

Summary analysis of Service Based Governance Statements completed by 28/02/08 (15 out of a total of 16 were completed)

Annual Governance reference	No. of Heasd/1 st reports expressing "some concern"	Comments
Objective 1: Establishing principle statutory obligations and organisational objectives		
1.1.3 Effective procedures to identify, evaluate, communicate, implement, comply with and monitor legislative change exist and are used	7	The highest number of concerns were expressed about 1.1.3. (see opposite) Improvement actions were identified in each case.
1.1.4 Effective action is taken where areas of non-compliance are found in either mechanism or legislation	3	Some concerns were around recording the process of disseminating information about legislative changes, rather than the business of actually disseminating it. Dissemination generally takes place through briefings and team meetings, but is not always recorded.
1.2.1 Consultation with stakeholders on priorities and objectives is undertaken	3	
1.2.4 Organisational objectives are reflected in service plans and are clearly matched with associated budgets, evidenced through: <ul style="list-style-type: none"> • Allocation of resources • Service improvement plans • Performance indicators 	4	There were no concerns expressed about failing to receive or to implement legislative changes or updating staff about such changes.
1.4.1 Comprehensive and effective performance management systems operate routinely	3	Concerns expressed in these areas tend to be addressed by actions focusing on:
1.4.2 Key performance indicators are established and monitored	3	<ul style="list-style-type: none"> • reviewing staff performance and development meetings regularly
1.4.3 The service area knows how well it is performing against its planned outcomes	4	<ul style="list-style-type: none"> • cascading information through 1:1 meetings • frequent performance monitoring; • documenting feedback to staff on performance <p>Environmental Operational Services will recruit to a new performance manager post.</p> <p>A new IT system for Revenues will address issues with obtaining reliable performance information.</p>

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Objective 2: Identify principle risks to achievement of objectives		
2.1.2 The service area has implemented a clear structure and processes for risk management, which are successfully implemented (showing that risks are considered when decision making and during business planning)	6	Just over one third of Heads expressed some concern about risk management in general, or one or more aspects of it. There is particular concern about operational risk registers, which need further development in certain areas. Strategic and project risks are well documented. Improvement actions exists for all areas of concern, with main focus on the need to cascade knowledge and understanding to staff. This will help involve more staff and add to the robustness of existing processes.
2.1.3 The service area had adopted the corporate approach to the identification and evaluation of risk which is understood by all relevant staff within the service	6	
2.1.4 The service area has well defined procedures for recording and reporting risk	6	
2.1.9 You are involved in identifying and monitoring risks within my service area and have adequate controls to manage risk	6	
Objective 3: Identify and evaluate key controls to manage principle risks		
3.1.1 The Council's Financial regulations are communicated to and followed by relevant staff in your service area	1	Approximately one quarter of Heads expressed some concern about the communication and understanding of corporate policies. Actions identified to help address this include: <ul style="list-style-type: none"> • an assurance questionnaire to check staff awareness • awareness sessions to ensure understanding • formal checklist for staff to sign • review of content of service induction pack
3.1.2 The Council's Contract Standing Orders (contract procedure rules) are communicated to and followed by relevant staff in your service area		
3.1.3 The Council's Whistle blowing policy is communicated to and followed by all staff in your service area	3	
3.1.4 The Council's Anti-fraud and corruption policy in place is communicated to and followed by all staff in your service area	4	
3.1.5 The Council's Employee code of conduct in place is communicated to and followed by all staff in your service area	3	
3.1.8 The Council's corporate procurement policy in place is communicated to and followed by relevant staff	3	

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3.1.9 Business/service continuity plans have been drawn up for all critical service areas	5	<p>Approximately one third of Heads expressed some concern in this area. The main improvement action is around the need to test individual business continuity plans.</p> <p>The main concern about the corporate plan is over the existence of a complete IT solution – this is reported as 60% complete.</p>
3.1.10 The strategic risk register includes expected key controls to manage principal risks	1	
3.1.11 Key risk indicators have been drawn up to track the movement of key risks and are regularly monitored and reviewed	4	Concerns in this area may be addressed by providing service based training sessions focused on emphasis on risk monitoring and review. (More detailed work will be done with Heads to specifically identify what is needed).
3.1.13 Health and safety policy in place is communicated to and followed by relevant staff	2	
3.1.14 Corporate complaints policy and procedure in place is communicated to and followed by relevant staff	2	

Overview of completion of actions identified in 2008/09:

Total number of actions	85	
Fully complete	29	34%
Partly complete	42	50%
(All figures are approximate)		