

Annex B

Action Plan in response to issues raised in the Annual Audit Letter (2004/05)

Note on the abbreviations used in this Plan:

<i>RD</i>	<i>Responsible Director and lead Chief Officer where appropriate (individuals are referred to by their initials)</i>
<i>CB</i>	<i>Action plan information completed by (individuals are referred to by their initials)</i>
<i>WIP</i>	<i>Work in progress</i>
<i>TBC</i>	<i>To be completed</i>
<i>N/A</i>	<i>Not applicable</i>
<i>N/K</i>	<i>Not known</i>
<i>DIRs</i>	<i>All Directors</i>

AAL Issue	AAL Ref	Action(s) to be taken	Due date	RD	Status	CB
Planning & performance management						
There is a need to develop better performance management & outcome measures to clearly demonstrate the Council's contribution to wider community outcomes and help drive the achievement of cross-cutting community objectives	Para 22	<ul style="list-style-type: none"> Corporate strategy developed with Improvement Statements. Forward plan and performance management to be arranged around these statements 	Aug 06	DNA CM	WIP	CM
		<ul style="list-style-type: none"> Improved performance monitoring arrangements in place as part of LAA 	April 07	CM	WIP	CM
There is a need to ensure all strategies and plans are clearly linked and referenced within a coherent policy framework for the Council as whole	Para 28	Major strategies and plans to be signposted within the Corporate strategy or Council Plan	July 06	DNA CM	WIP	CM
<p>There is a need to further evaluate the Service Planning initiative and specifically consider:</p> <ul style="list-style-type: none"> the benefits of moving to a corporate Service Planning standard developing a consistent approach to involving users on cross service issues including workforce planning issues within the Service Plan framework putting in place formal feedback mechanisms 	Para 35	Evaluation process to be undertaken to determine benefits	Aug 06	SW CM	WIP	CM
	Para 35	Central Services to consult on service plans	Nov 06	SW CM	TBC	CM
	Para 35	N/A	-		Done	CM
	Para 35	Formal feedback process already exists. Feedback evidence to be documented	Nov 06	SW CM	TBC	CM

AAL Issue	AAL Ref	Action(s) to be taken	Due date	RD	Status	CB
Planning & performance management						
<ul style="list-style-type: none"> better engaging Members up front in determining the critical success factors and key deliverables in each Service Plan 	Para 37	<ul style="list-style-type: none"> Members involved in setting Improvement statements in Corporate Strategy. 	Nov 06	DNA CM	WIP	CM
		<ul style="list-style-type: none"> Directors to agree with portfolio members 	Nov 06	DIRs	WIP	CM
Service delivery						
Improvement is needed in the area of waste minimisation	Para 5	<p>Waste minimisation action plans for 2005/06 and 2006/07 in place by April 2005. Campaigns around:</p> <ul style="list-style-type: none"> Reuse Home composting Real nappies Packaging <p>Targets to stabilise waste growth at 2% per annum by 2006/07 and reduce waste growth to a level of 1% per annum by 2007/08</p>	Apr 05	JG	WIP	JG
The Council remains a 'Planning Standards' authority (for performance in respect of turnaround times for major applications)	Para 5	Prepare improvement plan and put in place regular monitoring and reporting arrangements to Members to track progress	Mar 06	BW	WIP	JB

AAL Issue	AAL Ref	Action(s) to be taken	Due date	RD	Status	CB
Corporate management						
Completion of the CEX management restructure	Para 23	Series of papers for CMT and Executive, to be produced, approved and implemented	June 06	DNA	WIP	CM
There is a need to review the Transforming York project as a change management programme and clarify it's purpose as a key driver for organisational development	Para 27	To be reviewed further to 'Improving our organisational effectiveness programme' Report scheduled to CMT	May 06	DNA	TBC	CM
Equalities						
There is a need to clearly identify areas of deprivation and exclusion as a basis for identifying and agreeing appropriate actions for service planning and delivery purposes further to work done to date on developing the Council's Equalities Strategy	Para 25	It is thought this may follow a provisional recommendation of a recent Scrutiny Panel to establish an elected member and community representative Social Inclusion Working Group to progress work on deprivation, inequality and exclusion.	TBC	DNA CM	TBC	CM
LPSA						
There is a need to agree the final measures to be used and the required levels of performance improvement in concluding the LPSA2 agreement with the ODPM	Para 47	N/A	-	DNA CM	Done	CM
Efficiency & VFM						
There is a need to embed early initiatives to sustain and improve Council arrangements for securing VFM	Para 7	To be informed by Budget Scoping & Efficiency report work (see next action)	July 06	SW CMT	WIP	SW

AAL Issue	AAL Ref	Action(s) to be taken	Due date	RD	Status	CB
Financial management						
There is a need to ensure the forecast budget gap of £28m over the next 3 years is addressed and dealt with effectively as part of the Council's forward financial planning and management arrangements	Para 76	<ul style="list-style-type: none"> Balanced budget set for 2006/07. 2007/08 Budget Scoping & Efficiency Report to be produced for CMT and Medium Term Financial Strategy to be further developed for 06/07-08/09 	March 06 July 06	SW PS	Done TBC	PS SW
Improvement is needed in respect of current Council Tax and NNDR recovery rates	Para 79	<ul style="list-style-type: none"> Regular reminder runs and court actions have been taken throughout the year In year collection for 05/06 is expected to be up 1.0% on 04/05. In year collection for NNDR is expected to be up 0.3% on 04/05 	On-going June 06	SW JD	WIP WIP	JD JD
There is a need to review how resources should be allocated across base budgets to reflect service needs and corporate priorities based on comprehensive assessments of comparative performance and investment requirements	Para 39	<ul style="list-style-type: none"> 2007/08 Budget Scoping Report to be produced for CMT On-going development of benchmarking and service planning Corporate priorities work on-going as discussed above 	June 06 On-going On-going	SW PS SM CM	TBC TBC WIP	PS CM
There is a need to develop in-house assumptions about the Council's future liability to the Pensions Fund	Para 86	<ul style="list-style-type: none"> General reliance on actuarial valuations, no further action planned Annual appraisal against equity performance 	- Feb 06	SW PS	N/A Done	PS
Further improvements in Final Accounts working papers are desirable	Para 67	<ul style="list-style-type: none"> Advice incorporated into 2005/06 closedown guidance 	Feb 06	PS	WIP	PS

AAL Issue	AAL Ref	Action(s) to be taken	Due date	RD	Status	CB
Governance						
Satisfactory arrangements must be put in place to ensure Members are able to satisfy themselves with the adequacy and operation of the Council's governance framework as a whole	Para 71	Officer Governance Group established as a sub-Committee of CMT in 05/06 and forward plan drafted for approval. New Audit & Governance Committee to be adopted by CYC further to the review of the Constitution during 06/07. A&G remit to cover governance agenda at Member level on behalf of the Council.	From May 06	SW ERA	WIP	ERA
There is a need to ensure that the Review of the Constitution is followed through and implemented without further delay	Para 71	Implementation planned to follow formal Council approval of the new Constitution on 27 April 2006	April 2006	DNA SW SH ERA	WIP	ERA
There is a need to establish formal reporting systems for providing the S151 Officer and Members with assurance on the performance management of key financial systems and internal controls on a regular basis <i>(NB this is distinct from the normal assurance work provided by the Internal Audit function)</i>	Para 88	Formal arrangements already in place for reporting the audit/risk management issues to the S151 Officer. Further work needed to establish reporting requirement in respect of financial systems	- March 2007	SW SW PS	- TBC	ERA SW
There is a need for the Council to identify a Member Champion for Risk Management and provide Member training in this area of expertise	Para 92	This has been done. Awaiting formal appointment at Annual Council in May	May 2006	ERA SH	WIP	ERA
Procurement						
There is a need to further develop a robust Competition Policy & Strategy alongside a comprehensive approach to strategic procurement	Para 30	Work on-going. Consultation scheduled for summer 2006, followed by formal Council approval by autumn 2006.	Oct 2006	SW ERA	WIP	ERA

AAL Issue	AAL Ref	Action(s) to be taken	Due date	RD	Status	CB
Service Inspections						
<p>Cultural Property</p> <ul style="list-style-type: none"> there is a need to set clear timescales for the cataloguing of all artefacts and ensure progress is regularly monitored against these targets 	Para 49	The programme of cataloguing is being undertaken by the York Museums Trust. Clear targets for this were set out in the Performance Delivery Plan agreed between the Council and the YMT in 2002. Progress against them is reported to members twice yearly. Good progress is being made.	On-going	CC	On-going since 2002	CC
<ul style="list-style-type: none"> decision to be taken regarding the future location of the Archives 	Para 49	As an outcome of a recent scrutiny report into this topic, expressions of interest are being sought from potential external suppliers. A decision on offers received is likely in July.	July 06	CC	WIP	CC
<p>Benefits</p> <ul style="list-style-type: none"> there is a need to ensure further improvement in Claims Administration and User Focus to support on-going improvement in the overall assessment of this service area following the BFI review (from a 1 overall previously to a 3 overall in 2005/06) 	Para 60	Work on-going to complete action plan agreed following 2005 BFI inspection (70% complete)	March 07	JD	WIP	JD

