

Corporate Governance Committee – 15 March 2010

Corporate Governance Action Plan

Report of Client and Performance Lead

(This matter is the responsibility of Executive Councillor Nicola Wilson)

Executive Summary

This report shows progress against the Corporate Governance Action Plan.

1. Purpose of Report

- 1.1 This report provides details of progress against the Corporate Governance Action Plan. The Corporate Governance Committee of 10 December 2009, requested quarterly updates to enable Members to monitor progress against the corporate actions mainly recommended by the external auditor.

2. Background

- 2.1 Each year, the Council receives a number of reports and assessments which result in recommendations for improvement. These normally contain individual action plans which can prove challenging to manage and monitor. Therefore an aggregated plan provides the Council with details, in one place, of the scale of improvements required and progress against them.
- 2.2 The Corporate Governance Action Plan details the recommendations from the following sources:
- Use of Resources 2008/09 (issued Dec 09)
 - CAA Organisation Assessment 2009 (issued Dec 09)
 - Annual Audit and Inspection Letter 2008 and 2009
 - Annual Governance Statement 2008/09 (Mar 09)
 - Strategic Housing Review (when finalised in Dec 09)
 - Partnership Audit (Sept 09)
- 2.3 Members are aware that failure to implement a number of the recommendations could have a detrimental affect on the Comprehensive Area Assessment (CAA) Organisational score.
- 2.4 Monitoring is undertaken quarterly by CMT and a summary features in the new Performance Scorecard.

3. Progress

- 3.1 The Corporate Governance Action Plan lists 68 actions. Please see Appendix A. Progress monitoring against implementation by the target dates has revealed the following:

Completed 😊	On Target 😊	Some Concern 😐	Off Target 😞
11 (16%)	49 (73%)	8 (11%)	0

3.2 Good progress has been made since the last update as there are now no items off target and fewer where concerns exist. This rate of implementation demonstrates that the Council is generally moving in the right direction in respect of its governance arrangements. Obviously any consequences on the implementation of SAP may change this view.

3.3 The categories where doubts have been expressed about achieving improvement **by the target dates** are as follows:

Business Continuity

- Address the weaknesses identified by Internal Audit in the Council's disaster recovery arrangements

Corporate Governance

- Health check on ethical governance framework
- Fully review constitution

Equalities & Diversity

- Improve access to buildings for disabled people

Transformation

- Continue to monitor Southwest One's delivery, to ensure that benefits realisation and the transformation of services is delivered on time and within budget

Value for Money

- Use benchmarking more systematically to challenge service costs and delivery arrangements
- Target efficiency savings at those areas which currently provide poor value for money (vfm) compared to other councils

Workforce Planning

- Prepare an up to date workforce plan

4. Recommendations

4.1 It is recommended that Members scrutinise progress of the Corporate Governance Action Plan.











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





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CORPORATE GOVERNANCE ACTION PLAN 2009-10												
APPENDIX A												
As at February 2010												
Item	Improvement / recommendation	Activities planned	Category	Priority (H,M,L)	Target date	Lead Officer	Source	Ref	Success criteria	Progress	As at (date)	Status
A1	To formulate plans for service delivery in the loss of facilities following on from the plans developed in the event of Pandemic flu	Further work on loss of facilities. Completion of o/s pandemic plans and revision of corporate plan	Business continuity	H	Mar-10	John Lewis	Annual Governance Statement		Plans in place & tested	The majority of Pandemic Flu plans have been received. The two outstanding ones are due to internal restructuring issues. Some work has commenced on loss of facilities.	Feb-10	
A2	Address the weaknesses identified by Internal Audit in the Council's disaster recovery arrangements.	Discussion with SW1 re contractual activities	Business continuity	H	Mar-10	John Lewis	UoR 2008-09 (Draft Sept 09)	R25	Plans in place	IT Disaster Recovery Plan will be provided by Southwest One, as a development of the provisions existing within each of the Partner organizations, but benefiting from economies of scale. The Plan will reflect the business critical priority given to each service by the Partners. Plans are due from SW1 by March.	Feb-10	
A3	Ensure there is an up to date generic corporate business continuity plan and service level plans, and test these at least annually.	Continuation of plan preparation activities	Business continuity	H	Mar-10	John Lewis	UoR 2008-09 (Draft Sept 09)	R26	Plans in place & tested	The generic corporate business continuity plan for the pandemic scenario is currently being updated, following completion of revised service plans. Work has commenced on 'loss of facility' scenario planning and a draft generic corporate plan will be complete by March 2010. This will need to reflect the current restructuring of services envisaged by the Core Council Review. The parameters and timetable for testing will be an integral part of the plan.	Feb-10	
B1	To ensure that the Code of Corporate Governance is publicized internally and externally and regularly monitored to ensure that the Council is complying with it	Publicise & monitor the code	Corporate governance	L	Mar-10	Tonya Meers	Annual Governance Statement		Documents published	The booklet has now been printed in TDBC style guide and the principles will be reviewed by CMT to ensure that we are complying with the principles and that there is a co-ordinated link up with corporate governance action plan.	Feb-10	
B2	To carry out a health check on the Council's ethical governance framework	Letter and questionnaire to be sent to all members and senior officers. Results to be assessed by the Standards committee with a view to arranging workshops to cover any gaps in knowledge for members	Corporate governance	M	Dec-09	Tonya Meers	Annual Governance Statement		50% return rate on questionnaires and good attendance at subsequent workshops.	Standards Committee will be agreeing the letter and questionnaire to be sent out on the 9th December 2009. The questionnaire and letter has been approved by the Standards Committee and the Monitoring Officer is in the process of organising its release.	Feb-10	
B3	Change of the audit plan to include Governance, Fraud, and Corruption	Review what is currently in place	Corporate governance	H		Chris Gunn	Annual Governance Statement			This is now within the 2009/10 Audit Plan. All SWAP partners have included a standard range of Governance type reviews will allow partners to share best practice in terms of governance. SWAP intends to pick up on Fraud Controls as part of the annual managed audits of the Council's key financial systems.	Sep-09	Completed
B4	To further strengthen the Scrutiny function	To implement the new structure	Corporate governance	H	May-09	Tonya Meers	Annual Governance Statement			The new structure came into effect following Annual Council on 13 th May 2009. The new Scrutiny Officer took up her post in May 2009.	Sep-09	Completed
		To produce an annual report	Corporate governance	M	Jun-10	Tonya Meers	Annual Governance Statement		Completion of the report	The report is currently being prepared and will be going to the Scrutiny Committees in January/February 2010.	Feb-10	
		To implement recommendations of the IDeA peer review	Corporate governance	M	Jun-10	Tonya Meers	Annual Governance Statement			Some of the recommendations contained in the IDeA Report have now been implemented – changing our structure was one of the main ones. Other recommendations outstanding will be introduced at the appropriate time. Further work is currently being undertaken on this at the moment.	Feb-10	
B5	To take Health & Safety forward	Highlight priority issues	Corporate governance	H		David Woodbury	Annual Governance Statement			Issues have been highlighted to CMT for action.	Sep-09	Completed
		Increase knowledge and performance within the Council. Review and implement the H & S action plan	Corporate governance	H	as per 2009/10 H & S plan	David Woodbury	Annual Governance Statement		An up-to-date H & S action plan being delivered	The Health and Safety module of SAP is due to be implemented in 2010. Cllr Wilson identified as H & S Champion within Executive. H&S Forward Plan currently 15% completed and further progress will happen once the Core Council Review is in place and managers start to risk assess their responsibilities. Winter Working policy is currently out for consultation and expected to be an agenda item for CCM shortly. Ten harmonised policies will be ready for consultation by end of March 2010. Continuing high levels of corporate support is being provided by the H&S Advisor and these demands are likely to reduce end of February 2010, allowing time to be spent on the health and Safety policies and procedures and delivery of in-house training	Feb-10	
B6	To develop the Council's Asset Management arrangements	Asset Management Plan draft by mid Dec. Present AMP to CMT (Feb), to Scrutiny (March), and Exec (April)	Corporate governance	H	Apr-10	Alison North - Mark Halligan/Trevor Miles (SW1)	Annual Governance Statement		Successful AMP monitoring and governance, and aligned to TDBC needs	The SW1 Property Service has worked in conjunction with the Performance & Client Team and have implemented a new Asset Management planning and review process. AMP process has been designed and agreed. AMP working group has been formed. AMP draft is commencing the approval process: CMT 15 Feb and Asset Management Group on 26 Feb. Final approval will follow Scrutiny and Executive meetings in the new financial year. Monitoring of Asset Management arrangements is reported in the corporate performance scorecard as from Quarter 3 2009/10	Feb-10	
B7	To fully review the Constitution during 2008/09	To complete the review of the constitution	Corporate governance	H	Dec-09	Tonya Meers	Annual Governance Statement		Publication of an updated constitution	Large sections of the constitution have been approved during the last year and the aim is to complete it by the end of this year. Work is almost complete but it will not be completed by the end of December 2009. In addition further work will still need to be done in light of the core council review.	Feb-10	


Corporate Action Plan 2009-10











Item	Improvement / recommendation	Activities planned	Category	Priority (H,M,L)	Target date	Lead Officer	Source	Ref	Success criteria	Progress	As at (date)	Status
B8	Update the IT Strategies and ensure there are clear links from these to financial planning.	Establish an IT work group	Corporate governance	H	Mar-10	Alison North; & SW1	UoR 2008-09 (Draft Sept 09)	R1	Fit for purpose IT strategy	ICT Strategy is currently being produced by SW1 in consultation with services which will align for all partner organisations. Future reviews will be aligned with the MTFP and service planning processes. The is on course for the target date..	Feb-10	
B9	Update the Workforce Strategies and ensure there are clear links from these to financial planning.	Workforce strategy - see actions in L2	Corporate governance	H	tbc	Martin Griffin; & IT (SW1)	UoR 2008-09 (Draft Sept 09)	R1	Fit for purpose Workforce Development Plan - refer to L2	Workforce strategy – Ownership issues to be resolved (TDBC / SW1)	Feb-10	
B10	Update the procurement strategy to bring it in line with current practices.	To be drafted by SW1 then signed off by partners	Corporate governance	H	Dec-09	Paul Harding	UoR 2008-09 (Draft Sept 09)	R12	A new procurement strategy will be adopted	Draft strategy received from SW One, consultation took place with stakeholders and 2nd draft expected end Feb 2010 before final version available toward end March 2010	Feb-10	
B11	Use the local Code of Governance to drive improvements in governance arrangements.	To prepare a list of activities that are necessary from the local code if they have not already been done.	Corporate governance	M	Apr-10	Tonya Meers	UoR 2008-09 (Draft Sept 09)	R19		TDBC adopted 'Code of Corporate Governance' framework and use 'Annual Governance Statement' to create an action plan. (2008-09 saw many changes to staffing, committees & Local Assessment process)	Feb-10	
B12	The Standards Committee needs to adopt a more proactive role in promoting ethical behaviour.		Corporate governance	M	6 monthly review of Forward Plan (next due March 10)	Tonya Meers	UoR 2008-09 (Draft Sept 09)	R20		We are monitoring savings fortnightly, and a presentation on progress on procurement transformation was given to Change Programme Member Steering Group by Paul Harding on 27/01/10 and this has been uploaded to the members portal. Ian Connor the Chief Procurement officer of SW One will be presenting a paper on procurement transformation progress on 18th February 2010. Paul Harding and Stuart Busfield (of the SW One procurement team) have a regular slot at CMT to report progress on procurement transformation. Feedback from annual Assembly informs Forward Plan (on website). Progress being made, eg Members 'away day' training, updated protocol, forward plan for training etc. Independent members are now attending more TDBC committee meetings to raise their profile and awareness. Members of the Standards Committee will also work with the MO to carry out training and member briefings on ethical governance issues again to raise their profile and for them to be seen as proactive in their approach.	Feb-10	
B13	The Corporate Governance Committee should have a clear role in following up progress in addressing key weaknesses identified in audit reports and the Annual Governance Statement.	Produce Corporate Governance Action Plan. Report quarterly on progress to Corp Govn Committee	Corporate governance	M	Oct-09	Adrian Gladstone-Smith	UoR 2008-09 (Draft Sept 09)	R23	Key weaknesses managed and addressed	Actions identified to address key weaknesses are now included and managed via the Corporate Governance Action Plan. Progress against these actions is reported to CMT and Corp Governance Ctee on a quarterly basis. Reported to CMT on 16 Dec 09 and Corporate Governance Ctee on 10 Dec 09. Next due CMT on 1 March and CG Ctee 15 March.	Feb-10	
C1	Implement the agreed action plan from the Auditors Data Quality Review	DQ strategy being reviewed & updated	Data Quality	H	Nov-09	Adrian Gladstone-Smith	AAIL 07/08 (March 2009) / UoR 2008-09 (Draft Sept 09)	Para 8 / R15	Implementation of Audit recommendations	External Auditors recommendations have been implemented (one in progress)	Feb-10	
C2	Identify how progress in implementing the Data quality Strategy will be monitored.	Monitoring by Performance Team & quarterly reporting to CMT & Corporate Governance Committee	Data Quality	M	Nov-09	Adrian Gladstone-Smith	UoR 2008-09 (Draft Sept 09)	R16	Established monitoring & reporting framework - CMT and Corporate Governance Committee fully aware of progress	Actions identified to address key weaknesses including DQ are included and managed via the Corporate Governance Action Plan. Progress against these actions is reported to CMT and Corp Governance Ctee on a quarterly basis (see B13 above). Reported to CMT on 16 Dec 09 and Corporate Governance Ctee on 10 Dec 09. Next due CMT on 1 March and CG Ctee 15 March. Further monitoring via quality of performance data received. Members feedback. E-Learning module being rolled out. Covered in Service Planning training and member training. DQ Strategy updated annually. Responsibility of Performance & Client to embed in organisation. Training in DQ also part of Organisational Development Plan.	Feb-10	
C3	Ensure there are effective quality assurance arrangements in place for the production of all the national indicators and all those local indicators used by the Council to support delivery of its local priorities.	Confirm NI & LPI owners list. Send reminders to owners re Audit Commission guidelines & any recent updates. DQ Proformas to be completed for year end (April 10)	Data Quality	H	Nov-09	Adrian Gladstone-Smith	UoR 2008-09 (Draft Sept 09)	R17	All PI owners established, and understand & follow AC guidelines	Is being achieved through delivery of the DQ Strategy and the Performance Team working closely with NI 'owners' to support them in accurately monitoring & reporting their NIs. NI's proformas will be required for 2009/10 with greater assistance and compliance. The Performance & Client Officer attends regular meetings with the Somerset performance Officers Group (SPOG) where NIS updates are provided and cascaded through organisation.	Feb-10	
C4	Implement the agreed action plan from the internal audit report on its spot checks on a sample of national indicators.	Recommendations from Audit report to be implemented - Performance Team to confirm	Data Quality	H	Nov-09	Adrian Gladstone-Smith	UoR 2008-09 (Draft Sept 09)	R18	PIs being calculated correctly in line with AC guidance	Audit reports & recommendations for NI 155 & 179 sent to responsible Officers. Compliance has been reviewed and now understood.	Feb-10	
D1	Do more to enhance the Council's approach to Equalities and Diversity	- Training for staff & members - Build into service planning - Build into Comms / Reports - Achieve level of EFLG	Equalities & diversity	H	On-going	Simon Lewis / Lisa Redston	AAIL 07/08 (March 2009) CAA Organisational Assessment	Para 8	All staff & members trained. Target levels for EFLG standard achieved. E & D embedded within service planning, & all council comms & reports	Raising profile of E and D through Members briefings, and Council communications. Theme Manager and Leads training on EIAs in March. Theme Manager training on developing Equality Action Plans. Equality Action Plans embedded in Service Planning Process. Rolling staff training being developed with SW1. EFLG audit carried out. Revised CES produced for 2010-2013 objectives to mainstream E and D throughout services and aligned with EFLG requirements. Revised and raised profile of Translation procedure.	Feb-10	
D2	Bring the equalities and needs assessment work up to date.	Completion of Equalities Impact Assessments (core council & SW1). Community profiling work including deprivation, age profiling etc	Equalities & diversity	M	Mar-10	Simon Lewis / Lisa Redston	UoR 2008-09 (Draft Sept 09)	R9	All policies, strategies & service areas to have Equalities Impact Assessments in place	Commissioned IODA to train Managers and Leads on Equality Impact Assessments. EIA's are embedded within project planning processes (DLO, Core Strategy Consultation) Updated 13 EIA's completed in 2006. Completed 5 new EIA's. Developed forward programme of EIA's for 2010/2011. Took part in PSI pilot through SWREIP developed aligned processes with partner LAs in Somerset to carry out joint EIAs. Supporting SW1 to complete EIAs.	Feb-10	





Corporate Action Plan 2009-10

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D3	Ensure that outcomes from equality impact assessments are reflected in decision-making.	Ensure they are within all Exec reports by Jan 2010. Training for officers in providing equalities info in reporting. Reports to be quality checked for equalities impact prior to final submission	Equalities & diversity	M	Jan-10	Simon Lewis / Lisa Redston	UoR 2008-09 (Draft Sept 09)	R10	All decisions consider equality impact assessments	Commissioned Consultant to work with Theme Leads to develop and embed Equality Action Plans into Service Plans (17/3/2010) to inform service delivery. Process developed to ensure EIAs in included in all Scrutiny/Exec reports. Senior management buy in to quality check and reject reports without EIAs, Member champions engaged.	Feb-10	
D4	Collect data on staff equalities issues and customer feedback on equalities issues, and consider action required to address any issues arising.	Customer feedback & complaints to be monitored & acted upon	Equalities & diversity	M	Customer feedback - quarterly; Staff Profile - Jan to Mar 10	Simon Lewis / Lisa Redston	UoR 2008-09 (Draft Sept 09)	R29	Staff and customer equalities data collected, and actions required considered to address issues arising	Engaging regularly with T D Disability Group and Forum for E and D in Somerset through funding and joint SLAs. Engaging with other Equality groups (Polish Association, GRT forum). Working with SIP to develop community profiles using equality data. Developed standard customer equalities monitoring forms for attendance at events, consultation responses satisfaction surveys, data to be used in EAP process/EIAs Working with retained HR to design and implement the Staff Satisfaction Survey and Workforce Strategy with E and D in mind. Equalities consultation database developed.	Feb-10	
D5	Improve access to buildings for disabled people	TDBC Building Control to provide SWOne with status reports. SWOne to produce programme and cost. TDBC to approve.	Equalities & diversity	H	Apr-10	Helen Acreman SWOne	CAA Organisational Assessment		Buildings compliant with DDA regs	SWOne are awaiting revised reports from TDBC building control before they can establish a programme of works with associated costs for approval by the Council. In the meantime any refurbishment or maintenance undertaken will consider DDA needs and incorporate these where possible	Feb-10	
E1	Review its accounting closure processes, and the resources provided to support these processes, to reduce the risk of material and other errors occurring within the financial statements presented to members for approval		Managing finances	H		Maggie hammond / SW1	AAIL 07/08 (March 2009)	Para 8				Completed
E2	To review the operation of the internal controls governing the processing of Payroll data in light of the installation of SAP	Internal audit looking at SAP internal controls	Managing finances	H	Jan-10	Maggie Hammond	Annual Governance Statement		Controls reviewed	A meeting has been set up for 7 th October to begin the review of internal controls. Internal audit have nearly completed their audit of SAP this will include payroll controls. Even though the date has slipped I am still happy to keep this green.	Feb-10	
E3	To fully review the Financial regulations	To complete review of the financial regulations	Managing finances	H	Mar-10	Maggie Hammond	Annual Governance Statement		A new financial regs document produced	The financial regulations have been partial reviewed but they need to reflect the improved control brought about by the introduction of SAP. This piece of work has been give to Ian Jamieson the current Deputy S151 to complete by 31st Mar	Feb-10	
E4	To ensure that the SW1 action plan, in response to the closure of the 2008/09 accounts is followed		Managing finances	H	Sep-09	Maggie Hammond	Annual Governance Statement			The action plan was implemented. The audit of the 2008/09 is still ongoing but no major/material issues have been identified.	Sep-09	Completed
E5	Provide greater focus on the medium term when preparing and setting the annual budget.	To seek advice from Exec on whether they support resourcing medium-term budgeting	Managing finances	H	Jul-10	Maggie Hammond	UoR 2008-09 (Draft Sept 09)	R2	Focus on medium term when budget setting	Will be reviewed during budget setting for 2011/12	Feb-10	
E6	Ensure there is adequate public consultation as part of the preparation of the annual budget.	Simon & Maggie to agree consultation process for next years budget	Managing finances	M	Sep - Oct 10	Simon Lewis / Maggie Hammond	UoR 2008-09 (Draft Sept 09)	R3	Public consulted during budget setting process	Will be reviewed during budget setting for 2011/12	Feb-10	
E7	Ensure that the Council's policy on levels of balances is supported by a robust financial analysis of the Council's key risks.	Prepare report for Scrutiny Jan 10	Managing finances	M	Mar-10	Maggie Hammond	UoR 2008-09 (Draft Sept 09)	R4	Balances supported by robust financial analysis of key risks	The GF Reserve minimum balance has been calculated on a risk basis.	Feb-10	
E8	Establish stronger links between financial and performance monitoring.	Review performance management arrangements & monitoring reports	Managing finances	M	Jan-10	Adrian Gladstone-Smith / Maggie Hammond	UoR 2008-09 (Draft Sept 09)	R7	Robust links between Finance & performance	Performance management framework agreed. Performance reporting arrangements reviewed with new Scorecard introduced in Q3. Improves links with Financial Performance. Member Training 14 & 25 Jan 10	Feb-10	
E9	Review a sample of journals processed in 2009/10		Managing finances	H	Mar-10	Maggie Hammond	AAIL 2008/09 (Dec 09)	Para 11 & 12	Sample checks done in current year	A SAP report is provide each month for the Financial Services Manager and Principal Accountant to review. These details are being held on file and I hope to review these in March 2010	Feb-10	
E9	Ensure that the accounts closure process is adequately resourced.		Managing finances	H	Apr 09 - Mar 10	Maggie hammond / Emily Collacott	UoR 2008-09 (Draft Sept 09)	R8		Should no longer be a problem	Oct-09	Completed
E10	Ensure there are up to date procedure notes and manuals for all the key financial systems.		Managing finances	M	n/a	Maggie Hammond	UoR 2008-09 (Draft Sept 09)	R24		Resolved with the introduction of SAP	Oct-09	Completed
F1	To review the Corporate Governance arrangements in relation to partnership working	To be put onto a future scrutiny agenda.	Partnerships	M	Apr-10	Tonya Meers	Annual Governance Statement		Report back to O&S	To be decided by the Co-ordinating scrutiny committee. An audit has just been carried out on partnership arrangements and there is a meeting with Tonya Meers/Brendan Cleere and Adrian Gladstone Smith to review that. A decision will then need to be made as to how this will be tackled.	Feb-10	
		Guidance to be produced to members when they sit on outside bodies.	Partnerships	M	May-09	Tonya Meers	Annual Governance Statement			The guidance went through the Standards Committee on 15 th April 2009 and was signed by Alan Wedderkopp and reported through the Weekly Bulletin. An electronic version of the guidance has been circulated to all members. In due course this will be followed up at a Member's Briefing and reinforced by the distribution of a hard copy of the guidance too.	Sep-09	Completed
		Training for members on the guidance	Partnerships	M	Apr-10	Tonya Meers	Annual Governance Statement		Members briefing	The approved guidance will be followed by a Member's Briefing and reinforced by the distribution of a hard copy of the guidance this will be done following the Task and Finish review	Feb-10	

Corporate Action Plan 2009-10

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F2	Ensure that Councillors are kept fully informed of any significant contract issues as the arise and that appropriate action is taken to address any shortcomings. Contract monitoring and management, and the realisation of the expected benefits from the contract, remain a high priority	As part of our general restructuring of our Performance Monitoring processes we will be reviewing & enhancing the processes that currently exist for reporting on our key partnerships (SW1, SWP, Tone Leisure & SWAP). The aim is to have a consistent, appropriate & regular reporting mechanism for all partnerships.	Partnerships	H	Mar-10	Richard Sealy	AAIL 08/09 (Dec 2009)	Para 41	Mechanism in place for regular reporting to members	Pre-existing regular reporting mechanisms are already in place in respect of the SWP, Tone Leisure & SWAP partnerships. We are in the process of enhancing the PTs to be monitored & reported in respect of Tone Leisure. We are introducing new performance monitoring arrangements for SW1 which will include 6-monthly reporting to members led by SW1. Progress against the transformation projects continues to be monitored fortnightly by the Members Steering Group. Additional high level reporting on key partnerships & trans projects is included within the quarterly monitoring reports to senior management & members.	Feb-10	
F3	Compile a register and regularly review authority's partnerships	1. Compile comprehensive partnership register. 2. Confirm involvement and they meet authority's aims and objectives. 3. Introduce protocol for establishing membership prior to commitment. 4. Establish framework and categorisation of partnerships. 5. Widen scope of Members Task & Finish Group re membership on outside bodies	Partnerships	M	Sep-10	Tonya Meers	SWAP Partnership Arrangements Audit (Sept 09)		Partnerships adequately controlled and managed	Members Task and Finish group to be formed in new year.	Feb-10	
F5	Improve robustness of SWOne clienting arrangements for monitoring the SWOne contract.	1. CCR to restructure and commit more resources. 2. Appoint staff. 3. Review robustness of clienting arrangements. 4. Identify & agree with the SCC & ASP Client teams areas for improving joint working arrangements	Partnerships	H	Mar-10	Alison North	AAIL 08/09 (Dec 09) verbal update at CG Ctee 10 Dec 09		SWOne partnership adequately controlled and managed and with other partners	1. CCR Restructure of Theme 1 complete. 2. Vacancies filled. 3/4. The partnership management framework has been reviewed (CMT 1 Feb 10) for the key partnerships including SWOne, Tone Leisure and SWP. In respect of SWOne significant progress has been made: TDBC have produced a joint work plan, including SCC, to more proactively manage the contract and service delivery. Joining the Police with this plan is currently being investigated. Additional specialist resources are being used to client ICT (SCC Client), which will be formalised in new financial year. Obtaining client Property expertise is being investigated. Performance management has been reviewed resulting in monthly meetings being streamlined and more focussed on delivery.	Feb-10	
G1	Review the arrangements for use of resources in the context of the new framework for 2008/09		Performance	M		Richard Sealy	AAIL 07/08 (March 2009)	Para 8		Draft UoR Audit report received Sept 09	Sep-09	Completed
G2	Performance Management and review of partnerships are being strengthened through the Strategy & Corporate theme	Workshops planned with 2 key partners (Tone Leisure, & SWP) to discuss the formalising of new performance monitoring arrangements. Partnership audit report received - action plan to be agreed	Performance	H	Mar-10	Richard Sealy	Annual Governance Statement		Appropriate performance framework and measures in place	See F2; F5; G4	Feb-10	
G3	To implement improvements following the external auditors use of resources assessment 2007/08		Performance	H		Richard Sealy	Annual Governance Statement			Improvements have been made on the statement of accounts which affect the use of resources score.	Sep-09	Completed
G4	Provide more focus on partnerships in the quarterly performance monitoring reports.	New performance Scorecard to be agreed with CMT & Members by Jan 10	Performance	H	Mar-10	Adrian Gladstone-Smith	UoR 2008-09 (Draft Sept 09)	R14	CMT & Members have up-to-date key performance information on all partnerships	We are currently implementing new corporate performance reporting processes which will include mechanisms for reporting on the various key partnerships. Corporate Scorecard also contains a section on key partnerships.	Feb-10	
G5	Provide members with regular reports which allow them to assess how well the Council's major risks are being managed.	2009 Risk Management Strategy action plan being reviewed and updated. Risk management to be embedded including reporting to Members (Corporate Governance Committee)	Performance	H	Mar-10	Adrian Gladstone-Smith	UoR 2008-09 (Draft Sept 09)	R21	An up-to-date Corporate Risk Management Strategy & Risk Register is maintained, and regularly monitored for progress against key mitigation actions to prevent major risks being realised	Risk Management Action Plan was updated and discussed with CMT 18/1/10. Revisions to the current Risk Management Strategy were also agreed by CMT and the corporate risk register was refreshed. Corporate Governance Committee will receive a risk management report 15/3/10, and at each quarterly meeting	Feb-10	
G6	Identify reporting arrangements in respect of service risk registers, and establish a monitoring arrangement to ensure these are regularly updated.	2009 Risk Management Strategy action plan being reviewed and updated. Risk management to be embedded including Service monitoring arrangements	Performance	H	Jan-10	Adrian Gladstone-Smith	UoR 2008-09 (Draft Sept 09)	R22	Up-to-date Service Risk Registers are maintained and regularly monitored for progress against key mitigation actions to prevent major risks being realised	Theme / Service Managers have been issued a new template for service planning 2010-11 which includes a standard risk register template. These are due for completion by end March 2010 (Theme 1) or end June 2010 (Themes 2 & 4). The Performance Team will ensure these are completed consistently and in compliance with the risk management policies and guidance. Theme / Service risk registers will be monitored and reviewed at quarterly Theme Manager meetings as agreed at CMT on 18 Jan 2010 and with Theme Managers group 9th Feb. An internal audit on risk management was conducted in Jan/Feb 2010 and concluded that "risk management controls offer 'reasonable assurance' as most areas reviewed were found to be adequately controlled. Generally risks are well managed ...". The recommendations are currently being agreed and will be incorporated in the authority's overall risk management plan.	Feb-10	
G7	Improve performance management: monitoring arrangements; challenging and tackling poor performance.	Implement new performance framework	Performance	H	Apr-10	Adrian Gladstone-Smith	CAA Organisational Assessment		Create a performance culture that ensures the Council is focussed on delivering its priorities, knows where it must improve & provides excellent value for money	The new corporate performance management process has been agreed by Corporate Scrutiny and the Executive. Details require finalising and will be fully implemented by 1 Apr 2010. New Monitoring report (Scorecard) introduced ahead of schedule in Q3 2009/10. Senior Officer and member Training also undertaken. See details of Scrutiny action from Q2 monitoring reports. Long debate on performance and request for further detailed reports on two areas of under performance: staff absence and sundry debtors collection.	Feb-10	

Item	Improvement / recommendation	Activities planned	Category	Priority (H,M,L)	Target date	Lead Officer	Source	Ref	Success criteria	Progress	As at (date)	Status
H1	To finalize the Risk Management strategy and embed processes to ensure it's fit for purpose	To finalise the strategy (refer to G5 & G6)	Risk management	H	Mar-10	Adrian Gladstone-Smith	Annual Governance Statement		Ref G5	A consultant was commissioned in 2009 to take forward Risk Management within the organization. This has resulted in a revised Risk Management Strategy and new corporate Risk Register with CMT action. Recent work has also been undertaken to further improve Risk Management in the Council and an updated strategy & action plan was agreed by CMT 18-1-10 and is now in place for 2010. Key risk management reviews are contained within the RM Strategy and summarised in a Risk management Annual Cycle, which is monitored by the Performance & Client Officer and reported to the Corporate Governance Committee. Within the Performance & Client team the Insurance Officer has been identified as an additional resource and specialist expertise in helping services improve risk management arrangements. An internal audit on risk management was conducted in Jan/Feb 2010 and concluded that "risk management controls offer 'reasonable assurance' as most areas reviewed were found to be adequately controlled. Generally risks are well managed". The recommendations are currently being agreed and will be incorporated in the	Feb-10	
I1	Ensure that the Council maintains focus on continued improvement of services for citizens during the forthcoming period of structural change	Performance management framework improvements, including monitoring reports, service planning, & VFM / benchmarking	Service improvement	H	Sep-10	Penny James	AAIL 07/08 (March 2009)	Para 8	Services continue to improve	The new corporate performance management process has been agreed by Corporate Scrutiny and the Executive. Details require finalising and will be fully implemented by 1 Apr 2010. Service Planning process has been agreed with CMT with new template produced with completion deadline of end March 10. We are currently investigating the most effective means of undertaking benchmarking with a view to building regular benchmarking into our new corporate performance management processes.	Feb-10	
I2	Continue to address issues relating to housing	As per Housing Report	Service improvement	H	Various	Martin Daly	AAIL 07/08 (March 2009) CAA Organisational Assessment	Para 8		Final version of Audit Commission "Critical Friend" Housing Inspection Report published December 2009. Since then, Improvement Project Team has met 6 times, produced a draft performance management framework, timetabled key improvements, and started to assemble evidence base to inform strategy work.	Feb-10	
I3	Ensure that the programme of service reviews covers all service areas.	Corporately - to identify those services which may require VFM analysis (Corporate Strategy). With Somerset Councils, identify and benchmark poor value services. Examine Audit Commission findings re poor VFM services identified	Service improvement	M	Jan-10	Richard Sealy	UoR 2008-09 (Draft Sept 09)	R11	An understanding of the VFM of all services	VFM work for TDBC being undertaken by SCC. This together with the AC's annual profiles will provide a basis for further detailed reporting on most services. In the meantime the Somerset Performance Officers Group (SPOG) are examining 3 services for benchmarking. Planning is one of them which was identified by the AC as an area of low VFM.	Feb-10	
I4	Address speed of determining smaller planning applications	On-going monitoring	Service Improvement	H		Tim Burton	CAA Organisational Assessment		Planning performance targets met	Improvement from 65.2% in 2007-08 to 75% in 2008-09. Government targets were met. Further improvement shown in 2009/10 Quarter 2 results = 83%	Nov-09	Completed
I5	Reduce carbon emissions at Deane House	Various initiatives	Service Improvement	H	Mar-10	Kevin Toller	CAA Organisational Assessment		Co2 reduction	Action plan agreed by Scrutiny April 09 - actions being implemented. TDBC committed to 10:10 campaign and carbon neutral aspiration. Updated carbon reduction plan to be presented to Scrutiny and Executive for approval during March 2010.	Feb-10	
J1	To ensure the Council realizes some benefits from the transformation projects, Pioneer Somerset and SW1.	Ensure there is adequate risk management system in place to ensure that the governance arrangements are fit for purpose	Transformation	H	Mar-10	Richard Sealy / Kevin Toller	Annual Governance Statement		Benefits realised	There is a process in place to monitor the savings resultant from the Procurement Transformation project. A benefits tracking tool has been designed in connection with the SAP transformation projects. This will be implemented once all of the SAP implementation is complete. The Lead officer for Transformation within the Performance & Client team started in October and will focus specifically on realizing the benefits from the transformation projects. The Pioneer Somerset project has now been disbanded, but the principles of cross-authority partnership working are being taken forward by the Chief Execs	Feb-10	
J2	Continue to monitor Southwest One's delivery, to ensure that benefits realisation and the transformation of services is delivered on time and within budget	Implementing a Benefits tracking Tool to monitor progress against Transformation Project	Transformation	H	Mar-10	Paul Harding	AAIL 07/08 (March 2009)	Para 8	Regular monitoring & reporting. Tracking tool used and updated	There are regular SW One performance reports. The Benefits Tracking Tool is available to be populated. Require engagement from SW One in process and commercial sensitivities to be overcome in order that relevant metrics can be captured.	Feb-10	
J3	Closely monitor actual savings against profiled targets, and report regularly to Members	Determine the appropriate audience / forum for monitoring reports	Transformation	H	Mar-10	Paul Harding	AAIL 08/09 (Dec 2010)	Para 37	Reports produced for members	We are monitoring savings fortnightly, and a presentation on progress on procurement transformation was given to Change Programme Member Steering Group by Paul Harding on 27/01/10 and this has been uploaded to the members portal. Ian Connor the Chief Procurement officer of SW One will be presenting a paper on procurement transformation progress on 18th February 2010. Paul Harding and Stuart Busfield (of the SW One procurement team) have a regular slot at CMT to report progress on procurement transformation.	Feb-10	
K1	Use benchmarking more systematically to challenge service costs and delivery arrangements.	Benchmarking analysis	Value for money	H	Mar-10	Adrian Gladstone-Smith	UoR 2008-09 (Draft Sept 09)	R5	Better understanding of relative service performance and cost	We are currently investigating the most effective means of undertaking benchmarking with a view to building regular benchmarking into our new corporate performance management processes following the Council reorganisation which has significantly forced service cut backs in non priority areas. In the meantime we have commissioned SCC to undertake VFM analysis which will shortly be considered by CMT. The Somerset Performance Officers Group have identified 3 services where further detailed benchmarking is required. TDBC were consulted in the selection.	Feb-10	
K2	Target efficiency savings at those areas which currently provide poor vfm compared to other councils.	Benchmarking analysis	Value for money	H	Jun-10	Maggie Hammond / Adrian Gladstone-Smith	UoR 2008-09 (Draft Sept 09)	R6	Better value for money	This will flow from the benchmarking exercise although services have been reorganised and further cut both in 2009/10 and 2010/11.	Feb-10	

Item	Improvement / recommendation	Activities planned	Category	Priority (H,M,L)	Target date	Lead Officer	Source	Ref	Success criteria	Progress	As at (date)	Status
K3	Reduce costs of planning and council tax collection services	Council restructure re Planning	Value for money	H	Mar-10	Brendan Cleere	CAA Organisational Assessment		Lower costs of service	Planning costs will reduce following the Core Council Review. Council Tax Collection is part of the SWOne contract and the charge for these services reduces annually. A more detailed examination will be undertaken as part of the VFM/Benchmarking review.	Feb-10	
L1	To complete the Core Council Review and thematic working	1. Recruitment to new posts in themes 2 and 4 2.) Selection of a preferred future business model for DLO services. 3) Thematic working OD plan agreed and being implemented	Workforce planning	H	Mar-10	Brendan Cleere	Annual Governance Statement		To contribute to the aims of the CCR of making significant efficiency savings and enabling the Council to address its corporate priorities	Proposals for themes 2 and 4 have been agreed and recruitment activity is now under way. Turner and Townsend will bring recommendations on a future business model for the DLO in January 2010 (Corp Scrutiny)	Feb-10	
L2	Prepare an up to date workforce plan.	1.Planning Meeting on 24/11/09 2.Outline Plan to CMT by 31/12/09 including member and staff engagement actions 3.Engagement with SW1 HR to support the development of the Plan. 4.Background data and structure of Draft Plan to be completed by 28/02/10 5.Results from Staff Survey to be taken into account by 30/04/10 6.Final Draft Plan to CMT by 31/05/10 7. Member approval sought by 30/06/10	Workforce planning	H	Jun-10	Martin Griffin	UoR 2008-09 (Draft Sept 09)	R27	Fit for purpose Workforce Development Plan which complements the English Local Authority Workforce Strategy and has been assessed by GOSW. A detailed Action Plan For the period 2010-2013 has been agreed and funded.	Plan will evolve from Workforce Strategy (see B8). Activity 1 and 4 completed. Due to SAP OM Project additional resources being provided.	Feb-10	
L3	Gather up to date information on staff attitudes and use this to develop an action plan to address any areas of concern.	1.Planning Meeting on 7/12 with SW1 2.Outline Plan and draft survey to CMT by 31/01/10 following consultation with CCM and UCF 3.Survey completed by 31 March 2010 4.Analysis completed by 30/04/10 for incorporation in IIP Plans and Workforce Development Plan.	Workforce planning	H	Mar-10	Martin Griffin	UoR 2008-09 (Draft Sept 09)	R28	High percentage completion by staff. Clarity on staff attitudes and morale translated into actions within Service Plans, IIP Plan and Workforce Development Plan	In discussion with SCC & ASC re a Joint Survey 09-10 – outcome should influence Workforce Strategy & Plan. Joint survey only with SW1, CMT and UNISON consulted on draft survey and on target for completion by 31 March 2010.	Feb-10	
L4	Continue monitor progress in reducing sickness absence rates.	1.Planning meeting held with SW1 in early November 2009. 2. Action Plan due by 30 November 2009 to be considered by CMT in December 2009. 3. Action plan to be undertaken over agreed period.	Workforce planning	H	On-going Quarterly	Martin Griffin	UoR 2008-09 (Draft Sept 09)	R30	Stronger emphasis on sickness absence management across the organisation. Revised policies and procedures and additional training. Lower sickness absence during 2010/11	Part of 2009-10 Service Delivery Plans, and plans to report sickness % as part of Quarterly Corporate Performance. Activities 1 and 2 completed in addition to report to Scrutiny drafted and agreed.	Feb-10	