

## Report for Information

**Report to** Audit Committee  
26 March 2009

**Item**  
**6**

**Report of** Head of Finance

**Subject** Progress on Annual Governance Statement 2008/09

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### Purpose

To give Members an early indication of the contents of the annual governance statement for 2008/09 and the supporting evidence.

### Recommendations

To:-

- (1) note the report;
- (2) review progress to date on the annual governance statement for 2008/09 and the significant issues within it.

### Financial Consequences

The financial consequences of this report are none directly, but the governance statement sets out action plans in order to support proper internal control and financial management throughout the council.

### Strategic Objective/Service Priorities

The report helps to achieve 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"

### Contact Officers

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### Background Documents

None

# Report

## Background

1. One of the requirements in the Accounts and Audit (Amendment) (England) Regulations 2006 is for the reporting of an annual governance statement (AGS) for 2008/09. The governance statement provides public assurance that the council's governance framework is adequate and effective.
2. Each local authority operates through a governance framework. It is an integrated system that brings together an underlying set of legislative requirements, governance principles and management processes.
3. In 2001 CIPFA and SOLACE produced a framework of good governance for use in local government. The framework recommended that local authorities review their existing governance arrangements and report annually on their effectiveness in practice.
4. Using the principles in the framework the council adopted a revised code of governance in October 2008.
5. The requirement to publish an annual governance statement means that the council has to review and report on the extent to which it complies with its code of governance.
6. Following its review of the process for preparing the governance statement for 2007/08, the Audit Commission's annual governance report recommended improvements for preparing and approving the statement.
7. This report is an early opportunity for members to review the likely content and issues that will form the governance statement, plus the evidence to date which supports it.
8. The annual governance statement is published as part of the statement of accounts, and the final version will be presented to members at your meeting at the end of June 2009.

## The Annual Governance Statement

9. The early draft of the annual governance statement is shown at annex 1. It includes all the significant issues that are likely to be included in the final version, for which more detail will be added as the preparation progresses.
10. Annex 2 shows the evidence that has been compiled so far to support the review of governance arrangements. Much of the evidence that was gathered for last year can again be used to support this year's statement. The first two columns repeat the wording in the council's code of governance. The third column is CIPFA/SOLACE's suggestions for supporting evidence (these have been taken from section 5 of the guidance document which accompanies the framework). The fourth column shows which documents have been used to support our compliance with the code.

11. In some cases the evidence is still being updated, and in these cases they are highlighted or commented. There is still some work to do to ensure that there is robust evidence that satisfies the Audit Commission's requirements.
12. One issue for members that needs to be resolved is that much of the evidence is in the form of links to electronic versions of the documents which may be on the council's web site or intranet, or held in the internal shared folder system (which members and auditors cannot access).
13. As an interim measure if there are any documents which individual members wish to review please contact the above officers who will arrange for them to be made available.

### **The Annual Review of Effectiveness of Governance**

14. The framework requires that the council should undertake regular, at least annual, reviews of its governance arrangements to ensure continuing compliance with best practice as set out in the framework. It is important that such reviews are reported on both within the council, in our case to audit committee, and externally with the published accounts, to provide assurance that:
  - Governance arrangements are adequate and operating effectively in practice, or
  - Where reviews of the arrangements have revealed gaps, action is planned that will ensure effective governance in future.
15. The Audit Commission has commented that,

“..authorities need to recognise that this is a corporate issue, affecting everyone in the organisation. It is also important to recognise that the purpose of the annual governance statement is not just to be ‘compliant’, but also to provide an accurate representation of the arrangements in place during the year and to highlight those areas where improvement is required. This will also demonstrate to stakeholders what those arrangements are.”

They go on to comment that, “As part of their use of resources assessments auditors will consider the arrangements in place to enable the preparation of the annual governance statement, including the degree to which the authority recognises the corporate ownership of its governance arrangements.”
16. CIPFA's guide to the annual governance statement recommends that at the centre of the review process will be a corporate group who are given ultimate responsibility for drafting the AGS, evaluating assurances and the supporting evidence. This group should review whether or not there is consistency with existing policies and the authority's governance framework.
17. It is intended that the council's leadership group will be fully involved in evaluating and finalising the governance statement and supporting evidence prior to its approval and inclusion in the accounts.

## **References**

CIPFA and SOLACE framework document and guidance note for 'Delivering Good Governance in Local Government'

Council 21 October 2008 – Amendments to the Constitution (which included adoption of a revised Code of Governance)

## **Draft Annual Governance Statement 2008-09**

### **Scope of responsibility**

Norwich City Council is responsible for ensuring that its business is conducted in accordance with the law and proper standards, and that public money is safeguarded and properly accounted for, and used economically, efficiently and effectively. Norwich City Council also has a duty under the Local Government Act 1999 to make arrangements to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness.

In discharging this overall responsibility, Norwich City Council is responsible for putting in place proper arrangements for the governance of its affairs, facilitating the effective exercise of its functions, and which includes arrangements for the management of risk.

In October 2008 Norwich City Council approved and adopted an updated code of governance which is consistent with the principles of the CIPFA/ SOLACE Framework *Delivering Good Governance in Local Government*. The code forms appendix 20a of the council's constitution which is on the council's website at <http://www.norwich.gov.uk>.

This statement explains how Norwich City Council has complied with the principles of the code and also meets the requirements of regulation 4(2) of the Accounts and Audit Regulations 2003 as amended by the Accounts and Audit (Amendment) (England) Regulations 2006 in relation to the publication of a statement on internal control.

### **The purpose of the governance framework**

The governance framework comprises the systems and processes, and culture and values, by which the authority is directed and controlled and its activities through which it accounts to, engages with and leads the community. It enables the authority to monitor the achievement of its strategic objectives and to consider whether those objectives have led to the delivery of appropriate, cost effective services.

The system of internal control is a significant part of that framework and is designed to manage risk to a reasonable level. It cannot eliminate all risk of failure to achieve policies, aims and objectives and can therefore only provide reasonable and not absolute assurance of effectiveness. The system of internal control is based on an ongoing process designed to identify and prioritise the risks to the achievement of Norwich City Council's policies, aims and objectives, to evaluate the likelihood of those risks being realised and the impact should they be realised, and to manage them efficiently, effectively and economically.

The governance framework at Norwich City Council is under constant review and is updated as necessary. The framework and plans for improvement are detailed in the following sections of this statement.

## The governance framework

The council's code of governance recognises that effective governance is achieved through the following core principles:

- Focusing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area.
- Members and officers working together to achieve a common purpose with clearly defined functions and roles.
- Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour.
- Taking informed and transparent decisions which are subject to effective scrutiny and managing risk.
- Developing the capacity and capability of members and officers to be effective.
- Engaging with local people and other stakeholders to ensure robust public accountability.

The following is a brief description of the key elements of the systems and processes that comprise the council's governance arrangements. The headings are taken from the CIPFA/SOLACE framework:

### Identifying and communicating the authority's vision of its purpose and intended outcomes for citizens and service users.

Norwich City Council has a clear vision of what it is trying to achieve, this is set out in the Corporate Plan 2008-10. The City of Norwich Partnership brings together a range of key public, private and voluntary organisations to decide on an overall vision and priorities for the city.

The sustainable community strategy will be delivered and monitored by the City of Norwich Partnership. The strategy sets out the vision, themes and strategic objectives that meet the priorities of the people in Norwich.

### Reviewing the authority's vision and its implications for the authority's governance arrangements.

A report was presented to executive in March 2008 which reviewed progress in 2007-08 and agreed the process for corporate planning for 2008-10.

### Measuring the quality of services for users, for ensuring they are delivered in accordance with the authority's objectives and for ensuring that they represent the best use of resources.

Performance management in the council continues to be improved with a more focussed corporate plan setting out priorities and supported by a strategic management framework. The council has performance management arrangements in place to monitor progress, specifically the performance management improvement board has taken the leading role in overseeing improvement plans, monitoring progress and initiating corrective action where performance has slipped.

Defining and documenting the roles and responsibilities of the executive, non-executive, scrutiny and officer functions, with clear delegation arrangements and protocols for effective communication.

The council's constitution sets out how the council operates, and contains separate articles and appendices covering executive, non-executive, scrutiny and officer functions. In addition, there are separate appendices covering the scheme of delegations to officers and the protocol for member/officer working arrangements.

Developing, communicating and embedding codes of conduct, defining the standards of behaviour for members and staff.

In 2007 the council adopted the new model code of conduct for local authority members, which includes the ten general principles of public life.

There is a separate code of conduct for staff which is supported by HR policies and procedures. New staff are given a copy of the code of conduct and other key policies, and there are regular reminders to staff regarding compliance with the codes.

Reviewing and updating standing orders, financial regulations, the scheme of delegation and supporting procedure notes/manuals, which clearly define how decisions are taken and the processes and controls required to manage risks.

The head of legal and democratic services (as the council's monitoring officer) is responsible for regularly reviewing and keeping up to date the council's constitution. Proposals for changes are discussed by members at the constitution working party, before being approved by executive and council if necessary.

Undertaking the core functions of an audit committee, as identified in CIPFA's Audit Committees – Practical Guidance for Local Authorities.

The council has had an audit committee since 2007, with terms of reference covering internal and external audit, risk management, accounts, corporate governance and internal control arrangements, and anti-fraud and corruption arrangements.

Ensuring compliance with relevant laws and regulations, internal policies and procedures, and that expenditure is lawful.

The monitoring officer is responsible for advising whether decisions of the executive are in accordance with the budget and policy framework.

In relation to an executive function, the monitoring officer and head of finance (as chief finance officer) have responsibility for ensuring that all proposals, decisions and actions incurring expenditure are lawful.

Managers within the council are responsible for putting in place systems of control to ensure compliance with policies, procedures, laws and regulations. Policies are subject to regular review and are available on the council intranet. Compliance is overseen by team leaders on a day-by-day basis.

Whistleblowing and for receiving and investigating complaints from the public.

The council has a whistleblowing policy which is accessible via the intranet and council website. For the public there is also a complaints procedure which can be accessed via the council website, plus an online form for reporting all types of suspected fraud, e.g. housing benefit fraud, insurance fraud.

Identifying the development needs of members and senior officers in relation to their strategic roles, supported by appropriate training.

Members:

A focus group of members, one from each political group, meets to agree members' training and development plan at the beginning of each civic year. It also reviews progress periodically.

The council has also signed up to work towards the EERA Members Development Charter and through this process will prepare personal development plans for each member.

Senior officers:

The council has implemented a leadership for managers programme which is being delivered in two ways. Firstly, there are regular seminars covering relevant subjects to which all managers and team leaders are invited. Secondly, managers have attended a 'developing manager' programme which is designed to build on existing skills and abilities.

Establishing clear channels of communication with all sections of the community and other stakeholders, ensuring accountability and encouraging open consultation.

The tenant participation compact is an agreement between the council and tenants, which includes council leaseholders. The compact sets out how the council involves tenants and leaseholders, to encourage participation in local decision-making affecting homes and communities.

The Tenants' CityWide Board is a council tenant consultation board in Norwich which aims to work with the council, tenants and leaseholders to develop tenant participation in the council's housing services. All council tenants and leaseholders regularly receive Tenant Talk magazine.

In 2007 executive approved a customer contact strategy to manage, improve and develop customer services. It includes details of how we will involve our customers in our service delivery.

The council has also developed a community engagement strategy and communications strategy.



Incorporating good governance arrangements in respect of partnerships and other group working as identified by the Audit Commission's report on the governance of partnerships and reflecting these in the authority's overall governance arrangements.

The council demonstrates a strong commitment to working in partnership with other agencies to deliver priority outcomes and ensure that this partnership activity provides value for money and added value.

All key partnerships have been identified and are included in the partnership register. A corporate governance framework and toolkit has been developed for use by all key partnerships, to ensure that effective governance and risk management arrangements are in place.

### **Strategic risk management**

Key strategic risks that may impact on the council's priorities have been identified and included in the strategic risk register. This is kept under review and updated as necessary, in conjunction with senior members and officers.

### **Review of effectiveness**

Norwich City Council has responsibility for conducting, at least annually, a review of the effectiveness of its governance framework including the system of internal control. The review of effectiveness is informed by the work of the senior managers within the authority who have responsibility for the development and maintenance of the governance environment, the work of internal audit and the audit manager's annual report, and also by comments made by the external auditors and other review agencies and inspectorates.

Some improvements which have been identified were not in place for the whole of 2008/09 therefore the benefits will not be apparent until 2009/10.

The process that has been applied in maintaining and reviewing the effectiveness of the governance framework is as follows:

#### **1. The authority and the executive**

- *The council's monitoring officer and section 151 officer have statutory responsibilities to ensure that internal control procedures are efficient and effective and are being routinely complied with to ensure legality and sound financial standing.*

The council has received professional officer advice to enable it to carry out its functions effectively and in compliance with statutory requirements. Both the monitoring officer and section 151 officer have confirmed that there were no significant issues to report.

During 2008/09 the council's code of governance, anti-fraud and corruption strategy and whistleblowing policy were all revised and are now on the council's website.

- *Provision of effective and efficient systems of financial management.*

Since the disclaimed audit opinion on the 2006/07 accounts and the two statutory recommendations (see later section on Audit Commission audits and inspections), the Council has continued to implement its finance improvement plan, and progress against the plan was reported to the audit committee in January 2008. This review concluded that the steps shown below had contributed to the objectives of improving the council's financial management, financial standing and internal control. However, the review also found that further improvements were required in order to meet minimum standards.

The council has made significant investment into improving its financial systems and standing over the last two years. During this time we have:

- Overhauled our financial systems
- Appointed a new head of finance
- Successfully implemented a new financial coding system
- Introduced a financial closedown programme that meant we were able to submit our accounts for 2006/7 within the statutory deadline
- Developed a medium term financial strategy
- Developed a risk management strategy
- Restructured the finance team and recruited new staff
- Produced a robust and balanced budget for 2007/8 which includes £1.4 million of efficiency savings investment in frontline services, and a significantly strengthened reserves position.

Insurance policies and funds are in place and are regularly reviewed at least annually to ensure the Council is adequately safeguarded.

- *Risk management policies and procedures are in place to ensure that the risks facing the council in achieving its objectives are evaluated, regularly reviewed and mitigation strategies developed.*

The council's risk management strategy was approved by executive in 2007. The council has taken a number of steps to improve its risk management and now has well embedded processes at strategic, service and project levels.

The council has a strategic risk register which has been reviewed and updated by corporate management team and reviewed by audit committee. This will be an annual process.

Operational risks are reviewed annually as part of the service and financial planning process and are included in service plans which are reviewed by executive and scrutiny committee.

All significant projects have risk registers which are regularly reviewed by the project management team as the project progresses.

- *Delivery of services by trained, skilled and experienced staff.*

The council has a staff appraisal scheme, the purpose of which is to provide a clear link between the aims and objectives of the council and the contribution that is expected from every member of staff. HR monitors progress on individuals' appraisals and issues reminders to managers where these are overdue.

- *Performance and financial monitoring processes are in place to measure progress against objectives and provide for remedial action where necessary.*

Regular performance monitoring reports are presented to scrutiny committee and executive – executive also receive regular budget monitoring reports.

The performance monitoring reports are very comprehensive, covering council priorities, performance indicators, service plan priorities, the aiming for excellence programme, CityCare and Steria contracts, and audit inspection recommendations.

One of the results of the delivery of the Norwich improvement plan has been the launch of the aiming for excellence programme. A performance management and improvement board has been set up and is monitoring nearly 50 areas of activity, with improvement plans being delivered for some services.

## **2. The scrutiny committee and audit committee**

The council has agreed that the overview and scrutiny function should be exercised by the scrutiny committee. Procedure rules and terms of reference include the general remit to maintain an overview of the discharge of the council's executive functions, the right to review council policies, and to consider service plans.

The council has an audit committee with terms of reference which cover internal and external audit matters, risk management, internal control arrangements including the governance statement, anti-fraud and corruption arrangements, corporate governance, and accounts. The audit committee usually meets quarterly. Training for members was provided by an external supplier in June 2008.

## **3. The standards committee**

The council has appointed a standards committee with terms of reference to promote and maintain high standards of conduct by members and co-opted members of the council and to assist members and co-opted members to observe the council's code of conduct.

## **4. Internal audit**

Internal audit is an assurance function that provides an independent and objective opinion to the council on the control environment. The objectives of internal audit have been set out in terms of reference which have been approved by the audit committee.

The audit manager's annual report to the audit committee includes an opinion on the overall adequacy and effectiveness of the council's control environment.

## **5. Other explicit review/assurance mechanisms**

### **Audit Commission audit and inspections:**

#### **a) Annual Governance Report from 2007/08 audit**

This was reported to Audit Committee 29 January 2009. There is a large number of issues which need to be addressed, and these will be summarised in the final version of this statement.

#### **b) Use of resources assessment**

For the purposes of the comprehensive performance assessment the Audit Commission has assessed the council's arrangements for use of resources in the five areas as follows:

<b>Element</b>	<b>2007 Assessment</b>	<b>2008 Assessment</b>
Financial reporting	1	1
Financial management	1	1
Financial standing	1	2
Internal control	1	2
Value for money	2	2
<b>Overall assessment of the Audit Commission</b>	<b>1</b>	<b>2</b>

*(Note: 1 = lowest, 4 = highest)*

#### **c) Regularity Report**

This has just been received, and will be summarised in the final version of this statement.

#### **d) Service Inspection – Planning Service**

The inspection found that the planning service was “fair” with uncertain prospects for improvement. The main findings will be summarised in the final version of this statement.

#### **e) Service Inspection – Landlord Services**

The findings from this inspection are still awaited but will be summarised in the final version of this statement.

## **Significant governance issues**

The following is an outline of the emerging significant issues, for which details will be included in the final version of this statement, together with the actions taken, or proposed, to deal with the issues:

- **Unitary status bid**

Decision delayed. Whichever way the decision goes there will be significant issues for the council to address.

- **Greyhound Opening**

This was a well-publicised breakdown in the council's governance arrangements. The circumstances have been investigated and an action plan in response to the findings has been reported to members.

- **Internal Audit**

The Audit Commission has commented on the diversion of internal audit resources to non-audit work, and the subsequent impact on the internal audit plan, which was not achieved in 2007/08. Steps were taken in 2008/09 to address this ongoing problem, and the latest position will be reported in the final version of this statement.

- **NELM**

Considerable work is still in progress to satisfy the requirements of the Audit Commission in order that it can certify several years' grant claims. The latest position will be reported in the final version of this statement.

- **International Financial Reporting Standard (IFRS)**

This is a significant issue for the way in which the council prepares and presents its accounts, which will impact on the 2009/10 accounts. Details of how the council is preparing for this major change will be summarised in the final version of this statement.

- **Progress on action plan from previous governance statement**

Details of actions taken to address the significant issues from the previous governance statement will be included in the final version.

**Statement by Leader and Chief Executive**

We propose over the coming year to take steps to address the above matters to further enhance our governance arrangements. We are satisfied that these steps will address the need for improvements that were identified in our review of effectiveness and will monitor their implementation and operation as part of our next annual review.

Signed: .....

Leading Member

Signed: .....

Chief Executive

on behalf of Norwich City Council.

## Annual Governance Statement 2008/09 - Evidence

### 1. FOCUSING ON THE PURPOSE OF THE COUNCIL AND ON OUTCOMES FOR THE LOCAL COMMUNITY AND CREATING AND IMPLEMENTING A VISION FOR THE LOCAL AREA

Supporting principles	The code should reflect the requirement for local authorities to:	Source documents/good practice/other means that may be used to demonstrate compliance	Evidence
<ul style="list-style-type: none"> <li>Exercising strategic leadership by developing and clearly communicating the Council's purpose and vision and its intended outcome for citizens and service users</li> </ul>	<ul style="list-style-type: none"> <li>develop and promote the council's purpose and vision</li> </ul>	<ul style="list-style-type: none"> <li>used as a basis for:               <ul style="list-style-type: none"> <li>corporate and service planning</li> <li>shaping the community strategy</li> <li>local area or performance agreements</li> </ul> </li> </ul>	<a href="#">'Norfolk Action' local area agreement (countywide strategy)</a>  <a href="#">'A New Vision for Norwich' (the sustainable community strategy)</a>  <a href="#">City of Norwich Partnership (CoNP) (statutory local strategic partnership)</a>  <a href="#">CoNP Delivery Board</a>  <a href="#">Norwich City Council's Corporate Plan 2008-10</a>
	<ul style="list-style-type: none"> <li>review on a regular basis the council's vision for the local area and it's impact on the council's governance arrangements</li> </ul>	<ul style="list-style-type: none"> <li>review process</li> <li>governance code</li> </ul>	Last year's report to Executive in March 08: <a href="#">Review of Corporate Plan 2007-08 and Corporate Planning 2008-9 and 2009-10</a>  <a href="#">Report to Council 21 Oct 08 adopting revised Code of Governance</a>
	<ul style="list-style-type: none"> <li>ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all parties</li> </ul>	<ul style="list-style-type: none"> <li>partnership protocol</li> <li>governance code</li> </ul>	<a href="#">Report to Executive 29 Oct 08 - Corporate governance framework for partnership working</a>  Will be a standing item on DMT and managers' briefings in future  <a href="#">Sustainable Community Strategy Constitution - Appendix 20A - Code of Governance</a> (includes governance in relation to partnership working)
	<ul style="list-style-type: none"> <li>publish an annual report on a timely basis to communicate the council's activities and achievements, its financial position and performance</li> </ul>	<ul style="list-style-type: none"> <li>annual financial statements</li> <li>annual business plan</li> </ul>	

Supporting principles	The code should reflect the requirement for local authorities to:	Source documents/good practice/other means that may be used to demonstrate compliance	Evidence
<ul style="list-style-type: none"> <li>Ensuring that users receive a high quality of service whether directly, or in partnership, or by commissioning</li> </ul>	<ul style="list-style-type: none"> <li>decide how the quality of service for users is to be measured and make sure that the information needed to review service quality effectively and regularly is available</li> </ul>	<ul style="list-style-type: none"> <li>this information is reflected in the council's:               <ul style="list-style-type: none"> <li>- corporate plan</li> <li>- annual business plan</li> <li>- medium-term financial strategy</li> <li>- resourcing plan</li> </ul>               in order to ensure improvement             </li> </ul>	<a href="#">Corporate Plan 2008-10</a>  <a href="#">Executive July 07: Medium Term Financial Strategy 2007/08 - 2011/12</a> – under continuous review,  <a href="#">People Strategy</a>
	<ul style="list-style-type: none"> <li>put in place effective arrangements to identify and deal with failure in service delivery</li> </ul>	<ul style="list-style-type: none"> <li>complaints procedure</li> </ul>	<a href="#">Council services: comments, compliments and complaints</a>
<ul style="list-style-type: none"> <li>Ensuring that the council makes best use of resources and that tax payers and service users receive excellent value for money</li> </ul>	<ul style="list-style-type: none"> <li>decide how value for money is to be measured and make sure that the council or partnership has the information needed to review value for money and performance effectively. Measure the environmental impact of policies, plans and decisions</li> </ul>	<ul style="list-style-type: none"> <li>the results are reflected in council's performance plans and in reviewing the work of the council</li> </ul>	<ul style="list-style-type: none"> <li>- PMIB</li> <li>- Performance reports</li> <li>- Aiming for excellence</li> <li>- UoR – VFM</li> <li>- AES: During 2007/08 the Council has continued to implement its Star Chamber process in order to allocate resources in support of corporate priorities and improve value for money, as well as strengthening its procurement function to maximise procurement efficiencies.</li> <li>- <a href="#">Environmental Strategy</a></li> <li>- <a href="#">Supplementary planning document - Energy Efficiency</a></li> <li>- <a href="#">Private Sector Renewals Strategy - section 6: Affordable Warmth and Energy Efficiency</a></li> </ul>



## 2. MEMBERS AND OFFICERS WORKING TOGETHER TO ACHIEVE A COMMON PURPOSE WITH CLEARLY DEFINED FUNCTIONS AND ROLES

Supporting principles	The code should reflect the requirement for local authorities to:	Source documents/good practice/other means that may be used to demonstrate compliance	Evidence
<ul style="list-style-type: none"> <li>Ensuring effective leadership throughout the council and being clear about executive and non-executive functions and of the roles and responsibilities of the scrutiny function</li> </ul>	<ul style="list-style-type: none"> <li>set out clear statement of the respective roles and responsibilities of the executive and of the executive's members individually and the council's approach towards putting this into practice</li> </ul>	<ul style="list-style-type: none"> <li>constitution</li> <li>record of decisions and supporting materials</li> </ul>	<p><a href="#">Constitution</a> Particularly Articles 7 (The Executive) &amp; 13 (Decision Making)</p> <p>Agendas, reports and minutes are available on the council website. Signed minute books are held in legal and democratic services. Appendix 7 of the constitution (Access to Information Procedure Rules) states that reports and minutes will be made available to the public for six years after a meeting.</p>
	<ul style="list-style-type: none"> <li>set out a clear statement of the respective roles and responsibilities of other council members, members generally and senior officers</li> </ul>	<ul style="list-style-type: none"> <li>constitution</li> </ul>	<p><a href="#">Constitution</a> Particularly Articles 2 (Members of the Council) &amp; 12 (Officers)</p>
<ul style="list-style-type: none"> <li>Ensuring that a constructive working relationship exists between council members and officers and that the responsibilities of members and officers are carried out to a high standard</li> </ul>	<ul style="list-style-type: none"> <li>determine a scheme of delegation and reserve powers within the constitution, including a formal schedule of those matters specifically reserved for collective decision of the council, taking account of relevant legislation, and ensure that it is monitored and updated when required</li> </ul>	<ul style="list-style-type: none"> <li>constitution</li> </ul>	<p><a href="#">Constitution</a> Particularly Articles 4 (The Council) and 13 (Decision Making), and Appendix 3 (Powers Reserved to the Council)</p> <p><a href="#">Constitution</a> Appendix 8 (Scheme of Delegations to Officers)</p>

Supporting principles	The code should reflect the requirement for local authorities to:	Source documents/good practice/other means that may be used to demonstrate compliance	Evidence
	<ul style="list-style-type: none"> <li>make a chief executive or equivalent responsible and accountable to the council for all aspects of operational management</li> </ul>	<ul style="list-style-type: none"> <li>conditions of employment</li> <li>scheme of delegation</li> <li>job descriptions/specification</li> <li>performance management system</li> </ul>	<p>See Local Govt. &amp; Housing Act 1989, Section 4 (on file). Plus <a href="#">Constitution</a> Article 12 (Officers), Appendix 9 (Statutory and Proper Officer Appointments)</p> <p><a href="#">Constitution</a> Appendix 8 (Scheme of Delegations to Officers)</p> <p><a href="#">Job description and person spec</a></p>
	<ul style="list-style-type: none"> <li>develop protocols to ensure that the leader and chief executive (or equivalents) negotiate their respective roles early in the relationship and that a shared understanding of roles and objectives is maintained</li> </ul>	<ul style="list-style-type: none"> <li>new chief executive and leader pairing consider how best to establish and maintain effective communication</li> </ul>	<p>Regular 1:1's Meeting day after the election</p> <p><a href="#">Constitution</a> Appendix 15 (Protocol for Member/Officer Working Arrangements)</p>
	<ul style="list-style-type: none"> <li>make a senior officer (the S151 officer) responsible to the council for ensuring that appropriate advice is given on all financial matters, for keeping proper financial records and accounts, and for maintaining an effective system of internal financial control</li> </ul>	<ul style="list-style-type: none"> <li>section 151 responsibilities</li> <li>statutory provision</li> <li>statutory reports</li> <li>budget documentation</li> <li>job description/specification</li> </ul>	<p>Local Govt. Act 1972, Section 151. Plus <a href="#">Constitution</a> Article 12 (Officers), Appendix 9 (Statutory and Proper Officer Appointments) &amp; Appendix 10 (Financial Regulations)</p> <p><a href="#">Executive July 07: Medium Term Financial Strategy 2007/08 - 2011/12</a></p> <p><a href="#">Council meeting Feb 09 - Budget, Capital Strategy, Capital Programme, HRA</a></p> <p><a href="#">Job description and person spec</a></p>
	<ul style="list-style-type: none"> <li>make a senior officer (usually the monitoring officer) responsible to the council for ensuring that agreed procedures are followed and that all applicable statutes and regulations are complied with</li> </ul>	<ul style="list-style-type: none"> <li>monitoring officer provisions</li> <li>statutory provision</li> <li>job description/specification</li> </ul>	<p>See Local Govt. &amp; Housing Act 1989, Section 5 (on file). Plus <a href="#">Constitution</a> Article 12 &amp; Appendix 9 &amp; 10A</p> <p><a href="#">Job description and person spec</a></p>

Supporting principles	The code should reflect the requirement for local authorities to:	Source documents/good practice/other means that may be used to demonstrate compliance	Evidence
<ul style="list-style-type: none"> <li>Ensuring relationships between the council, its partners and the public are clear so that each knows what to expect of the other</li> </ul>	<ul style="list-style-type: none"> <li>develop protocols to ensure effective communication between members and officers in their respective roles</li> </ul>	<ul style="list-style-type: none"> <li>member/officer protocol</li> </ul>	<a href="#">Constitution</a> Appendix 15 (Protocol for Member/Officer Working Arrangements)
	<ul style="list-style-type: none"> <li>set out the terms and conditions for remuneration of members and officers and an effective structure for managing the process, including an effective remuneration panel (if applicable)</li> </ul>	<ul style="list-style-type: none"> <li>pay and conditions policies and practices</li> </ul>	<p>Members: The Local Authorities (Members' Allowances) (England) Regulations, 2003</p> <p><a href="#">Constitution</a> Appendix 16 (Members' Allowance Scheme)</p> <p>Independent panel reviews and reports to Council. Scheme amended in June 07: <a href="#">Members Allowances Scheme</a></p> <p>Officers: NJC National Agreement on Pay &amp; Conditions of Service (the "Green Book") together with Local Agreements.</p>
	<ul style="list-style-type: none"> <li>ensure that effective mechanisms exist to monitor service delivery</li> </ul>	<ul style="list-style-type: none"> <li>performance management system</li> </ul>	<p>PMIB</p> <p>Quarterly performance monitoring</p>
	<ul style="list-style-type: none"> <li>ensure that the organisation's vision, strategic plans, priorities and targets are developed through robust mechanisms, and in consultation with the local community and other key stakeholders, and they are clearly articulated and disseminated</li> </ul>	<ul style="list-style-type: none"> <li>vision</li> <li>strategy</li> <li>corporate plans</li> <li>budgets</li> <li>performance plan/regime</li> </ul>	<p>Public budget consultation meetings 28 &amp; 30 Jan 2009 – publicised on web site.</p> <p><a href="#">Public budget consultation document 2009/10</a></p> <p><a href="#">List of members of CoNP</a> drawn from a wide spectrum of public, private and voluntary organisations. Members of the public can also subscribe to a web service which alerts them to new Strategic and Delivery Board meetings, reports and minutes.</p> <p><a href="#">CoNP Communications Strategy 2008</a></p> <p><a href="#">Norwich Tenants' CityWide Board and new Tenant Participation Compact</a> sets out how the council involves tenants and leaseholders. Plus Tenant Talk magazine.</p>

Supporting principles	The code should reflect the requirement for local authorities to:	Source documents/good practice/other means that may be used to demonstrate compliance	Evidence
			<a href="#">City Council consultations page on website</a>  <a href="#">Citizen magazine</a>  <a href="#">Customer Contact Strategy</a> <a href="#">Draft Community Engagement Strategy</a>  <a href="#">Communications strategy 2007-2010</a>
	<ul style="list-style-type: none"> <li>when working in partnership ensure that members are clear about their roles and responsibilities both individually and collectively in relation to the partnership and to the council</li> <li>when working in partnership:               <ul style="list-style-type: none"> <li>- ensure that there is clarity about the legal status of the partnership</li> <li>- ensure that representatives of organisations both understand and make clear to all other partners the extent of their authority to bind their organisations to partnership decisions</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>protocols for partnership working. For each significant partnership there is:               <ul style="list-style-type: none"> <li>- a clear statement of the partnership principles and objectives</li> <li>- clarity of each partner's role within the partnership</li> <li>- definition of roles of partnership board members</li> <li>- line management responsibilities for staff who support the partnership</li> <li>- a statement of funding sources for joint projects and clear accountability for proper financial administration</li> <li>- a protocol for dispute resolution with the partnership</li> </ul> </li> </ul> <p>N.B. From special report <i>Local Partnerships and Citizen Redress</i>, <i>Local Government Ombudsman (2007)</i></p>	<a href="#">Report to Executive 29 Oct 08 - Corporate governance framework for partnership working</a>  Should be covered in the assessment forms for each significant partnership

### 3. PROMOTING VALUES FOR THE COUNCIL AND DEMONSTRATING THE VALUES OF GOOD GOVERNANCE THROUGH UPHOLDING HIGH STANDARDS OF CONDUCT AND BEHAVIOUR

Supporting principles	The code should reflect the requirement for local authorities to:	Source documents/good practice/other means that may be used to demonstrate compliance	Evidence
<ul style="list-style-type: none"> <li>Ensuring council members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance</li> </ul>	<ul style="list-style-type: none"> <li>ensure that the council's leadership sets a tone for the organisation by creating a climate of openness, support and respect</li> </ul>		<p>The council is committed to ensuring the highest standards of conduct from staff and members. It has formally adopted the seven Nolan principles of standards in public life, and this is reflected in codes of conduct, the anti-fraud &amp; corruption strategy, the code of governance and the CoNP Governance Framework.</p> <p><a href="#">Annual Report of Monitoring Officer</a> to Standards Cttee –</p>
	<ul style="list-style-type: none"> <li>ensure that standards of conduct and personal behaviour expected of members and staff, of work between members and staff and between the council, its partners and the community are defined and communicated through codes of conduct and protocols</li> </ul>	<ul style="list-style-type: none"> <li>members'/officers' codes of conduct</li> <li>performance management system</li> <li>performance appraisal</li> <li>complaints procedures</li> <li>anti-fraud and –corruption policy</li> <li>member/officer protocols</li> </ul>	<p><a href="#">Constitution</a> Appendix 13 (Members' Code of Conduct)</p> <p><a href="#">Constitution</a> Appendix 14 (Officers' Code of Conduct)</p> <p><a href="#">Appraisal System</a> &amp; <a href="#">Capability Procedure</a></p> <p><a href="#">Council services: comments, compliments and complaints</a></p> <p><a href="#">Anti_Fraud and Corruption strategy</a></p> <p><a href="#">Constitution</a> Appendix 15 (Protocol for Member/Officer Working Arrangements)</p> <p><a href="#">CoNP Governance Framework and Members' Handbook</a></p>
	<ul style="list-style-type: none"> <li>put in place arrangements to ensure that members and employees of the council are not influenced by prejudice,</li> </ul>	<ul style="list-style-type: none"> <li>standing orders</li> </ul>	<p><a href="#">Constitution</a> Appendix 11 (Standing Orders Relating to Contracts)</p>

Supporting principles	The code should reflect the requirement for local authorities to:	Source documents/good practice/other means that may be used to demonstrate compliance	Evidence
	bias or conflicts of interest in dealing with different stakeholders and put in place appropriate processes to ensure that they continue to operate in practice	<ul style="list-style-type: none"> <li>codes of conduct</li> <li>financial regulations</li> <li>procurement strategy</li> </ul>	<a href="#">Constitution</a> Appendix 13 (Members' Code of Conduct) <a href="#">Constitution</a> Appendix 14 (Officers' Code of Conduct) <a href="#">Constitution</a> Appendix 10 (Financial Regulations) <a href="#">Procurement Strategy</a>
<ul style="list-style-type: none"> <li>Ensuring that organisational values are put into practice and are effective</li> </ul>	<ul style="list-style-type: none"> <li>develop and maintain shared values including leadership values for both the organisation and staff reflecting public expectations and communicate those with members, staff, the community and partners</li> </ul>	<ul style="list-style-type: none"> <li>codes of conduct</li> <li>code of governance</li> </ul>	<a href="#">Constitution</a> Appendix 13 (Members' Code of Conduct) <a href="#">Constitution</a> Appendix 14 (Officers' Code of Conduct) <a href="#">Constitution</a> - Appendix 20a (Code of Governance).
	<ul style="list-style-type: none"> <li>put in place arrangements to ensure that systems and processes are designed in conformity with appropriate ethical standards, and monitor their continuing effectiveness in practice</li> </ul>	<ul style="list-style-type: none"> <li>codes of conduct</li> <li>Procurement Strategy</li> </ul>	<a href="#">Constitution</a> App 13 (Members' Code of Conduct) <a href="#">Constitution</a> App 14 (Officers' Code of Conduct) <a href="#">Annual Report of Monitoring Officer</a> to Standards Committee July 2008 <a href="#">Procurement Strategy</a> Ethics is a key element of procurement – see introduction to the Procurement Strategy and elsewhere in the document
	<ul style="list-style-type: none"> <li>develop and maintain an effective standards committee</li> </ul>	<ul style="list-style-type: none"> <li>terms of reference</li> <li>regular reporting to the council</li> </ul>	<a href="#">Constitution</a> Appendix 4 (Terms of Reference of Committees) Example: <a href="#">Standards Committee meeting July 2008</a> .
	<ul style="list-style-type: none"> <li>use the organisation's shared values to act as a guide for decision making and as a basis for developing positive and trusting relationships within the council</li> </ul>	<ul style="list-style-type: none"> <li>decision-making practices</li> </ul>	<a href="#">Constitution</a> Articles 3 (The Public and the Council), 4 (The Council) & 13 (Decision Making) plus Appendix 3 (Powers Reserved to the Council) & 7 (Access to Information Procedure Rules)

Supporting principles	The code should reflect the requirement for local authorities to:	Source documents/good practice/other means that may be used to demonstrate compliance	Evidence
	<ul style="list-style-type: none"> <li>in pursuing the vision of a partnership, agree a set of values against which decision making and actions can be judged. Such values must be demonstrated by partners' behaviour both individually and collectively</li> </ul>	<ul style="list-style-type: none"> <li>protocols for partnership working</li> </ul>	<a href="#">Report to Executive 29 Oct 08 - Corporate governance framework for partnership working</a>  <a href="#">CoNP Governance Framework and Members' Handbook</a>

#### 4. TAKING INFORMED AND TRANSPARENT DECISIONS WHICH ARE SUBJECT TO EFFECTIVE SCRUTINY AND MANAGING RISK

Supporting principles	The local code should reflect the requirement for local authorities to:	Source documents/good practice/other means that may be used to demonstrate compliance	Evidence
<ul style="list-style-type: none"> <li>Being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny</li> </ul>	<ul style="list-style-type: none"> <li>develop and maintain an effective scrutiny function which encourages constructive challenge and enhances the council's performance overall and that of any organisation for which it is responsible</li> </ul>	<ul style="list-style-type: none"> <li>scrutiny is supported by robust evidence and data analysis</li> </ul>	<a href="#">Constitution</a> Article 6 (Overview and Scrutiny Committees) & App 6 (Scrutiny Procedure Rules)  Scrutiny consideration of budget papers and service plans 12 Feb 09: <a href="#">Budget Reports</a>  Work planning process reviewed 11/9/08: <a href="#">Scrutiny Work Programme</a>
	<ul style="list-style-type: none"> <li>develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based</li> </ul>	<ul style="list-style-type: none"> <li>decision-making protocols record of decisions and supporting materials</li> </ul>	<a href="#">Constitution Article 13 - Decision Making</a> and <a href="#">Constitution App 1 - Council &amp; Committee procedure rules</a> Agendas, reports and minutes are available on the council website. Signed minute books are held in legal and democratic services. <a href="#">Appendix 7</a> of the constitution states that reports and minutes will be made available to the public for six years after a meeting.
	<ul style="list-style-type: none"> <li>put in place arrangements to safeguard members and employees against conflicts of interest and put in place appropriate processes to ensure that they continue to operate in practice</li> </ul>	<ul style="list-style-type: none"> <li>members' code of conduct</li> </ul>	Members code of conduct: <a href="#">Constitution</a> App 13. Officers code of conduct: <a href="#">Constitution</a> App 14. Declarations of interests at the start of all committee meetings.  Forms to register interests and gifts and hospitality for staff available on intranet and filed

Supporting principles	The local code should reflect the requirement for local authorities to:	Source documents/good practice/other means that may be used to demonstrate compliance	Evidence
			<p>in legal services.</p> <p>Related party transaction declarations compared with registers of interests and included in statement of accounts.</p> <p>Regular reminders in Inner City, eg June 2008.</p> <p>Need confirmation from all staff that code of conduct has been read</p>
	<ul style="list-style-type: none"> <li>develop and maintain an effective audit committee (or equivalent) which is independent of the executive and scrutiny functions or make other appropriate arrangements for the discharge of the functions of such a committee</li> </ul>	<ul style="list-style-type: none"> <li>terms of reference &amp; membership</li> <li>training for committee members</li> </ul>	<p><a href="#">Constitution Article 17 Audit Committee</a></p> <p>IPF Training, 9 June 08. See electronic evidence folder for details</p>
	<ul style="list-style-type: none"> <li>ensure that effective, transparent and accessible arrangements are in place for dealing with complaints</li> </ul>	<ul style="list-style-type: none"> <li>complaints procedure</li> <li>arrangements for complaints against councillors</li> </ul>	<p><a href="#">Council services: comments, compliments and complaints</a></p> <p>Report to Standards Committee 21 July 2008: <a href="#">Local Assessment of Complaints Against Councillors</a></p>
<ul style="list-style-type: none"> <li>Having good quality information, advice and support to ensure that services are delivered effectively and are what the community wants/needs</li> </ul>	<ul style="list-style-type: none"> <li>ensure that those making decisions whether for the council or the partnership are provided with information that is fit for the purpose – relevant, timely and gives clear explanations of the technical issues and their implications</li> </ul>	<ul style="list-style-type: none"> <li>members' inductions scheme</li> <li>training for committee chairs</li> </ul>	<p>As part of induction new members are given a Members' Information Pack. Latest version dated 2008. See Andy Emms for copy.</p> <p>Training and Development Programme for Councillors 2008/09 – see electronic evidence folder for details and dates.</p>
	<ul style="list-style-type: none"> <li>ensure that proper professional advice on matters that have legal or financial implications is available and recorded well in advance of decision making and used appropriately</li> </ul>	<ul style="list-style-type: none"> <li>record of decision making and support materials</li> </ul>	<p>All reports with financial implications contain comments from the section 151 officer.</p> <p>All reports are routinely forwarded to the Monitoring Officer and his staff by service areas and are reviewed for their legal and ethical implications. See also <a href="#">Annual Report of</a></p>



Supporting principles	The local code should reflect the requirement for local authorities to:	Source documents/good practice/other means that may be used to demonstrate compliance	Evidence
<ul style="list-style-type: none"> <li>Ensuring that an effective risk management system is in place</li> </ul>	<ul style="list-style-type: none"> <li>ensure that risk management is embedded into the culture of the council, with members and managers at all levels recognising that risk management is part of their jobs</li> </ul>	<ul style="list-style-type: none"> <li>risk management protocol</li> <li>financial standards and regulations</li> </ul>	<a href="#">Monitoring Officer</a> <a href="#">Risk Management Strategy</a> Strategic Risk Register ZM healthcheck and training Risk registers included in all service plans – See summary from latest service plans in Audit folder <a href="#">Constitution App 10</a>
	<ul style="list-style-type: none"> <li>ensure that arrangements are in place for whistle-blowing to which all staff and all those contracting with the council have access</li> </ul>	<ul style="list-style-type: none"> <li>whistle-blowing policy</li> </ul>	<a href="#">Whistleblowing Policy</a> – revised Nov 2008 and on intranet.
<ul style="list-style-type: none"> <li>Using our legal powers to the full benefit of the citizens and communities in our area</li> </ul>	<ul style="list-style-type: none"> <li>actively recognise the limits of lawful activity placed on us by, for example, the ultra vires doctrine but also to strive to utilise powers to the full benefit of their communities</li> </ul>	<ul style="list-style-type: none"> <li>constitution</li> <li>monitoring officer provisions</li> <li>statutory provision</li> </ul>	<a href="#">Constitution - section 5 of Appendix 2 - Budget and Policy Framework Rules</a> See Local Govt. & Housing Act 1989, Section 5. Plus <a href="#">Constitution</a> 12 & Appendix 9 & 10A
	<ul style="list-style-type: none"> <li>recognise the limits of lawful action and observe both the specific requirements of legislation and the general responsibilities placed on local authorities by public law</li> </ul>		<a href="#">Annual Report of Monitoring Officer</a> to Standards Cttee
	<ul style="list-style-type: none"> <li>observe all specific legislative requirements placed upon us, as well as the requirements of general law, and in particular to integrate the key principles of good administrative law – rationality, legality and natural justice – into our procedures and decision-making processes</li> </ul>	<ul style="list-style-type: none"> <li>monitoring officer provisions</li> <li>statutory provision</li> <li>job description/specification</li> </ul>	See Local Govt. & Housing Act 1989, Section 5. Plus <a href="#">Constitution</a> Article 12 & Appendix 9 & 10A. <a href="#">Annual Report of Monitoring Officer</a> to Standards Cttee – update? <a href="#">Job description and person spec</a>

## 5. DEVELOPING THE CAPACITY AND CAPABILITY OF MEMBERS AND OFFICERS TO BE EFFECTIVE

Supporting principles	The local code should reflect the requirement for local authorities to:	Source documents/good practice/other means that may be used to demonstrate compliance	Evidence
<ul style="list-style-type: none"> <li>Making sure that members and officers have the skills, knowledge, experience and resources they need to perform well in their roles</li> </ul>	<ul style="list-style-type: none"> <li>provide induction programmes tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis</li> </ul>	<ul style="list-style-type: none"> <li>training and development plan</li> <li>induction courses</li> <li>update courses/information</li> </ul>	<p>Training and Development Programme for Councillors 2008/09 – see electronic evidence folder for details and dates. Handbook/Member Information Pack and induction for new members &amp; staff. Training and development resources on the intranet: <a href="#">Learning</a></p> <p>Regular manager briefings, e.g: <a href="#">10 Feb 09</a></p> <p>Learning &amp; Development programme for managers</p>
	<ul style="list-style-type: none"> <li>ensure the statutory officers have the skills, resources and support necessary to perform effectively in their roles and that these roles are properly understood throughout the council</li> </ul>	<ul style="list-style-type: none"> <li>job description/personal specifications</li> <li>membership of top management team</li> </ul>	<p><a href="#">\\Sfil2\Shared folders\Human resources\Job descriptions-current</a></p> <p>Members of Leadership Group</p>
<ul style="list-style-type: none"> <li>Developing the capability of people with governance responsibilities and evaluating their performance, as individuals and as a group</li> </ul>	<ul style="list-style-type: none"> <li>assess the skills required by members and officers and make a commitment to develop those skills to enable roles to be carried out effectively</li> </ul>	<ul style="list-style-type: none"> <li>training development plan</li> </ul>	<p>Training and Development Programme for Councillors 2008/09 – see electronic evidence folder for details and dates. Appraisal system and development plans for staff</p>
	<ul style="list-style-type: none"> <li>develop skills on a continuing basis to improve performance, including the ability to scrutinise and challenge and to recognise when outside expert advice is needed</li> </ul>	<ul style="list-style-type: none"> <li>training and development plan reflect requirements of a modern councillor including:             <ul style="list-style-type: none"> <li>the ability to scrutinise and challenge</li> <li>the ability to recognise when outside advice is required</li> <li>advice on how to act as an ambassador for the community</li> <li>leadership and influencing skills</li> </ul> </li> </ul>	<p>Training and Development Programme for Councillors 2008/09 – see electronic evidence folder for details and dates</p>

Supporting principles	The local code should reflect the requirement for local authorities to:	Source documents/good practice/other means that may be used to demonstrate compliance	Evidence
	<ul style="list-style-type: none"> <li>ensure that effective arrangements are in place for reviewing the performance of the executive as a whole and of individual members and agreeing an action plan which might, for example, aim to address any training or development needs</li> </ul>	<ul style="list-style-type: none"> <li>performance management system</li> </ul>	PMIB Performance reports Aiming for excellence Training and Development Programme for Councillors 2008/09 – see electronic evidence folder for details and dates
<ul style="list-style-type: none"> <li>Encouraging new talent for membership of the council so that best use can be made of individuals' skills and resources in balancing continuity and renewal</li> </ul>	<ul style="list-style-type: none"> <li>ensure that effective arrangements are in place designed to encourage individuals from all sections of the community to engage with, contribute to and participate in the work of the council</li> </ul>	<ul style="list-style-type: none"> <li>strategic partnership framework</li> <li>stakeholders' forums' terms of reference</li> <li>area forums' roles and responsibilities</li> <li>residents' panel structure</li> </ul>	Membership of CoNP and Delivery Boards  Citizens Panel – see electronic evidence folder  <a href="#">Norwich Tenants' CityWide Board and new Tenant Participation Compact</a> sets out how the council involves tenants and leaseholders. Plus Tenant Talk magazine.  <a href="#">Draft Community Engagement Strategy</a>
	<ul style="list-style-type: none"> <li>ensure that career structures are in place for members and officers to encourage participation and development</li> </ul>	<ul style="list-style-type: none"> <li>succession planning</li> </ul>	Five executive members booked on Leadership Academy in 2008  PDPs

## 6. ENGAGING WITH LOCAL PEOPLE AND OTHER STAKEHOLDERS TO ENSURE ROBUST PUBLIC ACCOUNTABILITY

Supporting principles	The local code should reflect the requirement for local authorities to:	Source documents/good practice/other means that may be used to demonstrate compliance	Evidence
<ul style="list-style-type: none"> <li>Exercising leadership through a robust scrutiny function which effectively engages local people and all local institutional</li> </ul>	<ul style="list-style-type: none"> <li>make clear to ourselves, all staff and the community, to whom we are accountable and for what</li> </ul>	<ul style="list-style-type: none"> <li>community strategy</li> </ul>	<a href="#">City of Norwich Partnership (CoNP)</a>  <a href="#">Sustainable Community Strategy</a>  <a href="#">Corporate Plan 2008-10</a>

Supporting principles	The local code should reflect the requirement for local authorities to:	Source documents/good practice/other means that may be used to demonstrate compliance	Evidence
stakeholders, including partnerships, and develops constructive accountability relationships	<ul style="list-style-type: none"> <li>consider those institutional stakeholders to whom the council is accountable and assess the effectiveness of the relationships and any changes required</li> </ul>		City of Norwich Partnership provides mechanisms for taking account of needs of institutional stakeholders See links to <a href="#">Board Members</a> and <a href="#">Delivery Board Members</a>
	<ul style="list-style-type: none"> <li>produce an annual report on the activity of the scrutiny function</li> </ul>	<ul style="list-style-type: none"> <li>annual report</li> </ul>	
<ul style="list-style-type: none"> <li>Taking an active and planned approach to dialogue with and the accountability to the public to ensure effective and appropriate service delivery whether directly by the council, in partnership or by commissioning</li> </ul>	<ul style="list-style-type: none"> <li>ensure that clear channels of communication are in place with all sections of the community and other stakeholders, and put in place monitoring arrangements to ensure that they operate effectively</li> </ul>	<ul style="list-style-type: none"> <li>community strategy</li> </ul>	<a href="#">Sustainable Community Strategy</a>  <a href="#">Communications strategy</a>  <a href="#">Customer Contact Strategy</a>
	<ul style="list-style-type: none"> <li>hold meetings in public unless there are good reasons for confidentiality</li> </ul>		<a href="#">Constitution App 7 Access to Information Procedure Rules</a>
	<ul style="list-style-type: none"> <li>ensure that arrangements are in place to enable the council to engage with all sections of the community effectively. These arrangements should recognise that different sections of the community have different priorities and establish explicit processes for dealing with these competing needs</li> </ul>	<ul style="list-style-type: none"> <li>processes for dealing with competing demands within the community</li> </ul>	Executive received an update on the council's <a href="#">Neighbourhood Strategy</a> in Feb 08, the first stage of which is to develop a community engagement strategy. The first workshop for community groups was held on 25 Feb 08. Scrutiny received a briefing report 12 June 08: <a href="#">Community Engagement Strategy</a> The draft is now on the website for consultation: <a href="#">Consultation - Community Engagement Strategy</a>  Citizens Panel
	<ul style="list-style-type: none"> <li>establish a clear policy on the types of</li> </ul>	<ul style="list-style-type: none"> <li>partnership framework</li> </ul>	<a href="#">City Council website - Consultations</a>

Supporting principles	The local code should reflect the requirement for local authorities to:	Source documents/good practice/other means that may be used to demonstrate compliance	Evidence
	issues we will meaningfully consult on or engage with the public and service users about including a feedback mechanism for those consultees to demonstrate what has changed as a result	<ul style="list-style-type: none"> <li>community strategy</li> </ul>	<a href="#">Community Engagement Strategy</a> <a href="#">Communications strategy</a> <a href="#">Public budget consultation document 2009/10 – Corporate Plan 2008-10</a>
	<ul style="list-style-type: none"> <li>on an annual basis, publish a performance plan giving information on the council's vision, strategy, plans and financial statements as well as information about its outcomes, achievements and the satisfaction of service users in the previous period</li> </ul>	<ul style="list-style-type: none"> <li>annual report</li> <li>annual financial statements</li> <li>corporate plan</li> <li>annual business plan</li> </ul>	<a href="#">Audit Committee: Statement of Accounts y/e 31 March 2007</a>
	<ul style="list-style-type: none"> <li>ensure that the council as a whole is open and accessible to the community, service users and its staff and ensure that it has made a commitment to openness and transparency in all its dealings, including partnerships, subject only to the need to preserve confidentiality in those specific circumstances where it is proper and appropriate to do so</li> </ul>	<ul style="list-style-type: none"> <li>constitution</li> </ul>	<a href="#">Constitution App 7 Access to Information Procedure Rules</a> <a href="#">Communications strategy</a> <a href="#">Customer Contact Strategy</a>
<ul style="list-style-type: none"> <li>Making best use of human resources by taking an active and planned approach to meet responsibility to staff</li> </ul>	<ul style="list-style-type: none"> <li>develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision making</li> </ul>	<ul style="list-style-type: none"> <li>constitution</li> </ul>	<p>See HR policies handbook: <a href="#">B2 - Consultation procedure</a> &amp; <a href="#">B5 - Joint Consultative &amp; Negotiating Committee</a></p> <p>Staff survey 2008 and proposed actions: see intranet and hard copy on file</p>