

ANNUAL GOVERNANCE STATEMENT (2007-2008) ACTION PLAN

ACTIONS FROM EVIDENCE IN PREPARING GOVERNANCE STATEMENT (Appendix E)						
REF.	ISSUE	ACTION	UPDATE AT YEAR END	Carry forward to new plan? Q1-4 are the 4 quarters of 09/10	Responsible Officer (See key at end)	H/M/L
Objective 1, Step 1: Mechanisms established to identify principal statutory obligations						
1	Statutory obligations are formally established	Update of Constitution to reflect the way the Executive is appointed and the preferred Leadership model	Regulations have been issued but no requirement to amend constitution before December 2010 i.e. to be in place for next District Council elections	Yes – Q4 January Work will need to commence towards the end of the next municipal year	HoL	H
1	“	Update of relevant Job Descriptions following review of constitution	As above	Yes – Q4 January As above	HODPI	L
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 were updated during the year and Heads of Service consulted with regard to accuracy	Yes – Q2 September Further changes will be required to delegated powers as a result of new structure	HoL	H
4	Effective action for non-compliance with procedures	Corrective action being taken in response to upheld complaints to be reported to Standards Committee on an annual basis.	An update is being made every six months to the Standards Committee and CMT	COMPLETED	ACE (M)	M
Objective 1, Step 2: Mechanisms in place to establish organisational objectives						
2	Priorities and organisational objectives	Once the Community Strategy has been reviewed, the Corporate Strategy will be revisited to ensure alignment (also see below) and if necessary reviewed	Corporate Strategy revisited and report agreed by Executive in October 2008 and Council in the November	COMPLETED	HODPI	H
3	Priorities and objectives are aligned	Further consideration of how priorities and objectives match up to the new Local Area Agreement is required	The Corporate Strategy has been reviewed in the light of the new Local Area Agreement. Amendments proposed and agreed by full Council in November 2008.	COMPLETED	CEx	H
5	Objectives are	Corporate Strategy communication	Initial promotional work completed	Yes – Q2	HODPI	H

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	clearly communicated	plan being developed – will be rolled out	(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 pending a further review of the Corporate Strategy in June 2009	September		
5	"	Review documentation of team meetings	New team meeting agenda agreed and promoted to service managers and team leaders during February 2009	COMPLETED	HODPI for CMT	M
Objective 1, Step 3 : Effective Corporate Governance arrangements are embedded within the authority						
2	"	Internal audit to include a review of some element of Corporate Governance every year	Included in annual audit plan. Review undertaken for 2008/09. Report issued June 2008	COMPLETED	IAM	H
4	Governance training	Induction programme for new staff and Councilors to be amended by Personnel to take on board Governance training	Training now provided as part of Induction programme	COMPLETED	HODPI	M
5	Governance awareness	Publish Code on the website	Published on website - http://www.warwickdc.gov.uk/NR/rdonlyres/A63F5792-3DB2-454A-B355-1350AC8988A9/0/CodeofCorporateGovernance2008.pdf	COMPLETED	ACE(M)	H
Objective 1, Step 4: Performance management arrangements are in place						
1	"	Define strategic partnerships that require an annual report and progress	Appropriate strategic partnerships identified and relevant Head of Service advised as to action required	COMPLETED	HODPI	H
5	Continuously improving performance	Link our performance management arrangements with the Sustainable Community Strategy when this is approved	Corporate Strategy has been reviewed in light of developing Sustainable Community Strategy (SCS) objectives. Further work will need to be done to ensure any key performance indicators included in	Yes – Q2 July Sustainable Community Strategy to be considered at	HODPI	M

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			the final SCS are managed through the Corporate Performance Management Framework	June 09 Executive		
Objective 2, Step 1– The authority has robust systems and processes in place for the identification and management of strategic and operational risk						
2	Risk management processes	Develop risk management for partnerships	Three key partnerships have been identified and risk registers are now being obtained from Shakespeare's Country and the Crime & Disorder Reduction Partnership. The third, our own Local Strategic Partnership/ Sustainable Communities Partnership is just developing. A risk register will evolve from that.	Y – Q2 July Revised Local Strategic Partnership and Sustainable Communities Strategy to be considered at June 09 Executive	DCE (AJ)	H
3	Identification & evaluation of risk understood by all staff	Risk management refresher/introduction to be arranged for Senior Officers	Presentation to Senior Officer Meeting in February 09.	COMPLETED	HF	M
4	Recording risk	Consider extent to which current performance monitoring is highlighting key risk indicators	CMT considered a report in November and this was further considered by March '09 Audit & Resources.	Y- Q2 June Audit & Resources agreed certain key risk indicators but appropriate measurement to be developed	DCE (AJ)	M
5	Financing risk	Claims handling system being purchased which will help monitor this as Woolf timetable can be set against claims producing reminders	Fully operational	COMPLETED	HF	M

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6,9	Staff training	Risk Management to be incorporated in management competencies	Integral part of new Performance Appraisal and Competency Scheme	COMPLETED	HODPI	L
8	Corporate risk officer	The job description of the Audit and Risk Manager needs updating to reflect risk management responsibilities.	Job description updated to reflect risk management responsibilities	COMPLETED	HF	M
11	Consideration of risks	Ensure risk assessments are undertaken before the commencement of major projects by embedding the Prince 2 approach to all major projects	Review of Corporate and other projects undertaken and CMT identified which ones required a PID. PRINCE 2 project training provided for all potential project managers	COMPLETED	CMT led by CEx	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.	Y – Q1 June Corporate risk register needs loading onto system	DCE (AJ)	M
Objective 3, Step 1 - The authority has robust systems of internal control which includes systems and procedures to mitigate principal risks						
1	Financial regulations	Code of Financial Practice will continue to be reviewed at least annually, with amendments sought if required.	Proposals agreed by February 09 Executive	COMPLETED	HF	H
2,8	Communication of Procurement Code	Review arrangements for officer understanding of proper procurement practice	Paper to CMT October 2008, where changes to Code of Contract Practice agreed. Training held (and ongoing) for senior managers to reinforce importance of procurement	COMPLETED	HF	H
6	Register of interests	Annual reminder in payslips regarding need for declarations	Reminder included with January payslip.	COMPLETED	HF	L
7	Communication of scheme of delegation to all staff	Training for individual Service Areas perhaps linked to the new constitution as it comes into effect later this year	Revision of delegated powers was not so comprehensive as to need special training	Y – Q2 August Awareness session to be provided at Senior Officers	HL	M

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				Meeting. Scheme will need amending following new structure		
9	Business continuity	Develop business continuity plans in light of test held in 07/08, and other good practice	Business Continuity Plans developed by Service Areas Power outage test undertaken in September 08 New policy developed and agreed by CMT in August 08	Y – Q2 July Implement actions resulting from the test. Policy to be agreed by Executive when senior management restructure completed	HE	H
13	Health & Safety	Review of Health and Safety Policy in progress, reporting to Corporate Management Team quarterly. Due to be submitted for approval within next 3 months	Health and Safety Policy updated and issued to all staff who were asked to acknowledge receipt. Annual report to be produced	COMPLETED	HEH	M
14	Complaints	Once the review of the complaints process is completed gain formal approval of this from CMT, Members and Local Government Ombudsman (LGO)	The revised complaints procedure has been completed and will be implemented in conjunction with revised guidelines from the LGO. A report will be made to the Standards Committee in May and the Executive in June.	Y – Q1 May Report to be submitted to Standards and Executive Committees	ACE (M)	M
Objective 4, Step 1 – Obtain assurance on the effectiveness of key controls						
3	External assurance reports	Consider if necessary to collate external assurance reports centrally	Report to Corporate Management Team in November 08 and agreed reports need to be kept centrally – will go on the website so available to all	COMPLETED monitor that these are now being kept centrally	CFO	L

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Objective 5, Step 1 – Evaluate assurances and identify gaps in control/assurances						
1	Responsibilities for assurances are defined	Review if responsibility is sufficiently documented	Report to CMT in November 08 and agreed Deputy Chief Executives need to sign-off Heads of Service Assurance statements	COMPLETED	CEx & CFO	H
2	Mechanism for governance assurances	Document responsibility for agreeing and documenting service assurances	Done as part of the November 08 report referred to above	COMPLETED	HF	H
2	“	Ask Audit to review if clear guidance exists on evaluation procedure including assurance over risks, independence and objectivity of assurance		Yes - Q3 November	HF	H
2	“	Agree a timetable for 2008/09 assurance gathering	Assurance Statements gathered in accordance with timetable	COMPLETED	CEx & CFO	H

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ACTIONS FROM EVIDENCE ON THE SIX THEMES OF CODE OF CORPORATE GOVERNANCE (Appendix F)						
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CIPFA/SOLACE Core Principles – Theme 1: Focusing on purpose/outcomes and creating a vision for the local area						
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 pending a further review of the Corporate Strategy in June 2009	Yes – Q2 September	HODPI	H
2	Review vision	Review the Warwick Area Local Strategic Partnership governance once the new Strategy is agreed in 2008	Review of Local Strategic Partnership to be begun in Q3.	COMPLETED	CEx	M
3 & others	Ensure partnerships have common vision	Review of Partnership Policy and review of individual partnerships in line with the agreed Policy	It is planned to use the IDeA Partnership Self Evaluation Tool in conjunction with the County and the other 4 districts to check the robustness of our partnerships in light of CAA. Following this, the Policy will be reviewed. It is likely therefore likely that the Policy review won't be complete until Q4	Yes – Q2 July	HODPI	H
4	Publish Annual Report	Publish on website	Annual Report published on website	COMPLETED	HODPI	H
7	Value for money	The authority's approach to value for money and benchmarking needs to be more formalised. Paper to Corporate Management Team/Executive	2008 Cipfa benchmarking done for Treasury Management, Accountancy and Audit but paper still to be considered.	Yes – Q2 July Paper to be considered	HF	M
CIPFA/SOLACE Core Principles – Theme 2: Members & officers working together to achieve common purpose with clearly defined functions & roles						
2	Clear statement of roles & responsibilities	Constitution to be amended to refer to the role of Councillors generally	Article 2 of the Constitution is to be expanded to take account of this and the requirements of the Local	Yes – Q3 October Bill is currently	ACE (M)	L

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			Democracy, Economic Development and Construction Bill	going through Parliament		
2	"	Personnel to amend the Conditions of Employment of staff to make reference to the Code of Governance and the role of officers and Councilors	Conditions of Employment make reference to the Code for new officers but need to review for current employees and councilors	Yes – Q1 June	HODPI	L
4	Chief Executive responsibilities	Personnel to amend the job description of the Chief Executive to include responsibility for all aspects of operational management	Chief Executive's job description reflects the responsibility	COMPLETED	HODPI	L
5	Leader/Chief Executive protocol	Formal protocol to be agreed.	Draft has been prepared with a view to signing it in 2009/10 after this year's annual council meeting.	Yes – Q1 June	CEx	M
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						
1	Leadership setting the tone	Competency Framework for all staff to be developed based on organisational values (also in 8 of this section) Test staff attitudes by survey for Best Council to Work for	Done Done	COMPLETED	HODPI	M
2	Standards of Conduct	Update Chief Officer performance review arrangements	To be updated in tandem with revised structure	Yes – Q2 June	HODPI	H
6	Effective Standards Committee	Standards Committee training in 2008 will need to be designed to ready this committee and future members ready for the role. Document training of Committee later this summer, collate training materials and retain for future use	Training in February on role in assessment and review sub-committees. Training in April on role in Annual Governance Statement. Committee hasn't indicated any further training needs	COMPLETED	HoL	M

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			Slides on file			
CIPFA/SOLACE Core Principles – Theme 4: Taking informed and transparent decisions which are subject to effective scrutiny and managing risk						
1	Effective Scrutiny	Review effectiveness of new scrutiny arrangements	A new scrutiny process was implemented in May 2008 and it is suggested that its effectiveness should be deferred until it has been in operation for one year.	Yes – Q2 July	(CMT /Policy/Mem bers' Services)	M
2	Decision making	Devise a process for recording when decision of Council, Executive and Committees are implemented.	It is intended to introduce this with a new Committee system. A partnership solution has been explored with other councils and it is hoped that the new system will be introduced by early summer 2009. The tracking of decisions will then follow as part of the implementation programme.	Yes – Q3 October	ACE(M)	M
3	Conflicts of interest	Strategic Director to remind members quarterly (when Corporate Management Team reviews for officers) about Declarations of hospitality and gifts.	This is being carried out by Committee Services	COMPLETED	ACE (M)	M
3, and elsewhere	"	Annual reminder in pay slip regarding need to make declarations for conflicts of interest for officers	Reminder included with January payslip	COMPLETED	HF	M
8	Risk management culture	Risk management refresher /introduction to be arranged for Senior Officers	Delivered to Senior Officers Meeting in November	COMPLETED	HF	M
12	Legislative requirements are observed	There is a need for better understanding of wider powers. Develop training for members & senior officers on legality issues to include vires, Wednesbury	February Senior Officers Meeting had a session on the three statutory officers' roles and the Wednesbury principle	COMPLETED	HoL	M
CIPFA/SOLACE Core Principles – Theme 5: Developing the capacity and capability of members and officers to be effective						
2	Statutory offices	It is felt that senior managers need to	As above	N	Stat Officers	H

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	have necessary skills & resources and their roles are understood in the organisation	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	This is no longer an issue as the post-holder has left the authority	Yes – Q1 May Will need to review input of legal and financial advice and role of monitoring officer in light of new structure	HOL CEx/HOL/ HF/ACE(M)	M H
5	Effective arrangements for reviewing performance	Complete proposals and implement new arrangements for crime and disorder partnership	New arrangements now in place	COMPLETED	CEx	H
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	Report to be considered by Corporate Management Team in April 09	Yes – Q1 April	CEx	H
7	Member & officer career structures	Agree new management development programme	Agreed	COMPLETED	HODPI	M
7	“	Agree new Member Development Programme	Agreed	COMPLETED	HODPI/ACE (M)	M
CIPFA/SOLACE Core Principles – Theme 6: Engaging with local people and other stakeholders to ensure robust public accountability						
1,3	Accountability made clear	Sustainable Communities Strategy to be agreed.	Sustainable Communities Strategy to be agreed; Action Plan required to be prepared and agreed	Y – Q2 July Sustainable Communities Strategy to be considered at June 09 Executive	CEx	H
2	Institutional arrangements	Warwick Local Strategic Partnership to be reviewed once the Sustainable Communities Strategy is agreed	Review concluded	Yes – Q2 July Revised Local	CEx	H

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				Strategic Partnership and Sustainable Communities Strategy to be considered at June 09 Executive		
4,6,7	Consultation & engagement	Communications and consultation strategy needs review and updating	Review ongoing	Yes – Q1 May	CEx	M

KEY

ACE (M) – Assistant Chief Executive (Members services)

CEx – Chief Executive

DCE (AJ) – Deputy Chief Executive (Andy Jones)

CMT – Corporate Management Team

HE – Head of Engineering

HEH – Head of Environmental Health

HF – Head of Finance

HODI – Head of Organisational Development & Improvement

HoL – Head of Legal & Monitoring Officer

IAM – Internal Audit Manager