

Appendix B

North Norfolk District Council

Updated Local Code of Corporate Governance

June 2010

North Norfolk District Council

Local Code of Corporate Governance

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1. What is Corporate Governance?

- 1.1. The Corporate Governance framework is made up of the systems and processes, culture and values by which an organisation is directed and controlled. For local authorities this includes how a council relates to the community it serves.
- 1.2. Good corporate governance requires the authority to be open, transparent, effective, inclusive of all sectors of the community, accountable to the public it serves and to demonstrate integrity.
- 1.3. This Code is a public statement of the ways in which the Council will achieve good corporate governance.
- 1.4. The Code is based around six principles which were identified in the joint publication by the Chartered Institute of Public Finance and Accountancy (CIPFA) and the Society of Local Authority Chief Executives (SOLACE). Their published guidance 'Delivering Good Governance in Local Government' (2007) identified the following as the essential criteria for the provision of good governance. The six principles are:
 - 1.4.1. Focusing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area.
 - 1.4.2. Members and officers working together to achieve a common purpose with clearly defined functions and roles.
 - 1.4.3. Promoting values for the Authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour.
 - 1.4.4. Taking informed and transparent decisions which are subject to effective scrutiny and managing risk.
 - 1.4.5. Developing the capacity and capability of Members and Officers to be effective.
 - 1.4.6. Engaging with local people and other stakeholders to ensure robust public accountability.
- 1.5. ***“Governance is about how local government bodies ensure that they are doing the right things, in the right way for everyone, in a timely, inclusive, open, honest and accountable manner. It comprises the systems and processes, and cultures and values, by which local government bodies are directed and controlled and through which they account to, engage with and where appropriate, lead their communities”***
- 1.6. By publishing a Code of Corporate Governance, the Council is demonstrating its commitment to ensuring the high standards of its public services.
- 1.7. By promoting the principles of openness, accountability, integrity and effective governance, the Council encourages public trust. There is a strong reputation within public life for high standards of conduct. With the increasing expectations of the public the Code of Governance seeks to demonstrate the maintenance of such standards.

- 1.8. The Code provides the public with greater awareness of the Council's governance arrangements and equips them with the knowledge to question the Council's plans and actions, thereby becoming more involved in the running of their area.
- 1.9. The Code also provides Members and Staff with the necessary guidance to help the Council fulfil its responsibilities to demonstrate it has proper arrangements in place 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.

2. The Principles of Corporate Governance

2.1. Focusing on the purpose of the Council and on outcomes for the community and creating and implementing a vision for the local area.

2.1.1 Exercise strategic leadership by developing and clearly communicating the authority's purpose and vision and its intended outcomes for citizens and service users by;

Requirement :	Compliance can be demonstrated by:	Source documents
Develop and promote the Council's purpose and vision	<ul style="list-style-type: none"> Publishing a three year Corporate Plan, which details the vision and priorities the Council has for North Norfolk and its citizens. Publishing three year Service Delivery Plans for all service units, detailing the objectives and performance targets and reflecting Corporate Plan priorities. Distributing "Outlook" and other publications to all homes across North Norfolk, clearly communicating the vision and priorities. Providing clear and comprehensive information on the Council's website. 	Community Empowerment Strategy, Parish and Town Council Forum Meetings (Agenda/Minutes), Local Area Partnerships (Agenda/Minutes), North Norfolk Community Partnership (Agenda/Minutes), Sustainable Community Strategy, Norfolk Action: Norfolk's Local Area Agreement (LAA), Corporate Plan 'Changing Gear', Service Delivery Plans, 'Outlook', Council's Website
Review on a regular basis the Council's vision for the local area and its impact on the authority's governance	<ul style="list-style-type: none"> Maintaining a Communications Strategy and developing a Community Empowerment Strategy which together underpin the exchange of views with citizens, service users and 	Corporate Plan 'Changing Gear', Service Delivery Plans, Medium Term Financial Strategy, Corporate Planning Framework 2010/11

arrangements	<p>other stakeholders.</p> <ul style="list-style-type: none"> • Holding regular Parish and Town Council Forum meetings and supporting the work of the seven Local Area Partnerships. • Use information from the Place Survey to review the vision 	Annual Governance Statement Place Survey
Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all parties	<ul style="list-style-type: none"> • Playing a leading role in the North Norfolk Community Partnership which has produced a Sustainable Community Strategy that has been adopted by the Council. • Working with our partners to deliver the key priorities identified in 'Norfolk Action: Norfolk's Local Area Agreement (LAA)', taking the lead role for improving housing. 	Local Area Partnerships (Agenda/Minutes), North Norfolk Community Partnership (Agenda/Minutes), Constitution, Partnership protocol / toolkit,
Publish an annual report on a timely basis to communicate the authority's activities and achievements, its financial position and performance	<ul style="list-style-type: none"> • Publishing an Annual Report and Performance Plan which includes comprehensive information on LAA and local performance indicators including three-year forward targets, and regularly reporting on progress. 	Annual Report and Performance Plan, 'Outlook', Council's Website

2.1.2 The Council will ensure that users receive a high quality of service whether provided directly or in partnership by:

Requirement	Compliance can be demonstrated by;	Source documents
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"> • Applying the principles of the Customer Charter and meeting the specified service standards. • Conducting citizen and service user surveys including the bi-annual place survey and publishing and using the results appropriately. • Achieving Level 3 (performing well) in the Council's Use of 	Customer Charter, Place, Resident and User Surveys, Performance Management Framework supported by on-line system, Performance and Risk Management Board (Agenda/Minutes), Quarterly Corporate Risk Review

	Resources assessment.	
Put in place effective arrangements to identify and deal with failure in service delivery	<ul style="list-style-type: none"> • Providing a complaints and compliments procedure and learning from the resulting information to take action and bring about improvement. • Taking action upon weaknesses identified through the performance management framework and from external reviews by the Audit Commission and others. 	Customer Charter, Place, Resident and User Surveys, Performance Management Framework supported by on-line system, Performance and Risk Management Board (Agenda/Minutes), Quarterly Corporate Risk Review

2.1.3 The Council will ensure it makes the best use of resources and that the council tax payers and service users receive excellent value for money by:

Requirement :	Compliance can be demonstrated by:	Source documents
Decide how value for money is to be measured and make sure that the authority or partnership has the information needed to review value for money and performance effectively. Measure the environmental impact of policies, plans and decisions	<ul style="list-style-type: none"> • Following the Council's strategy for securing value for money that is contained in the Corporate Plan and centres upon building organisational structures and processes that promote continuous improvement. • Implementing a three year organisational development plan based around eight improvement themes. • Benchmarking with other Local Authorities, e.g. neighbouring authorities and comparative group • Publishing a Medium Term Financial Plan (Financial Strategy) linked to the Corporate Plan that details planned efficiencies and sets out spending plans for the next 3 years on a rolling basis. • Producing a Corporate Environmental Strategy and Carbon Reduction Plan that aims to safeguard the District's environment in partnership with 	Annual Organisational Assessment (previously Use of Resources), Corporate Plan 'Changing Gear' includes VFM Strategy and Organisational Development Plan, Procurement Strategy, Medium Term Financial Plan includes planned efficiencies, Corporate Environmental Strategy and Implementation Plan

	<p>other organisations and everyone in the community.</p> <ul style="list-style-type: none"> • Delivering the aims of the Combined Equality Strategy. • Adopting best practice in commissioning and procurement. 	
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2.2 Members and officers working together to achieve a common purpose with clearly defined functions and roles.

2.2.1 The Council will ensure that there is effective leadership with clearly defined roles and responsibilities for executive, non-executive and scrutiny functions by:

Requirement :	Compliance can be demonstrated by:	Source documents
Set out a clear statement of the respective roles and responsibilities of the executive and of the executive's members individually and the authority's approach towards putting this into practice.	<ul style="list-style-type: none"> • Maintaining a Constitution, including a Scheme of Delegation, that is updated on a rolling basis and sets out the roles and responsibilities of both Members and Officers. • Appointing committees to discharge the Council's regulatory and scrutiny responsibilities. • Providing all Committees with clear terms of reference and agreeing work programmes to set out their roles and responsibilities. 	Constitution, Cabinet Terms of Reference, Scheme of Delegation, Record of decisions and supporting materials, Member / Officer Protocol, Member Training and Development Group
Set out a clear statement of the respective roles and responsibilities of other authority members, members generally and of senior officers	<ul style="list-style-type: none"> • Appointing a Chief Executive (and Head of Paid Service) and other Chief Officers who form the Corporate Management Team, and ensuring all staff have clear conditions of employment and job descriptions which set out their roles and responsibilities. • Maintaining a range of Protocols to guide Members and Officers in the discharge of their respective roles and responsibilities. 	Constitution, Scheme of Delegation, Member / Officer Protocol, Planning Protocol, Protocol on Representational Role of Members, Committee Terms of Reference, Committee Work Plans, Report Template (information quality for decision taking), Protocol on Chairmen, Statutory Officer Roles, Conditions of Employment,

	Job Descriptions
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2.2.2 The Council will ensure 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 by:

Requirement :	Compliance can be demonstrated by:	Source documents
<p>Determine a scheme of delegation and reserve powers within the constitution, including a formal schedule of those matters specifically reserved for collective decision of the authority taking account of relevant legislation and ensure that it is monitored and updated when required</p>	<ul style="list-style-type: none"> • Maintaining a Protocol on Member/Officer relations which describes and regulates the way in which Members and Officers should interact to work effectively together. • Determining, and regularly reviewing, powers that are reserved and a Scheme of Delegation, thereby providing clear direction to Members and Officers of the scope of their responsibilities. • Regular meetings between the Cabinet and the Corporate Management Team, and engagement of senior managers with the scrutiny function • Production of forward plan for key decisions 	<p>Constitution (reviewed on 6-month rolling basis), Member/Officer Codes of Conduct, Publish 3 monthly Forward Plan</p>
<p>Make a chief executive or equivalent responsible and accountable to the authority for all aspects of operational management</p>	<ul style="list-style-type: none"> • Making the Chief Executive responsible for all aspects of operational management which is clearly defined within the Council's constitution. 	<p>Constitution (reviewed on 6-month rolling basis), Chief Executive Appointment, Annual Governance Statement, Scheme of Delegation, Conditions of Employment, Job Descriptions, Employee Appraisal Scheme, Member/Officer Codes of Conduct, Scrutiny Committee (agenda/minutes), Member Training</p>

		and Development Group
Develop protocols to ensure that the leader and chief executive (or equivalent) 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"> • Maintaining an Employee Appraisal Scheme for all staff including Chief Officers. • Adopting Codes of Conduct for Members and officers, to which all must adhere. • Maintaining a Standards Committee with responsibility for overseeing the behaviour of Members. • Maintaining a Scrutiny Function, that provides overview and scrutiny of all Council activities and operates a call in facility. • Providing Members with adequate training and development opportunities in order for them to fulfil their roles and responsibilities. 	Constitution (reviewed on 6-month rolling basis), Member/Officer Protocol, Corporate Management Team (agenda/minutes), Employee Appraisal Scheme, Member/Officer Codes of Conduct, Standards Committee (agenda/minutes), Scrutiny Committee (agenda/minutes), Member Training and Development Group
Make a senior officer (usually the section 151 officer) responsible to the authority 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"> • S151 Officer appointed and a member of the Corporate Management Team • Chief Finance Officer protocol adopted • Standard report template requires sign-off by S151 Officer 	Constitution (reviewed on 6-month rolling basis), Monitoring Officer Appointment(including protocol), Report Template (information quality for decision taking), Employee Appraisal Scheme, Member Training and Development Group
Make a senior officer (other than the responsible financial officer) responsible to the authority for ensuring that agreed procedures are followed and that all applicable statutes, regulations are complied with (usually the	<ul style="list-style-type: none"> • Monitoring Officer appointed and documented within the constitution • Monitoring Officer Protocol adopted • Standard report template requires sign-off by Monitoring Officer 	Constitution (reviewed on 6-month rolling basis), Chief Financial Officer / S151 Appointment (including protocol), Report Template (information quality for decision taking), Employee

monitoring officer)		Appraisal Scheme, Member Training and Development Group
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2.2.3 The Council will ensure relationships between the authority, its partners and the public are clear so that each knows what to expect of the other by:

Requirement :	Compliance can be demonstrated by:	Source documents
Develop protocols to ensure effective communication between members and officers in their respective roles	<ul style="list-style-type: none"> • Adopting Codes of Conduct for Members and officers, to which all must adhere. • Communications Strategy agreed • Staff and Members Bulletins form part of agreed communications strategy • Scheme of delegation details consultation and notification requirements 	Member/Officer Protocol, Planning Protocol, Protocol on Chairmen, Outside Bodies Advice to Members, Member/Officer Codes of Conduct
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"> • The establishment of an independent remuneration panel to review Member allowances • A job evaluation scheme is in operation for officer remuneration • A pay and grading review group has been established to review the Job Evaluation scheme 	Pay and Conditions Policies and Practices, Job Evaluation Scheme, Independent Remuneration Panel (agenda/minutes), Scheme of Allowances
Ensure that effective mechanisms exist to monitor service delivery	<ul style="list-style-type: none"> • Comprehensive performance management framework and electronic performance system for recording and reporting performance and service planning. • Performance and Risk Management Board comprise CMT and senior members of the Cabinet including the Leader. 	On-line Performance Management System, Performance and Risk Management Board (agenda/minutes), Budget Monitoring, Complaints and Compliments Procedure, Service Plans (updated annually), Annual Report and Performance Plan, Annual Financial Statements,

		Annual Governance Statement
Ensure that the organisation's vision, strategic plans, priorities and targets are developed through robust mechanisms, and in consultation with the local community and other key stakeholders, and that they are clearly articulated and disseminated	<ul style="list-style-type: none"> Community consultation undertaken by Mori informed the development of the Community Strategy and the Council's 3 year Corporate Plan. Where District targets support LAA targets these are clearly identified within the Annual Performance Report. Targets are reviewed annually and incorporated within service plans A Performance and Risk Management Board reviews performance and assesses corporate risk on an ongoing basis 	On-line Performance Management System, Performance and Risk Management Board (agenda/minutes), Budget Monitoring, Service Plans (updated annually), Annual Report and Performance Plan, Annual Financial Statements, Annual Governance Statement, Corporate Plan 'Changing Gear', Medium Term Financial Strategy, Communications and Consultation Strategy, Community Engagement Strategy including Hard to Reach Groups, Outlook, Website, Community Consultation 2007, Local Strategic Partnerships, North Norfolk Community Partnership, Parish and Town Council Forum, Youth Forum, Business Forums
When working in partnership ensure that members are clear about their roles and responsibilities both individually and collectively in relation to the	<ul style="list-style-type: none"> Appointments on outside bodies are made by the Full Council. Annual reports are required from appointees on the work of the body or partnership Further guidance and protocols 	Outside Bodies Advice to Members, Website, Constitution, Procurement Strategy, Partnership protocol / toolkit,

partnership and to the authority	will be produced for Member appointments on outside bodies and a corporate database of all partnerships and appointments maintained.	Individual Partnership / Service Level Agreements
When working in partnership: - ensure that there is clarity about the legal status of the partnership - ensure that representatives or organisations both understand and make clear to all other partners the extent of their authority to bind their organisation to partner decisions	<ul style="list-style-type: none"> Partnership toolkit applied to assess the risks associated with partnerships and identify significant partnerships The governance arrangements of significant partnerships are subject to annual review Partnership register maintained 	Outside Bodies Advice to Members, Website, Constitution, Procurement Strategy, Partnership protocol / toolkit, Individual Partnership / Service Level Agreements

2.3 Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour.

2.3.1 The Council will strive to ensure its members and officers exercise leadership by behaving in a way that exemplifies high standards of conduct and effective governance by:

Requirement :	Compliance can be demonstrated by:	Source documents
Ensure that the authority's leadership sets a tone for the organisation by creating a climate of openness, support and respect	<ul style="list-style-type: none"> The authority's leadership style underpinned by the Constitution, Policies, Protocols and Codes of Conduct. The values of the organisation are documented within the Corporate Plan The Council has introduced and encourages public speaking at Committees. The Council has invested in upgrading the website and actively manages its content to ensure easy access to information. 	Constitution, Standards Committee Articles in 'The Briefing' / Members Bulletin / Outlook, Staff Survey, Employee Appraisal Scheme, Member/Officer Codes of Conduct, Member/Officer Protocol, Whistle blowing policy, Anti Fraud and Corruption Policy, Freedom of Information (statement and publication)

		scheme), Planning Protocol, Officer Register of Gifts and Hospitality, Member / Officer Registers of Interests
Ensure that standards of conduct and personal behaviour expected of members and staff, of work between members and staff and between the authority, its partners and the community are defined and communicated through codes of conduct and protocols	<ul style="list-style-type: none"> • Codes of conduct are included within the Council's constitution • The whistleblowing policy is in place and understood • The standards committee provides the framework for dealing with member complaints including those from town and parish councils • A register of interests, gifts and hospitality is maintained and promoted amongst staff and Members • Third party interest declarations are completed each year for Members and Chief Officers • Standards produce and annual report and this will be further strengthened by a review of the standards framework during 2010. • Introducing in 2010 ethical audits to be completed on a 3 yearly basis 	Employee Appraisal Scheme, Member/Officer Codes of Conduct, Member/Officer Protocol, Whistle blowing policy, Anti Fraud and Corruption Policy, Officer Register of Gifts and Hospitality, Performance Management Framework, Complaints and Compliments Procedure, Information and Communication Technology (ICT) Security Policy
Put in place arrangements to ensure that members and employees of the authority are not influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders and put in place appropriate processes to ensure that they continue to operate in practice	<ul style="list-style-type: none"> • Internal audit reviews annually the Council's internal control and governance arrangements which are reported to the audit committee 	Constitution, Member/Officer Codes of Conduct, Whistle blowing policy, Anti Fraud and Corruption Policy, Planning Protocol, Officer Register of Gifts and Hospitality, Member / Officer Registers of Interests, Financial Regulations,

		Contract Procedure Rules, Combined Equalities Scheme, Intranet (Ethics and Governance Section), Member / Officer Induction and Training Audit Committee terms of reference
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2.3.2 The Council will ensure its values are put into practice and are effective by:

Requirement :	Compliance can be demonstrated by:	Source documents
Develop and maintain shared values including leadership values both for the organisation and staff reflecting public expectations and communicate these with members, staff, the community and partners	<ul style="list-style-type: none"> Shared values have been developed and are documented within the Corporate Plan Leadership training has taken place between the Corporate Management Team and the Cabinet to reinforce these values 	Corporate Plan 'Changing Gear', Member/Officer Codes of Conduct, Staff Survey, Workforce Development Strategy (currently Our People Strategy and Development Plan)
Put in place arrangements to ensure that procedures and operations are designed in conformity with appropriate ethical standards, and monitor their continuing effectiveness in practice	<ul style="list-style-type: none"> Policies and Protocols are in place Ethical audits to be conducted on a 3 year cycle 	Member/Officer Codes of Conduct, Contract Procedure Rules, Anti Fraud and Corruption Policy, Member / Officer Registers of Interests, Standards Committee (Agenda / Minutes), Monitoring Officer's Report
Develop and maintain an effective standards committee	<ul style="list-style-type: none"> An annual report is produced by the standards committee for Council. An annual review of the effectiveness of the standards framework is planned for the future commencing in 2010. 	Constitution, Agenda and Minutes, Regular Meetings, Independent / Parish Members exceeds statutory minimum, Local Assessment Framework, Regular Reporting

		to Authority
Use the organisations shared values to act as a guide for decision making and as a basis for developing positive and trusting relationships within the authority	<ul style="list-style-type: none"> The training programme for leadership and management training has been driven by the values of the organisation and in preparing and conducting staff appraisals 	Corporate Plan 'Changing Gear', Whistle blowing policy, Decision making protocols, Report Template (information quality for decision taking), Articles in 'The Briefing' / Members Bulletin / Outlook, Planning Protocol
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"> Individual partnership assessments ensure that partnerships are evaluated before being established and once in operation. 	Partnership protocol / toolkit, Individual Partnership Agreements, Partnership performance included in budget Monitoring, Partners / Partnerships investigated / assessed by Scrutiny Committee

2.4 Taking informed and transparent decisions which are subject to effective scrutiny and managing risk.

2.4.1 The Council will ensure good quality information, advice and support is provided to ensure that services are delivered effectively and are what the community wants/needs by:

Requirement :	Compliance can be demonstrated by:	Source documents
Develop and maintain an effective scrutiny function which encourages constructive challenge and enhances the organisation's performance overall and of any organisation for which it is responsible	<ul style="list-style-type: none"> The Scrutiny Committee workplan is developed alongside the Cabinet workplan Members are trained on effective scrutiny and attend other Council scrutiny committees to develop and learn from others 	Constitution, Scrutiny Committee (Work Plan, Agenda, Reports and Minutes), Scrutiny Questioning of Cabinet Members, Officers and Partners, Successful Outcomes from Scrutiny, Annual Scrutiny Report, Ongoing Training

		(through Norfolk Scrutiny Network)
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"> Committee template requires specific information in support of recommendations Scheme of delegation has standard pro forma 	Decision making protocols, Record of decisions and supporting materials, Report Template (information quality for decision taking), Availability of Professional Advice (attendance list), Decision list published
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	<ul style="list-style-type: none"> Members and officers are advised of the codes of conduct and the need to register interests and/or make declarations of interest 	Report Template (information quality for decision taking), Member/Officer Codes of Conduct, Member / Officer Registers of Interests, Declarations of Interest, Member/Officer Codes of Conduct and Guidance, Articles in 'The Briefing' / Members Bulletin / Outlook, Officer / Member Training, Standards Committee (Agenda / Minutes), Monitoring Officer's Report
Develop and maintain an effective audit committee (or equivalent) which is independent or make other appropriate arrangements for the discharge of the functions of such a committee	<ul style="list-style-type: none"> An annual review of the effectiveness of the audit committee is undertaken The audit committee monitors an improvement plan prepared against its own self assessment 	Constitution, Audit Committee (Membership, Terms of Reference, Work Plan, Agenda, Reports and Minutes), Audit Committee Reports to Full Council, Annual Governance Statement, Audit Committee Training

Put in place effective transparent and accessible arrangements for dealing with complaints	<ul style="list-style-type: none"> All complaints and compliments are recorded on a corporate database. Reporting of complaints and compliments is due to be published on a quarterly basis from April 2010. 	Complaints and Compliments Procedure
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2.4.2 The Council will ensure good quality information, advice and support is provided to ensure that services are delivered effectively and are what the community wants/needs by:

Requirement :	Compliance can be demonstrated by:	Source documents
Ensure that those making decisions whether for the authority or partnership are provided with information that is fit for the purpose – relevant, timely and gives clear explanations of technical issues and their implications	<ul style="list-style-type: none"> Committee templates and sign off forms, ensure all relevant information is included and Senior Managers and Members review documents prior to agenda publication S151 Officer and Monitoring Officer receive advance copies of reports Publication of key decisions in the forward plan 	Members' induction and training, Protocol on Chairmen / Training Committee template Data Quality Policy
Ensure that professional advice on matters that have legal or financial implications is available and recorded well in advance of decision making and used appropriately	<ul style="list-style-type: none"> The report template requires prior 'sign off' of reports by statutory officers ahead of pre meetings with relevant officers and Members. 	Report Template requiring input from Monitoring Officer and S151 Officer (information quality for decision taking) / Positive Sign Off, Monitoring Officer Protocol, S151 Officer Protocol

2.4.3 The Council will ensure that an effectiveness risk management system is in place by:

Requirement :	Compliance can be demonstrated by:	Source documents
Ensure that risk management is embedded into the culture of the organisation , with members and managers at all levels recognising that risk management is part of	<ul style="list-style-type: none"> Adopting and maintaining a risk framework and striving to embed risk management into all aspects of decision taking, corporate and service planning, and service delivery. Making the Audit Committee responsible for overseeing the effectiveness of the risk 	Risk management framework, Financial Standards and Regulations, Corporate Plan 'Changing Gear', Medium Term Financial Strategy,

their job	<p>management arrangements and providing assurance to the Council in this respect.</p> <ul style="list-style-type: none"> • Maintaining a strategic risk register which is reviewed and updated by the Performance and Risk Management Board. • Annual completion of self assessments by all Managers 	<p>Budget Monitoring, Corporate Risk Register, Performance and Risk Management Board (Agenda / Minutes), Auditors' Reports / Action Plans, Report Template (information quality for decision taking), Risk and Control self assessment completed by all managers, Audit Committee (Work Plan, Agenda, Reports and Minutes), Audit Committee Reports to Full Council, Annual Governance Statement, Health & Safety Training & Assessments</p>
Ensure that arrangements are in place for whistle blowing to which staff and all those contracting with the authority have access	<ul style="list-style-type: none"> • Whistleblowing policy updated during 2009 and promoted to staff and a wider audience using posters and the web 	<p>Whistle blowing policy, Register of whistle blowing reports and actions taken, Information for Contractors, Leaflets, Note on invoices, Publicity externally and internally, Posters</p>

2.4.4 The Council will strive to ensure that it uses its legal powers to the full benefit of the citizens and communities in North Norfolk by:

Requirement :	Compliance can be demonstrated by:	Source documents
Actively recognise the limits of lawful activity placed on them by, for example the ultra vires doctrine but also strive to utilise powers to the full benefit of their	<ul style="list-style-type: none"> • Clearly documenting the roles and responsibilities of Members and the scope of their activities within the Constitution. • Appointing a Monitoring Officer 	<p>Constitution, Monitoring Officer Provisions / Protocol, Report Template requiring input from Monitoring Officer</p>

communities	<p>responsible for the maintenance of the Constitution and for guiding members on the information contained therein.</p> <ul style="list-style-type: none"> • Having available appropriate legal advice both on the specific requirements of legislation and the general responsibilities placed on local authorities by public law. 	and S151 Officer (information quality for decision taking) / Positive Sign Off, Statutory Provisions
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	<ul style="list-style-type: none"> • Integrating the key principles of good administrative law into its procedures and decision making processes including the provision of appeals/complaints systems and regularly reviewing 	Constitution, Monitoring Officer Provisions / Protocol, Report Template requiring input from Monitoring Officer and S151 Officer (information quality for decision taking) / Positive Sign Off, Protocol on Chairmen / Training, Clerking standards, Availability of legal advice
Observe all specific legislative requirements placed upon them, 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 their procedures and decision making processes	<ul style="list-style-type: none"> • Ombudsman and external audit reports to identify areas where improvements should be made. 	Monitoring Officer Provisions / Protocol, Report Template requiring input from Monitoring Officer and S151 Officer (information quality for decision taking) / Positive Sign Off, Statutory Provisions, Standing Orders, Complaints and Compliments Procedures, Investigations, Format for quasi judicial committees, "Have your say" leaflet, Planning protocol

2.5 Developing the capacity and capability of members and officers to be effective.

2.5.1 The Council will ensure that Members and officers have the skills, knowledge and experience and resources they need to perform well in their roles by:

Requirement :	Compliance can be demonstrated by:	Source documents
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"> • Providing tailored induction programmes for new Members and regular briefings for all Members supported by the Members bulletin. • Implementing a training and development plan which provides Members with opportunities to develop and strengthen their capacity as confident and effective political and community leaders. • Implementing a Workforce Development Strategy which covers all aspects of appointment, induction, appraisal and training of staff. 	Member Training and Development Group, Members Induction / Update Workshops, Members Bulletin, Workforce Development Strategy (currently Our People Strategy and Development Plan), Staff Induction, Staff Appraisal Scheme, Personal Development Plans, Training and Development Plan, The Briefing
Ensure that the statutory officers have the skills, resources and support necessary to perform effectively in their roles and that these roles are properly understood throughout the organisation	<ul style="list-style-type: none"> • Ensuring that Statutory Officers such as the Monitoring Officer and the s151 Officer have clear job descriptions and are supported by protocols. • Requiring managers to consider resource implications in their service plans. 	Staff Appraisal Scheme, Personal Development Plans, Training and Development Plan, Service Plans, Staff Handbook, Monitoring Officer Protocol, S151 Officer Protocol

2.5.2 The Council will develop the capabilities of people with governance responsibilities and evaluating their performance as an individual and as a group by:

Requirement :	Compliance can be demonstrated by:	Source documents
Assess the skills required by members and officers and make	<ul style="list-style-type: none"> • Assessing the skills required by members and officers through appraisal and 	Staff Appraisal Scheme, Personal

a commitment to develop those skills to enable roles to be carried out effectively	personal development plans and demonstrating commitment to develop these skills through the work of the Member Training and Development Group and through implementation of the Workforce Development Strategy.	Development Plans, Member Training and Development Group, Workforce Development Strategy (currently Our People Strategy and Development Plan)
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"> • Prioritising training and development needs and developing skills on a continuing basis to improve performance including use of outside advice/provision when considered necessary. • Budget provision for specialist work is made available within certain service budgets on an annual basis 	Staff Appraisal Scheme, Personal Development Plans, Member Training and Development Group, Workforce Development Strategy (currently Our People Strategy and Development Plan), Training and Development Plan, Standards Committee Assessment / Annual Report, Audit Committee Assessment / Annual Report
Ensure that effective arrangements are in place for reviewing the performance of the authority 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 and Risk Management Board reviews organisational performance and recommends actions to address under-performance which may include training • Electronic Performance Management system updated monthly. 	Performance Management Framework, Annual Organisational Assessment (previously Use of Resources), Improvement Plan

2.5.3 The Council will encourage new talent for membership of the Authority so that best use can be made of individuals' skills and resources in balancing continuity and renewal by:

Requirement :	Compliance can be demonstrated by:	Source documents
Ensure that effective arrangements designed	<ul style="list-style-type: none"> • Developing a community empowerment strategy that 	Strategic partnership

to encourage individuals from all sections of the community to engage with, contribute to and participate in the work of the authority	recognises and supports all of the mechanisms that allows for effective community engagement including area forums, local area partnerships, youth forums and older people forums as well as specific targeting of hard to reach groups.	framework, Stakeholder Forums, Area Forums, Combined Equalities Strategy, Residents Panel, Candi-dating
Ensure that career structures are in place for members and officers to encourage participation and development	<ul style="list-style-type: none"> Ensuring that career structures are in place for members and officers to encourage participation and development including Member Champions, Cabinet Support Members and project group working. Larger teams operate career graded structures to recognise development needs 	Succession Planning, Member Champions, Cabinet Support Members, Project Groups

2.6 Engaging with local people and other stakeholders to ensure robust public accountability.

2.6.1 The Council will exercise leadership which effectively engages local people and all local institutional stakeholders, including partnerships, and develops constructive, accountable relationships by:

Requirement :	Compliance can be demonstrated by:	Source documents
Make clear to themselves, all staff and the community, to whom they are accountable and for what	<ul style="list-style-type: none"> Supporting a North Norfolk Community Strategy with the North Norfolk Community Partnership. Providing the citizens of North Norfolk with information about the Council and its spending through the distribution of a leaflet with their Council Tax bill and the publication of a summary of annual report and the year end accounts in the 'Outlook' publication which is distributed to all homes in North 	Constitution, Community Strategy, Stakeholder Identification, Performance Management Framework, Outlook, Communications and Consultation Strategy, Satisfaction Surveys, Councillor Call to Action, Council Tax Information Leaflet, Crime and Disorder Partnership, Outlook

	Norfolk.	
Consider those institutional stakeholders to whom they are accountable and assess the effectiveness of the relationships and any changes required	<ul style="list-style-type: none"> Establishing and supporting a comprehensive range of forums and partnerships that encourage district-wide and local engagement and participation. 	Stakeholder Identification, Communications and Consultation Strategy, Statutory Provisions, Stakeholder Surveys, Website, Corporate Plan 'Changing Gear, Forums and Partnerships
Produce an annual report on scrutiny function activity	<ul style="list-style-type: none"> Producing a scrutiny report that covers the activities of the Committee and its relationship with stakeholders which is reporting on annually to Council. 	Annual Report and Performance Plan

2.6.2 The Council will take an active approach to dialogue with, and accountability to, the public to ensure effective and appropriate service delivery whether directly by the Authority, in partnership or by commissioning by:

Requirement :	Compliance can be demonstrated by:	Source documents
Ensure that clear channels of communication are in place with all sections of the community and other stakeholders including monitoring arrangements to ensure that they operate effectively	<ul style="list-style-type: none"> Taking a leading role in the North Norfolk Community Partnership. Developing and implementing a wide range of strategies which together provide a framework for consultation, engagement and participation. Parish and Town Council forums and Local Area Partnerships 	Communications and Consultation Strategy, Combined Equalities Strategy, North Norfolk Community Partnership, Parish and Town Council Forum minutes, Business Forums, Local Area Partnership minutes and reports to the LSP, Crime and Disorder Partnership, Local Development Framework Consultation
Hold meetings in public unless there are good reasons for confidentiality	<ul style="list-style-type: none"> Council stakeholder meetings are held in public unless there are good reasons for confidentiality. 	Constitution, Meetings Protocol, Access to Information Rules, Corporate Plan 'Changing Gear'
Ensure arrangements	<ul style="list-style-type: none"> Community 	Communications and

<p>are in place to enable the authority to engage with all sections of the community effectively. These arrangements should recognise that different sections of the community have different priorities and establish explicit processes for dealing with these competing demands</p>	<p>empowerment strategy</p> <ul style="list-style-type: none"> • Supporting the youth forum and older people's forum • Adoption of the combined equalities scheme and action plan. • Support the migrant workers/new communities forum. 	<p>Consultation Strategy, Combined Equalities Scheme and Framework North Norfolk Community Partnership, Parish and Town Council Forums, Business Forums, Local Area Partnerships, Crime and Disorder Partnership, Service Plans, Budget Consultation Meeting</p>
<p>Establish a clear policy on the types of issues they will meaningfully consult on or engage with the public and service users including a feedback mechanism for those consultees to demonstrate what has changed as a result</p>	<ul style="list-style-type: none"> • To be more clearly developed alongside the Community Empowerment Strategy 	<p>Communications and Consultation Strategy, Combined Equalities Strategy, North Norfolk Community Partnership, Parish and Town Council Forums, Business Forums, Local Area Partnerships, Crime and Disorder Partnership, Budget Consultation Meeting, Outlook</p>
<p>On an annual basis, publish a performance plan giving information on the authority's vision, strategy, plans and financial statements as well as information about its outcomes, achievements and the satisfaction of service users in the previous period</p>	<ul style="list-style-type: none"> • Each year the Council produces an Annual Report and Performance Plan 	<p>Corporate Plan 'Changing Gear', Annual Report and Performance Plan, Annual Financial Statements, Annual business plan</p>
<p>Ensure that the authority 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</p>	<ul style="list-style-type: none"> • Organisation values are documented within the Corporate Plan, which in turn influence the development of policy, codes and protocols within the organisation 	<p>ICT Security Policy, Communications and Consultation Strategy. Constitution, Customer Charter and Standards, Freedom of Information Act / Publication Scheme, Officer / Member Codes of Conduct, Partnerships Protocol / Toolkit,</p>

preserve confidentiality in those specific circumstances where it is proper and appropriate to do so		Whistle blowing Policy, Anti-fraud and Corruption Policy, Monitoring Officer Protocol, Data Protection Policy, ICT Security Policy
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2.6.3 The Council will make the best of human resources by taking an active and planned approach to meeting responsibilities of staff by:

Requirement :	Compliance can be demonstrated by:	Source documents
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"> • Maintaining comprehensive consultation arrangements with staff representatives. • Maintaining an effective staff appraisal scheme that includes key performance targets and personal development plans. • Preparing a Workforce Development Strategy including an action plan against which progress is monitored. • Maintaining Investors in People accreditation. • Accessing staff opinions through regular staff surveys. • Maintaining comprehensive and effective HR policies linked to the Combined Equalities Scheme. 	Joint Staff Consultation Committee, Staff Appraisal Scheme, Personal Development Plans, Workforce Development Strategy (currently Our People Strategy and Development Plan), Investors in People, Staff Surveys, HR Policies, Combined Equalities Strategy

3 Code of Corporate Governance Action Plan

- 3.1 The action plan is updated annually following the review of the Local Code and will be reported as part of the assurances required in preparing the Annual Governance Statement.

4 **Monitoring and Review**

- 4.1 Good corporate governance requires the active participation of both Members and Officers across the Council.

- 4.2 In order to ensure that this Code is effectively maintained and embedded within the Council, the following monitoring and review procedures will apply:

- 4.2.1 **The Performance and Risk Management Board** will have responsibility for:

- Ensuring the Code is maintained as a living document.
- Monitoring progress on the Code's action plan.
- Ensuring that the Council's Annual Governance Statement (AGS) is prepared and for monitoring the implementation of changes to the Code identified by the AGS process.

- 4.2.2 **Internal Audit** will have the responsibility for:

- Undertaking an annual review of internal control and governance, utilising assurance statements from Chief Officers, the statutory officers and other appropriate senior staff.

- 4.2.3 **The Audit Committee** provides independent assurance of the adequacy of the risk management framework and the associated control environment, independent scrutiny of the authority's financial and non-financial performance to the extent that it affects the authority's exposure to risk and the control environment and to oversee the financial reporting process. The Committee's terms of reference are as follows:

Audit Activity

- To consider the head of internal audit's annual report and opinion, and internal audit activity (actual and proposed) and the level of assurance it can give over the council's corporate governance arrangements.
- To consider specific internal audit reports as requested.
- To consider a report from internal audit on agreed recommendations not implemented within a reasonable timescale.
- To consider the external auditor's annual letter, relevant reports, and the report to those charged with governance.
- To comment on the scope and depth of external audit work and to ensure it gives value for money.

- To liaise with the Audit Commission over the appointment of the council's external auditor.
- To commission work from internal and external audit.
- To review the annual statement of accounts. Specifically, to consider whether appropriate accounting policies have been followed and whether there are concerns arising from the financial statements or from the audit that need to be brought to the attention of the council.

Regulatory Framework

- Jointly with Standards Committee, to maintain an overview of the council's constitution in particular with respect to the risk management and financial control environment
- To review any issue referred to it by the chief executive or a director, or any council body.
- To monitor the effective development and operation of risk management and corporate governance in the council.
- Jointly with Standards Committee, to monitor council policies on whistle-blowing and the antifraud and anti-corruption strategy and the council's complaints process.
- To monitor the production of the authority's Annual Governance Statement, to consider its contents and to recommend its adoption.
- To consider the council's arrangements for corporate governance and proposing necessary actions to ensure compliance with best practice.
- To consider the external auditor's report to those charged with governance on issues arising from the audit of the accounts.

4.2.4 **The Standards Committee** exercises the functions conferred upon it by or under part III of the Local Government Act 2000 (as amended by the Local Government and Public Involvement in Health Act 2007). From 8 May 2008 Regulations came into force which changed the role and make up of the Standards Committee.

The Committee seeks to promote, monitor and enforce probity and high ethical standards within the District Council and Parish Councils within the District of North Norfolk.

The key functions of the Standards Committee are now:

- Promoting and maintaining high standards of conduct by Councillors and co-opted Members.
- Advising the Council on the adoption or revision of the Members' Code of Conduct.
- Monitoring the operation of and assisting Councillors and co-opted Members to observe the Members' Code of Conduct.

- Advising, training or arranging to train Councillors and co-opted Members on matters relating to the Members' Code of Conduct
- Granting dispensations to Councillors and co-opted Members from requirements relating to interests set out in the Members' Code of Conduct.
- Receiving complaints about Members.
- Initial assessment of complaints about Members and reviewing decision to take "no action".
- Conducting determination hearings in respect of alleged breaches of the Code of Conduct and deciding appropriate penalties.
- The 'Committee also deals with any breaches of the Council's other protocols relating to Members.

It also:

- Receives reports of the Monitoring Officer and of any Ethical Standards Officer and to take actions on those reports as may be available to them by law.
- Maintains an overview of the Council's Constitution (in conjunction with the Audit Committee) in respect of the ethical framework for Members and Officers.
- Monitors Council policies in respect of Whistle blowing, Anti-Fraud and Corruption Policy and complaints.

5 Conclusion

- 5.1 The Local Code of Corporate Governance is a dynamic document that will need to be kept up to date.
- 5.2 The purpose of the annual governance statement is to provide accurate representation of the arrangements in place during the year and highlight those areas where improvement is required.