Audit & Performance Improvement Service

Business Plan

2012/13

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Purpose of Service – A Journey

- 2008	Service created by bringing together areas from across the organisation. Strong emphasis of good governance, compliance and organisational improvement

- 2010-11	Lead role in Transformation, starting with efficiency review, then moving to Shaping our Future

- 2012 -	Supporting the organisation into the future, through Transformation, regeneration, and moving to a commissioning-based council

What we Do

- Strategy
- Performance Improvement
- Business planning
- Information/Intelligence
- Partnership management
- Sustainability & Carbon Management
- Procurement
- Contract management

- Internal Audit
- Investigations
- Risk
- Insurance
- Project Management
- Transformation
- Governance
- Value for money

The Changing World

- Spending cuts
- National policy agenda
- Public Health
- Removal of regulation/inspection
- Peer review
- Transparency
- Public perceptions about public sector
- Technological changes

The Changing Council

- Reducing size (staff and services)
- Changing relationship between front-line and support services
- Increased challenge around added value
- Increased challenge around governance
- Transformation – incl. accommodation, e-HR, category management
- Different relationship with partners
- Focus on values & behaviours

The Emerging Agenda

- Transformation

- Regeneration

- Commissioning Organisation

- New policies (Right to Challenge, Troubled Families etc)

…But don't forget

- Governance and Improvement

What Support Does This Need?

- **Commissioning**
  - Knowledge/analysis
  - Planning/prioritisation
  - Procurement
  - Contract management
  - Performance management
  - Partnership development
  - Governance/assurance

- **Regeneration**
  - Planning/prioritisation
  - Programme management
  - Project management
  - Governance/assurance
  - Procurement
  - Sustainability advice
  - Risk management

What Support Does This Need

- **Transformation**
  - Prioritisation/ Planning
  - Project management
  - Programme management
  - Benefits management
  - Change management
  - Performance management

- **New Policies**
  - Strategic advice
  - Strategy development
  - Prioritisation/Planning
  - Performance management
  - Project management
  - Knowledge/Analysis
  - Partnership working

What Support Does This Need

- **Governance & Assurance**
  - Internal Audit
  - Investigations
  - Risk Management
  - Project Assurance
  - Performance Management
  - Compliance
  - VFM

Purpose of Service

"Enable the council and its partnerships to deliver on their major agendas for change by maintaining a focus on governance, strategy and value, and by promoting constructive challenge and ambitious improvement"

Our Priorities

- Support the organisation in the **commissioning** of services, by providing co-ordinated strategic and technical expertise
- Ensure effective **governance** for the council and its partnerships through the co-ordinated management of internal audit, performance, procurement, risk and projects
- Support the council in its major programmes, especially **Transformation and Regeneration**, including shaping the future direction of those programmes
- Lead on key **strategies** and policies, e.g. sustainability & climate change and localism, ensuring they are properly embedded within the organisation

How will we know we have delivered?

- **Support the organisation in the commissioning of services, by providing co-ordinated strategic and technical expertise**
  - Category management is embedded
  - Contract management is effective across the organisation
  - The council has a proper understanding of its priorities and how these link to its commissioning strategies
  - Information and intelligence is managed more effectively across the organisation

How will we know we have delivered?

- **Ensure effective governance for the council and its partnerships through the co-ordinated management of internal audit, performance, procurement, risk and projects**
  - The annual audit plan has been completed each year
  - No governance weaknesses are highlighted by external auditors
  - A new performance management approach is implemented and embedded
  - Compliance with procurement rules remains above 95%
  - Risk management is embedded across the council's activities
  - A more sophisticated and robust VFM tool is available to services and managers
  - Corporate projects do not fail due to a lack of robust assurance or support

How will we know we have delivered?

- **Support the council in its major programmes, especially Transformation and Regeneration, including shaping the future direction of those programmes**
  - Project management arrangements have been reviewed and adapted as necessary
  - The work-streams in the Transformation Programme are progressing to plan
  - The savings identified through Transformation are delivered
  - The guiding principles of Transformation have been upheld
  - Timely and effective procurement support has been provided to the regeneration programme

How will we know we have delivered?

- **Lead on key strategies and policies, e.g. sustainability & climate change and localism, ensuring they are properly embedded within the organisation**
  - Members, SDB and the rest of the council is properly briefed and advised on new policies and emerging legislative changes
  - The Strategy unit have responded to ad hoc requests for strategy and policy support that arise from members, SDB and others
  - Carbon Management Programme is delivered to planned timescales and outcomes
  - The council has a strategic and effective approach to the Localism Act
  - Key sustainability projects are progressed to timescale, incl. solar PV, CHP

Role of API Service in Transformation

- Programme Management & support
- Develop future phases of transformation
- Advise SDB
- Support CTB
- PM for Knowledge Management & Strategy
- PM for Commissioning & Procurement
- Implementing category management
- Project support for BPW and Income

Emerging Projects & Activities

- Continue to develop the framework for performance management
- Review and develop support for project and programme management
- Build on existing offering for VFM studies
- Look at bringing together dispersed resources for strategy, analysis etc
- Support the implementation of the Transformation Programme
- Develop future phases of the Transformation Programme
- Support the roll-out of category management
- Help the council to understand its priorities and reflect these in appropriate governance

Emerging Projects & Activities

- Maintain good governance through effective audit assurance and well-embedded risk management
- Support effective partnership working
- Continue to drive and embed the sustainability agenda through the carbon management programme and "big ticket" projects such as CHP
- Develop peer challenge as an effective model for external review
- Drive best practice in procurement, including implementation of simplified process
- Review risk management arrangements and ensure still meeting the needs of the changing organisation

Governance

- Following a review of Internal Control, the following issues have emerged as requiring attention:
  - Need to continually obtain feedback from other HoS
  - Better knowledge of all partnerships
  - All managers to go through LAMP
  - Check that all staff have undergone training on financial rules, counter fraud & info governance
  - Lead by example in managing risks
  - Review anti-fraud questionnaire for service
  - Check licenses and insurance for staff who drive
  - Address succession planning as part of workforce plan

How will we manage performance

- Reports to managers meeting
- Reports to Julian Wooster's DMT
- Performance sessions at SDB
- Reports to Governance & Audit Committee
- Feedback from services
- PDRs and 1-2-1s

Performance Template

Priority	Success Factors	Quarter 1	Quarter 2	Quarter 3	Quarter 4
1					
2					
3					
4					

Projects	Success Factors	Quarter 1	Quarter 2	Quarter 3	Quarter 4
1					
2					
3					
4					

Resources

- All activities in plan to be met from existing resources. No further funding requirements identified
- Cash limit for service £1.3m (net of income)
- Additional funding of £2m from MTRS for Transformation
- Recharges to other services/organisations
  - Procurement support to capital schemes
  - All services to HRA (at agreed rate)
  - Systems Audit income from Eastleigh and Bournmouth councils
  - Other miscellaneous income streams (Audit)

Resources

- Accommodation
  - Audit & Procurement moved to 2nd Floor
  - No further requirements identified
- ICT
  - Windows7 upgrade
  - Develop strategy for INTEND
  - Business Intelligence – support through Transformation

Resources

- HR
  - No major restructures planned for 12/13 (subject to senior management changes)
  - Ongoing evolution of teams within service
  - Recruitment support
  - Workforce planning (re Project Management review etc)
  - LAMP (all managers to attend)
- Legal
  - Professional supervisory role re litigation/liability claims

Values & Behaviours

- We will
  - Set the standard for the council in adopting the values and behaviours and embedding them in everything we do as a service
  - Seek feedback from others about how well we are upholding the values and behaviours
  - Challenge each other within the service if we are not upholding them
  - Challenge others if they are not upholding them
  - Use the values & behaviours as a measure of performance

Values & Behaviours

- **We focus on what's important**
  - Understand customers needs and expectations
  - Understand organisation's priorities
  - Open to change
  - Provide an efficient service
  - Evaluate our performance and continue to improve

- **We take pride in our work**
  - Take personal responsibility
  - Meet deadlines and say do what we say we will
  - Committed to our customers
  - Strive to do it right first time
  - Continually learn and develop

- **We value others**
  - Open minded and without prejudice
  - Respect and value peoples' opinions
  - Work well with team members, services and partners
  - Listen to feedback and act on it
  - Speak up openly, candidly and respectfully

- **We make a positive difference**
  - Want to help, and know when to ask others
  - Motivated and empowered to do our jobs with confidence
  - Use resources wisely and innovatively
  - Respond to customers' needs
  - Knows what works
  - Supportively and constructively challenge