

APPENDIX 3

Corporate Governance – Action Plan to address Compliance with CIPFA / SOLACE Framework

Dimension 1 – Community Focus

| Code requirement | Source Documents as per CIPFA / SOLACE | Further action required to fully met requirement | Who | When |
|--|---|--|---------------------------------|------------|
| (b) Publish performance plan presenting: - current service delivery performance - plans to maintain/improve service quality. | Community Strategy | Complete Community Strategy to agreed timetable | Director of Policy | March 2003 |
| (d) Arrangements to encourage individuals and groups from all sections of the community to engage with, contribute to and to participate in the work of the authority and put in place appropriate monitoring processes to ensure that they continue to work in practice | Stakeholders Forums' Terms Of Reference | Social Services formal partnership agreements need further development | Social Services Management Team | Dec 2002 |
| | | Need to raise awareness of Partnership Arrangements and how to manage them effectively | Via Management Network | |

| Code requirement | Source Documents as per CIPFA / SOLACE | Further action required to fully met requirement | Who | When |
|---|---|--|----------------|-------------|
| (f) Establish clear channels of communication with all sections of their community / stakeholders, and proper monitoring arrangements to ensure they operate effectively. | IIP Accreditation | Number of Departments still to be assessed for IIP accreditation | Chief Officers | Dec 2002 |

Dimension 2 – Service Delivery Arrangements

| Code requirement | Source Documents as per CIPFA / SOLACE | Further action required to fully met requirement | Who | When |
|---|--|---|--------------------------------|---------------------------|
| b) Sound systems for providing management information for performance measurement purposes. | Performance management and information systems | Development of Performance Management System to deliver quarterly performance reporting to Cabinet | Director of Finance | Summer 2002 (1st qtr rpt) |
| (c) Monitor and report performance against agreed standards and targets and develop comprehensive and understandable performance plans. | Scrutiny committee reports | Review of areas of poor performance need to be more fully included in the Scrutiny Management Commission work plan. | Director of Corporate Services | Sept 2002 |
| (d) Put in place arrangements to allocate resources according to priorities. | Service Plans | Firmer links between budget priorities / strategy and service planning required | Director of Finance | Sept 2002 |

| Code requirement | Source Documents as per CIPFA / SOLACE | Further action required to fully met requirement | Who | When |
|--|--|--|---------------------|-------------|
| | | Corporate overview of service plans | Director of Finance | Sept 2002 |
| (e) Foster relationships / partnerships with other public/private/voluntary sector agencies. Ensuring needs of community are met, processes to do so are adequate. | Protocol for: <ul style="list-style-type: none"> • Joint commissioning • Joint funding • Joint accountability | Development of a procurement strategy Including review of joint commissioning protocols | Director of Finance | Mar 2003 |

Dimension 3 – Structures and Processes

| Code requirement | Source Documents as per CIPFA / SOLACE | Further action required to fully met requirement | Who | When |
|---|--|---|--------------------------------|-------------|
| f) Arrangements to ensure that members are properly trained for their roles and have access to all relevant information to carry out their roles effectively. | Training for committee chairs Training Plan | Formal documentation of members' training plan | Director of Corporate Services | July 2002 |

Dimension 4 – Risk Management & Internal Control

| Code requirement | Source Documents as per CIPFA / SOLACE | Further action required to fully met requirement | Who | When |
|---|---|--|------------------------------------|-------------------------|
| a) Develop and maintain robust systems for identifying and evaluating all significant risks which involve the proactive participation of all those associated with planning and delivering services | Risk Management Protocol | Approval of Risk Mgt Policy & Strategy | AD of Finance (Financial Services) | Sept 2002 |
| | | Corporate Risk Register needs to be more fully developed | AD of Finance (Financial Services) | Dec 2002 |
| | | Continued implementation of Risk Management and Insurance BV Review improvement plan | AD of Finance (Financial Services) | Ongoing per agreed plan |
| | | Need for risk management checklist in report writing guide | AD of Finance (Financial Services) | Dec 2002 |
| | Control framework | Development of risk based auditing | Head of Audit | March 2003 |
| | | Requirement to build risk management in to business plans | AD of Finance (Financial Services) | March 2003 |

| Code requirement | Source Documents as per CIPFA / SOLACE | Further action required to fully met requirement | Who | When |
|--|---|---|---------------------|-------------|
| (f) Publish on a timely basis, within the annual report, an objective, balanced and understandable statement and assessment of the authority's risk management and internal control mechanisms and their effectiveness in practice | Performance management System | This statement is still being discussed within the Accountancy profession and will implement once clarity over requirements is achieved. In the interim a statement will be reported alongside the annual accounts. | Director of Finance | |

Dimension 5 – Standards of Conduct

| Code requirement | Source Documents as per CIPFA / SOLACE | Further action required to fully met requirement | Who | When |
|--|---|---|---------------------|-------------|
| (a) Formal codes of conduct defining the standards of personal behaviour to which individual members, officers and agents of the authority are required to subscribe and put in place appropriate systems and processes to ensure that they are complied with. | Anti fraud and corruption | An updated Anti fraud & corruption strategy is being prepared and will require formal approval. | Director of Finance | Sept 2002 |

Although full compliance with the framework was achieved with the following requirements, the self-assessment highlighted actions that would enhance the current position.

| Code requirement | Source Documents as per CIPFA / SOLACE | Further action required to fully met requirement | Who | When |
|---|--|--|--------------------------------|-------------|
| Dimension 3 : (b) Defined roles and responsibilities of executive and other members and senior officers. | Record of decisions and supporting materials | Officer delegation schemes need to be standardised with a focus on updating record keeping | Chief Officers | Oct 2002 |
| Dimension 5: Standards of Conduct (a) Formal codes of conduct defining the standards of personal behaviour to which individual members, officers and agents of the authority are required to subscribe and put in place appropriate systems and processes to ensure that they are complied with. | Members/officers code of conduct | Govt to issue new Officer Code of Conduct – DCC to update then. | Chief Personnel Officer | |
| | Complaints procedures | Review of current Complaints Procedure in progress | AD Corporate Services (Admin) | March 2003 |
| Dimension 5 : Standards of Conduct (d) Arrangements for whistle blowing to which staff and all those contracting with the council have access. | Whistle blowing policy publicising the Audit Commission hotline established under the Public Interest Disclosure Act 1998. | Code requires publicising further – One to One and Goldrush | Director of Corporate Services | July 2002 |
| | | Need to find out about Audit Commission Hotline. | Director of Corporate Services | July 2002 |