



## Service Plan Template for 2008/09 (covering April 2008 – March 2011)

**Service Plan for:** Audit & Risk Management

**Directorate:** Resources

**Service Plan Holder:** Liz Ackroyd

**Workplans:** Internal Audit  
Fraud  
Insurance & Risk Management  
Procurement  
Information Management

**Director:** Simon Wiles

*Signed off* \_\_\_\_\_

*Date:* \_\_\_\_\_

**EMAP :** Corporate Services  
Cllr Ceredig Jamieson-Ball

*Signed off* \_\_\_\_\_

*Date:* \_\_\_\_\_

The following service plan template must be no longer than **8 pages** long. (excluding workplans)

## Section 1: Our service

### **Service description**

The Division is responsible for certain compliance functions to support overall corporate governance arrangements. The **AD (ARM)** is designated as the Chief Internal Auditor and supports the Audit & Governance Committee and the Quality Control Group, Officer Governance Group, Corporate Operations Group and various corporate projects. Also leads on CPA (Use of Resources Block) for Resources; manages the staff Professional Training Programmes; and has delegated S151 officer responsibility for all matters relative to the maintenance and observation of financial regulations at the council.

The **Internal Audit and Fraud** service provides control and corporate governance assurance to Members, Managers and the Director of Resources, and investigates all suspected cases of fraud and corruption impacting on the Council, including internal fraud committed by employees and Members and external fraud committed by members of the public. The audit and fraud service are currently in the process of developing a shared service initiative with North Yorkshire County Council.

The **Insurance and Risk Management** section provides a comprehensive risk and insurance service to protect the Authority's assets and mitigate losses resulting from hazards and claims against the Council.

The **Corporate Procurement Team** provides a corporate lead and focus to the strategic development of procurement at the Council. The team's remit includes procurement strategy and policy, advice and guidance to major project work and strategic procurement initiatives.

**Information Management** promotes records management as one of CYC's underlying professional disciplines. Good records management promotes operational efficiency in any service, but it also enables the specific legal obligations of the Data Protection Act and the Freedom of Information Act - and other information access legislation - to be fulfilled.

### **Service objectives**

- SO1** To provide a positive and measurable contribution to improving the Council's Use of Resources CPA score.
- SO2** To achieve all the Division's annual income and savings targets for the next three years.
- SO3** To actively support and deliver the development of effective and robust corporate governance arrangements across the organisation.
- SO4** To achieve a sharper focus around our training and development programmes, assessing skills gaps and tailoring a professional development plan for each employee.
- SO5** To support, measure and monitor effective, efficient and legally compliant procurement practices and procedures across the organisation.
- SO6** To deliver a relevant, robust and effective audit and fraud programme, aligned with the Council's key risks.
- SO7** To develop and embed effective risk management across the Council.
- SO8** To develop and embed the fundamental requirements of an effective business infrastructure for information and records management.
- SO9** Support and encourage other services in their development of governance and business Infrastructure, for example health & safety, reporting standards, archives
- S10** To lead in the development of a successful, effective and appropriate shared service initiative in partnership with North Yorkshire County Council.

## Section 2: The Drivers

Driver	How might this affect our service
<b>External drivers</b>	
CPA full inspection January 2008.	Develop and deliver a coordinated Use of Resources action plan on behalf of the council and implement key developments in appropriate divisional service areas and across the organisation as required.
New Use of Resources and CAA regime 2009.	Plan, develop and coordinate the actions required in response to the more challenging Use of Resources requirement. The division will consider its response to CAA in regards to partnership working within its services.
CIPFA/SOLACE governance framework	Plan, develop and coordinate the actions required to support the delivery of governance arrangements throughout the organisation.
New SORP & international financial reporting standards (IFRS)	Need to consider any impact on the audit programme and support to key projects, such as FMS.
Comprehensive spending review	The division needs to increase efficiency savings targets across the piece in delivering its 3% target.
Data protection	Respond in anticipation of new regulations re effective and secure records management –in light of recent events (DWP child benefit data loss).
<b>Corporate drivers</b>	
Contribution to Corporate Strategy (OEP & DIPs)	Key links to VFM, Strategic Procurement Programme, Annual Efficiency Programme and Competition Agenda
Competition requirements	Need to contribute to current developments with regard to the organisations requirement for a competition policy/strategy.
Business Continuity Planning	Support and coordinate the development of directorate plans.
Delivery of SCMS and FMS	Embed effective management arrangements around corporate spend, utilising the new technology to be delivered through the implementation of SCMS and FMS. Using management information from these systems to better direct and control a more strategic way forward for the Council to procure goods, works and services.
Move to one site operations at Hungate	Develop and deliver a corporate action plan to implement information governance strategy in support of one site operations.
Review of delivery services in one site building	Conduct a review to establish how central support services can be more effectively delivered in future years (procurement function).
Undertake review of the organisation & its management of procurement	Organisational review to be commissioned in 07/08 further to EMAP decision in December 2006
Global Warming	Review working practices to ensure they are sustainable & carbon neutral, including the wider implications of the division's policies.
Health & Safety	Introduction of governance and compliance system. Pilot system to support the organisation in delivering and understand training requirements around the health & safety agenda.
<b>Directorate</b>	
Directorate training and development programme	Lead and develop a workable cross-Directorate training programme for Resources.
Respond to the organisation's change agenda	Through configuring the business needs requirements (directorate and service restructure).
Supporting key directorate project initiatives	Such as <a href="#">easy@york</a> , Admin Accomm, income & collection review, and FMS replacement.
Performance Management	Ensure effective performance management arrangements are in place across all services and assist in the development of robust performance management across the directorate.
Increase attendance at work	Key actions to be implemented to ensure attendance at work is maximised.
<b>Service</b>	
Continuing to improve, support and drive the quality and professionalism of the division's services	Ensure the service remains relevant to the organisation's and customer's needs and therefore meeting business needs. Ensure their efficiency and values as a service in the organisation.
Shared Service initiative for audit & fraud services	Deliver efficiencies, and develop and enhance service delivery, resilience and capacity through collaboration with NYCC.

### **Section 3: Critical Success Factors (CSFs)**

Taking account of the service objectives in section 1 and the drivers identified in section 2, decide what is critically important for your service to achieve over the next 1-3 years? This might be

- something your service has to deliver or improve without fail, or;
- an enabling factor which will be a barrier to your staff delivering the broad service objectives.

<b>CSFs for 2008/09</b>	<b>Why a CSF?</b>
Preparing for, dealing with and responding to Use of Resources CPA and new CAA regime in 2008/09	Ensure the council responds to requirements of new regime to support the organisation in maintaining and maximising its score. Support and ensure the effectiveness of arrangements consistent with new regime and therefore sustain and promote good CPA ratings in the future.
Successful delivery and implementation of the shared service initiative	This is an unequalled opportunity to achieve sustained improvements in service delivery and efficiencies. The success of this initiative will enhance the reputation of the council and develop the organisations experience of the transformational agenda.
Successful delivery of SCMS & FMS procurement module (P2P)	Enabling the step change in organisational management arrangements as envisioned in the corporate procurement strategy.

*The corporate service planning guidance issued with this template gives details of how your service CSFs can be determined.*

### **Section 4: Links to corporate priorities** (half page max)

Corporate Priority	Contribution
<p>All of the corporate priorities are supported through having effective risk management, procurement, information governance and fraud services, and management assurance for their realisation is attained via the internal audit function.</p> <p>The division's services provide support to the council's strategy by aligning themselves with the organisation's values and direction statement in their strategies. In particular the division contributes to two priorities, this contribution is set out below.</p>	
Reduce the environmental impact of council activities and encourage, empower and promote others to do the same	The Corporate Procurement Team considers environmental impacts within its procurement strategies.
Improve the economic prosperity of the people of York with a focus on minimising income differentials	The sustainable procurement policy supports and contributes to the achievement of this priority.

## Section 5: Scorecard of improvement measures & actions (3 pages max)

### Customer based improvements

#### Customer Measures

How will you check whether you are improving from a **customer** perspective?

Please list any 'SMART' indicators (this should also include the target you want to achieve – for the next 3 years if possible).

Measure	Current	2008/09 Target	2009/10 Target	20010/11 Target
% telephone calls answered in 20 seconds	98.64	98.75	99.00	99.00
% customers satisfied with ARM services	78	80	82	85
Compliance with WOOLF timescales	100	100	100	100
Counter fraud awareness training days	Not available	5	5	5
% FOI requests replied to within 20 days	78	80	81	82
% FOI requests disclosed :refused (wholly or in part)	47:53	48:52	49:51	50:50
Number of FOI complaints to the Commissioner	1	0	0	0
Risk management specialist training days provided as % of programmed	50	80	90	95
Procurement specialist training days provided as % of programmed	Not available	75	80	95

#### Customer Actions

What are the main **customer** based actions you need to deliver in order to improve your services?

*Please list improvement actions for next 12 months*

Improvement action	Deadline
Develop surveys and feedback mechanisms for internal and external customers	31/03/09

### Process based improvements

#### Process Measures

How will you check whether you are improving from a **process** perspective?

Please list any 'SMART' indicators (this should also include the target you want to achieve – for the next 3 years if possible).

Measure	Current	2008/09 Target	2009/10 Target	20010/11 Target
% Audit Plan complete	93.1	93.5	94	95
% high priority recommendations accepted	80	85	90	95
% of recommendations not implemented by due date	3	2.5	2	1
End of field work to draft report (ave days)	11	10	9	8
Number of breaches & waivers of Fin Regs (B:W)	20:38	N/A	N/A	N/A
Number of fraud referrals received	748	N/A	N/A	N/A
Average caseload per investigator	46.86	45	43	40
Referrals waiting to be allocated	65	60	55	50
Number of investigations completed	381	390	400	410
Number of cautions	8	15	20	25
Number of admin penalties	11	20	25	30
Number of prosecutions	18	16	14	12
Value of admin penalties (£)	3365	5000	5500	6000

Value of overpayments identified (£)	391353	400000	410000	420000
Average length of time between receipt of claim in insurance and dispatch to insurers (days)	4	4	3	3
Number of suppliers registered with the council via SCMS	4856	4900	5000	5000

### Process Actions

What are the main **process** based actions you need to deliver in order to improve your services?  
*Please list improvement actions for next 12 months*

Improvement action	Deadline
Implementation of SCMS	30/06/09
Implementation of P2P module of new FMS	31/03/10
Review of FoI & DP processes and support across organisation	31/03/09

## Resource management improvements

### Resource Measures

How will you check whether you are improving from a **resource management** perspective? This covers financial/budget/staff based improvements, such as cost, budget management, staff absence, etc.

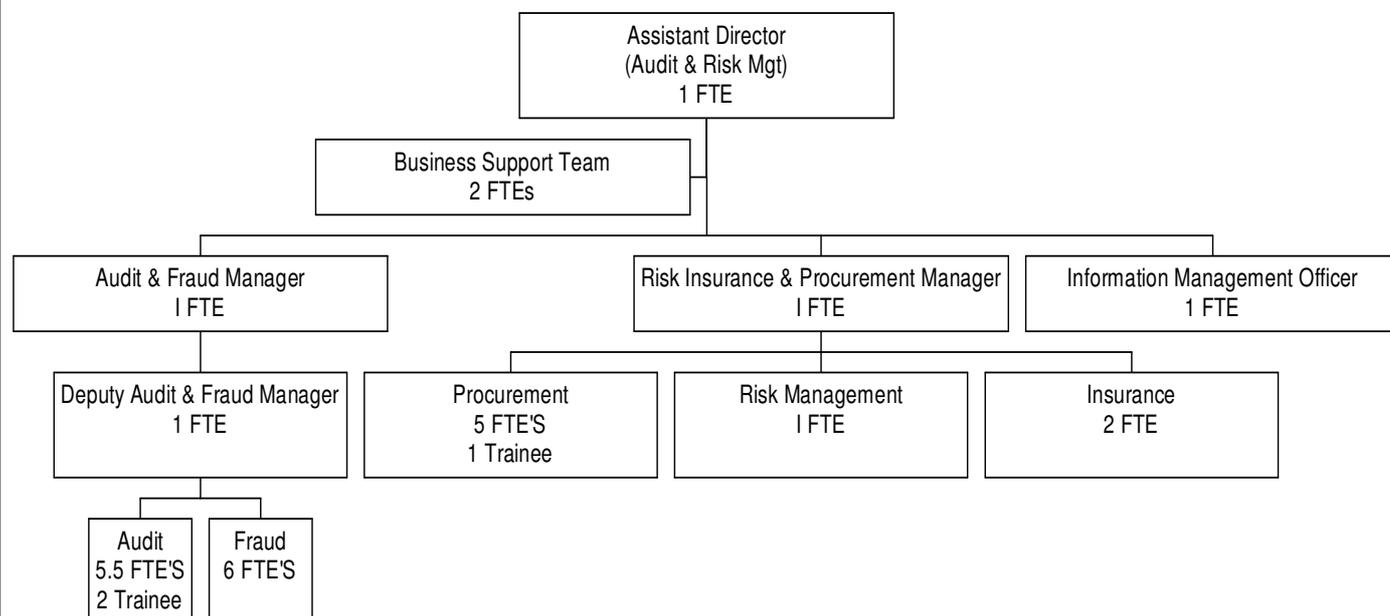
Measure	Current	2008/09 Target	2009/10 Target	2010/11 Target
% of audits over budget (by more than 10%)	2	2	1	1
Average days/FTE lost through sickness	4.42	5	5	5
Grants made from Risk Management Fund	0	£10,000	£15,000	£20,000
Repudiation rate for Public Liability claims	81.5	80	80	80
Premium variation to 2006/07 (£)	-20603	Nil	Nil	Nil
Annual savings achieved on contract renewal/re-negotiation (CPT Corporate Contracts: other corporate contracts clientied by named officers in directorates) (£)	326000	775000	TBA	TBA
Reduction in creditor numbers (% reduction pa)	5	2	2	1
% of addressable spend under live contract	81	85	87	90
Consultancy income (£)	10000	10000	15000	20000
% of appraisals complete	25/26			

### Resource Actions

What are the main **resource management** based actions you need to deliver in order to improve your services? You may also want to include staff broad workforce training and development issues for your service. This may have come out of the future challenges exercise you carried out in the planning process.  
*Please list improvement actions for next 12 months*

Improvement action	Deadline
Divisional training programme.	31/03/09
Shared service approach	31/03/10
Procurement review – complete and implemented by	31/03/11

## Section 6: Resources (1 page max)



### Budget

	<u>2007/08</u>	<u>2008/09</u>
Employees	£1,307	£XXXX
Premises	£ -	£XXXX
Transport	£3	£XXXX
Supplies and Services	£2,041	£XXXX
Miscellaneous	£ -	£XXXX
– Recharges	£356	£XXXX
– Other	£ -	£XXXX
Capital Financing	£ -	£XXXX
<b>Gross cost</b>	<b>£3,707</b>	<b>£XXXX</b>
Less Income	£(3,668)	£XXXX
<b>Net cost</b>	<b>£39</b>	<b>£XXXXX</b>

There has been a XX% increase/decrease in our budget since last year. This is due to.....

*Please contact your directorate accountant for these figures.*

