

HOW TO MAKE PARTNERSHIPS WORK:

A GUIDE TO EFFECTIVE PARTNERSHIP WORKING

Revised January 2011

10 key principles of successful partnerships

- 1) **A shared vision:** built on genuine consultation and reflecting the key issues we wish to resolve
- 2) **Clear objectives:** that are Specific, Measurable, Achievable, Realistic, Time bound (SMART), that are effective, properly resourced and have commitment to a common strategy
- 3) **Defined roles and responsibilities:** including accountability and terms of reference
- 4) **Effective performance management:** including setting performance indicators and evaluating outcomes achieved to show that the partnership's aims have been met
- 5) **Learning and Development:** Investment in partnership team building in the early stages and making sure membership has the right mix of skills and expertise
- 6) **Focusing on the people in the partnership:** nurturing the relationships with the opportunity for a personal contribution at all levels and a realisation of benefits for all partners
- 7) **Governance arrangements:** must reflect the responsibilities and risks involved and accepted by the partnership. Financial and risk management-effective partnerships will make sure that resources are used efficiently to meet the aims of the partnership, that there is a commitment of resources necessary for the tasks, and give value for money assurance.
- 8) **Effective communications and co-ordination networks:** partnerships should have a protocol for communications and how they will share information
- 9) **Consistent and firm leadership:** to successfully integrate and maximize the available resources in order to achieve common goals.
- 10) **Regular review and agreed exit strategy:** knowing when the job is done or when no more benefit will accrue.

In essence, partnerships that are successful can show:

- **Good governance:** the partnership is consistent and well managed- i.e. 'fit for purpose'
- **Value For Money:** the resources available have been used economically (inputs), efficiently (process) and effectively (outputs/outcomes)
- **Added value:** something is delivered that could not have been achieved by any other form of working arrangement
- **Outcomes:** the partnership can clearly demonstrate the impact it has had

For more information about how to start a partnership, get the best out of joint working or how to exit a partnership, read on.

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Harrogate Borough Council: Partnership Strategy and Toolkit

1.0 Introduction

1.1 Why this strategy and toolkit have been developed

We have a long history of partnership working and we need to make sure our involvement at all levels is consistent, adds value and provides value for money across the board, an approach that needs to be taken by every officer and councillor.

The importance of partnership working has become increasingly significant and is recognised by the Government as a way of planning and delivering services in a more efficient and effective way and as a method for demonstrating community leadership.

Partnership working will assist in delivering the Councils vision for the Harrogate District: 'The best place to live, work and visit – by miles' and to delivering the Councils corporate priorities; Caring for the environment, Homes for local people, A connected district, Stronger and safer communities, A strong local economy and Shaping the Council towards excellence.

The 'duty to co-operate' under the Local Government and Public Involvement in Health Act 2007 - stresses the importance of working in partnership with partners and other community and voluntary groups. We are therefore bound by legislation to work together with other organisations for the good of our community.

There are many benefits to working in partnership including:

- Improved service delivery through integration and co-ordination of the organisations that provide local services.
- By working to a shared vision and goals the outcome can be better achieved utilising the resources available in a more efficient manner.
- Partnership working has the flexibility to include the wider community in decision-making and delivery of actions.
- Accessing funding streams will be helped by partners being able to demonstrate how outcomes will be delivered together to address shared issues and priorities.

1.2 The purpose of the strategy and toolkit

This strategy and toolkit are designed to help in reviewing current and future partnership working. They outline the approaches that are to be applied when considering introducing new partnerships and reviewing existing arrangements, they also identify good governance arrangements that are key to good performing partnerships.

It will ensure that for each partnership:

- the council is clear about purpose and expected outcomes
- the council's corporate objectives and priorities are being met
- will be able to demonstrate a clear rationale for our involvement in any particular partnership
- there is clarity about accountability and responsibility for the desired achievements
- partnership activity and achievements are monitored, reported on, reviewed and evaluated for efficiency purposes
- best use is made of available resources and value for money is achieved
- risks for the council and the partnership are identified, assessed and agreed

- the partnership delivers what it planned to do within agreed timescales and has an exit strategy
- periodic reviews are undertaken to evaluate success, future challenges and improve effectiveness
- partnerships are empowered and their status understood.

1.3 Who is the Strategy and toolkit for?

The strategy and toolkit are designed for the use of all Harrogate Borough Council officers and, councillors. We will also share it with our partners so that there is a common understanding of how the council works in partnership and what our expectations are.

Within the toolkit guidance is given for each stage of a partnership, from its conception to its termination. The key stages are:

- **making the business case for establishing a new partnership**
- **the key components required to establish a partnership (effective governance framework)**
- **reviewing a partnership**
- **exiting a partnership**

2.0 Definitions

2.1 Defining a partnership

The terms 'partnership' and 'partnership working' are used frequently by all sectors but are often defined and interpreted differently. To make partnerships effective they need to be distinguished from other joint arrangements such as informal relationships or networks.

The Audit Commission simply define a partnership as:

'An agreement between two or more independent bodies to work collectively to achieve an objective' (Audit Commission 2005).

Harrogate Borough Council goes a step further and adopts the Smith & Frank Partnership Handbook definition:

'A partnership is defined as a relationship where two or more parties, having compatible goals, form an agreement to do something. Partnerships are about people working together in a mutually beneficial relationship, often sometimes doing things together that might not be able to be achieved alone'

(Smith & Frank 1997, The Partnership Handbook).

What is not a partnership

- informal groups set up to discuss and consider specific topics- consultation groups
- appointments or financial commitments to outside bodies where the Council has no strategic or policy function
- grants to other bodies or grants received.

Significant partnerships

Some partnerships are more significant than others due to their outcomes, legal requirement, resource allocation and risk profile. The Chartered Institute of Public Finance and Accountancy (CIPFA) states that the determination of what a significant partnership must be decided by the authority. Harrogate Borough Council determines a **significant partnership** through the use of an

assessment scorecard based on the Leeds City Council/CIPFA best practice model that looks at the following key characteristics:

- resource- both human and financial
- relationship to corporate priorities
- consequences if the partnership fails- financial/liability/political
- decision making
- statutory or regulatory context
- risk

The partnership significance assessment can be found in **Appendix 1**.

2.2 Types of partnership agreements

Partnerships come in various forms all with different requirements. These are listed below:

Statutory: Partnerships that are established through legal statute. For us, one example is the Harrogate District Safer Communities Partnership (HDSCP)

Strategic: Includes formal forums, committees, steering groups, which plan, co-ordinate and monitor activities. They may take strategic decisions, may have a budget, may have dedicated staff. Implementation maybe through partners mainstream programmes and budgets and partners undertake joint activities. For us, one example would be the Harrogate District Strategic Partnership (HDSP)

Strategic Service Delivery (SSD): Involves the delivery of services by one body on behalf of another or through joint working, aspires to deliver more value for money, can include elements that are not contractually defined but left to partners to agree the way forward. Collaborative relationships between local authorities and other organisations in the public, private and / or voluntary sectors.

SSDPs can be – and are sometimes known as – public / public partnerships (where all partners are public sector): public / private partnerships (where a public sector and private sector body join in partnership): public / public / private (where more than one public sector organisation joins with a private sector partner).

Also, sometimes known as 'outsourcing' where the public sector organisation(s) transfer(s) responsibility for service delivery a private sector partner. One example for us is the Housing Team's housing maintenance and repairs programme provided by Connaught Baldwin Ltd or boiler maintenance provision from Help Link UK

Separate/ Limited Companies: A distinct organisation with a separate legal identity to that of individual partners

Procurement partnerships: strategic partnering through long-term contracts, including Public Private Partnerships (PPP), Private Finance Initiatives (PFI).

Accountable body status: The council acts as an accountable body for European, regional or national funding, bears the financial risk and is responsible for demonstrating the achievements and outcomes i.e the North Yorkshire Concessionary Fares Partnership

Further examples of partnership definitions can be found in **Appendix 2**.

2.3 What is governance?

A successful partnership is one that has good governance. Governance defined is:

'...about how bodies ensure that they do the right things, in the right way, for the right people in a timely ,inclusive, open, honest and accountable manner. It comprises the systems and processes, and culture and values, by which bodies are directed and controlled and through which they account to, and engage with and, where appropriate lead their communities' (CIPFA/ and the Society of Local Chief Executives (SOLACE) Framework, July 2007 and adopted by the Audit Commission).

For those partnerships Harrogate Borough Council are involved with consideration needs to be given in particular to:

- who makes decisions, how they are recorded and what information is given to the public
- who spends the money and how it is audited
- who within the Council is responsible for ensuring the Council is meeting its own obligations, which include the obligations to obtain value for money.

3.0 Roles and responsibilities

3.1 Corporate roles and responsibilities

- the Assistant Chief Executive is the corporate partnership champion.
- the Corporate Management Team has the responsibility for monitoring the impact of our involvement in partnerships.
- officers are responsible for ensuring added value, accountability, delivery of agreed outcomes and reporting back.

3.2 Councillor roles & responsibilities

- the Leader of the Council is the Member strategic partnership champion.
- Overview and Scrutiny has two roles regarding partnerships:
 - 1) It has the responsibility for holding particular partnerships to account through statute, for example the Harrogate District Safer Communities Partnership. It can also hold individual organisations to account for their performance (including the council) usually for significant partners and their performance against Local Area Agreement targets or agreed targets on the Harrogate District Strategic Partnership.
 - 2) It has an overall role to help ensure that partnership working by the council is effective and this could include consideration of the governance and performance management of significant partnerships and annual review reports for other partnerships.
- Councillors who represent the council on a partnership also have a duty to report back on a regular basis and inform officers of any decisions or outcomes that are made.

* For further contacts for officers who can assist in particular aspects of partnership working please see **Appendix 3**.

4.0 Collaboration/ Partnerships register

4.1 The purpose of the register

The council needs to know what partnerships exist within the district, which are important to us and which we have an active involvement in. The strategy will help to develop this knowledge through establishing a process for setting up and reviewing partnerships. The information will be collected and held in a partnerships' register managed by the Department of Corporate Policy and Improvement (DCPI). The more detailed information relating to the governance of the partnerships

will be held on Covalent our performance management system. It will be reviewed and updated on an annual basis. The register can be requested from the Corporate Improvement Officer (Partnerships)

The purpose of collecting information on partnerships is to:

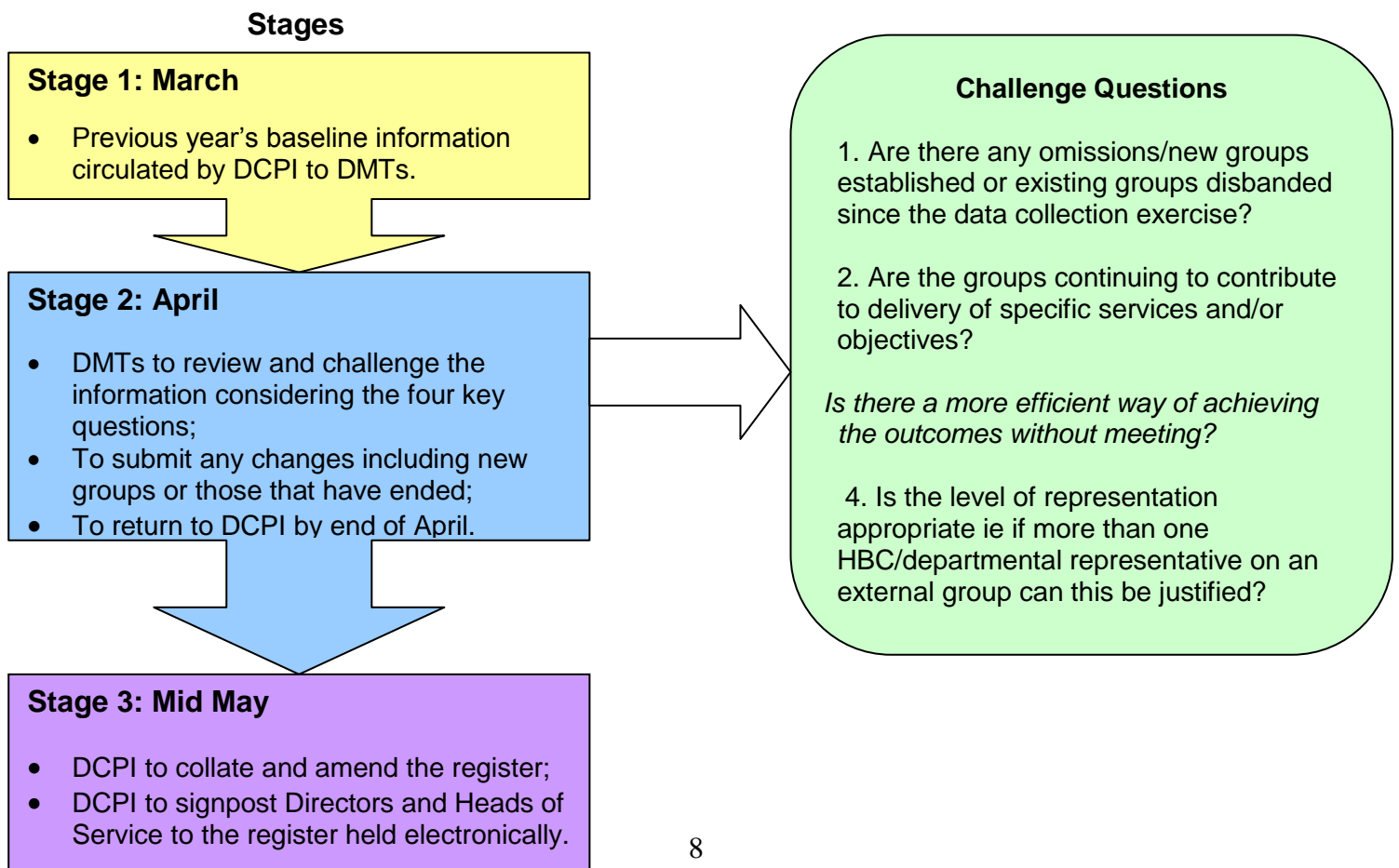
- provide clarity regarding which partnerships we are involved in and why, who is leading and how progress is reported;
- to have baseline information in which annual reviews can be assessed against;
- make sure that the key principles of partnership working (good governance) are in place and those partnerships that we are involved in are as efficient and effective as possible.
- **Please notify the Corporate Improvement Officer (Partnerships) DCPI if you are considering setting up a new partnership or reviewing an existing one in order for the partnerships register to be kept up to date. Contact details can be found in Appendix 3.**

4.2 The annual review and challenge

An annual review of internal and external collaborative activity will be carried out using the register baseline information collected as part of the collaboration review of internal and external groups, Innovate@Harrogate project. Each department will be asked to review and challenge the activity they are involved with to ensure outcomes are being achieved. The process for this review can be found in diagram form below.

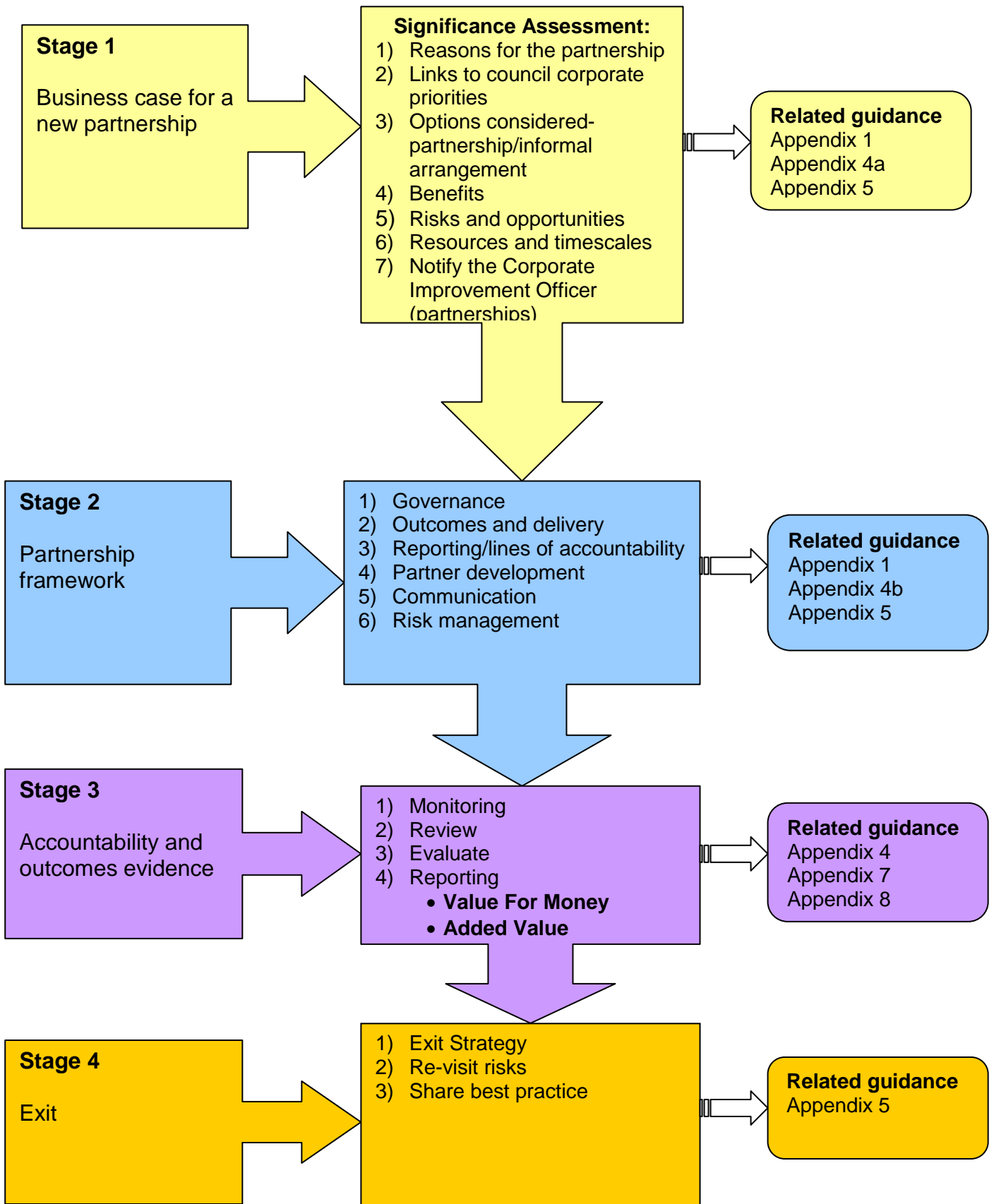
The revised register will be published annually on the Councils intranet.

Collaboration/ Partnership Register: Annual Review Process



5.0 The life cycle of a partnership

The following overview diagram explains the lifecycle of a partnership, presenting the key stages and actions that need to be carried out within each stage. Supporting materials can be found for the stages and actions within the appendices from page 13.



6.0 How to set up a new partnership, review existing ones and exit strategy

Stage 1: The business case

Any new partnerships proposed must be endorsed by the lead officers Director and the Harrogate District Strategic Partnership (HDSP) notified through the Corporate Improvement Officer (Partnerships) DCPI if it involves external partners. The Director will indicate if approval is required from CMT/Cabinet when considering the level of resource that is required. Officers must also discuss the proposal with the relevant cabinet portfolio holder to assist in whether it needs further approval and seek advice from legal.

Before creating or joining a new partnership its importance needs to be assessed (**see Appendix 1**). A risk analysis must also be completed to identify the potential risks to becoming involved with the partnership. For more information on risk analysis and assessments see **Appendix 5**. A 'light touch' governance checklist will also help to establish key actions that need to be in place for the partnership to be effective (**see Appendix 4a**).

These three assessments will provide the business case for the partnership and should be presented to CMT and Cabinet as required.

The Corporate Improvement Officer (Partnerships) within DCPI should be notified of any proposed and approved partnerships in order for them to be included on the partnerships database.

If the partnership is evaluated as low in significance consideration needs to be given as whether an informal arrangement would better serve the purpose. This maybe through utilising an existing group.

Stage 2: Partnership framework

If participation in the partnership is endorsed, named officers and councillors (if required) will be identified who will then act as the lead and accountable officers and councillors for that partnership and will be required to report back to the appropriate internal and external groups.

All partnerships both proposed and existing must demonstrate how the councils participation will benefit the community and the council. This will be done by assessing the objectives and intended outcomes of the partnership with the priorities of the:

- Council
- Harrogate District Strategic Partnership
- North Yorkshire Sustainable Community Strategy

They must also demonstrate:

- They are fit for purpose
- offer value for money
- added value
- identified achievements

Governance arrangements for new partnerships must be in place according to the framework found in **Appendix 4b** and also consider and evidence the impact on social inclusion and equality and diversity. Where Harrogate Borough Council is not the lead partner the officer still needs to ensure that the governance arrangements fulfil the Council's listed requirements.

If the council is the lead agency on a partnership we must apply our own internal governance framework, if we are just a member we should try and influence the partnership to adopt our framework or something similar so to ensure all required criteria are covered.

Stage 3: Accountability and outcomes evidence

Monitoring:

Performance against outcomes must be reported on through the agreed accountability lines determined at the set up of the partnership.

Any actions or indicators should be held on Covalent (the council's performance management system) for ease of performance monitoring. At the outset thought should be given as to how impact will be measured and the indicators that could support this. An action plan template based on the detail held on Covalent can be found in **Appendix 8**. Partnerships should monitor their progress on agreed objectives and outcomes on a regular basis and should present this in an annual report. Where third party data (non Harrogate Borough Council) is used for performance management, assurance that the information is accurate needs to be given from the providing organisation (data quality). If the data is an estimate or hasn't been verified then a caveat needs to be included after the data is presented.

Review:

A formal review should be carried out annually. There are two forms of review involved when working in a partnership.

- 1) the governance of the partnership to ensure that it is fit for purpose and has all its processes in place, is open, transparent and accountable.
- 2) the effectiveness as a contributing partner and ensuring that the council's requirements are being met.

A core of 17 partnerships that HBC are involved with have been identified as significant. These will be reviewed annually against a corporate governance assessment framework. This information will be held on Covalent. The annual review process can be found in **Appendix 6**.

Partnerships will be expected to carry out an annual review linked to levels of significance, governance arrangements and risk to ensure that they are still delivering the required outcomes for Harrogate Borough Council, to ensure that we are gaining value for money and the desired outcomes. An annual programme of partnership reviews will be established and agreed with the partnership leads within the council and the findings reported through the council system on an annual basis.

Evaluation:

The purpose of evaluation is to identify the impact that the partnership is having or has had. This is usually presented in annual report form and will include outcomes, identify learning, best practice and any significant issues that have arisen. These issues may need to be taken further and be addressed outside the partnership. Where possible the evaluation should be carried out with partners. The evaluation should be formally reported through the Council system on an annual basis.

Reporting:

The council representative on a partnership has a duty to ensure that they are accountable for the outcomes and must report back on a regular basis. This involves financial and performance monitoring, which is required quarterly to the appropriate bodies. Templates for minutes and highlight reports can be found in **Appendix 7**. Reporting arrangements must consider and include other officers, internal and external partners and stakeholders, CMT and councillors. The reporting process will support learning and development for both officers and councillors.

An annual report will be produced corporately detailing key information on the significant partnerships. This will be presented to CMT and Cabinet with Overview and Scrutiny Member involvement. Best practice states that all partnerships should have some form of annual report to present the achievements and outcomes for the year. The annual reporting template can be found in **Appendix 8**.

Stage 4: Exit Strategy

The exit strategy of a partnership is often forgotten when developing the governance. This should be considered at the start. The governance arrangements should reflect what happens should a partner leave a partnership but also cover how the partnership or partnership project would come to an end. If a partnership is coming to the end of its agreed period there needs to be sufficient time allowed for review and evaluation.

There are several reasons as to why a partnership may come to an end. Some of these could be:

- the partnership has delivered what it agreed to do within the given timescales
- it is not achieving what it set out to do
- council's priorities and other priorities change
- resources are reduced or withdrawn/ resources run out
- partnership is no longer the best way to deliver the agreed outcomes

In any of these instances a risk analysis must be carried out when deciding whether or not to exit the partnership.

Lead officers including any councillors should be part of this discussion and exercise. A report detailing the rationale for ending the partnership must be reported to CMT detailing any outcomes, weaknesses, learning points and areas of best practice. Once CMT have agreed the outcomes the report can progress to any other accountable groups such as Cabinet.

Sustainability of a partnership- between stages 2 and 3

There are four key elements to sustaining a partnership once it has started its work:

- 1) Logistics- good house keeping and appropriately tailored administrative support
- 2) Skills- individuals will have to develop new skills and expertise to integrate themselves fully into partnership working
- 3) Team building- a sense of commonality and fellowship is essential as is a sense of interdependence
- 4) Flexibility, frankness and openness.

7.0 What do we mean by Value For Money?

For those partnerships that we are involved in, we need to show that value for money is being achieved. What we mean by this is what resources we use (financial and staff) achieves the performance outcomes and satisfaction with it.

Partnerships need to show:

- 1) how resources are allocated:- evidence to show how resources are allocated to the highest priorities/issues)
- 2) achievement:- measuring the costs against performance i.e. what we put in produces satisfactory outcomes. The outcomes can be quantitative (measured by numbers) and qualitative (satisfaction).

The key is getting the balance between economy, efficiency and effectiveness.

Once information on performance is collected comparisons can be made either over periods of time, with similar partnerships or with nearest neighbours.

For more information on value for money- new strategy being developed due March 2010

Guidance Appendices

In this section you will find support material to help you work in partnership, including:

Appendix 1: **Partnership significance assessment: pages 14-18**

Appendix 1a Partnership significance assessment- quick word version, to be input on to Covalent to get significance percentage score)

Appendix 1b Partnership significance assessment scorecard framework- version to work out significance percentage score

Appendix 1c Partnership significance assessment scorecard framework- blank version to populate to work out significance percentage score

Appendix 2: **Partnership definitions: page 19**

Appendix 3: **Key contacts: page 20**

Appendix 4: **Governance: pages 21-22**

Appendix 4a Light touch governance checklist

Appendix 4b Governance framework

Appendix 5: **Risk: pages 23-26**

Appendix 5a The 5 stages to risk management and assessment frameworks

Appendix 5b Risk Profile- Pro Forma (for capturing data to be input onto Covalent)

Appendix 5c Risk profile- a worked example

Appendix 6: **Significant external partnerships annual review process: page 27**

Appendix 7: **Minutes and highlight report templates: pages 28-32**

Appendix 7a Minutes template with action outcomes

Appendix 7b Highlight report

Appendix 7c Action plan template

Appendix 8: **Annual outcomes reporting template: pages 33**

Appendix 9: **Key web links and resources: pages 35**

Harrogate Borough Council Partnership Significance Assessment

(Word version, to be input on to Covalent to get significance percentage score)

Name of Collaborative Group:

Q1: The group manages resources eg. Budgets, staff, grants, other assets?

If yes please indicate approximate value (£, FTE) in box below

Staff: Less than 1 1 staff 2-3 staff 4-5 staff more than 5

Finance: Less than £10k £11-25k £26-50k £51-75k More than £76k

Evidence

Q2: The group contributes to the achievement of corporate priorities?

Please tick which ones below (for further narrative please see the Corporate Plan 2011-12 at <http://>)

- | | | | |
|---------------------------|--------------------------|-------------------------------|--------------------------|
| 1) A Strong Local Economy | <input type="checkbox"/> | 2) Supporting our Communities | <input type="checkbox"/> |
| 3) An Excellent Council | <input type="checkbox"/> | 4) None of the above | <input type="checkbox"/> |

Q3: There would be significant consequences for the Council if the Group did not deliver political/ service based/ financial/liability?

(Please give brief detail in the box below to evidence your choice)

- | | | | |
|----------------------------|--------------------------|--------------------|--------------------------|
| Insignificant consequences | <input type="checkbox"/> | Minor consequences | <input type="checkbox"/> |
| Moderate consequences | <input type="checkbox"/> | Major significance | <input type="checkbox"/> |
| Highly significant | <input type="checkbox"/> | | |

Evidence

Q4: The group makes decisions on behalf of the Council?

(Please give brief detail in the box below to evidence your choice)

- No decisions made on behalf of the Council No decisions but feedback/lobby the Council
- No decisions but consider & influence decisions (further options over page)
- No decisions but agree to be bound by collective decisions
- Takes decisions on behalf of the Council

Evidence

Q5: The group meets a statutory or regulatory requirement, e.g. legal, inspection or funding requirement?

(Please give detail of statute or requirement in the box below)

Not required by law or funding

Indirect links to successful achievements of funding/inspection criteria

Limited links to successful achievement of funding or achievement of inspection criteria

Direct links to successful achievement of funding or achievement of inspection criteria

The Council is required to participate in this partnership by law or to receive specific funding

Evidence

Q6: The group contributes to the management of strategic, departmental, service or project risks ?

(Please give detail in the box of which risks and which register they can be found in eg HBC or partnership own)

No risks identified within corporate or departmental risk register

Indirectly contributes to a departmental risk

Directly contributes to a departmental risk

Contributes to a medium priority corporate risk

Contributes to a high priority corporate risk

Evidence

Partnership Name:

Please enter the score in the last column, which most closely represents your partnership. Answer all applicable questions, using scores of 1, 2, 3, 4, or 5. This table assesses the significance of your partnership / partnership you are proposing.

Impact No	Description	Low significance (Score "1")	Minor Significance (Score "2")	Moderate Significance (Score "3")	Major Significance (Score "4")	Highly Significant (Score "5")	Score
1	Partnership costs: the Council directly contributes money to the partnership, contributes resources (officer time / work done), value added or money is directed through the Council's accounts through income.	FTE <1	1	2-3	4-5	>5	
		< £10K per annum	£10K to 25K per annum	£25K to £50K per annum	£50K to £75K per annum	> £75K per annum	
2	Relationship to the Corporate Priorities: to what extent is the partnership's success critical to the achievement of a corporate priority.	Not linked to any divisional, departmental or corporate priorities	Indirect links to successful achievement or corporate priorities	Moderate contribution to successful achievement of a corporate priority	Significant contribution to the successful achievement of a corporate priority	Essential to successful achievement of 1+ corporate priority	
3	What are the consequences (service delivery/ financial / liability / political/) for the Council of failures within the Partnership?	Insignificant consequences	Minor consequences	Moderate consequences	Major significance	Highly significant	
4	The partnership takes decisions on behalf of or which are binding on the Council.	The partnership does not take decisions on behalf of the Council	The partnership does not take decisions on behalf of the Council but Council representatives feed back / lobby the Council	The partnership does not take decisions on behalf of the Council but Council representatives attend the partnership and consider and influence its recommendations	The partnership does not take decisions on behalf of the Council but representatives with decision-making authority attend the partnership and agree to be bound by its decisions.	The partnership has decision making responsibilities directly delegated to it from the Council / Executive Board	
5	Statutory or Regulatory Context: is the Council required to set up the partnership due to: Legal: statutory requirements Inspection: meet a requirement of the assessment regime Funding: receive additional funding	Not required by law or for funding	Indirect links to successful achievement of funding or achievement of inspection criteria	Limited links to successful achievement of funding or achievement of inspection criteria	Direct links to successful achievement of funding or achievement of inspection criteria	The Council is required to participate in this partnership by law or to receive specific funding	
6	Risk: the partnership contributes to the management of risks identified on corporate or departmental risk registers.	The partnership does not contribute to the management of high priority risks identified on corporate or departmental risk registers	The partnership indirectly contributes to the management of high priority risks identified on a departmental risk register	The partnership directly contributes to the management of high priority risks identified on a departmental risk register	The partnership directly contributes to the management of a medium priority corporate risk	The partnership directly contributes to the management of a high priority corporate risk	
TOTAL:							0
HIGHEST POSSIBLE SCORE (No of questions answered x 6)							30
IMPACT SCORE ("Total" divided by "Highest Possible Score" x 100)							0%

HBC Corporate Priorities

Priority 1 – A Strong Local Economy: Outcomes:- Harrogate District – a place with: A sustainable and diverse economy, A vibrant tourism offer, Good travel, transport and electronic infrastructure, A world class conference centre.

Priority 2 – Supporting our Communities: Outcomes:- Harrogate District – a place where: Everyone feels and is safe, People are as healthy as possible, People's housing needs are addressed, People's essential needs are met through effective public services, Our impact on the environment is minimised through effective waste management and by looking after our natural and built environment, People have the opportunity to be involved in decisions that affect them and to see real change occur.

Priority 3 – An Excellent Council: Outcomes:- Harrogate Borough Council – a Council that: Provides excellent public services, Meets our customers needs and expectations, Continuously improves, Provides good value for money.

PARTNERSHIP SIGNIFICANCE ASSESSMENT SCORECARD, non covalent version to work out significance percentage score

Partnership Name:

Impact No	Description	Low significance (Score "1")	Minor Significance (Score "2")	Moderate Significance (Score "3")	Major Significance (Score "4")	Highly Significant (Score "5")	Score
1	Partnership costs: the Council directly contributes money to the partnership, contributes resources (officer time / work done), or money is directed through the Council's accounts.	FTE					
		£					
2	Relationship to the Corporate Priorities: to what extent is the partnership's success critical to the achievement of a corporate priority.						
3	What are the consequences (service delivery/ financial / liability / political) for the Council of failures within the Partnership?						
4	The partnership takes decisions on behalf of or which are binding on the Council.						
5	Statutory or Regulatory Context: is the Council required to set up the partnership due to: Legal: statutory requirements Inspection: meet a requirement of the assessment regime Funding: receive additional funding						
6	Risk: the partnership contributes to the management of risks identified on corporate or departmental risk registers.						
TOTAL:							
HIGHEST POSSIBLE SCORE (No of questions answered x 6)							
IMPACT SCORE ("Total" divided by "Highest Possible Score" x 100)							%

Partnership definitions and terminology

Partnerships

The term partnership can encompass a wide range of collaborative arrangements. For example, the Audit Commission define a partnership as an agreement between two or more independent bodies to work collectively to achieve an objective.

Types of Partnership

Statutory and voluntary

Executive and non-executive (decision making powers)

Strategic and operational

Umbrella partnerships eg LSPs

Funded and not funded

Defined by region, locality, function or membership (North Yorkshire Procurement Group)

Limited companies / charitable trusts / unincorporated associations (legal status)

Network: Brings people together to discuss shared issues, does not have a budget or deliver any services, doesn't develop strategy or policy, may not need a formal agreement but could still use the toolkit.

These definitions are mutually exclusive: a strategic partnership might be known by its regional or functional name (eg Harrogate Safer Communities Partnership) and be delivered by a public / public / private partnership.

Local Strategic Partnership (generic) – not statutory (unless delivered by a limited company), executive, strategic, umbrella, funded / not funded

Harrogate District Strategic Partnership – Not statutory, executive, strategic, umbrella, not funded, defined by region.

Key Contacts

Lead HBC officer on Collaboration/ partnership working

Assistant Chief Executive, Rachel Bowles (DCPI),
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Partnership development

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Significant Partnerships- Lead Officers within HBC

Partnership	Lead Officer & Department
Leeds City Region (LCR)	Wallace Sampson, CEX
Local Government North Yorkshire & York (LGNYY)	Wallace Sampson, CEX
North Yorkshire Strategic Partnership (NYSP)	Wallace Sampson, CEX/Rachel Bowles, DCPI
Harrogate District Strategic Partnership (HDSP)	Rachel Bowles/ Ann Byrne, DCPI
Harrogate District Safer Communities Partnership (HDSCP)	Julia Stack, DCS
Harrogate District Cultural Partnership (HDCP):	Lois Toyne, DDS
Nidderdale Area of Outstanding Natural Beauty (AONB):	Dave Allenby DDS
Nidderdale Plus:	Genevieve Parker DDS
Renaissance Knaresborough	Genevieve Parker DDS
Yore Vision (Boroughbridge):	Genevieve Parker DDS
Ripon City Partnership:	Genevieve Parker DDS
North Yorkshire Strategic Housing Board:	Dawn Saxby, DCS
North Yorkshire Sport:	Lois Toyne, DDS
York & North Yorkshire Waste Management Partnership:	Simon Johnson, DCS
Yorkshire Dales & Harrogate Area Tourism Partnership:	Lois Toyne DDS, HIC
Destination Harrogate:	HIC
Kudos	HIC

Initial partnership governance checklist

Key Partnership Information	Evidence (bullet form overview)
What is the partnership intending to achieve? (Outcomes, objectives, targets)	
What is the intended lifespan?	
What organisations will be involved?	
What organisation will take the lead/ Chair?	
Is a partnership the best option or is there another way of delivery (is it set up just for funding purposes/ a short term project)?	
Have other considerations been made as to the risks, opportunities and threats?	
Has consideration be made as to how the partnership will be governed i.e terms of reference, partnership agreement?	
Impact on the Council	
What will be expected of the Council?	
How does the partnership meet the Council's corporate priorities and service plans?	
What resource implications will there be on the Council (human & financial)?	
Who will be the lead officer on behalf of the Council?	
Will the partnership have cross-service interests/conflicts?	
Are other services aware of the proposal for the partnership?	
Will there be Councillor involvement?	
How will outcomes be reported back to the Council?	

Partnership Governance Self Assessment (post endorsement)

Collaborative Group name:				
	Question	Yes ✓	No	Evidence Provided (Brief description & attach)
00	Steps have been taken to confirm that no other group exists with the same or similar remit			(Eg. Detail other groups of similar nature if they exist)
01	The group was set up with the approval of a parent group eg CMT or similar			(Eg. Report approving group)
02	Group membership has been agreed by a parent group			(Eg. Report approving membership)
03	All group members have agreed roles and responsibilities including the Chair			(Provide membership lists)
04	The group has agreed governance arrangements eg Terms of Reference (ToR), Service Level Agreement (SLA), Memorandum of Understanding (MoU)			(Eg. ToR, SLA, MoU)
05	The group has agreed aims, objectives and priorities			(Eg. Strategy documents)
06	The group has agreed targets or performance indicators and monitors their delivery			(Eg. Performance reports)
07	The group has an agreed action plan and monitors its delivery			(Eg. Action plans, performance reports)
08	The group has an agreed exit strategy			(Eg, Exit strategy/ detail in ToR)
09	The group reports back regularly to its parent group on delivery of its aims, actions			(Eg. Monitoring reports, annual reports, newsletters)
10	The group regularly reviews its governance and reporting arrangements			(E.g. Revised date on ToR, review documented in minutes)
11	The partnership carries out Equality Impact Assessments on projects/services and has Equality statements?			(E.g. Equality Impact Assessment/ equality statements)
12	Is the partnership the most efficient way of achieving the outcomes without the partnership? i.e. the outcomes outweigh the resources going in (Value For Money)			

The 5 stages of Risk management

The council's corporate approach to risk management should be followed in instances of partnership working if we are the lead accountable body for a partnership. All risk registers are held on Covalent, the council's performance and risk management system.

Within a partnership the number of risk registers should be the number of partners involved plus 1. Every partner should have their own risk register that focuses on the risks to their organisation of being involved with the partnership, for example reputation, demand on priorities, conflicting priorities and delivery.

Within the partnership governance a lead accountable body could be identified, for example Harrogate Borough Council is the accountable body for the delivery of concessionary fares on behalf of the North Yorkshire Concessionary Fares Partnership. In this instance the risks to the council will differ to those of other partners around the table. These would be shown in the council's risk registers.

The plus 1 risk register details the risks to the partnership itself relating back to delivery of the partnership objectives, risks to achievement of objectives and the controls and mitigation to reduce risks. A template to identify this information with a working example can be found on **pages 25-26**.

It is key to remember that risks will change depending on where you stand, be it in delivering a specific project or taking decisions as a collective. This is referred to as standpoint risk analysis.

There are five stages to risk management for a partnership, these are presented below or in a diagram on **page 24**.

Stage 1: The decision:- should we enter into the partnership or not?

What are the risks of entering the partnership / not entering the partnership? 'Do Nothing Option'.

Risk and reward: why is it worth taking these risks? What rewards will we gain- outcomes & financial?

Decision made to go ahead ... what are the partnership risks?

Stage 2: Strategic Risk Register:- High level strategic risks to the organisation relating to being involved with the Partnership, to be logged, monitored and reviewed in the risk register held on Covalent

Stage 3: Operational Risk Register:- Risks to the delivery of specific project strands, for example thematic group project delivery. Again these can be logged, monitored and reviewed on Covalent.

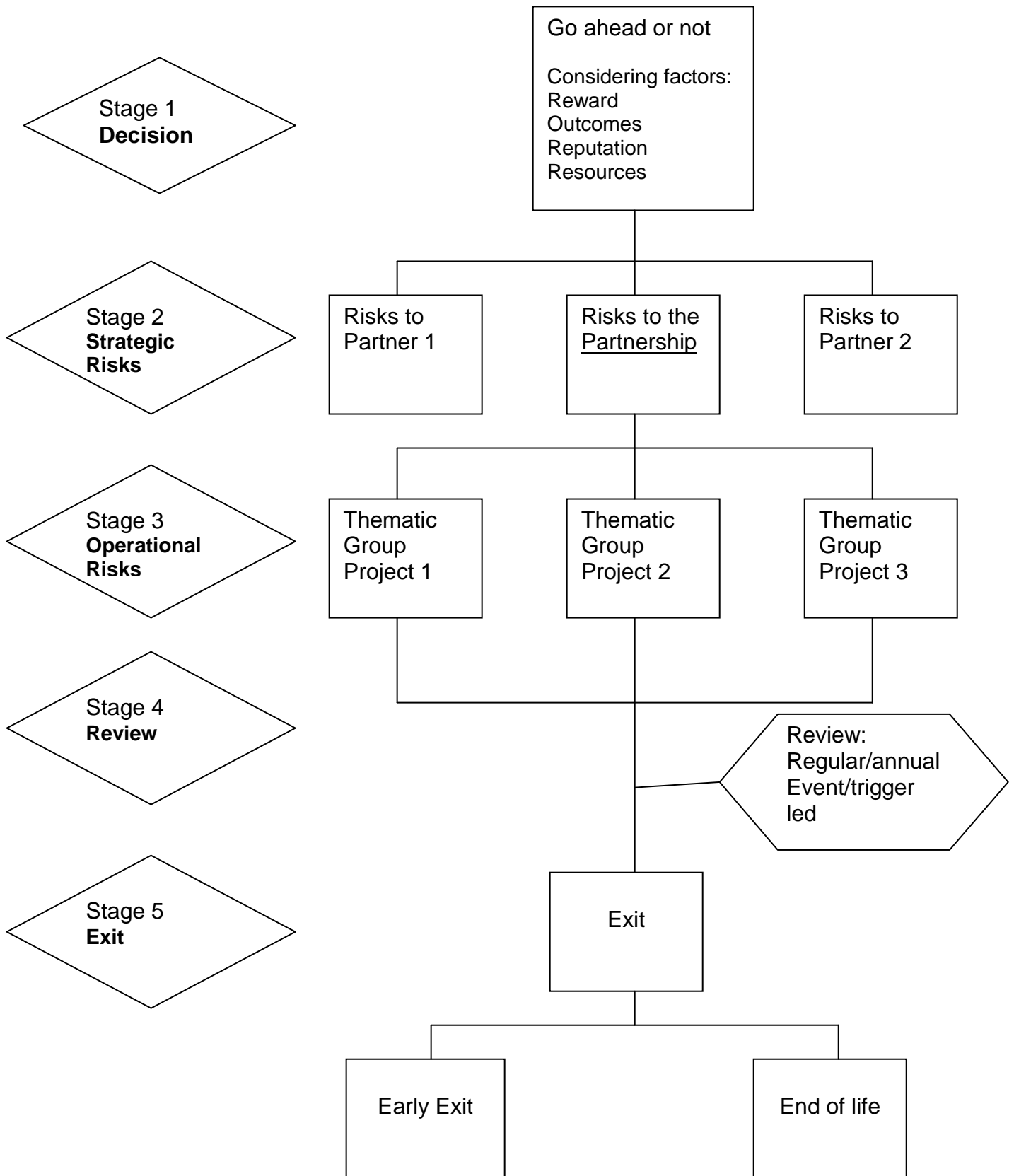
Stage 4: Review:- Risks must be reviewed on a regular basis, especially the operational risks as a project progresses. Specific triggers or events may induce this process.

Stage 5: Exit:- Once a specific project or partnership has delivered what it was set up to achieve and it is due to come to the end of its existence the risks should be reviewed. This should include the risks identified with ending the project alongside the original risks identified. Other considerations such as division of assets and/or liabilities should be included.

If we decide to withdraw from the partnership before it comes to an end then other risks need to be identified such as reputation and adverse impact.

Please see **page 20** for key internal contacts who can assist with risk management.

5 Stages to Risk



Risk Profile – Pro Forma (for capturing data to be input onto Covalent)

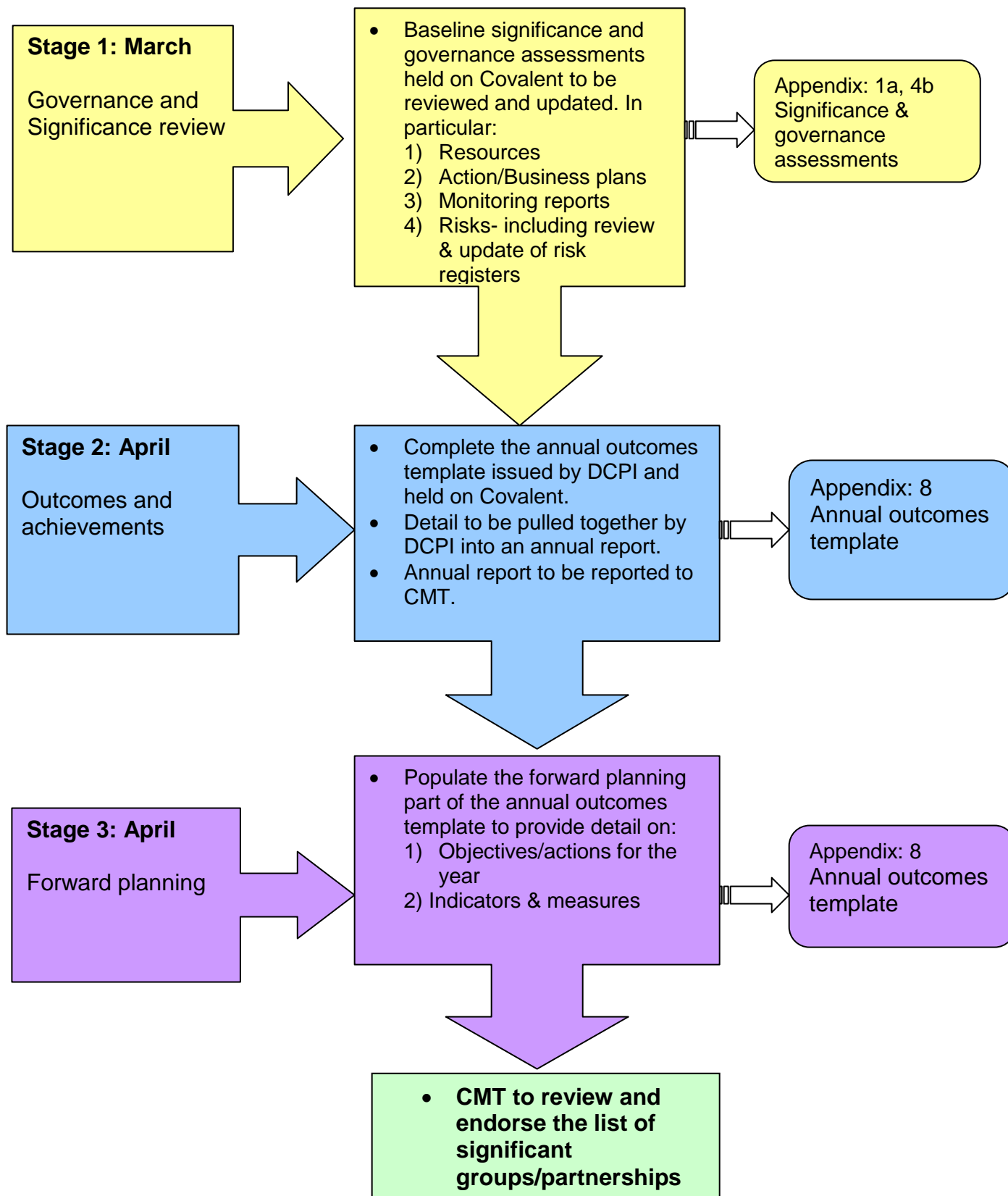
Risk Title												
Risk Description Provide a short description of the risk. Try to express the risk in terms of how it might prevent or delay the achievement of your objectives.												
Risk Factors Some risks will only have one or two factors: others will be more complex and have a number of factors which it might be best to treat as separate risks or sub-risks.												
Potential Effect What will happen if the risk comes about? Consider all the possible effects: on individuals and groups; on finance, costs or funding; on reputations and working relationships; etc.												
Measures of Impact <i>This is linked to 'Potential Effect': how will you know if the risk has actually come about?</i>												
Internal Controls <i>What can you do to reduce the likelihood that a risk will come about? (Controls)</i> <i>What can you do to reduce the effect / impact of the risk when it comes about? (Mitigation)</i> Consider also – what you're doing now and what else you could do to reduce the risk.												
Risk Matrix Quantify the likelihood of a risk coming about and the impact if it does. You can quantify the risk using scores of 1 – 5: colours (green, amber, red): definitions and descriptions: or all of these to help to quantify the risk.												
<table> <thead> <tr> <th>Likelihood</th> <th>Impact</th> </tr> </thead> <tbody> <tr> <td>1 Unlikely / Improbable</td> <td>1 Negligible / Minor</td> </tr> <tr> <td>2 Low / Possible but not Probable</td> <td>2 Marginal</td> </tr> <tr> <td>3 Probable / Likely</td> <td>3 Significant / Material</td> </tr> <tr> <td>4 High Likelihood / Almost Certain</td> <td>4 Critical / Severe</td> </tr> <tr> <td>5 Very Likely / Almost Inevitable</td> <td>5 Catastrophic / Devastating</td> </tr> </tbody> </table>	Likelihood	Impact	1 Unlikely / Improbable	1 Negligible / Minor	2 Low / Possible but not Probable	2 Marginal	3 Probable / Likely	3 Significant / Material	4 High Likelihood / Almost Certain	4 Critical / Severe	5 Very Likely / Almost Inevitable	5 Catastrophic / Devastating
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A worked example

<p>Risk Title Partnership Project Failure</p>		
<p>Risk Description Central government have made funding available to deliver a project but will not consider bids from individual organisations, only from organisations working together in partnership.</p>		
<p>Risk Factors Partnership is set up 'for wrong reasons' ie primarily to access funds. Wrong partners represented / right partners not represented. No clear terms of reference. No agreed aims, objectives and outcomes. Partners have conflicting aims. Partners work towards own preferred aims etc rather than those agreed for partnership. One or more partners dominate partnership. Other partners feel left out and withdraw involvement or goodwill. Project cannot be funded by other means.</p>		
<p>Potential Effect Funding bid is unsuccessful. Bid is successful but project delivery is not. In either case there is no consequent improvement in service delivery, accessibility etc. Working relationships between partners deteriorate. This has a knock on effect on other working relationships. Adverse publicity in the local papers.</p>		
<p>Measures of Impact Bid is turned down. Failure to secure funding. Failure to deliver project / service improvements. External criticism or intervention. Lower inspection result.</p>		
<p>Internal Controls All the right partners are engaged. Clear terms of reference. Agreed aims, objectives and outcomes. Agreed arrangements for chairing, allocating workload, arbitrating concerns / complaints. Performance monitoring. Good communication. Publish good news stories – project progress, working together etc. Identify other sources of funding or ways of delivering the project / service improvements.</p>		
<p>Risk Matrix The likelihood that the partnership project will fail is low (possible but not probable, score 2): the impact if it does fail is critical (score 4). The overall score is 8 (2x4) and the risk is in the amber part of the risk matrix, meaning it needs to be well managed and controlled.</p> <p>Most of the controls identified are around preventing the risk coming about and there is limited scope to mitigate if it does, so emphasis must be on prevention.</p> <table border="0" style="width: 100%;"> <tr> <td style="vertical-align: top;"> <p>Likelihood</p> <p>1 Unlikely / Improbable</p> <p>2 Low / Possible but not Probable</p> <p>3 Probable / Likely</p> <p>4 High Likelihood / Almost Certain</p> <p>5 Very Likely / Almost Inevitable</p> </td> <td style="vertical-align: top;"> <p>Impact</p> <p>1 Negligible / Minor</p> <p>2 Marginal</p> <p>3 Significant / Material</p> <p>4 Critical / Severe</p> <p>5 Catastrophic / Devastating</p> </td> </tr> </table>	<p>Likelihood</p> <p>1 Unlikely / Improbable</p> <p>2 Low / Possible but not Probable</p> <p>3 Probable / Likely</p> <p>4 High Likelihood / Almost Certain</p> <p>5 Very Likely / Almost Inevitable</p>	<p>Impact</p> <p>1 Negligible / Minor</p> <p>2 Marginal</p> <p>3 Significant / Material</p> <p>4 Critical / Severe</p> <p>5 Catastrophic / Devastating</p>
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Significant external partnerships: Annual Significance and Governance Review Process

The following overview diagram explains the review process for a significant partnership, presenting the key stages and actions that need to be carried out within each stage.



Appendix 7a

MINUTES OF <insert partnership/group name>

<Insert Date>

Present:

Apologies:

Venue:

Minutes

1.

● Learning and development ● Clear objectives ● Defined roles ● Effective Communication

● Managing performance ● Good governance arrangements ● Regular review ● Leadership

Focusing on the people in the partnership

ACTION SHEET

Minute	Action	Assigned to...	Completed date:
--------	--------	----------------	-----------------

Working for you

Highlight Report

Partnership:

Author:

Date:

Purpose of the report: *To provide a summary of the group/partnership’s work. The report should be used to highlight performance, progress and planned actions; it should also contain any risks or issues identified.*

Period of time covered:	
-------------------------	--

This Period:

Number of meetings	
--------------------	--

Actions completed	
-------------------	--

Objectives set	
Results: (<i>Efficiencies, benefits, successes</i>)	
Corporate Priorities met?	

Risk and issue update:

--

Next Period:

Key agenda items	
Actions to be completed	
Resources required	
Corporate priorities met?	

<Insert Partnership/Group Name> Action Plan

What we have agreed to do:	Target Completion Date:	Milestones:	Who is responsible for doing this:	Performance Indicators:	Risks Identified? (yes/no)
<u>Action One:</u>					
<u>Action Two:</u>					
<u>Action Three:</u>					
<u>Action Four</u>					
<u>Action Five</u>					
<u>Action Six</u>					

Annual Outcomes Assessment

Name of the Group:	
Contributing Priorities (corporate & other):	
Looking back 10/11: Objective/ Priority	Outcomes/ Key Achievements
Performance Measurement/ Evidence & other comments	
Looking Ahead 11/12: Objective/ Priority	Action & Timescale

Completed by:

date:

Key web links and resources

National Partnership support:

Improvement & Development Agency <http://www.idea.gov.uk/>

The Partnership Checklist on Self-Evaluation set out above is based on the IDeA's Locality Self-Evaluation Guidance and Tool published on their website www.idea.gov.uk

Audit Commission: Bridging the accountability gap- governing partnerships:

<http://www.auditcommission.gov.uk/nationalstudies/localgov/Pages/governingpartnerships.aspx>

Alarm risk management in partnerships:

http://www.alarm-uk.org/system_page/search.aspx?terms=partnerships

Key Partnerships that Harrogate Borough Council are involved with:

Harrogate District Strategic Partnership (HDSP) www.HDSP.co.uk

Harrogate District Safer Communities Partnership (HDSCP) <http://www.saferharrogate.org.uk/>

Harrogate District Cultural Strategy: <http://www.harrogate.gov.uk/harrogate-2823>

Yore Vision: <http://www.yorevision.org.uk/>

Ripon City Partnership: <http://www.visitripon.org/>

Nidderdale Plus: <http://www.niddplus.org.uk/>

Renaissance Knaresborough: <http://www.harrogate.gov.uk/> or http://www.knaresborough.co.uk/top_picks.asp

North Yorkshire Strategic Partnership (NYSP) www.NYSP.org.uk

Leeds City Region (LCR) <http://www.leedscityregion.gov.uk/>

Nidderdale Area of Outstanding beauty (AONB) <http://www.nidderdaleaonb.org.uk/>

North Yorkshire Sport <http://www.northyorkshiresport.co.uk/>

North Yorkshire Strategic Housing Board: <http://www.northyorkshirehousingstrategy.co.uk/>

York & North Yorkshire Waste Partnership <http://www.letstalklessrubbish.com/>

Destination Harrogate: <http://www.destinationharrogate.co.uk/>

Yorkshire Dales & Harrogate Area Tourism Partnership:

<http://www.yorkshiredalesandharrogate.com/>

Additional useful links

North Yorkshire & York Partnership Unit, partnership for regeneration funding in York and North Yorkshire: <http://www.ynypu.org.uk/>