation to their conduct are defined clearly in writing and are understood			
Training Requirements	Officer Induction & Training Programme			
Lead Officer	Assistant Director, Law and Governance and Monitoring Officer			
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
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	Assistant Director, Law and Governance

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

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

DOCUMENTATION/FUNCTION - CONFIDENTIAL REPORTING POLICY - WHISTLEBLOWING

IMPLEMENTATION				
Target Population	All employees and agents contracting with the Council			
Duty	To ensure that all employees and agents are aware of the provisions of the policy			
Training Requirements	Officer Induction and Training Programme			
Lead Officer	Assistant Director, Law and Governance			
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
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	Assistant Director, Law and Governance
	Departmental Team briefings and ACADEMY 10 Posters and awareness raising publicity.	Ongoing	Other employees aware of the contents of the policy and the hotline	
	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)	Assistant Director, Law and Governance review of Ethical Health Indicators.	Six monthly	Use of the Confidential Report Policy is regular and appropriate	Assistant Director, Law and Governance
	Examine records of use of policy.	Annually	Assess numbers of employees/agents using the policy	Assistant Director, Law and Governance
REVIEW (keeping it up to date)	Assistant Director, Law and Governance to monitor effectiveness.	Annually	Adjustments made to policy as result of monitoring	Assistant Director, Law and Governance

DOCUMENTATION/FUNCTION - LOCAL CODE OF CORPORATE GOVERNANCE

IMPLEMENTATION				
Target Population		Public, Members, Managers, Employees		
Duty		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.		
Training Requirements		General awareness raising with staff and the public		
Lead Officer		Assistant Director – Finance and HR		
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
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.	Assistant Director-Finance and HR
	Local Code covered at Officer/Member Induction and in ACADEMY 10 on-line training.	On taking up post/seat	Employees and Members aware and understand the requirements of the Local Code.	Assistant Director-Finance and HR
	Local Code module delivered as part of the Members Training and Development Programme.	Annually	Members aware and understand the requirements of the Local Code.	Assistant Director-Finance and HR
	Area on the Intranet devoted to Corporate Governance.	Completed	Employees and Members aware and understand the requirements of the Local Code.	Assistant Director-Finance and HR
	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.	Assistant Director-Finance and HR
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.	Assistant Director-Finance and HR

DOCUMENTATION/FUNCTION - LOCAL CODE OF CORPORATE GOVERNANCE

IMPLEMENTATION				
Target Population	Public, Members, Managers, Employees			
Duty	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.			
Training Requirements	General awareness raising with staff and the public			
Lead Officer	Assistant Director – Finance and HR			
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
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.	Assistant Director- Finance and HR/ Assistant Director, Law and Governance

DOCUMENTATION/FUNCTION - RISK MANAGEMENT APPROACH

IMPLEMENTATION				
Target Population Duty Members, Managers/Supervisors. To implement a robust approach to identifying and evaluating all significant risks which involve the participation of all those associated with planning and delivering services.				
Training Requirements Senior Officers and Members.				
Lead Officer Assistant Director, Finance and HR				
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
AWARENESS (keeping it live in people's minds)	Risk Management approach agreed by Cabinet.	Completed – February 2010.	Council's approach to risk management approved by Members.	Head of Corporate Assurance
	Risk awareness sessions for Senior Management Teams	Cyclical	Senior officers aware and understand the approach to risk management.	Head of Corporate Assurance
	Risk awareness sessions for Members	Cyclical	Members aware and understand the approach to risk management.	Head of Corporate Assurance
	Development of Intranet Service to assist/inform Members and Senior Managers.	In place - ongoing development	Intranet service made available to assist officers implement the risk management approach.	Head of Corporate Assurance
MONITORING (keeping it effective – recording when it happens)	Risk registers monitored by Senior Management Teams	At least six -monthly	Management of risks monitored by senior officers.	Senior Management Teams
	Risk registers monitored by the Audit Committee	Six - monthly	Management of risks monitored by Members.	Head of Corporate Assurance
REVIEW (keeping it up to date)	Risk Management approach reviewed periodically as required and any necessary amendments subject to the approval of Audit Committee and Cabinet.	Periodically	Risk Management approach remains up to date and relevant.	Head of Corporate Assurance

DOCUMENTATION/FUNCTION - ANTI-FRAUD AND CORRUPTION POLICIES

IMPLEMENTATION				
Target Population	Public, Employees, Senior Managers, Members			
Duty	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 Policies and Strategy.			
Training Requirements	Officers and Members Induction and Training Programme, Departmental Management Teams Training Sessions			
Lead Officer	Assistant Director, Finance and HR			
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
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 necessary additions/updates approved annually since by the Audit Committee.	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
	Training Sessions for relevant identified employees.	Ongoing	Targeted training for relevant staff covering the arrangements in more detail.	Audit Manager

DOCUMENTATION/FUNCTION - ANTI-FRAUD AND CORRUPTION POLICIES

IMPLEMENTATION				
Target Population	Public, Employees, Senior Managers, Members			
Duty	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 Policies and Strategy.			
Training Requirements	Officers and Members Induction and Training Programme, Departmental Management Teams Training Sessions			
Lead Officer	Assistant Director, Finance and HR			
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
	Publicity covering fraud and housing benefit fraud, for example in <ul style="list-style-type: none"> • posters in Council buildings • articles in staff Briefing • articles in local press Internet web page.	Ongoing	Public, staff and Member awareness of Council's zero tolerance approach to fraud and corruption.	Audit Manager
	Dedicated 24 hour telephone line and email address to enable the public and employees to notify the Council of suspected fraud and corruption.	Established	Public awareness raised on the Council's zero tolerance approach to fraud and corruption.	Audit Manager
		Established	Access readily available to enable the public and staff to report suspected fraud and corruption (in confidence).	Audit Manager
MONITORING (keeping it effective – recording when it happens)	Annual report(s) on the outcomes from the Council's anti-fraud and corruption arrangements presented to the Audit Committee.	Annually	Consideration of outcomes from the Council's anti-fraud and corruption arrangements.	Audit Manager/Head of Housing and Revenue Services
REVIEW (keeping it up to date)	Anti-fraud and corruption arrangements reviewed by the Audit Committee.	Annually	Arrangements remain up to date and relevant.	Audit Manager/Head of Housing and

DOCUMENTATION/FUNCTION - ANTI-FRAUD AND CORRUPTION POLICIES

IMPLEMENTATION				
Target Population	Public, Employees, Senior Managers, Members			
Duty	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 Policies and Strategy.			
Training Requirements	Officers and Members Induction and Training Programme, Departmental Management Teams Training Sessions			
Lead Officer	Assistant Director, Finance and HR			
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
				Revenue Services

DOCUMENTATION/FUNCTION – CAPITAL PROJECT MANAGEMENT

IMPLEMENTATION				
Target Population	Members and Officers (where involved or responsible for delivery of large Capital Projects)			
Duty	<p>Effective and efficient management systems and processes to ensure that specified project outcomes are delivered within specified time and cost parameters.</p> <p>Ensuring that projects are managed and implemented in accordance with Council Procedures and Statutory legislative requirements.</p> <p>Delivering projects with clear roles and responsibilities defined and assigned within an accountable governance structure.</p> <p>Ongoing Learning and improvements from projects to inform the management processes and systems.</p>			
Training Requirements	Member training programme; Officer Training.			
Lead Officer	Assistant Director, Transport and Capital Projects.			
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
AWARENESS (keeping it live in people's minds)	Capital Project Methodology approved by Asset Management and Capital Programme Review Group	Completed	Single capital process established that achieves above duties	Head of Capital Projects
	Capital Project Management staff trained in the Methodology	Completed	Capital Project Management staff aware of the requirements of the Methodology	Head of Capital Projects
	Methodology and associated guidance available on the intranet	Completed	Officers and Members aware of the Methodology	Head of Capital Projects

DOCUMENTATION/FUNCTION – CAPITAL PROJECT MANAGEMENT

IMPLEMENTATION				
Target Population	Members and Officers (where involved or responsible for delivery of large Capital Projects)			
Duty	<p>Effective and efficient management systems and processes to ensure that specified project outcomes are delivered within specified time and cost parameters.</p> <p>Ensuring that projects are managed and implemented in accordance with Council Procedures and Statutory legislative requirements.</p> <p>Delivering projects with clear roles and responsibilities defined and assigned within an accountable governance structure.</p> <p>Ongoing Learning and improvements from projects to inform the management processes and systems.</p>			
Training Requirements	Member training programme; Officer Training.			
Lead Officer	Assistant Director, Transport and Capital Projects.			
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
MONITORING (keeping it effective – recording when it happens)	Departmental Project Boards, Special Project Boards for certain projects and Asset Management and Capital Programme Review Group ensure that Projects are delivered under Methodology.	Ongoing. Tolerances for exception reporting defined within Boards	Projects are implemented effectively Time and cost parameters are achieved. Outcomes are delivered. Corporate and statutory requirements and regulations complied with.	Asset Management Group
	Project Position Statement reported to Cabinet.	Quarterly	Members aware of position on capital projects.	Head of Capital Projects
REVIEW (keeping it up to date)	The capital process reviewed to reflect statutory changes and national/regional/local drivers	As and when required and at least annually	Capital process is up to date and fit for purpose	Head of Capital Projects/AD Transport & Capital Projects

DOCUMENTATION/FUNCTION - INFORMATION GOVERNANCE POLICY

IMPLEMENTATION				
Target Population	Senior management, officers, members, public			
Duty	To implement information governance best practice, facilitating efficient business processes, excellent customer service delivery and legislative compliance to create a knowledge management environment.			
Training Requirements	Members, Managers and staff.			
Lead Officer	Assistant Director, Finance and HR			
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
AWARENESS (keeping it live in people's minds)	Corporate Information Governance Policy and Strategy approved by Cabinet.	Completed - December 2009	Formal approved of Policy and Strategy. Members aware of the importance of information governance.	Head of Corporate Assurance
	Establish Systems and Information Governance Group (SIGG) as accountable for delivery of the Council's information governance programme.	Established	SIGG established as accountable for delivery of the information governance programme.	Head of Corporate Assurance/Information Security Manager
	Strategic framework of policies and procedures, standards and guidance.	Established	Development and implementation of standardised information governance policies and practice throughout the Council.	Head of Corporate Assurance/Information Security Manager
	Distribute Members Guide to Information Governance to all Members	Completed	Raised awareness amongst elected members of their responsibilities and importance of information governance	Head of Democratic and Customer Services
	Information governance discussions/presentations at management/service team meetings.	Cyclical	Raised awareness amongst managers of their responsibilities and importance of information governance	Head of Corporate Assurance/Information Security Manager

DOCUMENTATION/FUNCTION - INFORMATION GOVERNANCE POLICY

IMPLEMENTATION				
Target Population	Senior management, officers, members, public			
Duty	To implement information governance best practice, facilitating efficient business processes, excellent customer service delivery and legislative compliance to create a knowledge management environment.			
Training Requirements	Members, Managers and staff.			
Lead Officer	Assistant Director, Finance and HR			
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
	Roll out of mandatory online information governance courses for staff	Completed	Raised awareness amongst staff of their responsibilities and importance of information governance	Head of Corporate Assurance/Information Security Manager
	Distribute Users Guide to Information Security to staff without access to ICT	Completed	Raised awareness amongst staff of their responsibilities and importance of information security	Head of Corporate Assurance/Information Security Manager
MONITORING (keeping it effective – recording when it happens)	Delivery of the information governance programme monitored by SIGG	Six – monthly	Information governance issues addressed by senior officers	Head of Corporate Assurance/Information Security Manager
	Delivery of the information governance programme monitored by the Audit Committee	Six - monthly	Programme implementation monitored by Members	Head of Corporate Assurance/Information Security Manager
REVIEW (keeping it up to date)	Review strategic framework of policies and procedures, standards and guidance	Cyclical	Strategic framework remains up-to-date and relevant	Corporate Information Governance Group

DOCUMENTATION/FUNCTION – PROCUREMENT STRATEGY

IMPLEMENTATION				
Target Population		Public, members and officers		
Duty		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.		
Training Requirements		Officer Training, Member Training Programme, Partner organisations,		
Lead Officer		Assistant Director, Law and Governance and Monitoring Officer		
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
AWARENESS (keeping it live in people's minds)	Procurement Strategy available on the Council's Intranet and Internet	Completed, although subject to review	Strategy available to Members, managers, etc.	Assistant Director, Law and Governance and Monitoring Officer
	Procurement code of practice available on Intranet	As above	Those involved in procurement are aware of the strategy. Practitioners guide also available.	
	Corporate Procurement Unit in place, to reflect priority of local authority	From October 2007	Dedicated resource available to support and advise on procurement issues.	
	Training sessions for Members and officers and partners on procurement practices	Ongoing	Members and relevant staff familiar with the Council's procurement processes.	
	Reports to Cabinet on procurement plan, waivers and update information	Every 6 months	Reports circulated to all members and are publically available	

DOCUMENTATION/FUNCTION – PROCUREMENT STRATEGY

IMPLEMENTATION				
Target Population		Public, members and officers		
Duty		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.		
Training Requirements		Officer Training, Member Training Programme, Partner organisations,		
Lead Officer		Assistant Director, Law and Governance and Monitoring Officer		
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
MONITORING (keeping it effective – recording when it happens)	Chief Executive and 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 COE	Strategy complied with	Assistant Director, Law and Governance and Monitoring Officer
REVIEW (keeping it up to date)	Procurement Strategy and Code of Practice to be reviewed and revised	Annually	To ensure strategy remains up to date and relevant	Assistant Director, Law and Governance and Monitoring Officer

DOCUMENTATION/FUNCTION – CONTRACT AND PROPERTY PROCEDURE RULES

IMPLEMENTATION				
Target Population		Members, Chief Executive, Directors, Assistant Directors, Heads of Service, Managers/Team Leaders		
Duty		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.		
Training Requirements		Members and Departmental Management Teams Training Seminars.		
Lead Officer		Assistant Director, Law and Governance and Monitoring Officer		
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
AWARENESS (keeping it live in people's minds)	Rules covered at Officer/ Member Induction and in ACADEMY 10 on line training.	On taking up post/seat	Employees and Members understanding of Rules requirements governing contractual and property matters in the Council which ensure uniformity of contract and property administration within an established framework.	Assistant Director, Law and Governance (Contracts) and Assistant Director Regulatory Services (Property)
	Rules widely available through Constitution and on line on the Council's website.	Refreshed as required after each Annual Council	Employees and Members understanding of Rules requirements governing contractual and property matters in the Council which ensure uniformity of contract and property administration within an established framework.	Assistant Director, Law and Governance (Contracts) and Assistant Director Regulatory Services (Property)
	Governance training for new managers	Part of the on-going cycle of training for managers	Raising awareness	Assistant Director, Law and Governance
	Governance briefing/update	Annually	Raising awareness	Assistant Director, Law and Governance
	Procurement Unit provide advice on all new procurements.	Ongoing	Employees and Members understanding of Rules requirements governing contractual and property	Assistant Director, Law and Governance

DOCUMENTATION/FUNCTION – CONTRACT AND PROPERTY PROCEDURE RULES

IMPLEMENTATION				
Target Population	Members, Chief Executive, Directors, Assistant Directors, Heads of Service, Managers/Team Leaders			
Duty	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.			
Training Requirements	Members and Departmental Management Teams Training Seminars.			
Lead Officer	Assistant Director, Law and Governance and Monitoring Officer			
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
	Procurement Guide.	Guide produced and available on the intranet	matters in the Council which ensure uniformity of contract and property administration within an established framework.	(Contracts) and Assistant Director Regulatory Services (Property)
	Advice also provided through Internal Audit and Legal Services.	Ongoing	Employees and Members understanding of Rules requirements governing contractual and property matters in the Council which ensure uniformity of contract and property administration within an established framework.	Assistant Director, Law and Governance (Contracts) and Assistant Director Regulatory Services (Property)
MONITORING (keeping it effective – recording when it happens)	Chief Executive and 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.	Controls built into systems	Rules complied with.	Chief Executive, Directors Internal Audit

DOCUMENTATION/FUNCTION – CONTRACT AND PROPERTY PROCEDURE RULES

IMPLEMENTATION				
Target Population	Members, Chief Executive, Directors, Assistant Directors, Heads of Service, Managers/Team Leaders			
Duty	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.			
Training Requirements	Members and Departmental Management Teams Training Seminars.			
Lead Officer	Assistant Director, Law and Governance and Monitoring Officer			
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
REVIEW (keeping it up to date)	Rules reviewed as and when necessary but as a minimum annually as part of the review of the Council Constitution.	Annually	Rules remain up to date and relevant.	Assistant Director, Law and Governance (Contracts) and Assistant Director Regulatory Services (Property)

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

IMPLEMENTATION				
Target Population	Public, Members, COE/COB, Managers/Supervisors, External Audit.			
Duty	To conform to existing and proposed statutory requirements upon annual budget setting and longer term financial planning.			
Training Requirements	Budgetary Control Awareness Training for Budget Holders.			
Lead Officer	Assistant Director – Finance and HR			
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
AWARENESS (keeping it live in people's minds)	Budget setting process comprising a series of reports and discussions throughout the year involving COE, Efficiency & Resources Scrutiny, Cabinet and Council.	Annually.	MTFP and yearly budgets set which allocate resources according to priorities.	COE/Cabinet/ Council
	Budgetary Control Awareness training for budget holders.	As required in response to training needs identified from Performance Development Reviews. Finance Training provided 4 times per year.	Budgetary Control training needs addressed.	Finance Managers/ Managers/ Supervisors
MONITORING (keeping it effective – recording when it happens)	Annual budget monitoring regime :- monthly reports to SMT's	Monthly	Regular in year budget monitoring to facilitate control.	Assistant Director – Finance and HR
	Quarterly Budget Management Reports to Cabinet	Quarterly		Assistant Director – Finance and HR

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

IMPLEMENTATION				
Target Population	Public, Members, COE/COB, Managers/Supervisors, External Audit.			
Duty	To conform to existing and proposed statutory requirements upon annual budget setting and longer term financial planning.			
Training Requirements	Budgetary Control Awareness Training for Budget Holders.			
Lead Officer	Assistant Director – Finance and HR			
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
REVIEW (keeping it up to date)	Outcomes from Annual Budgets against Actual built into the review of the MTFP.	Annually	MTFP Reviewed.	COE/Cabinet/ Council
	Consultation with public and stakeholder groups.	Various events and mediums including social media	Information taken into account in budget setting.	Partner Organisations, electorate

DOCUMENTATION/FUNCTION – TREASURY MANAGEMENT

IMPLEMENTATION				
Target Population	Members, Senior Managers.			
Duty	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			
Training Requirements	Professional training for Treasury Management staff, Members and Departmental Management Teams Training			
Lead Officer	Assistant Director – Finance and HR			
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
AWARENESS (keeping it live in people's minds)	Treasury Policy Statement agreed by Council	February 2002.	Policy statement approved by Council and contained in the Council's Constitution	Assistant Director-Finance and HR
	Treasury Management Strategy and Prudential Indicators agreed by Council. Familiarisation sessions on the Treasury Management Function for Members and officers	Annually by Council as part of the MTFP in February November 2016	Annual Investment strategy and Prudential Indicators Report approved by Council Member training and Development Programme Service information Posted on the Intranet.	Assistant Director-Finance and HR Assistant Director-Finance and HR
	Completion of the Treasury Management Procedures (TMP'S) and associated Schedules in accordance with the CIPFA Code of Practice	October 2002. These are updated every year with the TMP 1 relating to Credit and Counterparty Risk updated and approved by Council on an annual basis	Procedures produced and approved by Cabinet (Min C119/Oct /2002) TMP1 updated and approved (Min 55/Feb 2016) Giving Officers a framework in which to deliver the Treasury Management function.	Assistant Director-Finance and HR
	Compilation of the Treasury Management Manual	Initial document produced March 2003 which is continually updated as necessary	Treasury Management manual containing procedures and processes for officers to follow when delivering the Treasury Management function	Assistant Director-Finance and HR

DOCUMENTATION/FUNCTION – TREASURY MANAGEMENT

IMPLEMENTATION				
Target Population	Members, Senior Managers.			
Duty	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			
Training Requirements	Professional training for Treasury Management staff, Members and Departmental Management Teams Training			
Lead Officer	Assistant Director – Finance and HR			
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
	Training for Treasury Management Staff identified and addressed through the Performance Appraisal System	Annually	Quality of Service delivery maintained and enhanced	Finance Manager
MONITORING (keeping it effective – recording when it happens)	Annual and Half Yearly reports approved by Council on the Performance of the function	Outturn report Scrutinised by Audit Committee and approved by Council via Cabinet in July Half Yearly Report scrutinised by Audit Committee and approved by Council via Cabinet in December annually	Council made aware of Treasury Management position against Prudential Indicators set and any revisions that may need to be made are approved	Finance Manager
REVIEW (keeping it up to date)	Treasury Management Function reviewed periodically by Internal/ external Audit. Treasury Management policy statement, strategy and TMP's reviewed annually	Cyclical Annually	Audit reports Treasury Management Strategy including the Annual Investment Strategy approved annually by Council. TMP's including Schedules of Procedures reviewed internally to keep up to date.	Internal Audit/ External Audit Assistant Director- Finance and HR

DOCUMENTATION/FUNCTION - ANNUAL STATEMENT OF ACCOUNTS

IMPLEMENTATION				
Target Population	Public, Members, COE, External Audit			
Duty	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.			
Training Requirements	Professional Training for Finance Staff.			
Lead Officer	Assistant Director – Finance and HR			
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
AWARENESS (keeping it live in people's minds)	Statement of Accounts reported to Audit Committee for approval.	Annually	Annual Statement of Accounts approved by Audit Committee.	Director of Neighbourhood Services & Resources
	Statutory advertising requirements adhered to :- <ul style="list-style-type: none"> publicising that Annual Accounts are available for public inspection; and informing when the External Audit completed 	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 Development Review System (PDR's).	As required in response to training needs identified from PDR's	Finance training needs addressed.	Assistant Director – Finance and HR.
MONITORING (keeping it effective – recording when it happens)	Production process of Annual Statement of Accounts underpinned by a comprehensive work plan/task list.	Annually	Work plan in place for production of Annual Statement of Accounts. Performance against Work plan monitored to enable objectives to be met.	Assistant Director – Finance and HR.

DOCUMENTATION/FUNCTION - ANNUAL STATEMENT OF ACCOUNTS

IMPLEMENTATION				
Target Population	Public, Members, COE, External Audit			
Duty	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.			
Training Requirements	Professional Training for Finance Staff.			
Lead Officer	Assistant Director – Finance and HR			
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
	Outcomes against the work plan monitored through the Performance Management Framework (PMF).	See Performance Management Framework	Work plan in place for production of Annual Statement of Accounts. Performance against Work plan monitored to enable objectives to be met.	Assistant Director – Finance and HR.
REVIEW (keeping it up to date)	Review of the process undertaken by all those officers who have contributed and including External Audit.	Annually	Process of production of Annual Statement of Accounts reviewed to reflect efficiencies and best practice.	Assistant Director – Finance and HR.
	Process Benchmarking/ Networking with other organisations to compare practice and performance.	Periodically during the year	Process of production of Annual Statement of Accounts reviewed to reflect efficiencies and best practice.	Assistant Director – Finance and HR.

DOCUMENTATION/FUNCTION - FINANCIAL PROCEDURE RULES

IMPLEMENTATION				
Target Population	Members, Managers/Supervisors			
Duty	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.			
Training Requirements	Members and Departmental Management Teams Training Seminars.			
Lead Officer	Assistant Director, Finance and HR			
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
AWARENESS (keeping it live in people's minds)	Rules covered at Officer/ Member Induction.	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.	Assistant Director, Law and Governance/HR Manager
	Rules covered on 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/Audit Manager

DOCUMENTATION/FUNCTION - FINANCIAL PROCEDURE RULES

IMPLEMENTATION				
Target Population	Members, Managers/Supervisors			
Duty	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.			
Training Requirements	Members and Departmental Management Teams Training Seminars.			
Lead Officer	Assistant Director, Finance and HR			
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
MONITORING (keeping it effective – recording when it happens)	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.	Controls built into systems	Rules complied with.	Directors.
REVIEW (keeping it up to date)	Rules reviewed as and when necessary but as a minimum annually as part of the review of the Council Constitution.	Annually	Rules remain up to date and relevant.	Accounting Manager/Audit Manager

DOCUMENTATION/FUNCTION - SCHEME OF DELEGATION

IMPLEMENTATION				
Target Population	Members, Chief Executive, Directors, Assistant Directors, Heads of Services, Managers/Team Leaders			
Duty	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.			
Training Requirements	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.			
Lead Officer	Members Induction and Departmental Management Teams Training Sessions			
	Assistant Director, Law and Governance and Monitoring Officer			
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
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	Assistant Director, Law and Governance and Monitoring Officer
	Member and Officer Inductions.	On taking up office/seat	Members of DMTs aware of the content of the scheme	
	DMT Briefings.	Ongoing	Raising awareness	
	Governance briefing/update	Annually		
MONITORING (keeping it effective – recording when it happens)	Legal Advice on Committee Reports.	Every meeting	Decisions made in accordance with scheme	Assistant Director, Law and Governance and Monitoring Officer
REVIEW (keeping it up to date)	Annual Review by Council incorporating statutory changes.	May each year	Rules remain up to date and relevant	Assistant Director, Law and Governance and Monitoring Officer

DOCUMENTATION/FUNCTION – COMPLAINTS PROCEDURE

IMPLEMENTATION				
Target Population	Public, Members and Officers			
Duty	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.			
Training Requirements	Officer Training, Member Training Programme, Partner Organisations			
Lead Officer	Assistant Director, Finance and HR			
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
AWARENESS (keeping it live in people’s minds)	Adult Social Care, Children’s Social Care, Corporate, Housing and Public Health Complaints, Compliments and Comments Procedures approved by Cabinet.	Current Procedures approved by Cabinet.	Member endorsement of approach to Complaints.	Complaints and Information Governance Manager
	Procedures publicised on the Council’s website and in Council offices. Adults Procedures given to service users and carers at assessment.	Completed	Public, Officers and Members aware of Procedures.	Complaints and Information Governance Manager
	Officers/Members trained on operation of the Procedures.	Completed	Officers and Members clear on application of the Procedures.	Complaints and Information Governance Manager

DOCUMENTATION/FUNCTION – COMPLAINTS PROCEDURE

IMPLEMENTATION				
Target Population	Public, Members and Officers			
Duty	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.			
Training Requirements	Officer Training, Member Training Programme, Partner Organisations			
Lead Officer	Assistant Director, Finance and HR			
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
MONITORING (keeping it effective – recording when it happens)	Outcomes from the Procedures monitored by management via the Performance Management Framework.	Quarterly	Management made aware of the number and nature of complaints received to enable appropriate improvements to be implemented.	Complaints and Information Governance Manager/Managers
	Outcomes from the Complaints, Compliments and Comments Procedures reported to Cabinet.	Annually	Cabinet made aware of the number and nature of complaints received and the organisational learning that has taken place as a result.	Complaints and Information Governance Manager
REVIEW (keeping it up to date)	Procedures subject to review	Annually	Procedures remain current and fit for purpose.	Complaints and Information Governance Manager

DOCUMENTATION/FUNCTION - EQUALITIES

IMPLEMENTATION				
Target Population	Public, Members Chief Executive Directors, Assistant Directors, Heads of Service			
Duty	To ensure equal opportunities for all			
Training	Member Training Programme, Officer Training, Partner organisations			
Requirements				
Lead Officer	Chief Officers Executive			
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
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	Chief Officers Executive
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.	Chief Officers Executive
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	Chief Officers Executive

DOCUMENTATION/FUNCTION – BUSINESS CONTINUITY PLANS

IMPLEMENTATION				
Target Population	Managers, Staff, Partners			
Duty	To ensure Business Continuity Plans are in place for identified priority service areas and the Plans are tested regularly.			
Training Requirements	General awareness raising for all – plus enhanced training and support for those in priority service areas required to develop and test Business Continuity Plans.			
Lead Officer	Assistant Director, Regulatory Services			
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
AWARENESS (keeping it live in people's minds)	Updates to COB on Business Continuity	19/11/15, 21/04/16, 3/11/16	COB are fully aware of the status of the Business Continuity Management System (BCMS)	CCU/Bill Westland
	1:1's offered to all Assistant Directors	As required	General or specific advise to AD's on all BC matters	CCU
	Support offered at HOS meetings to complete Business Impact Analysis	Regulatory Services – 02/09/16 Adult Services – 12/12/16 Others to follow	Business Impact Analysis (BIA's) to be refreshed for all Services by 31/03/16	CCU
	Revised Intranet now has a revised structure of Business Continuity plans, ordered by service	Completed 25/11/16	All DBC staff have access to Business Continuity plans	CCU
MONITORING (keeping it effective – recording when it happens)	Suite of Business Continuity plans exist	Regularly revised by plan holders and validated by CCU	DBC have a suite of current, fit for purpose BC plans in place	CCU

DOCUMENTATION/FUNCTION – BUSINESS CONTINUITY PLANS

IMPLEMENTATION				
Target Population	Managers, Staff, Partners			
Duty	To ensure Business Continuity Plans are in place for identified priority service areas and the Plans are tested regularly.			
Training Requirements	General awareness raising for all – plus enhanced training and support for those in priority service areas required to develop and test Business Continuity Plans.			
Lead Officer	Assistant Director, Regulatory Services			
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
REVIEW (keeping it up to date)	Business Continuity plans reviewed	Continuous review and revision of plans on a two year cycle	Plans remain current and fit for purpose.	CCU/plan holders
	BCMS reviewed by CCU. This is in line with the Business Continuity Management Cycle which prescribes a constant cyclical approach of “Analysis –Design – Implementation – Validation”.	September 2016	Improvement to the BCMS is deemed to be through revised BIA’s. This will in turn improve the planning arrangements already in place and also give the corporate oversight as to where critical functions are performed and seek to improve resilience.	CCU
	Conduct a full review of the Business Continuity Management System by undertaking revised Business Impact Analysis for each Service	Regulatory Services – 02/09/16 Adult Services – 12/12/16 Others to follow	Business Impact Analysis (BIA’s) to be refreshed for all Services by 31/03/16	CCU/AD’s/Service Managers

DOCUMENTATION/FUNCTION – HEALTH AND SAFETY POLICY

IMPLEMENTATION	
Target Population	Members, Senior Officers, Staff, Public
Duty	To ensure the Council has a positive health and safety culture, and ethos of continuous improvement and a robust health and safety management system in place to comply with its statutory requirements and industry standards.
Training Requirements	Members, managers and employees
Lead Officer	Assistant Director, Finance and HR

DOCUMENTATION/FUNCTION – HEALTH AND SAFETY POLICY

PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
<p>AWARENESS (keeping it live in people's minds)</p>	<p>Corporate Health and Safety Policy reviewed by Health and Safety Project Group, agreed by COE/COB</p>	<p>January 2013 – regular review</p>	<p>Formal approval of Policy by members at JCC. To be read and understood by all employees.</p>	<p>Health and Safety Manager</p>
	<p>Annual review of General Statement of Intent Signed by Chief Executive, Leader of the Council and Cabinet Member with Efficiency and Resources Portfolio</p>	<p>Annual Review</p>	<p>General Statement of Intent is displayed within Council buildings</p>	<p>Health and Safety Manager</p>
	<p>Health and Safety Project – Think Safety Campaign</p>	<p>Completed</p>	<p>Think Safety awareness campaign, Chief Executive, Assistant Directors commitment and promise. Efficiency and Resources Scrutiny Project safety culture survey, Health and Safety Champions.</p>	<p>Health and Safety Manager</p>
	<p>Corporate Health and Safety Arrangements</p>	<p>Cyclical as required by legislation. Review schedule.</p>	<p>New Arrangements approved by JCC, Issued via Circular to COB and Heads of Service – employees detailing requirements and responsibilities.</p>	<p>Health and Safety Manager</p>
	<p>Health and Safety Briefings</p>	<p>Monthly</p>	<p>Briefings issued monthly to Efficiency and Resources Scrutiny for information and all managers for discussion with staff at team meetings.</p>	<p>Health and Safety Manager</p>
	<p>Health and Safety Champions Newsletter</p>	<p>Quarterly</p>	<p>Raise awareness of issues and campaigns. COB and Health and Safety Champions.</p>	<p>Health and Safety Manager</p>
	<p>Member, management and employee training</p>	<p>Cyclical</p>	<p>Raise awareness of responsibilities for health and safety (management and specific requirements)</p>	<p>Health and Safety Manager</p>

DOCUMENTATION/FUNCTION – HEALTH AND SAFETY POLICY

IMPLEMENTATION				
Target Population	Members, Senior Officers, Staff, Public			
Duty	To ensure the Council has a positive health and safety culture, and ethos of continuous improvement and a robust health and safety management system in place to comply with its statutory requirements and industry standards.			
Training Requirements	Members, managers and employees			
Lead Officer	Assistant Director, Finance and HR			
PROCESS	ACTIONS (HOW)	WHEN	OUTPUT	WHO
MONITORING (keeping it effective – recording when it happens)	Annual Corporate Health and Safety Report taken to COB/COE Efficiency and Resources Scrutiny Committee and Audit Committee	Annual	End of year report to review progress throughout the year, performance and objectives for the coming year.	Health and Safety Manager
	Operation Risks report for Audit Committee	Six monthly	Statement on health and safety progress included in report.	Risk and Insurance Officer / Health and Safety Manager
	Internal health and safety management system audits	Annual	Scheduled audits completed and report issued to manager and Assistant Director.	Health and Safety Manager
	Accident data / audit actions monitored by senior management via the Performance Management Framework	Quarterly	Senior management made aware of accident data (reportable, diseases, near miss) and open audit actions to enable appropriate action and improvements to be made.	Health and Safety Manager
REVIEW (keeping it up to date)	Safety Culture Survey	Cyclical	All employees given opportunity to participate in a safety culture survey	Health and Safety Manager
	Review of Health and Safety Policy and Corporate Arrangements	Annual Policy Statement / cyclical as schedule / required	Remain current and fit for purpose reviewed as required / legislation changes	Health and Safety Manager