

APPENDIX 'B'

**USE OF RESOURCES 2009 - ACTIONS REQUIRED**

<b><u>REF</u></b>	<b><u>KLOE</u></b>	<b><u>RESPONSIBLE LEAD OFFICERS</u></b>	<b><u>LEVEL2 – (Getting the basics right)</u></b>  <b><u>ACTIONS REQUIRED</u></b>	<b><u>LEVEL 3 (Performs well)</u></b>  <b><u>ACTIONS REQUIRED</u></b>
<b>1.1</b>	<b>Does the organisation plan its finances effectively to deliver its strategic priorities and secure sound financial health?</b>	<b>Kevin Stackhouse</b>	None.  It is considered that the Level 3 requirements under the previous assessment that were met, will justify a future Level 2.	The Council will need examples to clearly demonstrate that its financial plans are used proactively to support service delivery, as indicated in specific boxes below.
<b>1.1.1</b>	Integrate financial planning with strategic and service planning processes on a medium to long term basis.	<b>Kevin Stackhouse/Daniel Fern/Pam Carroll/Martin Guest</b>		Evidence to be gathered showing that the Council has engaged its main service partners in planning and co-ordinating financial resources to meet local priorities.
<b>1.1.2</b>	Engages local communities and other stakeholders in the financial planning process.	<b>Kevin Stackhouse/Martin Guest/ Sasha Ryan</b>	Provide feedback via website  Equality Impact Risk  Assessments on website	Evidence of local people being involved in major spending decisions and in the overall budget process.

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1.1.3	Manages spending within available resources and is financially sound over the medium term.	<b>Kevin Stackhouse</b>		A review of income targets for council tax, business rates and sundry debt collection to ensure that they are “challenging” and based on the age profile of debt.
1.1.4	Recognises individual and collective responsibilities for financial management and values and develops financial skills.	<b>Kevin Stackhouse/Andrea McCaskie/David Clamp/Kerry Gulliver</b>	Records of training on financial skills obtained.	Annual review of officer and member training requirements to ensure skills and knowledge are kept up to date.

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<p><b>1.2</b></p>	<p><b>Does the organisation have a sound undertaking of its costs and performance and achieves efficiencies in its activities?</b></p>	<p><b>Kevin Stackhouse</b></p>	<p>None</p> <p>It is considered that the Level 3 requirements under the previous assessment that were met, will justify a future Level 2.</p>	<p>The Council will need examples to evidence that it knows its costs, but in particular how this is linked to service delivery and how it influences priority setting, as indicated in specific boxes below.</p>
<p><b>1.2.1</b></p>	<p>Understand its costs, including whole life, transaction and unit costs, the main factors that influence these and how they link to performance.</p>	<p><b>Kevin Stackhouse/Nigel Glossop/Jayne Jones/David Clamp/Pam Carroll/Martin Guest/Jessica Fagan</b></p>		<p>Will need to demonstrate a link between the unit costs of a service to performance.</p> <p>Performance Framework to include financial unit cost data from April 09.</p>
<p><b>1.2.2</b></p>	<p>Takes account of this understanding of its costs and performance in decision making and commissioning.</p>	<p><b>Kevin Stackhouse/Daniel Fern/Jessica Fagan</b></p>	<p>Review of Business Improvement Team.</p>	<p>There is a greater emphasis here on ensuring that the environmental and wider social impacts are also given consideration in decision making on top of the financial implications.</p> <p>Procurement strategy update in March 09. Case studies required as evidence.</p> <p>Develop 'local' systems for benchmarking performance.</p>

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				Use NI's and LAA targets to compare performance where appropriate.
<b>1.2.3</b>	Identifies the scope for making efficiencies and is on track to achieve planned efficiencies.	<b>Nigel Glossop</b> /Jessica Fagan/Daniel Fern		

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<b>1.3</b>	<b>Is the organisation's financial reporting timely, reliable and does it meet the needs of internal users, stakeholders and local people?</b>	<b>Kevin Stackhouse</b>	None.  It is considered that the Level 3 requirements under the previous assessment that were met, will justify a future Level 2.	
<b>1.3.1</b>	Produces relevant, timely and reliable financial monitoring and forecasting information.	<b>Kevin Stackhouse/Daniel Fern</b>		It is considered that Level 3 can be demonstrated. Smarten the link between quarterly financial reporting with that of performance per 1.2.1
<b>1.3.2</b>	Uses financial and related performance information to monitor performance during the year.	<b>Kevin Stackhouse/Daniel Fern/Martin Guest/John Porter</b>		As above.  Examples of good practice
<b>1.3.3</b>	Produces financial reports that are clear, relevant and concise to support strategic decision making.	<b>Kevin Stackhouse</b>		As above.
<b>1.3.4</b>	Prepares accounts that meet statutory requirements, financial reporting standards and present fairly.	<b>Daniel Fern</b>		As usual, this will depend on the auditor's assessment of the final accounts process. The Council was considered a robust 3 under the previous assessment and will again strive for a top rating under

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<p><b>1.3.5</b></p>	<p>Publishes reports that provide an objective, balanced and understandable assessment of performance in the year.</p>	<p><b>Kevin Stackhouse</b>/Daniel Fern/David Clamp/Martin Guest</p>		<p>this KLOE.</p> <p>The Council produced an Annual Report for the first time last year. The KLOE highlights best practice and this will be reviewed against the current report template and its content.</p> <p>In particular, it is considered that the presentation of the financial information contained in the report can now be improved.</p>
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<p><b>2.1</b></p>	<p><b>Does the organisation commission and procure quality services and supplies, tailored to local needs, to deliver sustainable outcomes and value for money?</b></p>	<p><b>Nigel Glossop</b></p>		
<p><b>2.1.1</b></p>	<p>Has a clear vision of intended outcomes for local people which shapes its commissioning and procurement, and is based on an outgoing analysis and understanding of needs.</p>	<p><b>Nigel Glossop/Jessica Fagan/Martin Guest</b></p>		<p>Review Procurement Strategy. Procurement Workshops. Review Service Plans.</p>
<p><b>2.1.2</b></p>	<p>Involves local people, partners, staff and suppliers in commissioning services.</p>	<p><b>Nigel Glossop/Jessica Fagan/Sasha Ryan</b></p>		<p>Examples required to evidence stakeholder involvement in Commissioning.</p>
<p><b>2.1.3</b></p>	<p>Seeks to improve the customer experience, quality and value for money through service redesigned, making effective use of IT.</p>	<p><b>Nigel Glossop/Jessica Fagan/Pam Carroll</b></p>		

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<p><b>2.1.4</b></p>	<p>Understands the supply market and seeks to influence and develop that market.</p>	<p><b>Nigel Glossop</b>/Jayne Jones/Kevin Stackhouse/Pam Carroll</p>		<p>Examples of good practice from P2P.</p>
<p><b>2.1.5</b></p>	<p>Evaluates different options (internal external and jointly with partners) for procuring services and supplies.</p>	<p><b>Nigel Glossop</b>/Jessica Fagan</p>		<p>Examples of options appraisal for internal and external contracts.</p>
<p><b>2.1.6</b></p>	<p>Reviews the competitiveness of services and achieves value for money, while meeting wider social, economic and environmental objectives.</p>	<p><b>Nigel Glossop</b>/ Jessica Fagan/Simon Mortimer?</p>		<p>Update Procurement Strategy to incorporate wider objectives.</p>



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<p><b>2.2</b></p>	<p><b>Does the organisation produce relevant and reliable data and information to support decision making and manage performance?</b></p>	<p><b>David Clamp</b></p>		
<p><b>2.2.1</b></p>	<p>Produces relevant and reliable data and works with partners to ensure the quality of partnership data.</p>	<p>Martin Guest/Nigel Glossop/Jayne Jones/Kevin Stackhouse/David Clamp/Pam Carroll</p>	<p>Review data Strategy action plan</p>	
<p><b>2.2.2</b></p>	<p>Understands the needs of its decision makers and provides them with information that is fit-for-purpose and is used to support decision making.</p>	<p>Martin Guest/Nigel Glossop/Jayne Jones/Kevin Stackhouse/David Clamp/Pam Carroll</p>		
<p><b>2.2.3</b></p>	<p>Ensures data security and compliance with relevant statutory requirements.</p>	<p><b>Nigel Glossop</b></p>	<p>Senior Information Risk Owner in place (ICT Strategy)</p>	<p>Review ICT Strategy Monitor Security incidents</p>

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<b>2.2.4</b>	Monitors performance against its priorities and targets, and addresses underperformance.	Martin Guest/Kevin Stackhouse/John Porter/Nigel Glossop/Jayne Jones/David Clamp/Pam Carroll		Implement Performance Management System
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<p><b>2.3</b></p>	<p><b>Does the organisation promote and demonstrate the principles and values of good governance?</b></p>	<p><b>Andrea McCaskie</b></p>		
<p><b>2.3.1</b></p>	<p>Has adopted, promotes and demonstrates the principles of good governance.</p>	<p><b>Andrea McCaskie</b></p>	<p>Report to Council on 26/2/09 on:</p> <ul style="list-style-type: none"> <li>a) the roles and responsibilities of the Leader, Committee Chairs, other Council Members and the 3 statutory posts – Head of Paid Service/Section 151/Monitoring Officer.</li> <li>b) A Review of the Officer Scheme of Delegation</li> </ul> <p>The formalisation of an induction programme for new Members</p>	<p>Report to Council on 26/2/09 to:</p> <ul style="list-style-type: none"> <li>a) review the Member/Officer Protocol</li> <li>b) Introduce individual Personal Development Plans for Members, based on skill gaps, with Training Plans</li> </ul> <p>Half- yearly reviews of the Local Code of Corporate Governance, monitoring and implementation of the Action Plan via Audit Sub-Committee/Standards Committee and Council</p> <p>Publicise Whistle Blowing Procedure through Core Brief and Elected Member Briefings</p> <p>Publicise Whistle Blowing through Core brief and Elected Member briefings</p>

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<p><b>2.3.2</b></p>	<p>Maintains focus on its purpose and vision.</p>	<p>David Clamp/Martin Guest</p>	<p>Corporate Plan reviewed for 2009/14</p>	
<p><b>2.3.3</b></p>	<p>Demonstrates a strong ethical framework and culture.</p>	<p><b>Andrea McCaskie</b></p>	<p>Report to the Standards Committee in March 2009 on a Press Policy regarding the work of the Standards Committee</p> <p>Place Register of Interests of Members on the website in March 2009 via CMIS</p>	
<p><b>2.3.4</b></p>	<p>Applies the principles and values of good governance to its partnership working.</p>	<p>Stuart Batchelor/Martin Guest/Tony Stamper</p>		<p>Develop a good practice protocol for partnership working</p> <p>Ongoing support and development of Community/Parish Plans</p> <p>All principle partnerships to complete a year end report which will be presented to Council in an 'Annual Partnership Report'.</p>

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<p><b>2.4</b></p>	<p><b>Does the organisation manage its risks and maintain a sound system of internal control?</b></p>	<p><b>Kevin Stackhouse</b></p>	<p>None.</p> <p>It is considered that the Level 3 requirements under the previous assessment that were met, will justify a future Level 2.</p>	
<p><b>2.4.1</b></p>	<p>Has effective risk management which covers partnership working.</p>	<p><b>Kevin Stackhouse /Stuart Batchelor</b></p>		<p>Partnership arrangements will need to be reviewed and evidenced.</p> <p>Review Officer and Member training requirements to ensure skills and knowledge are kept up to date.</p>
<p><b>2.4.2</b></p>	<p>Has clear strategy and effective arrangements, including allocation of appropriate resources, to manage the risk of fraud and corruption.</p>	<p><b>Pam Carroll/ Ian Bourne/Tony Stamper</b></p>	<p>A benefit fraud strategy is produced and reviewed on an annual basis which generates a pro-active risk based approach to counter fraud.</p>	<p>Compile a risk-register which identifies the priority areas for fraud investigation work. This will include external applications for funding, suppliers of goods and services and internal processes.</p> <p>Take a pro-active approach, utilising the strengths of the Communications Unit to promote and publicise the work of the unit</p>

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				and the outcome of fraud investigations.
<b>2.4.3</b>	Has a sound system of internal control including internal audit.	<b>Kevin Stackhouse</b> /Andrea McCaskie/Rob Brittan/Tony Stamper	Half yearly reports on the Annual Governance Statement, monitoring and implementation of Action Plan via Audit/Sub/Standards Committee and Council	<p>In accordance with statutory requirements, the Council is due to undertake an external review of the effectiveness of internal Audit and the Audit Committee (as key components of internal control) – this will help to determine whether a Level 3 is attainable.</p> <p>Assurance on the viability of business continuity plans for significant contractors and partners.</p>

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3.1	Is the organisation making effective use of natural resources? ( ST/CC only in 2009)	Peter McEvoy	Not required for 2009	
3.1.1	Understands and quantify its use of natural resources and can identify the main influencing factors.	Peter McEvoy/Simon Mortimer		
3.1.2	Manages performance to reduce its impact on the environment.	Peter McEvoy/Simon Mortimer/John Porter		
3.1.3	Manages the environmental risks it faces, working effectively with partners.	Peter McEvoy/Simon Mortimer/Stuart Batchelor		

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<p><b>3.2</b></p>	<p><b>Does the organisation manage its assets effectively to help deliver its strategic priorities and service needs?</b></p>	<p><b>Kevin Stackhouse</b></p>	<p>Not required for 2009.</p>	
<p><b>3.2.1</b></p>	<p>Has a strategic approach to asset management based on an analysis of need to deliver strategic priorities, service needs and intended outcomes.</p>	<p><b>Steve Baker/Kevin Stackhouse</b></p>		
<p><b>3.2.2</b></p>	<p>Manages its asset base to ensure that assets are fit for purpose and provide value for money.</p>	<p><b>Steve Baker/Kevin Stackhouse</b></p>		
<p><b>3.2.3</b></p>	<p>Works well with partners and community groups to maximise the use of assets for the benefit of the local community.</p>	<p><b>Steve Baker/Nigel Glossop/Jayne Jones/Kevin Stackhouse/David Clamp/Pam Carroll</b></p>		



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<p><b>3.3</b></p>	<p><b>Does the organisation plan, organise and develop its workforce effectively to support the achievement of its strategic priorities? (DC only in 2009)</b></p>	<p><b>David Clamp</b></p>		
<p><b>3.3.1</b></p>	<p>Has a productive and skilled workforce.</p>	<p><b>David Clamp/Kerry Gulliver</b></p>	<p>Workforce Development Plan</p> <p>Maintain recording of accident stats through Health &amp; Safety Committee</p>	<p>Review People Strategy</p> <p>Examples of action taken to address known retention areas – Building Control, Accountancy.</p> <p>Examples of innovation by staff to benefit community – Dance Coach, Customer Visiting Officer.</p> <p>Benchmark staff costs – update service plans.</p>
<p><b>3.3.2</b></p>	<p>Knows in the medium to longer term what staff it will need, with what skills and has plans to achieve this.</p>	<p><b>David Clamp/Kerry Gulliver/Daniel Fern</b></p>	<p>Workforce Development Plan</p> <p>Update workforce composition details</p> <p>Consider skills audit corporately</p> <p>Complete Agency contract</p>	

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<p><b>3.3.3</b></p>	<p>Engages and supports staff in organisational change.</p>	<p><b>David Clamp</b>/Barry Nicholls/Carole Chapman/Nigel Glossop/Jayne Jones/Kevin Stackhouse/Pam Carroll</p>	<p>Review of internal communications</p>	<p>JNG Minutes of Intranet</p> <p>Consider how to measure effectiveness of change programmes</p>
<p><b>3.3.4</b></p>	<p>Have policies which support diversity and good people management.</p>	<p><b>David Clamp</b>/Kerry Gulliver/Barry Nicholls/Lakbir Basi/Martin Guest</p>	<p>Develop overview of current employment benefits</p> <p>Have action plan to implement revised pay structure.</p>	<p>Update Equality Action Plan.</p> <p>Review turnover rates where market incentives in place.</p> <p>Level 3 of Equality Standard planned for April 2010.</p> <p>Outcomes from Employee Focus Group captured.</p> <p>Minutes from Values and Attitudes Group on website.</p>