

Report for Information

Report to Audit Committee
8 June 2010
Report of Head of Finance
Subject Draft Annual Governance Statement 2009/10

12

Purpose

To give members an opportunity to review the contents of the draft annual governance statement for 2009/10.

Recommendations

Members are asked to

- (1) note the report;
- (2) review the draft annual governance statement for 2009/10 and the plans to address 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 "One council:

- customer focus – putting customers at the heart of everything we do;
- continuous improvement of our services; and
- cost conscious – efficient and effective service delivery "

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Background Documents

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 2009/10. 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 the council complies with its own code of governance.
6. This report is an opportunity for members to review the draft statement, plus the evidence which supports it.
7. 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 on 22 June 2010.

The Draft Annual Governance Statement

8. The draft of the annual governance statement is shown at annex 1. It includes the significant issues that are likely to be included in the final version, and an outline of the action plans to address the issues.
9. The format and contents of the statement follow the guidance in the CIPFA/SOLACE framework. It also complies with the requirements of the CIPFA Statement of Recommended Practice (SORP), which for information is shown at annex 2.
10. Annex 3 shows the evidence that has been compiled to support the review of governance arrangements. This has been updated from the evidence that was gathered for last 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 (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. The fifth column shows issues to be included in the governance statement.

11. The majority of links in the fourth column of annex 3 are to publicly available documents. If there are any documents which members cannot access and wish to review, please contact the above officers who will arrange for them to be made available.
12. Some of the wording in the draft statement is still to be finalised, and is shown highlighted.

The Annual Review of Effectiveness of Governance

13. The framework requires that the council should undertake regular, at least annually, 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.

Reference

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

Appendix 20a of the Constitution: Code of Governance

Draft Annual Governance Statement 2009-10

1. 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 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.

2. 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 has been in place at Norwich City Council for the year ended 31 March 2010 and up to the date of the approval of the statement of accounts.

3. 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 council 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 council 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:

- Identifying and communicating the council's vision of its purpose and intended outcomes for citizens and service users:

The council has a clear vision of what it is trying to achieve, as set out in the Corporate Plan 2010-12, which replaces the previous Corporate Plan 2008-10. The plan is available on the council's website at www.norwich.gov.uk.

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, which sets out long-term plans to improve the quality of life for local people, 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 council's vision and its implications for the authority's governance arrangements:

The previous Corporate Plan was agreed in June 2008, with an expiry date of June 2010. Since the plan was drawn up there have been significant changes in the economic climate, and the funding prospects for the public sector have grown tighter.

This meant that it was appropriate to review and refresh the Corporate Plan, and to develop a new one for the 2010-12 period. The new plan was drawn up within the context of a likely reduction in resources, and the need for the council to provide support to local people who are experiencing difficulty as a consequence of the recession.

The new Corporate Plan has been drawn up in parallel to the development of the budget proposals for the 2010-11 financial year. This has been a deliberate step to ensure that there is a direct correlation between the resources the council has available, and the priorities that the resources will be targeted into. This focus on strong prioritisation will become increasingly important as resources are expected to become even tighter in the future.

The draft Corporate Plan went through a number of member discussions:

- In December 2009 the Executive considered and agreed a range of initial proposals for aims and priorities for the 2010-12 period
 - These were then debated and agreed at full council on 26 January 2010. At this meeting, the Leader of the Council also announced some initial proposals for possible priorities for the 2010-12 period.
 - A first draft of the Corporate Plan, including the draft priorities, was considered at Scrutiny Committee on 8 February 2010, and at Executive on 10 February 2010
 - Following these discussions the priorities were built into the final budget proposals, and considered as part of the budget debate at full council on 24 February 2010
 - The Scrutiny Committee has also given further consideration to the draft plan at its meeting on 11 March 2010.
 - The final version of the Corporate Plan was approved by Executive on 24 March and Council 30 March.
- 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 new plan has sharpened the number of promises and commitments and the service and team planning process designed to more explicitly reflect these priorities. Portfolio Holders have been brought much more into the service planning process. The council has recently purchased an electronic performance management system which will hold high level indicators, risks and actions used to deliver the revised corporate plan for 2010-12. Each service will have a high level dashboard charting progress against their service plan priorities.

The council's budget policy and processes are designed to identify efficiencies and savings, and underpin the Transformation Programme which has resulted in savings of nearly £6m without adverse service impact. Consequently performance against National Indicator 179 is continuing to achieve target.

Under the housing improvement plan a value for money strategy for neighbourhood housing has been devised, and was presented to executive on 24 March 2010.

The council is a member of HouseMark, which is the main benchmarking organisation for social housing. Norwich is a major subscriber and also a member of the HouseMark major housing organisations forum which meets quarterly to discuss housing issues and shape good practice.

- 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, the protocol for member/officer working arrangements, and protocols for the chief finance officer and monitoring officer. There is also an agreed protocol between the leader and chief executive officer covering their working arrangements following the appointment of a new leader.

- 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 standards in public life.

There is a separate code of conduct for staff (updated in October 2009) 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 policies. Staff are required to confirm that they have read the code of conduct and other key policies.

- 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 in conjunction with the corporate governance group. Proposals for changes are discussed by members at the constitution working party, before being approved by executive and council if necessary.

Standing orders and financial regulations and were last updated by full Council in March 2008, and the scheme of delegations by full Council in March 2010.

- Ensuring the council's financial management arrangements conform with the governance requirements of the CIPFA Statement on The Role of the Chief Financial Officer in Local Government (2010).

CIPFA recommends the inclusion of a specific statement on whether the authority's financial management arrangements conform with the governance requirements of the CIPFA 'Statement on The Role of the Chief Financial Officer in Local Government (2010)' and, where they do not, explain why and how they deliver the same impact.

- 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. The terms of reference are in line with the guidance and can be found in article 17 of the council's constitution.

- 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.

Policies, which should be subject to regular review, are available on the council intranet.

Managers within the council are responsible for putting in place systems of control to ensure compliance with policies, procedures, laws and regulations. Officer responsibilities and actions are controlled through individual departmental authorisations under the scheme of delegations.

- 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. A summary report on allegations and findings is presented to Audit Committee annually. 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: The council has been awarded the EERA Members Development Charter which recognises the council's good practice in its approach to members' development/training.

The Members Development Focus Group which has previously agreed members' training and development plans has, as a result of the Charter work, been replaced by the Councillors Development Group. This has more councillors and the role has been strengthened to set the strategic and policy direction for all aspects of councillor development which will include:-

- promoting the development of members

- developing, monitoring and evaluating the councillors training and development programme
- supporting and encouraging councillors in maintaining the Charter for Member Development, including personal development planning.

Senior officers: this section to be updated by HR for final version.

There is also an annual staff appraisal system through which development and training needs for all staff are identified.

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

A programme of consultation and engagement has been developed with staff, tenants and stakeholders to support the objectives of the housing improvement plan. This has included a broader consultation panel of 1000 tenants and 200 leaseholders which has been recruited to form a tenants' panel – 'TalkBack'.

The Tenants' CityWide Board works with the council, tenants and leaseholders to develop tenant participation in the council's housing services.

The amended Tenant Involvement Framework was agreed by CityWide Board in December 2009.

Work is currently progressing with developing the leaseholders compact. An updated leaseholder compact has been drafted and considered by a leaseholder focus group. Following the election of a new Norwich Leaseholders Association committee on 27 May 2010 the compact will be discussed and agreed with the new committee.

All consultations are co-ordinated by the council's consultation group, which is chaired by a head of service. Information on current and closed consultations, including reports and minutes, is available on the council's website.

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 a communications strategy 2007-10, which will be refreshed in 2010.

- Incorporating good governance arrangements in respect of partnerships and reflecting these in the council'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.

The governance arrangements for key partnerships are kept under review and the results are reported to executive, together with an assessment of the effectiveness of the council's involvement in partnerships.

- Risk management:

Key corporate risks that may impact on the council's priorities have been identified and included in the corporate risk register, which is kept under review and updated as necessary by corporate management team and the audit committee. During 2009-10 the council improved its risk management arrangements in relation to strategic, service, partnership and project risks, and provided further training to members and managers.

Corporate and service risk registers assign risks to owners, and include mitigation actions and responsibility for these.

Service risks are included in service plans and are reviewed annually as part of the service and financial planning process.

The council is currently implementing a performance management system which includes risk management, which will enable corporate and service risks to be recorded and monitored by management. All corporate risks have been loaded into the system.

4. 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.

The council has undertaken a review of its governance framework in accordance with best practice advice as published by CIFPA/SOLACE in meeting the requirements of the Accounts and Audit Regulations 2006.

The following have roles in maintaining and reviewing the effectiveness of the governance framework:

The authority and the executive

The executive approves the medium term financial strategy which provides the financial structure for annual service planning and budget setting.

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

Performance monitoring reports are comprehensive, covering achievement against the council's short-term priority actions and projects detailed in the corporate plan 2008-10; performance measures; performance of CityCare and Steria contracts; and Audit Commission inspection recommendations.

In April 2009 executive agreed to refresh the aiming for excellence programme, establish a corporate improvement and efficiency board to oversee and drive the corporate transformation programme, and set up a housing improvement board in response to the Audit Commission inspection of landlord services.

The council's constitution working party recommends any changes to the constitution to executive and council. During 2009-10 the following were revised and can be found on the council's website: officer's code of conduct; scheme of delegations; and new protocols for the chief finance officer and monitoring officer.

The scrutiny committee

The overview and scrutiny function is 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. An annual report on the work of scrutiny committee in 2009-10 will be presented to scrutiny in July 2010 and then to full council at a later date (the 2008-09 report went to council in July 2009).

The audit committee

The council has an audit committee with terms of reference which cover internal and external audit matters, risk management arrangements, internal control arrangements including the annual governance statement, anti-fraud and corruption arrangements, corporate governance, and accounts.

The committee receives reports on corporate risks, the work of internal audit, including the audit manager's annual report, and external audit reports and letters. It also reviews the evidence which supports the preparation of the annual governance statement and approves the statement.

The standards committee and monitoring officer

The council has 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. Members receive regular reports, including an annual report on the governance areas that are the responsibility of the council's monitoring officer.

The chair of the standards committee presents an annual report to council – the report for 2009-10 went to council in March 2010.

The standards committee is supported by the monitoring officer, whose duties include the promotion of ethics and standards across the council, maintaining the constitution, and ensuring compliance with relevant laws, regulations and policies.

The monitoring officer is a statutory appointment, and the current responsibilities of this role rest with the head of legal, regulatory and democratic services.

Chief finance officer

The chief finance officer is a statutory appointment, and the current responsibilities of this role rest with the head finance. Duties include the proper administration of the financial affairs of the council, contributing to the effective leadership of the council, ensuring that expenditure is lawful and within resources, advising on systems of internal control, and supporting the audit committee.

Internal audit

Internal audit is an in-house 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. If additional resources or technical expertise is required the internal audit function can be supplemented by external suppliers.

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.

Corporate governance group

This is an internal officer group chaired by the deputy chief executive which is responsible for reviewing all aspects of the council's governance arrangements. Membership of the group includes the council's monitoring officer, head of finance, head of HR & learning, and head of procurement and service improvement. The group met three times in 2009-10.

Other explicit review/assurance mechanisms

External audit provides a further source of assurance by reviewing and reporting upon the council's internal control processes and any other matters relevant to their statutory functions and codes of practice. Examples are the Audit Commission's findings and recommendations relating to audit, inspections and use of resources assessment.

Additionally, the Housing Quality Network has assisted the council with its review of landlord services.

We have been advised on the implications of the result of the review of the effectiveness of the governance framework by the audit committee, and a plan to address weaknesses and ensure continuous improvement of the system is in place.

5. Significant governance issues

The following is an outline of the significant issues arising from the review of effectiveness and the actions taken or proposed to deal with them (committee reports where mentioned, and minutes, can be found at www.norwich.gov.uk):

Audit Commission annual audit and inspection letter 2008/09

Each year the Audit Commission publishes an annual audit letter which provides an overall summary of their assessment of the council and areas where the council needs to improve its performance.

The letter, which was reported to audit committee on 21 January 2010, shows that the council has made progress in a number of areas, notably achieving unqualified accounts, but improvement is still needed in the financial statements preparation process. On the use of resources assessment the Commission assessed the 'managing its people resources' theme as inadequate.

The Audit Commission recommended that the City Council should:

- address the recommendations made in the action plan of the November 2009 Annual Governance Report;
- address the issues necessary to improve the council's use of resources assessment and the value for money conclusion; and
- take the necessary corporate action to secure the required savings and/or cut spending.

The council's response to the recommendations was included in an action plan as an appendix to the Audit Commission's Annual Audit Letter and was approved by audit committee at its meeting on 21 January 2010.

Audit Commission annual governance report 2008/09

The report was considered at audit committee on 24 September 2009. The report acknowledged that there had been improvements, leading to an unqualified opinion on the financial statements. However, a number of material and non-material misstatements were found during the audit, requiring adjustment by management.

Weaknesses were identified in the design or operation of internal controls that might have resulted in material error in the financial statements.

With regard to value for money, the report concluded that the council had made some progress in its use of resources, but that weaknesses remained in three areas. Therefore the value for money opinion was qualified because the council did not meet the minimum value for money criteria for the following: financial reporting; risk management and internal control; and workforce planning.

A detailed action plan to address all the recommendations in the report has been agreed.

Audit Commission certification of claims and returns – annual report 2008/09

The council receives significant amounts of funding from various grant-paying departments. The council needs to demonstrate that it has met the conditions attached to these grants. The Audit Commission's certification work found the following control weaknesses: a lack of robust review process for some claims to ensure that they are prepared in accordance with terms and condition; no internal audit review of claims; and weaknesses in supporting working papers. The report and agreed action plan was reported to audit committee on 8 June 2010.

Chief finance officer

In its statement on the role of the chief financial officer in local government (2010), CIPFA recommends that the chief financial officer (in the council's case this is the head of finance) should report directly to the chief executive and be a member of the leadership team. The statement requires that if different arrangements are adopted the reasons should be explained publicly in the council's annual governance statement, together with how these deliver the same impact.

The appropriate wording will be included in the final version of this AGS.

Internal audit

Internal audit is expected to work to the Code of Practice for Internal Audit in Local Government in the UK 2006. A triennial review of internal audit by the Audit Commission found weaknesses in compliance with the code. An action plan to address the weaknesses has been drafted and is currently with the head of finance for consideration.

Financial regulations and standing orders

The council's financial regulations and standing orders were updated in 2008. Although still fit for purpose they are overdue for a review. The review process started in 2009-10, but will not be completed until 2010-11.

Progress on the action plan from the previous governance statement

Actions taken to address the significant issues from the previous governance statement are substantially complete. The following issue is being progressed:

- Some elements of business continuity planning are not embedded across the council. Significant progress has been made, and the temporary emergency planning officer continues to work on developing the council's resilience. A plan exists for relocating core systems, including customer contact, and this is regularly tested in conjunction with Steria. Business continuity is a standing item on the agenda of the data security forum. The council has an up to date flu pandemic plan which was invoked during the recent global outbreak.

6. Statement by Leader of the Council 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:

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Leader of the Council

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Chief Executive

Date:

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DRAFT

Code of Practice on Local Authority Accounting in the UK:

Statement of Recommended Practice (SORP)

Information to be included in the Annual Governance Statement

- a) An acknowledgement of responsibility for ensuring there is a sound system of governance (incorporating the system of internal control).
- b) An indication of the level of assurance that the systems and processes that comprise the authority's governance arrangements can provide.
- c) A brief description of the key elements of the governance framework, including reference to group activities where the activities are significant.
- d) A brief description of the process that has been applied in maintaining and reviewing the effectiveness of the governance arrangements, including some comment on the role of the authority; the executive; the audit committee/overview and scrutiny committee/risk management committee; standards committee; internal audit and other explicit reviews/assurance mechanisms.
- e) An outline of the actions taken, or proposed, to deal with significant governance issues, including an agreed action plan.

It is important to recognise that the governance statement covers all significant corporate systems, processes and controls, spanning the whole range of an authority's activities, including in particular those designed to ensure that:

- the authority's policies are implemented in practice
- high-quality services are delivered efficiently and effectively
- the authority's values and ethical standards are met
- laws and regulations are complied with
- required processes are adhered to
- performance statements and other published information are accurate and reliable
- human, financial and other resources are managed efficiently and effectively

The governance statement should be approved at a meeting of the authority or delegated committee and signed by the chief executive and a leading member.

Annual Governance Statement 2009/10 – Evidence of Compliance with Code of Governance

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	Significant issue
<ul style="list-style-type: none"> Exercising strategic leadership by developing and clearly communicating the Council's purpose and vision and its intended outcome for citizens and service users 	<ul style="list-style-type: none"> develop and promote the council's purpose and vision 	<ul style="list-style-type: none"> used as a basis for: <ul style="list-style-type: none"> corporate and service planning shaping the community strategy local area or performance agreements 	<p>'Norfolk Action' local area agreement (countywide strategy)</p> <p>'A New Vision for Norwich' (the sustainable community strategy)</p> <p>City of Norwich Partnership (CoNP) (statutory local strategic partnership)</p> <p>CoNP Delivery Board</p> <p>Corporate Plan 2008-10</p> <p>Report to Executive 18 Feb 09 - Service Plans 2009/10</p>	
	<ul style="list-style-type: none"> review on a regular basis the council's vision for the local area and it's impact on the council's governance arrangements 	<ul style="list-style-type: none"> review process governance code 	<p>Report to Executive 8 April 09 which linked the Medium Term Financial Strategy to the need to review the Corporate Plan and Service Plans.</p> <p>Report to Council 30 March 2010 – Corporate Plan 2010-12</p> <p>Constitution Appendix 20A - Code of Governance</p>	
	<ul style="list-style-type: none"> ensure that partnerships are underpinned by a common vision of their 	<ul style="list-style-type: none"> partnership protocol 	<p>Report to Executive 29 Oct 08 - Corporate governance framework for partnership working</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	Significant issue
	work that is understood and agreed by all parties	<ul style="list-style-type: none"> governance code 	Update to Exec 24 March 2010: Annual review: Corporate governance framework for working in partnerships Constitution - Appendix 20A - Code of Governance (includes governance in relation to partnership working)	
	<ul style="list-style-type: none"> publish an annual report on a timely basis to communicate the council's activities and achievements, its financial position and performance 	<ul style="list-style-type: none"> annual financial statements annual business plan 	Audit Committee 25 June 09: Annual Statement of Accounts Corporate Plan 2010-12 Report to Executive 26 May 2010: Quarter Four Performance Monitoring 2009-10.	
<ul style="list-style-type: none"> Ensuring that users receive a high quality of service whether directly, or in partnership, or by commissioning 	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> this information is reflected in the council's: <ul style="list-style-type: none"> corporate plan annual business plan medium-term financial strategy resourcing plan in order to ensure improvement 	Corporate Plan 2010-12 Executive 24 March 2010: Medium Term Financial Strategy 2010-14 People Strategy : new workforce strategy	
	<ul style="list-style-type: none"> put in place effective arrangements to identify and deal with failure in service delivery 	<ul style="list-style-type: none"> complaints procedure 	Council services: comments, compliments and complaints	
<ul style="list-style-type: none"> Ensuring that the council makes best use of resources and that tax payers and service users 	<ul style="list-style-type: none"> decide how value for money is to be measured and make sure that the council or partnership has the information needed to 	<ul style="list-style-type: none"> the results are reflected in council's performance plans and in reviewing the work of the council 	<ul style="list-style-type: none"> Corporate improvement and efficiency board (CIEB) Performance reports Under 'One council' the council's priorities are customer focus, 	

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	Significant issue
receive excellent value for money	<p>review value for money and performance effectively.</p> <ul style="list-style-type: none"> Measure the environmental impact of policies, plans and decisions 	<ul style="list-style-type: none"> methods of measuring the council's target for reducing its carbon footprint by 6% per year until 2012 	<p>continuous improvement and cost conscious</p> <ul style="list-style-type: none"> - Use of resources – value for money assessment - Annual efficiency statement. - During 2009-10 the Council has continued to allocate resources in support of corporate priorities and improve value for money, as well as strengthening its procurement function to maximise procurement efficiencies. - MTFS, budget gap and corporate transformation programme reported to Executive 24 March 2010 - Environmental Strategy – progress monitored regularly by climate control panel - Supplementary planning document - Energy Efficiency - Private Sector Renewals Strategy - section 6: Affordable Warmth and Energy Efficiency 	

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	Significant issue
<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> constitution record of decisions and supporting materials 	<p>Constitution Particularly Articles 7 (The Executive) & 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"> set out a clear statement of the respective roles and responsibilities of other council members, members generally and senior officers 	<ul style="list-style-type: none"> constitution 	<p>Constitution Particularly Articles 2 (Members of the Council) & 12 (Officers)</p>	
<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> constitution 	<p>Constitution Particularly Articles 4 (The Council) and 13 (Decision Making), and Appendix 3 (Powers Reserved to the Council)</p> <p>Constitution Appendix 8 (Scheme of Delegations to Officers)</p>	
	<ul style="list-style-type: none"> make a chief executive or equivalent responsible 	<ul style="list-style-type: none"> conditions of employment 	<p>See Local Govt. & Housing Act 1989, Section 4 (on file). Plus Constitution</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	Significant issue
	and accountable to the council for all aspects of operational management	<ul style="list-style-type: none"> scheme of delegation job descriptions/specification performance management system 	<p>Article 12 (Officers), Appendix 9 (Statutory and Proper Officer Appointments)</p> <p>Constitution Appendix 8 (Scheme of Delegations to Officers)</p> <p>Job description and person spec</p> <p>Aiming for excellence refreshed and Corporate Improvement and Efficiency Board established: see Executive 8 April 09</p>	
	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> new chief executive and leader pairing consider how best to establish and maintain effective communication 	<p>Chief executive weekly meeting with leader & deputy leader. Meeting day after election of leader. Protocol covering working relationship between leader and chief executive. Annual appraisal.</p> <p>Constitution Appendix 15 (Protocol for Member/Officer Working Arrangements)</p>	
	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> section 151 responsibilities statutory provision statutory reports budget documentation 	<p>Local Govt. Act 1972, Section 151. Plus Constitution Article 12 (Officers), Appendix 9 (Statutory and Proper Officer Appointments) & Appendix 10 (Financial Regulations)</p> <p>Executive 24 March 2010: Medium Term Financial Strategy 2010-14</p> <p>Council meeting 23 Feb 2010 - Budget, Capital Strategy, Capital Programme, HRA</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	Significant issue
		<ul style="list-style-type: none"> job description/specification 	Job description and person spec Council 30 March 2010 approved new chief finance officer's protocol (appendix 9c of the Constitution)	
	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> monitoring officer provisions statutory provision job description/specification 	See Local Govt. & Housing Act 1989, Section 5 (on file). Plus Constitution Article 12 & Appendix 9 & 10A Job description and person spec Council 29 Sept 09 approved new monitoring officer's protocol (appendix 9b of the Constitution)	
<ul style="list-style-type: none"> Ensuring relationships between the council, its partners and the public are clear so that each knows what to expect of the other 	<ul style="list-style-type: none"> develop protocols to ensure effective communication between members and officers in their respective roles 	<ul style="list-style-type: none"> member/officer protocol 	Constitution Appendix 15 (Protocol for Member/Officer Working Arrangements)	
	<ul style="list-style-type: none"> 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) 	<ul style="list-style-type: none"> pay and conditions policies and practices 	Members: The Local Authorities (Members' Allowances) (England) Regulations, 2003 Constitution Appendix 16 (Members' Allowance Scheme) Independent panel reviews and reports to Council. Council 31 March 09: Members Allowance Scheme Officers: NJC National Agreement on Pay & Conditions of Service (the "Green Book") together with Local Agreements.	

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	Significant issue
	<ul style="list-style-type: none"> ensure that effective mechanisms exist to monitor service delivery 	<ul style="list-style-type: none"> performance management system 	<p>CIEB Report to Executive 26 May 2010: Quarter Four Performance Monitoring 2009-10.</p>	
	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> vision strategy corporate plans budgets performance plan/regime 	<p>Public budget consultation meetings 28 & 30 Jan 2009 – publicised on web site.</p> <p>Public budget consultation document 2009/10</p> <p>Consultation on savings proposals December 09</p> <p>List of members of CoNP 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>CoNP Communications Strategy 2008</p> <p>Norwich Tenants' CityWide Board and new Tenant Participation Compact sets out how the council involves tenants and leaseholders. Plus Tenant Talk magazine. Also focus groups for relets</p> <p>City Council consultations page on website</p> <p>Citizen magazine</p> <p>Customer Contact Strategy</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	Significant issue
			Community Engagement Strategy to Exec 13 May 09 Communications strategy 2007-2010	
	<ul style="list-style-type: none"> 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 when working in partnership: <ul style="list-style-type: none"> - ensure that there is clarity about the legal status of the partnership - 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 	<ul style="list-style-type: none"> protocols for partnership working. For each significant partnership there is: <ul style="list-style-type: none"> - a clear statement of the partnership principles and objectives - clarity of each partner's role within the partnership - definition of roles of partnership board members - line management responsibilities for staff who support the partnership - a statement of funding sources for joint projects and clear accountability for proper financial administration - a protocol for dispute resolution with the partnership <p>N.B. From special report <i>Local Partnerships and Citizen Redress, Local Government Ombudsman (2007)</i></p>	Report to Executive 29 Oct 08 - Corporate governance framework for partnership working Update to Exec 24 March 2010: Annual review: Corporate governance framework for working in partnerships	

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	Significant issue
<ul style="list-style-type: none"> Ensuring council members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance 	<ul style="list-style-type: none"> ensure that the council's leadership sets a tone for the organisation by creating a climate of openness, support and respect 		<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 & corruption strategy, the code of governance and the CoNP Governance Framework.</p> <p>Annual Report of Monitoring Officer to Standards Committee 2 Sept 09</p>	
	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> members'/officers' codes of conduct performance management system performance appraisal complaints procedures 	<p>Constitution Appendix 13 (Members' Code of Conduct) Constitution Appendix 14 (Officers' Code of Conduct)</p> <p>Aiming for excellence refreshed and Corporate Improvement and Efficiency Board established: see Executive 8 April 09</p> <p>Appraisal System & Capability Procedure</p> <p>Council services: comments, compliments and complaints</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	Significant issue
		<ul style="list-style-type: none"> anti-fraud and –corruption policy member/officer protocols 	Anti Fraud and Corruption strategy Constitution Appendix 15 (Protocol for Member/Officer Working Arrangements) CoNP Governance Framework and Members' Handbook	
	<ul style="list-style-type: none"> put in place arrangements to ensure that members and employees of the council are not influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders and put in place appropriate processes to ensure that they continue to operate in practice 	<ul style="list-style-type: none"> standing orders codes of conduct financial regulations procurement strategy 	Constitution Appendix 11 (Standing Orders Relating to Contracts) Constitution Appendix 13 (Members' Code of Conduct) Constitution Appendix 14 (Officers' Code of Conduct) Constitution Appendix 10 (Financial Regulations) Procurement Strategy	Some are overdue for review
<ul style="list-style-type: none"> Ensuring that organisational values are put into practice and are effective 	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> codes of conduct code of governance 	Constitution Appendix 13 (Members' Code of Conduct) Constitution Appendix 14 (Officers' Code of Conduct) Constitution - Appendix 20a (Code of Governance).	
	<ul style="list-style-type: none"> put in place arrangements to ensure that systems and processes are designed in 	<ul style="list-style-type: none"> codes of conduct 	Constitution App 13 (Members' Code of Conduct)	

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	Significant issue
	conformity with appropriate ethical standards, and monitor their continuing effectiveness in practice	<ul style="list-style-type: none"> Procurement Strategy 	Constitution App 14 (Officers' Code of Conduct) Annual Report of Monitoring Officer to Standards Committee 2 Sept 09 Procurement Strategy Ethics is a key element of procurement – see introduction to the Procurement Strategy and elsewhere in the document	
	<ul style="list-style-type: none"> develop and maintain an effective standards committee 	<ul style="list-style-type: none"> terms of reference regular reporting to the council 	Constitution Appendix 4 (Terms of Reference of Committees) Examples: Standards Committee meeting Sept 2009; Feb 2010	
	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> decision-making practices 	Constitution 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)	
	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> protocols for partnership working 	Report to Executive 29 Oct 08 - Corporate governance framework for partnership working Update to Exec 24 March 2010: Annual review: Corporate governance framework for working in partnerships CoNP Governance Framework and Members' Handbook	

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	Significant issue
<ul style="list-style-type: none"> Being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny 	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> scrutiny is supported by robust evidence and data analysis 	<p>Constitution Article 6 (Overview and Scrutiny Committees) & App 6 (Scrutiny Procedure Rules)</p> <p>Scrutiny consideration of budget papers and corporate plan 8 Feb 2010</p> <p>The committee's work programme is a regular agenda item</p>	
	<ul style="list-style-type: none"> develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based 	<ul style="list-style-type: none"> decision-making protocols record of decisions and supporting materials 	<p>Constitution Article 13 - Decision Making and Constitution App 1 - Council & Committee procedure rules</p> <p>Agendas, reports and minutes are available on the council website. Signed minute books are held in legal and democratic services.</p> <p>Appendix 7 of the constitution 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"> 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 	<ul style="list-style-type: none"> members' code of conduct officers' code of conduct 	<p>Members code of conduct: Constitution App 13.</p> <p>Officers code of conduct: Constitution App 14.</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	Significant issue
	operate in practice		<p>Declarations of interests at the start of all committee meetings.</p> <p>Forms to register interests and gifts and hospitality for staff available on intranet and filed in legal services.</p> <p>Related party transaction declarations compared with registers of interests and included in statement of accounts.</p> <p>All staff are expected to confirm that they have read the code of conduct. Status reports are run regularly and reported to managers</p>	
	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> terms of reference & membership training for committee members 	<p>Constitution Article 17: Audit Committee The Audit Committee's ToR are in accordance with CIPFA's guidance on best practice</p> <p>ZM training on risk management 23 March 09</p>	
	<ul style="list-style-type: none"> ensure that effective, transparent and accessible arrangements are in place for dealing with complaints 	<ul style="list-style-type: none"> complaints procedure arrangements for complaints against councillors 	<p>Council services: comments, compliments and complaints</p> <p>Report to Standards Committee 21 July 2008: Procedure for Local Assessment of Complaints Against Councillors</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	Significant issue
<ul style="list-style-type: none"> Having good quality information, advice and support to ensure that services are delivered effectively and are what the community wants/needs 	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> members' inductions scheme training for committee chairs 	<p>As part of induction new members are given a Members' Information Pack.</p> <p>The council has been awarded the EERA Members Development Charter.</p> <p>Councillors Development Group agrees members' training and development plans.</p> <p>Recent data quality audit by Deloitte gave adequate assurance.</p>	
	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> record of decision making and support materials 	<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 Annual Report of Monitoring Officer to Standards Committee 2 Sept 09</p>	
<ul style="list-style-type: none"> Ensuring that an effective risk management system is in place 	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> risk management protocol 	<p>Risk Management Strategy</p> <p>Corporate Risk Register – under continuous review by CMT and Audit Committee – report to Audit Committee 21 Jan 2010: Strategic Risk Management Review</p> <p>ZM training for members and managers March 2010</p> <p>Risk registers included in all service</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	Significant issue
		<ul style="list-style-type: none"> financial standards and regulations 	<p>plans. See summary from latest service plans in Audit folder</p> <p>Financial Regulation C: Constitution App 10</p>	
	<ul style="list-style-type: none"> ensure that arrangements are in place for whistle-blowing to which all staff and all those contracting with the council have access 	<ul style="list-style-type: none"> whistle-blowing policy 	<p>Whistleblowing Policy revised Nov 2008 and on website and intranet: Whistleblowing policy. It is one of the corporate policies that staff are expected to read.</p>	
<ul style="list-style-type: none"> Using our legal powers to the full benefit of the citizens and communities in our area 	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> constitution monitoring officer provisions statutory provision 	<p>Constitution - section 5 of Appendix 2 - Budget and Policy Framework Rules</p> <p>See Local Govt. & Housing Act 1989, Section 5. Plus Constitution 12 & Appendix 9 & 10A</p>	
	<ul style="list-style-type: none"> 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 		<p>Annual Report of Monitoring Officer to Standards Committee 2 Sept 09</p>	
	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> monitoring officer provisions statutory provision job description/specification 	<p>See Local Govt. & Housing Act 1989, Section 5. Plus Constitution Article 12 & Appendix 9 & 10A.</p> <p>Annual Report of Monitoring Officer to Standards Committee 2 Sept 09</p> <p>Job description and person spec</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	Significant issue
	natural justice – into our procedures and decision-making processes		Monitoring officer's protocol – Appendix 9b of the Constitution	

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	Significant issue
<ul style="list-style-type: none"> Making sure that members and officers have the skills, knowledge, experience and resources they need to perform well in their roles 	<ul style="list-style-type: none"> provide induction programmes tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis 	<ul style="list-style-type: none"> training and development plan induction courses update courses/information 	<p>The council has been awarded the EERA Members Development Charter.</p> <p>Councillors Development Group agrees members' training and development plans.</p> <p>Handbook/Member Information Pack and induction for new members & staff.</p> <p>Training and development resources on the intranet: Learning</p> <p>Regular manager briefings.</p>	
	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> job description/personal specifications membership of top management team 	<p>Job description and person spec Job description and person spec</p> <p>Members of Strategic Managers Group.</p> <p>Protocols covering working arrangements in Constitution, Appendix 9</p>	<p>CIPFA recommends CFO should be on officer leadership group. Have to explain if not</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	Significant issue
<ul style="list-style-type: none"> Developing the capability of people with governance responsibilities and evaluating their performance, as individuals and as a group 	<ul style="list-style-type: none"> assess the skills required by members and officers and make a commitment to develop those skills to enable roles to be carried out effectively 	<ul style="list-style-type: none"> training development plan 	<p>Councillors Development Group agrees members' training and development plans.</p> <p>Appraisal system and development plans for staff</p>	
	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> training and development plan reflect requirements of a modern councillor including: <ul style="list-style-type: none"> the ability to scrutinise and challenge the ability to recognise when outside advice is required advice on how to act as an ambassador for the community leadership and influencing skills 	<p>Councillors Development Group agrees members' training and development plans.</p>	
	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> performance management system 	<p>CIEB Performance reports Aiming for excellence – replaced by 'One council' Councillors Development Group agrees members' training and development plans</p>	
<ul style="list-style-type: none"> Encouraging new talent for membership of the council so that best use can be made of individuals' skills 	<ul style="list-style-type: none"> ensure that effective arrangements are in place designed to encourage individuals from all sections of the community to 	<ul style="list-style-type: none"> strategic partnership framework stakeholders' forums' terms of reference 	<p>Membership of CoNP and Delivery Boards</p> <p>Citizens Panel – see electronic evidence folder</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	Significant issue
and resources in balancing continuity and renewal	engage with, contribute to and participate in the work of the council	<ul style="list-style-type: none"> area forums' roles and responsibilities residents' panel structure 	<p>Norwich Tenants' CityWide Board and Tenant Participation Compact sets out how the council involves tenants and leaseholders. Plus Tenant Talk magazine.</p> <p>A new Housing Improvement Board has been established and includes tenant representatives – see Executive 13 May 09. Will be assisted by newly established community engagement team.</p> <p>Community Engagement Strategy to Exec 13 May 09</p>	
	<ul style="list-style-type: none"> ensure that career structures are in place for members and officers to encourage participation and development 	<ul style="list-style-type: none"> succession planning 	Personal development planning	

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	Significant issue
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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	Significant issue
<ul style="list-style-type: none"> Exercising leadership through a robust scrutiny function which effectively engages local people and all local institutional stakeholders, including partnerships, and develops constructive accountability relationships 	<ul style="list-style-type: none"> make clear to ourselves, all staff and the community, to whom we are accountable and for what 	<ul style="list-style-type: none"> community strategy 	City of Norwich Partnership (CoNP) Sustainable Community Strategy Corporate Plan 2010-12	
	<ul style="list-style-type: none"> consider those institutional stakeholders to whom the council is accountable and assess the effectiveness of the relationships and any changes required 		City of Norwich Partnership provides mechanisms for taking account of needs of institutional stakeholders See links to Board Members and Delivery Board Members	
	<ul style="list-style-type: none"> produce an annual report on the activity of the scrutiny function 	<ul style="list-style-type: none"> annual report 	Will be presented to Scrutiny Committee 18 June 09 and full Council 21 July 09.	
<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> community strategy 	Sustainable Community Strategy Communications strategy Customer Contact Strategy	

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	Significant issue
	<ul style="list-style-type: none"> hold meetings in public unless there are good reasons for confidentiality 		Constitution App 7 Access to Information Procedure Rules	
	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> processes for dealing with competing demands within the community 	<p>Executive received an update on the council's Neighbourhood Strategy in Feb 08, the first stage of which was to develop a community engagement strategy: the Community Engagement Strategy was adopted in May 09 and is on the council website</p> <p>Citizens Panel</p>	
	<ul style="list-style-type: none"> establish a clear policy on the types of 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"> partnership framework community strategy 	<p>City Council website - Consultations</p> <p>Community Engagement Strategy to Exec 13 May 09</p> <p>Communications strategy</p> <p>Public budget consultation document 2009/10</p> <p>Consultation on savings, Dec 09</p>	
	<ul style="list-style-type: none"> on an annual basis, publish a performance plan giving information on the council's 	<ul style="list-style-type: none"> annual report annual financial statements 	<p>Corporate Plan 2010-12</p> <p>Audit Committee 25 June 09:</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	Significant issue
	vision, strategy, plans and financial statements as well as information about its outcomes, achievements and the satisfaction of service users in the previous period	<ul style="list-style-type: none"> corporate plan annual business plan 	<p>Annual Statement of Accounts</p> <p>Report to Executive 26 May 2010: Quarter Four Performance Monitoring 2009-10</p>	
	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> constitution 	<p>Constitution App 7 Access to Information Procedure Rules</p> <p>Communications strategy</p> <p>Customer Contact Strategy</p>	
<ul style="list-style-type: none"> Making best use of human resources by taking an active and planned approach to meet responsibility to staff 	<ul style="list-style-type: none"> develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision making 	<ul style="list-style-type: none"> constitution 	<p>See HR policies handbook: B2 - Consultation procedure & B5 - Joint Consultative & Negotiating Committee</p> <p>Staff survey results 2008 and proposed actions: see hard copy on file. Also HR's Toolkit for change on the intranet.</p>	