

ASSURANCE FRAMEWORK: SUMMARY (SIX MONTH REFRESH)

Assurance Activity	Assurance Framework Assessment					
	At October 2009				At March 2010	
	AF No.	Full Assurance	Moderate Assurance	Further Work Required	Current Status	Commentary
COUNCIL WIDE						
Staff capacity and skills	01		X		Same	Additional mechanisms identified within period. External appraisal was not part of CAA in 2009. Next assessment underway - data has been provided to PwC and workshops currently being undertaken. Revised performance reviews being rolled out during March 2010.
Staff retention in key areas	02		X		Same	Considerable works undertaken to improve in period. Impact of recession may have lessened degree of turnover.
Financial considerations with 3 rd party funded schemes	03	X			Same	Ongoing assurance mechanisms in place.
Local Area Agreements	05		X		Same	Development of protocols for data collection and accuracy
Partnership working with PCT	06	X			Same	Governance arrangements clearly defined and reviewed periodically
Delivery Master Plan	07		X		Same	Impact of credit crunch on ongoing major capital works to be regularly evaluated. Revised structures established in Chief Executive directorate to take forward.
Flu pandemic or other major illness	08	X			Same	Coordinated response in place. Effectively managed during 2009. Number of lessons learnt which have been built into future needs.
Business continuity and community resilience	09		X		Same	Ongoing testing to ensure compliant. Joint risk management and business continuity strategy now in place. Need to continue to develop links with risk management. Further detailed testing established and monitored.

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COUNCIL WIDE (continued)						
Investing to save bids	10		X		Same	Impact of potential changes to government funding could have material effect on future plans Current schemes fully financed.
Governance arrangements	11		X		↑	Toolkit established for partnerships. Strategic Governance Board created and separate task/finish groups in place - for example - Information Governance Group to review all IT policies.
Credit crunch	12			X	↑	Impact incorporated into MTFS review. Ongoing budget monitoring reports. Potential benefit levels increased and call on "needy" services.
Special purpose vehicles / shared services	13		X		Same	ICT contract established. Ongoing development of Manor Drive brand and contact with other organisations.
DEPUTY CHIEF EXECUTIVE						
Diversity agenda	14		X		Same	Ongoing monitoring against policy
Disability agenda	15		X		Same	Regular update / refresh of Asset Management Plans and reporting. Review of access to council owned buildings.
Harmonisation process	16	X			Same	Agreement reached with all unions. Robust challenge in place. Fully implemented.
CHIEF EXECUTIVE						
Community cohesion and engagement	17		X		Same	Working arrangements / protocols being embedded.

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CHILDRENS SERVICES						
Schools Phase 2 and Building Schools for the Future	18		X		Same	Strategies for Change documents established and expressions of interest in future works Technology arrangements under review.
Improvement in educational standards - Key Stage 1, 2	19		X		Same	Improved results August 2009.
Improvement in educational standards - Key Stage 3, 4	20		X		Same	Improved results August 2009.
Children staying safe / child protection	21		X		Same	National high profile cases have increase vigilance and reviews of service provision
Teenage conception rates	22		X		Same	Targets met within LPSA. Ongoing monitoring to look for further improvements.
Integrated services for children with disability	23		X		Same	Tracking arrangements in place
Children's Trust	24		X		Same	Formal arrangements established
Workforce development	25	X			Same	Development plans agreed and introduced
Integrated front line service delivery	27		X		Same	Zero based budget across directorate and business process reengineering introduced.
Equality and diversity	28		X		Same	Monitoring in place and regularly reported
Children Services national indicators (Adult Learning)	29		X		Same	Targets monitored and progress made
CITY SERVICES						
Arms Length Management Organisation	31		X		Same	Expressions of interest being received. Option appraisals to be scrutinised.

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OPERATIONS						
Highways infrastructure conditions	32		X		Same	Ongoing revision of Local Transport Plans and reviews of roads
Environmental capital aspirations	33		X		Same	Carbon emission developments and home insulation studies in place
Climate change	34		X		Same	Good practice in place however need to engage with partners to ensure reductions
PCT						
Social demographic change	35		X		Same	Service demands / needs regularly monitored. Impact on budgets.
STRATEGIC RESOURCES						
Financial management strategy	36		X		Same	Potential Central Government imposed reduction in grants needs to be fully reflected in future MTFS Prudent assumptions made in latest MTFS.
Procurement	37		X		Same	Business transformation programme ongoing and further efficiencies and economies of scale to be explored DECATS project established.
Comprehensive Area Assessment	38		X		Same	2009 review complete - assessment score 3. Action plan developed to address issues 2010 assessment in train.
Estate utilisation	39			X	Same	Impact on capital programme to be re-evaluated should recession continue longer than forecast. Economic downturn restricted any surplus asset disposals.
Waste management and recycling	40		X		Same	Ambitious targets to be regularly monitored. Other service mechanisms to be explored Shortlisted for national award.

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STRATEGIC RESOURCES (continued)						
Democratic processes	41	X			Same	Ongoing development Regular review of constitution and scrutiny arrangements.
Corporate manslaughter	42	X			Same	Regular refresh through CMT
Investments	43	X			Same	Policy reviewed in light of Icelandic Bank situation. Robust arrangements currently in place. Best practice introduced and Treasury Management Strategy will be taken through Audit Committee annually.
RISKS MITIGATED/ DELETED AT FEBRUARY 2009						
04	Growth (combined with AF.07)					
26	Children Services change programme (combined)					
30	Maintaining services (deleted)					

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OTHER ASSURANCES REQUIRED						
Vision and outcomes	44	X			Same	Refreshed through review of Sustainable Community Strategy and considered as part of Annual Governance Statement
Working protocols	45	X			Same	Assessed as part of Annual Governance Statement / Corporate Governance reviews
Value promotion	46		X		Same	Assessed as part of Annual Governance Statement / Corporate Governance reviews
Transparent decisions	47		X		Same	Assessed as part of Annual Governance Statement / Corporate Governance reviews Separate survey commissioned of Chair / Vice Chairs of all Committees as part of the AGS review.
Member capacity and capability	48		X		Same	Assessed as part of Annual Governance Statement / Corporate Governance reviews Separate survey commissioned of Chair / Vice Chairs of all Committees as part of the AGS review.
Local engagement	49		X		Same	Assessed as part of Annual Governance Statement / Corporate Governance reviews Separate survey commissioned of Chair / Vice Chairs of all Committees as part of the AGS review.
Statutory obligations	50		X		Same	Assessed as part of Annual Governance Statement / Corporate Governance reviews
Corporate objectives	51	X			Same	Assessed as part of Annual Governance Statement / Corporate Governance reviews
Corporate Governance	52		X		Same	Assessed as part of Annual Governance Statement / Corporate Governance reviews Separate survey commissioned of Executive Directors as part of the AGS review.

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OTHER ASSURANCES REQUIRED (continued)						
Performance management	53		X		Same	Assessed as part of Annual Governance Statement / Corporate Governance reviews
Risk to objectives	54		X		Same	Assessed as part of Annual Governance Statement / Corporate Governance reviews
Controls to manage risk	55		X		Same	Assessed as part of Annual Governance Statement / Corporate Governance reviews
Control effectiveness	56		X		Same	Assessed as part of Annual Governance Statement / Corporate Governance reviews
Governance effectiveness	57		X		Same	Assessed as part of Annual Governance Statement / Corporate Governance reviews
Management of PFI	58		X		Same	Regular liaison between Strategic Finance and PricewaterhouseCoopers to ensure correct treatment in accounts
Safeguarding electronic data	59		X		Same	Improved arrangements following on from becoming Government Connect compliant Information Governance review in place, as covering Freedom of Information and Retention arrangements.
Data quality	60		X		Same	Regular data quality reviews to be commissioned to ensure compliance / improvement
Implementation of Audit recommendations	61		X		Same	Disclosure of any non-compliance at Audit Committee meetings. Potential to call to account.
New ways of working	62		X		Same	Ongoing roll out of Manor Drive initiative
Customer satisfaction	63	X			Same	Ongoing surveys and polls (internal and external customers)

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OTHER ASSURANCES REQUIRED (CONTINUED)						
Housing strategy	64		X		Same	Partnership working with Cross Keys Homes
Safe recruitment	65		X		Same	Refresh of policies in relation to CRB checks