

## Report for Resolution

**Report to** Executive  
8 April 2009  
**Report of** Director of Transformation  
**Subject** Annual Partnership Review

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### Purpose

To inform the Executive of progress made in relation to the review and development of governance arrangements for the Council's significant partnerships.

To receive a summary of trends on the effectiveness of the Council's involvement in partnerships together with recommendations.

### Recommendations

That the Executive:

1. Endorse the partnerships register as a composite list of current partnerships (appendix 1).
2. Note the elected member representation on all partnerships and the officer representation on significant partnerships (appendix 2).
3. Endorse the partnership risk register and action plan (appendix 3).
4. Agree the actions arising from evaluations and continued involvement in the partnerships (appendix 4).
5. Agree the future programme of work required to further develop and embed the process and outcomes, in order to impact upon future inspections.

### Financial Consequences

None

### Risk Assessment

Working in partnership can offer significant benefits and help bring about successful innovation, but inevitably this can mean less direct control than working alone.

The audit commission report that "good risk management concerns both positive and negative aspects of risk. It should maximise opportunities and encourage innovation. It is not about being risk adverse."

Currently KLOE 2.4 requires the organisation to have “effective risk management which covers partnership working.”

### **Strategic Priority and Outcome/Service Priorities**

The report helps to meet the strategic priority “Aiming for excellence – ensuring the Council is efficient in its use of resources, is effective in delivering its plans, is a good employer and communicates effectively with its customers, staff and partners” and the service plan priority “establishing appropriate governance arrangements for partnerships”

**Executive Member:** Councillor Waters - Corporate Resources and Governance

**Ward:** All

### **Contact Officers**

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### **Background Documents**

Corporate governance framework and toolkit for working in partnership

## Report

### Background

1. The Use of Resources assessment seeks to ensure that councils maintain a sound system of internal control in relation to partnership arrangements. Specifically the new Key Line Of Enquiry 2.3 (KLOE) in the Use of Resources assessment seeks to establish if the council “promotes and demonstrates the principles and values of good governance” and included in this is its approach to partnership working. Other KLOEs which assess financial management, risk management and managing assets also are affected by our approaches to partnership activity.
2. The Audit Commission sets out detailed guidance on working in partnerships and the importance of good governance and reports that “problems arise when governance and accountability are weak: leadership, decision-making, scrutiny, and systems and processes such as risk management are all under-developed in partnerships.”
3. The national graduate management trainee has been working with lead officers to implement the “*Corporate governance framework and toolkit for working in partnerships*” which was approved by CMT and then executive on 29 October 2008. As well as achieving the recommendations/actions set out in the council’s use of resources action plan this work will help prepare the council for the introduction of Comprehensive Area Assessment in 2009/10.

### The partnership review process

4. Since October 2008 the national graduate management trainee has worked with officers across the authority to identify partnerships using the definition adopted within the framework to produce a partnerships register.
5. Each of the partnerships has been scored using the partnership score card adopted within the framework. Any partnership scoring over 81% has been classed as a ‘significant’ partnership for the council.
6. The council has identified ten ‘significant’ partnerships:
  - City of Norwich Partnership (CoNP)
  - Norfolk County Strategic Partnership (NCSP)
  - Greater Norwich Development Partnership (GNDP)
  - Greater Norwich Housing Partnership (GNHP)
  - Norfolk Supporting People Commissioning Body
  - Highways Agency Agreement (HAA)
  - Concessionary Bus Travel Scheme
  - Norfolk Resilience Forum
  - NELM
  - Safer Norwich Partnership
7. For each of these ‘significant’ partnerships a governance review has been carried out with the lead officer. The review aimed to ensure the partnership

complies with the minimum standards set out under the framework.

### **Partnerships register**

8. The partnership register currently records 43 partnership arrangements and their corresponding partnership significance score (annexe 1).
9. It should be noted that the following partnerships have been excluded from the register, as they do not meet the definition of 'partnership' for the following reasons:
  - Citycare – contract/procurement arrangement with a management board, not a decision making board
  - Steria – PFI
  - LEGI – The LEGI board does not make decisions it is there in an advisory capacity.
10. To ensure completeness, the list of councillor appointments/nominations to outside bodies 2008/09 held by democratic services has also been reviewed. However, it was felt that any of the arrangements not already listed on the partnerships register fell outside of the definition of a partnership.
11. The definition of a partnership will be reviewed annually and any changes presented to CMT for approval, as this could have significant implications on the number of partnerships included on the register.
12. The partnership representation document details all officer and elected member representative on each partnership including their role, the council's lead officer and the lead organisation.

### **Significant partnerships – strengths**

13. The following strengths with the council's partnerships have been highlighted:
  - All the council's partnerships help to achieve either one or more corporate priorities or elements of the sustainable community strategy. This shows holistically the link between partnership working and progress towards achieving the council's priorities.
  - The majority of the significant partnerships have effective communication mechanisms in place, with minuted and in some cases open meetings, websites, newsletters, forums etc.
  - There also appears to be effective cascading of information from council representatives on the partnerships to other officers as well as elected members within the council, resulting in joint responsibility for actions and shared understanding.
  - Performance management in some form is carried out within all the significant partnerships. For example, the CoNP is currently developing delivery plans and a PMF in line with council and LAA monitoring. Self assessment is also used within several of the significant partnerships, e.g. GNHP, CoNP.
  - Anecdotal evidence has shown that all lead officers for the significant partnership are committed to partnership working and recognise the value to the council.
  - Although it is only necessary for significant partnership to review their

governance arrangements it is good practice for all partnerships. There is evidence that this is already happening across the authority, for example, the Neighbourhood Renewal Fund board has adopted a robust terms of reference and set of procedures.

### **Significant partnerships – areas for improvement**

14. Norwich City Council does not differ greatly from the national picture in terms of areas for improvement in governance arrangement. Other councils' applications of this process have identified notable trends which show partnerships failing to comply because of a lack of provision for dealing with dispute resolution and exit arrangements. The findings from this current review support the above.

15. Dispute and conflict resolution

Conflicts arise and partnerships break down for various reasons. When this happens, there must be clear protocols for managing conflict. Without them, there cannot be sound internal accountability between partners. Several of the partnerships above do not have any documented dispute and conflict resolution. The main reason for this is because there has not been rise to have one in the past. Although this is encouraging, it would be complacent to assume that conflict will not arise in future. Good practice suggests that all governance documents should address procedures for dispute and conflict resolution.

16. Exit strategies

Few of the significant partnerships reviewed have formal exit strategies in place; however, around half of these are either statutory or compulsory partnerships. The most significant partnership to the council in relation to financial liability and assets is NELM. Currently work is being carried out to produce a succession plan, including an asset management plan. The Highways Agency Agreement, which also has assets (people) attached to it, does have documented arrangements in place if the partnership were to end.

17. However, in light of local government review many of the council's partnerships will either not exist as they do now or the council will be withdrawing from a current partnership and setting it up on the new boundaries. It is recommended that the comments and issues raised above are taken into consideration when developing a plan for delivery of any new partnerships.

18. Risk management

A further area for improvement is the lack of risk awareness - the majority of the ten partnerships assessed had no risk register in place. This was true both in terms of a risk assessment undertaken and owned by the partnership and in terms of assessing risk to the council. However, there are exceptions; for example, Norfolk Supporting People and the Highways Agency Agreement both have robust risk registers undertaken and owned by the partnership.

### **Risk register**

19. Currently Use of Resources KLOE 2.4 requires the organisation to have “effective risk management which covers partnership working.”
20. As part of this process all ten significant partnerships now have a risk assessment in place and a follow up action plan for risks which require further mitigation where appropriate. All the council’s partnership risk assessments have been combined to form an overall partnership risk register (annexe 3). This will be held by the partnerships team but a copy sent to the chief finance officer and a recommendation made to all lead officers that the risk assessment (with any confidential items removed) is shared with the partnership. With the majority of risks, follow up action is in place to reduce high level risks further. However, there are certain high level risks, mainly relating to LGR, which cannot be mitigated any further at present, so careful monitoring is required.
21. It is the responsibility of directors to ensure that the risk registers are kept up-to-date and the responsibility of executive to assess the risk to the council of the continued involvement with a particular partnership.

### **Financial arrangements**

22. In order to address the relevant KLOEs, the chief finance officer is required to assess the list of significant partnerships, to identify those with which the council has a significant financial relationship (i.e. to which the Council contributes a significant amount of finance and / or is the Accountable Body). The information available from the partnership scorecards will enable the chief finance officer to focus efforts on reviewing the financial performance of those partnerships that are financially significant.

### **Embedding the process**

23. In order to take this work forward and help the authority move towards achieving level three of the use of resources assessment, the council needs to further embed this process. Several methods of embedding the process have been agreed with CMT. In addition, all elected members will also have the opportunity to be briefed on the importance of good governance in partnerships and the specific requirements for them as detailed in the toolkit as part of member’s seminar run by the partnership team early in 2009.

### **Process for future annual partnership reviews**

24. The governance framework requires that partnerships are reviewed annually. This will be led by the partnerships team but ultimate responsibility for this process lies with directors. The framework details roles for CMT, executive and scrutiny and these roles need to be adopted further in future reviews to ensure that these groups can add value to the process.
25. The role of CMT in the annual review is as follows:
  - Receive the joint summary report on the overall impact of the council’s involvement in partnerships and agree any actions which do not require an elected member decision.

- Monitor the overall performance and effectiveness of partnerships and advise the executive on any further action required.
26. The role of executive in the annual review is as follows:
- Note the elected member representation on all partnerships and the officer representation on significant partnerships.
  - Receive reports from the director of transformation on the effectiveness of the council's involvement in partnerships.
  - Agree the council's partnership risk register which assesses and records the risk to the council of the continued involvement with a particular partnership.
  - Agree future direction and/or any actions arising from evaluations.
  - Endorse the council's continued involvement in partnerships.
27. The role of scrutiny in the annual review is as follows:
- review the partnership risk assessments
  - receive an annual report summarising the outcome of reviews and evaluations and identifying any necessary actions
  - consider any evaluation report summarising council involvement in partnerships, analyse and challenge outcomes, impact and direction
  - evaluate if partnerships 'act together' and make differences to people's lives
28. The proposed timescale for the annual review is as follows:
- Partnerships team undertake review – October and November
  - Report to CMT – December
  - Pre Scrutiny of Executive report – early January
  - Report to Executive - April

### **Future programme of work**

29. Further work which will be carried out either as part of the next review or earlier if resources allow includes:
- In many cases it is difficult for the council to establish exactly what resources are being committed including funds, staff and other resources. In order to determine whether a partnership is providing value for money, it is necessary to understand the costs and benefits associated with working in that partnership. Although some of the information has been recorded on the partnership assessment forms, further work can be done to develop this information and make sounder judgements on whether the partnership is truly providing value for money.
  - Review or develop effective complaints protocols where a service is delivered by a partnership of providers
  - Within the process of forming a new unitary council the *Corporate governance framework and toolkit for working in partnerships* will be presented to the shadow executive for adoption at an early stage so that all new partnerships are formed in line with the current guidance.

### **Conclusion**

30. Through the work detailed above the council has achieved the recommendations set out in the Use of Resources action plan. Although there is now a robust framework based on good practice from the Audit Commission

and other local authorities there is still work to be done to embed the process with officers and elected members and further improve partnership governance arrangements.



# Norwich City Council Partnership Register

No.	Partnership Name	Type of Partnership	Lead Officer	Directorate	Department	Lead Authority/Partner	Significance Score (%)	Significant Partnership
1	Better Regulation Partnership	Non Statutory	John Jones	Corporate Resources	Legal and Democratic Services	Norfolk County Council	63	N
2	Bittern and Wherry Line Community Rail Partnerships	Non Statutory	Bruce Bentley	Regeneration and Developmen	Transportation and Landscape	Norfolk County Council	37	N
3	Carbon Reduction Trust (ends March 09)		Richard Wilson	Transformation			N/A	N
4	Central Norwich Foundation Trust	Non Statutory	Paul Spencer	Transformation		The Hewett School	70	N
5	Children's and Young People's Trust	Statutory Partnership	Bob Cronk	Regeneration and Developmen	Community Services	Norfolk County Council	73	N
6	City Centre Management Partnership	Non Statutory	Stefan Gurney	Regeneration and Developmen	Economic Development	Norwich City Council	63	N
7	City of Norwich Partnership	Non Statutory	Rachael Metson	Transformation	Partnerships Team	Norwich City Council	97	Y
8	Citywide Board	Statutory Partnership	Jerry Massey (interim)	Regeneration and Developmen	Landlord Services	Norwich City Council	60	N
9	CNC Building Control Partnership	Non Statutory	Bridget Buttinger	Corporate Resources		None	53	N
10	Community Cohesion Network	Non Statutory	Bob Cronk/Nadia Aman	Regeneration and Developmen	Community Services	Norfolk County Council	73	N
11	County Strategic Group (Community Safety)	Statutory Partnership	Bob Cronk	Regeneration and Developmen	Community Services	Norfolk County Council	80	N
12	East West Rail Consortium	Non Statutory	Bruce Bentley	Regeneration and Developmen	Transportation and Landscape	Buckinghamshire County C	37	N
13	Greater Norwich Development Partnership	Non Statutory	Jerry Massey	Regeneration and Developmen	Economic Development	None	97	Y
14	Greater Norwich Housing Partnership	Non Statutory	Alison Spalding (interim)	Regeneration and Developmen	Strategic Housing	District Authorities	87	Y
15	Greater Norwich Youth Homelessness Forum	Non Statutory	Alison Spalding	Regeneration and Developmen	Strategic Housing	Mancroft Advice Project	43	N
16	HEART	Non Statutory	Chris Dady	Regeneration and Developmen	Asset and City Management	Norwich City Council	43	N
17	Highways Agency Agreement	Non Statutory	Andy Watt	Regeneration and Developmen	Transportation and Landscape	Norfolk County Council	90	Y
18	Independent Commission for Older People	Non Statutory	Robin Hare	Transformation		Norwich City Council	47	N
19	Investing in Communities	Non Statutory	Tim Bacon	Regeneration and Developmen	Economic Development	Norfolk County Council	43	N
20	Local Safeguarding Children's Board	Statutory Partnership	Bob Cronk	Regeneration and Developmen	Community Services	Norfolk County Council	73	N
21	Neighbourhood Renewal Fund	Grant funded with separate decision making body	Jo Sapsford	Transformation	Partnerships Team	Norwich City Council	67	N
22	NELM	Grant funded with separate decision making body	Bridget Buttinger	Corporate Resources		Norwich City Council	87	Y
23	Norfolk Concessionary Travel Scheme	Non Statutory	Andy Watt	Regeneration and Developmen	Transportation and Landscape	Norwich City Council	87	Y
24	Norfolk County Strategic Partnership	Non Statutory	Rachael Metson	Transformation	Partnerships Team	Norfolk County Council	87	Y
25	Norfolk Drug and Alcohol Partnership	Statutory Partnership	Chris Haystead	Regeneration and Developmen	Strategic Housing	DAAT	37	N
26	Norfolk Partnerships for Older People's Projects	Non Statutory	Nigel Andrews	Regeneration and Developmen	Landlord Services	Norfolk County Council	50	N
27	Norfolk Resilience Forum	Statutory Partnership	Michael Stephenson	Corporate Resources	Legal and Democratic Services	Norfolk Constabulary	93	Y
28	Norfolk Supporting People Commissioning Body	Statutory Partnership	Alison Spalding (interim)	Regeneration and Developmen	Strategic Housing	Norfolk Supporting People	100	Y
29	Norfolk Supporting People-Provider Elected Panel	Non Statutory	Nigel Andrews	Regeneration and Developmen	Landlord Services	Norfolk County Council	50	N
30	Norfolk Waste Partnership	Non Statutory	Adrian Akester	Regeneration and Developmen	Citizens Services	None	47	N
31	Norfolk Youth Justice Board	Statutory Partnership	Bob Cronk	Regeneration and Developmen	Community Services	Norfolk County Council	66	N
32	Norwich 21	SLA + separate decision making body	Richard Wilson	Transformation	Environmental Strategy	Norwich City Council	30	N
33	Norwich Alcohol Board	Non Statutory	Colin Penfold	Regeneration and Developmen	Community Services		73	N
34	Norwich Bus Joint Investment Partnership	Non Statutory	Andy Watt	Regeneration and Developmen	Transportation and Landscape	Norfolk County Council	57	N
35	Norwich Carbon Reduction Trust (ends March 09)		Richard Wilson	Transformation			N/A	N
36	Norwich Learning City	Not for profit	Tim Bacon	Regeneration and Developmen	Economic Development	None (registered charity)	35	N
37	Norwich Urban Fringe Countryside Project	SLA + separate decision making body	Simon Meek	Regeneration and Developmen	Community Services	Norwich City Council	33	N
38	Regional Cities East	Non Statutory	Jerry Massey	Regeneration and Developmen	Economic Development	None	63	N
39	Safeguarding Adults Board	Non Statutory	Nigel Andrews	Regeneration and Developmen	Landlord Services	Norfolk County Council	63	N
40	Safer Norwich Partnership	Statutory Partnership	Colin Penfold	Regeneration and Developmen	Community Services	None	83	Y
41	Shaping Norfolk's Future	Statutory Partnership	Chris Popplewell	Regeneration and Developmen	Economic Development	Norfolk County Council	53	N
42	Sub Regional Floating Support Monitoring Group	Non Statutory	Nigel Andrews	Regeneration and Developmen	Landlord Services	Norfolk County Council	63	N
43	The Greater Norwich Choice Based Lettings Partnership Bd	Non Statutory	Alison Spalding (interim)	Regeneration and Developmen	Strategic Housing	Saffron Housing Trust	60	N
44	Wensum Valley Trust	Non Statutory	Simon Meek	Regeneration and Developmen	Community Services	None (registered charity)	23	N

## Key

Highly significant

Moderate significance

Insignificant

Major significance

Minor significance

Details correct as of end of February 2009

Norwich City Council Partnership Representation

Partnership Name	Significance	Partnership Level	Officer Representative	Role	Member Representative	Role	Lead Officer	Lead Organisation
City of Norwich Partnership (Norwich City Council's LSP)	96.66	Strategic Board			Cllr Steve Morpew	Vice Chair	Rachael Metson	Norwich City Council
		Delivery Board	Laura McGillivray	Chair	Cllr Brian Morrey	Representative		
			Bridget Buttinger	Representative				
			Jerry Massey	Representative				
			Anne Bonsor	Representative				
			Nikki Rotsos	Representative				
Neighbourhood Renewal Fund (Sub group of CoNP)	66.67	NRF Board	Bridget Buttinger	Chair			Jo Sapsford	Norwich City Council
			Bob Cronk	Representative				
Norwich 21 (Sub group of CoNP)	30	Board	Richard Willson	SLA Reviewer	Cllr Allan Waters	Chair	Richard Wilson	Norwich City Council
					Cllr Brian Morrey	Director		
Norfolk County Strategic Partnership (Norfolk County Council's LSP)	87	Management Board	Laura McGillivray	Representative			Rachael Metson	Norfolk County Council
		Resources Advisory Group	Laura McGillivray	Representative				
		Norfolk Action Team	Rachael Metson	Representative				
		Norfolk Strategic Services Co-ordination	Laura McGillivray	Representative				
Greater Norwich Housing Partnership	87	Policy Group			Cllr Steve Morpew	Representative	Alison Spalding (interim)	Norwich City Council, Broadland DC and South Norfolk DC
					Cllr Brenda Arthur	Representative		
					Cllr Brian Morrey	Representative		
		Directors Group	Alison Spalding (interim)	Representative				
		Forum	Alison Spalding	Representative				
		Sub Groups 1 and 2	Andrew Turnbull	Representative				
		Sub Groups 3, 5 and 6	Ben Newbrook	Representative				
		Sub Group 3	Chris Haystead	Representative				
The Greater Norwich Choice Based lettings Partnership Board (sub group of GNHP)	60	Partnership Board	Alison Spalding (interim)	Representative			Alison Spalding (interim)	Saffron Housing Trust
Greater Norwich Youth Homelessness Forum (sub group of GNHP)	43	Forum	Alison Spalding	Representative				
			Lisa Prior	Representative				
Norfolk Supporting People Commissioning Body	100	Commissioning Body	Alison Spalding (interim)	Representative			Alison Spalding (interim)	Norfolk Supporting People
		Core Strategy Group	Alison Spalding	Representative				
Norfolk Supporting People-Provider Elected Panel (sub group of Norfolk Supporting People)	50	Board	Nigel Andrews	Representative			Nigel Andrews	Norfolk County Council
Sub Regional Floating Support Monitoring Group	63	Board	Nigel Andrews	Representative			Nigel Andrews	Norfolk County Council
Greater Norwich Development	97	Directors Group	Jerry Massey	Representative			Jerry Massey	Norwich City Council, Broadland DC
		Economic Development Group	Chris Popplewell	Representative				
		Planning Group	Paul Rao	Representative				
		Communications Group	Nikki Rotsos	Representative				

Partnership	21	Policy Group			Cllr Steve Morphew	Chair	Jerry Massey	and South Norfolk DC
					Cllr Brenda Arthur	Representative		
					Cllr Brian Morrey	Representative		
					Cllr Alan Waters	Representative		

Safer Norwich Partnership	83	RAP - Chief Officers Group	Paul Spencer (interim)	Chair			Colin Penfold	None
		Community RAP - Safety/Cohesion			Cllr Bert Bremner	Executive Member		
County Strategic Group - Community Safety (sub group of Safer Norwich)	80	Board	Bob Cronk	Representative			Bob Cronk	Norfolk County Council

Norfolk Drug and Alcohol Partnership	36.66	Adult Joint Commissioning Group	Chris Haystead	Representative			Chris Haystead	DAAT
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Norwich Alcohol Board	73		Colin Penfold	Representative			Colin Penfold	
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City Wide Board	60	Board	Jerry Massey (interim)	Representative	Cllr Brenda Arthur		Jerry Massey (interim)	Norwich City Council
Heritage, Economic and Regeneration Trust (HEART)	43.33	Board	Vacant	Representative	Cllr Allan Waters	Board Member	Chris Dady	Norwich City Council

Shaping Norfolk’s Future	53	SNF Management Board	Laura McGillivray	Representative			Chris Popplewell	Norfolk County Council
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Regional Cities East	63	Board	Jerry Massey	Representative	Cllr Steve Morphew	Chair	Chris Popplewell	None
			Chris Popplewell	Representative				
			Tony Jones	Representative				
			Gwyn Jones	Representative				

City Centre Management Partnership	63	CCMP Executive	Chris Popplewell	Representative			Stefan Gurney	Norwich City Council
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Norwich Learning City	35	Executive Board	Tim Bacon	Representative			Tim Bacon	None (registered charity)
			Angela Jefford	Representative				

Investing in Communities	43	IIC Partnership Board	Tim Bacon	CoNP Representative			Tim Bacon	Norfolk County Council
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Community Cohesion Network	73	Strategic Group	Bob Cronk	Representative			Bob Cronk/Nadia Aman	Norfolk County Council
		Steering Group	Nadia Aman	Representative				

NELM	87		Bridget Buttinger	Trustee			Bridget Buttinger	Norwich City Council
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CNC Building Control Partnership	53	Board	Bridget Buttinger	In attendance	Cllr Brian Morrey	Representative	Bridget Buttinger	None
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Norfolk Better Regulation Partnership	63	Board	Michael Stephenson	Representative			Michael Stephenson	Norfolk County Council
Norfolk Resilience Forum	93	Board	Michael Stephenson	Representative	Cllr Bert Bremner	Representative	Michael Stephenson	Norfolk Constabulary
Norfolk Youth Justice Board	66	Board	Bob Cronk	Representative			Bob Cronk	Norfolk County Council
Children and Young People's	73	Board	Bob Cronk	Representative	Cllr Susan Sands		Bob Cronk	Norfolk County Council
LSCB	73	Board	Bob Cronk	Representative			Bob Cronk	Norfolk County Council
Wensum Valley Trust	23.33	Board	Paul Holley	Representative			Simon Meek	None
Norfolk Concessionary Travel Scheme	87	Board	Andy Watt	Representative			Andy Watt	Norwich City Council
Norwich Bus Joint Investment Partnership	57	Board	Laura McGillivray	Representative	Cllr Steve Morphew	Representative	Andy Watt	Norfolk County Council
		Board	Jerry Massey	Representative	Cllr Brian Morrey	Representative		
Highways Agency Agreement	90	Joint Committee			Cllr Brian Morrey	Vice Chair	Andy Watt/Chris Dady	Norfolk County Council
Bittern and Wherry Line Community Rail Partnerships	33	Working Group	Bruce Bentley	Representative			Bruce Bentley	Norfolk County Council
East West Rail Consortium	33	Working Group	Bruce Bentley	Representative			Bruce Bentley	Buckinghamshire County Council
Independent Commission for Older People	46.7	Commission	Robin Hare	Policy, research & Secretariat	Cllr Brenda Arthur	Chair	Robin Hare	Norwich City Council

## Partnership Risk Register and Action Plan

Risk no.	Description of <b>risk</b> (inc. consequences of the risk)?	What <b>controls</b> and/or <b>measures</b> are currently in place to mitigate risk?	How would you <b>rate</b> the risk			Who is responsible for this measure?	What <b>further measures</b> can be implemented to reduce this risk?	Estimated <b>cost</b>	Who will action this measure?	Target date	What is the <b>target risk rating</b>		
			Likelihood	Impact	Risk rating						Likelihood	Impact	Risk rating
City of Norwich Partnership							City of Norwich Partnership						
1	Unitary bid unsuccessful.  <u>Consequence:</u> Role for CoNP will be unclear with LGR restructuring, possibly no longer required, leaving no LSP to ensure needs of Norwich are met within a county-wide unitary.	Have influenced county LAA to address urban issues; used Norwich Needs Gap Analysis to raise profile of key issues for Norwich. NCC also lobbies directly with GO East to ensure they understand the need to address urban issues in Norfolk.	3	5	15	Partnerships manager	The council will continue to lobby other councils, GO East and relevant government ministers/departments to ensure that the needs of Norwich are still recognised.	Resources within Transformation Directorate	Director of transformation/ partnerships manager	Mar-10	3	4	12
2	Partnership not perceived as independent from the council and partners don't engage effectively in the partnership.  <u>Consequence:</u> Partnership effectiveness is reduced.	Inviting partners to contribute board meeting agenda items, articles for newsletter; planning an away day with boards and exec jointly; develop improved terms of reference and new partner handbook. Ensure that partners are fully supported during any reorganisation and the partnership actively pursues appropriate CoNP representation / participation; involve partners in regularly assessing and improving the partnership.	3	5	15	Partnerships manager	Development of a forward agenda to ensure partners contribute to and shape the work of CoNP.  Re-structuring of CoNP in light of unitary decision.	0	Partnerships manager	Mar-09  Mar-10	2	5	10
3	Difficulty ensuring added value and value for money, with genuine tangible outcomes that would not have happened if the partnership did not exist.  <u>Consequence:</u> No tangible outcomes that would not have happened if the partnership did not exist.	The away day (see above); Oct 2008 conference – 3 speakers sharing national perspective and local research, plus 8 workshops, each with tangible outcomes; partnership consultation on Norwich Needs Gap analysis and any implementation; ongoing improvement in defining delivery against LAA targets; ongoing	3	4	12	Partnerships manager	Unitary outcome leading to a Norwich LAA will create a mechanism for ensuring added value.	Resources within Transformation Directorate	Partnerships manager	Mar-10	2	4	8
4	Lack of self assessment of the partnership. <u>Consequence:</u> Not being in a position to determine areas of improvement.	Self assessment last undertaken in 2007 which lead to a partnership improvement plan. New self assessment planned for 2009/10.	1	4	4	Partnerships manager	Accept						
5	Availability of funding. Funding allocated specifically to LSPs (eg NRF) can be vital to getting partners together to address joint issues and achieve SCS targets. <u>Consequence:</u> A lack of funding could impact on partners' interest in partnership working and successful delivery of the SCS.	This is largely outside of local control, as national government generally provides such funds.	4	4	16	Partnership Manager	More effective use of Grant Finder and liaison with regeneration manager to optimise external funding opportunities.	0	Regeneration manager	Ongoing	3	4	12
6	Degree to which CoNP can influence decisions made by its partners to align resources, projects and initiatives (ie, 'bend' mainstream budgets) to support the delivery of the SCS.  <u>Consequence:</u> Where LSP partners don't begin to bend mainstream, it is unlikely that meaningful changes as set out in the SCS can be achieved (even where NRF and similar funding streams are available).	'Bending' mainstream funding needs to be an ongoing focus for both boards and a key element of the partnership improvement agenda.	5	5	25	Partnerships manager	Resource planning exercise currently being undertaken via NCSP which will assist process. Unitary outcome leading to a Norwich LAA will create a similar mechanism.	Resources within the finance department and transformation directorate	Director of transformation	Mar-10	4	5	20

7	Not having appropriate governance structures in place to ensure that the partnership is well managed in relation to performance management, accountabilities, risk management, reporting procedures, information security /sharing protocols and confidentiality issues? <u>Consequence:</u> Inability of CoNP to demonstrate leadership and deliver	CoNP has terms of reference for both boards and an information sharing protocol agreed. A member's handbook has been produced and will be provided to all members.	2	4	8	Partnerships manager	Performance management framework to be further developed in line with LAA performance plus and city council's corporate performance management.	Resources within Transformation Directorate, potential cost of performance software system	Partnerships manager/policy and performance manager	Mar-10	1	4	4
8	Ineffective engagement with communities in shaping CoNP vision and communicating CoNP role in delivering the vision.  <u>Consequence:</u> Inability of CoNP to gain a public mandate for its vision.	CoNP has dedicated pages on the council's website (being updated Jan 09) and e-newsletter circulated to board members and wider partners. Minutes published on website and circulated. Communications strategy in place.	3	3	9	Partnerships team/partnership manager	Council's community engagement strategy will be used to develop a CoNP community engagement strategy.  The council's developing neighbourhood program will further enhance CoNPs ability to engage effectively at a local level.	Resources within community services to support community engagement team	Head of community services/AD city development	Ongoing	2	3	6
9	The development of a joint core strategy between Norwich, Broadland and South Norfolk.  <u>Consequences:</u> This could potentially dilute the CoNP's ability to influence the development of the spatial vision for Norwich in alignment with the SCS, particularly in light of the growth agenda.	The three council's and the three LSPs are working together very closely to ensure the joint LDF fairly and adequately reflects all three districts' SCSs. Significant efforts are being made to ensure new developments in particular are sustainable – environmentally, economically and socially.	3	4	12	Partnerships manager/Paul Rao	Cannot mitigate risk further at present						

Norfolk County Strategic Partnership						
1	Norwich needs are not sufficiently recognised with what is predominantly a rural county partnership	Active participation in NCSP by council officers at all levels to ensure a full part in the negotiation/planning of resources and implementation.	3	5	15	Rachael Metson/Laura McGillivray
2	Delivery of NCSP outcomes (LAA) are not fully embedded within city council, and consequently the council is not fulfilling duties to co operate and have regard to the LAA	PMF redesigned to incorporate LAA outcomes – monitored by PMIB.	3	6	12	Rachael Metson/Phil Shreeve
3	The NCSP does not have the appropriate representation from key delivery partners and clear leadership? <u>Consequence:</u> There is not enough challenge to the partnership, partners do not engage and partnership is not as effective as it could be.	NCSP has clear governance framework in place with strategic leadership. NCSP Scorecard and joint scrutiny panel undertaken to identify areas of development.	1	6	6	Caroline Money
4	Council representation at NCSP needs to consistent and appropriate <u>Consequence:</u> There is not enough challenge to the partnership, partners do not engage and partnership is not as effective as it could be.	Regular briefings take place between CEO and partnerships manager to ensure attendance and cascading of information.	2	4	8	Rachael Metson/Laura McGillivray
5	Without removal of Ring -fencing in Area Based Grant, no real flexibility in allocating resources against priorities	Resource planning exercise currently being undertaken via NCSP which will assist process.	4	3	12	David White (NorfCC)
6	Performance Management systems	LAA risk assessment undertaken and risk	3	3	9	Go East/Eve

Norfolk County Strategic Partnership						
Successful unitary case for greater Norwich would result in separate LAA for Norwich.	Resources within transformation directorate	Transformation director	Mar-10	3	5	15
Service plans 09/10 and performance management framework identify activity contributing to LAA targets. Resource planning exercise currently being undertaken via NCSP which will assist process.	Resources within transformation directorate	Transformation director	Mar-10	2	6	12
Responsibility lies with Norfolk County Council						
Formalisation of this governance framework within city council will create a mechanism for appointment and review of council officers as representatives on the partnerships.	0	Partnerships managers	Apr-09	1	4	4

Responsibility lies with Norfolk County Council



	frustrated by lack of baseline data and targets still to be set	register developed. Gaps in data are caused by new national indicator set and new surveys e.g. place survey – should be resolved by Q4 (March 09)				Dewsnap	<b>Responsibility lies with Norfolk County Council</b>  <b>Accept</b>  <b>Accept</b>  <b>Accept</b>
7	LAA Performance Plus system is not meaningful for districts and requires further disaggregation of data.	Continued work on disaggregation of data to local district level. Performance plus district books making data relevant at a local level.	2	2	4	Go East/Eve Dewsnap	
8	It is difficult to evidence that the NCSP adds value to the local community and that there are tangible outcomes from the partnership which can be recognised as improvements for the area.	The NCSP uses a range of tools to monitor its performance; The performance framework provides regular reporting on the delivery of the LAA. The NCSP Scorecard which assess progress and identifies areas of development for partners, first completed in 2007 and being repeated in Jan 2009 Joint scrutiny panel.	1	2	2	Caroline Money/Eve Dewsnap	
10	Lack of communications strategy  <u>Consequence:</u> Inability of the NCSP to communicate its role and achievements to the wider community.	Website and newsletter produced. Minutes published on website and circulated.  Communications strategy currently being developed.	1	2	2	Caroline Money	

Greater Norwich Development Partnership							Greater Norwich Development Partnership
1	One partner withdraws from a joint piece of work <u>Consequence:</u> This would give a very negative message to other partners and other agencies such as GO East.	Communication within the partnership and ensuring effective use of the coordinator role in gaining consensus.	1	3	3	Directors Group/GNDP coordinator	<b>Accept</b>   <b>Cannot mitigate risk further at present</b>   <b>Cannot mitigate risk further at present</b>
2	Continuing with an unsound joint core strategy <u>Consequence:</u> It's found to be unsound and cannot be adopted, so there would be a delay in have a planning strategy in place. This would also lead to speculative planning applications for major schemes, but the council not have a framework in place to decision on what action to take.	Continual self assessment of soundness and adjusting processes as appropriate. Taking external independent advice e.g. planning inspectorate review, critical friend from POSe.	3	5	15		
3	GNDP and its representatives do not have the authority to make decisions which are binding on the partners. Therefore, if individual council executive/cabinets do not agree with the recommendations made by the Policy Group decision would need to be referred back to the GNDP.  <u>Consequence:</u> Consensus cannot be reached which would result in a delay or withdrawal in decisions/actions.	Briefings with LDF, informal executive and portfolio leads so they are fully informed about the current and future work of the partnership and are aware of any decision which may need to be taken in the future.  Officers are advising the throughout the process The council feedback to the GNDP and the co-ordinators.	3	5	15	Planning officers/Anne Bonsor/Jerry Massey	
4	Delay in unitary outcome is preventing discussion/review and decision on local delivery vehicle.	No action possible until LGR decision has been reached.	5	5	25	Directors Group/Unitary Team	





	Consequence: SP function would no longer be Norfolk-wide so the new council would need to look at options for effective delivery	implications of this through the Transformation Team.				Team	Cannot mitigate risk further at present
2	Unitary Status (Unitary Norfolk) Consequence: SP function would have reduced focus for the urban area.	The council should be looking at the implications of this through the Transformation Team.	5	5	25	Policy Group	Cannot mitigate risk further at present

Safer Norwich Partnership							Safer Norwich Partnership
1	The council could be in a position where it has spent money on behalf of the partnership which it is then unable to recover. Consequence: The council is out of pocket	Council only spends money within the agreed parameters of the project so would only be liable if the council was not to follow the agreement.	1	2	2	Bob Cronk	Accept
2	The partnership is unable to meet its targets which it has to publish.  Consequence: Reputational risk if these targets are not met.	Regular reporting and performance management carried out analysts employed by the partnership. Reviewed by senior officers from all of the partners. Public awareness of the CDRP is quite low so many people would not make the link back to an individual agency.	2	1	2	All partners	Accept
3	Inability to recruit and retain staff. Consequence: The council could be unable to meet its obligations to the partnership if the appropriate people are not in post.		3	1	3	Bob Cronk/Human Resources	Accept
4	Other partners not fulfilling their obligations to the partnership. Consequence: Performance of the partnership suffers.	There is legislation in place (Crime and Disorder Act 1998) which requires them to participate actively in the partnership.	2	2	4	External auditors and inspectors for the individual	Accept
5	A unitary option for Norfolk will result in a change in CDRP boundaries.  Consequence: The partnership would have to reorganise and some individual agencies may be required to re-organise how they deliver outcomes as a result.	The councils unitary team have looked at possible service delivery options and in the case of a unitary outcome the council are prepared to discuss these models with partners depending on which option is selected. The partnership is not making commitments to structures or programmes which would be harmed by the possible change.	4	3	12	Responsible authorities	Cannot mitigate risk further at present
6	Legislation may make additional demands on CDRP. Consequence: This would further stretch the limited resources of partners.	Any new requirements are reviewed by the responsible authorities lead officers. CDRP funding could be used to assist in meeting the requirements.  The city council's service planning process also takes accounts of any new requirements and any legislative requirements would be prioritised over other service delivery options.	3	2	6	Responsible authorities	Cannot mitigate risk further at present
7	Council representation at the partnership boards is seen by partners as inconsistent and inappropriate  Consequence: Harm to the reputation of the council with other partners.	The council is clear about representation, informs other partners who represent the council on the partnership and send deputies when needed.  Formalisation of this governance framework within city council will create a mechanism for appointment and review of council officers as representatives on the partnerships.	2	2	4	CMT	Accept

Norfolk Resilience Forum						
1	Lack of resources (people), currently no emergency planning manager in post. <u>Consequences:</u> Not having all the continuity plans up to date and not being prepared if there was an incident.	Currently advertising for emergency planning manager and also received approval for 0.5 fte emergency planning assistant.	4	5	20	Michael Stephenson

Highways Agency Agreement						
1	If the partnership were to end staff who only spend part of their time working on the agreement would not transfer to the county council. <u>Consequence:</u> The city council would need to decide who to manage the time of the staff that would be left. Potential staffing cuts could be necessary.	Maintain good relationship with County Council and deliver good services (as shown in performance measures) to avoid need to end partnership	2	3	6	Andy Watt

Concessionary Bus Travel Scheme						
1	If the partnership was to end the council would no longer benefit from the savings through economies of scale. <u>Consequence:</u> The cost of the administrative duties attached to providing concessionary bus travel would increase.	With new England wide scheme partnership is essentially about sharing administration costs which would increase for all authorities if partnership ceased, hence incentive on all authorities to retain	1	3		Andy Watt
2	The council has to provide monthly estimates to the other district authorities for the amount they owe to participating bus operators. A statement is then produced showing any difference between the estimates and actual amounts covering a three month period. <u>Consequence:</u> This can result in a cash flow problem for the council.	Other TCAs invoiced promptly for costs owed on sending out cheques to operators	2	3	6	Andy Watt
3	The council could calculate the proportion of reimbursement by individual authorities incorrectly <u>Consequence:</u> The council would either be out of pocket or have over charged another authority. There could be reputational damage to the council with other partners.	The council uses a firm of consultants to carry out this work and provide specialist advice.	2	3	6	Andy Watt

NELM						
1	Ineligible expenditure of NELM grants which Norwich has to repay. <u>Consequence:</u> The council would suffer a financial loss.	All major spending decisions are approved by GO East. The council is working through historical financial issues with GO East and CLG.	3	5	15	
2	The council has not claimed enough grant back from DCLG. <u>Consequence:</u> The council would suffer a financial loss.	The council's finance department are working to try and agree the balance.	3	3	9	

Norfolk Resilience Forum											
If the post was unable to be filled, the council could look at offering a secondment opportunity or going into partnership with another local authority and using the existing budget for the post have a shared emergency planning team.				Basic salary costs	Michael Stephenson	Mar-09	2	5	10		

Highways Agency Agreement											
New agency agreement to be prepared in absence of LGR				£15,071 (2 person months)	Andy Watt	TBC pending LGR	1	3	3		
Consider dedicating back office staff to agency agreement so if partnership terminated would TUPE to County				£1,739 (1 person wk)	Andy Watt	Autumn 2009	2	1	2		

Concessionary Bus Travel Scheme											
<p>Accept</p>											
Agreement between TCAs under review to give further legal backing to payment requirements.				£1,739 (1 person wk)	Andy Watt	Summer 2009	1	3	3		
Consultants to be audited to check figures provided by them to the scheme.				£1,739 (1 person wk)	Andy Watt	Summer 2009	1	3	3		

NELM											
For future expenditure, rigorous reviews of the NELM delivery plan are taking place to ensure expenditure is within the terms of the grant				0	Bridget Buttinger/Barry Marhsall	Ongoing	2	3	6		

Cannot mitigate risk further at present

3	There is currently no succession body agreed for when the CLG funding ends. In this situation all the assets would pass to the council. <u>Consequence:</u> The council would inherit the risks and liabilities associated with the assets.	An asset management plan is currently being developed to help determine the extent of risks and liabilities associated with the assets and provide recommendations for the future use of the assets.	2	3	6	
4	Poor NELM reputation <u>Consequence:</u> This could impact on the success of NELM projects and could also impact on the reputation of the council.	NELM have outsourced its communications to help produce a better image.	3	3	9	
5	NELM's work is wide ranging and covers several different priority areas but there is there is a current gap in agency company members e.g. police, PCT, <u>Consequence:</u> It will be more difficult for NELM to draw upon the expertise of other agencies and work effectively with them, making in more difficult for NELM to meet their objectives.	NELM is trying to improve engagement with CoNP and NRF.	3	3	9	
6	Actions of board members or the executive result in staff making claims against NELM that cannot be met by NDC funding (e.g. claims to an employment tribunal) <u>Consequence:</u> NELM would suffer financially	An external HR company advises on all staffing matters and, if their advice is followed, cover any awards made at an employment tribunal	3	2	6	
7	The programme does not perform to the required standard and therefore CLG withdraw funding <u>Consequence:</u> NELM would no longer receive CLG funding	Regular review meetings are held between GO East, Norwich City Council and NELM to keep performance on track	3	5	15	

Accept

Cannot mitigate risk further at present

Cannot mitigate risk further at present

Accept

Cannot mitigate risk further at present

## **Summary of governance arrangements and recommendations for significant partnerships**

### **City of Norwich Partnership (CoNP)**

Lead partner: Norwich City Council

Significance score: 97%

#### Summary of governance arrangements in place

A governance framework (including terms of reference) was approved by the strategic board in December 2008. This forms part of a partnership members' handbook which contains a range of supporting documents, some of which are specific to CoNP or the county LSP, and some of which are national LSP-related documents. The handbook should help CoNP members be clear about their roles and improve their understanding and context of the partnership. It was circulated to all board members and other selected stakeholders in February 2009.

An information sharing protocol was also approved by the strategic board in December 2008 which aims to help encourage partners to share data and information with each other. The protocol forms part of the handbook.

CoNP also has a communication strategy in place (again, part of the handbook). CoNP has quarterly newsletters and has dedicated pages on the council's website.

The partnership works to an improvement plan and is currently planning a self-assessment for March 2009 which will track improvement and identify priority development areas for CoNP for 2009-2010.

Using the council's partnerships governance toolkit, a risk assessment was developed in January 2009 and an action plan put in place. Two 'very high' risks relate to the lack of funding and how this could impact on the ability to deliver the sustainable community strategy (SCS). All the risks other than one (low risk) have actions in place to further mitigate the risk. These will all be in place by March 2010.

#### Recommendations

Much of the work and improvement areas for the partnership will be dependent on the unitary outcome. In the event of a greater Norwich unitary, a new local area agreement (LAA) will be developed together with a new SCS to deliver the outcomes for a greater Norwich area.

Other recommendations include:

- Encourage the strategic and delivery boards to guide the refresh of the SCS
- appoint a vice chair (not from Norwich City Council) to the delivery board
- build in community engagement and consultation with local residents/communities in the refresh of the SCS
- encourage the partnership to focus on outcomes to better enable the partnership to show it is providing value for money.

## **Norfolk County Strategic Partnership (NCSP)**

Lead partner: Norfolk County Council

Significance score: 87%

### Summary of governance arrangements in place

NCSP has robust governance arrangements in place which were last updated in April 2008. This includes the majority of the key areas required by the council's governance framework - terms of reference, decision making processes, accountability, conflict resolution etc.

NCSP has a partnership scorecard which is completed by all partners. This assesses the partnerships progress and identifies areas of development for partners.

The partnerships manager as the lead officer at the council for the NCSP produced a risk assessment looking at risk both within the partnership and risks to the council of being part of the partnership. This has been shared with Caroline Money (Norfolk County Council's lead officer for NCSP). The highest risk to the council is that Norwich needs are not sufficiently recognised with what is predominantly a rural county partnership. However, as with the majority of the significant partnerships in the case of a Greater Norwich unitary authority the council would have its own LAA.

### Recommendations

The partnership currently has no form of information or data sharing protocols which given its links to the LAA and its key role as a county wide partnership could be a key document to hold. The CoNP has developed and approved an information sharing protocol and it is recommended this is shared with Caroline.

Representation at the partnership needs to be consistent and appropriate. If representation deviates from the partnerships terms of reference the council needs to be able to justify this decision to the partnership and it should be agreed by CMT (and in some cases executive) as well as the partnership itself.

## **Greater Norwich Development Partnership**

Lead partner: None

Significance score: 97%

### Summary of governance arrangements in place

The GNDP is an informal partnership arrangement but carries out significant pieces of the work in relation to the growth of Greater Norwich and is supported by a GNDP team currently based at Broadland DC.

The partnership has in place terms of reference last updated in March 2007. The terms of reference covers the structure of the partnership, membership and responsibilities of the different groups together with the arrangements for providing substitutes and the frequency of the meetings.

However, when comparing with examples of good practice in relation to governance there seems to be little documented for the GNDP on the following areas:

- equalities statement
- financial arrangements and accountability
- dispute and conflict resolution
- information sharing protocol
- termination of partnership involvement
- review and alternation to governance framework

Norfolk County Council carries out financial monitoring and quarterly reports are provided to the Director's Group, however, the process for this does not seem to be documented. The partnership has also addressed some equality issues on their website as they have an accessibility statement for the website.

However, given the significance of the partnership it would seem appropriate to ideally cover all of the elements above in a governance statement.

Particular areas of concern include the fact that GNDP does not have authority to make decisions itself so all decisions are taken back to the individual council and formally agreed by the council's cabinet/executive. This causes delay in the decision making process and could dilute what the partnership is trying to achieve. This process can also cause significant problems if the council's administrations do not agree with the recommendation from the GNDP. This has been highlighted on the risk register and although this council has several measures in place to help mitigate this risk the response from other partners is largely beyond our control.

In the event of the council wishing to withdraw from the partnership or a particular aspect of it, legal and procedural advice would be taken. However, this is a reactive response and again given the significance of the partnership and the implications for leaving the partnership it would be advisable for the council to have arrangements documented for terminating partnership involvement.

### Recommendations

It is recommended that the council's lead officer for the partnership develops an exit strategy for the council, detailing how partnership work could be undertaken by the council individually, as well as any legal and cost implications associated in withdrawing from the partnership. The lead officer should also recommend to the partnership that the GNDP develop an exit strategy in particular covering the procedure for triggering a review of working arrangements and in the case of the partnership ending or undergoing a significant re-organisation arrangements for termination of funding, arrangements for staff employed for the partnership, responsibilities for outstanding liabilities and work streams etc.

Given the high risk nature of the partnership and the overlap with several council departments, it is recommended that a risk workshop is undertaken with the key council officers involved in the partnership. This would allow for multiple perspectives to be taken into account, robust mitigation factors agreed and responsibility for action assigned.

A unitary outcome for Norfolk will result in a review of the partnership. It is recommended that the comments and issues raised above are taken into consideration when developing a plan for delivery of the new partnership.

## **Greater Norwich Housing Partnership (GNHP)**

Lead partner: None

Significance score: 87%

### Summary of governance arrangements in place

GNHP is a successful partnership working mainly at a strategic level and has received recognition for its work from a regional level. The members of the partnership have recognised several benefits and reasons for working in partnership including scope for effective joint commissioning, the overlap in services, the recognised migration patterns of residents between the authorities, and scope for knowledge transfer between staff.

The partnership has worked very effectively in the past due to the good working relationship between partners and a clear shared vision and understanding of the partnership.

The partnership has a clear structure and terms of reference exists for the policy group and several of the sub groups. However, although the partnership seems clear on its governance arrangements there seems to be little documented evidence covering the following areas:

- equalities statement
- financial arrangements and accountability
- decision making process
- dispute and conflict resolution
- information sharing protocol
- termination of partnership involvement
- review and alternation to governance framework.

However, all the housing strategies developed by the partnership are currently being impact assessed as part of the council's priority to reach level two of the equality standard. The partnership does not have its own budget per se and financial monitoring is carried out by the relevant lead authority on a project by project basis.

The partnership carried out some performance monitoring through action plans for the Housing Strategy and Sub-groups. An evaluation of the GNHP was also completed in Jan 2007.

All partners contribute towards the salary costs of a partnership co-ordinator. This post has been vacant since November 2008 but is currently being recruited by Broadland DC. The work which would normally be completed by the post holder is currently being administered through existing staff time.

### Recommendations

A unitary outcome for Norfolk will result in a review of the partnership. It is recommended that the comments and issues raised above are taken into consideration when developing a plan for delivery of the new partnership.

The partnership could look at ways to develop their performance monitoring and also how the partnership adds value.

There is currently no website for the partnership and all authorities have differing amounts of information on their own website. One recommendation is therefore that the partnership reviews its online communications and the possibility of developing a website discussed. This would enable the partnership to communicate with stakeholders and the wider community on the work of the partnership more effectively. This could help further improve the reputation of the partnership and its partners by providing an easy mechanism to promote the good work that the partnership carries out and help increase the transparency of the partnership.

It is also recommended that the terms of reference for the Directors Group and Sub Group 1 and 5 are located or developed if necessary.

### **Norfolk Supporting People Commissioning Body**

Lead partner: Norfolk Supporting People  
Significance score: 100%

#### Summary of governance arrangements in place

This is a statutory county led partnership. As a statutory requirement and part of a national programme it is subject to strict governance arrangements. There is a team of people supporting the work of the partnership and as a result it has excellent performance management measures and communication mechanisms in place.

#### Recommendations

None

### **Safer Norwich Partnership**

Lead partner: Six joint leads including Norwich City Council  
Significance score: 83%

#### Summary of governance arrangements in place

Safer Norwich Partnership is the CDRP for Norwich. As a statutory partnership it has to comply with national legislation and regulations and is subject to strict governance arrangements.

As with all CDRPs Safer Norwich has in place a protocol for information exchange which sets out detailed guidance on sharing information to help reduce crime and disorder. The partnership also has detailed terms of reference for the RAP and several sub groups.

As this is a statutory partnership the council is unable to leave the partnership and therefore has no exit strategy.

The majority of the risks associated with the partnership are low risk and the only high risk is effect of unitary on CDRP boundaries.

#### Recommendations



Develop the website so the partnership is better able to communicate with stakeholders and the wider community on the work of the partnership. This could help improve the reputation of the partnership and its partners by providing an easy mechanism to promote the good work that the partnership carries out and help increase the transparency of the partnership.

## **NELM**

Lead partner: NELM, but Norwich City Council is the accountable body  
Significance score: 97%

### Summary of governance arrangements

Norwich City Council has two relationships with NELM, one is as the accountable body and the other is as a representative on the partnership i.e. council officer as trustee.

NELM is governed by a memorandum and articles of association.

Although not completed, there are two detailed risk assessments being developed, one which is owned by NELM and the other by the council. Both of these highlight a range of key risks both to NELM and the council. These risks are yet to be scored but it is likely that several of them will be classed as high risks and further work will need to be carried out to examine what further mitigation can be put in place. One significant concern for the council is that it could have significant liability with regards to NELM's assets as well as other financial liabilities.

The partnership appears to have effective performance management and monitoring procedures in place with performance reviews of each theme (and therefore the projects within) undertaken at least annually and projects submitting quarterly returns so that milestones and other factors can be checked. NELM also monitors KPIs set out by government, as well as their own local indicators and targets, and commissions a biennial residents' perception survey carried out by MORI. In addition, NELM has undertaken self assessments and had external reviews.

As the NDC funding was until 2010 the council as the accountable body is unable to withdraw from the partnership. However, now that funding is coming to an end the council is reviewing its engagement through the partnership review process and the succession planning including asset management review.

### Recommendations

NELM has already done some significant work recently to help improve their communications and financial governance. Given that NDC funding will end in 2010 much of the work for the partnership (in relation to governance) is now around succession planning and financial accounting.

Council officers are working closely with NELM to develop a succession plan, and the council and the CoNP will need to be supportive of this. The finance department is also trying to clarify previous statement of grant usage with the Audit Commission. It is recommended that support is given to the council officers involved in these processes to ensure that these priorities are achieved. The achievement of both of these priorities could significantly reduce some of the risks for the council recorded on the risk register.

Given the high risk nature of the partnership it is recommended that the council risk assessment is monitored and updated regularly. The NELM risk assessment will also be highlighted and monitored through the NELM boards.

## **Norfolk Resilience Forum**

Lead partner: Norfolk Constabulary  
Significance score: 93%

### Summary of governance arrangements in place

There is a statutory requirement for all category 1 responders to plan for emergencies and for all category 2 responders to work with category 1 responders to enable effective planning. Norfolk Resilience Forum is the partnership arrangement under which these agencies deliver the government objectives under the Civil Contingencies Act, so the partnership itself is not statutory.

There are no representatives from Norwich City Council who sit on the Support or Executive Group but several officers represent the council on the sub groups. It is one representative for all not one representative for each; Colin Bland, Broadland Chief Executive, represents all local authorities at the Strategic Group meetings and Jim Bagley represents all district/borough/city local authorities on the Support Group.

Significant resources are committed by the council to the work of the partnership, e.g. 20k, emergency planning control room, emergency planning vehicle, emergency planning officer etc. However, this is in line with what resources other partners also provide to the partnership. In the event of an incident the council could be required to commit further resources as required and certain council officers could be required to go to gold command and would have the authority to commit the council to particular actions.

As a statutory arrangement it has to comply with national legislation and regulations and is subject to strict governance arrangements. The partnership has detailed terms of reference for the Executive and Support Groups as well as all the sub groups.

The partnership has a community risk assessment which assesses the risks of incidents occurring. The only risk highlighted for the council (on the council's risk assessment) is a lack of resources as there is currently no emergency planning manager in place. However, this post is currently being recruited.

It is very difficult to fully assess this partnership given that the majority of the work and the ultimate purpose of the partnership is to work together in the event of a major incident. However, there appear to be sufficient governance arrangements in place to ensure that the partnership works effectively together in preparing and planning for emergencies.

### Recommendations

None

## **Highways Agency Agreement**

Lead partner: Norfolk County Council

Significance score: 90%

Summary of governance arrangements in place

The Highways Agency Agreement is the agreement covering the discharge of highway authority functions by the city council on behalf of the county council. Because it is a contractual agreement it would not ordinarily fall under the definition but there is a separate decision making board with a terms of reference.

There is a detailed procedural document covering the responsibilities of each party to the agency, financial arrangements and performance reporting. The partnership also has a robust risk assessment in place.

Recommendations

None

**Norfolk Concessionary Bus Travel Partnership**

Lead partner: Norwich City Council

Significance score: 87%

Summary of governance arrangements in place

The partnership is the agreement covering the discharge of concessionary fare statutory responsibilities on behalf of all district authorities in Norfolk. Because it is a contractual agreement it would not ordinarily fall under the definition but there is a separate decision making board with a terms of reference. There is also a detailed procedural document covering the responsibilities of each party to the agency and financial arrangements.

There are few risk to the council of being in the partnership however, the risks recorded cover the risk to the council of increased economies of scale if the partnership was to end and the financial risks to the council of providing the administration service.

Recommendations

None



**NORWICH**  
City Council

# Corporate governance framework and toolkit for working in partnerships

## How to use this document

All officers and elected members involved in partnership working need to be aware of this document. Lead officers in particular will need to ensure they understand the guidance and refer to it for the purposes described in section 1.4 and when completing the forms in appendix 1.

This document has several interactive features detailed below:

Electronic templates have been attached to the various forms in the toolkit which can be downloaded and completed. Download the template by clicking on the underlined title at the top of the form.

There are several supporting reference documents which you will need to refer to when completing some of the forms. The file paths are detailed at the back of the document but an electronic version can be downloaded by clicking on the underlined document title.

It is possible to jump to different sections in the document where a word in the document content is blue. For example within sections 1 and 2 there are several internal hyperlinks to the forms in appendix 1.

If you are unable to access the shared folder or require any assistance in using this document please contact the partnerships team on 01603 212371.



# Contents

<b>Acknowledgements</b>	<b>5</b>
<b>Foreword</b>	<b>5</b>
<b>1. Introduction and context</b>	<b>6</b>
1.1 Why do we need a framework?	6
1.2 What are the benefits of working in partnership?	6
1.3 Purpose of this framework	6
1.4 Who will use this toolkit and when?	7
1.5 Roles and responsibilities	7
<b>2. The framework</b>	<b>9</b>
2.1 Defining a partnership	9
2.2 Making a business case	10
2.3 Risk assessment and the risk management framework	10
2.4 Establishing a register of partnerships	12
2.5 Criteria for significance	12
2.6 Equality and partnerships	12
2.7 Governance arrangements	13
2.8 Review and evaluation	13
2.9 Financial governance and partnerships	14
2.10 Leaving a partnership	14
2.11 Protocol for elected members and officers working with outside bodies	14

<b>Appendix 1 – Toolkit (forms and guidance notes)</b>	<b>15</b>
1. Definition of a partnership	15
1.1 Partnership definition flowchart	15
1.2 Examples – how to apply the definition	16
2. Partnership setup flowchart	18
3. Form a: Making the business case	19
4. Risk assessment and management tools	21
4.1 Form b: Risk assessment	23
4.2 Form c: Risk action plan	24
5. Form d: Partnership registration form	25
6. Criteria for significance	26
6.1 Form e: Significance score card	27
7. Equality and diversity impact assessments (DIA)	28
7.1 Form f: Test of relevance	28
7.2 Form g: Initial screening and assessment	30
7.3 Form h: Full impact assessment	33
8. Partnership governance framework	35
9. Form j: Partnership assessment form	38
10. Form k: Partnership exit form	40
 <b>Appendix 2 – Protocol for elected members and officers working with outside bodies</b>	 <b>41</b>
1. Protocol for elected members	41
2. Protocol for officers	42
 <b>Appendix 3 – Partnership checklist</b>	 <b>44</b>
<b>References</b>	<b>44</b>



## Acknowledgements

In developing this framework, the council has drawn heavily on the work of other local authorities and organisations which are recognised as examples of good practice in this field, in particular the work of Hull City Council, Birmingham City Council, Leeds City Council and Bournemouth Borough Council.



Edition I, February 2009

## Foreword

“Welcome to Norwich City Council’s *Corporate governance framework and toolkit for working in partnership*.

This document has been developed as a guide for elected members and officers when

working in partnership. It provides a robust framework on which to base our partnership governance arrangements, thus helping us to work more effectively with our partners.”

“The *Corporate governance framework and toolkit for working in partnership* incorporates best practice from other local authorities, and key elements of Norwich City Council’s policy framework. It supplements other council activity, such as the equalities agenda and sound risk and financial management.”

“The city council proactively supports partnership working in order to achieve shared priority outcomes. This commitment is demonstrated, for example, through our leadership and involvement in the City of Norwich Partnership, the city’s local strategic partnership. Partnership working is fundamental to Norwich’s future and where possible we will embrace partnership activity to help achieve our vision “to make Norwich a world-class city in which to live, work, learn and visit.”



**Steve Morphew,**  
leader of the council



## 1. Introduction and context

### 1.1 Why do we need a framework?

The city council is committed to working in partnership with other agencies to deliver priority outcomes and to improve the quality of life for local people. Good corporate governance arrangements in relation to partnerships enable the council to know whether partnerships are providing value for money, added value, and better use of resources by reducing duplication.

Robust corporate governance requires the council to be accountable, open, inclusive and effective, and to act with integrity. It enhances the council's capacity to maintain high quality services, and to deliver improvements. Good corporate governance should also extend to the council's relationships with its partners.

In addition to this, the framework seeks to integrate partnership work into the council's mainstream planning, thinking and delivery. In developing the framework, the council is proactively working to support partnership activity, and making available new systems and processes to develop partnerships.

Furthermore, by recognising the role of local strategic partnerships which are now often described as 'the umbrella under which all other partnerships operate', this framework will assist in identifying the family of partnerships supporting the City of Norwich Partnership.

### 1.2 What are the benefits of working in partnership?

Working in partnership offers both opportunities and challenges. With good governance arrangements in place, partnerships can be effective in delivering added value and value for money.

The council sees many benefits of working in partnership including:

- effectively joining up and co-ordinating service delivery – reducing silo working and maximising impact

- addressing cross-cutting issues
- supporting its own objectives and priorities
- maximising the use of limited resources and to attract additional resources to the area
- championing the area and focus on the big issues facing the city
- agreeing a shared vision, objectives, action plans and commissioning of services to meet identified need.

### 1.3 Purpose of this framework

The purpose of this framework is to set out:

- the processes for deciding when and how to enter a partnership
- the minimum governance arrangements each partnership requires
- how the council will support the governance of each partnership
- how the council monitors and reviews its involvement with each partnership.

The framework will promote clarity and consistency of approach in relation to partnerships' governance arrangements and will ensure:

- when entering into partnerships, the council is clear about its purpose and expected outcomes to be achieved
- that the most appropriate council officer and elected member is a representative on the partnership
- the council's own agreed objectives and priorities are being met
- there is clarity around accountability and responsibility for outcomes
- partnership activity and outcomes are monitored, reviewed and evaluated to make best use of resources
- risks for the council and the partnership are assessed and managed

- each partnership maintains a relevance to its agreed purpose during its lifespan and has an effective exit strategy
- partnerships are properly empowered and their legal status understood
- reviews are undertaken to evaluate success further challenge processes and improve governance.

#### **1.4 Who will use this toolkit and when?**

Both officers and elected members of the council will access this toolkit when joining a new partnership when reviewing partnership involvement on an annual basis and as and when guidance on effective partnership governance is required. The council will also share this toolkit with its partners and prospective partners so they understand the procedures and guidance.

#### **1.5 Roles and responsibilities**

Responsibility for advising and implementing this framework at officer level lies with the council's partnerships manager. The leader of the council has a strategic overview role for key partnerships (such as the City of Norwich Partnership, and the Greater Norwich Development Partnership), but for more operational issues the portfolio holder for corporate resources and governance is the member champion for partnership working.

The rest of this section covers the roles and responsibilities of various individuals or groups within the council in relation to partnership working.

##### **The council's lead officer for a partnership.**

The role of the identified lead officer for each partnership is to:

- ensure the council's responsibilities under the framework are carried out
- ensure the partnership complies with the minimum standards set out under the framework, including carrying out an annual review

- share with partners council documents which they should be aware of particularly the anti-fraud strategy and whistle-blowing policy
- assess and record risks on the partnership risk assessment and ensure a copy is sent to the partnerships manager annually for inclusion in the corporate risk register
- inform the partnerships manager of any failures to comply with a requirement and proposed timescales for any follow-up actions to ensure compliance.

##### **The council's partnerships manager**

The role of the partnerships manager is to:

- ensure there is proper support and advice to officers and members in relation to partnership involvement
- ensure the identified lead officer understands the role and is supported
- maintain a register of partnerships
- maintain a copy of each 'significant' partnership's risk register; include all of these in the council's corporate risk register; review these annually
- record **any** partnership which presents a risk to the council on a corporate risk register and annually review all such entries
- monitor compliance with the framework and report to corporate management team (CMT)
- review the framework annually and report to CMT.

##### **All council directors**

It is the role of every director to:

- identify the partnerships that the directorate is involved in
- ensure that partnerships within the directorate are assessed for their level of significance
- assess the extent and severity of risk posed by each partnership within the directorate and inform members accordingly.

## The director of transformation

In addition to the above, the director of transformation has the following role:

- report to the executive on the effectiveness of the council's involvement in partnerships.

## Corporate management team

The role of CMT is to:

- provide a mechanism for the council to coordinate and discharge its duties under this partnership governance framework
- receive the joint summary report on the overall impact of the council's involvement in partnerships and agree any actions which do not require an executive decision
- ensure that the partnerships are properly supported and that the resources are provided to allow partnerships to succeed
- ensure that the council's representatives receive an induction with the partnership
- monitor the overall performance and effectiveness of partnerships and advise the executive on any further action required.



## Executive

The role of the executive is to:

- appoint, substitute or remove elected members (and officers on partnerships classed as 'significant') on partnership bodies
- receive reports from the director of transformation on the effectiveness of the council's involvement in partnerships
- agree the partnerships risk register, and assess the need for any further actions
- agree future direction and/or any actions arising from the partnerships evaluations
- agree the council's continued involvement in partnerships.

## Scrutiny committee

The role of the scrutiny committee is to:

- review the partnership risk assessments
- work with the partnerships manager to produce an annual report summarising the outcome of partnerships reviews and evaluations and identifying any necessary actions
- consider any evaluation report summarising council involvement in partnerships
- analyse and challenge outcomes, impact and direction
- evaluate if partnerships act cohesively and make differences to people's lives.

## 2. The framework

### 2.1 Defining a partnership

In order to develop a business case and review existing partnerships arrangements, it is necessary to apply a clear and workable definition of a partnership.

The Audit Commission's definition of partnership working is "an agreement between two or more independent bodies to work collectively to achieve an objective".

A partnership can also be defined as a joint working arrangement between partners who:

- are otherwise independent bodies
- agree to co-operate to achieve a common goal
- create a new organisational structure or process to achieve this goal, separate from their own organisations
- plan and implement a jointly agreed programme, often with joint staff or resources
- share relevant information
- pool information, risks and rewards.

Due to the wide nature of the Audit Commission's definition it has been refined and narrowed by other authorities, eg Hull and Birmingham City Council. This work has been recognised by the Audit Commission as a model of best practice.

Following this approach, Norwich City Council has adopted the definition of a partnership given below.

To ensure a shared understanding of this definition, phrases highlighted in blue in the next box are further explored below.

### Definition of a partnership

An agreement between **two or more independent bodies to work collectively to achieve an objective**, excluding:

- any **contractual agreement** entered into by the council, eg procurement arrangements and service level agreements except where these arrangements create a **separate decision-making structure**
- any agreement where the council provides an organisation with **grant aid** except where these arrangements create a separate decision-making structure
- **public finance initiative (PFI)**
- any **basic networking function**.

### Two or more independent bodies

There must be at least one other body distinct from the council, eg a company, a voluntary sector organisation, another local authority or a statutory body such as the police authority or a PCT.

When assessing whether a company is a partnership, consider who the members of the company are, eg shareholders. Is there any other body that is a member of the company, as well as the council?

Bodies are independent if they are separate legal entities.

### Work collectively to achieve an objective

If the council's input is integral to achieving an objective, it is likely that the council is working collectively with the other body. If the council's input is minor or incidental, the arrangement may not be a partnership; it may be an 'outside body'.

## Contractual agreement and grant aid

A contractual or grant arrangement will only be a partnership where it creates a separate decision making structure.

A public private partnership (PPP) will meet the definition if it is a contractual arrangement that creates a separate decision making structure.

## Separate decision-making structure

By this we mean a formal forum created by the arrangement, which gives the council a role in making decisions. The forum will have agreed rules about meetings, representation and voting rights.

Section 1 of the toolkit assists in the application of this definition and sets out some examples to illustrate whether particular arrangements constitute a partnership arrangement within this framework.

It should be noted that PFIs have been excluded given that the Audit Commission report specifically excluded guidance on these, and that they have their own regulatory framework.

Some arrangements will cut across a number of service areas and corporate management team (CMT) will need to decide which director takes responsibility.

## 2.2 Making a business case

Before entering into a partnership, a business case must be made. The business case will need to be approved in the first instance by the head of service before taking to the relevant director. In the case of a 'significant' partnership the business case must be approved by CMT and, in consultation with the portfolio holder, where appropriate by the executive for 'in principle' support. Executive will approve nominations for elected members and, where appropriate, officer appointments on 'significant' partnerships.

The covering report will need to include the following:

- a cost/benefit analysis (this should not just include financial elements)
- consideration of whether any other partnership should carry out some or all of its proposed functions
- an options appraisal to determine the most appropriate organisational form for the partnership.

The following forms will be the basis of a business case:

- form a: *Making the business case*
- form b: *Risk assessment*
- form c: *Risk action plan*
- form d: *Partnership registration form*
- form e: *Significance score card*.

The partnerships team will inform the City of Norwich Partnership's strategic board of any new partnership arrangements which may directly link with the work of the local strategic partnership.

## 2.3 Risk assessment and the risk management framework

In essence, risk management is about making the right decisions, based on a process of identifying, assessing, controlling and reviewing risks, particularly from financial, legal and reputational perspectives. Risk management is a key part of corporate governance and partnership working. It is essential therefore that the council undertakes robust risk management to identify and deal with the key risks in relation to the partnerships it is involved in, to support both the partnership and the council in pursuit of their goals.

Risk management for the council considers corporate risks relating to and/or arising from partnership activity as well as risks within the partnership itself. The council needs to be able to understand and manage both types of risks by mainstreaming partnership risk into the organisational risk management process.



Good practice suggests that the partnership itself should have robust risk management arrangements in place when undertaking priority setting, policy making, financial planning and performance management. This could involve partners sharing their risk assessments, for example, by having a joint risk register covering risks to the partnership itself. This allows the opportunity for partners to come to agreed judgements, assign responsibility for action and trigger monitoring information.

### **Undertaking a risk assessment**

For each new partnership, a risk assessment (form b) must be completed before approval for the partnership can be given. Once the risks have been identified and assessed a copy of the risk assessment must be provided to the partnerships manager who will also provide a copy to the finance department. As stated above the lead officer should also ensure that the partnership itself undertakes a risk assessment. The risk assessment for a new partnership should be reviewed after six months and then on an annual basis. The risk management framework will also be applied to significant partnerships on an annual basis.

The internal risk management framework consists of the following six steps:

#### **1. Distinguish between strategic and operational priorities**

It is important to note that risks of a strategic nature are likely to affect the medium-to long-term priorities of the council and require longer term planning in order for them to be addressed. Operational level risks, in contrast, tend to be more immediate in their impact and more susceptible to treatment in shorter time frames.

#### **2. Identify and assess risks**

Once all risks have been identified, the likelihood and impact of the risk needs to be assessed to arrive at a risk rating.

The scoring matrix and examples of risks according to level of severity are given in section 4 of the toolkit.

### **3. Compile a risk register**

Once the risks have been identified by the council's lead officer for the relevant partnership, a central risk register will be compiled and maintained by the partnerships manager.

### **4. Manage risk**

For all risks identified in the risk assessment, a decision needs to be taken about how to manage the risk. There are four general approaches to be considered:

- avoid (do not undertake the activity that is likely to trigger the risk)
- reduce (control the likelihood of the risk occurring or the impact of the consequences if the risk does occur)
- transfer (either totally or in part, eg through insurance or contract)
- accept (the ability to take effective action against some risks may be disproportionate to the potential benefits gained).

### **5. Monitor and report**

Risk assessments should be monitored on a regular basis and any deterioration in mitigation reported to the partnerships manager. A central risk register will be compiled and maintained by the partnerships manager, who will regularly review it and report to scrutiny and executive.

### **6. Review**

The risk management process for partnerships will be reviewed annually by the partnerships manager to ensure emerging risks are identified and managed.

## 2.4 Establishing a register of partnerships

The partnerships manager is responsible for maintaining a register of partnerships.

It is the responsibility of each director to ensure that all of the partnerships in which the directorate is involved (where the partnership meets the definition put forward in this document) are included on the register and any amendments reported to the partnerships manager.

Through the registration process, a lead officer will be identified for each partnership. All new partnership arrangements must be registered with the partnerships manager using the *Partnership registration form* (form d) following approval by the director, CMT, or executive as appropriate.

## 2.5 Criteria for significance

The council will review each of its partnerships annually to identify which partnerships are significant. It is the responsibility of each director to ensure that the level of significance of each partnership within the directorate is assessed.

To assess the significance of a partnership the council will take into account:

- the partnership's contribution to the achievement of priorities in the corporate plan, the Norwich sustainable community strategy and the Norfolk LAA
- the type of decisions the partnership makes
- whether the partnership is required by law or to secure funding
- the resources which the council contributes to the partnership
- the nature of the consequences if the partnership were to fail
- the extent to which the partnership helps the council to manage risk.

The *Significance score card* (form e) sets out how these criteria are applied.

As part of the register, the partnerships manager will maintain a database of those partnerships which are identified as 'significant'.

## 2.6 Equality and partnerships

The council has a duty to promote equality of opportunity, eliminate discrimination and promote good relations between different groups. To assist this process, it is a statutory requirement to conduct and publish diversity impact assessments (DIAs) on its policies and functions, as well as to ensure equalities objectives are embedded in its strategic output.

Any partnership entered into by a local authority should seek to uphold the equalities duties as outlined above. Good practice dictates that all partners demonstrate an engagement in the process of undertaking DIAs. Where the partnership is between public bodies under the same obligation, the responsibility is equal and a lead officer to undertake the DIA should be nominated. Where the partnership is with a voluntary sector or private partner, the lead officer will be from the local authority.

A DIA is a thorough and systematic risk assessment tool that helps identify potential gaps in services and potential indirect discrimination. This process should be undertaken at the development stage of a policy or function, and focus on the activities and actions planned.

The DIA process should be ongoing and the partnership governance framework should as a minimum include:

- A statement on how the partnership will operate and actively value the benefits of diversity and ensure fair treatment and equality of opportunity. This includes representation and participation on the partnership.
- A statement on how and when the partnership will carry out DIAs on the partnership activity. In the case of new partnerships this should take place no later than six months after the partnership has started for the 'significant' partnerships and 12 months for smaller partnerships.

This council has adopted an integrated assessment model which embraces all the six equality strands (gender, disability, race, age, sexual orientation and religious beliefs) together with human rights, integration and community cohesion. The DIA is comprised of three parts which are set out in section 7 of the toolkit:

- Form f: *Test of relevance*
- Form g: *Initial screening and assessment*
- Form h: *Full impact assessment*.

Where the council is taking the lead on completing the DIAs the nominated lead officer for the partnership should initially complete the test of relevance so it is possible to assess functions and policies that have the most impact first. Those policies and functions which are tested as having the highest relevance will be assessed in the first year of a three-year cyclical corporate timetable. The initial screening should be undertaken at the development stage of any partnership project, to ensure that any actions are reviewed for their potential impact before implementation. This will then inform the lead officer and partners as to whether a full assessment is necessary, namely if a potential negative impact has been identified.

## 2.7 Governance arrangements

Once approval has been given for the council to join a partnership and representatives and a lead officer have been chosen, it is necessary to ensure that robust partnership governance arrangements are in place.

The partnership's governance arrangement should constitute a formal written agreement. Although some elements may not be appropriate for some partnerships, good practice shows that the governance arrangements should include the following:

- the purpose and basis of the partnership
- its membership and the roles of members
- arrangements for the conduct of meetings including arrangements for declaring interests
- decision making framework

- risk management processes
- financial arrangements
- arrangements for monitoring and review
- communications
- information sharing protocols
- dispute resolution procedure
- termination of and exiting from partnership.

The lead officer will confirm the position to the partnerships manager and provide:

- details of any failures to comply with a requirement
- a proposed timescale for any follow-up actions to ensure compliance.

For detailed examples are provided in the toolkit section 8.

## 2.8 Review and evaluation

An annual review of the performance and effectiveness of each partnership is required to establish that the council's involvement provides value for money and adds value. Ultimately it will determine if the council wishes to continue to have an input into the partnership. This process will involve reviewing the *Significance score card* (form e). It is good practice for all partnerships but essential for significant partnerships to then review and/or complete the following documents and return to the partnerships manager:

- review, evaluate and update the *Risk assessment* and *Risk action plan* (forms b and c)
- review the timetable for DIAs
- review the governance arrangements
- review or complete the *Partnership assessment form* (form j).

It is important that this process is undertaken in conjunction with the partnership and the partnership also takes responsibility for compliance.

The partnerships manager will monitor compliance with the framework, and will report on this annually to CMT.



## 2.9 Financial governance and partnerships

The head of finance is required to assess the register of partnerships, to identify those with which the council has a significant financial relationship (ie, to which the council contributes a significant amount of finance and/or for which it acts as the accountable body). This enables the head of finance to focus efforts on reviewing the financial performance of those partnerships that are financially significant. In cases of high significance, priority needs to be given to maximising the robustness of the governance and financial management arrangements.

If budget monitoring advice is required, lead officers should use their service accountant (details available on pg 21 of the Managers handbook under 'e-grapevine' and 'work aids'.) If advice is required around more complex financial issues or regarding committee reports then the head of finance should be contacted in the first instance who will direct the query to the appropriate senior finance manager.

### 2.10 Leaving a partnership

There are several reasons why partnership arrangements, or the council's involvement in a partnership, end. This may be because the partnership has achieved all that it set out to do, it has been replaced by another working arrangement, the funding has ceased, or the council's priorities have changed.

When exiting a partnership it is important to consider the following issues:

- Who owns any assets?
- What arrangements relate to the termination of any funding?
- What happens to any staff employed by the partnership?
- Who is responsible for any outstanding liabilities?

- Are there any legal implications of withdrawing from the partnership?
- Are there any cost implications of withdrawing from the partnership?

The lead officer will need to complete the *Partnership exit form* (form k) within three months of the council's decision to end its working arrangement with a partnership and this should be sent to the partnerships manager.

### 2.11 Protocol for elected members and officers working with outside bodies

Elected members and council officers should read and follow the protocol in appendix 2 when working as part of any partnership, whether directly representing the council, in an advisory capacity, or as part of an interest group. Any issues in this protocol which are not clear or require clarification should be discussed with the monitoring officer.

Elected members need to observe the relevant codes of conduct in the council's constitution at all times, paying particular attention to requirements for making declarations of interest.

Appendix 2 internal hyperlink to page 41 sets out protocols for both officers and elected members in working with partnerships.



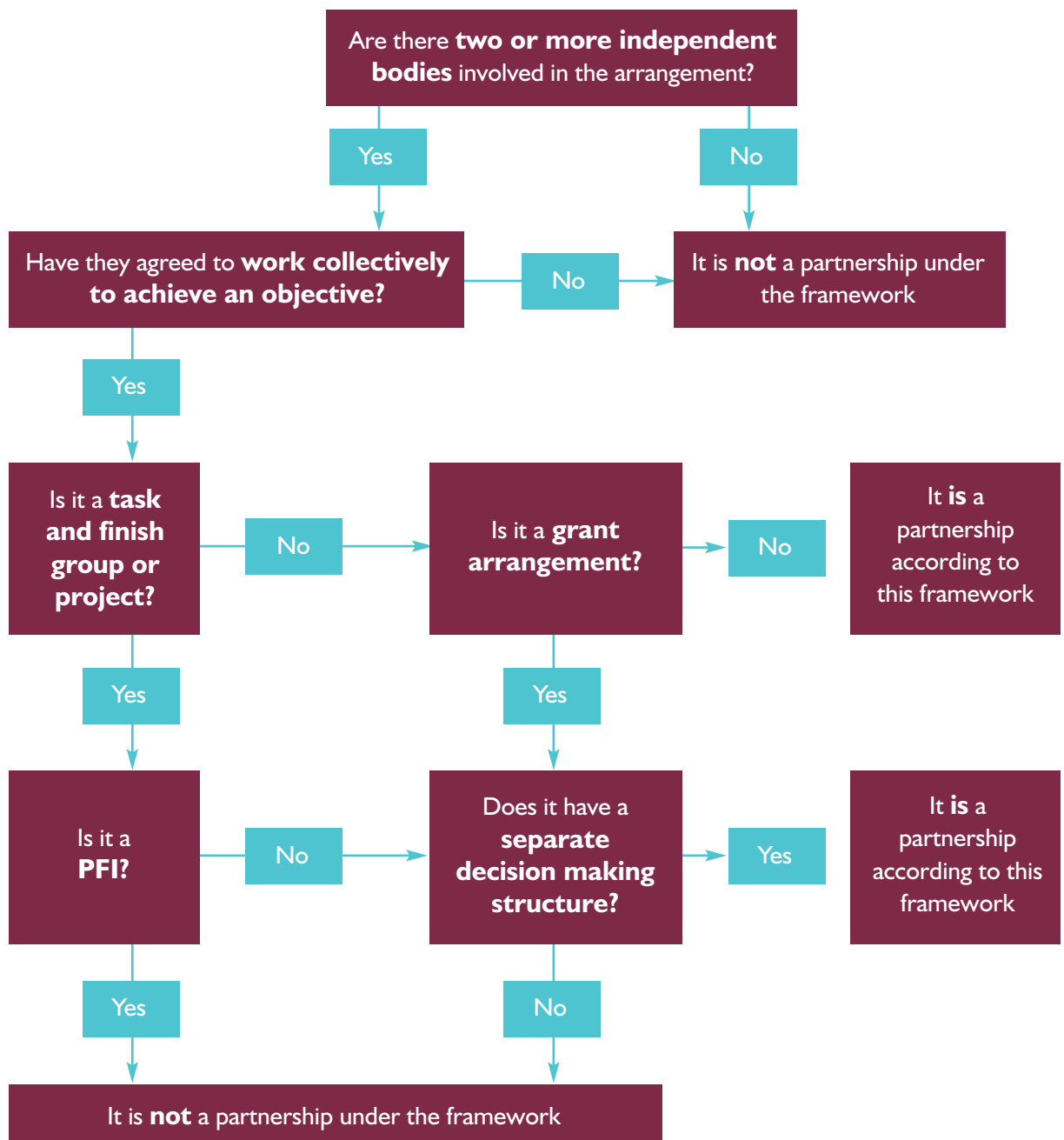
## Appendix 1

### The toolkit (forms and guidance notes)

#### 1. Definition of a partnership

##### 1.1 Partnership definition flowchart

This flowchart can help establish whether an arrangement is a partnership under the definition.

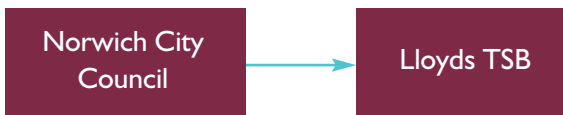


NB. Some arrangements will cut across a number of service areas and corporate management team (CMT) will need to decide which director takes responsibility.

## 1.2 Examples – how to apply the definition

These examples are not intended to provide a definitive assessment of whether each arrangement is a partnership and are illustrative only.

### Example 1: The contract



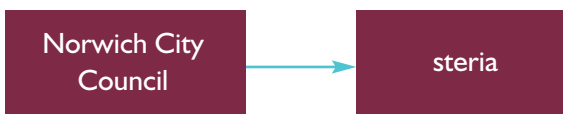
The council has entered into a contract with Lloyds TSB to provide a pool car facility. The contractual arrangement involves two bodies: the council and Lloyds TSB. They are separate legal entities, and so are independent bodies.

They may be working collectively to achieve objectives. It is not a PFI.

A contractual arrangement entered into by the council is not a partnership, except where these arrangements create a separate decision-making structure. As there is no separate decision-making structure, this is **not a partnership**.

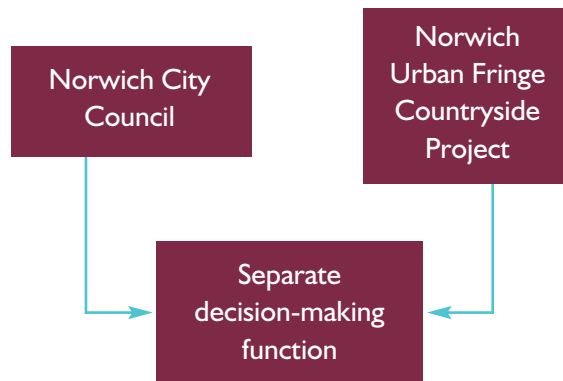
This arrangement is equally evident in the contract Norwich City Council has in relation to green waste and its composter.

### Example 2: PFI



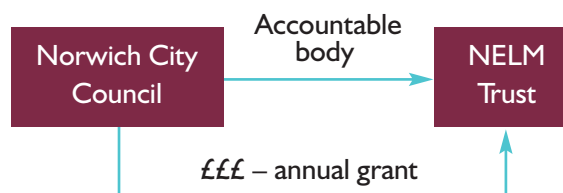
The council's arrangement with Steria forms a contract with a separate review board that makes decisions. However, the 15-year contractual arrangement was set up as a PFI and for this reason falls outside of this framework's definition of a partnership, so it is **not a partnership**.

### Example 3: The SLA with a separate decision-making structure.



This arrangement has a three-year funding agreement with an SLA in place. However, there is a separate decision-making structure so **it is a partnership**.

### Example 4: Grant arrangements with a separate decision making structure

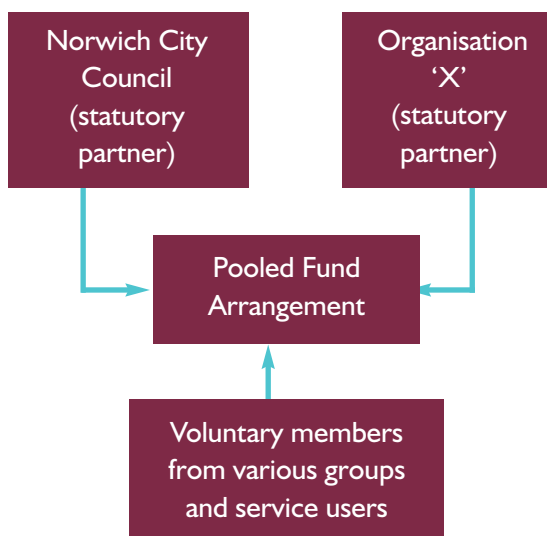


The CLG/GO East allocate a grant to be managed by NELM Trust, and Norwich City Council acts as the accountable body.

The arrangement involves three independent bodies and they have agreed to work collectively to achieve an objective.

However, a grant arrangement entered into by the council will not be a partnership, except where the arrangements create a separate decision-making structure. So if the trust takes decisions about the grant, without input from the council through a separate decision-making structure, the grant arrangement would not be a partnership. This is not the case as Norwich City Council is represented on the trust's decision making board, so this **is a partnership**.

### Example 5: A contract with a pooled fund and separate decision-making structure



Norwich City Council and organisation 'X' are two independent bodies.

They may have agreed to work collectively to achieve an objective. They have a contractual arrangement. It is not a PFI. A contractual arrangement entered into by the council is not a partnership, except where the arrangements create a separate decision-making structure.

The partnership agreement requires a pooled fund and a partnership board to manage the pooled budget. The partnership board is a separate decision-making structure. Therefore, this **is a partnership**.

### Example 6: A statutory partnership



The 1998 Crime and Disorder Act require 'responsible authorities' to audit crime and produce a crime and disorder reduction strategy. They achieve this through the Safer Norwich Partnership.

The Safer Norwich Partnership is made up of a number of independent bodies. They work collectively to achieve objectives. It is not a contractual arrangement or grant arrangement. Therefore, Safer Norwich Partnership **is a partnership**.

### Example 7: Arms' length management organisations (ALMOs)

While Norwich City Council does not currently have any ALMOs, the following description is included for completeness of definition.

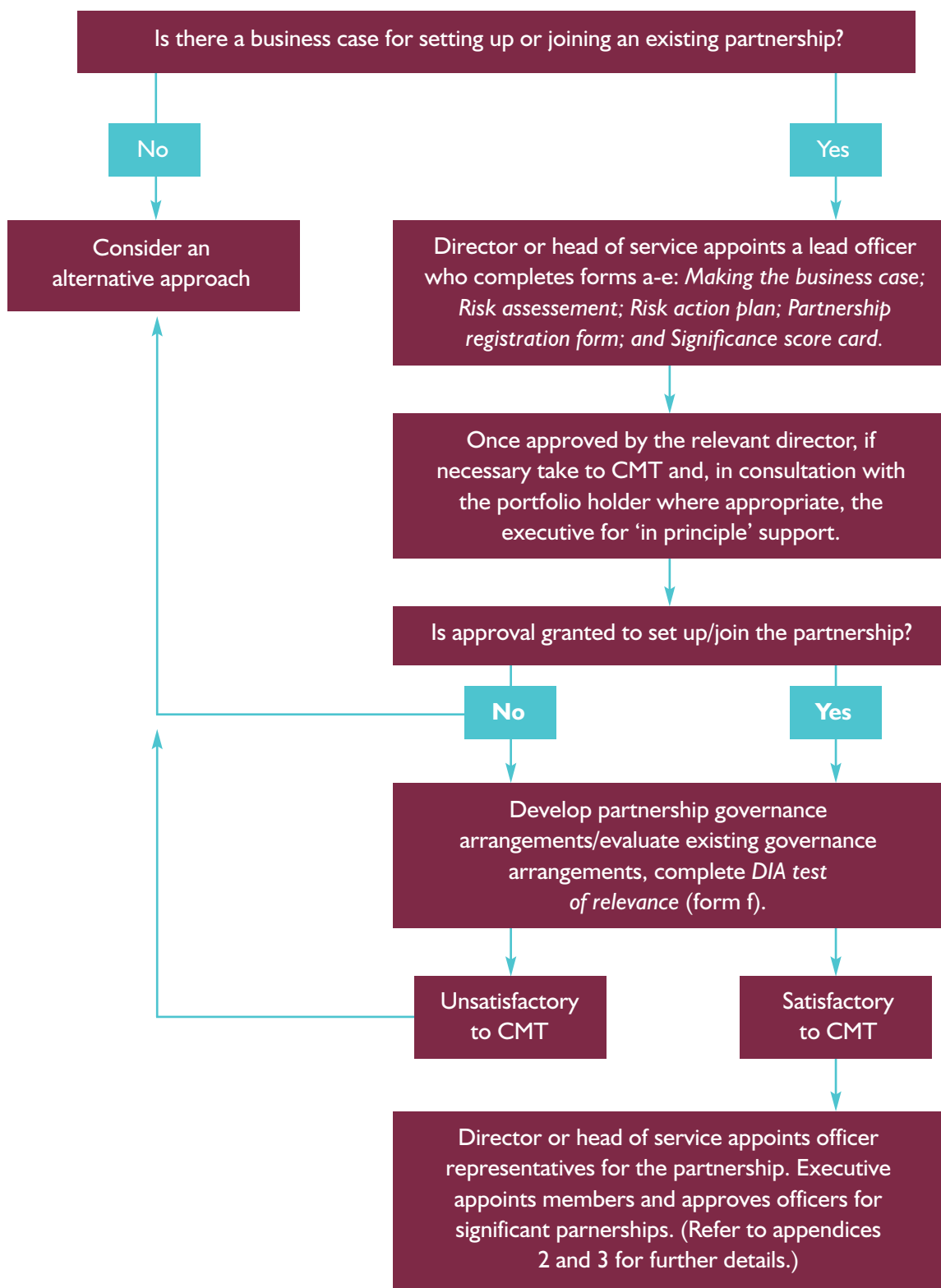


ALMOs are companies that are wholly owned by the council. No other body is a member. Each company does not therefore involve two or more independent bodies.

Thus, ALMOs are **not partnerships**.

## 2. Partnership setup flowchart

The following flowchart sets out the process for setting up a new partnership or joining an existing partnership.



### 3. Form a: Making the business case

MAKING THE BUSINESS CASE	
NATURE OF THE BUSINESS CASE	
This is required when: <ul style="list-style-type: none"> <li>• Set up a new partnership</li> <li>• Join an existing partnership</li> </ul>	
Name of the partnership?	
Is the partnership statutory?	
ASSESSMENT OF 'FIT' WITH THE COUNCIL AND KEY POLICIES	
How does the partnership contribute to the: <ul style="list-style-type: none"> <li>• corporate plan</li> <li>• sustainable community strategy</li> <li>• local area agreement</li> </ul>	
PARTNERSHIP – KEY INFORMATION	
Strategy	
List the agreed/proposed objectives, SMART outcomes and targets?	
What is the intended lifespan?	
What is the exit strategy?	
Membership	
Which organisations make up the partnership?	
Are there any key players not in the partnership?	
If yes, which ones?	
Leadership and engagement	
Who is the partnership accountable to?	
What is the role of the council?	
Risk management	
Complete and attach form b and c	
EXCELLENCE AND EFFICIENCY	
Give specific examples of how the partnership delivers:	
a) Value for money	
b) Added value	

## RESOURCES

What resources is the council providing in terms of:

a) Finance	
b) Staff	
c) Accommodation	
d) Legal	
e) IT	
f) Administration	
g) Training	
h) Insurance	
i) Recruitment	
j) Payroll	
k) Health and safety	
l) Advice	
m) Communication tools	
n) Others	

## ANSWER ALL POINTS WITH DETAILS

### Funding

When is funding for the partnership due to end?	
If the council leaves the partnership will any funding be lost to the city?	
If yes please give details	

## OTHER CONSIDERATIONS FOR EXISTING PARTNERSHIPS

### Reputation

Is there the potential for reputation damage to the council if it leaves the partnership?	
If yes, what is the risk and how can it be managed?	
Completed by	
Date	

## 4. Risk assessment and management tools

It is advised that the risk management strategy is read before undertaking a risk assessment.

Using the *Risk assessment* (form b) on the next page, all risks – strategic and operational – should be identified based on the headings on the form. The risks to the partnership of

not having in place robust governance arrangements should also be included.

Any current control measures need to be recorded then using the matrix below, the likelihood and impact of the risk needs to be assessed to arrive at a risk rating. By multiplying the two factors, a risk ranking of **low** (green), **medium** (amber), **high** (orange) or **very high** (red) can be set (table 1).

Table 1

		Impact/consequences (1-7)				
Likelihood/ Probability (1-5)		Insignificant (1)	Minor (2)	Moderate (3)	Major (5)	Catastrophic (7)
	Very High (5)	5	10	15	25	35
	Likely (4)	4	8	12	20	28
	Possible(3)	3	6	9	15	21
	Unlikely (2)	2	4	6	10	14
	Rare (1)	1	2	3	5	7

To give consistency in the way in which risks are quantified across the council, table 2 gives an indication of the possible levels of severity.

The risk assessment will contain all risks that require treatment. There are four general approaches to treating risk.

These are as follows:

- avoid the risk – do not undertake the activity that is likely to trigger the risk
- reduce the risk – control the likelihood of the risk occurring or controlling the impact of the consequences if the risk does occur

- transfer the risk – either totally or in part eg through insurance or contract
- accept the risk – the ability to take effective action against some risks may be limited or the cost of taking action may be disproportionate to the potential benefits gained.

A cost benefit analysis of each treatment option should be used to provide the basis for selecting the best option to manage each risk identified. A *risk action plan* (form c) is required for all risks where the approach taken is to reduce the risk.

Table 3

Level of risk	Level of concern	Consequences	Action required	Risk treatment option available
Very High 6 -35	Very concerned	Disastrous impact	Comprehensive action is required immediately	Avoid/Reduce/transfer
High 8 – 15	Concerned	Severe Impact	Action is required within 3 months	Avoid/Reduce/transfer
Medium 5 – 7	Uneasy	Medium impact	Managed via contingency plans. Action plans to be developed within 6 months	Avoid/Reduce/transfer Accept – but using a contingency plan
Low 1 – 4	Content	Relatively light impact	Council is prepared to accept this risk	Reduce – if cost effective Accept



Table 2

Impact	Service Delivery	Partnership Effectiveness	Human	Financial	Project	Political	Political
7 Catastrophic (risk assessment) 5 Highly significance (score card)	Disruption of more than one core service for more than 14 days	Partnership would not be able to operate	Death	Financial impact greater than £500k	Project failure	Very significant political damage over a longer period	Very significant political damage over a longer period
5 Major (risk assessment) 4 Major (score card)	Disruption of core services up to 14 days	Partnership would be unable to meet its objectives	Life threatening injuries	Financial impact of up to £500k	Project significantly overruns or over budget	Major political damage over several weeks	Major political damage over several weeks
3 Moderate	Disruption of core services up to 7 days	Partnership effectiveness would be affected long term and objectives would need to be reviewed	Major non life threatening injuries	Financial impact of up to £100k	Project overruns or over budget affecting service delivery	Modest political impact for a short period of time	Modest political impact for a short period of time
2 Minor	Disruption of services up to 3 days	Partnership effectiveness would be affected short term but would still be able to meet its objectives	Minor injuries	Financial impact of up to £50k	Project overruns or over budget	Political impact could be appropriately managed	Political impact could be appropriately managed
1 Insignificant	Disruption of services up to 24 hours	Partnership effectiveness would be relatively unaffected	Slight injury	Financial impact of up to £25k	Minimal affect on budget or overrun	Minimal or no political impact	Minimal or no political impact

#### 4.1 Form b: risk assessment

RISK ASSESSMENT								
NAME OF PARTNERSHIP								
Risk no.	Description of risk (inc. consequences of the risk)?	How is this risk currently being mitigated?	How would you rate the risk with controls in place?			Who is responsible for this measure?	Risk treatment option	Comments
			Likelihood	Impact	Risk rating			

<b>Significant risk areas to consider:</b> <input type="checkbox"/> Finance <input type="checkbox"/> Legal <input type="checkbox"/> Political <input type="checkbox"/> Social <input type="checkbox"/> Partnership <input type="checkbox"/> Human Resources <input type="checkbox"/> Environmental <input type="checkbox"/> Economical <input type="checkbox"/> Technological <input type="checkbox"/> Reputational			
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4.2 Form c: Risk action plan

RISK ACTION PLAN (WHERE THE APPROACH TAKEN IS TO REDUCE THE RISK)							
Risk no.	What further measures can be implemented to reduce this risk?	Estimated cost	Who will action this measure?	Target date	What is the target risk rating once these additional controls are implemented?		
					Likelihood	Impact	Risk rating

Councils assessing officer

Contact details

Date assessed

Review date (for new partnerships review date should be six months from date assessed all other partnerships will be one year)

## 5. Form d – Partnership registration form

PARTNERSHIP REGISTRATION FORM		
Partnership name		
Key objective/purpose of partnership		
Type of partnership		
Strategic alliance – Formal forums, joint committees or LSPs	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Statutory – Required or covered by law	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Not-for-Profit – Charities, trusts, companies limited by guarantee	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Other – please specify	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Partnership significance category and score: insignificant/minor/moderate/major/highly significant		
Norwich City Council's lead officer and directorate		
List all council officer and elected member representatives, their role and level of responsibility (eg chair of strategic board)?		
Which areas of the corporate plan does this partnership contribute towards?		
Strong and prosperous city	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Safe and healthy neighbourhoods	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Opportunities for all	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Aiming for excellence	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Which areas of the sustainable community strategy does this partnership contribute towards?		
Economic growth and enterprise	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Environmental excellence	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Culture and creativity	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Safe and strong communities	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Health and well-being	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Learning and personal development	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Partners (please list)		
Lead authority/partner		
Lead officer, telephone number and email (where Norwich City Council is not the lead partner)		
Date partnership began		
Length of time partnership is expected to run		
Completed by	Date completed	

## 6. Criteria for significance

When completing the score-card reference should be made to the following documents:

- Question 1 – corporate priorities (reference 3)
- Question 5 – example severity levels (reference 4)
- Question 6 – key strategic risks (reference 5).

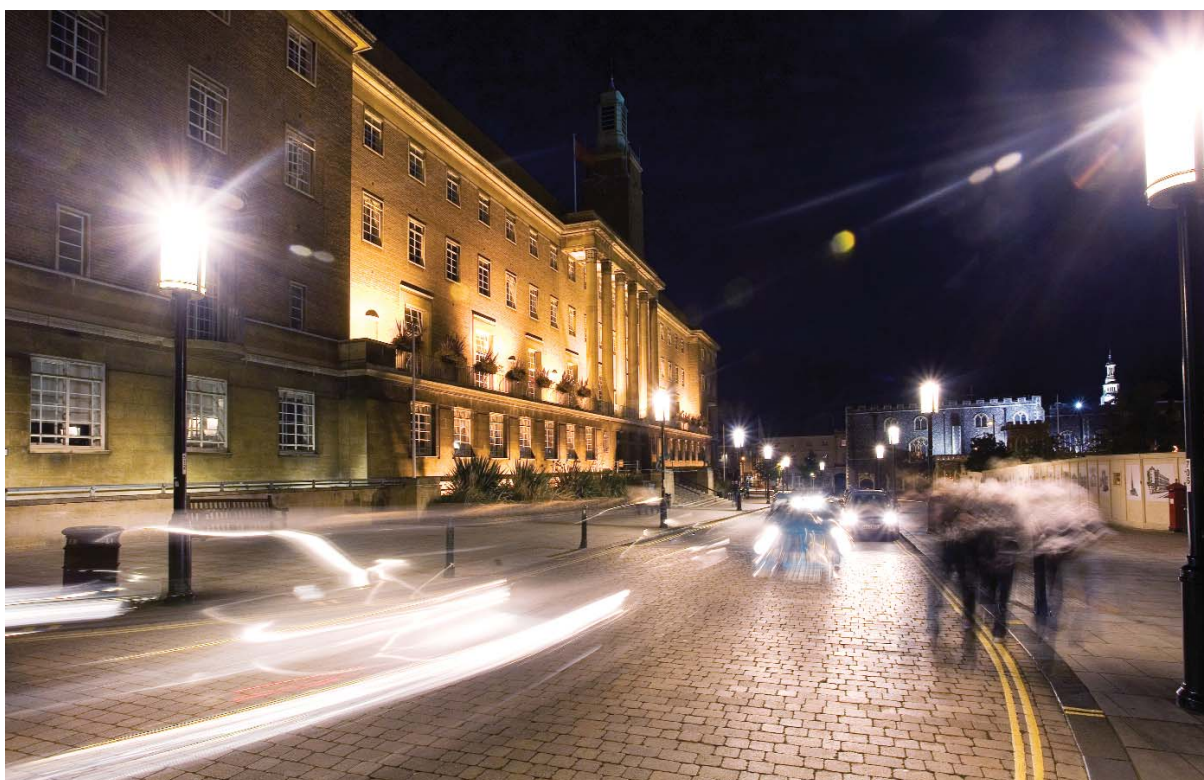
The impact scores give the following significance category:

1-20	Insignificant
21-40	Minor significance
41-60	Moderate significance
61-80	Major significance
81-100	Highly significant

The significance score and category must be recorded on the *Partnership registration form* (form d).

The toolkit uses the term ‘significant’ partnership to refer to partnership arrangements which have scored 81 and above on the score card below. There are only certain sections in the toolkit which are essential to complete for ‘non significant’ partnerships but the complete toolkit is good practice for **all** partnerships and essential for ‘significant’ partnerships.

However, depending on the partnership arrangement and the information provided to the partnerships manager, lead officers of any partnership may be asked to complete further elements of the toolkit.



## 6.1 Form e: significance score card

SIGNIFICANCE SCORE CARD							
NAME OF PARTNERSHIP							
	Description	Insignificant (Score 1)	Minor significance (Score 2)	Moderate significance (Score 3)	Major significance (Score 4)	Highly significant (Score 5)	Score
1	To what extent does the partnership contribute to the achievement of priorities in the corporate plan, sustainable community strategy (SCS) or LAA?	Not linked to any departmental or corporate priorities	Indirect links to successful achievement of a departmental priority	Essential to successful achievement of a departmental priority	Indirect links to successful achievement of I + priorities in the corporate plan, SCS or LAA	Essential to successful achievement of I + priorities in the corporate plan, SCS or LAA	
2	The partnership takes decisions on behalf of or which are binding on the council	The partnership does not take decisions on behalf of the council (eg, it only discusses issues/shares best practice)	The partnership does not take decisions on behalf of the council but council reps feedback to officers with decision making authority who consider its recommendations	The partnership does not take decisions on behalf of the council but representatives with decision-making authority attend partnership and consider recommendations	The partnership does not take decisions on behalf of the council but representatives with decision-making authority attend and agree to be bound by its decisions	The partnership has decision making responsibilities directly delegated to it from the council	
3	Is the council required to set up the partnership by law or in order to receive additional funding/meet a requirement of the assessment regime eg CAA or statutory guidance?	Not required by law or for funding	Indirect links to successful achievement of funding or achievement in CAA	Limited links to successful achievement of funding or achievement in CAA	Direct links to successful achievement of funding or achievement in CAA	The council is required to participate in this partnership by law or to receive specific funding	
4	The council directly contributes money or resources (including officer time) to the partnership and/or resource, or money is directed through the council's accounts	< £10K (per annum)	£10K to £50K (per annum)	£50K to £75K (per annum)	£75K to £100K (per annum)	> £100K (per annum)	
5	What are the consequences of partnership failure for the council (financial/political/reputational)?	Consequences are of insignificance	Consequences are of minor significance	Consequences are of moderate significance	Consequences are of major significance	Consequences are of high significance	
6	Does the partnership contribute to the management of risks identified on corporate or departmental risk registers?	The partnership does not contribute to the management of high priority departmental or corporate risks	The partnership indirectly contributes to the management of high priority departmental risks	The partnership directly contributes to the management of high priority departmental risks	The partnership indirectly contributes to the management of a high priority corporate risk	The partnership directly contributes to the management of a high priority corporate risk	
Total							
Impact score ('total' divided by 30 multiplied by 100)							30
Completed by					Date		

## 7. Equality and diversity impact assessments (DIAs)

Before completing any of the following forms, the guidance notes below should be read.

- Test for relevance guidance (reference 6)
- Diversity impact assessment guidance notes (reference 7)

### 7.1 Form f: test of relevance

TEST OF RELEVANCE																			
Name of the function/policy:																			
Date relevance test conducted:																			
Please tick as appropriate																			
Is the policy or function																			
New?																			
Revised?																			
Existing?																			
Can the delivery of this policy or function help the council deliver the following equality duties?		EQUALITY STRANDS																	
		Race			Gender			Disability			Age			Sexual orientation			Religion/belief		
1. Promoting equality of opportunity																			
2. Eliminating discrimination																			
3. Preventing harassment																			
4. Promoting good relations																			
5. Encouraging participation in public life																			
No. of relevant elements per strand		H	M	L	H	M	L	H	M	L	H	M	L	H	M	L	H	M	L
Total:		H						M						L					

**Priority Level:**

## High Relevance

The policy or function is relevant to 4 or 5 elements of the general equality duty.

**Action Required:** Complete a full diversity impact assessment during year one.

## Medium Relevance

The policy or function is relevant to 2 or 3 elements of the general equality duty.

**Action Required:** Complete an initial screening and/or a full impact assessment by year two.

## Low Relevance

The policy or function is relevant to 0 or 1 elements of the general equality duty.

**Action required:** Complete an initial screening by year three.

**Partnership name:**

**Name and contact details of relevant assessor:**

**Comments or recommendations:**



7.2 Form g: initial screening and assessment

INITIAL SCREENING AND ASSESSMENT

1. Title of policy, function or project

2. What are the aims and objectives?

3. Who are the key stakeholders?

4. What evidence has been used for this initial screening?

Eg. complaints/place survey results

5. Do different groups have different needs in relation to this policy?

	Yes	No	Not known
Age			
Disability			
Gender			
Racial group			
Religion or belief			
Sexual orientation			

Please elaborate:

Yes

No

Not known (is this due to a lack of data?)

6. Is there an opportunity to promote equality of opportunity or good relations amongst different groups?			
	Yes	No	Not known
Age			
Disability			
Gender			
Racial group			
Religion or belief			
Sexual orientation			
Please elaborate:			
Yes			
No			
Not known (is this due to a lack of data?)			

7. Have any concerns been highlighted by stakeholders (eg complaints or consultations)?			
	Yes	No	Not known
Age			
Disability			
Gender			
Racial group			
Religion or belief			
Sexual orientation			
Please elaborate:			
Yes			
No (are stakeholders involved in the design of services?)			
Not known (do stakeholders have an opportunity to give feedback about services?)			

8. Is there any evidence that different groups could potentially be or are affected adversely by the policy?

	Yes	No	Not known
Age			
Disability			
Gender			
Racial group			
Religion or belief			
Sexual orientation			

Please elaborate:

Yes

No

Not known (is this due to a lack of data? Should more be gathered?)

9. On the basis of this assessment should there be a full impact assessment carried out?

☐ Yes ☐ No

Please elaborate:

Name of manager leading the review:

Job title:

Date:

### 7.3 Form h: full impact assessment

FULL IMPACT ASSESSMENT			
1. Title of policy, function or project			
2. What are the aims and objectives?			
3. Who are the key stakeholders?			
4. What new evidence and data has been used for this full assessment?			
5. What direct consultation has been undertaken and what are the results?			
Target group	Consulted group	Consultation method	Key results
Age			
Disability			
Gender			
Racial group			
Religion or belief			
Sexual orientation			
6. Please clarify how you intend to minimise any adverse impact or promote equality:			
	Key finding	Action planned	When by
Age			
Disability			
Gender			
Racial group			
Religion or belief			
Sexual orientation			

7. Have you identified any training needs?

.....

8. Have you identified any unavoidable adverse impact which cannot be mitigated?

.....

9. Please clarify how you intend to monitor the policy and any actions committed to in the future

	Action	Review date
Age		
Disability		
Gender		
Racial group		
Religion or belief		
Sexual orientation		

Name of manager leading the review:

.....

Job title:

.....

Date:

.....



## 8. Partnership governance framework

### Aims and objectives of the partnership

List the aims and objectives of the partnership.

### Partnership principles

It is considered best practice for partnerships to clearly state any guiding principles. An example of partnership principles is provided below.

The members agree to work together actively to achieve the aims of the partnership, on the basis of:

- visible commitment and ‘ownership’ by the various member organisations and individual representatives to the work of the partnership
- clear purpose, clarity of expectations and agreed targets for action
- mutual trust and respect
- openness and transparency
- identification and sharing of best practice, based on mutual learning
- effective decision making
- effective communication and accountability
- shared ownership of resources, where appropriate
- combined expertise
- creative and innovative solutions to problems
- removal of barriers to equality of access and opportunity
- shared mechanisms for risk management, monitoring evaluation, reviewing and reporting on performance, progress and success
- allowing each constituent member unobstructed access to the audit records of the partnership, on request.

### Terms of reference

List the terms of reference of the partnership, which should include the elements below..

### Roles and responsibilities

List the roles and responsibilities of each of the constituent members of the partnership. It may also be appropriate to address more generally what the voluntary and community sector, the business sector and the public sector members bring to the partnership as groups.

### Membership and terms of office

List information such as:

- the number of representatives from organisations in the public, private and the voluntary and community sectors that are actively involved (equal representation is not a requirement) and why they were selected
- a list of the constituent members and the number of representatives they have on the partnership
- details of the chair and vice-chair of the partnership
- arrangements for review of the membership and any time limits that an individual representative can serve on the partnership
- evidence that the membership of the partnership reflects the characteristics and aspirations of the area and/or people it has been set up to serve.

### Equalities and inclusion

Provide a statement on how the partnership will operate and actively value the benefits of diversity and ensure fair treatment and equality of opportunity. This includes representation and participation on the partnership.

Also provide a statement on how and when the partnership will carry out DIAs on the partnership activity. In the case of new partnerships this should take place no later than six months after the partnership has started for the 'significant' partnerships and 12 months for smaller partnerships.

## Accountability

Include statement about:

- how and to whom the partnership is accountable and what that accountability includes
- partnership members' accountability to each other, including any expectations of behaviour.

## Financial arrangements

Provide a statement setting out the financial arrangements of the partnership and liabilities.

## Meetings

Details in this section could state:

- the minimum number of meetings held annually
- notification of meetings – including whether these are open or closed to the public
- convening of extraordinary meetings
- responsibility for the setting of meetings, agendas, working papers, minutes, etc
- venues – why and how they are chosen
- acceptability of meeting times
- representation and quorum
- expectation of behaviour in meetings
- replacements at meetings and any protocols to be followed
- declarations of interest and protocols on withdrawal from meetings.

## Disrepute and conflict resolution

Provide a statement on behaviour that could reasonably be expected to bring a partnership into disrepute. An example is given below:

Members of the partnership:

- must not use their position improperly, confer on, or secure for themselves or any other person, an advantage or disadvantage
- must ensure that activities are not undertaken for political purposes
- must not unduly influence any person in the paid employment of any of the partner agencies.

A statement should also be included on the systems and procedures that exist to resolve issues of conflict within the partnership.

## Information sharing protocol

Working protocols must be specific to the particular operational requirements of any partnership and should be developed with the support of relevant professionals and representatives.

An information sharing protocol should address:

- disclosure of data
- request for data
- respond to requests
- transfer of data
- receiving data
- purpose of sharing/storing data
- review protocol procedures
- professional codes of conduct.



It is good practice to specify and document each activity of information sharing by:

- describing what information is to be shared and for what purpose
- describing in detail how information is to be shared (flowcharts can be useful here)
- stating who is responsible for the information at each stage including access and disclosure, and who will be responsible for reviewing and monitoring information sharing procedures.

Protocols developed for information sharing do not have any legal standing but are helpful in setting out good practice within a partnership and building common understanding and trust.

## **Secretariat**

Include a short statement on which constituent member(s) will provide the secretariat function.

## **Termination of partnership involvement**

Provide a short statement setting out what notification is required when partners intend to leave the partnership (eg written statement to the chair and secretariat). Also state any notice period required for any exceptions.

## **Review and alteration to the governance framework**

Include a short statement that sets out frequency and method for reviewing the governance framework, including protocols for amending it.



## 9. Form j: Partnership assessment form

PARTNERSHIP ASSESSMENT FORM	
CLEAR SHARED PRIORITIES	
What is the partnership's purpose?	
Is the purpose clear and achievable?	
How do the partnership's aims and outcomes contribute towards achieving the: <ul style="list-style-type: none"> <li>• corporate plan</li> <li>• sustainable community strategy</li> <li>• local area agreement</li> </ul>	
What is the predicted timescale for the partnership meeting its purpose?	
What are the expected outcomes for the council from its involvement in the partnership?	
What alternative options were considered to achieve this purpose other than to go into partnership?	
THE RIGHT MEMBERS APPOINTED TO THE PARTNERSHIP	
Who are the key members of the partnership?	
How are the members of the partnership selected?	
Who is the lead partner in the partnership?	
How often is membership of the partnership reviewed and by whom?	
Are there any gaps in membership?	
Who represents the council on the partnership and how were they selected?	
How are service users and communities involved with the work of the partnership?	
CLEARLY DEFINED ROLES AND RESPONSIBILITIES	
What is the role of the council representative(s) on the partnership?	
What is the role of any other support in the form of staff provided to the partnership?	
What is the council representative's liability with regards to the partnership?	
How are individual partner's roles and responsibilities within the partnership agreed and defined?	

IDENTIFICATION AND USE OF RESOURCES	
What financial resources does the council provide to the partnership?	
What material resource such as property etc does the council provide to the partnership?	
What assets in the form of people does the council provide to the partnership?	
What resources do other partners provide to the partnership?	
How does the partnership demonstrate it is providing best value for money?	
GOOD PERFORMANCE MANAGEMENT	
How does the partnership measure, monitor and evaluate its performance?	
What financial monitoring systems are in place in the partnership, and who manages them?	
How does the council monitor and evaluate its involvement in the partnership in relation to its own priorities?	
How often is the council's engagement in the partnership reviewed?	
EFFECTIVE COMMUNICATION	
What is the partnership's decision making process?	
How are details of key decisions made by the partnership recorded?	
How does the partnership communicate with its stakeholders and wider community?	
How is information about this partnership shared within the council?	
How can elected members, officers and the wider community communicate with the partnership?	
RISKS AND AGREED EXIT STRATEGY	
How are conflicts of interest resolved?	
What is the council's liability with regards to the partnership?	
If working in partnership is no longer appropriate what is the council's exit strategy?	
What are the implications for leaving the partnership in terms of finance, resource, legal and publicity?	
At what level does the decision to exit the partnership need to be taken?	
Completed by	
Date	

10. Form k: Partnerships exit form

PARTNERSHIPS EXIT FORM	
Partnership name	
Date the formal decision was made to end the council's working arrangement?	
From what date will/did active involvement end?	
Why was involvement ended	
If failure to deliver was identified, was this a result of system failures?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If yes, what were they?	
State up to three things that the partnership achieved	
State up to three examples of best practice exhibited by the partnership	
State up to three things that the partnership could have done better	
Completed by	Date

## **Appendix 2**

### **Protocols for elected members and officers working with outside bodies**

#### **1. Protocol for elected members**

##### **Introduction**

This protocol should be read and followed when working as part of a partnership, either directly representing the council, in an advisory capacity or as part of an interest group.

Any issues in this protocol that are not clear or require clarification on should be discussed with the monitoring officer, political group leader, the chief executive and/or the appropriate director.

Elected members should ensure that all partnerships they are involved with have a clear governance framework similar to that in section 8 of this toolkit.

##### **Protocol**

The council supports the activities of partnership working and recognises the benefits to the community, but wishes to ensure that elected members and the council are not exposed to any unidentified and unexpected risks and liabilities.

All new partnership involvements will set out within the business case the need for council representation by elected members and/or officers. In the first instance officers will be identified by the head of service through the relevant director, and where appropriate CMT will make proposals to executive for elected members. However, where the partnership is classified as significant executive will approve nominations for officers made by CMT and confirm elected member representation. Legal indemnity will not cover any representative sitting on a partnership who has not had the appropriate approval from CMT or executive.

##### **Authority to become involved with a partnership**

Any elected member who is approached or wishes to become involved in a partnership should discuss the matter and the extent of their involvement with their group leader. The group leader may want to discuss the partnership and aspects of work with the chief executive. The elected member should only accept or become involved after receiving formal approval from executive.

The relevant lead officer for the partnership should support the elected member in understanding their role and participation in the partnership. The elected member and CMT also need to inform the partnerships manager of the elected member's involvement.

##### **Prohibition on signing contracts**

Elected members working for a partnership should not sign any contracts or legally binding documentation on behalf of the partnership or the council. Elected members are reminded that only authorised officers have power to sign documents of this nature.

##### **Prohibition on provision of financial, technical or legal advice**

Elected members should not provide financial, technical, or legal advice to a partnership. Advice is available on these issues and may be taken when necessary. They must ensure that the partnership arranges indemnity insurance as appropriate, details of which should be provided to the council's insurance officer.

Professional or trustee indemnity insurance will not always be appropriate. The cost of such insurance could be prohibitive for smaller groups with only a small income and no employees. In this case, a risk assessment should be carried out to ensure that financial systems are in place to prevent financial or legal difficulties.



## General

Elected members must report any change in personal circumstances which may create a new or perceived conflict of interest. Elected members must also discuss with the partnership any new issues concerning potential conflicts of interest or issues which impact on their role as an elected member for Norwich City Council – changes to the aims, constitution or position of the partnership that could be contrary to the public or the council's interest. Elected members may need to declare their involvement in the partnership on the register of interests. If in doubt, advice should be sought from the monitoring officer.

Elected members must also remember that if they act as a trustee of a charitable partnership or body, their first duty is to the charity. However elected members must also remember that, when working within a partnership, they remain elected members of Norwich City Council and are still bound by the relevant codes of conduct in the city council's constitution. They should actively encourage the partnership to follow similar practices and procedures and must immediately report to their group leader and the chief executive if they feel that the partnership is not acting in a manner acceptable to the council or in the public interest.



## 2. Protocol for officers

### Introduction

This protocol should be read and followed when working as part of a partnership, either directly representing the council, in an advisory capacity or as part of an interest group.

Any issues in this protocol which are not clear or require clarification on should be discussed with your line manager or with the monitoring officer before any involvement with outside bodies is accepted.

### Personal responsibility of officers

Officers must bear in mind that acceptance of a role as a charity trustee or company director (even if accepted as part of your work for the council) is a personal responsibility personal to you. There will be responsibilities to the Charity Commission, and under company law, which must be fulfilled.

### Protocol

The council supports the activities of partnership working and recognises the benefits to the community, but wishes to ensure that the officer and the council are not exposed to any unidentified and unexpected risk and liabilities.

### Authority to become involved with a partnership

Any officer who is approached or wishes to become involved in a partnership should discuss the matter and extent of their involvement with their line manager. The manager may want to discuss the partnership with their head of service or with the monitoring officer before any involvement with outside bodies is accepted, if the officer is unsure about potential liabilities.

The officer must receive approval, in writing, from their line manager (but sanctioned by the director) before accepting any position on the partnership. All appointments to significant partnerships will require CMT and executive approval.

It is the responsibility of the line manager, while discussing the officer's involvement with the partnership, to be clear as to the role and whether the officer approached is the most appropriate representative. Once the appropriate officer has been identified, then the manager should establish what, if any, additional support and training is required. The line manager is responsible for arranging this training and support.

### **Notification to directors, legal and finance**

Following CMT's appointment of an officer to a partnership, there will be an ongoing requirement for the officer to ensure that the director is aware of the council's involvement in that partnership and also to inform the partnerships manager.

Officers may need to declare their involvement in the partnership on the register of interests and seek advice from the monitoring officer.

### **Prohibition on signing contracts without legal advice**

Officers working for a partnership must not sign any contracts or legally binding documentation on behalf of the partnership unless written confirmation of legal advice confirming acceptability is provided.

### **Provision of financial, technical or legal advice**

An officer can only provide financial, technical, legal or other advice to a partnership via the appropriate qualified council officer, eg head of legal services. A written copy of the advice should be made and a copy provided to their line manager. Failure to follow this process could result in indemnity to the individual being null and void.

If the implications to the partnership of not following the advice could lead to an illegal act, health and safety issues, financial implications or other serious implications not in the partnership/public/council's interest, then this should be made clear to the partnership when the advice is given and a written note provided. A copy of this should be provided to the line manager.

Should it be clear to the officer that actions of the partnership contravene the advice given or require scrutiny, then it is the responsibility of the officer to raise this both within the management structure of the partnership and with the monitoring officer at Norwich City Council.

It is the responsibility of the head of finance, when they are informed of the establishment of the council's involvement in a partnership, to raise appropriate issues such as budgetary control and financial monitoring procedures and whether there are any VAT implications. Any commitment made to the partnership to provide financial advice and support must be made after approval from the financial controller.

### **General**

Council officers must report any changes in personal circumstances which may create a new or perceived conflict of interest. If in doubt, advice should be sought from the monitoring officer.

Council officers must also remember that, if they act as a trustee of a charitable partnership or body, their first duty is to the charity and regard must always be given to whether there is a conflict of interests. However, when working within a partnership, they remain officers of Norwich City Council and are still bound by the relevant codes of conduct in the city council's constitution. They should actively encourage the partnership to follow similar practices and procedures and must immediately report to their manager and if necessary the monitoring officer if they feel that the partnership is not acting in a manner acceptable to the council or in the public interest.



## Appendix 3

### Partnership checklist

#### NEW PARTNERSHIPS

Is the working arrangement a partnership under the definition?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Has a business case (form a) been completed?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Have all risks been appropriately addressed using the Risk assessment and Risk action plan? (forms b and c)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Has Partnership registration form (form d) been completed?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Has the Significance score card (form e) been completed?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Has approval been granted by the director or where applicable CMT and/or Executive to form or join the partnership?	<input type="checkbox"/> Yes	<input type="checkbox"/> No

If the answer to all of the above is YES then the lead officer can proceed with joining the partnership.

#### NEWLY FORMED PARTNERSHIPS

Are governance arrangements in place?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
If necessary has a DIA test of relevance been carried out for the functions and policies and a timetable put in place?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Has the council's anti fraud strategy and whistleblowing policy been shared with all partners?	<input type="checkbox"/> Yes	<input type="checkbox"/> No

#### EXISTING PARTNERSHIPS

The annual review of partnerships will require the lead officer to carry out the following officer (some elements may not be applicable):

- Review and update the *Significance score card (form e)*
- Review, evaluate and update the existing *Risk assessment (form b)* and *Risk action plan (form c)*
- Review and update the *Partnership assessment form (form j)*
- Review and update the partnership governance arrangements
- Review the timetable for DIAs

All of the above should be sent to the partnerships manager.

## References

### Reference 1: Partnerships register

<\\Sfil2\Shared Folders\Management\Partnership and agency working\Corporate Governance Framework for Partnerships\Guidance and toolkit\Partnerships register.xls>

### Reference 2: Risk management strategy

<\\Sfil2\Shared Folders\Management\Partnership and agency working\Corporate Governance Framework for Partnerships\Guidance and toolkit\Supporting Document\Risk Management Strategy 020107.doc>

### Reference 3: Corporate priorities 2008/09

<\\Sfil2\Shared Folders\Management\Partnership and agency working\Corporate Governance Framework for Partnerships\Guidance and toolkit\Supporting Document\Corporate Priorities 2008.doc>

### Reference 4: Example severity levels

<\\Sfil2\Shared Folders\Management\Partnership and agency working\Corporate Governance Framework for Partnerships\Guidance and toolkit\Supporting Document\Example severity levels.doc>

### Reference 5: Key strategic risks

<\\Sfil2\Shared Folders\Management\Partnership and agency working\Corporate Governance Framework for Partnerships\Guidance and toolkit\Supporting Document\Key Strategic Risks (2008).doc>

### Reference 6: Test for relevance guidance

<\\Sfil2\Shared Folders\Management\Partnership and agency working\Corporate Governance Framework for Partnerships\Guidance and toolkit\Supporting Document\Test for Relevance Guidance.doc>

### Reference 7: Diversity impact assessment guidance notes

<\\Sfil2\Shared Folders\Management\Partnership and agency working\Corporate Governance Framework for Partnerships\Guidance and toolkit\Supporting Document\Norwich DIA Guidance-0208 Final.doc>

### NB.

For officers the *Corporate governance framework and toolkit for working in partnership* can be located electronically together with all the forms from the toolkit on e-grapevine using the following path: 'work aids', 'policies and procedures' then 'partnership working'.

For elected members the *Corporate governance framework and toolkit for working in partnership* can be located electronically on 'E-Clir' using the following path: 'information' then 'partnership working'

Corporate governance framework and toolkit for working in partnerships



**NORWICH**  
City Council