

	Supporting Principles	#	Local Code Requirement (The Code should reflect the requirement for the Council to:	Current Status, Evidence and Source Documents to demonstrate compliance	Links to Source Documents	Score	Review Date	Plans for Improvement/Action Required	Responsibility to implement monitor and review	Target Date	Progress To Date	Actual Completion Date	
<p>PRINCIPLE 1 Focusing on the purpose of the Authority and on outcomes for the community and creating and implementing a vision for the local area</p>	<p>Exercising strategic leadership by developing and clearly communicating the authority's purpose and vision and its intended outcome for citizens and service users</p>	<p>1.1</p>	<p>Develop and promote the authority's purpose and vision</p>	<p>Corporate Plan 2007-2010 completed. The Council's Corporate Plan clearly sets out corporate priorities and objectives and takes into account local and national priorities. Corporate Plan illustrates a clear set of values, vision, and mission.</p>	<p>Corporate Plan</p>	<p>4</p>	23.01.09	Evidence obtained No Further Action Required	Mary Readman			16.4.08	
				<p>Community Strategy in place. Priorities and objectives in the Community Strategy are aligned with corporate priorities and objectives.</p>	<p>Community Strategy</p>		23.01.09	Evidence obtained No Further Action Required			16.4.08		
				<p>Service Plans for 2007-08 completed. Service plans clearly reflect corporate objectives and match approved funding. Service planning process clearly sets terms of reference for the preparation of service plans.</p>	<p>Service Plans: section accounts on 'Typhoon'/office and admin/office and admin typing/Governance/Evidence Documents/ Service Plans 08-09</p>		23.01.09	Evidence obtained No Further Action Required			06.05.08		
				<p>Medium Term Financial Strategy revised March 2008. Provides a Framework in which to develop medium and long term financial plans.</p>	<p>Medium Term Financial Strategy: section accounts on 'Typhoon'/office and admin/office and admin typing / Governance /Evidence Documents/ Finance /Medium Term Financial Strategy-revised March 2008</p>		23.01.09	Evidence obtained Keep Under Review	Tom Bell	01-Oct-08		30.03.08	
				<p>The Council has developed an Annual Treasury Strategy Statement and Annual Investment Strategy in accordance with the Local Government Act 2003 which in part, requires the Council to set out its Treasury Strategy for borrowing and to prepare an Annual Investment Strategy which sets out the policies for the management, security and liquidity of its investments.</p>	<p>Treasury Strategy Statement and Annual Investment Strategy.pdf</p>		23.01.09	Evidence obtained No Further Action Required	Tom Bell			30.03.08	
				<p>The Council have adopted the County Durham Local Area Agreement - in place as of 20th May 2008 which outlines the Council's response to the Governments White Paper "Strong and Prosperous Communities" and the Local Government and Public Involvement in Health Act 2007.</p>	<p>Local Area Agreement</p>		23.01.09	Draft document awaiting sign off. CDU advised that the draft changes daily until sign off. Current Copy sourced - however requires constant review. Evidence obtained No Further Action Required	Mary Readman	01-Jun-08	County Durham LAA adopted by Executive on 20 May 2008	20.05.08	
				<p>CPA Self-Assessment carried out September 2003 clearly stating High Level Action Plans and Council Statements on the delivery of its priorities.</p>	<p>CPA Self Assessment</p>		23.01.09	Evidence obtained No Further Action Required				30.09.03	
				<p>BVRSS Report approved by Executive April 2008 and implemented. BVRSS outcomes reflect the Council's needs to respond to its priorities.</p>	<p>BVRSS: section accounts on 'Typhoon'/office and admin/office and admin typing / Governance /Evidence Documents/BVRSS / BVRSS Final Report.pdf</p>		23.01.09	Evidence obtained No Further Action Required				08.04.08	
				<p>A Communication Strategy in respect of the corporate objectives has been developed, approved and implemented. Marketing material in a range of media is used to disseminate Council aims and objectives.</p>	<p>Communications Strategy: section accounts on 'Typhoon'/office and admin/office and admin typing / Governance / Evidence Documents / Community engagement / Communications Strategy</p>		23.01.09	Evidence obtained No Further Action Required				2002	
		<p>1.2</p>	<p>Review on a regular basis the Authority's vision for the local area and its impact on the Authority's governance arrangements</p>	<p>A Code of Corporate Governance in line with the CIPFA/SOLACE guidance relevant to the type of authority has been developed by the Authority and was approved by the Council's Executive on 20th May 2008. A communication strategy in relation to the Code has been developed, approved and implemented. There are clear arrangements for continuously monitoring compliance with the Code e.g. reports on compliance will be submitted to Audit Committee on a regular basis.</p>	<p>Local Code of Governance</p>	<p>4</p>	23.01.09	Evidence obtained- awaiting approval/adoption by Executive & Audit Committee on 20 and 22 May 2008 respectively. No Further Action Required - Keep under annual review.	Stuart Wardle	31.03.09	Local Code updated and reviewed by CGG - 23.01.09 taking into account LGR. Local Code Workplan updated and presented to Audit Committee 12.03.09 as part of AGS for 2008/09		12.03.09
				<p>Annual Governance Report 2005-2006 completed by Audit Commission September 2006. Independent assessment is part of the Council's review and monitoring process to report on the adequacy of its Corporate Governance arrangements.</p>	<p>Audit Commission Annual Governance Report</p>		23.01.09	Evidence obtained No Further Action Required			26.09.06		
				<p>Annual Governance Statement completed and signed off 2007-2008.</p>	<p>Annual Governance Statement</p>		23.01.09	Evidence obtained No Further Action Required	Gordon Fletcher			15.05.08	
				<p>Annual Audit and Inspection Letter 2007 completed by Audit Commission March 2008. The Inspection Letter also includes a Direction of Travel report to inform a review of the Council's vision.</p>	<p>Annual Audit & Inspection Letter</p>		23.01.09	Evidence obtained No Further Action Required				30.03.08	

		1.3	Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all parties	Partnership Framework in place which includes a partnership checklist to demonstrate a business case when entering into partnerships and a partnership review tool to review existing partnerships.	Partnership Framework	2	23.01.09	Action Plan required for implementation of Partnership Framework using proportionate allocation of resource	Stuart Wardle	01-Sep-08	Partnership Action Plan completed utilising a proportionate approach to take account of LGR. Key/Significant Partners Identified. Checklists for Key Partnerships completed. Report to Audit Committee 12 March 2009	12.03.09
<p>Focus of the purpose of the Authority and on outcomes for the community and creating and implementing a vision for the local area</p>	<p>Exercising strategic leadership by developing and clearly communicating the authority's purpose and vision and it's intended outcome for citizens and service users</p>	1.3	Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all parties	A Code of Corporate Governance in line with the CIPFA/SOLACE guidance relevant to the type of authority has been developed by the authority and is currently awaiting approval by Management Team. A communication strategy in relation to the Code has been developed, approved and implemented. There are clear arrangements for continuously monitoring compliance with the Code e.g. reports on compliance will be submitted to Audit Committee on a regular basis.	Local Code of Governance	2	23.01.09	Evidence obtained- awaiting approval/adoption by Executive & Audit Committee on 20 and 22 May 2008 respectively. No Further Action Required - Keep under annual review.	Stuart Wardle	31.03.09	Local Code updated and reviewed by CGG - 23.01.09 taking into account LGR. Local Code Workplan updated and presented to Audit Committee 12.03.09 as part of AGS for 2008/09	12.03.09
				Risk Management Strategy and Policy approved, in place and reviewed January 2008. Partnerships are not specifically mentioned in Risk Management Strategy and Policy.	Risk Management Strategy		23.01.09	Review Risk Management Strategy and Policy and include links with Partnership Framework and Partnership Action Plan. Risk Management Strategy and "STORM" risk methodology specifically includes Partnerships	Stuart Wardle	31.03.09	Further Partnership links to Risk Management Strategy developed and incorporated within Partnership Action Plan. Key/Significant Partnership Risks identified and known.	06.03.09.
				The Council have developed an approved Procurement Strategy to help ensure that the Council's choices are made in an organised way and that the resources required to develop, implement and monitor our services are in place.	Procurement Strategy: section accounts on 'Typhoon'/office and admin/office and admin typing / Governance / Evidence Documents/ Procurement		23.01.09	Evidence obtained No Further Action Required	Peter Fail			09.04.04
				The Council have an approved Procurement Policy which provides an overview of the Council's approach to the procurement of works, services and supplies to achieve its corporate objectives.	Procurement Policy		23.01.09	Evidence obtained No Further Action Required	Peter Fail			04.04.06
				The Council adopted a Procurement Strategy in 2004, following extensive consultation. As part of the action plan contained within the Strategy, a Procurement Code of Practice has been adopted which ensures the Council takes a uniform approach to the procurement process.	Procurement Code of Practice		23.01.09	Evidence obtained No Further Action Required	Peter Fail			04.04.06
		1.4	Publish an annual report on a timely basis to communicate the authority's activities and achievements, its financial position and performance	Corporate Plan 2007-2010 completed. The Council's Corporate Plan clearly sets out corporate priorities and objectives and takes into account local and national priorities. Corporate Plan illustrates a clear set of values, vision, and mission.	Corporate Plan	4	23.01.09	Evidence obtained No Further Action Required				16.4.08
				Community Strategy in place. Priorities and objectives in the Community Strategy are aligned with corporate priorities and objectives.	Community Strategy		23.01.09	Evidence obtained No Further Action Required				16.4.08
				Statements of Accounts 2006-2007 completed. Audited accounts are made available for inspection to the public via the website or by appointment.	Statement of Accounts		23.01.09	Evidence obtained No Further Action Required				26.06.08
				Best Value Performance Plan 2007 completed. BVPP includes the Council's performance arrangements and progress against national and local targets set out in the Corporate Plan.	Best Value Performance Plan		23.01.09	Evidence obtained No Further Action Required				16.4.08
				Corporate Plan 2007-2010 completed. The Council's Corporate Plan clearly sets out corporate priorities and objectives and takes into account local and national priorities. Corporate Plan illustrates a clear set of values, vision, and mission.	Corporate Plan		4	23.01.09	Evidence obtained No Further Action Required			
Medium Term Financial Strategy revised March 2008. Provides a Framework in which to develop medium and long term financial plans.	Medium Term Financial Strategy: section accounts on 'Typhoon'/office and admin/office and admin typing / Governance /Evidence Documents/ Finance /Medium Term Financial Strategy-revised March 2008	23.01.09	Evidence obtained No Further Action Required					30.03.08				
The Council has developed an Annual Treasury Strategy Statement and Annual Investment Strategy in accordance with the Local Government Act 2003 which in part, requires the Council to set out it's Treasury Strategy for borrowing and to prepare an Annual Investment Strategy which sets out the policies for the management, security and liquidity of it's investments.	Treasury Strategy Statement and Annual Investment Strategy.pdf	23.01.09	Evidence obtained No Further Action Required	Tom Bell				30.03.08				
Use of Resources Assessment 2006 completed by the Audit Commission April 2007. Independent assessment is part of the Council's review and monitoring process to report on the adequacy of it's Corporate Governance arrangements.	Use of Resources Assessment	23.01.09	Evidence obtained No Further Action Required					30.04.07				

			Scrutiny Committee Reports are current, up to date and available on the Council's website	Scrutiny Committee Reports		23.01.09	Evidence obtained No Further Action Required				Ongoing	
			Partnership Framework in place which includes a partnership checklist to demonstrate a business case when entering into partnerships and a partnership review tool to review existing partnerships.	Partnership Framework		23.01.09	Action Plan required for implementation of Partnership Framework using proportionate allocation of resource	Stuart Wardle	31.03.09	Partnership Action Plan completed utilising a proportionate approach to take account of LGR. Key/Significant Partners Identified. Checklists for Key Partnerships completed. Report to Audit Committee 12 March 2009	12.03.09	
PRINCIPLE 1 Focusing on the purpose of the Authority and on outcomes for the community and creating and implementing a vision for the local area	Ensuring that users receive a high quality of service whether directly, or in partnership, or by commissioning	1.6	Put in place effective arrangements to identify and deal with failure in service delivery	The Council have developed an approved Procurement Strategy to help ensure that the Council's choices are made in an organised way and that the resources required to develop, implement and monitor our services are in place.	Procurement Strategy : section accounts on 'Typhoon'/office and admin/office and admin typing / Governance / Evidence Documents/ Procurement	4	23.01.09	Evidence obtained No Further Action Required	Peter Fail		09.04.04	
				The Council have an approved Procurement Policy which provides an overview of the Council's approach to the procurement of works, services and supplies to achieve its corporate objectives.	Procurement Policy		23.01.09	Evidence obtained No Further Action Required	Peter Fail	04.04.06		
				The Council adopted a Procurement Strategy in 2004, following extensive consultation. As part of the action plan contained within the Strategy, a Procurement Code of Practice has been adopted which ensures the Council takes a uniform approach to the procurement process.	Procurement Code of Practice		23.01.09	Evidence obtained No Further Action Required	Peter Fail	04.04.06		
	Ensuring that the authority makes best use of resources and that tax payers and service users receive excellent value for money	1.7	Decide how value for money is to be measured and make sure that the authority or partnership has the information needed to review VFM and performance effectively. Measure the environmental impact of policies, plans and decisions	Use of Resources Assessment 2006 completed by the Audit Commission April 2007. Independent assessment is part of the Council's review and monitoring process to report on the adequacy of it's Corporate Governance arrangements.	Use of Resources Assessment	3	23.01.09	Evidence obtained No Further Action Required			30.04.07	
				Medium Term Financial Strategy revised March 2008. Provides a Framework in which to develop medium and long term financial plans.	Medium Term Financial Strategy : section accounts on 'Typhoon'/office and admin/office and admin typing / Governance /Evidence Documents/ Finance /Medium Term Financial Strategy-revised March 2008		23.01.09	Evidence obtained No Further Action Required		30.03.08		
				The Council has developed an Annual Treasury Strategy Statement and Annual Investment Strategy in accordance with the Local Government Act 2003 which in part, requires the Council to set out it's Treasury Strategy for borrowing and to prepare an Annual Investment Strategy which sets out the policies for the management, security and liquidity of it's investments.	Treasury Strategy Statement and Annual Investment Strategy.pdf		23.01.09	Evidence obtained No Further Action Required	Tom Bell	30.03.08		
				Partnership Framework in place which includes a partnership checklist to demonstrate a business case when entering into partnerships and a partnership review tool to review existing partnerships.	Partnership Framework		23.01.09	Action Plan required for implementation of Partnership Framework using proportionate allocation of resource	Stuart Wardle	31.03.09	Partnership Action Plan completed utilising a proportionate approach to take account of LGR. Key/Significant Partners Identified. Checklists for Key Partnerships completed. Report to Audit Committee 12 March 2009	12.03.09
				The Council have developed an approved Procurement Strategy to help ensure that the Council's choices are made in an organised way and that the resources required to develop, implement and monitor our services are in place.	Procurement Strategy : section accounts on 'Typhoon'/office and admin/office and admin typing / Governance / Evidence Documents/ Procurement		23.01.09	Evidence obtained No Further Action Required	Peter Fail	09.04.04		
				The Council have an approved Procurement Policy which provides an overview of the Council's approach to the procurement of works, services and supplies to achieve its corporate objectives.	Procurement Policy		23.01.09	Evidence obtained No Further Action Required	Peter Fail	04.04.06		
				The Council adopted a Procurement Strategy in 2004, following extensive consultation. As part of the action plan contained within the Strategy, a Procurement Code of Practice has been adopted which ensures the Council takes a uniform approach to the procurement process.	Procurement Code of Practice		23.01.09	Evidence obtained No Further Action Required	Peter Fail	04.04.06		
Environmental Impact Statements are required on sensitive planning developments which may adversely affect the environment. Statements are scanned alongside specific planning applications and are available on the planning portal.	Environmental Impact Statements	23.01.09	Evidence obtained No Further Action Required	Graeme Reed		Ongoing						
The Council have produced a Sustainability Appraisal Framework in order to meet it's statutory duties under the Planning and Compulsory Purchase Act 2004. Under the terms of the Act, all development plan documents must be appraised for their contribution to sustainable development, in order to predict the likely social, economic and environmental assessment of their plans.	Sustainability Appraisals : section accounts on 'Typhoon'/office and admin/office and admin typing / Governance / Evidence Documents/ Sustainability / SA Framework	23.01.09	Evidence obtained No Further Action Required	Graeme Reed	01-May-08	Evidence obtained 15.05.08	15.05.08					

				The Council have developed a Local Development Framework which was submitted to public consultation in May 2008. The preferred options strategy details the future development of the district with regard to planning, land development, environmental, economic and social issues to be considered as part of the evaluation of options for the new Unitary Authority in the context of the LGR..	Local Development Framework		23.01.09	Evidence obtained No Further Action Required	Graeme Reed	01.12.08	The Co. Durham LDS was agreed by DCC Cabinet on 20th November, with responsibility delegated to CEO following enactment of transitional regs. The regs came into effect on 28th November enabling the LDS to be formally submitted to Government Office (before the deadline).	20.11.08
				The Council is required to inspect land for contamination. A Contaminated Land Strategy has been implemented which involves a 5 year inspection programme (due for review 2008)	Contaminated Land Strategy		23.01.09	Evidence obtained. Strategy due for review 2008.	Keith Parkinson			2006
				The Council have developed a Climate Change Action Plan which was approved on 26 February 2008 in response to the Government's Energy White Paper (2003) which outlines the Council's commitment to reducing greenhouse gases in line with Government targets.	Climate Change Action Plan		23.01.09	Evidence obtained No Further Action Required	Cliff Duff			2006
PRINCIPLE 1 Focusing on the purpose of the Authority and on outcomes for the community and creating and implementing a vision for the local area	Ensuring that the authority makes best use of resources and that tax payers and service users receive excellent value for money	1.7	Decide how value for money is to be measured and make sure that the authority or partnership has the information needed to review VFM and performance effectively. Measure the environmental impact of policies, plans and decisions	The Council's Asset and Property Management Services Unit have produced an Asset Management Plan in order to ensure that the opportunity cost of financial resources tied up in land and property is minimised and that the capital revenue expenditure is directed efficiently and effectively to provide high quality services which provide VFM.	Asset Management Plan: section accounts on 'Typhoon'/office and admin/office and admin typing / Governance / Evidence Documents/Asset Management Plan	3	23.01.09	A comprehensive asset register is being maintained and a fully co-ordinated electronic data base has been purchased from IPF and has been populated enabling comprehensive asset information and asset valuations to be undertaken in accordance with the prescribed financial regulations. The Director of Finance has access to the data and uses the same to prepare the financial accounts.	Dale Clarke	01.12.08	Substantial progress has been achieved over the last 12 months in terms of developing an AMP for the Council's property portfolio. Asset & Property Manager is joint lead for Assets under LGR and have developed workstreams which have co-ordinated asset registers across the new authority and are developing a joint AMP & Capital Strategy. Accordingly, Easington's current AMP is being integrated with the County wide unitary requirements	Feb-09
				Value For Money Framework in place to ensure that all Council services delivered and operations undertaken provide VFM to residents. Utilisation of the VFM Framework are reflected in the Council's Corporate Plan and Best Value Performance Plan.	VFM Framework		23.01.09	Evidence obtained No Further Action Required			16.01.07	
PRINCIPLE 2 Members and officers working together to achieve a common purpose with clearly defined functions and roles	Ensuring effective leadership throughout the authority and being clear about executive and non-executive functions and the roles and responsibilities of the scrutiny function	2.1	Set out a clear statement of the respective roles and responsibilities of the executive and of the executive's members individually and the authority's approach to putting this into practice.	Article 7 of the Constitution specifies the role of the Executive and Section 3 of Responsibility for Functions clearly specifies the roles of each Executive member Executive and Scrutiny Committee's Terms of Reference outlined within the Constitution clearly state their roles.	Constitution	4	23.01.09	Evidence obtained No Further Action Required				Ongoing
				Meetings of the Executive Committee are fully supported with minutes, available on the Council website. Meetings of the Executive and the Authority's Chief Executive Officer are fully supported with minutes, available on the Council website.	All Committee Reports		23.01.09	Evidence obtained No Further Action Required			Ongoing	
				Meetings of Executive Portfolio Holders and their respective Heads of Service are established and act as a key enabler for the Council to communicate with the Executive on key issues and improve communication.	Member Briefings: section accounts on 'Typhoon'/office and admin/office and admin/Governance / Evidence Documents/member briefings		23.01.09	Evidence obtained No Further Action Required			14.02.08	
		2.2	Set out a clear statement of the respective roles and responsibilities of other authority members, members generally and senior officers.	Article 12 of the Constitution sets out the responsibilities of Senior Officers. Article 2 deals with the roles of members and the Member/Officer protocol guides both sides on the working relationship between them Officer & Member Protocol in Part 5 of the Constitution clearly states the respective Codes of Conduct expected. Scrutiny Committee Terms of Reference outlined within the Constitution clearly states its role.	Constitution	4	23.01.09	Evidence obtained No Further Action Required				Ongoing
"Working together Guide" issued to all staff and members provides a clear guide that covers; The Council's vision, Objectives and Values. Respect and Dignity Policy. Confidential Reporting Code. Memorandum of Understanding. Peoples Charter. Training and Development.	Working Together Guide: section accounts on 'Typhoon'/office and admin/office and admin/Governance / Evidence Documents/Working Together Guide	23.01.09	Evidence obtained No Further Action Required				Pre-2005					

		2.3	Determine a scheme of delegation and reserve powers within the constitution including a formal schedule of those matters specifically reserved for collective decision of the authority, taking account of relevant legislation, and ensure that it is monitored and updated when required	The Council's Constitution includes a Scheme of Delegation outlined in Part 3. Article 4 spells out the functions reserved to Council. Article 7 identifies that the Executive will be responsible for functions not reserved or specifically allocated to Committees and Panels. Articles 8 and 9 and the Section headed Responsibility for Functions provide for the exercise of functions by each body and lists the delegations to individual officers.	Constitution	3	23.01.09	Evidence obtained No Further Action Required				Ongoing
		2.4	Make a Chief Executive or equivalent responsible and accountable to the authority for all aspects of operational management	The Council's Constitution includes a Scheme of Delegation outlined in Part 3. Head of Paid Service arrangements are contained within the constitution and the Chief Executive's responsibilities are summarised in Article 12 as part of statutory provisions outlined in the Local Government Act 1988.	Constitution	4	23.01.09	Evidence obtained No Further Action Required				Ongoing
				Chief Executives Job Description clearly states accountability and responsibility for the Council's operational management	Chief Executives Job Description: section accounts on 'Typhoon'/office and admin/office and admin typing/Governance/Evidence Documents/ Job Descriptions / Chief Executive JD		23.01.09	Evidence obtained No Further Action Required			Pre-2005	
				Performance Management Framework in place and included within the BVPP. Performance Management Framework covers; Community Strategy Council's Mission Corporate Plan Service Plans Financial Strategy/Budget Setting Process/VFM	Performance Management Framework		23.01.09	Evidence obtained No Further Action Required			16.4.08	
2.5	Develop protocols to ensure that the leader and chief executive negotiate their respective roles early in the relationship and that a shared understanding of roles and objectives is maintained	Officer & Member Protocol in Part 5 of the Constitution clearly states the respective Codes of Conduct expected of individuals.	Constitution	4	23.01.09	Evidence obtained No Further Action Required				Ongoing		
PRINCIPLE 2 Members and officers working together to achieve a common purpose with clearly defined functions and roles	Ensuring effective leadership throughout the authority and being clear about executive and non-executive functions and the roles and responsibilities of the scrutiny function	2.5	Develop protocols to ensure that the leader and chief executive negotiate their respective roles early in the relationship and that a shared understanding of roles and objectives is maintained	Chief Executives Job Description clearly states accountability and responsibility for the Council's operational management	Chief Executives Job Description: section accounts on 'Typhoon'/office and admin/office and admin typing/Governance/Evidence Documents/ Job Descriptions / Chief Executive JD	4	23.01.09	Evidence obtained No Further Action Required				Pre-2005
		2.6	Make a senior officer [the S151 officer /] responsible to the authority for ensuring that appropriate advice is given on all financial matters, for keeping proper financial records and accounts, for maintaining an effective system of internal control	The Council's Constitution includes a Scheme of Delegation outlined in Part 3. Section 151 Officer's arrangements are contained within the Constitution and their responsibilities are summarised in the Scheme of Delegation and Part 4 - Financial Procedure Rules and article 12 as part of statutory provisions outlined in the Local Government Finance Act 1988.	Constitution	4	23.01.09	Evidence obtained No Further Action Required				Ongoing
				Financial records and accounts are robustly maintained and made available to residents in the form of the Council's Annual Report and Statement of Accounts in accordance with the Accounting Code of Practice.	Annual Report and Accounts		23.01.09	Evidence obtained No Further Action Required			26.06.08	
				Section 151 Officer's Job Description clearly states accountability and responsibility for the Council's financial management.	Section 151 Officer's Job Description: section accounts on 'Typhoon'/office and admin/office and admin typing/Governance/Evidence Documents/ Job Descriptions / section 151 officer JD		23.01.09	Evidence obtained No Further Action Required			Pre-2005	
				Annual Governance Statement completed and signed off 2007-2008.	Annual Governance Statement		23.01.09	Evidence obtained No Further Action Required	Gordon Fletcher		15.05.08	
				External Audit arrangements are in place to independently assess the Council's financial governance arrangements, which are included in the audit commission's Annual Audit and Inspection Letter.	Annual Audit & Inspection Letter		23.01.09	Evidence obtained No Further Action Required			30.03.08	
		2.7	Make a senior officer [usually the monitoring officer] responsible to the authority for ensuring that agreed procedures are followed and that all applicable statutes and regulations are complied with	Article 12 of the Council's Constitution confirms the responsibilities of the Monitoring officer in line with statutory provisions.	Constitution	4	23.01.09	Evidence obtained No Further Action Required				Ongoing
Monitoring Officer's Job Description clearly states accountability and responsibility for the Council's probity, legislative and regulatory compliance.	Monitoring Officer's Job Description: section accounts on 'Typhoon'/office and admin/office and admin typing/Governance/Evidence Documents/ Monitoring Officer JD	23.01.09	Evidence obtained No Further Action Required				Pre-2005					

	Ensuring relationships between the authority, it's partners and the public are clear so that each knows what to expect of each other	2.8	Develop protocols to ensure effective communication between members and officers in their respective roles	Officer & Member Protocol in Part 5 of the Constitution clearly states the respective Codes of Conduct expected of individuals.	Constitution	4	23.01.09	Evidence obtained Required	No Further Action			Ongoing
				Meetings of Executive Portfolio Holders and their respective Heads of Service are established and act as a key enabler for the Council to communicate with the Executive on key issues and improve communication.	Member Briefings: section accounts on 'Typhoon' /office and admin/office and admin/Governance / Evidence Documents/member briefings		23.01.09	Evidence obtained Required	No Further Action			14.02.08
				The Council's approved and adopted Respect and Dignity Policy acts as a framework for the Council's approach to equal opportunity stewardship and advocacy and demonstrates it's commitment for effective communication.	Respect and Dignity Policy		23.01.09	Evidence obtained Required	Also found in the Working Together Guide. No Further Action			Pre-2005
				The Councils Scrutiny function have completed member surveys to gauge the satisfaction with services provided to Council members with the Scrutiny function of the Council.	Member Surveys: section accounts on 'Typhoon' /office and admin/office and admin typing/Governance/Evidence Documents/Member surveys - member support services		23.01.09	Evidence obtained Required	No Further Action			20.09.06
		2.9	Set out the terms and conditions for remuneration of members and officers and an effective structure for managing the process' including an effective remuneration panel.	The Council's Constitution has established a clear protocol for the remuneration of members and officers - Part 6 - Members Allowance Scheme / Officers - Financial Procedure Rules. Single Status Arrangements in place Conditions of Employment Collective Agreement	Constitution	4	23.01.09	Evidence obtained Required	No Further Action			Ongoing
				The Independent Remuneration Panel was established in accordance with the provisions of the Local government Act 2000 and the Local Authorities (Members Allowances) (England) Regulations 2001 which produce reports regarding the remuneration of members.	Remuneration Panel		23.01.09	Evidence obtained Required	No Further Action			Pre-2005
				A single status arrangement / Collective Agreement on a new pay structure was approved in June 2002. The document represents an agreement between Unison and GMB/APEX and the Council and sets out a new pay structure and associated provisions following a joint review of existing arrangements using the NJC Green Book job Evaluation Scheme.	Collective Agreement: section accounts on 'Typhoon' / office and admin/office and admin typing/Governance/Evidence Documents/ collective agreement		23.01.09	Evidence obtained Required	No Further Action			30.06.02
PRINCIPLE 2 Members and officers working together to achieve a common purpose with clearly defined functions and roles	Ensuring relationships between the authority, it's partners and the public are clear so that each knows what to expect of each other	2.10	Ensure that effective mechanisms exist to monitor service delivery	The Council have introduced Service Plans which link Service Plan objective and priorities to Corporate objectives which are three year documents and monitored, reviewed and revised annually.	Service Planning Guidance: section accounts on 'Typhoon' / office and admin/office and admin typing/Governance/Evidence Documents/ Service Plans/ Service Planning guidance 2007	4	23.01.09	Evidence obtained Required	No Further Action			30.04.07
				Performance Management Framework in place and included within the BVPP. Performance Management Framework covers; Community Strategy Council's Mission Corporate Plan Service Plans Financial Strategy/Budget Setting Process/VFM	Performance Management Framework		23.01.09	Evidence obtained Required	No Further Action			16.4.08
				The Council has implemented a Complaints Procedure. Feedback received is used to monitor service delivery and inform improvements in service delivery.	Complaints Procedure		23.01.09	Evidence obtained Required	No Further Action			Pre-2005
				Article 6 of the Council's Constitution includes provision for the establishment of a Scrutiny Committee to discharge the functions conferred by Section 21 or regulations under Section 32 of the Local Government Act 2000	Constitution		23.01.09	Evidence obtained Required	No Further Action			Ongoing
				The East Durham Local Strategic Partnership comprises community stakeholders from the public, private and voluntary sectors. Feedback mechanisms are clarified in the LSP's Constitution and further elaborated on in the Community Strategy.	Local Strategic Partnership		23.01.09	Evidence obtained Required	No Further Action			30.03.01
				Scrutiny Committee Reports are current, up to date and available on the Council's website	Scrutiny Committee Reports		23.01.09	Evidence obtained Required	No Further Action			Ongoing
				Audit Committee Reports are current, up to date and available on the Council's website	Audit Committee Reports		23.01.09	Evidence obtained Required	No Further Action			Ongoing
		2.11	Ensure that the organisation's vision, strategic plans, priorities and targets are developed through robust mechanisms, and in consultation with the local community and other key stakeholders, and that they are clearly articulated and disseminated	Corporate Plan 2007-2010 completed. The Council's Corporate Plan clearly sets out corporate priorities and objectives and takes into account local and national priorities. Corporate Plan illustrates a clear set of values, vision, and mission.	Corporate Plan	4	23.01.09	Evidence obtained Required	No Further Action			16.4.08
				Community Strategy in place. Priorities and objectives in the Community Strategy are aligned with corporate priorities and objectives.	Community Strategy		23.01.09	Evidence obtained Required	No Further Action			16.4.08

				The Council have introduced Service Plans which link Service Plan objective and priorities to Corporate objectives which are three year documents and monitored, reviewed and revised annually.	Service Planning Guidance: section accounts on 'Typhoon' / office and admin/office and admin typing/Governance/Evidence Documents/ Service Plans/ Service Planning guidance 2007		23.01.09	Evidence obtained Required	No Further Action				30.04.07	
				Medium Term Financial Strategy revised March 2008. Provides a Framework in which to develop medium and long term financial plans.	Medium Term Financial Strategy: section accounts on 'Typhoon'/office and admin/office and admin typing / Governance /Evidence Documents/ Finance /Medium Term Financial Strategy-revised March 2008		23.01.09	Evidence obtained Required	No Further Action				30.03.08	
				The Council has developed an Annual Treasury Strategy Statement and Annual Investment Strategy in accordance with the Local Government Act 2003 which in part, requires the Council to set out it's Treasury Strategy for borrowing and to prepare an Annual Investment Strategy which sets out the policies for the management, security and liquidity of it's investments.	Treasury Strategy Statement and Annual Investment Strategy.pdf		23.01.09	Evidence obtained Required	No Further Action	Tom Bell			30.03.08	
				The Council have adopted the County Durham Local Area Agreement - in place as of 20th May 2008 which outlines the Council's response to the Governments White Paper "Strong and Prosperous Communities" and the Local Government and Public Involvement in Health Act 2007.	Local Area Agreement		23.01.09	Draft document awaiting sign off. CDU advised that the draft changes daily until sign off. Current Copy sourced - however requires constant review. Evidence obtained	No Further Action Required	Mary Readman	01.06.08	County Durham LAA adopted by Executive on 20 May 2008		20.05.08
				Service Units have developed their own methods of consultation with their stakeholders in order to open dialogue and engage them. Published plans and key customer feedback results regarding consultation are named, where appropriate within the Service Plans.	Service Unit specific consultation initiatives: section accounts on 'Typhoon'/office and admin/office and admin typing / Governance / Evidence Documents/ Service plans		23.01.09	Evidence obtained Required	No Further Action		01.06.08	Evidence Obtained via Service Plans 15.5.08	15.05.08	
PRINCIPLE 2 Members and officers working together to achieve a common purpose with clearly defined functions and roles	Ensuring relationships between the authority, it's partners and the public are clear so that each knows what to expect of each other	2.11	Ensure that the organisation's vision, strategic plans, priorities and targets are developed through robust mechanisms, and in consultation with the local community and other key stakeholders, and that they are clearly articulated and disseminated	The Council have developed an approved Procurement Strategy to help ensure that the Council's choices are made in an organised way and that the resources required to develop, implement and monitor our services are in place.	Procurement Strategy: section accounts on 'Typhoon'/office and admin/office and admin typing / Governance / Evidence Documents/ Procurement	4	23.01.09	Evidence obtained Required	No Further Action	Peter Fail				09.04.04
				The Council have an approved Procurement Policy which provides an overview of the Council's approach to the procurement of works, services and supplies to achieve its corporate objectives.	Procurement Policy		23.01.09	Evidence obtained Required	No Further Action	Peter Fail			04.04.06	
				The Council adopted a Procurement Strategy in 2004, following extensive consultation. As part of the action plan contained within the Strategy, a Procurement Code of Practice has been adopted which ensures the Council takes a uniform approach to the procurement process.	Procurement Code of Practice		23.01.09	Evidence obtained Required	No Further Action	Peter Fail			04.04.06	
				A Community Advisory Panel has been established in order for resident participation and feedback to driver service improvement and contribute to strategic planning, priorities and targets.	Community Advisory Panel		23.01.09	Evidence obtained Required	No Further Action				2007	
				Best Value Performance Plan 2008 completed. BVPP includes the Council's performance arrangements and progress against national and local targets set out in the Corporate Plan.	Best Value Performance Plan		23.01.09	Evidence obtained Required	No Further Action				16.4.08	
				A Transitional plan has been produced by the Council in order to maintain focus on the Council's vision, corporate objectives and priorities in light of the Local Government Reorganisation and provides the basis of clear leadership for the Council and its partners and community throughout the remaining lifespan of the Council.	Transitional Plan		23.01.09	Evidence obtained Required.	No Further Action		Current versions may be found on; 'Typhoon'/office and admin/office and admin typing / Governance / Evidence Documents/Transitional Plan			Ongoing
				The Council have developed a Business Continuity Plan which provides a strategic framework to enable critical functions and services to be delivered in the event of business interruption.	Business Continuity Plan		23.01.09	Evidence obtained Required	No Further Action	Ann Carr			30.04.06	
				The Council have developed an Emergency Plan which provides a framework in order to co-ordinate the response of the Council with those of other Local Authorities, emergency services and other agencies to any emergency that requires the District's residents to receive assistance beyond that normally provided by the Council.	Emergency Plan		23.01.09	Evidence obtained Required	No Further Action	Ann Carr			30.04.06	
				The Council's Information Services Unit has developed an I.T. Disaster Recovery Plan which provides a framework in order to recover in a phased order of priority, any I.T. resources lost following an event or disaster.	I.T. Disaster Recovery Plan: section accounts on 'Typhoon'/office and admin/office and admin typing / Governance / Evidence Documents/Business Continuity		23.01.09	Evidence obtained Required	No Further Action	Graeme Hill			25.01.07	

		2.12	When working in partnership ensure that members are clear about their roles and responsibilities both individually and collectively in relationship to the partnership and to the authority	Partnership Framework in place which includes a partnership checklist to demonstrate a business case when entering into partnerships and a partnership review tool to review existing partnerships.	Partnership Framework	3	23.01.09	Action Plan required for implementation of Partnership Framework using proportionate allocation of resource	Stuart Wardle	31.03.09	Partnership Action Plan completed utilising a proportionate approach to take account of LGR. Key/Significant Partners Identified. Checklists for Key Partnerships completed. Report to Audit Committee 12 March 2009	12.03.09	
				The Council have developed an approved Procurement Strategy to help ensure that the Council's choices are made in an organised way and that the resources required to develop, implement and monitor our services are in place.	Procurement Strategy: section accounts on 'Typhoon'/office and admin/office and admin typing / Governance / Evidence Documents/ Procurement			23.01.09	Evidence obtained No Further Action Required	Peter Fail		09.04.04	
				The Council have an approved Procurement Policy which provides an overview of the Council's approach to the procurement of works, services and supplies to achieve its corporate objectives.	Procurement Policy			23.01.09	Evidence obtained No Further Action Required	Peter Fail		04.04.06	
				The Council adopted a Procurement Strategy in 2004, following extensive consultation. As part of the action plan contained within the Strategy, a Procurement Code of Practice has been adopted which ensures the Council takes a uniform approach to the procurement process.	Procurement Code of Practice			23.01.09	Evidence obtained No Further Action Required	Peter Fail		04.04.06	
				Risk Management Strategy and Policy approved, in place and reviewed January 2008. Partnerships are not specifically mentioned in Risk Management Strategy and Policy.	Risk Management Strategy			23.01.09	Review Risk Management Strategy and Policy and include links with Partnership Framework and Partnership Action Plan. Risk Management Strategy and "STORM" risk methodology specifically includes Partnerships	Stuart Wardle	31.03.09	Further Partnership links to Risk Management Strategy developed and incorporated within Partnership Action Plan. Key/Significant Partnership Risks identified and known.	06.03.09.
				A Code of Corporate Governance in line with the CIPFA/SOLACE guidance relevant to the type of authority has been developed by the authority and is currently awaiting approval by Management Team. A communication strategy in relation to the Code has been developed, approved and implemented. There are clear arrangements for continuously monitoring compliance with the Code e.g. reports on compliance will be submitted to Audit Committee on a regular basis.	Local Code of Governance			23.01.09	Evidence obtained- awaiting approval/adoption by Executive & Audit Committee on 20 and 22 May 2008 respectively. No Further Action Required - Keep under annual review.	Stuart Wardle	31.03.09	Local Code updated and reviewed by CGG - 23.01.09 taking into account LGR. Local Code Workplan updated and presented to Audit Committee 12.03.09 as part of AGS for 2008/09	12.03.09
				The Monitoring Officer issued a report in January 2007 relating to indemnities for Members and Officers in order to make clearer the range of powers available to them, which included a section on working with outside bodies. The Monitoring Officer had also previously circulated a draft note to the Executive regarding liabilities and the risk of dealing with outside bodies.	Outside bodies advice: section accounts on 'Typhoon'/office and admin/office and admin typing/Governance/evidence documents/ Members indemnity			23.01.09	Evidence obtained No Further Action Required			16.01.07	
				The Council have adopted the County Durham Local Area Agreement - in place as of 20th May 2008 which outlines the Council's response to the Governments White Paper "Strong and Prosperous Communities" and the Local Government and Public Involvement in Health Act 2007.	Local Area Agreement			23.01.09	Draft document awaiting sign off. CDU advised that the draft changes daily until sign off. Current Copy sourced - however requires constant review. Evidence obtained No Further Action Required	Mary Readman		County Durham LAA adopted by Executive on 20 May 2008	20.05.08
PRINCIPLE 2	Ensuring relationships between the authority, its partners and the public are clear so that each knows what to expect of each other	2.13	When working in partnership: - ensure there is clarity about the legal status of the partnership; - ensure the representatives of organisations both understand and make clear to all other partners the extent of their authority to bind the organisation to partner decisions	The East Durham Local Strategic Partnership comprises community stakeholders from the public, private and voluntary sectors. Feedback mechanisms are clarified in the LSP's Constitution and further elaborated on in the Community Strategy.	Local Strategic Partnership	3	23.01.09	Evidence obtained No Further Action Required				30.03.01	
				Partnership Framework in place which includes a partnership checklist to demonstrate a business case when entering into partnerships and a partnership review tool to review existing partnerships.	Partnership Framework		23.01.09	Action Plan required for implementation of Partnership Framework using proportionate allocation of resource	Stuart Wardle	31.03.09	Partnership Action Plan completed utilising a proportionate approach to take account of LGR. Key/Significant Partners Identified. Checklists for Key Partnerships completed. Report to Audit Committee 12 March 2009	12.03.09	
				The Council have developed an approved Procurement Strategy to help ensure that the Council's choices are made in an organised way and that the resources required to develop, implement and monitor our services are in place.	Procurement Strategy: section accounts on 'Typhoon'/office and admin/office and admin typing / Governance / Evidence Documents/ Procurement			23.01.09	Evidence obtained No Further Action Required	Peter Fail		09.04.04	
				The Council have an approved Procurement Policy which provides an overview of the Council's approach to the procurement of works, services and supplies to achieve its corporate objectives.	Procurement Policy			23.01.09	Evidence obtained No Further Action Required	Peter Fail		04.04.06	
				The Council adopted a Procurement Strategy in 2004, following extensive consultation. As part of the action plan contained within the Strategy, a Procurement Code of Practice has been adopted which ensures the Council takes a uniform approach to the procurement process.	Procurement Code of Practice			23.01.09	Evidence obtained No Further Action Required	Peter Fail		04.04.06	
				Risk Management Strategy and Policy approved, in place and reviewed January 2008. Partnerships are not specifically mentioned in Risk Management Strategy and Policy.	Risk Management Strategy			23.01.09	Review Risk Management Strategy and Policy and include links with Partnership Framework and Partnership Action Plan. Risk Management Strategy and "STORM" risk methodology specifically includes Partnerships	Stuart Wardle	31.03.09	Further Partnership links to Risk Management Strategy developed and incorporated within Partnership Action Plan. Key/Significant Partnership Risks identified and known.	06.03.09.

				Best Value Performance Plan 2007 completed. BVPP includes the Council's performance arrangements and progress against national and local targets set out in the Corporate Plan.	Best Value Performance Plan		23.01.09	Evidence obtained No Further Action Required				16.4.08
				A Code of Corporate Governance in line with the CIPFA/SOLACE guidance relevant to the type of authority has been developed by the authority and is currently awaiting approval by Management Team. A communication strategy in relation to the Code has been developed, approved and implemented. There are clear arrangements for continuously monitoring compliance with the Code e.g. reports on compliance will be submitted to Audit Committee on a regular basis.	Local Code of Governance		23.01.09	Evidence obtained- awaiting approval/adoption by Executive & Audit Committee on 20 and 22 May 2008 respectively. No Further Action Required - Keep under annual review.	Stuart Wardle	31.03.09	Local Code updated and reviewed by CGG - 23.01.09 taking into account LGR. Local Code Workplan updated and presented to Audit Committee 12.03.09 as part of AGS for 2008/09	12.03.09
Promoting values for the authority demonstrating the values of good governance through upholding high standards of conduct and behaviour	Ensuring authority members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance	3.1	Ensure that the authority's leadership sets a tone for the organisation by creating a climate of openness, support and respect	The Council's Constitution clearly sets out the arrangements to create an environment of transparency, probity, respect and dignity; Member & Officer Protocol - Part 5 - Codes and Protocols p240-243 Anti Fraud & Corruption Strategy - Financial Regulations Section 4.iv p.188 Confidential Reporting Code - Financial Regulations Section 4.i p.181	Constitution	4	23.01.09	Evidence obtained No Further Action Required				Ongoing
				The Council's approved and adopted Respect and Dignity Policy acts as a framework for the Council's approach to equal opportunity stewardship and advocacy and demonstrates it's commitment to openness, support and respect.	Respect and Dignity Policy		23.01.09	Evidence obtained. Also found in the Working Together Guide. No Further Action Required			Pre-2005	
				The Equality and Diversity Policy is identical to the Council's Respect and Dignity Policy. Also found in the Working Together Guide.	Equality and Diversity Policy: Refer to the Respect and Dignity Policy		23.01.09	Evidence obtained. Also found in the Working Together Guide. No Further Action Required			Pre-2005	
				The Council has drafted a Race Equality Scheme which sets out how the Council will meet its general and specific duties outlined under the Race Relations (Amendment) Act 2000.	Race Equality Scheme		23.01.09	Evidence obtained No Further Action Required			2005	
				The Council has drafted a Disability Equality Scheme in order to identify and eliminate barriers to access to services that disabled people may face and as part of the Council's embedding of Equality and Diversity throughout all of its' activities.	Disability Equality Scheme		23.01.09	Evidence obtained No Further Action Required			2006	
				"Working together Guide" issued to all staff and members provides a clear guide that covers: The Council's vision, Objectives and Values. Respect and Dignity Policy. Confidential Reporting Code. Memorandum of Understanding. Peoples Charter. Training and Development.	Working Together Guide: section accounts on 'Typhoon'/office and admin/office and admin/Governance / Evidence Documents/Working Together Guide		23.01.09	Evidence obtained No Further Action Required			Pre-2005	
				The Council has adopted a Standards Committee to promote and maintain high standards of conduct by members and co-opted members as outlined in the members Council's Code of Conduct.	Standards Committee		23.01.09	Evidence obtained No Further Action Required			Ongoing	
Promoting values for the authority demonstrating the values of good governance through upholding high standards of conduct and behaviour	Ensuring authority members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance	3.2	Ensure that standards of conduct and personal behaviour expected of members and staff, of work between members and staff and between the authority, its partners and the community are defined and communicated through codes of conduct and protocols	The Council's Constitution clearly sets out the arrangements to create an environment of transparency, probity, respect and dignity; Member & Officer Protocol - Part 5 - Codes and Protocols p240-243 Anti Fraud & Corruption Strategy - Financial Regulations Section 4.iv p.188 Confidential Reporting Code - Financial Regulations Section 4.i p.181	Constitution	4	23.01.09	Evidence obtained No Further Action Required				Ongoing
Promoting values for the authority demonstrating the values of good governance through upholding high standards of conduct and behaviour	Ensuring authority members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance	3.2	Ensure that standards of conduct and personal behaviour expected of members and staff, of work between members and staff and between the authority, its partners and the community are defined and communicated through codes of conduct and protocols	The Council has implemented a Performance Appraisal System which reviews; Known facts about the post holder=s performance. Training and development needs. Clarification on the post holders job description and key roles/responsibilities. Employee Welfare.	Performance Appraisal System: section accounts on 'Typhoon'/office and admin/office and admin/Governance / Staff Development / Evidence Documents/appraisal guidance	4	23.01.09	Evidence obtained No Further Action Required.				Pre-2006
				The Council has implemented a Complaints Procedure. Feedback received is used to monitor service delivery and inform improvements in service delivery.	Complaints Procedure		23.01.09	Evidence obtained No Further Action Required			Pre-2005	
				The Council's approved and adopted Respect and Dignity Policy acts as a framework for the Council's approach to equal opportunity stewardship and advocacy and demonstrates it's commitment to openness, support and respect.	Respect and Dignity Policy		23.01.09	Evidence obtained. Also found in the Working Together Guide. No Further Action Required			Pre-2005	
				The Equality and Diversity Policy is identical to the Council's Respect and Dignity Policy. Also found in the Working Together Guide.	Equality and Diversity Policy: Refer to the Respect and Dignity Policy		23.01.09	Evidence obtained. Also found in the Working Together Guide. No Further Action Required			Pre-2005	
				The Council has drafted a Race Equality Scheme which sets out how the Council will meet its general and specific duties outlined under the Race Relations (Amendment) Act 2000.	Race Equality Scheme		23.01.09	Evidence obtained No Further Action Required			2005	
				The Council has drafted a Disability Equality Scheme in order to identify and eliminate barriers to access to services that disabled people may face and as part of the Council's embedding of Equality and Diversity throughout all of its' activities.	Disability Equality Scheme		23.01.09	Evidence obtained No Further Action Required			2006	
				"Working together Guide" issued to all staff and members provides a clear guide that covers: The Council's vision, Objectives and Values. Respect and Dignity Policy. Confidential Reporting Code. Memorandum of Understanding. Peoples Charter. Training and Development.	Working Together Guide: section accounts on 'Typhoon'/office and admin/office and admin/Governance / Evidence Documents/Working Together Guide		23.01.09	Evidence obtained No Further Action Required			Pre-2005	

		3.3	Put in place arrangements to ensure that members and employees of the authority are not influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders and put in place appropriate processes to ensure that they continue to operate in practice	The Council has adopted a Standards Committee to promote and maintain high standards of conduct by members and co-opted members as outlined in the members Council's Code of Conduct.	Standards Committee	4	23.01.09	Evidence obtained No Further Action Required				Ongoing
				The Council have developed an Anti-Money Laundering Policy in response to the governments Proceeds of Crime Act 2002 and the Money Laundering regulations 2003, which impose a statutory duty on local authorities to establish internal procedures to prevent the use of their services for money laundering.	Anti-Money Laundering Policy: section accounts on 'Typhoon'/office and admin/office and admin typing / Governance / Evidence Documents/Money Laundering Policy		23.01.09	Evidence obtained No Further Action Required	Tom Bell/ David Taylor		2007	
				The Council's Constitution clearly sets out the arrangements to create an environment of transparency and probity, Standing Orders & Financial Regulations - Part 4 Rules of Procedure p. 154-197 Codes of Conduct - Part 5 - codes and Protocols p. 226-243 Related Party Transactions - Officer Employment Procedure Rules p. 221-235	Constitution		23.01.09	Evidence obtained No Further Action Required			Ongoing	
				The Council's approved and adopted Respect and Dignity Policy acts as a framework for the Council's approach to equal opportunity stewardship and advocacy and demonstrates it's commitment to openness, support and respect.	Respect and Dignity Policy		23.01.09	Evidence obtained. Also found in the Working Together Guide. No Further Action Required			Pre-2005	
				The Equality and Diversity Policy is identical to the Council's Respect and Dignity Policy. Also found in the Working Together Guide.	Equality and Diversity Policy: Refer to the Respect and Dignity Policy		23.01.09	Evidence obtained. Also found in the Working Together Guide. No Further Action Required			Pre-2005	
				The Council has drafted a Race Equality Scheme which sets out how the Council will meet its general and specific duties outlined under the Race Relations (Amendment) Act 2000.	Race Equality Scheme		23.01.09	Evidence obtained No Further Action Required			2005	
				The Council has drafted a Disability Equality Scheme in order to identify and eliminate barriers to access to services that disabled people may face and as part of the Council's embedding of Equality and Diversity throughout all of its' activities.	Disability Equality Scheme		23.01.09	Evidence obtained No Further Action Required			2006	
	"Working together Guide" issued to all staff and members provides a clear guide that covers: The Council's vision, Objectives and Values. Respect and Dignity Policy. Confidential Reporting Code. Memorandum of Understanding. Peoples Charter. Training and Development.	Working Together Guide: section accounts on 'Typhoon'/office and admin/office and admin/Governance / Evidence Documents/Working Together Guide	23.01.09	Evidence obtained No Further Action Required			Pre-2005					
Ensuring that organisational values are put into practice and are effective	3.4	Develop and maintain shared values including leadership values for both the organisation and staff reflecting public expectations and communicate these with members, staff, the community and partners	The Council's Constitution clearly sets out the arrangements to create an environment of transparency, probity, respect and dignity; Member & Officer Protocol - Part 5 - Codes and Protocols p240-243 Anti Fraud & Corruption Strategy - Financial Regulations Section 4.iv p.188 Confidential Reporting Code - Financial Regulations Section 4.i p.181	Constitution	4	23.01.09	Evidence obtained No Further Action Required				Ongoing	
			The Council's approved and adopted Respect and Dignity Policy acts as a framework for the Council's approach to equal opportunity stewardship and advocacy and demonstrates it's commitment to openness, support and respect.	Respect and Dignity Policy		23.01.09	Evidence obtained. Also found in the Working Together Guide. No Further Action Required			Pre-2005		
			The Equality and Diversity Policy is identical to the Council's Respect and Dignity Policy. Also found in the Working Together Guide.	Equality and Diversity Policy: Refer to the Respect and Dignity Policy		23.01.09	Evidence obtained. Also found in the Working Together Guide. No Further Action Required			Pre-2005		
Promoting values for the authority demonstrating the values of good governance through upholding high standards of conduct and behaviour	3.4	Develop and maintain shared values including leadership values for both the organisation and staff reflecting public expectations and communicate these with members, staff, the community and partners	Corporate Plan 2007-2010 completed. The Council's Corporate Plan clearly sets out corporate priorities and objectives and takes into account local and national priorities. Corporate Plan illustrates a clear set of values, vision, and mission.	Corporate Plan	4	23.01.09	Evidence obtained No Further Action Required				16.4.08	
			The Council has drafted a Race Equality Scheme which sets out how the Council will meet its general and specific duties outlined under the Race Relations (Amendment) Act 2000.	Race Equality Scheme		23.01.09	Evidence obtained No Further Action Required			2005		
			The Council has drafted a Disability Equality Scheme in order to identify and eliminate barriers to access to services that disabled people may face and as part of the Council's embedding of Equality and Diversity throughout all of its' activities.	Disability Equality Scheme		23.01.09	Evidence obtained No Further Action Required			2006		
			"Working together Guide" issued to all staff and members provides a clear guide that covers: The Council's vision, Objectives and Values. Respect and Dignity Policy. Confidential Reporting Code. Memorandum of Understanding. Peoples Charter. Training and Development.	Working Together Guide: section accounts on 'Typhoon'/office and admin/office and admin/Governance / Evidence Documents/Working Together Guide		23.01.09	Evidence obtained No Further Action Required			Pre-2005		
	3.5	Put in place arrangements to ensure that systems and processes are designed in conformity with appropriate ethical standards and monitor their continuing effectiveness in practice.	The Council's Constitution clearly sets out the arrangements to create an environment of transparency, probity, respect and dignity; Member & Officer Protocol - Part 5 - Codes and Protocols p240-243 Anti Fraud & Corruption Strategy - Financial Regulations Section 4.iv p.188 Confidential Reporting Code - Financial Regulations Section 4.i p.181	Constitution	3	23.01.09	Evidence obtained No Further Action Required				Ongoing	

				The Council's approved and adopted Respect and Dignity Policy acts as a framework for the Council's approach to equal opportunity stewardship and advocacy and demonstrates its commitment to openness, support and respect.	Respect and Dignity Policy		23.01.09	Evidence obtained. Also found in the Working Together Guide. No Further Action Required				Pre-2005		
				The Equality and Diversity Policy is identical to the Council's Respect and Dignity Policy. Also found in the Working Together Guide.	Equality and Diversity Policy: Refer to the Respect and Dignity Policy		23.01.09	Evidence obtained. Also found in the Working Together Guide. No Further Action Required				Pre-2005		
				The Council has drafted a Race Equality Scheme which sets out how the Council will meet its general and specific duties outlined under the Race Relations (Amendment) Act 2000.	Race Equality Scheme		23.01.09	Evidence obtained No Further Action Required				2005		
				The Council has drafted a Disability Equality Scheme in order to identify and eliminate barriers to access to services that disabled people may face and as part of the Council's embedding of Equality and Diversity throughout all of its' activities.	Disability Equality Scheme		23.01.09	Evidence obtained No Further Action Required				2006		
				"Working together Guide" issued to all staff and members provides a clear guide that covers; The Council's vision, Objectives and Values. Respect and Dignity Policy. Confidential Reporting Code. Memorandum of Understanding. Peoples Charter. Training and Development.	Working Together Guide: section accounts on 'Typhoon'/office and admin/office and admin/Governance / Evidence Documents/Working Together Guide		23.01.09	Evidence obtained No Further Action Required				Pre-2005		
				The Council's Constitution clearly sets out the disclosure of personal and prejudicial interests in the Members Code of Conduct - Part 2, Interests p. 231	Register of Interests		23.01.09	Evidence obtained. No Further Action Required	David Taylor	01-Sep-08	The Council's Monitoring Officer has continued to receive reports from Members and Officers where an interest may have warranted reporting. He is satisfied that the rules surrounding the registering of interests is well known and there is no evidence to suggest a contrary view.	16.01.09		
				The Council has adopted a Standards Committee to promote and maintain high standards of conduct by members and co-opted members as outlined in the members Council's Code of Conduct.	Standards Committee		23.01.09	Evidence obtained No Further Action Required				Ongoing		
				3.6 Develop and maintain an effective standards committee.	The Council's Constitution includes the provision for the implementation of a Standards Committee; Standards Committee Terms of Reference - Article 9 p. 21-22 Article 12 confirms the responsibilities of the Monitoring officer.		Constitution	3	23.01.09	Evidence obtained....Keep Under Review	David Taylor	01-Sep-08		Ongoing
					The Council has adopted a Standards Committee to promote and maintain high standards of conduct by members and co-opted members as outlined in the members Council's Code of Conduct and effectively monitors developments in the Ethical Standards Framework.		Standards Committee		23.01.09	Evidence obtained No Further Action Required				Ongoing
					Meetings of the Standards Committee are fully supported by a programme of meetings which are documented and the minutes made available on the Council's website.		Standards Committee Reports		23.01.09	Evidence obtained No Further Action Required				Ongoing
The Council receive an annual report from the Local Government Ombudsman in relation to the complaints they receive. This report is then used to inform on the Council's performance and complaint handling arrangements and acts as a driver for service improvement. The Ombudsman would only be involved in relation to 3.6 where members have been criticised.	Ombudsman Complaints	23.01.09	Evidence obtained No Further Action Required						31.03.07					
Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour	Ensuring that organisational values are put into practice and are effective	3.6 Develop and maintain an effective standards committee.		The Council had previously agreed to pursue a Member Charter for member development. In order to obtain Charter status the following conditions needed to be satisfied; Establishment of a member development group - which was completed. Development of a member development strategy - which was completed. Appointment of a dedicated training and development officer - not completed due to the impact of the LGR and implementation of the Transition Plan which de-prioritised this area. In terms of member courses, they are advertised to members periodically when received from NERO by e-mail and if members are interested and the finance is available then the Scrutiny Support Manager arranges bookings electronically.	Member Training and Development: section accounts on 'Typhoon'/office and admin/office and admin/Governance / Evidence Documents/ Member Development / building member capacity - draft strategy version May 06 & member development steering group	3	23.01.09	Evidence obtained No Further Action Required. Due to the impact of the LGR - sectorised training and development has been de-prioritised, however limited training is undertaken on a "piecemeal" basis.				19.09.07		
				The Full Council meet annually in accordance with the Local Government Act 1972, in which the Membership and meeting dates of the Standards Committee are agreed for the forthcoming year. In addition to this, items which require full Council approval (such as changes to the Council's Constitution) that impact the Standards Committee are also raised for consideration and approval.	Annual Meeting of Council		23.01.09	Evidence obtained No Further Action Required				Ongoing		
				3.7 Use the organisations shared values to act as a guide to decision making and as a basis for developing positive and trusting relationships within the authority	The Council's Constitution acts as the key document for all of the Council's undertakings and decision making structures.		Constitution	4	23.01.09	Evidence obtained No Further Action Required				Ongoing
		Corporate Plan 2007-2010 completed. The Council's Corporate Plan clearly sets out corporate priorities and objectives and takes into account local and national priorities. Corporate Plan illustrates a clear set of values, vision, and mission.	Corporate Plan		23.01.09	Evidence obtained No Further Action Required					16.4.08			
		Community Strategy in place. Priorities and objectives in the Community Strategy are aligned with corporate priorities and objectives.	Community Strategy		23.01.09	Evidence obtained No Further Action Required					16.4.08			

			Partnership Framework in place which includes a partnership checklist to demonstrate a business case when entering into partnerships and a partnership review tool to review existing partnerships.	Partnership Framework		23.01.09	Action Plan required for implementation of Partnership Framework using proportionate allocation of resource	Stuart Wardle	31.03.09	Partnership Action Plan completed utilising a proportionate approach to take account of LGR. Key/Significant Partners Identified. Checklists for Key Partnerships completed. Report to Audit Committee 12 March 2009	12.03.09	
			The Council have developed an approved Procurement Strategy to help ensure that the Council's choices are made in an organised way and that the resources required to develop, implement and monitor our services are in place.	Procurement Strategy: section accounts on 'Typhoon'/office and admin/office and admin typing / Governance / Evidence Documents/ Procurement		23.01.09					09.04.04	
			The Council have an approved Procurement Policy which provides an overview of the Council's approach to the procurement of works, services and supplies to achieve its corporate objectives.	Procurement Policy		23.01.09	The Council have an approved Procurement Policy which provides an overview of the Council's approach to the procurement of works, services and supplies to achieve its corporate objectives.	Procurement Policy			04.04.06	
			The Council adopted a Procurement Strategy in 2004, following extensive consultation. As part of the action plan contained within the Strategy, a Procurement Code of Practice has been adopted which ensures the Council takes a uniform approach to the procurement process.	Procurement Code of Practice		23.01.09	Evidence obtained No Further Action Required				04.04.06	
		3.8	In pursuing the vision of a partnership, agree a set of values against which decisions making and actions can be judged. Such values must be demonstrated by partners behaviour both individually and collectively	Partnership Framework in place which includes a partnership checklist to demonstrate a business case when entering into partnerships and a partnership review tool to review existing partnerships.	Partnership Framework	2	23.01.09	Action Plan required for implementation of Partnership Framework using proportionate allocation of resource	Stuart Wardle	31.03.09	Partnership Action Plan completed utilising a proportionate approach to take account of LGR. Key/Significant Partners Identified. Checklists for Key Partnerships completed. Report to Audit Committee 12 March 2009	12.03.09
			The Council have developed an approved Procurement Strategy to help ensure that the Council's choices are made in an organised way and that the resources required to develop, implement and monitor our services are in place.	Procurement Strategy: section accounts on 'Typhoon'/office and admin/office and admin typing / Governance / Evidence Documents/ Procurement		23.01.09	Evidence obtained No Further Action Required	Peter Fail			09.04.04	
			The Council have an approved Procurement Policy which provides an overview of the Council's approach to the procurement of works, services and supplies to achieve its corporate objectives.	Procurement Policy		23.01.09	Evidence obtained No Further Action Required	Peter Fail			04.04.06	
			The Council adopted a Procurement Strategy in 2004, following extensive consultation. As part of the action plan contained within the Strategy, a Procurement Code of Practice has been adopted which ensures the Council takes a uniform approach to the procurement process.	Procurement Code of Practice		23.01.09	Evidence obtained No Further Action Required	Peter Fail			04.04.06	
			Use of Resources Assessment 2006 completed by the Audit Commission April 2007. Independent assessment is part of the Council's review and monitoring process to report on the adequacy of it's Corporate Governance arrangements.	Use of Resources Assessment		23.01.09	Evidence obtained No Further Action Required				30.04.07	
			Corporate Plan 2007-2010 completed. The Council's Corporate Plan clearly sets out corporate priorities and objectives and takes into account local and national priorities. Corporate Plan illustrates a clear set of values, vision, and mission.	Corporate Plan		23.01.09	Evidence obtained No Further Action Required				16.4.08	
PRINCIPLE 4 Taking informed and transparent decisions which are subject to effective scrutiny and managing risk	Being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny	4.1	Develop and maintain an effective scrutiny function which encourages constructive challenge and enhances the authority's performance overall and that of any organisation for which it is responsible	The Council's Constitution includes the provision for the implementation of a Scrutiny Committee Scrutiny Committee Terms of reference Article 6 p.17-18	Constitution	4	23.01.09	Evidence obtained No Further Action Required			Ongoing	
				Under Article 6 of the Council's Constitution, Scrutiny Committees must report annually to Council on their work and make recommendations for future Work Programmes.	Scrutiny Annual Report		23.01.09	Evidence obtained No Further Action Required			Ongoing	
PRINCIPLE 4 Taking informed and transparent decisions which are subject to effective scrutiny and managing risk	Being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny	4.1	Develop and maintain an effective scrutiny function which encourages constructive challenge and enhances the authority's performance overall and that of any organisation for which it is responsible	The Council had previously agreed to pursue a Member Charter for member development. In order to obtain Charter status the following conditions needed to be satisfied; Establishment of a member development group - which was completed. Development of a member development strategy - which was completed. Appointment of a dedicated training and development officer - not completed due to the impact of the LGR and implementation of the Transition Plan which de-prioritised this area. In terms of member courses, they are advertised to members periodically when received from NEREO by e-mail and if members are interested and the finance is available then the Scrutiny Support Manager arranges bookings electronically.	Member Training and Development: section accounts on 'Typhoon'/office and admin/office and admin/Governance / Evidence Documents/ Member Development / Building Member Capacity - draft strategy version May 06 & Member development Steering Group	4	23.01.09	Evidence obtained No Further Action Required. Due to the impact of the LGR - sector training and development has been de-prioritised, however limited training is undertaken on a "piecemeal" basis.			19.09.07	
				Service Unit Reporting mechanisms are embedded within the Council and are subject to regular review via their respective Scrutiny Committees.	Service Delivery Reports		23.01.09	Evidence obtained No Further Action Required			Ongoing	
				The Scrutiny annual report is inclusive of the Work Programmes planned for the forthcoming year.	Work Programmes		23.01.09	Evidence obtained No Further Action Required	Stuart Wardle	01-Sep-08	28.05.08	
		4.2	Develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are made	The Council's Constitution acts as the key document for all of the Council's undertakings and decision making structures.	Constitution	4	23.01.09	Evidence obtained No Further Action Required			Ongoing	

			The Council has an adopted an approved Risk Management Strategy and Policy. The Council's corporate risks are reviewed annually with mitigating actions used to control the risks. The Council's risk register contributes to the prioritisation of key work areas and actions required to undertake them.	Risk Register		23.01.09	Evidence obtained No Further Action Required	Stuart Wardle	31.03.09	Corporate Risk Review completed October 2008 and Refresh completed February 2009. Updated Risk Registers referred to Durham County Council	CRR completed and approved by Executive Oct 14th 2008 and updated and refreshed Feb 09		
			By law, the Council must produce an accurate record of all decisions taken and recommendations made by the Council and its Committees and Panels.	All Committee Reports		23.01.09	Evidence obtained No Further Action Required			Ongoing			
		4.3	Put in place arrangements to safeguard members and employees against conflicts of interest and put in place appropriate processes to ensure that they continue to operate in practice	The Council's Constitution clearly sets out the arrangements to create an environment of transparency and probity. Member & Officer Protocol - Part 5 - Codes and Protocols p240-243	Constitution	3	23.01.09	Evidence obtained No Further Action Required				Ongoing	
				The Council's Constitution clearly sets out the disclosure of personal and prejudicial interests in the Members Code of Conduct - Part 2, Interests p. 231	Register of Interests		23.01.09	Evidence obtained. No Further Action Required.	David Taylor	01-Sep-08	The Council's Monitoring Officer has continued to receive reports from Members and Officers where an interest may have warranted reporting. He is satisfied that the rules surrounding the registering of interests is well known and there is no evidence to suggest a contrary view.	16.01.09	
		4.4	Develop and maintain an effective audit committee (or equivalent) which is independent of the executive and scrutiny functions or make other appropriate arrangements for the discharge of the functions of such a committee	The Council's Constitution includes the provision for the implementation of an Audit Committee Audit Committee Terms of Reference - Part 3 - Responsibility For Functions p. 63-67	Constitution	4	23.01.09	Evidence obtained No Further Action Required				Ongoing	
				Audit Committee training would have been included as part of the Member Charter (outlined in member training and development). Due to the impact of the LGR, member training has been de-prioritised. Some Audit Committee and Risk Management training has been completed "in house".	Audit Committee Training: section accounts on 'Typhoon'/office and admin/office and admin/Governance / Evidence Documents/ building member capacity - draft strategy version May 06 & member development steering group section accounts on 'Typhoon'/office and admin/office and admin/risk management training		23.01.09	Evidence obtained No Further Action Required			19.09.07		
				Meetings of the Audit Committee are fully supported with minutes, available on the Council website.	Audit Committee Reports		23.01.09	Evidence obtained No Further Action Required			Ongoing		
		4.5	Ensure that effective, transparent and accessible arrangements are in place for dealing with complaints	The Council has implemented a Complaints Procedure. Feedback received is used to monitor service delivery and inform improvements in service delivery.	Complaints Procedure	3	23.01.09	Evidence obtained No Further Action Required				Pre-2005	
				Performance Management Framework in place and included within the BVPP. Performance Management Framework covers; Community Strategy Council's Mission Corporate Plan Service Plans Financial Strategy/Budget Setting Process/VFM	Performance Management Framework		23.01.09	Evidence obtained No Further Action Required			16.4.08		
				The Council receive an annual report from the Local Government Ombudsman in relation to the complaints they receive. This report is then used to inform on the Council's performance and complaint handling arrangements and acts as a driver for service improvement.	Ombudsman Complaints		23.01.09	Evidence obtained No Further Action Required			31.03.07		
		PRINCIPLE 4 Taking informed and transparent decisions which are subject to effective scrutiny and managing risk	Having good-quality information, advice and support to ensure that services are delivered effectively and are what the community wants/needs	4.6	Ensure that those making decisions whether for the authority or the partnership are provided with information that is fit for the purpose – relevant, timely and gives clear explanations of technical issues and their implications	The Council have developed and implemented a full member induction programme which is diarised and feedback from delegates is sought after their induction which is used to feed into further service improvements.	Member Induction Programme: section accounts on 'Typhoon'/office and admin/office and admin/Governance / Evidence Documents/member induction and feedback	4	23.01.09	Evidence obtained No Further Action Required			Pre-2005
						The Council had previously agreed to pursue a Member Charter for member development. In order to obtain Charter status the following conditions needed to be satisfied; Establishment of a member development group - which was completed. Development of a member development strategy - which was completed. Appointment of a dedicated training and development officer - not completed due to the impact of the LGR and implementation of the Transition Plan which de-prioritised this area. In terms of member courses, they are advertised to members periodically when received from NEREO by e-mail and if members are interested and the finance is available then the Scrutiny Support Manager arranges bookings electronically.	Member Training and Development: section accounts on 'Typhoon'/office and admin/office and admin/Governance / Evidence Documents/ Member Development / building member capacity - draft strategy version May 06 & member development steering group		23.01.09	Evidence obtained No Further Action Required. Due to the impact of the LGR - sector training and development has been de-prioritised, however limited training is undertaken on a "piecemeal" basis.			19.09.07

			Partnership Framework in place which includes a partnership checklist to demonstrate a business case when entering into partnerships and a partnership review tool to review existing partnerships.	Partnership Framework	4	23.01.09	Action Plan required for implementation of Partnership Framework using proportionate allocation of resource	Stuart Wardle	31.03.09	Partnership Action Plan completed utilising a proportionate approach to take account of LGR. Key/Significant Partners Identified. Checklists for Key Partnerships completed. Report to Audit Committee 12 March 2009	12.03.09	
			The Council have developed an approved Procurement Strategy to help ensure that the Council's choices are made in an organised way and that the resources required to develop, implement and monitor our services are in place.	Procurement Strategy: section accounts on 'Typhoon'/office and admin/office and admin typing / Governance / Evidence Documents/ Procurement		23.01.09	Evidence obtained No Further Action Required	Peter Fail			09.04.04	
			The Council have an approved Procurement Policy which provides an overview of the Council's approach to the procurement of works, services and supplies to achieve its corporate objectives.	Procurement Policy		23.01.09	Evidence obtained No Further Action Required	Peter Fail			04.04.06	
			The Council adopted a Procurement Strategy in 2004, following extensive consultation. As part of the action plan contained within the Strategy, a Procurement Code of Practice has been adopted which ensures the Council takes a uniform approach to the procurement process.	Procurement Code of Practice		23.01.09	Evidence obtained No Further Action Required	Peter Fail			04.04.06	
			The Council has an adopted an approved Risk Management Strategy and Policy. The Council's corporate risks are reviewed annually with mitigating actions used to control the risks. The Council's risk register contributes to the prioritisation of key work areas and actions required to undertake them.	Risk Register		23.01.09	Evidence obtained No Further Action Required	Stuart Wardle	31.03.09	Corporate Risk Review completed October 2008 and Refresh completed February 2009. Updated Risk Registers referred to Durham County Council	CRR completed and approved by Executive Oct 14th 2008 and updated and refreshed Feb 09	
			The Council's Constitution acts as the key document for all of the Council's undertakings and decision making structures - Article 13 Decision making.	Constitution		23.01.09	Evidence obtained No Further Action Required				Ongoing	
			The Council has adopted and approved a report writing protocol which clearly sets out the criteria and implications required to be considered and included in reports.	Reporting Protocol: section accounts on 'Typhoon'/office and admin/office and admin typing/Governance/Evidence Documents/ Report Guide / 2008 Protocol for Report Writing		23.01.09	Evidence obtained No Further Action Required				28.02.08	
			The Council's Constitution acts as the key document for all of the Council's undertakings and decision making structures.	Constitution		23.01.09	Evidence obtained No Further Action Required				Ongoing	
			4.7	Ensure that professional advice on matters that have legal or financial implications is available and recorded well in advance of decision making and used appropriately		Legal and Financial implications are considered and recorded as part of all decisions and included within all committee reports	All Committee reports	23.01.09	Evidence obtained No Further Action Required			Ongoing
			Ensuring that an effective risk management system is in place	4.8		Ensure that risk management is embedded into the culture of the authority, with members and managers at all levels recognizing that risk management is part of their jobs	The Council has an adopted and approved Risk Management Policy, which clearly states that the management of risk is everyone's responsibility.	Risk Management Policy	4	23.01.09	Evidence obtained No Further Action Required	
The Council has an adopted and approved Risk Management Strategy, covering: Corporate risk identification, profiling, action planning and review Directorate, service unit, work area risk identification, profiling, action planning and review Embedding risk management at Easington This is embedded within the Council and the responsibility for risk management is included within relevant job descriptions and is monitored via the strategy's assurance function.	Risk Management Strategy	23.01.09			Evidence obtained No Further Action Required			31.03.09		Further Partnership links to Risk Management Strategy developed and incorporated within Partnership Action Plan. Key/Significant Partnership Risks identified and known.	06.03.09.	
The Council have formed a Risk Management Strategy Steering Group with clear terms of reference. The group includes member and director representation and is charged with develop a co-ordinating a Risk Management Strategy, and is responsible for implementing the Council's philosophy towards the management of risk, which is outlined by the Risk Management Policy Statement	Risk Management Strategy Steering Group	23.01.09			Evidence obtained No Further Action Required						17.12.03	
PRINCIPLE 4 Taking informed and transparent decisions which are subject to effective scrutiny and managing risk	Ensuring that an effective risk management system is in place	4.8	Ensure that risk management is embedded into the culture of the authority, with members and managers at all levels recognizing that risk management is part of their jobs	The Council's Constitution clearly outlines the provision for the development of a risk management culture; Audit Committee Terms of Reference - Part 3 - Responsibility For Functions p. 63-67 Article 7 of the Constitution specifies the role of the Executive and Section 3 of Responsibility for Functions clearly specifies the roles of each Executive member. Financial regulations - Rules of Procedure p. 154-197	Constitution	4	23.01.09	Evidence obtained No Further Action Required				Ongoing
				The Council's Risk Management function have developed a Risk Management Performance Work Plan which clearly sets out the functions strategic and operational objectives, tasks and actions required to embed Risk Management into the Council's culture.	Risk Management Performance Work Plan		23.01.09	Evidence obtained No Further Action Required				28.09.07
				Use of Resources Assessment 2006 completed by the Audit Commission April 2007. Independent assessment is part of the Council's review and monitoring process to report on the adequacy of it's risk management arrangements.	Use of Resources Assessment		23.01.09	Evidence obtained No Further Action Required				30.04.07

			The Council has an adopted an approved Risk Management Strategy and Policy. The Council's corporate risks are reviewed annually with mitigating actions used to control the risks. The Council's risk register contributes to the prioritisation of key work areas and actions required to undertake them.	Risk Register		23.01.09	Evidence obtained No Further Action Required	Stuart Wardle	31.03.09	Corporate Risk Review completed October 2008 and Refresh completed February 2009. Updated Risk Registers referred to Durham County Council	CRR completed and approved by Executive Oct 14th 2008 and updated and refreshed Feb 09	
			The Council have introduced Service Plans which link Service Plan objective and priorities to Corporate objectives which are three year documents and monitored, reviewed and revised annually. Service Plans include a list of the plans key risks and how they will be controlled.	Service Planning Guidance: section accounts on 'Typhoon' / office and admin/office and admin typing/Governance/Evidence Documents/ Service Plans/ Service Planning guidance 2007		23.01.09	Evidence obtained No Further Action Required					30.04.07
			Meetings of the Audit committee are fully supported with minutes which re enforce the assurance function of the Council's risk management arrangements.	Audit Committee Reports		23.01.09	Audit commission annual report and inspection letter, Internal audit reports. No Further Action Required					Ongoing
			The Council have developed a Business Continuity Plan which provides a strategic framework to enable critical functions and services to be delivered in the event of business interruption.	Business Continuity Plan		23.01.09	Evidence obtained No Further Action Required	Ann Carr				30.04.06
			The Council have developed an Emergency Plan which provides a framework in order to co-ordinate the response of the Council with those of other Local Authorities, emergency services and other agencies to any emergency that requires the District's residents to receive assistance beyond that normally provided by the Council.	Emergency Plan		23.01.09	Evidence obtained No Further Action Required	Ann Carr				30.04.06
			The Council's Information Services Unit has developed an I.T. Disaster Recovery Plan which provides a framework in order to recover in a phased order of priority, any I.T. resources lost following an event or disaster.	I.T. Disaster Recovery Plan: section accounts on 'Typhoon'/office and admin/office and admin typing / Governance / Evidence Documents/Business Continuity		23.01.09	Evidence obtained No Further Action Required	Graeme Hill				25.01.07
4.9	Ensure that arrangements are in place for whistle-blowing to which staff and all those contracting with the authority have access	The Council's Constitution set out clear guidelines for whistle blowing arrangements; Confidential Reporting Code - (Financial Regulations Section 4.i p.181)	Constitution	3	23.01.09	Evidence obtained No Further Action Required	David Taylor	30.09.08	The Council's Monitoring Officer has never encountered a situation where a failure to use the Code when it should have been used has been evident. He is satisfied that the rules regarding the Code are well understood which would lead to taking a contrary view. The Monitoring Officer does not consider that there is any unfamiliarity with the Code that was causing problems which would warrant raising its profile at a particularly difficult time for staff (due to the LGR).	16.01.09		
		"Workin g together Guide" issued to all staff and members provides a clear guide that covers: The Council's vision, Objectives and Values. Respect and Dignity Policy. Confidential Reporting Code. Memorandum of Understanding. Peoples Charter. Training and Development.	Working Together Guide: section accounts on 'Typhoon'/office and admin/office and admin/Governance / Evidence Documents/Working Together Guide			23.01.09	Evidence obtained No Further Action Required				Pre-2005	
		The Council had previously agreed to pursue a Member Charter for member development. In order to obtain Charter status the following conditions needed to be satisfied; Establishment of a member development group - which was completed. Development of a member development strategy - which was completed. Appointment of a dedicated training and development officer - not completed due to the impact of the LGR and implementation of the Transition Plan which de-prioritised this area. In terms of member courses, they are advertised to members periodically when received from NEREO by e-mail and if members are interested and the finance is available then the Scrutiny Support Manager arranges bookings electronically.	Member Training and Development: section accounts on 'Typhoon'/office and admin/office and admin/Governance / Evidence Documents/ Member Development / building member capacity - draft strategy version May 06 & member development steering group			23.01.09	Evidence obtained No Further Action Required. Due to the impact of the LGR - sector training and development has been de-prioritised, however limited training is undertaken on a "piecemeal" basis.				19.09.07	
		The Council have an adopted staff appraisal scheme which includes: Clarity of roles and contributions to Service Unit/Corporate objectives. Performance. Achievements. Training and Development / PEP Welfare needs.	Staff Induction / Appraisal / Training and Development: section accounts on 'Typhoon'/office and admin/office and admin/Governance / Evidence Documents/Staff training			23.01.09	Staff Training and Development and One to One Appraisals. No Further Action Required				Pre-2005	
		The Council have developed an Anti-Money Laundering Policy in response to the governments Proceeds of Crime Act 2002 and the Money Laundering regulations 2003, which impose a statutory duty on local authorities to establish internal procedures to prevent the use of their services for money laundering.	Anti-Money Laundering Policy: section accounts on 'Typhoon'/office and admin/office and admin typing / Governance / Evidence Documents/Money Laundering Policy			23.01.09	Evidence obtained No Further Action Required	Tom Bell/ David Taylor				2007
PRINCIPLE 4 Taking informed and transparent decisions which are subject to effective scrutiny and managing risk	Ensuring that an effective risk management system is in place	4.9	Ensure that arrangements are in place for whistle-blowing to which staff and all those contracting with the authority have access									
	Using their legal powers to the full benefit of the citizens and communities in their area	4.10	Actively recognise the limits of lawful activity placed on them by, for example, the ultra vires doctrine but also strive to utilise powers to the full benefit of their communities	The Council's Constitution clearly sets out the arrangements to create an environment of transparency and probity. Standing Orders & Financial Regulations - Part 4 Rules of Procedure p. 154-197 Article 12 confirms the responsibilities of the Monitoring Officer.	Constitution	3	23.01.09	Evidence obtained No Further Action Required			Ongoing	

			Monitoring Officer's Job Description clearly states accountability and responsibility for the Council's probity, legislative and regulatory compliance.	Monitoring Officer Job Description: section accounts on 'Typhoon'/office and admin/office and admin typing/Governance/Evidence Documents/ monitoring officer jd		23.01.09	Evidence obtained No Further Action Required	Reg Gott	01-May-08		Pre-2005
			The Council has adopted and approved a report writing protocol which clearly sets out the legal criteria and implications required to be considered and included in reports.	Reporting Protocol: section accounts on 'Typhoon'/office and admin/office and admin typing/Governance/Evidence Documents/ Report Guide / 2008 Protocol for Report Writing		23.01.09	Evidence obtained No Further Action Required				28.02.08
Using their legal powers to the full benefit of the citizens and communities in their area	4.11	Recognise the limits of lawful action and observe both the specific requirements of legislation and the general responsibilities placed on local authorities by public law	A Code of Corporate Governance in line with the CIPFA/SOLACE guidance relevant to the type of authority has been developed by the authority and is currently awaiting approval by Management Team. A communication strategy in relation to the Code has been developed, approved and implemented. There are clear arrangements for continuously monitoring compliance with the Code e.g. reports on compliance will be submitted to Audit Committee on a regular basis.	Local Code of Governance	4	23.01.09	Evidence obtained- awaiting approval/adoption by Executive & Audit Committee on 20 and 22 May 2008 respectively. No Further Action Required - Keep under annual review.	Stuart Wardle	31.03.09	Local Code updated and reviewed by CGG - 23.01.09 taking into account LGR. Local Code Workplan updated and presented to Audit Committee 12.03.09 as part of AGS for 2008/09	12.03.09
			The Council's Constitution clearly sets out the arrangements to create an environment of transparency and probity, Standing Orders & Financial Regulations - Part 4 Rules of Procedure p. 154-197 Article 12 confirms the responsibilities of the Monitoring Officer.	Constitution		23.01.09	Evidence obtained No Further Action Required			Ongoing	
			The Council has adopted and approved a report writing protocol which clearly sets out the legal criteria and implications required to be considered and included in reports.	Reporting Protocol: section accounts on 'Typhoon'/office and admin/office and admin typing/Governance/Evidence Documents/2008 Protocol for Report Writing		23.01.09	Evidence obtained No Further Action Required			28.02.08	
			The Council has an adopted an approved Risk Management Strategy and Policy. The Council's corporate risks are reviewed annually with mitigating actions used to control the risks. The Council's risk register contributes to the prioritisation of key work areas and actions required to undertake them.	Risk Register		23.01.09	Corporate risk Review for 2008-09 needs completing.	Stuart Wardle	31.03.09	Corporate Risk Review completed October 2008 and Refresh completed February 2009. Updated Risk Registers referred to Durham County Council	CRR completed and approved by Executive Oct 14th 2008 and updated and refreshed Feb 09
			The Council's Constitution clearly sets out the arrangements to create an environment of transparency and probity, Standing Orders & Financial Regulations - Part 4 Rules of Procedure p. 154-197 Article 12 confirms the responsibilities of the Monitoring Officer.	Constitution		4	23.01.09	Evidence obtained No Further Action Required			Ongoing
	The Council has adopted and approved a report writing protocol which clearly sets out the legal criteria and implications required to be considered and included in reports which are evidenced on the Council's website.	All Committee Reports	23.01.09	Evidence obtained No Further Action Required				Ongoing			
	The Council has an adopted an approved Risk Management Strategy and Policy. The Council's corporate risks are reviewed annually with mitigating actions used to control the risks. The Council's risk register contributes to the prioritisation of key work areas and actions required to undertake them.	Risk Register	23.01.09	Corporate risk Review for 2008-09 needs completing.	Stuart Wardle		31.03.09	Corporate Risk Review completed October 2008 and Refresh completed February 2009. Updated Risk Registers referred to Durham County Council	CRR completed and approved by Executive Oct 14th 2008 and updated and refreshed Feb 09		
	The Council have developed an Anti-Money Laundering Policy in response to the governments Proceeds of Crime Act 2002 and the Money Laundering regulations 2003, which impose a statutory duty on local authorities to establish internal procedures to prevent the use of their services for money laundering.	Anti-Money Laundering Policy: section accounts on 'Typhoon'/office and admin/office and admin typing / Governance / Evidence Documents/Money Laundering Policy	23.01.09	Evidence obtained No Further Action Required	Tom Bell/ David Taylor				2007		
	PRINCIPLE 5 Developing the capacity and capability of members and officers to be effective	Making sure members and officers have the skills, knowledge, experience and resources they need to perform well in their roles	5.1	Provide induction programmes tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis	The Council has drafted an Organisational Development Strategy that is required as part of its' key elements, the need to; <ul style="list-style-type: none"> ensure staff know what is expected of them and are trained and motivated to help design and deliver high quality services. Ensure our staff are rewarded and recognised for their achievements. Ensure our staff are supported by strong leadership and their well being cared for particularly in times of major change. Ensure our staff have the opportunity to engage in the delivery of services and improve them. Ensure our staff are encouraged to be innovative and creative 	Organisational Development Strategy: section accounts on 'Typhoon'/office and admin/office and admin typing / Governance / Evidence Documents/ Organisational Development Strategy November 2004	4	23.01.09	Evidence obtained No Further Action Required. Latest version sourced from CDU is a draft version from 2004.		

			<p>The Council had previously agreed to pursue a Member Charter for member development. In order to obtain Charter status the following conditions needed to be satisfied; Establishment of a member development group - which was completed. Development of a member development strategy - which was completed. Appointment of a dedicated training and development officer - not completed due to the impact of the LGR and implementation of the Transition Plan which de-prioritised this area. In terms of member courses, they are advertised to members periodically when received from NEREO by e-mail and if members are interested and the finance is available then the Scrutiny Support Manager arranges bookings electronically.</p>	<p>Member Training and Development: section accounts on 'Typhoon'/office and admin/office and admin/Governance / Evidence Documents/ Member Development / building member capacity - draft strategy version May 06 & member development steering group</p>	23.01.09	Evidence obtained No Further Action Required. Due to the impact of the LGR - sectorised training and development has been de-prioritised, however limited training is undertaken on a "piecemeal" basis.				19.09.07		
			<p>The Council have an adopted staff appraisal scheme which includes: Clarity of roles and contributions to Service Unit/Corporate objectives. Performance. Achievements. Training and Development / PDP Welfare needs. Individual training and development records are held on each member of staff's personal file.</p>	<p>Staff Induction / Appraisal / Training and Development: section accounts on 'Typhoon'/office and admin/office and admin/Governance / Evidence Documents/Staff training</p>	23.01.09	Staff Training and Development and One to One Appraisals. No Further Action Required				Pre-2005		
			<p>"Working together Guide" issued to all staff and members provides a clear guide that covers: The Council's vision, Objectives and Values. Respect and Dignity Policy. Confidential Reporting Code. Memorandum of Understanding. Peoples Charter. Training and Development.</p>	<p>Working Together Guide: section accounts on 'Typhoon'/office and admin/office and admin/Governance / Evidence Documents/Working Together Guide</p>	23.01.09	Evidence obtained No Further Action Required				Pre-2005		
			<p>The Council fully supports the CPD Scheme and can be evidence through an individual's training and development plan where appropriate however the Council do not operate any structured CPD scheme as such.</p>	<p>CPD Scheme: section accounts on 'Typhoon'/office and admin/office and admin/Governance / Evidence Documents/Staff training</p>	23.01.09	Evidence obtained No Further Action Required				Ongoing		
			<p>A Transitional plan has been produced by the Council in order to maintain focus on the Council's vision, corporate objectives and priorities in light of the Local Government Reorganisation and provides the basis of clear leadership for the Council and its partners and community throughout the remaining lifespan of the Council.</p>	<p>Transitional Plan</p>	23.01.09	Evidence obtained No Further Action Required. Current versions may be found on; 'Typhoon'/office and admin/office and admin typing / Governance / Evidence Documents/Transitional Plan				Ongoing		
			<p>In light of the LGR, members PDP's have been reviewed in order to meet their emerging needs for the new Unitary authority. Arrangements have been made to initially review members PDPs, and in conjunction with NEREO, undertake interviews with members to assess the training and development required.</p>	<p>Members PDP's: section accounts on 'Typhoon'/office and admin/office and admin typing / Governance / Evidence Documents/ members pdp</p>	23.01.09	Evidence obtained No Further Action Required				08.02.08		
			<p>The Council have an adopted staff appraisal scheme which includes: Clarity of roles and contributions to Service Unit/Corporate objectives. Performance. Achievements. Training and Development / PDP Welfare needs. Individual training and development records are held on each member of staff's personal file.</p>	<p>Staff Induction / Appraisal / Training and Development: section accounts on 'Typhoon'/office and admin/office and admin/Governance / Evidence Documents/Staff training</p>	23.01.09	Staff Training and Development and One to One Appraisals. No Further Action Required				Pre-2005		
			<p>The Council have developed and implemented a full member induction programme which is diarised and feedback from delegates is sought after their induction which is used to feed into further service improvements.</p>	<p>Member Induction Programme: section accounts on 'Typhoon'/office and admin/office and admin/Governance / Evidence Documents/member induction and feedback</p>	23.01.09	Evidence obtained No Further Action Required				Pre-2005		
			<p>The Council have an adopted staff appraisal scheme which includes: Clarity of roles and contributions to Service Unit/Corporate objectives. Performance. Achievements. Training and Development / PDP Welfare needs.</p>	<p>Staff Induction / Appraisal / Training and Development: section accounts on 'Typhoon'/office and admin/office and admin/Governance / Evidence Documents/Staff training</p>	23.01.09	Staff Training and Development and One to One Appraisals. No Further Action Required				Pre-2005		
					5.2	<p>Ensure that the statutory officers have the skills, resources, and support necessary to perform effectively in their roles and that these roles are properly understood throughout the authority</p>	<p>The Council have an adopted staff appraisal scheme which includes: Clarity of roles and contributions to Service Unit/Corporate objectives. Performance. Achievements. Training and Development / PDP Welfare needs. Individual training and development records are held on each member of staff's personal file.</p>	<p>Staff Induction / Appraisal / Training and Development: section accounts on 'Typhoon'/office and admin/office and admin/Governance / Evidence Documents/Staff training</p>	4	23.01.09	Staff Training and Development and One to One Appraisals. No Further Action Required	
<p>PRINCIPLE 5 Developing the capacity and capability of members and officers to be effective</p>	<p>Making sure members and officers have the skills, knowledge, experience and resources they need to perform well in their roles</p>	5.2	<p>Ensure that the statutory officers have the skills, resources, and support necessary to perform effectively in their roles and that these roles are properly understood throughout the authority</p>	<p>"Working together Guide" issued to all staff and members provides a clear guide that covers: The Council's vision, Objectives and Values. Respect and Dignity Policy. Confidential Reporting Code. Memorandum of Understanding. Peoples Charter. Training and Development.</p>	<p>Working Together Guide: section accounts on 'Typhoon'/office and admin/office and admin/Governance / Evidence Documents/Working Together Guide</p>	4	23.01.09	Evidence obtained No Further Action Required				Pre-2005
				<p>The Council fully supports the CPD Scheme and can be evidence through an individual's training and development plan where appropriate however the Council do not operate any structured CPD scheme as such.</p>	<p>CPD Scheme: section accounts on 'Typhoon'/office and admin/office and admin/Governance / Evidence Documents/Staff training</p>	23.01.09	Evidence obtained No Further Action Required				Ongoing	
				<p>The Council's Constitution includes a Scheme of Delegation outlined in Part 3.</p>	<p>Constitution</p>	23.01.09	Evidence obtained No Further Action Required				Ongoing	

			The Council's Personnel Unit hold job descriptions and person specifications for each post at the Council which clearly outline the responsibilities, knowledge, skills and experience required to perform their respective duties.	Job Descriptions/Person specifications: Available from the Personnel Unit.		23.01.09	Evidence obtained No Further Action Required			Ongoing
Developing the capability of people with governance responsibilities and evaluating their performance, as individuals and as a group	5.3	Assess the skills required by members and officers and make commitment to develop those skills to enable roles to be carried out effectively	The Council have an adopted staff appraisal scheme which includes: Clarity of roles and contributions to Service Unit/Corporate objectives. Performance. Achievements. Training and Development / PDP Welfare needs. Individual training and development records are held on each member of staff's personal file.	Staff Induction / Appraisal / Training and Development: section accounts on 'Typhoon'/office and admin/office and admin/Governance / Evidence Documents/Staff training	4	23.01.09	Staff Training and Development and One to One Appraisals. No Further Action Required			Pre-2005
			The Council had previously agreed to pursue a Member Charter for member development. In order to obtain Charter status the following conditions needed to be satisfied; Establishment of a member development group - which was completed. Development of a member development strategy - which was completed. Appointment of a dedicated training and development officer - not completed due to the impact of the LGR and implementation of the Transition Plan which de-prioritised this area. In terms of member courses, they are advertised to members periodically when received from NEREO by e-mail and if members are interested and the finance is available then the Scrutiny Support Manager arranges bookings electronically.	Member Training and Development: section accounts on 'Typhoon'/office and admin/office and admin/Governance / Evidence Documents/ Member Development / building member capacity - draft strategy version May 06 & member development steering group		23.01.09	Evidence obtained No Further Action Required. Due to the impact of the LGR - sector training and development has been de-prioritised, however limited training is undertaken on a "piecemeal" basis.			19.09.07
			In light of the LGR, members PDP's have been reviewed in order to meet their emerging needs for the new Unitary authority. Arrangements have been made to initially review members PDPs, and in conjunction with NEREO, undertake interviews with members to assess the training and development required.	Members PDP's: section accounts on 'Typhoon'/office and admin/office and admin typing / Governance / Evidence Documents/ members pdp		23.01.09	Evidence obtained No Further Action Required			08.02.08
			The Council have an adopted staff appraisal scheme which includes: Clarity of roles and contributions to Service Unit/Corporate objectives. Performance. Achievements. Training and Development / PDP Welfare needs.	Staff Induction / Appraisal / Training and Development: section accounts on 'Typhoon'/office and admin/office and admin/Governance / Evidence Documents/Staff training		23.01.09	Staff Training and Development and One to One Appraisals. No Further Action Required			Pre-2005
			The Council has drafted an Organisational Development Strategy that is required as part of its' key elements, the need to; • ensure staff know what is expected of them and are trained and motivated to help design and deliver high quality services. • Ensure our staff are rewarded and recognised for their achievements. • Ensure our staff are supported by strong leadership and their well being cared for particularly in times of major change. • Ensure our staff have the opportunity to engage in the delivery of services and improve them. • Ensure our staff are encouraged to be innovative and creative	Organisational Development Strategy: section accounts on 'Typhoon'/office and admin/office and admin typing / Governance / Evidence Documents/ Organisational Development Strategy November 2004		23.01.09	Evidence obtained No Further Action Required. Latest version sourced from CDU is a draft version from 2004.			30.11.04
Developing the capacity and capability of members and officers to be effective	5.4	Develop skills on a continuing basis to improve performance, including the ability to scrutinise and challenge and to recognise when outside expert advice is needed	The Council had previously agreed to pursue a Member Charter for member development. In order to obtain Charter status the following conditions needed to be satisfied; Establishment of a member development group - which was completed. Development of a member development strategy - which was completed. Appointment of a dedicated training and development officer - not completed due to the impact of the LGR and implementation of the Transition Plan which de-prioritised this area. In terms of member courses, they are advertised to members periodically when received from NEREO by e-mail and if members are interested and the finance is available then the Scrutiny Support Manager arranges bookings electronically.	Member Training and Development: section accounts on 'Typhoon'/office and admin/office and admin/Governance / Evidence Documents/ Member Development / building member capacity - draft strategy version May 06 & member development steering group	4	23.01.09	Evidence obtained No Further Action Required. Due to the impact of the LGR - sector training and development has been de-prioritised, however limited training is undertaken on a "piecemeal" basis.			19.09.07
			The Council has drafted an Organisational Development Strategy that is required as part of its' key elements, the need to; • ensure staff know what is expected of them and are trained and motivated to help design and deliver high quality services. • Ensure our staff are rewarded and recognised for their achievements. • Ensure our staff are supported by strong leadership and their well being cared for particularly in times of major change. • Ensure our staff have the opportunity to engage in the delivery of services and improve them. • Ensure our staff are encouraged to be innovative and creative	Organisational Development Strategy: section accounts on 'Typhoon'/office and admin/office and admin typing / Governance / Evidence Documents/ Organisational Development Strategy November 2004		23.01.09	Evidence obtained No Further Action Required. Latest version sourced from CDU is a draft version from 2004.			30.11.04
PRINCIPLE 5 Developing the capacity and capability of members and officers to be effective	5.5	Ensure that effective arrangements are in place for reviewing the performance of the executive as a whole and of individual members and agreeing an action plan which might, for example, aim to address any training and development needs	Performance Management Framework in place and included within the BVPP. Performance Management Framework covers: Community Strategy Council's Mission Corporate Plan Service Plans Financial Strategy/Budget Setting Process/VFM	Performance Management Framework	4	23.01.09	Evidence obtained No Further Action Required			16.4.08
			Audit Committee in place. Audit Committee functions outlined in the Council Constitution - Part 3 Responsibility For functions p.63.	Audit Committee (Provisions For)		23.01.09	Evidence obtained No Further Action Required			Ongoing
			Audit Committee Reports are current, up to date and available on the Council's website	Audit Committee Reports		23.01.09	Evidence obtained No Further Action Required			Ongoing

			<p>The Council had previously agreed to pursue a Member Charter for member development. In order to obtain Charter status the following conditions needed to be satisfied; Establishment of a member development group - which was completed. Development of a member development strategy - which was completed. Appointment of a dedicated training and development officer - not completed due to the impact of the LGR and implementation of the Transition Plan which de-prioritised this area. In terms of member courses, they are advertised to members periodically when received from NEREO by e-mail and if members are interested and the finance is available then the Scrutiny Support Manager arranges bookings electronically.</p>	<p>Member Training and Development: section accounts on 'Typhoon'/office and admin/office and admin/Governance / Evidence Documents/ Member Development / building member capacity - draft strategy version May 06 & member development steering group</p>		23.01.09	Evidence obtained No Further Action Required. Due to the impact of the LGR - structured training and development has been de-prioritised, however limited training is undertaken on a "piecemeal" basis.				19.09.07
			<p>The Council's Constitution includes the provision for the implementation of a Scrutiny Committee Scrutiny Committee Terms of reference Article 6 p.17-18</p>	<p>Constitution</p>		23.01.09	Evidence obtained No Further Action Required				Ongoing
			<p>Under Article 6 of the Council's Constitution, Scrutiny Committees must report annually to Council on their work and make recommendations for future Work Programmes.</p>	<p>Scrutiny Annual Report</p>		23.01.09	Evidence obtained No Further Action Required				Ongoing
			<p>In light of the LGR, members PDP's have been reviewed in order to meet their emerging needs for the new Unitary authority. Arrangements have been made to initially review members PDPs, and in conjunction with NEREO, undertake interviews with members to assess the training and development required.</p>	<p>Members PDP's: section accounts on 'Typhoon'/office and admin/office and admin typing / Governance / Evidence Documents/ members pdp</p>		23.01.09	Evidence obtained No Further Action Required				08.02.08
	Encouraging new talent for membership of the authority so that best use can be made of individuals' skills and resources in balancing continuity and renewal	5.6	<p>Community Strategy in place. Priorities and objectives in the Community Strategy are aligned with corporate priorities and objectives.</p>	<p>Community Strategy</p>	4	23.01.09	Evidence obtained No Further Action Required				16.4.08
			<p>The East Durham Local Strategic Partnership comprises community stakeholders from the public, private and voluntary sectors. Feedback mechanisms are clarified in the LSP's Constitution and further elaborated on in the Community Strategy.</p>	<p>Local Strategic Partnership</p>		23.01.09	Evidence obtained No Further Action Required				30.03.01
			<p>Partnership Framework in place which includes a partnership checklist to demonstrate a business case when entering into partnerships and a partnership review tool to review existing partnerships.</p>	<p>Partnership Framework</p>		23.01.09	Action Plan required for implementation of Partnership Framework using proportionate allocation of resource	Stuart Wardle	31.03.09	Partnership Action Plan completed utilising a proportionate approach to take account of LGR. Key/Significant Partners Identified. Checklists for Key Partnerships completed. Report to Audit Committee 12 March 2009	12.03.09
			<p>A Community Advisory Panel has been established in order for resident participation and feedback to driver service improvement and contribute to strategic planning, priorities and targets.</p>	<p>Community Advisory Panel</p>		23.01.09	Evidence obtained No Further Action Required				2007
			<p>The Council's approved and adopted Respect and Dignity Policy acts as a framework for the Council's approach to equal opportunity stewardship and advocacy and demonstrates it's commitment to openness, support and respect.</p>	<p>Respect and Dignity Policy</p>		23.01.09	Evidence obtained. Also found in the Working Together Guide. No Further Action Required				Pre-2005
			<p>The Equality and Diversity Policy is identical to the Council's Respect and Dignity Policy. Also found in the Working Together Guide.</p>	<p>Equality and Diversity Policy: Refer to the Respect and Dignity Policy</p>		23.01.09	Evidence obtained. Also found in the Working Together Guide. No Further Action Required				Pre-2005
			<p>The Council has drafted a Race Equality Scheme which sets out how the Council will meet its general and specific duties outlined under the Race Relations (Amendment) Act 2000.</p>	<p>Race Equality Scheme</p>		23.01.09	Evidence obtained No Further Action Required				2005
			<p>The Council has drafted a Disability Equality Scheme in order to identify and eliminate barriers to access to services that disabled people may face and as part of the Council's embedding of Equality and Diversity throughout all of its' activities.</p>	<p>Disability Equality Scheme</p>		23.01.09	Evidence obtained No Further Action Required				2006
			<p>The Council is committed to engaging with hard to reach areas of the community and has in place an adopted Youth Strategy and Forum.</p>	<p>Youth Strategy and Forum</p>		23.01.09	Evidence obtained No Further Action Required				
			<p>A Communication Strategy in respect of the corporate objectives has been developed, approved and implemented. Marketing material in a range of media is used to disseminate Council aims and objectives.</p>	<p>Communications Strategy: section accounts on "Typhoon"/office and admin/office and admin typing / Governance / Evidence Documents / Communications Strategy</p>		23.01.09	Evidence obtained No Further Action Required				2002
PRINCIPLE 5 Developing the capacity and capability of members and officers to be effective	Encouraging new talent for membership of the authority so that best use can be made of individuals' skills and resources in balancing continuity and renewal	5.6	<p>The Council have developed an approved Procurement Strategy to help ensure that the Council's choices are made in an organised way and that the resources required to develop, implement and monitor our services are in place.</p>	<p>Procurement Strategy: section accounts on 'Typhoon'/office and admin/office and admin typing / Governance / Evidence Documents/ Procurement</p>	4	23.01.09	Evidence obtained No Further Action Required	Peter Fail			09.04.04

		5.7	Ensure that career structures are in place for members and officers to encourage participation and development	The Council have an approved Procurement Policy which provides an overview of the Council's approach to the procurement of works, services and supplies to achieve its corporate objectives.	Procurement Policy	4	23.01.09	Evidence obtained No Further Action Required	Peter Fail			04.04.06
				The Council adopted a Procurement Strategy in 2004, following extensive consultation. As part of the action plan contained within the Strategy, a Procurement Code of Practice has been adopted which ensures the Council takes a uniform approach to the procurement process.	Procurement Code of Practice		23.01.09	Evidence obtained No Further Action Required	Peter Fail			04.04.06
				The Council had previously agreed to pursue a Member Charter for member development. In order to obtain Charter status the following conditions needed to be satisfied: Establishment of a member development group - which was completed. Development of a member development strategy - which was completed. Appointment of a dedicated training and development officer - not completed due to the impact of the LGR and implementation of the Transition Plan which de-prioritised this area. In terms of member courses, they are advertised to members periodically when received from NEREO by e-mail and if members are interested and the finance is available then the Scrutiny Support Manager arranges bookings electronically.	Member Training and Development: section accounts on 'Typhoon'/office and admin/office and admin/Governance / Evidence Documents/ Member Development / building member capacity - draft strategy version May 06 & member development steering group		23.01.09	Evidence obtained No Further Action Required. Due to the impact of the LGR - sectorised training and development has been de-prioritised, however limited training is undertaken on a "piecemeal" basis.				19.09.07
				The Council have an adopted staff appraisal scheme which includes: Clarity of roles and contributions to Service Unit/Corporate objectives. Performance. Achievements. Training and Development / PDP Welfare needs.	Staff Induction / Appraisal / Training and Development: section accounts on 'Typhoon'/office and admin/office and admin/Governance / Evidence Documents/Staff training		23.01.09	Staff Training and Development and One to One Appraisals. No Further Action Required				Pre-2005
				The Council has drafted an Organisational Development Strategy that is required as part of its' key elements, the need to: • ensure staff know what is expected of them and are trained and motivated to help design and deliver high quality services. • Ensure our staff are rewarded and recognised for their achievements. • Ensure our staff are supported by strong leadership and their well being cared for particularly in times of major change. • Ensure our staff have the opportunity to engage in the delivery of services and improve them. • Ensure our staff are encouraged to be innovative and creative	Organisational Development Strategy: section accounts on 'Typhoon'/office and admin/office and admin typing / Governance / Evidence Documents/ Organisational Development Strategy November 2004		23.01.09	Evidence obtained No Further Action Required. Latest version sourced from CDU is a draft version from 2004.				30.11.04
				The Council fully supports the CPD Scheme and can be evidence through an individual's training and development plan where appropriate however the Council do not operate any structured CPD scheme as such.	CPD Scheme: section accounts on 'Typhoon'/office and admin/office and admin/Governance / Evidence Documents/Staff training		23.01.09	Evidence can be found in individuals PDP's No Further Action Required				Ongoing
			A Transitional plan has been produced by the Council in order to maintain focus on the Council's vision, corporate objectives and priorities in light of the Local Government Reorganisation and provides the basis of clear leadership for the Council and its partners and community throughout the remaining lifespan of the Council.	Transitional Plan			23.01.09	Evidence obtained No Further Action Required. Current versions may be found on; 'Typhoon'/office and admin/office and admin typing / Governance / Evidence Documents/Transitional Plan				Ongoing
PRINCIPLE 6 Engaging with local people and other stakeholders to ensure robust public accountability	Exercising leadership through a robust scrutiny function which effectively engages local people and all local institutional stakeholders, including partnerships, and develops constructive accountability relationships.	6.1	Make clear to themselves, all staff and the community to whom they are accountable and for what	Corporate Plan 2007-2010 completed. The Council's Corporate Plan clearly sets out corporate priorities and objectives and takes into account local and national priorities. Corporate Plan illustrates a clear set of values, vision, and mission.	Corporate Plan	3	23.01.09	Evidence obtained No Further Action Required				16.4.08
				Community Strategy in place. Priorities and objectives in the Community Strategy are aligned with corporate priorities and objectives.	Community Strategy		23.01.09	Evidence obtained No Further Action Required			16.4.08	
				The Council's Constitution acts as the key document for all of the Council's undertakings and decision making structures.	Constitution		23.01.09	Evidence obtained No Further Action Required			Ongoing	
				Best Value Performance Plan 2007 completed. BVPP includes the Council's performance arrangements and progress against national and local targets set out in the Corporate Plan.	Best Value Performance Plan		23.01.09	Evidence obtained No Further Action Required			16.4.08	
				The Council have adopted the County Durham Local Area Agreement - in place as of 20th May 2008 which outlines the Council's response to the Governments White Paper "Strong and Prosperous Communities" and the Local Government and Public Involvement in Health Act 2007.	Local Area Agreement		23.01.09	Draft document awaiting sign off. CDU advised that the draft changes daily until sign off. Current Copy sourced - however requires constant review. Evidence obtained No Further Action Required	Mary Readman	31.05.08	County Durham LAA adopted by Executive on 20 May 2008	20.05.08
				The Council has produced a draft Community Engagement Framework which reviewed findings in the Council's community engagement activities and to propose further changes to their approach to engagement. Included within the Framework is an action plan to be used to implement the proposed changes.	Community Engagement Framework: section accounts on 'Typhoon'/office and admin/office and admin typing / Governance /Evidence Documents/ Community Engagement / Community Engagement Framework July 2007		23.01.09	Evidence obtained No Further Action Required				31.07.07

<p>PRINCIPLE 6 Engaging with local people and other stakeholders to ensure robust public accountability</p>	<p>Exercising leadership through a robust scrutiny function which effectively engages local people and all local institutional stakeholders, including partnerships, and develops constructive accountability relationships.</p>	<p>6.1 Make clear to themselves, all staff and the community to whom they are accountable and for what</p>	<p>The Council have produced a Peoples Charter which states it's commitment to improving relationships between the Council and it's customers and sets out a series of obligations with a series of pledges to each customer group.</p>	<p>Peoples Charter: section accounts on 'Typhoon'/office and admin/office and admin typing / Governance /Evidence Documents/ working together guide</p>	<p>3</p>	23.01.09	Evidence obtained Required	No Further Action				Pre-2005	
			<p>A Community Advisory Panel has been established in order for resident participation and feedback to driver service improvement and contribute to strategic planning, priorities and targets.</p>	<p>Community Advisory Panel</p>		23.01.09	Evidence obtained Required	No Further Action			2007		
		<p>6.2 Consider those institutional stakeholders to whom the authority is accountable and assess the effectiveness of the relationships and any changes required</p>	<p>Use of Resources Assessment 2006 completed by the Audit Commission April 2007. Independent assessment is part of the Council's review and monitoring process to report on the adequacy of it's Corporate Governance arrangements.</p>	<p>Value For Money Framework in place to ensure that all Council services delivered and operations undertaken provide VFM to residents. Utilisation of the VFM Framework are reflected in the Council's Corporate Plan and Best Value Performance Plan.</p>	<p>Use of Resources Assessment</p>	<p>4</p>	23.01.09	Evidence obtained Required	No Further Action				30.04.07
				<p>Annual Audit and Inspection Letter 2007 completed by Audit Commission March 2008. The Inspection Letter also includes a Direction of Travel report to inform a review of the Council's vision and effectiveness.</p>	<p>VFM Framework</p>		23.01.09	Evidence obtained Required	No Further Action			16.01.07	
				<p>Annual Audit and Inspection Letter 2007 completed by Audit Commission March 2008. The Inspection Letter also includes a Direction of Travel report to inform a review of the Council's vision and effectiveness.</p>	<p>Annual Audit & Inspection Letter</p>		23.01.09	Evidence obtained Required	No Further Action			30.03.08	
		<p>6.3 Produce an annual report on the activity of the scrutiny function</p>	<p>The Council's Scrutiny function is fully supported by meetings and all minutes and documents thereof are included on the Council's website.</p>	<p>Under Article 6 of the Council's Constitution, Scrutiny Committees must report annually to Council on their work and make recommendations for future Work Programmes.</p>	<p>Scrutiny Annual Report</p>	<p>4</p>	23.01.09	Evidence obtained Required	No Further Action				Ongoing
	<p>Scrutiny Manager's Job Description clearly states accountability and responsibility for the Council's scrutiny function.</p>			<p>Constitution</p>	23.01.09		Evidence obtained Required	No Further Action			Ongoing		
	<p>Scrutiny Manager's Job Description clearly states accountability and responsibility for the Council's scrutiny function.</p>			<p>Scrutiny Manager Job Description: section accounts on 'Typhoon'/office and admin/office and admin typing / Governance /Evidence Documents/ Job Descriptions / Scrutiny Manager JD</p>	23.01.09		Evidence obtained Required	No Further Action			pre-2005		
	<p>Taking an active and planned approach to dialogue with and accountability to the public to ensure effective and appropriate service delivery whether directly by the authority, in partnership or by commissioning</p>	<p>6.4 Ensure that clear channels of communication are in place with all sections of the community and other stakeholders and put in place monitoring arrangements to ensure that they operate effectively</p>	<p>Community Strategy in place. Priorities and objectives in the Community Strategy are aligned with corporate priorities and objectives.</p>	<p>Community Strategy</p>	<p>3</p>	23.01.09	Evidence obtained Required	No Further Action				16.4.08	
			<p>Medium Term Financial Strategy revised March 2008. Provides a Framework in which to develop medium and long term financial plans.</p>	<p>Medium Term Financial Strategy: section accounts on 'Typhoon'/office and admin/office and admin typing / Governance /Evidence Documents/ Finance /Medium Term Financial Strategy-revised March 2008</p>		23.01.09	Evidence obtained Required	Keep Under Review	Tom Bell		30.03.08		
			<p>The Council has developed an Annual Treasury Strategy Statement and Annual Investment Strategy in accordance with the Local Government Act 2003 which in part, requires the Council to set out it's Treasury Strategy for borrowing and to prepare an Annual Investment Strategy which sets out the policies for the management, security and liquidity of it's investments.</p>	<p>Treasury Strategy Statement and Annual Investment Strategy.pdf</p>		23.01.09	Evidence obtained Required	No Further Action	Tom Bell		30.03.08		
			<p>Corporate Plan 2007-2010 completed. The Council's Corporate Plan clearly sets out corporate priorities and objectives and takes into account local and national priorities. Corporate Plan illustrates a clear set of values, vision, and mission.</p>	<p>Corporate Plan</p>		23.01.09	Evidence obtained Required	No Further Action			16.4.08		
<p>Best Value Performance Plan 2007 completed. BVPP includes the Council's performance arrangements and progress against national and local targets set out in the Corporate Plan.</p>			<p>Best Value Performance Plan</p>	23.01.09		Evidence obtained Required	No Further Action			16.4.08			
<p>Statements of Accounts 2006-2007 completed. Audited accounts are made available for inspection to the public via the website or by appointment.</p>			<p>Statement of Accounts</p>	23.01.09		Evidence obtained Required	No Further Action			26.06.08			
<p>The Council's approved and adopted Respect and Dignity Policy acts as a framework for the Council's approach to equal opportunity stewardship and advocacy and demonstrates it's commitment to openness, support and respect.</p>			<p>Respect and Dignity Policy</p>	23.01.09		Evidence obtained. Also found in the Working Together Guide. No Further Action Required				Pre-2005			
<p>The Equality and Diversity Policy is identical to the Council's Respect and Dignity Policy. Also found in the Working Together Guide.</p>			<p>Equality and Diversity Policy: Refer to the Respect and Dignity Policy</p>	23.01.09		Evidence obtained. Also found in the Working Together Guide. No Further Action Required				Pre-2005			
<p>The Council has drafted a Race Equality Scheme which sets out how the Council will meet its general and specific duties outlined under the Race Relations (Amendment) Act 2000.</p>			<p>Race Equality Scheme</p>	23.01.09		Evidence obtained Required	No Further Action			2005			
<p>The Council has drafted a Disability Equality Scheme in order to identify and eliminate barriers to access to services that disabled people may face and as part of the Council's embedding of Equality and Diversity throughout all of its' activities.</p>			<p>Disability Equality Scheme</p>	23.01.09		Evidence obtained Required	No Further Action			2006			

<p>PRINCIPLE 6 Engaging with local people and other stakeholders to ensure robust public accountability</p>	<p>Taking an active and planned approach to dialogue with and accountability to the public to ensure effective and appropriate service delivery whether directly by the authority, in partnership or by commissioning</p>	<p>6.4 Ensure that clear channels of communication are in place with all sections of the community and other stakeholders and put in place monitoring arrangements to ensure that they operate effectively</p>	<p>The Council have developed and implemented a customer relationship management (CRM) system, supported with a full business case, which is used to inform and further improve service delivery. Information taken from the CRM is used to inform the Management Team and Scrutiny Committee.</p>	<p>CRM System: section accounts on 'Typhoon'/office and admin/office and admin typing/Governance/Evidence Documents/ CRM</p>	<p>3</p>	23.01.09	Evidence obtained No Further Action Required				24.01.04	
			<p>The Council has developed and implemented a comprehensive - award winning website to ensure clear and concise channels of communication with the residents are maintained.</p>	<p>Council website</p>		23.01.09	Evidence obtained No Further Action Required				Pre-2005	
			<p>The Council have introduced Service Plans which link Service Plan objective and priorities to Corporate objectives which are three year documents and monitored, reviewed and revised annually.</p>	<p>Service Planning Guidance: section accounts on 'Typhoon' / office and admin/office and admin typing/Governance/Evidence Documents/ Service Plans/ Service Plans / Service Planning guidance 2007</p>		23.01.09	Evidence obtained No Further Action Required				30.04.07	
		<p>6.5 Hold meetings in public unless there are good reasons for confidentiality</p>	<p>Part 4 Rules of Procedure contained within the Council's Constitution set out clear guidelines for the convening and discharge of meetings.</p>	<p>Constitution</p>	<p>4</p>	23.01.09	Evidence obtained No Further Action Required				Ongoing	
				<p>All of the Council's Committee meetings have the provision for the public to attend (subject to statutory exemptions) and are fully supported with the minutes of meetings being made available on the Council's website.</p>		<p>All Committee Reports</p>	23.01.09	Evidence obtained No Further Action Required				Ongoing
		<p>6.6 Ensure that arrangements are in place to enable the authority to engage with all sections of the community effectively. These arrangements should recognise that different sections of the community have different priorities and establish explicit processes for dealing with these competing demands.</p>	<p>Community Strategy in place. Priorities and objectives in the Community Strategy are aligned with corporate priorities and objectives.</p>	<p>Community Strategy</p>	<p>4</p>	23.01.09	Evidence obtained No Further Action Required				16.4.08	
				<p>The East Durham Local Strategic Partnership comprises community stakeholders from the public, private and voluntary sectors. Feedback mechanisms are clarified in the LSP's Constitution and further elaborated on in the Community Strategy.</p>		<p>Local Strategic Partnership</p>	23.01.09	Evidence obtained No Further Action Required				30.03.01
				<p>Partnership Framework in place which includes a partnership checklist to demonstrate a business case when entering into partnerships and a partnership review tool to review existing partnerships.</p>		<p>Partnership Framework</p>	23.01.09	Action Plan required for implementation of Partnership Framework using proportionate allocation of resource	Stuart Wardle	31.03.09	Partnership Action Plan completed utilising a proportionate approach to take account of LGR. Key/Significant Partners Identified. Checklists for Key Partnerships completed. Report to Audit Committee 12 March 2009	12.03.09
				<p>The Council have developed an approved Procurement Strategy to help ensure that the Council's choices are made in an organised way and that the resources required to develop, implement and monitor our services are in place.</p>		<p>Procurement Strategy: section accounts on 'Typhoon'/office and admin/office and admin typing / Governance / Evidence Documents/ Procurement</p>	23.01.09	Evidence obtained No Further Action Required	Peter Fail			09.04.04
				<p>The Council have an approved Procurement Policy which provides an overview of the Council's approach to the procurement of works, services and supplies to achieve its corporate objectives.</p>		<p>Procurement Policy</p>	23.01.09	Evidence obtained No Further Action Required	Peter Fail			04.04.06
				<p>The Council adopted a Procurement Strategy in 2004, following extensive consultation. As part of the action plan contained within the Strategy, a Procurement Code of Practice has been adopted which ensures the Council takes a uniform approach to the procurement process.</p>		<p>Procurement Code of Practice</p>	23.01.09	Evidence obtained No Further Action Required	Peter Fail			04.04.06
				<p>A Community Advisory Panel has been established in order for resident participation and feedback to driver service improvement and contribute to strategic planning, priorities and targets.</p>		<p>Community Advisory Panel</p>	23.01.09	Evidence obtained No Further Action Required				2007
				<p>The Council's approved and adopted Respect and Dignity Policy acts as a framework for the Council's approach to equal opportunity stewardship and advocacy and demonstrates it's commitment to openness, support and respect.</p>		<p>Respect and Dignity Policy</p>	23.01.09	Evidence obtained. Also found in the Working Together Guide. No Further Action Required				Pre-2005
				<p>The Equality and Diversity Policy is identical to the Council's Respect and Dignity Policy. Also found in the Working Together Guide.</p>		<p>Equality and Diversity Policy: Refer to the Respect and Dignity Policy</p>	23.01.09	Evidence obtained. Also found in the Working Together Guide. No Further Action Required				Pre-2005
				<p>The Council has drafted a Race Equality Scheme which sets out how the Council will meet its general and specific duties outlined under the Race Relations (Amendment) Act 2000.</p>		<p>Race Equality Scheme</p>	23.01.09	Evidence obtained No Further Action Required				2005
		<p>The Council has drafted a Disability Equality Scheme in order to identify and eliminate barriers to access to services that disabled people may face and as part of the Council's embedding of Equality and Diversity throughout all of its' activities.</p>	<p>Disability Equality Scheme</p>	23.01.09	Evidence obtained No Further Action Required				2006			

				The Council has produced a draft Community Engagement Framework which reviewed findings in the Council's community engagement activities and to propose further changes to their approach to engagement. Included within the Framework is an action plan to be used to implement the proposed changes.	Community Engagement Framework: section accounts on 'Typhoon'/office and admin/office and admin typing / Governance /Evidence Documents/ Community Engagement / Community Engagement Framework July 2007		23.01.09	Evidence obtained No Further Action Required				31.07.07
PRINCIPLE 6 Engaging with local people and other stakeholders to ensure robust public accountability	Taking an active and planned approach to dialogue with and accountability to the public to ensure effective and appropriate service delivery whether directly by the authority, in partnership or by commissioning	6.6	Ensure that arrangements are in place to enable the authority to engage with all sections of the community effectively. These arrangements should recognise that different sections of the community have different priorities and establish explicit processes for dealing with these competing demands.	A Communication Strategy in respect of the corporate objectives has been developed, approved and implemented. Marketing material in a range of media is used to disseminate Council aims and objectives.	Communications Strategy: section accounts on 'Typhoon'/office and admin/office and admin typing / Governance / Evidence Documents / Community engagement / Communications Strategy	4	23.01.09	Evidence obtained No Further Action Required				2002
				The Council have developed and implemented a customer relationship management (CRM) system, supported with a full business case, which is used to inform and further improve service delivery. Information taken from the CRM is used to inform the Management Team and Scrutiny Committee.	CRM System: section accounts on 'Typhoon'/office and admin/office and admin typing/Governance/Evidence Documents/ CRM		23.01.09	Evidence obtained No Further Action Required			24.01.04	
		6.7	Establish a clear policy on the types of issues they will meaningfully consult on or engage with the public and service users about, including a feedback mechanism for those consultees to demonstrate what has changed as a result.	Partnership Framework in place which includes a partnership checklist to demonstrate a business case when entering into partnerships and a partnership review tool to review existing partnerships.	Partnership Framework	4	23.01.09	Action Plan required for implementation of Partnership Framework using proportionate allocation of resource	Stuart Wardle	31.03.09	Partnership Action Plan completed utilising a proportionate approach to take account of LGR. Key/Significant Partners Identified. Checklists for Key Partnerships completed. Report to Audit Committee 12 March 2009	12.03.09
				The Council has produced a draft Community Engagement Framework which reviewed findings in the Council's community engagement activities and to propose further changes to their approach to engagement. Included within the Framework is an action plan to be used to implement the proposed changes.	Community Engagement Framework: section accounts on 'Typhoon'/office and admin/office and admin typing / Governance /Evidence Documents/ Community Engagement / Community Engagement Framework July 2007		23.01.09	Evidence obtained No Further Action Required			31.07.07	
				A Communication Strategy in respect of the corporate objectives has been developed, approved and implemented. Marketing material in a range of media is used to disseminate Council aims and objectives.	Communications Strategy: section accounts on 'Typhoon'/office and admin/office and admin typing / Governance / Evidence Documents / Community engagement / Communications Strategy		23.01.09	Evidence obtained No Further Action Required			2002	
				A Community Advisory Panel has been established in order for resident participation and feedback to drive service improvement and contribute to strategic planning, priorities and targets.	Community Advisory Panel		23.01.09	Evidence obtained No Further Action Required			2007	
				The Council have developed an approved Procurement Strategy to help ensure that the Council's choices are made in an organised way and that the resources required to develop, implement and monitor our services are in place.	Procurement Strategy: section accounts on 'Typhoon'/office and admin/office and admin typing / Governance / Evidence Documents/ Procurement		23.01.09	Evidence obtained No Further Action Required	Peter Fail		09.04.04	
				The Council have an approved Procurement Policy which provides an overview of the Council's approach to the procurement of works, services and supplies to achieve its corporate objectives.	Procurement Policy		23.01.09	Evidence obtained No Further Action Required	Peter Fail		04.04.06	
				The Council adopted a Procurement Strategy in 2004, following extensive consultation. As part of the action plan contained within the Strategy, a Procurement Code of Practice has been adopted which ensures the Council takes a uniform approach to the procurement process.	Procurement Code of Practice		23.01.09	Evidence obtained No Further Action Required	Peter Fail		04.04.06	
				Service Units have developed their own methods of consultation with their stakeholders in order to open dialogue and engage them. Published plans and key customer feedback results regarding consultation are named, where appropriate within the Service Plans.	Service Unit specific consultation initiatives: 'Typhoon'/office and admin/office and admin typing / Governance / Evidence Documents/ Service plans		23.01.09	Evidence obtained No Further Action Required	Heads of Service	30.05.08	Evidence obtained via Service Plans 15.05.08	15.05.08
6.8	On an annual basis, publish a performance plan giving information on the authority's vision, strategy, plans and financial statements as well as information about its outcomes, achievements and satisfaction of service users in the previous period	Best Value Performance Plan 2007 completed. BVPP includes the Council's performance arrangements and progress against national and local targets set out in the Corporate Plan.	Best Value Performance Plan	4	23.01.09	Evidence obtained No Further Action Required				16.4.08		

			Partnership Framework in place which includes a partnership checklist to demonstrate a business case when entering into partnerships and a partnership review tool to review existing partnerships.	Partnership Framework		23.01.09	Action Plan required for implementation of Partnership Framework using proportionate allocation of resource	Stuart Wardle	31.03.09	Partnership Action Plan completed utilising a proportionate approach to take account of LGR. Key/Significant Partners Identified. Checklists for Key Partnerships completed. Report to Audit Committee 12 March 2009	12.03.09	
			Statements of Accounts 2006-2007 completed. Audited accounts are made available for inspection to the public via the website or by appointment.	Statement of Accounts		23.01.09	Evidence obtained No Further Action Required				26.06.08	
			The Council have developed an approved Procurement Strategy to help ensure that the Council's choices are made in an organised way and that the resources required to develop, implement and monitor our services are in place.	Procurement Strategy: section accounts on 'Typhoon'/office and admin/office and admin typing / Governance / Evidence Documents/ Procurement		23.01.09	Evidence obtained No Further Action Required	Peter Faill			09.04.04	
PRINCIPLE 6 Engage with local people and other stakeholders to ensure robust public accountability	Taking an active and planned approach to dialogue with and accountability to the public to ensure effective and appropriate service delivery whether directly by the authority, in partnership or by commissioning	6.8	On an annual basis, publish a performance plan giving information on the authority's vision, strategy, plans and financial statements as well a information about its outcomes, achievements and satisfaction of service users in the previous period	The Council have an approved Procurement Policy which provides an overview of the Council's approach to the procurement of works, services and supplies to achieve its corporate objectives.	Procurement Policy	4	23.01.09	Evidence obtained No Further Action Required	Peter Faill		04.04.06	
				The Council adopted a Procurement Strategy in 2004, following extensive consultation. As part of the action plan contained within the Strategy, a Procurement Code of Practice has been adopted which ensures the Council takes a uniform approach to the procurement process.	Procurement Code of Practice		23.01.09	Evidence obtained No Further Action Required	Peter Faill	04.04.06		
		6.9	Ensure that the authority as a whole is open and accessible to the community, service users and its staff to ensure that it has made a commitment to openness and transparency in all its dealings, including partnerships, subject only to the need to preserve confidentiality in those specific circumstances where it is proper and appropriate to do so.	Easington's Constitution sets out how the Council operates, how decisions are made and the procedures which are followed to ensure that these are efficient, transparent and accountable to local people.	Constitution	4	23.01.09	Evidence obtained No Further Action Required			Ongoing	
				The Council's approved and adopted Respect and Dignity Policy acts as a framework for the Council's approach to equal opportunity stewardship and advocacy and demonstrates it's commitment to openness, support and respect.	Respect and Dignity Policy		23.01.09	Evidence obtained. Also found in the Working Together Guide. No Further Action Required		Pre-2005		
				The Equality and Diversity Policy is identical to the Council's Respect and Dignity Policy. Also found in the Working Together Guide.	Equality and Diversity Policy: Refer to the Respect and Dignity Policy		23.01.09	Evidence obtained. Also found in the Working Together Guide. No Further Action Required		Pre-2005		
				The Council has drafted a Race Equality Scheme which sets out how the Council will meet its general and specific duties outlined under the Race Relations (Amendment) Act 2000.	Race Equality Scheme		23.01.09	Evidence obtained No Further Action Required		2005		
				The Council has drafted a Disability Equality Scheme in order to identify and eliminate barriers to access to services that disabled people may face and as part of the Council's embedding of Equality and Diversity throughout all of its' activities.	Disability Equality Scheme		23.01.09	Evidence obtained No Further Action Required		2006		
				A Code of Corporate Governance in line with the CIPFA/SOLACE guidance relevant to the type of authority has been developed by the authority and is currently awaiting approval by Management Team. A communication strategy in relation to the Code has been developed, approved and implemented. There are clear arrangements for continuously monitoring compliance with the Code e.g. reports on compliance will be submitted to Audit Committee on a regular basis.	Local Code of Governance		23.01.09	Evidence obtained- awaiting approval/adoption by Executive & Audit Committee on 20 and 22 May 2008 respectively. No Further Action Required - Keep under annual review.	Stuart Wardle	31.03.09	Local Code updated and reviewed by CGG - 23.01.09 taking into account LGR. Local Code Workplan updated and presented to Audit Committee 12.03.09 as part of AGS for 2008/09	12.03.09
				Annual Governance Statement completed and signed off 2007-2008.	Annual Governance Statement		23.01.09	Evidence obtained No Further Action Required	Gordon Fletcher		15.05.08	
				Annual Governance Report 2005-2006 completed by Audit Commission September 2006. Independent assessment is part of the Council's review and monitoring process to report on the adequacy of it's Corporate Governance arrangements.	Audit Commission Annual Governance Report		23.01.09	Evidence obtained No Further Action Required			26.09.06	
				The Council has adopted a Data Protection Act policy in order to demonstrate its commitment to information governance and comply with its statutory duties of such.	Data Protection Act		23.01.09	Evidence obtained No Further Action Required			Pre-2005	
				The Council has adopted a Freedom of Information policy in order to demonstrate its commitment to information governance and comply with its statutory duties of such.	Freedom of Information		23.01.09	Evidence obtained No Further Action Required			17.10.08	
				The Council has developed a Publication Scheme in order to demonstrate its commitment to information governance and comply with its statutory duties of such.	Publication Scheme		23.01.09	Evidence obtained No Further Action Required			17.10.08	
The Council has implemented a Complaints Procedure. Feedback received is used to monitor service delivery and inform improvements in service delivery.	Complaints Procedure	23.01.09	Evidence obtained No Further Action Required			Pre-2005						

				The Council's approved and adopted Respect and Dignity Policy acts as a framework for the Council's approach to equal opportunity stewardship and advocacy and demonstrates its commitment to openness, support and respect.	Respect and Dignity Policy		23.01.09	Evidence obtained. Also found in the Working Together Guide. No Further Action Required				Pre-2005		
				The Equality and Diversity Policy is identical to the Council's Respect and Dignity Policy. Also found in the Working Together Guide.	Equality and Diversity Policy: Refer to the Respect and Dignity Policy		23.01.09	Evidence obtained. Also found in the Working Together Guide. No Further Action Required				Pre-2005		
				The Council has drafted a Race Equality Scheme which sets out how the Council will meet its general and specific duties outlined under the Race Relations (Amendment) Act 2000.	Race Equality Scheme		23.01.09	Evidence obtained No Further Action Required				2005		
				The Council has drafted a Disability Equality Scheme in order to identify and eliminate barriers to access to services that disabled people may face and as part of the Council's embedding of Equality and Diversity throughout all of its' activities.	Disability Equality Scheme		23.01.09	Evidence obtained No Further Action Required				2006		
				Annual Governance Statement completed and signed off 2007-2008.	Annual Governance Statement		23.01.09	Evidence obtained No Further Action Required	Gordon Fletcher			15.05.08		
<p>PRINCIPLE 6 Engaging with local people and other stakeholders to ensure robust public accountability</p>	<p>Taking an active and planned approach to dialogue with and accountability to the public to ensure effective and appropriate service delivery whether directly by the authority, in partnership or by commissioning</p>	<p>6.9</p>	<p>Ensure that the authority as a whole is open and accessible to the community, service users and its staff to ensure that it has made a commitment to openness and transparency in all its dealings, including partnerships, subject only to the need to preserve confidentiality in those specific circumstances where it is proper and appropriate to do so.</p>	<p>A Code of Corporate Governance in line with the CIPFA/SOLACE guidance relevant to the type of authority has been developed by the authority and is currently awaiting approval by Management Team. A communication strategy in relation to the Code has been developed, approved and implemented. There are clear arrangements for continuously monitoring compliance with the Code e.g. reports on compliance will be submitted to Audit Committee on a regular basis.</p>	Local Code of Governance	<p>4</p>	23.01.09	Evidence obtained- awaiting approval/adoption by Executive & Audit Committee on 20 and 22 May 2008 respectively. No Further Action Required - Keep under annual review.	Stuart Wardle	31.03.09	Local Code updated and reviewed by CGG - 23.01.09 taking into account LGR. Local Code Workplan updated and presented to Audit Committee 12.03.09 as part of AGS for 2008/09	12.03.09		
				<p>Article 12 of the Council's Constitution confirms the responsibilities of the Monitoring officer in line with statutory provisions.</p>	Constitution		23.01.09	Evidence obtained No Further Action Required				Ongoing		
				<p>6.10</p>	<p>Develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision making</p>	<p>The Council has drafted an Organisational Development Strategy that is required as part of its' key elements, the need to;</p> <ul style="list-style-type: none"> ensure staff know what is expected of them and are trained and motivated to help design and deliver high quality services. Ensure our staff are rewarded and recognised for their achievements. Ensure our staff are supported by strong leadership and their well being cared for particularly in times of major change. Ensure our staff have the opportunity to engage in the delivery of services and improve them. Ensure our staff are encouraged to be innovative and creative 	Organisational Development Strategy: section accounts on Typhoon/office and admin/office and admin typing / Governance / Evidence Documents/ Organisational Development Strategy November 2004	<p>4</p>	23.01.09	Evidence obtained No Further Action Required. Latest version sourced from CDU is a draft version from 2004.				30.11.04
				<p>This Council is committed to improve the services it delivers and as such must regularly review its operations to accommodate new challenges, changes in legislation and new technology. A Management of change policy has been adopted to provide procedural guidelines for the successful management and sensitive handling of organisational change. It emphasizes the importance of good communication and describes the arrangements for consultation with Trade Unions and those employees affected by the proposed changes.</p>	Management of Change: section accounts on Typhoon/office and admin/office and admin typing / Governance / Evidence Documents/managing organisational change	23.01.09	Evidence obtained No Further Action Required						01.10.06	
				<p>"Working together Guide" issued to all staff and members provides a clear guide that covers: The Council's vision, Objectives and Values. Respect and Dignity Policy. Confidential Reporting Code. Memorandum of Understanding. Peoples Charter. Training and Development.</p>	Working Together Guide: section accounts on Typhoon/office and admin/office and admin/Governance / Evidence Documents/Working Together Guide	23.01.09	Evidence obtained No Further Action Required						Pre-2005	
				<p>The Council has developed an approved Human Resources Strategy which includes clear Principles that include staff involvement.</p>	HR Strategy: section accounts on Typhoon/office and admin/office and admin/Governance /Evidence Documents/HR Strategy	23.01.09	Evidence obtained No Further Action Required							30.04.03
				<p>The Council have an adopted staff appraisal scheme which includes: Clarity of roles and contributions to Service Unit/Corporate objectives. Performance. Achievements. Training and Development / PDP Welfare needs. Individual training and development records are held on each member of staff's personal file.</p>	Staff Induction / Appraisal / Training and Development: section accounts on Typhoon/office and admin/office and admin/Governance / Evidence Documents/Staff training	23.01.09	Staff Training and Development and One to One Appraisals. No Further Action Required							Pre-2005
				<p>There is no specific written 'Tripartite Agreement'. It is an established forum for Executive, Management Team and Trade Unions reps to informally discuss topical issues/mutual concerns to help maintain good industrial relations</p>	Tripartite Agreement: Examples previously cited are the Collective Agreement, BVRSS etc.	23.01.09	Informal arrangement in place and clearly evidenced by tripartite meetings and demonstrable outcomes Evidence obtained No Further Action Required							30.06.02
				<p>The Council have implemented a Staff Suggestion Scheme in order to provide feedback on service improvement.</p>	Staff Suggestion Scheme	23.01.09	Evidence obtained No Further Action Required							Pre-2005