

Risk & Assurance

Service Action Plan

2012/13

This plan is an active document that will be reported against every six months via the Service Delivery Programme performance report. All staff that are part of the Service should have an opportunity to contribute to its creation and any new staff joining the Service should be made aware of this document as part of their induction.

Introduction

Divisional Director

Jeff Wring

Lead Portfolio Holder

David Bellotti

Staffing Establishment (2012/13)

28 Staff (26.4 FTE) (Plus 30 In Shared Service with Bristol CC)

Scope of Service (size, proportions and activities)

Key Objectives of Service:

Service Vision – Working together to support the organisation in delivering effective governance and use of its resources on behalf of the people of Bath&NE Somerset

This is underpinned by the following high level objectives:

- To support the organisation in improving its decision-making and corporate governance by helping services to assess and control risk and maximise opportunities to improve service delivery; ***(Audit & Risk & Procurement & Information Functions)***
- To support the organisation in its Use of Resources by seeking to improve the economy, efficiency and effectiveness of Services in all its work; ***(Audit, Risk & Procurement Functions)***
- To provide independent assurance to the organisation and its stakeholders on the adequacy of its governance and internal control framework and provide a pro-active service in combating fraud and corruption; ***(Audit & Risk Function)***
- To support the organisation in managing its information assets more effectively so that it can support openness and transparency in the organisations decision-making and enable Council information to be more easily accessible; ***(Information Management)***
- To support the organisation, its partners and the community in planning for, responding to and recovering from major interruptions to its business; ***(Business Continuity & Emergency Planning Function)***
- To support the organisation in building the capacity and knowledge of Services to procure effectively and help ensure efficiencies and opportunities are identified and delivered; ***(Procurement Function)***

Managing Risk

- Pro-active **Counter Fraud & Corruption** Service in place
- **Decision Making** supported, i.e. Risk Management Framework
- Organisational & Community **Resilience** supported - Community Resilience & Business Continuity Strategies
- Planning for **Emergencies** - New Major Incident Plan
- **Information Management** improved - Capacity for 40,000 boxes in 3 new records centres
- **Transparency & Good Governance** supported - new transparency requirements

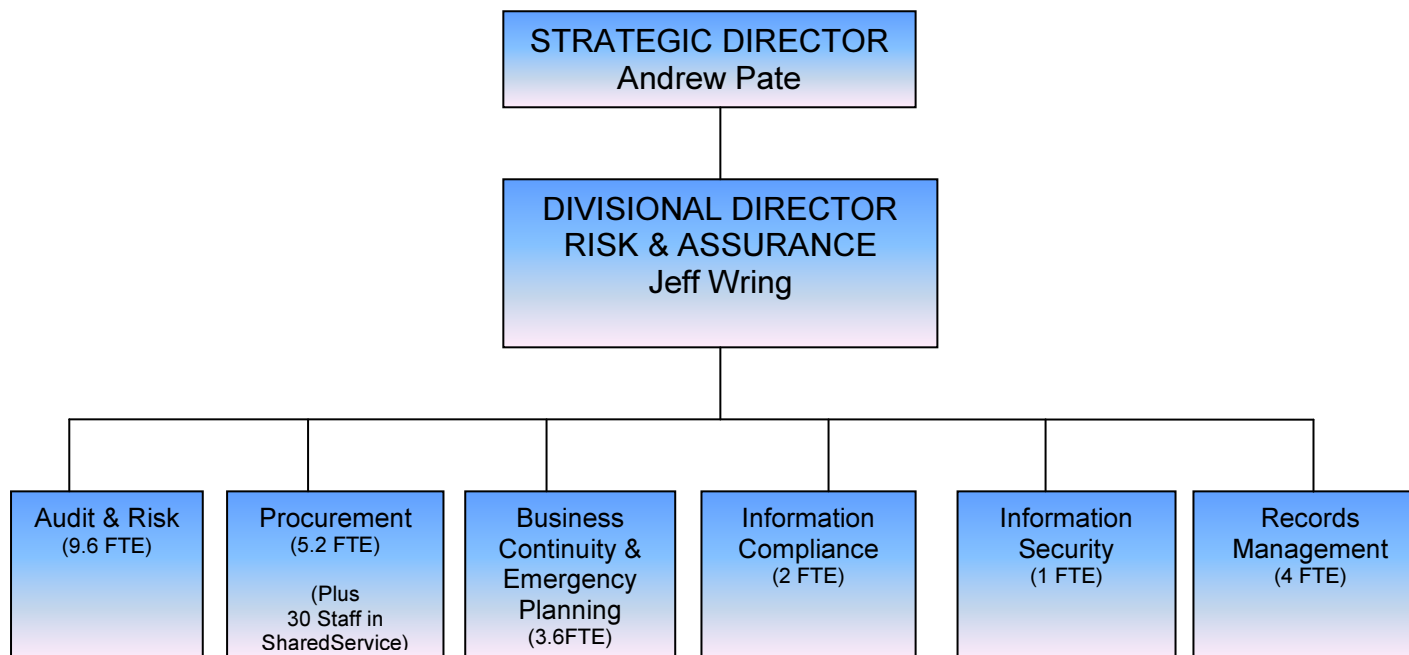
Delivering Value

- **£1.7 Million** saved through procurement in last 18 months
- **Over 10,000 SME suppliers** use our free online contract portal saving time and cost
- **£500M of spend** in new shared procurement service increasing leverage & opportunities
- **45% reduction** in physical storage saving space and cost
- **£325K of investment in Flood defence** equipment for domestic properties
- **4,000 DPA & FOI requests** dealt with, increasing transparency

Assuring Business

- **100 Internal Audit** reviews of services & functions each year
- **Annual Governance Review** of whole organisation
- **Audit Committee** provides assurance for whole Council
- **Integrated Performance Reporting** of corporate risk, finance and performance
- **E-Tendering System** ensures fast, efficient compliance of procurement process
- **Benchmarking & Data Analysis** of Services and Spend

Management Structure of Service



Service Manager Functions

Andy Cox	Russell Ward & Eddy Hale	Richard Look	Amy Ogborne, Pete Drummond & Shaun Lawes
Internal Audit Service	Shared Service with Bristol (Category Management)	Business Continuity (Internal & External)	Information Compliance – FOI, DPA, EIR Management
Risk Management (Including Corporate Governance Support)	Corporate Procurement & Contract Management	Emergency Planning	Information Security (With Mouchel & IT Client)
Anti-Fraud & Corruption	Strategy, Rules & Guidance	Community Resilience	Records Management (Including 3 Records Centres)
Financial Rules & Regulations	External E-Portal & E-Tendering for Business	Regional Resilience (Avon & Somerset LRF)	Transparency & Information Management

Customer Profile

Outline who your main customers are, e.g., service users, residents, other council services, officers, members, partners etc

- Management Teams of each Council Service (All Services)
- School Governing Bodies (All Services)
- Category 1 & 2 Responders (Emergency Planning)
- Audit Commission (Audit & Risk)
- Avon Pension Fund (All Services)
- Sirona Care & Health (All Services)
- PCT (Director of Public Health) (Emergency Planning)
- Business Community (Procurement & Business Continuity)
- Residents (Information Compliance & Business Continuity & Emergency Planning)
- Citizens Advice Bureau (Records Management)
- Audit Committee (Audit & Risk)

Are there any specific customer needs that require your service to change?

- PCT & Sirona - Changing nature of relationship with Adult Care & Health through changes in Health Sector
- Schools/LEA – Changing nature of relationship with Schools through Academy expansion
- Audit Commission – Changing nature of relationship with external auditors through abolition of Audit Commission

Service Delivery

Planned improvements to service delivery in 2012/13

- Improved communication and cooperation through the Communications Hub in Lewis House
- Roll out of training & awareness programme for the Major Incident Plan
- Roll out of the Community Resilience Strategy
- Introduction of Risk & Assurance Dashboard into Corporate Performance Reporting
- Roll out of new FOI, EIR & DPA system
- Continued roll out of Global Scape Secure Information Sharing System
- Roll out of next stage of Transparency Agenda
- Roll out of new category areas for shared procurement service

- Expansion of use of E-Portal & E-Tendering System
- Roll out of Commissioning Intentions for whole Council
- Roll out of interactive training programme for procurement & commissioning
- Refresh of Procurement Strategy
- Align commissioning & procurement systems and processes
- Align procurement rules and guidance with partner Authorities

Areas of the Service that are to be stopped or reduced in 2012/13 (due to budget pressures / change in focus etc)

- Further 15% reduction in Audit & Risk coverage (following 10% reduction in 2011/12)
- Stopping delivery of Internal Audit to Adult Care providers (Sirona)
- Stopping delivery of Internal Audit to Academy Schools
- Refocus of emergency planning activities to the local B&NES community and partners away from more regional bodies

External influences / pressures that could impact on service delivery during 2012/13 (excluding budget pressures)

- NHS Reforms (Business Continuity & Emergency Planning)
- Localism Act (Procurement)
- Transparency Agenda (Information Governance)
- Future of Local Public Audit (Audit Regime & Audit Committee)
- Climate Change & Peak Oil (Emergency Planning)
- London Olympics (Emergency Planning)
- State of Economy & Recession (Procurement)

Service Costs

Explanation of Service costs (including areas of high spend and growth / investment)

No areas of high spend when matched to existing benchmarking exercises and no planned growth or investment

Value for Money improvements - planned efficiencies / savings to be made during 2012/13

Savings to be made through 1FTE reduction and merging of audit and risk manager posts

Summary from Medium Term Service & Resource Plan

MTS&RP Items	2011/12 (for comparison) £'000	2012/13 £'000	2013/14 £'000	2014/15 £'000
Opening Budget	1086	1160	1096	1077
Removal of one-offs		-139		
Service Proposed Base Reductions to Balance Budgets	-45	-60	-31	-34
Service Proposed Growth	8	135	12	12
Proposed Base Budget	1049	1096	1077	1055
Target Budget	985			
Deficit / (Surplus)	64			
Additional Stretch Reductions	-25			
In Year Adjustments	136			
Proposed Overall Budget	1160	1096	1077	1055

Workforce Planning

It is important that the Council continues to maintain and develop the workforce necessary to meet its future needs both in terms of the numbers employed and skills & competency required of those employees. To inform the forward Organisational Development and Workforce Planning Strategy, please complete the section below with details of actions you have taken or plan to address your service needs. The list of questions is neither exclusive or exhaustive but intended to assist you in considering the broader issues which may relate to either your service or Change Programme Workstreams.

Please also outline any identified needs that you cannot address/think will be more difficult to address.

Alternatively, if you service has developed a specific workforce plan, attach as an appendix to this Service Plan.

<p>Organisational Development: Implementation of 'future organisational model':</p> <ul style="list-style-type: none"> • <i>How are you developing new workforce structures/ways of working to support the 'future council' organisational model?</i> • <i>What alternative service delivery arrangements are planned/anticipated?</i> <p><i>Are you considering job redesign? If so how/what</i></p>	<p>Procurement Service has reviewed all service delivery options and has already moved to a shared service model during 2011/12 with Bristol City Council to share skills, competencies and resources and retain maximum flexibility to deliver improved leverage in market place for savings and service improvement.</p> <p>Audit & Risk has also reviewed all service delivery options and plan to move to a shared service model by 2013 adopting the same principles as the procurement example.</p> <p>Business Continuity & Emergency Planning & Information Governance functions are focussed on core support to the commissioning core of the Council and statutory governance and assurance obligations.</p>
<p>Leadership and Management Development:</p> <ul style="list-style-type: none"> • <i>What plans do you have for developing leaders in the new context?</i> • <i>Do you have a programme to assess and develop manager competency and meet gaps?</i> <p><i>Have you identified new manager skills that will be necessary in the 'future council'</i></p>	<p>Implementation of new operating models will need to be supported by the provision of appropriate support programmes for staff where gaps, where identified can be addressed.</p> <p>In this respect the service has recognised that as well as using corporate programmes there may, over time be service specific needs that have to be addressed through specific local provision.</p>

	<p>All managers are currently or plan to invest in Corporate Coaching & Mentoring schemes</p>
<p>Skills & Competencies</p> <ul style="list-style-type: none"> • <i>Have you identified new skills/competencies that will be necessary for success in the new working environment/context?</i> • <i>Do you think you have a significant skills gap, if so what and how might it be addressed?</i> • <i>Have you identified that these skills might be missing/in short supply in the workforce as a whole?</i> 	<p>Shared Service developments create a differing set of issues to tackle around culture development and establishing appropriate mind sets to a partnership rather than a single organisation.</p> <p>A greater emphasis on commissioning and working with communities will require the enhancement of skills and development of new competencies for staff.</p> <p>Areas already identified and being developed include:</p> <ul style="list-style-type: none"> • Commissioning & procurement skills • Business planning and financial awareness • Analytic, diagnostic and interpretive skills • Lean systems and other process evaluation skills • ICT Systems training • Strengthening interpersonal skills • People Management in complex situations
<p>Recruitment & Retention</p> <ul style="list-style-type: none"> • <i>Do you anticipate any recruitment difficulties in the current financial climate?</i> • <i>Are you undertaking any activity with partner organisations etc to address current/future skills shortages</i> <p><i>Is removal of the default retirement age likely to impact on you workforce?</i></p>	<p>At present, no recruitment difficulties are envisaged other than the usual differing pay bands between sectors and organisation which can cause local issues.</p> <p>The situation is monitored on an on-going basis to take account of any significant changes in other employment sectors.</p> <p>Ongoing consideration is always made to the potential for partnering with other organisations who may be able to address short term assignment/project work as need arises</p>
<p>Identified needs that cannot be addressed at service level/may be more difficult to address at this level</p>	<p>Development of culture change programme for staff involved in partnership delivery.</p> <p>Improving approach to community led commissioning (wider development of procurement & commissioning skills)</p>

Equalities

We are committed to the Council's core value of ensuring there is equality of opportunity through employment and service delivery. We are committed to promoting equality and eliminating discrimination on the grounds of age, disability, faith/religion or belief, gender including transgender, marital / civil partnership status, race, colour, ethnic or national origin and sexual orientation. Equality Impact Assessments (EIA) are carried out on all service changes and actions to mitigate impacts.

Please follow the link to the appropriate EIA. [equality impact assessment: financial plan](#)

Key Service Priorities 2012/13

It is important to show how each service priority links to the new Corporate Plan, in particular the four strategic objectives and high level outcomes set out in the table below. At the end of each priority, services **must** indicate whether it will contribute to an objective and add the reference letter for each outcome it will help to deliver.

Objectives	Outcomes	Ref
1. Promoting independence and positive lives for everyone	Children and young people enjoy their childhood and are prepared for adult life.	A
	Schools develop and extend their role in the local community	B
	Youth Service works with the community to provide opportunities to support and develop young people	C
	Older people are supported to live independently.	D
	The people most in need are supported to live full active lives.	E
2. Creating neighbourhoods where people are proud to live	Where people feel safe	A
	There are decent affordable homes in private and social sector	B
	Clean streets and open spaces	C
	Where people are able to travel easily with reduced traffic congestion and pollution	D
	Where local people actively lead the delivery of improvements in their community	E
	Where there are opportunities to participate in sports, leisure and cultural activities	F
3. Building a stronger economy	With a broad range of job and employment opportunities	A
	With a strong local business sector, tourism, and local shopping	B
	Key development sites are delivered to increase the number of local businesses.	C
	A diverse economy with growth in the low carbon, knowledge creative, and ICT industries	D
4. Developing resilient communities	Where local people have developed their skills and use them to improve their community	A
	Where decisions are made as locally as possible	B
	Where there is easy access to public services and local amenities.	C
	Communities have adapted to changes in our climate and are not dependent on high carbon energy	D
	Recycling and reduction in waste continues to be extended	E

Priority 1:

Details of Service Priority	Widen the potential for savings opportunities and service excellence through the development of the shared service for procurement		
Impact on local community	Efficient use of resources		
Groups of service users affected	All Services across the Authority		
Key Activities (add more lines as appropriate)	Timescales	Performance Measures	
Build knowledge and understanding of market places from which the Council commissions or procures services to deliver savings	Ongoing through 2012/13	Successful roll-out of category management & strategic commissioning project, widening of activities in shared service, savings targets achieved	
Simplify procurement processes, adopt common documentation across and between Authorities in the partnership	30th Sept 2012	Documentation and processes reviewed, improved and implemented	
Empower more local and smaller businesses to compete to provide products and services to the Council and improve local job prospects	Ongoing through 2012/13	Increased number of SME's registered on Council Procurement Portal Improved Specifications to open up access to council products and services	
Improve communication and accessibility of information about where and for what the Council intends to commission services	30th April 2012	Commissioning Intentions document for whole Council approved and published	
Develop procurement capacity through increased use of technology and shared use of staff resources	Ongoing through 2012/13	Align outcomes from systems and maximise resources Develop next phase of interactive Training Programme for procurement & commissioning phases	

Contribution to Strategic Objectives – please indicate which of the Corporate Plan objectives and outcomes this priority will contribute to:

Strategic Objective	Contributes – Y/N?	Relevant Outcomes
1. Promoting independence and positive lives for everyone		
2. Creating neighbourhoods where people are proud to live	Y	2E
3. Building a stronger economy	Y	3A 3B
4. Developing resilient communities		

Priority 2:

Details of Service Priority	Phased Roll-Out of Community Resilience Strategy	
Impact on local community	Improve the resilience of the community by encouraging self-reliance, personal responsibility and cohesive community working	
Groups of service users affected	Residents, Business, Community Groups	
Key Activities	Timescales	Performance Measures
Involving the Community in risk awareness	Ongoing through 2012/13	Consult widely on the completion of a Community Risk Register specific to Bath & North East Somerset. Publish and promote risk awareness and link to reasonable actions. Ensure messages are appropriate and proportionate and delivered through all available channels.

		<p>Complete the Hazard Templates for each Hazard & circulate to partners for consultation</p> <p>Identify useful advice and links for the public and businesses</p> <p>Put the Hazards Assessments onto the Internet with links and guidance for the public so they can take reasonable precautions.</p>
Developing individual & household resilience	Ongoing through 2012/13	<p>Re-issue Community Resilience Manual</p> <p>Secure Funding for further initiatives</p> <p>Recruit and train volunteers to engage with the public at community level</p> <p>Develop advice, guidance and check lists for volunteers and home owners</p> <p>Promote resilience through community networks</p>
Ensuring continuity of care for vulnerable groups and carers	Ongoing through 2012/13	<p>Promote evacuation planning and practicing the plan regularly.</p> <p>Encourage the vulnerable and carers to remember to evacuate with any necessary medications and a list of their prescription medicines.</p> <p>Develop a means through which vulnerable people and carers can alert</p>

		<p>appropriate health services in the event of an emergency</p> <p>Develop means through which emergency services can identify vulnerable people within any given area.</p> <p>Strongly encourage the vulnerable and carers to use the —ICE system on their mobile telephones.</p> <p>Consider system that will allow emergency services to identify any carers who have been involved in an accident so that appropriate care services can be alerted.</p> <p>Develop specific advice & guidance for vulnerable and carers to promote resilience</p>
<p>Building resilience within business, public and third sector</p>	<p>Ongoing through 2012/13</p>	<p>Provide and promote advice and guidance on business continuity.</p> <p>Re-issue Community Resilience Manual</p> <p>Advise businesses on need to comply with legislation on health & safety, First Aid, fire safety, health & hygiene and the disabilities discrimination act 1995 including the use of Evac Chairs and other such equipment.</p> <p>Ensure that where fire extinguishers</p>

		<p>are fitted, staff are trained on their use.</p> <p>Secure Funding for further initiatives</p> <p>Recruit and train volunteers to engage with the public at community level</p> <p>Develop advice, guidance and check lists for volunteers and businesses</p>
<p>Developing resilience and contingency plans with communities and multi-agency partners</p>	<p>Ongoing through 2012/13</p>	<p>Develop a network of Community Resilience Advisors (CRAs) able to build resilience within the community by coordinating support, advice, training and planning within communities in the following disciplines:</p> <ul style="list-style-type: none"> - First Aid - Health & Safety - Health & Hygiene - Security - Hazard Awareness - Hazard Mitigation - Hazard Contingency Planning - Hazard Responses (fire, flood, snow, etc.) - Community Resilience Planning - Emergency Resource Planning <p>CRAs to act as the community focal point for resilience</p> <p>With Community Resilience Advisors, communities need to develop hazard</p>

		<p>mitigation and contingency plans.</p> <p>Empower community leaders to give leadership in an emergency.</p> <p>Through community engagement, identify and deliver worthwhile schemes to mitigate hazards to the community in the long terms, in terms of preventative, protective and preparative actions.</p> <p>Secure Funding for initiatives</p> <p>Recruit and train volunteers (CRA's) to engage with the public at community level, preferably through a third party organisation</p>
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Contribution to Strategic Objectives – please indicate which of the Corporate Plan objectives and outcomes this priority will contribute to:

Strategic Objective	Contributes – Y/N?	Relevant Outcomes
1. Promoting independence and positive lives for everyone	Y	1D 1E
2. Creating neighbourhoods where people are proud to live	Y	2A 2E
3. Building a stronger economy		
4. Developing resilient communities	Y	4A 4B 4D

Priority 3:

Details of Service Priority	Roll-Out of next phase of Transparency Agenda
Impact on local community	Increased opportunities to hold the Council to account through increased openness to decision making and improved understanding of service and community needs
Groups of service users affected	All residents, services users and stakeholders of the Council

Key Activities	Timescales	Performance Measures
Publish all payments in excess of £500 and associated information	1st April 2012	Monthly Report produced on transparency webpages
Publish all officer and members decisions, senior officer salaries and associated information	30th June 2012	Annual Update on transparency webpages
Publish all council contracts, commissioning intentions, grants and associated information	30th June 2012	Pro-Contract Portal updated
Publish all council owned assets and associated information	30th Sept 2012	Annual update on transparency webpages
Publish all needs assessments for the community	30th Sept 2012	Annual update on commissioning webpages
Implement new requirements from changes to FOI and associated legislation and new codes of practices from Transparency Board	Ongoing through 2012/13	Awaiting final outcome from MOJ consultation

Contribution to Strategic Objectives – please indicate which of the Corporate Plan objectives and outcomes this priority will contribute to:

Strategic Objective	Contributes – Y/N?	Relevant Outcomes
1. Promoting independence and positive lives for everyone		
2. Creating neighbourhoods where people are proud to live	Y	2E
3. Building a stronger economy		
4. Developing resilient communities	Y	4B 4C

Priority 4:

Details of Service Priority	Development of Shared Service for Audit & Risk Services		
Impact on local community	Effective use of Resources		
Groups of service users affected	Council Services		
Key Activities	Timescales	Performance Measures	
Review original options for service delivery and confirm priorities	30th Jun 2012	Review original Project Recommendations	
Assess readiness of preferred option, carry out final consultation and obtain final approvals	30th Sept 2012	Complete Staff Consultation & Final Report to Audit Committee	
Set-out timetable for implementation of potential partnership	31st Oct 2012	Implementation Plan agreed	
Agree legal and financial implications	31st Jan 2013	Legal Document Completed & Contributions agreed	
Implementation	31st Mar 2013	New Structure in Place	
Contribution to Strategic Objectives – please indicate which of the Corporate Plan objectives and outcomes this priority will contribute to:			
Strategic Objective	Contributes – Y/N?	Relevant Outcomes	
1. Promoting independence and positive lives for everyone	Y	Fits with broader VFM Agenda	
2. Creating neighbourhoods where people are proud to live	Y	Fits with broader VFM Agenda	
3. Building a stronger economy	Y	Fits with broader VFM Agenda	
4. Developing resilient communities	Y	Fits with broader VFM Agenda	

Appendix 1 – Key Performance Measures and Targets 2012/13

Service Priority no	Key Measure(s)	2012/13 Target(s)	Strategic Objective(s)	Outcomes(s)
1	As detailed Above			
2	As detailed Above			
3	As detailed Above			
4	As detailed Above			