

FRAMEWORK FOR A CODE OF CORPORATE GOVERNANCE FOR GEDLING BOROUGH COUNCIL

Gedling Borough Council must be able to demonstrate that they are complying with the underlying principles of good governance, which are:

- Openness and inclusivity
- Integrity
- Accountability

If they are to do this, these principles need to be translated into a framework which seeks to ensure that they are fully integrated in the conduct of the authority's business and establishes a means of demonstrating compliance. Gedling Borough Council, therefore will need to demonstrate that their systems and processes are:

- Monitored for their effectiveness in practice
- Subject to review on a continuing basis to ensure that they are up to date.

The concept of leadership overarches the principles of corporate governance. The principles of good governance can only be adhered to if leadership is exercised through:

- Gedling Borough Council providing vision for its community and leading by example in its decision making and other processes and actions.
- Members and managers conducting themselves in accordance with high standards of conduct.

The fundamental principles of corporate governance, therefore, need to be reflected in the different dimensions of a local authority's business. It is important to recognise that the dimensions are not mutually exclusive – for example, standards of conduct are part of every dimension. The following five dimensions are designed to reflect the business areas to which governance standards can be applied:

- Community Focus
- Service Delivery Arrangements
- Standards of Conduct
- Structures and Processes
- Risk Management and Internal Control

Community Focus

Through carrying out their general and specific duties and responsibilities and their ability to exert wider influence, Gedling Borough Council should:

- Work for and with their communities.
- Exercise leadership in their local communities and undertake an “ambassadorial” role to promote the well being of their area where appropriate.

Gedling Borough Council should, therefore maintain effective arrangements:

- For explicit accountability to stakeholders for the authority’s performance and its effectiveness in the delivery of services and sustainable use of resources.
- To demonstrate integrity in the authority’s dealings in building effective relationships and partnerships with other public agencies and the private/voluntary sectors.
- To demonstrate openness in all their dealings.
- To demonstrate inclusivity by communicating and engaging with all sections of the community to encourage active participation
- To develop and articulate a clear and up to date vision and corporate strategy in response to community needs.

Community Focus

| The local code should reflect the requirements to: | Source Documents /Processes or other means that demonstrate compliance. | Proposed actions for 2004/05 | Out-turn for 2004/05 | Proposed actions for 2005/06 |
|--|--|---|--|--|
| <p>a. Publish on a timely basis an annual report presenting an objective, understandable account of the authority's:</p> <ul style="list-style-type: none"> • Activities & achievements • Financial position and performance <p>The reports should include statements:</p> <ul style="list-style-type: none"> • Explaining the authority's responsibility for the financial statements. • Confirming that the Authority complies with relevant standards and codes of corporate governance. • On the effectiveness of the Authority's system for risk management and internal control | <p>Annual Financial Statements</p> <p>Budget and Service Plan</p> <p>Performance Digest</p> <p>Strategic Corporate Plan</p> <p>Council Tax Leaflet</p> <p>Member Allowances Scheme</p> <p>Members Allowances</p> | <p>23rd August 2004 Personnel & Resources Committee</p> <p>Publish 2005/06 version in March 2005</p> <p>Produce quarterly digests to Cabinet – May, Nov, Feb</p> <p>Due for publication 30 June 04 – will incorporate statutory Performance Plan</p> <p>Joint publication with NCC, Police & Fire Rescue.</p> <p>Advertise scheme March 2005</p> <p>Published 2003/04 in June 2004</p> | <p>Achieved</p> <p>Achieved</p> <p>Achieved</p> <p>Achieved</p> <p>Produced 2005/06 in March 2004</p> <p>Evening Post 23.03.05</p> <p>Achieved</p> | <p>25th July 2005 Personnel & Resources committee</p> <p>Publish 2006/07 version in March 2006</p> <p>Produce quarterly digests to Cabinet – May, Nov, Feb. Plus a year end version in July 2005</p> <p>Review & update for publication no later than 30.06.05, includes BVPP</p> <p>Produce 2006/07 leaflet in March 2006</p> <p>Advertise March 2006</p> <p>Publish in May 2005</p> |

Community Focus

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|---|--|--|--|--|
| <p>b. Publish on a timely basis a performance plan presenting an objective, balanced and understandable account and assessment of the authority's:</p> <ul style="list-style-type: none"> • Current performance in service delivery • Plans to maintain and improve service quality | <p>Extract from Strategic Corporate Plan</p> <p>Budget & Service Plan</p> <p>Gedling Community Plan</p> <p>Gedling Contacts – Performance Plan</p> <p>Strategic Corporate Plan summary</p> | <p>Due for publication 30 June 04 – will incorporate statutory Performance Plan. Digests will also be produced.</p> <p>Publish 2005/06 version in March 2005</p> <p>3 editions to be produced</p> <p>Publish July 2004</p> | <p>Achieved</p> <p>Achieved</p> <p>Achieved</p> <p>Published on schedule</p> | <p>Review & update for publication no later than 30.06.05, includes BVPP</p> <p>Publish 2006/07 version in March 2006</p> <p>Issue December 2005</p> <p>3 editions to be produced</p> <p>Publish July 2005</p> |

Community Focus

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|--|--|--|---|---|
| c. Put in place proper arrangements for the independent review of the financial and operating reporting processes. | <p>Annual Audit Letter and other audit reports.</p> <p>Scrutiny committee function</p> <p>Audit sub-committee</p> <p>CPA 2003/04 / Inspectorate reports.</p> | <p>2003/04 letter presented to committee 13.01.05</p> <p>Regular questioning of portfolio holders</p> <p>First meeting 28th February 2005</p> <p>Audit Commission inspection reports to be presented.</p> | <p>Achieved</p> <p>Budget working group sub committee</p> <p>3 portfolio holders attended meetings</p> <p>Meeting held</p> <p>Planning Report received March 2005</p> | <p>2004/05 letter to be reported to committee</p> <p>Budget formulation arrangements for the 2006-07 budget</p> <p>Further questioning sessions planned</p> <p>Quarterly meetings planned</p> <p>No inspections programmed by the Audit Commission.</p> |

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|---|--|---|---|---|
| <p>d. Put in place proper arrangements designed to encourage individuals and groups from all sections of the community to engage with, contribute to and participate in the work of the authority and put in place appropriate monitoring processes to ensure that they continue to work in practice.</p> | <p>Strategic partnership framework (LSP)</p> <p>Housing Contractor Forum</p> <p>Voids meeting</p> <p>Race Relations Monitoring reports</p> | <p>In place</p> <p>Monitoring arrangements to be progressed, initially with responsive repair contractors</p> <p>Closer scrutiny of performance & turn around period for relets</p> <p>Report earlier in 2004/05 and covers issues of equality more widely (gender & disability).</p> <p>The Authority is working towards recognition at level 1 & 2 in the Equalities Standard</p> | <p>Board met 4 times in year. Executive meet every 6 weeks</p> <p>Monthly meetings held with responsive repairs to monitor performance, budgets & standards. Overall perf improved.</p> <p>Programme to work closer with contractors to improve quality stds & reduce time taken to turnaround properties.</p> <p>Ongoing</p> | <p>Board to meet 4 times in year. Executive meet every 6 weeks</p> <p>Further development of partnering contract to be progressed to coincide with end of current contract.</p> <p>Continue to progress new working practices & quality stds to ensure new relet targets are met</p> <p>Minimum Level 1 to be achieved.</p> |

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|--|--|---|---|---|
| d. Continued from previous page. | <p>Tenants Panel</p> <p>Consultation Framework</p> <p>On-line Surveys</p> <p>Community partnership Safety</p> <p>BME Consultation Framework</p> <p>Friends of Gedling Wood</p> | <p>Recruitment of Tenant Participation Officer. Work to develop the dept.'s consultation will be undertaken, with specific consideration of diversity.</p> <p>In place</p> <p>Proposal to be presented to Cabinet in May 2004</p> <p>Management plan for site to be implemented</p> | <p>Tenant Participation Officer recruited.</p> <p>Independent advisor</p> <p>Ongoing</p> <p>Under development</p> <p>Achieved</p> <p>Actions in management Plan completed</p> | <p>Stock option vote with tenants</p> <p>To be reviewed</p> <p>Implementation</p> <p>Introduction planned.</p> <p>Enhanced delivery of the Woodland Management plan following successful grant bid of 500 – DEFRA and £14,000 Living Spaces</p> |

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|--|--|--|--|--|
| d. Continued from previous page. | <p>Gedling Youth Council</p> <p>Netherfield lagoons</p> <p>Sport & Physical activity community group</p> <p>Scrutiny meetings in community locations</p> | <p>In place</p> <p>Take over management of the site from UK Coal</p> | <p>Ongoing</p> <p>Site not handed over due to a request for additional information from UK Coal</p> <p>Established 2004</p> <p>Meetings were held in Netherfield, Gedling and Bestwood</p> | <p>Ongoing</p> <p>Transfer of the site directly to the recently formed Gedling Conservation Trust. Capital grants and revenue support to be agreed by the Borough.</p> <p>Adoption of the Sport and Physical Activity Strategy by all partners – Gedling Borough, Sports Co-ordinator Partnership, Sports forum, Gedling Council for Voluntary Service.</p> <p>Sport England proposing to promote the partnership as good practice & considering grant aid to deliver the action plan</p> <p>Further meetings at community locations planned</p> |

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|--|--|------------------------------|----------------------|--|
| d. Continued from previous page. | <p>Consultation with Industrial & Commercial representatives on the budget.</p> <p>Statement of Community involvement as part of Local Development Framework</p> | February 2004 | Achieved | <p>February 2006</p> <p>Commence summer 2005/06. Completion summer 2006/07</p> |

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| e. Make an explicit commitment to openness in all of their dealings, subject only to the need to preserve confidentiality in those specific circumstances where it is proper and appropriate to do so and by their actions and communications deliver an account against that commitment. | <p>Constitution</p> <p>Forward Plan</p> <p>Freedom of Information Publications scheme (original scheme 2003/04)</p> <p>Records Management Policy</p> <p>Audit sub-committee</p> <p>Open Committee meetings – public able to speak in Planning Committees</p> <p>E-Government - Committee Admin System</p> | <p>Review in line with new Management arrangements.</p> <p>Ongoing revisions approved by Cabinet.</p> <p>Complete in 2004/05</p> <p>Create sub-committee</p> <p>In place</p> <p>Web Access</p> | <p>Achieved</p> <p>4 Monthly forward rolling plan published throughout 2004/05</p> <p>Completed in 2004/05</p> <p>In place by March 2005</p> <p>First meeting February 2005</p> <p>Ongoing</p> <p>In place</p> | <p>Ongoing</p> <p>Ongoing</p> <p>To be reviewed in 2005/06.</p> <p>To be reviewed</p> <p>Quarterly meetings planned</p> <p>Ongoing</p> <p>Operating</p> |

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| f. Establish clear channels of communications with all sections of their community and other stakeholders and put in place proper monitoring arrangements to ensure that they operate effectively. | Partnership framework ESD Toolkit Gedling Contacts Website Access Strategy Statement of Licensing Policy Civil Contingencies Act compliance | Terms of reference to be reviewed. Progress towards BV157 concentrating mainly on electronic provision of information. ICT Strategy development. 3 editions to be produced Planning website development – on line service & guidance to be investigated. To be developed in 2004/05 Consider implications of the Act | Progress towards BV157 concentrating mainly on electronic provision of information. Achieved Investigation undertaken Adopted December 2004 Consider partnership arrangements | Achieve compliance with BV157 by December 2005 3 editions planned Results in place September Website review in 2005/06 To be agreed by Cabinet Ongoing review Develop BCP and test. SLA with County for EP |

Community Focus

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|--|---|---|--|---|
| f. Continued from previous page. | <p>liP accreditation</p> <p>Action plan to ensure re-accreditation in April 2006</p> <p>CPA Improvement plan</p> <p>Communication strategy</p> <p>Consultation framework</p> <p>Employee consultation & information group</p> <p>BME Consultation framework</p> | <p>Assessment planned for September 2004.</p> <p>To be developed during 2004/05.</p> <p>Under development</p> <p>In place</p> <p>To be established</p> <p>Proposal to be presented to Cabinet in May 2004</p> | <p>liP accreditation achieved</p> <p>Priority issues completed</p> <p>Ongoing</p> <p>Ongoing</p> <p>Achieved</p> <p>Achieved</p> | <p>Ongoing action plan for reassessment in 2006/07</p> <p>Develop and implement action plan</p> <p>Complete outstanding issues. External Strategy 2005-06</p> <p>In place</p> <p>To be reviewed</p> <p>Ongoing as STEP2</p> <p>Introduction planned</p> |

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|--|---|---|--|--|
| g. Ensure that a vision for their local communities and their strategic plans, priorities and targets are developed through robust mechanisms and in consultation with the local community and other key stakeholder and that they are clearly articulated and disseminated. | <p>Gedling Community Plan</p> <p>Budget & Service Plan</p> <p>Strategic Corporate Plan</p> <p>Local Area Agreement</p> <p>Freedom of Information Act Record Management Policy</p> | <p>Publish 2005/06 version in March 2005</p> <p>Due for publication 30 June 04 – will incorporate statutory Performance Plan</p> <p>Complete in 2004/05</p> | <p>Achieved</p> <p>Achieved</p> <p>Mini LAA developed for safe & secure communities funding steam</p> <p>Adopted</p> | <p>Issue December 2005</p> <p>Publish 2006/07 version in March 2006</p> <p>Review & update for publication no later than 30.06.05, includes BVPP</p> <p>To be determined</p> <p>Ongoing review</p> |

Community Focus

| Reference documents | Tools to assist local authorities for self assessment purposes |
|--|---|
| <ul style="list-style-type: none">• Modern Local Government: Guidance on Enhancing Participation DETR (1998)• Code of Recommended Practice on Local Authority Accounting• Human Rights Act 1998 Guidance• Race Relations Act 1976 and Race Relations (Amendment) Act 2000• Macpherson Report (1999)• Local Government Act 2003• Freedom of Information Act 2000• Civil Contingencies Act• Disability Discrimination Act• Accounts and Audit Regulations 2003• ODPM Circular 03/2003• ODPM Circular 04/2004• Approved Local Development Statement (LDS) | <ul style="list-style-type: none">• Benchmark of the Ideal Authority I&DeA (1999) |

Service Delivery Arrangements

Gedling Borough Council should ensure that continuous improvement is sought, agreed policies are implemented and decisions carried out by maintaining arrangements which:

- Discharge their accountability for service delivery at a local level
- Ensure effectiveness through setting targets and measuring performance
- Demonstrate integrity in dealing with service users and developing partnerships to ensure the right provision of services locally
- Demonstrate openness and inclusivity through consulting with key stakeholders, including service users
- Are flexible so that they can be kept up to date and adapted to accommodate change and meet user wishes

Service Delivery Arrangements

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|---|---|---|--|---|
| a. Set standards and targets for performance in delivery of services on a sustainable basis and with reference to equality policies | Strategic Corporate Plan Best Value reviews Asset Management Plan Waste Management Strategic Plan Equalities Standard | Due for publication 30 June 04 – will incorporate statutory Performance Plan. Complete BV reviews as agreed with Lead Inspector. Revise AMP by end July 2004 Ongoing To meet level 2 of equality standard by March 2006 | Achieved Feb/ March 2005 Achieved Target achieved and ongoing Self assessment nearly completed – expect to achieve level 1 | Review & update for publication no later than 30.06.05, includes BVPP Action Plan for Planning Best Value Update AMP by end of July 2005 Ongoing To achieve level 2 |
| b. Put in place a sound system for providing management information for performance measurement purposes | Performance Management and Information Systems Budget & Service Plan monitoring AMP – Project Mgt for larger projects | Merger of the budget and performance monitoring report systems. | Undertake Borough Profile | Integrate with service planning Monitoring of management of the Capital Programme Action plan agreed for implementation in 05/06 |

Service Delivery Arrangements

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|---|---|--|---|--|
| c. Monitor and report performance against agreed standards and targets and develop comprehensive and understandable performance plans | Performance Digest | Produce quarterly digests to Cabinet – May, Nov, Feb | Achieved | Produce quarterly digests to Cabinet – May, Nov, Feb. Plus a year end version in July 2005 |
| | Budget & Service Plan | Publish 2005/06 version in March 2005 | Achieved | Publish 2006/07 version in March 2006 |
| | Scrutiny Committee Reports Cabinet reports | Ongoing. | Ongoing and regular | Ongoing |
| | CPA Action Plan | To be developed in 2004/05 | Priority issues complete | Review against revised CPA process |
| | Parks & open Spaces Action Plan | Ongoing | Only action remaining is the investigation into a need for a crematorium and access to cemeteries | Investigate private sector provision, including new burial ground |
| | Waste Management Action Plan | Ongoing. | Targets achieved | Ongoing |
| | Planning Improvement Plan incorporating... | Ongoing | Ongoing | Action Plan by September 2005 |

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|--|--|---|---|--|
| c. continued from previous section | <p>Planning delivery targets</p> <p>Procurement strategy (Procurement milestones)</p> <p>liP monitoring</p> | <p>To achieve national targets</p> <p>Agreed September 2004</p> <p>Regularly through STEP2</p> | <p>National targets exceeded</p> <p>Achieved</p> <p>Ongoing</p> | <p>Ongoing</p> <p>Review procurement strategy</p> <p>Ongoing</p> |
| d. Put in place arrangements to allocate resources according to priorities | <p>Community Plan, Service Plans, Budget, Capital Strategy</p> <p>Risk management – operational and strategic risk registers</p> | <p>Review of Capital Scoring methodology.</p> <p>Enhanced process and methodology for Revenue Budgets to be developed.</p> <p>Strategic Risk register reviewed and updated.</p> <p>Operational Risk Register to be created.</p> | <p>Reviewed and merged methodology for Revenue & Capital development bids</p> <p>Reviewed March 2005</p> <p>Created Sept-Oct 2004</p> | <p>Review use of area based profiles in allocating methodology.</p> <p>Scrutiny working group</p> <p>Review quarterly</p> <p>Review Aug-Sept</p> |

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|--|---|---|---|---|
| <p>e. Foster effective relationships and partnerships with other public sector agencies and the private voluntary sectors and consider outsourcing where it is efficient and effective to do so, in delivering services to meet the needs of the local community and put in place processes to ensure that they operate effectively in practice.</p> | Local Partnership | In place | Board met 4 times in year. Executive meet every 6 weeks | Board to meet 4 times in year. Executive meet every 6 weeks |
| | Rushcliffe partnering | Investigate potential | Potential areas identified | Debtors by end of 2005/06. Also considering Clinical Waste, Vehicle maint., tree work & DLO procurement |
| | PCT partnering – positive moves | Investigate and develop | Positive Moves partnership with the PCT has all 15 GP practices referring patients, a total of 738 referrals have taken place since 2003. | Expansion of the service supported with grant aid totalling £20,00 from the PCT and GBC. |
| | Joint IT procurement | IBS – Revenues and Benefits | Achieved | Complete |
| | Greater Nottingham Partnership | Regular meetings | Ongoing | Adoption of the Arts Strategy and delivery of its action plan |
| | Arts Officer joint funded with Arts Council England | Appointment of an Arts officer to deliver the Arts Strategy | Arts Officer appointed | Adoption of the Arts Strategy and delivery of its action plan |

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| e. continued from previous page | <p>Adherence to good employment practice</p> <p>Partnership framework</p> <p>Procurement strategy</p> <p>Voluntary Sector Compact</p> | <p>liP implementation and assessment.</p> <p>2004/05 review sickness attendance incentive reward scheme</p> <p>Terms of reference to be reviewed.</p> <p>IEG implementation plan</p> <p>ICT Strategy to meet national priorities.</p> <p>Strategy to be considered by Cabinet 21st July 2004.</p> <p>Working to progress this with the Voluntary Sector.</p> | <p>Achieved</p> <p>Review undertaken</p> <p>Worked towards national priorities in line with related plans</p> <p>ICT Strategy group established & draft plan developed</p> <p>Achieved and implemented</p> <p>Ongoing</p> | <p>Ongoing</p> <p>Scheme continuing</p> <p>Develop overarching people management strategy</p> <p>Ongoing</p> <p>Strategy to be completed and approved</p> <p>Ongoing</p> <p>Explore SLA & agree local compact</p> |

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|--|---|--|--|--|
| e. continued from previous page | <p>Community Partnership Safety</p> <p>PCSO's joint funded</p> <p>Equalities</p> <p>Licensing policy</p> <p>Gedling Community Plan</p> <p>Home Improvement Agency</p> <p>2005/06 HEAT</p> | <p>Meets quarterly. Tactical group meets monthly</p> <p>Regular attendance of neighbourhood wardens & PCSO's at fortnightly local area command tasking meetings</p> <p>Progress towards level 2</p> <p>To be developed in 2004/05</p> <p>To develop a Home Improvement Agency in South Notts Districts</p> <p>Memo of Understanding with Enact Energy Mgt to promote energy efficiency in borough.</p> | <p>Agree Strategy March 2005</p> <p>Achieved</p> <p>Self-assessment nearly complete. Likely to achieve level 1</p> <p>Adopted December 2004</p> <p>Agency is in place to commence service delivery in April 2005.</p> <p>Entered into March 2005</p> | <p>Implement new Strategy</p> <p>Integrate private security patrol with PCSO's & neighbourhood wardens.</p> <p>Achieve level 2</p> <p>Ongoing review</p> <p>Issue December 2005</p> <p>Continue membership of the steering group to monitor progress & delivery</p> <p>Annual review</p> |

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| e. continued from previous page | <p>Sure Start</p> <p>Joint arrangements working</p> | <p>Killisick CC</p> <p><u>Joint Use</u> May 2004, agree with School Governors use of the Leisure Centres & identify policies that affect the operation of the centres. June 04 sign new Joint Use Agreement.</p> <p><u>Bestwood Country Pk.</u> April 04 – sign new Management with NCC & put mgt. Arrangements in place</p> <p><u>St George's Ctre Neth.</u> Transfer Community groups from Comm Centre to new Netherfield Forum facility at George St.</p> | <p>Building works started</p> <p>Agreement signed August 2004</p> <p>Agreed April 2004</p> <p>Agreed September 2004</p> | <p>Completion of the building works by June 2005 & implantation of the delivery plan.</p> <p>Review of Calverton LC operation to be completed May 2005. Review of other centre operations to be completed by March 2006.</p> <p>Bi-annual meetings to agree a capital & revenue development plan for the park.</p> <p>Transfer completed September 2004.</p> |

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| e. continued from previous page | <p>Joint working arrangements</p> <p>Nottinghamshire PSA</p> <p>Planning – Conservation advice Planning design advice</p> <p>Building Control</p> <p>Waste Management (MRF)</p> <p>Trade Recycling and bring sites</p> | <p><u>Concessionary Fares</u> Ongoing</p> <p><u>One Stop Shop</u> Progress integration of County and District Offices in providing a joined up access point.</p> <p>Monitoring against performance.</p> <p>Out-sourced</p> <p>Out-sourced.</p> <p>Investigating partnerships with other Notts. Authority's</p> <p>Ongoing</p> | <p>Ongoing</p> <p>Joint working with Police, DWP and the County.</p> <p>Bi-annual reporting to joint partnership.</p> <p>Continuing</p> <p>Continuing</p> <p>Ongoing investigation</p> <p>Ongoing</p> <p>Developing arrangements Joint</p> | <p>Ongoing</p> <p>Ongoing</p> <p>Final performance monitoring & report by NCC. Could explore potential for PSA2.</p> <p>Continuing</p> <p>Continuing</p> <p>Ongoing investigation</p> <p>BFO review</p> <p>Joint arrangements by Autumn 2005</p> |

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|--|--|---|--|--|
| e. continued from previous page | <p>Refuse Collection & Transport Service Joint working</p> <p>Honeywood Gardens</p> <p>Nottingham for Tourism</p> <p>New Deal (PSA)</p> <p>EMRLGA</p> <p>N&S college Pt tutored Mgt development programmes</p> <p>Area based initiatives</p> | <p>Investigate further</p> <p>Secure funding to provide a Community Centre, Youth facility and children's play area. Offer surplus land for sale</p> <p>Establish an independent Tourism promotion development organisation</p> <p>In place</p> <p>SLA</p> <p>Team Leader course & NVQs</p> | <p>Agreed commitment with all neighbouring DC's & bid submitted</p> <p>Funding secured and land advertised for sale.</p> <p>Experience Nottinghamshire established</p> <p>Operational</p> <p>Service delivered</p> <p>Team leader course delivered</p> <p>Identify areas to be covered in first two years.</p> | <p>Await outcome of bid & potential action plan</p> <p>Build the Community centre, youth and play facility. Sell surplus land. Put in place a SLA with the Residents Association to manage the centre.</p> <p>Continued support to the organisation and its action plan</p> <p>Ongoing</p> <p>Ongoing SLA</p> <p>Further courses depending on need</p> <p>Develop methodology & role out first two areas</p> |

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| The local code should reflect the requirements to: | Source Documents /Processes or other means that demonstrate compliance. | Proposed actions for 2004/05 | Out-turn for 2004/05 | Proposed actions for 2005/06 |
|---|--|---|--|--|
| f. Respond positively to the findings and recommendations of external auditors and statutory inspectors and put in place arrangements for the effective implementation of agreed actions. | Annual Audit Letter and other audit reports. CPA 2003/04 / Inspectorate reports. Planning Inspectorate Reports | 2003/04 letter presented to committee 13.01.05 Agreement of improvement plan and implementation of relevant actions. Report expected. | Achieved Received and actioned Received March 2005 | Management of the Capital Programme to be monitored. Ongoing BVR Action plan for June 2005 |

| Reference documents | Tools to assist local authorities for self assessment purposes |
|--|--|
| <ul style="list-style-type: none"> • Local Government Act 1999: Best Value DETR Circular 10/99 • Race Relations Act 1976 and Race Relations (Amendment) Act 2000 • ODPM Circular 03/2003 • ODPM Circular 04/2004 • National Equalities Standards • Data Protection Act 1998 • Human Rights Act 1998 • Government targets for waste • Procurement Directives • Licensing Act • Benefit Fraud initiatives | |

Structures and Processes

Gedling Borough Council needs to establish effective political and managerial structures and processes to govern decision-making and the exercise of authority with organisation. Gedling Borough Council should maintain arrangements to:

- Define roles and responsibilities of members and officers to ensure accountability, clarity and good ordering of the authority's business
- Ensure that there is a proper scrutiny and review of all aspects of performance and effectiveness
- Demonstrate integrity by ensuring a proper balance of power and authority

| The local code should reflect the requirements to: | Source Documents /Processes or other means that demonstrate compliance. | Proposed actions for 2004/05 | Out-turn for 2004/05 | Proposed actions for 2005/06 |
|---|---|---|---|---|
| Balance of Power and Authority | | | | |
| a. Put in place clearly documented protocols governing relationships between members and officers. | Codes and Protocols (constitution) | Review of the constitution in line with new management arrangements. | Implemented changes during the year | Member Officer relations code to be reviewed |
| b. Ensure that the relative roles and responsibilities of executive and other members, members generally and senior officers are clearly defined. | Constitution Record of decisions and supporting material | Ongoing amendment as required. Ongoing and review of decision making software in 2004/05 | Reviewed and changes implemented Committee Admin System upgraded 2004/05 | Ongoing amendment as required. Ongoing |

Structures and Processes

| The local code should reflect the requirements to: | Source Documents /Processes or other means that demonstrate compliance. | Proposed actions for 2004/05 | Out-turn for 2004/05 | Proposed actions for 2005/06 |
|---|--|--|--|--|
| Roles and Responsibilities of Members | | | | |
| c. Ensure that members meet on a formal basis regularly to set the strategic direction of the authority and to monitor service delivery. | <p>Schedule of Council meetings</p> <p>Performance and management systems</p> <p>Financial standards and regulations.</p> <p>Regular meetings. Cabinet</p> | <p>Approved by Council May 2004.</p> <p>Merger of the budget and performance monitoring report systems.</p> <p>Review in 2004/05 in line with new management arrangements.</p> <p>Agreed by Leader May 2004.</p> | <p>In place</p> <p>In place and ongoing</p> <p>Updated</p> <p>In place</p> | <p>To be approved by Council May 2005.</p> <p>Ongoing</p> <p>Ongoing</p> <p>To be agreed by Leader May 2005.</p> |
| d. Develop and maintain a scheme of delegated or reserved powers, which should include a formal schedule of those matters specifically reserved for the collective decision of the authority. | Constitution | Ongoing amendment as required | Reviewed and changes implemented | Ongoing amendment as required |

Structures and Processes

| The local code should reflect the requirements to: | Source Documents /Processes or other means that demonstrate compliance. | Proposed actions for 2004/05 | Out-turn for 2004/05 | Proposed actions for 2005/06 |
|---|---|---|---|---|
| Roles and Responsibilities of Members | | | | |
| e. Put in place clearly documented and understood management processes for policy development, implementation and review for decision making monitoring and control and reporting; and formal procedural and financial regulations to govern the conduct of the authority's business. | Constitution | Ongoing amendment as required | Reviewed and changes implemented | Ongoing amendment as required |
| f. Put in place arrangements to ensure that members are properly trained for their roles and have access to all relevant information, advise and resource as necessary to enable them to carry out their roles effectively. | Members induction scheme Regular update sessions and Training plan Cabinet Responsibilities Portfolio Holder responsibility Cabinet Observers | No new members anticipated. Training programme agreed by Portfolio Holder. To be issued May 2004. Member training and development to be included in the CPA improvement plan. New computerised committee admin system. | No action required Agreed at R&M 26 th Jan and approved Post of Member Information Officer appointed | No new members anticipated. Ongoing Post requirement to be reviewed |

Structures and Processes

| The local code should reflect the requirements to: | Source Documents /Processes or other means that demonstrate compliance. | Proposed actions for 2004/05 | Out-turn for 2004/05 | Proposed actions for 2005/06 |
|--|---|---|---|---|
| Roles and Responsibilities of Members | | | | |
| g. Ensure that the role of the executive member(s) is/are formally defined in writing, to include responsibility for providing effective strategic leadership to the authority and for ensuring that the authority successfully discharges its overall responsibilities for the activities of the organisation as a whole. | Constitution | Member training & development scheme to be produced. | Monitoring of attendance at training events & input to scrutiny | Ongoing monitoring through Scrutiny Chairs meeting |
| h. Ensure that the roles and responsibilities of all members of the local authority, together with the terms of their remuneration and its review is defined clearly in writing. | Constitution Members Allowance Scheme | Ongoing amendment as required Remuneration panel to review scheme and make recommendations to Council. Annual review to be completed by March 2005. | Reviewed and changes implemented Approved 2004/05 | Ongoing amendment as required Implemented April 2005 |

Structures and Processes

| The local code should reflect the requirements to: | Source Documents /Processes or other means that demonstrate compliance. | Proposed actions for 2004/05 | Out-turn for 2004/05 | Proposed actions for 2005/06 |
|--|---|--|---|------------------------------|
| Roles and Responsibilities of Members | | | | |
| i. Ensure that a chief executive or equivalent is made responsible to the authority for all aspects of operational management. | Conditions of employment | Chief executive appointed with effect from 01.10.04 | Chief executive appointed with effect from 01.10.04 | Ongoing |
| | Scheme of delegation | To be reviewed as part of new management arrangements. Including a review of statutory officers. | Undertaken | Ongoing |
| | Job descriptions/specification | Ongoing. | Ongoing | Ongoing |
| | Performance management system | Integrated budget & service plan monitoring to take place | In place quarterly. | Ongoing |

Structures and Processes

| The local code should reflect the requirements to: | Source Documents /Processes or other means that demonstrate compliance. | Proposed actions for 2004/05 | Out-turn for 2004/05 | Proposed actions for 2005/06 |
|---|---|---|---|--|
| Roles and responsibilities of Officers | | | | |
| j. Ensure that a senior officer is made responsible to the authority for ensuring that appropriate advice is given to it on all financial matters, for maintaining an effective system of internal financial control. | Sect. 151 responsibilities) Statutory provision) Statutory reports) Budget documentation Job Description/Specification Personal Development review Audit sub-committee | Transfers to Head of Finance October 2004 Same documentation Council approval anticipated 9 th March 2005. Launch of Management Competencies May 2004 First meeting Feb 2005. | Transferred Approved by Council March 2005 In place In place | Ongoing Ongoing to meet quarterly |
| k. Ensure that a senior officer is made responsible to the authority for ensuring that agreed procedures are followed and that all applicable statutes, regulations and other relevant statements of good practice are complied with. | Monitoring officer provisions Statutory provision Job description/specification Personal development review | Transfers to the Head of Legal & Democratic services October 2004. See j above. | Transferred See j above. | Ongoing |

Structures and Processes

| The local code should reflect the requirements to: | Source Documents /Processes or other means that demonstrate compliance. | Proposed actions for 2004/05 | Out-turn for 2004/05 | Proposed actions for 2005/06 |
|--|--|---------------------------------------|---------------------------------------|---------------------------------------|
| Roles and responsibilities of Officers | | | | |
| l. Ensure that the roles and responsibilities of all senior officers, together with the terms of their remuneration and its review are defined clearly in writing. | Job descriptions /specifications Pay and conditions of service Performance development review. | Ongoing Ongoing Ongoing | Ongoing Ongoing Ongoing | Ongoing Ongoing Ongoing |
| m. Adopt clear protocols and codes of conduct to ensure that the implications for supporting community political leadership for the whole council are acknowledged and resolved. | Protocols governing member/manager relations | | | Review in 2005/06 |

| Reference documents | Tools to assist local authorities for self assessment purposes |
|--|--|
| <ul style="list-style-type: none"> • A statement on the role of the Finance Director in Local Government (CIPFA 1999) • Consultative draft of proposed guidance and regulations on New Constitutions for Councils DETR (2000) • New forms of Political Management Arrangement I&DEA (2000) • Local Government Act 2003 | Self Evaluation tool kit: New Forms of Political Management Arrangement I&DEA (2000) |

Risk Management and Internal Control

Gedling Borough Council needs to establish and maintain a systematic strategy, framework and processes for managing risk. Together, these arrangements should:

- Including making public statements to stakeholder on the authority's risk management strategy, framework and processes to demonstrate accountability.
- Including mechanisms for monitoring and reviewing effectiveness against agreed standards and targets and the operation of controls in practice.
- Demonstrate integrity by being based on robust systems for identifying, profiling, controlling and monitoring all significant strategic and operational risks.
- Display openness and inclusivity by involving all those associated with planning and delivering services, including partners.
- Include mechanisms to ensure that the risk management and control process is monitored for continuing compliance to ensure that the changes in circumstances are accommodated and that it remains up to date.

Risk Management and Internal Control

| The local code should reflect the requirements to: | Source Documents /Processes or other means that demonstrate compliance. | Proposed actions for 2004/05 | Out-turn for 2004/05 | Proposed actions for 2005/06 |
|---|--|---|--|--|
| <p>a. Develop and maintain robust systems for identifying and evaluating all significant risks which involve the proactive participation of all those associated with planning and delivering services.</p> | <p>Risk Management Strategy</p> <p>Authority Risk Profile</p> <p>Scrutiny Committee Role</p> <p>Budget & Performance Management System</p> <p>Risk Management Group</p> <p>Growth Budget bids evaluation process</p> <p>Business continuity and Emergency Plan</p> | <p>Full review 2004/05</p> <p>Strategic Risks to be reviewed September 2004 and fed into the budget review system. Operational risks to be profiled in 2004/05</p> <p>Ongoing</p> <p>In place</p> <p>Regular meetings to take place.</p> <p>Risk measurements developed further in 04-05 growth bids.</p> <p>Consider impact of Civil Contingencies Act</p> | <p>Draft to be reviewed in light of new management arrangements</p> <p>Review undertaken of Strategic Risks</p> <p>Reviewed and Operational Risk Register created October 2004</p> <p>Ongoing</p> <p>Ongoing</p> <p>Group met to discuss urgent matters</p> <p>Risk measurements developed further in 04-05 growth bids.</p> <p>Consider partnership</p> | <p>Finalise early 2005/06</p> <p>Quarterly updates to Strategic register to be implemented.</p> <p>Full review of Operational Risks to be undertaken Sept 2005</p> <p>Ongoing</p> <p>Ongoing</p> <p>Regular meetings to take place</p> <p>Ongoing</p> <p>SLA with County for EP and develop & test BCP</p> |

Risk Management and Internal Control

| The local code should reflect the requirements to: | Source Documents /Processes or other means that demonstrate compliance. | Proposed actions for 2004/05 | Out-turn for 2004/05 | Proposed actions for 2005/06 |
|--|---|--|---|--|
| b. Put in place effective risk management systems including systems of internal control and an internal audit function. These arrangements need to ensure compliance with all applicable statutes, regulations and relevant statements of best practice and need to ensure that public funds are properly safeguarded and are used economically, efficiently and effectively and in accordance with the statutory and other authorities that govern their use. | Scheme of delegation | Review risk management strategy. Review Corporate Risk September 2004. | Corporate Risk Register reviewed and updated | Review Corporate Risks September and March. With quarterly additions |
| | Internal Audit protocol | Development of the new code of practice for Internal Audit. | Introduced within the Annual Audit Report to members | Ongoing |
| | Performance management system | See previous | Ongoing | Ongoing |
| | Corporate Risk Register | See previous | Ongoing | Ongoing |
| | Operational Risk Register | See previous | Ongoing | Ongoing |
| | Risk Register of Violent Persons | Make electronically available | Achieved | Ongoing |
| | Statement on Internal Control | Included within statement of accounts | Included and developed further for 04/05 accounts statement | Ongoing |
| | Budget process | Risk measurements developed further in 04-05 growth bids. | Risk measurements developed further in 04-05 growth bids. | Ongoing |

Risk Management and Internal Control

| The local code should reflect the requirements to: | Source Documents /Processes or other means that demonstrate compliance. | Proposed actions for 2004/05 | Out-turn for 2004/05 | Proposed actions for 2005/06 |
|--|--|--|---|--|
| b. Continued from previous page. | <p>Financial standards and regulations</p> <p>Policy for insurance cover arrangements</p> | <p>Review of Financial arrangements in line with new management arrangements and implementation of Statement on Internal Control for 2003/04 accounts.</p> <p>Renewed March 2004, within current Long Term Agreement for 04-05 year. Broker contract subject to review by Sept 2004.</p> | <p>Implemented</p> <p>Renewed Insurance policies March 2005.</p> <p>Broker contract extended under same terms for further two years</p> | <p>Ongoing</p> <p>Renewal March 2006</p> <p>Ongoing</p> |
| c. Ensure that services are delivered by trained people. | <p>People Management Strategy</p> <p>Job desc./specifications</p> <p>Training plan</p> <p>PDR</p> <p>liP</p> | <p>Corporate Training Plan considered at HoS 17th April 2004 – to be published end of May 2004.</p> <p>Ongoing</p> <p>Accreditation</p> | <p>Completed</p> <p>Ongoing</p> <p>Achieved</p> | <p>Proposed for 2005-06</p> <p>Ongoing</p> <p>Ongoing</p> <p>Ongoing</p> |

Risk Management and Internal Control

| The local code should reflect the requirements to: | Source Documents /Processes or other means that demonstrate compliance. | Proposed actions for 2004/05 | Out-turn for 2004/05 | Proposed actions for 2005/06 |
|---|---|--|--|--|
| d. Put in place effective arrangements for an objective review of risk management and internal control, including internal audit. | <p>Performance Management system</p> <p>Annual Audit Plan</p> <p>Business Continuity Plans</p> <p>Emergency Plan</p> <p>Statement on Internal Control</p> | <p>Ongoing</p> <p>Audit strategy to be reviewed 2004/05</p> <p>Collation of information to produce a specific relocation plan to Millennium suite/ RHLC. Draft relocation plan October 2004.</p> <p>Consider Civil Contingencies Act</p> <p>Produced for 03/04 Statement of Accounts</p> | <p>Ongoing</p> <p>Reviewed. Report to members May 2005</p> <p>Information collated.</p> <p>Investigate partnership with County</p> <p>Produced for 03/04 Statement of Accounts</p> | <p>Ongoing</p> <p>Ongoing</p> <p>Plan to be finalised and tested</p> <p>SLA with County</p> <p>Developed further for 04/05 Statement of Accounts</p> |
| e. Maintain an objective and professional relationship with their external auditors and statutory inspectors. | <p>Inspectorate reports</p> <p>Managed Audit Status</p> | <p>Planning report received March 2005</p> <p>Ongoing</p> | <p>Planning report received March 2005</p> <p>Ongoing</p> | <p>Action plan</p> <p>Ongoing including Audit Commission review of Internal Audit function</p> |

Risk Management and Internal Control

| The local code should reflect the requirements to: | Source Documents /Processes or other means that demonstrate compliance. | Proposed actions for 2004/05 | Out-turn for 2004/05 | Proposed actions for 2005/06 |
|---|---|--|--|--|
| e. Continued from previous page | <p>Annual Audit Letter and other</p> <p>Audit reports</p> <p>Audit protocol</p> | <p>Received and reported to members</p> <p>Finalised Internal and external Audit Reports taken to Audit Sub-committee</p> <p>Development of the new code of practice for Internal Audit.</p> | <p>Received and reported to members</p> <p>Achieved and ongoing</p> <p>Development of the new code of practice for Internal Audit.</p> | <p>Capital management review</p> <p>26 internal audit reports to be produced. Quarterly monitoring of performance against targets. Internal Audit follow-up of recommendations reported to committee.</p> <p>Ongoing</p> |
| f. Publish on a timely basis, with the annual report, an objective, balanced and understandable statement of the authority's risk management and internal control mechanisms and their effectiveness in practice. | <p>Statement of Accounts incorporating the Statement on Internal Control.</p> <p>Strategic Corporate Plan</p> <p>Annual Internal Audit Report</p> | <p>June 2004 cabinet</p> <p>Due for publication 30 June 04 – will incorporate statutory Performance Plan</p> <p>Audit strategy to be reviewed 2004/05</p> | <p>June 2004 cabinet</p> <p>Due for publication 30 June 04 – will incorporate statutory Performance Plan</p> <p>Reviewed. Report to members May 2005</p> | <p>Ongoing</p> <p>Update June 2005</p> <p>Ongoing</p> |

Risk Management and Internal Control

| Reference documents | Tools to assist local authorities for self assessment purposes |
|---|---|
| <ul style="list-style-type: none">• Treasury Management in Local Authorities: Code of Practice and Guide of Chief Finance Officers CIPFA (2001)• Internal Control – Guidance for Directors on the Combined Code (Turnbull report 1999)• Effective Internal Control – A Framework for Public Service Bodies CIPFA (1994)• Accounts and Audit Regulations• Role of Finance Director | |

Standards of Conduct

The openness, integrity and accountability of individuals within Gedling Borough Council forms the cornerstone of effective corporate governance. The reputation of the authority depends on the standards of behaviour of everyone in it, whether members, employees or agents contracted to it.

Member and Senior Officers of Gedling Borough Council, therefore, will need to:

- Exercise leadership by conducting themselves as role models for others within the authority to follow.
- Define the standards of personal behaviour that are expected from members and staff and all those involved in service delivery and put in place arrangements to ensure:
 - Accountability, through establishing systems for investigating breaches and disciplinary problems and taking action where appropriate, including arrangements for redress
 - Effectiveness in practice through monitoring their compliance
 - That objectivity and impartiality are maintained in all relationships to demonstrate integrity
 - That such standards are documented and clearly understood to display openness and inclusivity and are reviewed on a regular basis to ensure that they are kept up to date.

Standards of Conduct

| The local code should reflect the requirements to: | Source Documents /Processes or other means that demonstrate compliance. | Proposed actions for 2004/05 | Out-turn for 2004/05 | Proposed actions for 2005/06 |
|--|--|--|---|--|
| Balance of Power and Authority | | | | |
| a. Develop and adopt codes of conduct defining the standards of personal behaviour to which individual members, officers and agents of the authority are required to subscribe and put in place appropriate systems and processes to ensure that they are complied with. | Members/officers code of conduct Anti-fraud and corruption policy Complaints procedures Performance Management System Performance appraisal Confidentiality Policy within the Constitution Hospitality & Gifts Register Interdepartmental relations protocol – Employee handbook Customer Charter | Review in line with new management arrangements. Review Whistle blowing arrangements. Annual report on previous years scheme to be provided to Committees/Cabinet. Ongoing. In place. Ongoing Ongoing Ongoing | Politically restricted posts review Autumn 2004 reported to SMT Article in the GEN and intranet for staff. Ongoing Ongoing Ongoing Ongoing | To be developed Ongoing Ongoing Ongoing |

Standards of Conduct

| The local code should reflect the requirements to: | Source Documents /Processes or other means that demonstrate compliance. | Proposed actions for 2004/05 | Out-turn for 2004/05 | Proposed actions for 2005/06 |
|--|---|--|--|--------------------------------------|
| Balance of Power and Authority | | | | |
| b. 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. | Standing orders Code of Conduct Financial Regulations Politically Restricted Posts | Update for new Management Arrangements in 2004/05 To be reviewed | In place Reported to SMT Autumn 2004 | Ongoing |
| c. Put in place arrangements to ensure that their procedures and operations are designed in conformity with appropriate ethical standards and to monitor their continuing compliance in practice. | Codes of conduct | Ongoing. | Ongoing | Ongoing |
| d. Put in place arrangements for whistle blowing to which staff and all those contracting with the council have access. | Whistle blowing policy | Increase publicity of Council scheme and use of Public Interest Disclosure Act telephone number for all staff without redress. | Article in the GEN and on the Authority's intranet | Review current documentation 2005/06 |

Standards of Conduct

| Reference documents | Tools to assist local authorities for self assessment purposes |
|--|---|
| <ul style="list-style-type: none">• Standards Committees: Strengthening Conduct in Local Government – The University of Birmingham School of Public Policy (1999)• Local Government Act 2000 & 2003• Standards Board Issues)• Internal Audit Code of Practice | |