

## ANNUAL GOVERNANCE STATEMENT (2008-2009) ACTION PLAN

ACTIONS FROM EVIDENCE IN PREPARING GOVERNANCE STATEMENT (Appendix E)						
REF.	ISSUE	ACTION REQUIRED	MID-YEAR UPDATE @ OCTOBER 2009	WORK TO BE COMPLETED	Responsible Officer (See key at end)	H/M /L
<b>Objective 1, Step 1: Mechanisms established to identify principal statutory obligations</b>						
1	Statutory obligations are formally established	<p>Update of Constitution to reflect the way the Executive is appointed and the preferred Leadership model</p> <p>Update the constitution &amp; delegated powers for both officer and portfolio holder responsibilities.</p> <p>The Council is consulting on a restructure at the moment that will affect both the senior management of the Council and Portfolio responsibilities.</p>	<p>Regulations have been issued but no requirement to amend constitution before December 2010 i.e. to be in place for next District Council elections</p> <p>Constitution has been amended and delegated powers updated following the restructure of the organisation and changes to Portfolio Holder responsibilities.</p>	Yes – Q4 January Work will need to commence towards the end of the current municipal year	HoMS	H
1	“	Update of relevant Job Descriptions following review of constitution	Job descriptions of Senior Officers have been reviewed and re-evaluated.			
2	Record of statutory obligations	List of record of statutory obligations to be circulated to Heads of Service.	There is no list for Districts so this cannot be done. However delegated powers have been updated following restructure.			
<b>Objective 1, Step 2: Mechanisms in place to establish organisational objectives</b>						
2.	The authority's priorities and organisational objectives have been agreed (taking into account feedback from consultation).	<p>Corporate Strategy to have mid-term review in light of economic downturn and Place Survey results – report planned to Executive</p> <p>Once the Sustainable Community Strategy has been developed, the Corporate Strategy will be revisited to ensure alignment and if necessary reviewed – report planned to</p>	<p>The Warwick District Sustainable Community Strategy (SCS) has been adopted by the Council and revised Portfolio Holder Statements agreed following restructure and new Portfolio Holder responsibilities.</p> <p>Work has started on the Corporate Business Plan which will replace the current Corporate Strategy and take</p>	<p><del>June 2009</del> March 2010</p>	CEx	H

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		Executive	account of the SCS, Place Survey results and Citizens Panel feedback.			
3.	Priorities and objectives are aligned to principal statutory obligations and relate to available funding	Further consideration of how priorities and objectives match up to the new LAA required. report planned to Executive		<del>June 09</del> March 2010	CEx	H
5	Objectives are clearly communicated	Communication strategy being prepared for September	Development of Communication Strategy to be broadened to take account of Marketing and will form a Business and Improvement Programme (BIP) project.	<del>September 09</del> January 2010	HoMS	H
<b>Objective 1, Step 3 : Effective Corporate Governance arrangements are embedded within the authority</b>						
4.	Governance training provided to key officers and all members	Induction programme for senior staff to include governance issues	This is yet to be completed – timescale will slip	<del>July 09</del> By March 2010	HR	M
5.	Staff, public and other stakeholder awareness of corporate governance	Consider at least one item annually on Corporate Governance at the Senior officers meeting. Scheduled for November	September and November's SOM used to engage in discussion regarding the challenges confronting the authority over the next three to 5 years. February SOM to be used instead.	<del>November 09</del> February 2010	DCE (AJ)	L
<b>Objective 1, Step 4: Performance management arrangements are in place</b>						
1.	Comprehensive and effective performance management systems operate	Define strategic partnerships that require an annual report and progress	Improved governance and reporting arrangements required for Shakespeare Country, Brunswick Healthy Living Centre,	<del>June 09</del> March 2010	DCE (AJ)	H

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	routinely					
3.	The authority knows how well it is performing against its planned outcomes	Action plan for new Use of Resources to be reported to Finance & Audit	Use of Resources to be reported to December Executive with an Action Plan for December Finance & Audit Committee.	<del>October-09</del> December 2009	HoF	H
5	Continuously improving performance	Need to further review Corporate Strategy and portfolio holder statements in June 09 to reflect portfolio restructuring.  Link our performance management arrangements with the Sustainable Community Strategy when this is approved in June.	Adoption of SCS has been reflected in the revised Portfolio Holder Statements. Corporate Business Plan to replace Corporate Strategy is in development and therefore current performance indicators will remain as now until the new Plan is in place. Indicators/targets for new Plan will have much greater focus on outcomes.	<del>June-09</del> March 2010	IP	H
<b>Objective 2, Step 1– The authority has robust systems and processes in place for the identification and management of strategic and operational risk</b>						
2	Risk Management extends to partnership risks	Ensure partnership risk registers are obtained and reviewed	Will form part of improved governance and reporting arrangements.	<del>September-09</del> March 2010	DCE (AJ)	H
4	Recording risk	Implement finally agreed risk indicators	Key Risk Indicators need to reflect the priorities of the organisation. There therefore needs to be alignment with Corporate Business Plan which is in development.	<del>September-09</del> March 2010	A&R	M
5.	The authority has well-established and clear	Greater use of claims handling system planned to produce tailored reports for managers on claims and	Completed			

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	arrangements for financing risk	risks				
11.	Risks in partnership working are fully considered	Include in review of Partnerships	Will form part of improved governance and reporting arrangements.	<del>June 09</del> March 2010	<b>DCE (AJ)</b>	H
12	Risk information system	Audit and Risk Manager to investigate software for managing risks, in particular possibility of in-house development of system	In house software produced, and risk registers are loaded. Well received to date by Risk Management Group. Corporate risk register has been loaded onto system.			
<b>Objective 3, Step 1 - The authority has robust systems of internal control which includes systems and procedures to mitigate principal risks</b>						
1.	Financial Regulations	Code of Financial Practice (CoFP) will continue to be reviewed at least annually, with amendments sought if required.	Report due to February 2010 Executive	Annually (min) February 2010 Executive	<b>HoF</b>	
7	Communication of scheme of delegation to all staff	Training on decision making powers including the scheme of delegated powers	Delayed pending various amendments to scheme of delegation	<del>October 09</del> January 2010	<b>HoL</b>	M
9	Business continuity	Implement actions resulting from the test to provide greater resilience during 09/10.  BCM Policy to be taken to the July Executive.  The revised Corporate BCM plan is to be taken to the July Executive	Corporate Business Continuity Plan taken to October Executive. Delay was due to the outbreak in Swine Flu which required significant investment of resource.			
14	Complaints	The review of the complaints process has been completed and will be implemented in conjunction with guidance awaited from the LGO. A report will be made to the Standards Committee in June and the Executive	Revised Complaints Process considered by September Executive and to be agreed by Employment Committee and Standards Committee. Delay was due to further consultation			

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		in July 2009	with the LGO.			
<b>Objective 5, Step 1 – Evaluate assurances and identify gaps in control/assurances</b>						
1.	Responsibilities for assurances are defined	Review if responsibility is sufficiently documented	Annual Service Assurance Statements are agreed by CMT.			
2.	Mechanism for governance	Document responsibility for agreeing and documenting service assurances  Ask Audit to review if clear guidance exists on evaluation procedure including assurance over risks, independence and objectivity of assurances	See below.  Clear guidance to managers exists. This is issued to managers as part of request to complete service assurance statements.			

## ANNUAL GOVERNANCE STATEMENT (2008-2009) ACTION PLAN

ACTIONS FROM EVIDENCE ON THE SIX THEMES OF CODE OF CORPORATE GOVERNANCE (Appendix F)						
REF.	ISSUE	ACTION REQUIRED	MID-YEAR UPDATE @ OCTOBER 2009	WORK TO BE COMPLETED	Responsible Officer (See key at end)	H/M/L
<b>CIPFA/SOLACE Core Principles – Theme 1: Focusing on purpose/outcomes and creating a vision for the local area</b>						
1	Develop & promote vision	Promotion of Corporate Strategy	Initial promotional work completed (April –June 2008). Promotion of the Council's Values has also taken place. Following revision of the Corporate Strategy in Autumn 2008, further promotional work was planned but has been limited. Promotion of a new Corporate Business Plan will be required.	<del>September 09</del> April 2010 onwards	IP	H
2.	Review vision	Warwick Area Local Strategic Partnership governance to be agreed at June Executive	New governance arrangements for LSP agreed at June Executive.			
3.	Ensure partnerships have common vision	Review of Partnership Policy and review of individual partnerships in line with the agreed policy by June	Will form part of improved governance and reporting arrangements.	<del>June 09</del> March 2010	DCE (AJ)	H
5.	Quality of service	Following Customer Insight project and systems thinking pilots develop a revised approach to ensuring what we measure is directly related to customer needs and expectations. Will be developed in tandem with Service Delivery Plans for 2010-11.		March 2010	IP	H
7	Value for money	Benchmarking has been completed for five support services, however, the authority's approach to value for money and benchmarking needs to be more formalised. Paper to CMT/Executive in September	Report to Senior Management Team in March	<del>September 09</del> March 2010	HoF	M
<b>CIPFA/SOLACE Core Principles – Theme 2: Members &amp; officers working together to achieve common purpose with clearly defined functions &amp; roles</b>						
2	Roles and responsibilities	Role of councillors as described in the Constitution to be considered as part of general review.	Role of Councillors endorsed by September Standards Committee.			

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5	Leader/Chief Executive protocol	Draft protocol produced and to be agreed	Protocol agreed by Leader and Chief Executive and endorsed by September Standards Committee.			
6.	Roles	Section 151 responsibilities to be amended to the Head of Finance.	Constitution amended appropriately.			
12.	Partnership working	As in Theme 1, no 3 above	Will form part of improved governance and reporting arrangements.	<del>June-09</del> March 2010	<b>DCE (AJ)</b>	H
<b>CIPFA/SOLACE Core Principles – Theme 3: Promoting values for the authority and demonstrating values of good governance through upholding high standards of conduct and behaviour</b>						
2	Standards of Conduct	Update Chief Officer performance review arrangements	To be updated in tandem with revised structure- timescale slipped due to departure of HODPI	<del>August-09</del> March 2010	<b>HR</b>	M
8.	Partnership Working – Values	As in Theme 1, no 3 above		<del>June-09</del> March 2010	<b>DCE (AJ)</b>	H
<b>CIPFA/SOLACE Core Principles – Theme 4: Taking informed and transparent decisions which are subject to effective scrutiny and managing risk</b>						
1	Effective Scrutiny	Review completed and amended structure to be introduced in May	Will form part of improved governance and reporting arrangements.	<del>May-09</del> March 2010	<b>HoMS</b>	M
2	Decision making	Process devised for recording when decision of Council, Executive and Committees are implemented, to be implemented in conjunction with introduction of new committee management system. Aiming for quarter 3 but dependent upon introduction of new Committee Management System		To be reviewed in <del>November-09</del> June 2010	<b>HoMS</b>	M
3.	Conflicts of interest	Annual reminder in payslip regarding need to make declarations for conflicts of interest for officers	Completed		<b>HF</b>	M
10.	Lawful activity	Provide training should the need arise. Continue to review on a	Need has not arisen. Continue to keep under review	October 09	<b>HoL</b>	L

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		periodic basis.				
11.	Limit of law	As above	As above	October 09	HoL	L
12.	Legislative requirements are observed	Develop training for members via member development group on legality issues to include vires, Wednesbury etc	Legislative requirements observed via monitoring of Executive and committee reports. Training on legality issues delayed by other work demands	<del>October 09</del> April 2010	HoL	L
<b>CIPFA/SOLACE Core Principles – Theme 5: Developing the capacity and capability of members and officers to be effective</b>						
2	Statutory officers have necessary skills & resources and their roles are understood in the organisation	It is felt that senior managers need to be given a better understanding of all the statutory roles. Monitoring Officer : support to understand his role. Encourage attendance of Monitoring Officer at CMT/ Executive report sign-off meetings as and when required.	Issues addressed as part of restructure.			
2	Statutory officers have necessary skills & resources and their roles are understood in the organisation	Process for generating Executive reports for CMT sign-off is being considered by Member Services.	Revised arrangements are now up-and-running.			
6	Engagement, contribution & participation of all members of the community	Develop comprehensive and routine systems of community engagement to involve all sections of the community	Community Forums now up-and-running throughout the District.			
7.	Member & officer career structures	New Member Development programme –agreed as rolling programme.	Development Programme up-and-running.			
<b>CIPFA/SOLACE Core Principles – Theme 6: Engaging with local people and other stakeholders to ensure robust public accountability</b>						
1.	Accountability made clear	Sustainable Community Strategy	SCS now in place and Delivery Plans being finalised.			
2.	Institutional	Warwick LSP to be reviewed with the	LSP reviewed and approved by June			



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	arrangements	development of the SCS	Executive.			
4.	Consultation and Engagement	Communications strategy needs review and updating for September 09 Revised Sustainable Community Strategy to be agreed at June Executive. Warwick LSP to be reviewed with the development of the SCS	Development of Communication Strategy to be broadened to take account of Marketing and will form a Business and Improvement Programme (BIP) project.	<del>June 09</del> January 2010	<b>CEx</b>	H
6.	Consultation and Engagement	Develop comprehensive and routine systems of community engagement to involve all sections of the community  Focused consultation with young people planned for 1 <sup>st</sup> Quarter of 2009/10  New approach to customer insight includes specific work to identify and communicate with potential services users	Community Forums now up-and-running throughout the District.  Hear by Right standard agreed by October Executive.  Whilst no specific progress has been made on this, it is intended that work is done to understand our customer at a strategic level to ensure our systems address the needs of all.	<del>June 09</del> March 2010	<b>IP</b>	M
7.	Consultation and Engagement	Consultation Strategy is out of date and needs reviewing, to include feedback. Plans in place to do this for July 2009 – part of Community Engagement Strategy	Community Engagement strategy to be agreed at December Executive	<del>July 09</del> December 2009	<b>DCE (AJ)</b>	M

## KEY

Italics indicates carried forward from previous year

**ANNUAL GOVERNANCE STATEMENT (2008-2009) ACTION PLAN**

HoMS – Head of Member Services  
CEX – Chief Executive  
DCE(AJ) – Deputy Chief Executive (Andy Jones)  
CMT – Corporate Management Team  
HE – Head of Engineering  
HEH – Head of Environmental Health  
HoF – Head of Finance  
HoL – Head of Legal & Monitoring Officer  
HR – Human Resources Manager  
IP – Improvement and Performance Manager  
IAM – Audit & Risk Manager

AJ/JH  
03.06.09

BIP – Business and Improvement Programme  
SOM – Senior Officers' Meeting  
CoFP – Code of Financial Practice  
LGO – Local Government Ombudsman  
CMT – Corporate Management Team  
LSP – Local Strategic Partnership