

MEETING: CABINET MEMBER - CORPORATE SERVICES
DATE: Wednesday 3 February 2010
TIME: 10.00 am
VENUE: Town Hall, Bootle (video conferenced Town Hall, Southport)

Councillor

DECISION MAKER: Parry
SUBSTITUTE: Griffiths

SPOKESPERSONS: McGuire Tweed

SUBSTITUTES: Hands McGinnity

COMMITTEE OFFICER: Mike Morris
Telephone: 0151 934 2045
Fax: 0151 934 2034
E-mail: mike.morris@legal.sefton.gov.uk

The Cabinet is responsible for making what are known as Key Decisions, which will be notified on the Forward Plan. Items marked with an * on the agenda involve Key Decisions

A key decision, as defined in the Council's Constitution, is: -

- any Executive decision that is not in the Annual Revenue Budget and Capital Programme approved by the Council and which requires a gross budget expenditure, saving or virement of more than £100,000 or more than 2% of a Departmental budget, whichever is the greater
- any Executive decision where the outcome will have a significant impact on a significant number of people living or working in two or more Wards

If you have any special needs that may require arrangements to facilitate your attendance at this meeting, please contact the Committee Officer named above, who will endeavour to assist.

This page is intentionally left blank.

A G E N D A

Items marked with an * involve key decisions

<u>Item No.</u>	<u>Subject/Author(s)</u>	<u>Wards Affected</u>
1.	Apologies for Absence	
2.	Declarations of Interest Members and Officers are requested to give notice of any personal or prejudicial interest and the nature of that interest, relating to any item on the agenda in accordance with the relevant Code of Conduct.	
3.	Minutes Minutes of the meeting held on 13 January 2010	(Pages 5 - 8)
4.	Corporate Customer Contact - Use of Speech Recognition Technology Report of the Acting Finance and Information Services Director	All Wards (Pages 9 - 16)
5.	Active Workforce - Programme Developments Report of the Leisure Director	All Wards (Pages 17 - 22)
6.	Finance and Information Services Department - Corporate Services Portfolio Monitoring 2009/10 - Quarter 2 Report of the Acting Finance and Information Services Director	All Wards (Pages 23 - 164)
7.	Consultation on Draft Statutory Guidance on the Duty to Respond to Petitions Report of the Legal Director	All Wards (Pages 165 - 216)
8.	Exclusion of Press and Public To consider passing the following resolution: That, under Section 100A(4) of the Local Government Act, 1972, the press and public be excluded from the meeting for the following items of business on the grounds that they involve the likely disclosure of exempt information as defined in paragraphs 1 and 3 of Part 1 of Schedule 12A to	

the Act. The Public Interest Test has been applied and favours exclusion of the information from the Press and Public.

- | | | | |
|------------|---|-----------|-------------------|
| 9. | Review of the School Admissions and Student Support Service 2010 | All Wards | (Pages 217 - 230) |
| | Joint report of the Strategic Director, Children, Schools and Families and the Personnel Director | | |
| * | 10. | All Wards | (Pages 231 - 236) |
| | Award of Insurance Broker and Risk Management Advisor Contract | | |
| | Report of the Acting Finance and Information Services Director | | |
| 11. | Business Rates - Application for Hardship Relief | Dukes | (Pages 237 - 242) |
| | Report of the Acting Finance and Information Services Director | | |
| 12. | Presentation - Health and Safety Issues | All Wards | |
| | To receive a presentation from Mr. Blair Hilton, Health and Safety Manager | | |

THE "CALL-IN" PERIOD FOR THIS SET OF MINUTES ENDS AT 12 NOON ON TUESDAY, 2 FEBRUARY 2010. MINUTE NOS. 84 AND 87 ARE NOT SUBJECT TO "CALL-IN"

CABINET MEMBER - CORPORATE SERVICES

MEETING HELD AT THE TOWN HALL, BOOTLE ON WEDNESDAY, 13 JANUARY 2010

PRESENT: Councillor Parry.

ALSO PRESENT: Councillors McGuire and Tweed.

80. APOLOGIES FOR ABSENCE

No apologies for absence were received.

81. DECLARATIONS OF INTEREST

No declarations of interest were received.

82. MINUTES

RESOLVED:

That the Minutes of the meeting held on 9 December 2009 be confirmed as a correct record.

83. THE MAKING AND ENFORCEMENT OF BYELAWS

Further to Minute No. 74 of 9 December 2009, the Cabinet Member considered the report of the Legal Director on the enforcement of existing byelaws and on the resource implications of making new byelaws.

RESOLVED:

That the report be noted.

84. REVENUE AND CAPITAL EXPENDITURE MONITORING TO 30 SEPTEMBER 2009

Further to Minute No. 39 of 16 September 2009, the Cabinet Member considered the joint report of the Chief Executive, the Head of Technical Services, the Finance and Information Services Director, the Legal Director and the Personnel Director, providing the latest forecast position, based on information as at 30 September 2009, in relation to the Portfolio's 2009/10 Revenue Budget and Capital Programme.

RESOLVED: That

- (1) the progress made in respect of revenue budgets that are subject to risk-based monitoring and any steps to mitigate projected overspends, be noted; and

Agenda Item 3

CABINET MEMBER - CORPORATE SERVICES- WEDNESDAY 13
JANUARY 2010

- (2) the progress made in respect of schemes within the Portfolio's elements of the Council's Capital Programme be noted.

85. PROMPT PAYMENT CODE - PAYMENT OF INVOICES TO SUPPLIERS

Further to Minute No. 89 of the Cabinet meeting of 6 August 2009, the Cabinet Member considered the report of the Finance and Information Services Director indicating that, following an approach by Government Office North West, the Council had become a signatory to the voluntary Prompt Payment Code which committed it to pay suppliers on time, give clear guidance to suppliers and encourage good practice by requesting lead suppliers to support the adoption of the code through their own supply chains.

RESOLVED:

That the report be noted.

86. EXCLUSION OF PRESS AND PUBLIC

RESOLVED:

That, under Section 100A(4) of the Local Government Act 1972, the press and public be excluded from the meeting for the following two items of business on the grounds that they may involve the likely disclosure of exempt information as defined in paragraphs 1 (Minute No. 87) and 3 (Minute No. 88) of Part 1 of Schedule 12A to the Act. The Public Interest Test had been applied and favoured exclusion of the information from the press and public.

87. REVIEW OF THE SCHOOL ADMISSIONS AND STUDENT SUPPORT SERVICE 2010

The Cabinet Member considered the joint report of the Strategic Director - Children, Schools and Families and the Personnel Director on a proposed re-organisation of the existing School Admissions and Student Support Service to enable it to meet the requirements of the new School Admissions Code, which reflects changes to the law introduced by the Education and Skills Act 2008, which included:

- extending the co-ordinating role of local authorities to all admissions applications for state primary and secondary schools made by their residents at any time of year, from 2010;
- the full inter-Local Authority co-ordination of admission to primary schools to be phased in, starting with all in-year admissions from September 2010 and the annual allocation of primary places from September 2011;

- improving the information provided to parents by local authorities; adding parents and the local community to those who must be consulted regarding proposed admission arrangements;
- requiring local authorities to report annually to the Schools Adjudicator on the fairness and legality of admission arrangements in their area; plus new powers for the Office of the Schools Adjudicator to act proactively if an Authority is failing in any aspects of the statutory and mandatory duties.

RESOLVED:

That consideration of the report be deferred pending consideration by the Cabinet Member - Children's Services.

88. SETTLEMENT IN RESPECT OF CLAIM BY INTEGRAL SERVICES UK LIMITED

The Cabinet Member considered the report of the Finance and Information Services Director on the proposed settlement of a potential litigation claim by the above company.

RESOLVED: That

- (1) the settlement in the sum of £250,000, which had been approved by the Chief Executive, the Finance and Information Services Director and the Legal Director, be noted; and
- (2) a further report be submitted, setting out the detailed reasons why this situation came about and the steps being taken to avoid any possible re-occurrence in the future.

89. PERICLES REVENUES AND BENEFITS SYSTEM REPLACEMENT

Further to Minute No. 79 of 9 December 2009, the Cabinet Member considered the report of the Finance and Information Services Director on the final financial evaluation of the procurement exercise to replace the above system.

RESOLVED: That

- (1) the report be noted;
- (2) the Legal Director be authorised to negotiate with arvato Government Services (Sefton) Limited and Northgate Information Solutions with a view to a contract being agreed directly between those organisations; and

Agenda Item 3

CABINET MEMBER - CORPORATE SERVICES- WEDNESDAY 13
JANUARY 2010

- (3) the intention to bring further update reports to the Finance and Information Services Operational Board and, at the appropriate time, to this Cabinet Member's meetings, be noted.

90. PRESENTATION - SPECIALIST TRANSPORT UNIT

The Cabinet Member received a presentation from Mr. Garry Lewis on the Specialist Transport Unit.

RESOLVED:

That Mr. Lewis be thanked for his informative presentation.

Agenda Item 4

REPORT TO: Cabinet Member – Corporate Services

DATE: 3rd February 2010

SUBJECT: Corporate Customer Contact – Use of speech recognition

**WARDS
AFFECTED:** All Wards

REPORT OF: Lynton Green
Acting Finance & Information Services Director
0151 934 4096

**CONTACT
OFFICERS:** John Farrell
Assistant Finance & Information Services Director
0151 934 4339

Janet Barry
Customer Services Client Manager
0151 934 4337

**EXEMPT/
CONFIDENTIAL:** No

PURPOSE/SUMMARY:

To provide more information to the Cabinet Member of the proposed use of speech recognition technology in the Sefton Plus Contact centre.

REASON WHY DECISION REQUIRED:

This report seeks Cabinet Member approval to implement speech recognition. The Cabinet Member for Corporate Services is portfolio holder for Corporate Customer Services.

RECOMMENDATION(S):

It is recommended that the Cabinet Member for Corporate Services:

- (a) Notes the contents of this report
- (b) Approves the implementation of speech recognition.

KEY DECISION: No

Not appropriate

FORWARD PLAN:

Agenda Item 4

IMPLEMENTATION DATE: Following the expiry of the “call-in” period for the Minutes for this meeting.

ALTERNATIVE OPTIONS:

The Cabinet Member may decide not to implement speech recognition, although such a decision would limit the ability to improve customer access and make efficiencies.

IMPLICATIONS:

Budget/Policy Framework: These projects will be funded by contractual obligations or commitments made by arvato.

Financial:

<u>CAPITAL EXPENDITURE</u>	2009/ 2010 £	2010/ 2011 £	2011/ 2012 £	2012/ 2013 £
Gross Increase in Capital Expenditure	0.00	0.00	0.00	0.00
Funded by:				
Sefton Capital Resources				
Specific Capital Resources				
<u>REVENUE IMPLICATIONS</u>				
Gross Increase in Revenue Expenditure	0.00	0.00	0.00	0.00
Funded by:				
Sefton funded Resources				
Funded from External Resources				
Does the External Funding have an expiry date? Y/N	When?			
How will the service be funded post expiry?				

Legal: None

Risk Assessment: Risk Assessment will be undertaken as part of the management of the projects.

Asset Management: Not applicable as this will be managed under the existing contractual obligations.

CONSULTATION UNDERTAKEN/VIEWS

Consultation between arvato and Sefton took place during the contractual negotiations. This will be subject to review by Council Officers through the

Agenda Item 4

Customer Contact Executive Board, Financial and Information Services Operational Board, and through the project itself.

CORPORATE OBJECTIVE MONITORING:

<u>Corporate Objective</u>		<u>Positive Impact</u>	<u>Neutral Impact</u>	<u>Negative Impact</u>
1	Creating a Learning Community		✓	
2	Creating Safe Communities	✓		
3	Jobs and Prosperity	✓		
4	Improving Health and Well-Being	✓		
5	Environmental Sustainability	✓		
6	Creating Inclusive Communities	✓		
7	Improving the Quality of Council Services and Strengthening local Democracy	✓		
8	Children and Young People		✓	

LIST OF BACKGROUND PAPERS RELIED UPON IN THE PREPARATION OF THIS REPORT

Tender and response documentation

Schedule 5 of the contract between arvato and Sefton Council

Reports to Cabinet Member for Corporate Services on 16th September 2009

Agenda Item 4

1. BACKGROUND

- 1.1. During the contract negotiations for the Major Service Review, arvato detailed the desire to implement speech recognition as one of the commitments in The Continuous Improvement Plan for Customer Services.
- 1.2. A report was brought to Cabinet Member for Corporate Services on 16th September 2009 entitled “Corporate Customer Contact – Improving Access For Our Customers”. That report outlined the development of various projects relating to improving Customer Service, including speech recognition. Paragraph 3.2 of that report provided brief information about the proposals to implement Speech Recognition, and advised that a more detailed report would be brought to a future Cabinet Member meeting.
- 1.3. This report sets out a more detailed description of this project.

2. Speech recognition

- 2.1. Speech recognition, as a technology, should not be confused with Interactive Voice Routing (IVR) which in Sefton is a simple (select 1, 2 etc) functionality to get callers to a skilled advisor quickly and effectively.

Speech recognition will be familiar to customers as it is now widely used by companies and by some Local Government Authorities and is a product that will enhance the current, very successful, use of IVR in Sefton by further reducing waiting times and allowing some services and information provision to be offered on a 24/7 basis 365 days a year. The solution enables voice interaction between the customer and the system, which responds according to what is asked.

- 2.2. The advantages for Sefton are:

- a) 24/7 services available over the telephone.
- b) Facilitates the allocation of resource to deal with the more complex and time consuming enquiries and reducing the need for live staff to complete the more routine type of call.
- c) Consistent greeting / call handling.
- d) By routing calls more effectively customers will help the Council reduce avoidable contacts (NI 14).

- 2.3 The proposed solution will give the ability to supplement, extend and if required, replace existing routine and simple functions currently delivered by live agents within the contact centre. By automating some of the more mundane functions, such as operator calls, customer surveys, waste reporting and information services, “live” agents time can be much better spent dealing with and resolving the more complex calls received in Sefton Plus. From day 1 these automated services (switchboard aside) will be available to customers on a 24/7 basis and new transactions will be rolled out on a regular basis to expand the basket of services. Where agents are available, callers can and will always be able to choose to speak to an operator, but

Agenda Item 4

should call waiting times increase or if it is felt that automation services should be the first option for customers, then the automation agents can deal with these calls in a consistent and professional manner. The ability to break out of the automated system and speak to a person is always provided to the caller.

2.4. Implementation & Phase 1 “Proof of Concept”

Once approval to proceed has been received the intention would be to implement the solution across a limited number of services &/or transactions to provide a “proof of concept” analysis. The options for this first phase roll-out will come from the following:

a) Operator / Switchboard - the solution enables callers to simply say the name of the person, department or service they require and quickly and efficiently connects them to their desired location. It is a fact that Councils and Citizens often use different terms to describe the same thing (Consider Refuse / Cleansing / Technical Services which Citizens may refer to as Bins). There are pit-falls in any switchboard operation but the planned deployment of Speech Recognition for Sefton deals with these very effectively, for example:

- i. When a caller asks for an officer with a duplicate name, the automated operator will intelligently ask a qualification question such as "Would you like John Smith in Children’s Services or John Smith in Procurement?"
- ii. The solution supports alternative names and synonyms, and will automatically add common variants to names. For instance, for a contact called William Jones, the automated operator will automatically add Will Jones and Bill Jones to the alternative names a caller can request without the need for administrator input.
- iii. Personal call screening - the call is screened in the same way a human operator would, announcing the call to the called party and offering them the option of rejecting the call.
- iv. Manager/Secretary working - when a user does not want to be interrupted, they can enable the manager secretary working option. External calls can be directed straight to the user's secretary or colleague.
- v. There is also a built-in, optional ‘follow me’ functionality. With a simple phone call, or via a web interface, users can tell the system on which number, internal or external, they can be contacted.

b) Customer Report – A large number of current calls are of a type where the customer is providing the Council with information on a range of issues, for example:

- i. Household Issues (Bin was not collected / Bin has been stolen / requesting a bulky item collection).
- ii. General Issues (Graffiti, Street Light Not working, Abandoned Car etc.).

By using Speech recognition on some of these services the aim would be to automate the collection of the relevant information and give the customer the appropriate response based on existing up to date criteria that are already established with Council Departments.

Agenda Item 4

- c) Customer Information –These calls are often simple in nature, customer requirement being provision of a piece of general information or even something more specific to their particular address or circumstances;
 - i. Is it a green bin / grey bin collection week? For this the answer is based on a simple reference to the customer’s postcode.
 - ii. What items can be collected in a bulky item collection, or how to make an appeal on a Parking Ticket. Again, the answer is based on a simple reference to very specific guidelines already agreed.
- d) Customer Satisfaction Survey – the ability to carry out short customer satisfaction surveys has obvious benefits but has been something avoided to date given that it unnecessarily occupies “live” advisor resources on the end of existing transactional calls but Speech Recognition will enable this to be automated.

2.5. Future Phases

Other options for the future include:

- a) Registration Calls – the ability to register for voting forms or school places
- b) Location “Find my nearest” – the ability to ask for a nearest facility, such as refuse tip or library
- c) Mail to Me - the ability to ask for specific forms, brochures or leaflets and have them delivered automatically.

Once authority to proceed has been given, one of the first tasks of the project team is to liaise with SMBC and identify which of the above calls types and specific transactions will go into Phase

2.6. Managing The “Risks”

The following risks, and solutions, have been identified:

- a) The caller is talking to a computer and might want to speak to a person – in practice they always have the ability to talk to a live operator if so desired.
- b) Computer Failure will result in the service not being available – a dual server solution would allow one server to be always available.
- c) The call might be directed to the wrong person – if the telephone directory is properly maintained the likelihood of this happening is small.
- d) There will be a requirement for arvato to work with SMBC to undergo a directory cleansing exercise prior to go-live with the Switchboard roll-out but this will be necessary in any case as a result of the ongoing work on the Strategic Budget review and overall re-Structure of SMBC services. This process will also provide a blueprint for future database maintenance.

2.7. Next Steps

- a) Sefton MBC members and Client Team agrees to the use of speech recognition technology in contact centre.
 - *Initiates project = Month 1*
- b) Lead officer(s) identified in SMBC Client team and Departments.
 - *Working Group established by middle to end of Month 2*
- c) Work begins with SMBC representatives to:
 - *“Cleanse” the corporate telephone directory for departments, services and officers. By end Month 4*
 - *Identify, the appropriate services for Phase 1. By end Month 4*
 - *Technical development and testing – Months 4 and 5*
- d) Go-Live – *Month 6*
- e) Ongoing review of Progress, Review of Phase 1 – *Monthly from Month 1*
- f) “Proof of Concept” Report back to SMBC Members. – *Month 9*

NOTE - A detailed project plan will be developed once approval to proceed has been received.

3. Financial Implications

- 3.1. The implementation of Speed Recognition technology is in the contractual Continuous Improvement Plan with arvato, and will not incur any additional cost to the Council.

4. RECOMMENDATION

It is recommended that the Cabinet Member for Corporate Services:

- (a) Notes the contents of this report.
- (b) Approves the implementation of the development and implementation of speech recognition.

This page is intentionally left blank

Agenda Item 5

REPORT TO: CABINET MEMBER - CORPORATE SERVICES
CABINET MEMBER - LEISURE & TOURISM
OVERVIEW & SCRUTINY – (Health and Social Care)
OVERVIEW & SCRUTINY – (Regeneration and
Environmental Services)

DATE: Corporate Services – February 3rd 2010
Leisure & Tourism – January 27th 2010
Overview & Scrutiny (H&SC) – March 2nd 2010
Overview & Scrutiny (R&ES) - March 9th 2010

SUBJECT: **ACTIVE WORKFORCE - PROGRAMME DEVELOPMENTS**

WARDS AFFECTED: All

REPORT OF: Graham Bayliss – Leisure & Tourism Director

CONTACT OFFICER: Alistair Robertson, Head of Service Sport and Recreation
(Development)

**EXEMPT/
CONFIDENTIAL:** No

PURPOSE/SUMMARY:

To provide Members with an update report highlighting the success and continued development of the Active Workforce programme.

REASON WHY DECISION REQUIRED:

N/A

RECOMMENDATION(S):

It is recommended that Members note the significant progress and development of the Active Workforce programme.

KEY DECISION: N/A

FORWARD PLAN: N/A

IMPLEMENTATION DATE: N/A

Agenda Item 5

ALTERNATIVE OPTIONS: N/A

IMPLICATIONS:

Budget/Policy Framework: Active Workforce contributes to the following Sefton LAA targets;
 NI 8 – Adult participation in sport and active recreation
 NI 119 – Self reported measure of people’s overall health and wellbeing

Financial:

<u>CAPITAL EXPENDITURE</u>	2006/ 2007 £	2007/ 2008 £	2008/ 2009 £	2009/ 2010 £
Gross Increase in Capital Expenditure				
Funded by:				
Sefton Capital Resources				
Specific Capital Resources				
<u>REVENUE IMPLICATIONS</u>				
Gross Increase in Revenue Expenditure				
Funded by:				
Sefton funded Resources				
Funded from External Resources				
Does the External Funding have an expiry date? Y				
How will the service be funded post expiry?				

Legal: N/A

Risk Assessment: N/A

Asset Management: N/A

CONSULTATION UNDERTAKEN/VIEWS

N/A

CORPORATE OBJECTIVE MONITORING:

<u>Corporate Objective</u>		<u>Positive Impact</u>	<u>Neutral Impact</u>	<u>Negative Impact</u>
1	Creating a Learning Community	√		
2	Creating Safe Communities		√	
3	Jobs and Prosperity	√		
4	Improving Health and Well-Being	√		
5	Environmental Sustainability		√	
6	Creating Inclusive Communities	√		
7	Improving the Quality of Council Services and Strengthening local Democracy	√		
8	Children and Young People		√	

<p>LIST OF BACKGROUND PAPERS RELIED UPON IN THE PREPARATION OF THIS REPORT None</p>
--

BACKGROUND

It has been proven that regular physical activity can significantly reduce sickness absence levels, increase productivity and create a workplace feel good factor. Therefore, the purpose of the Active Workforce programme is to improve the health and wellbeing of employees via a range of innovative physical activity and sport interventions.

The Sefton programme was initially delivered as a pilot project following a successful bid to Sport England's "£1million Healthy Workforce Challenge" (2007). The pilot proved highly successful and led to the Sefton Public Health Partnership (Council and Sefton NHS Primary Care Trust) commissioning the Leisure Services department (through the Sport & Recreation service) to deliver the programme on a long-term basis. The focus for the programme is all major employers within the borough.

It was agreed following the establishment of the programme, that Members would receive update reports on its progress, and therefore the following report highlights some of the key developments in the programme during the last 18 months.

1. INTRODUCTION

1.1. This report covers the period April 2008 – December 2009 and summarises what the Active Workforce programme team has achieved during this time. The founding partners of the Sefton programme in 2007 were; the Council, Sefton NHS PCT, Sefton CVS, One Vision Housing and Sefton New Directions.

1.2. During the last 12 months the following organisations have joined the programme; Aintree University Hospitals NHS Foundation Trust, Shop Direct (Littlewoods Financial

Agenda Item 5

Services Ltd), Arvato and Capita Symonds. In addition, from April 2010, Autism Initiatives will become the tenth major partner to join Active Workforce.

2. SUMMARY OF ACHIEVEMENTS

Since April 2006 Active Workforce has:

- Attracted ten new major employers to invest resources in to the initiative.
- Achieved a reduction in sickness absence - participating employees self reporting a 26% reduction in sickness absence.
- Regularly engaged with 20% of employees in physical activity and health related initiatives.
- Been recognised for its contribution to workplace health and wellbeing with awards from the Municipal Journal and North West Public Health.
- Used as a best practice case study by the Local Government Association.

3. PROGRAMME DELIVERY

- 3.1 In total, across the nine partner organisations, over 20% of the employees are taking advantage of the Active Workforce programme.
- 3.2 To date there are almost 4,000 employees signed up to the programme, with 1,500 of these paying for a subsidised Active Sefton fitness suite membership. This generating over £25,000 a month in additional income across all the leisure centres.
- 3.3 The project team has provided 50 Ballroom Dancing sessions, 28 tai chi sessions, 40 yoga session per year and almost 1,500 employees have volunteered to participate in 3 workplace pedometer challenges.
- 3.4 The programme has also provided employees with access to fifteen days of health assessments, ten healthy lifestyle seminars and a total of twenty six weight management courses.
- 3.5 Every member has received a monthly health newsletter and information update.
- 3.6 All employees are offered the opportunity to take advantage of professional advanced dietetic support and structured smoking cessation groups.

4. PROJECT SPONSORSHIP

- 4.1 In November 2009, officers secured a sponsorship agreement with its first truly commercial partner; Shop Direct. Founded in 1923, Shop Direct Group is the U.K.'s leading online retailer, and its largest home shopping company, based in Aintree.
- 4.2 As a result of this sponsorship deal, Active Workforce was able to apply, and was recently awarded £14,000 of Sports Match funding from the DCMS's Sports Sponsorship Incentive Programme; 'Sports Match' (administered by Sport England).
- 4.3 This funding will allow the team to expand the programme to include additional health assessment opportunities and more sport specific activities, including the introduction of a range of new sports leagues for employees.

5. INDUSTRY BEST PRACTICE AWARDS

- 5.1 In 2008, Active Workforce received a national Municipal Journal Award in recognition of the contribution made to improving the health of the workforce.
- 5.2 This was followed up, also in 2008 with a North West Public Health Award in the category 'Contribution to Public Health' and in April 2009 the programme was short-listed for an Association of Public Service Excellence Award (APSE).

Agenda Item 5

5.3 In January 2010 Active Workforce has been selected by the Local Government Association to act as a case study of best practice in the field of Health Improvement.

6. CONTRIBUTION TO SEFTON LOCAL AREA AGREEMENT NATIONAL INDICATORS

6.1 NI8, Adult participation in Sport and Active Recreation – 20% of employees are regularly engaged. This is a total of over 3,800 people.

6.2 NI19, Self reported measurement of people's overall health and wellbeing –From the annual Active Workforce survey employees reported the following improvements in:

- Concentration – 81%
- Sleep Patterns – 60%
- Work Capacity – 76%
- Stress Levels – 61%
- Weight Loss – 65%
- Energy Levels – 92%
- Mood/Morale – 88%.

7. FUTURE DEVELOPMENTS

7.1 In partnership with NHS Sefton, In January 2010, Active Workforce has applied for £47,000 funding from the Department of Work and Pensions (DWP), Health Work and Wellbeing Challenge Fund. If successful, this additional funding will facilitate a significant increase in opportunities for the workforce to participate in sport and Recreation.

7.3 'Back to' courses and leagues will be developed in the following sports; Badminton, Football, Netball and Softball, together with a regular organised running/jogging group specifically for beginners. This will engage the employees interested in team sports and provide a "Back To" course to improve skills in a chosen sport and then apply them in a friendly league.

7.4 All new participants will be encouraged to sustain their participation by becoming permanent members of Active Workforce. This will enable the leagues and regular organised sessions to be maintained and also provide these new participants with additional activity opportunities. Alternative pathways to continue participation will also be available, specifically through links to local clubs (e.g. athletics club based at Litherland Sports Park), and through links to mainstream Active Sefton programmes.

7.5 The team will also focus on the engagement of new partner employers to maximize income generation and the impact of the programme across the borough.

8. RECOMMENDATION(S):

It is recommended that Members note the significant progress and development of the Active Workforce programme.

This page is intentionally left blank

Agenda Item 6

REPORT TO: Cabinet Member Corporate Services

DATE: 3 February 2010

SUBJECT: Finance & IS Department– Corporate Services
Portfolio Monitoring 2009/10 – Quarter 2

WARDS AFFECTED: All

REPORT OF: Lynton Green – Acting Finance and Information
Services Director

CONTACT OFFICER(S): Lynton Green John Farrell
0151 934 4096 0151 934 4339

EXEMPT/CONFIDENTIAL: No

PURPOSE/SUMMARY:

To inform the Cabinet Member of performance in relation to the Finance & Information Services Department element of the Corporate Services Portfolio's 2009/10 Departmental Service Plan, with particular reference to Quarter 2 2009/10.

REASON WHY DECISION REQUIRED:

As part of the performance management framework, the Cabinet Member is required to monitor performance.

RECOMMENDATIONS:

The Cabinet Member is asked to note the Quarter 2 position in respect of the portfolio's responsibilities within the Finance and Information Services Departmental Service Plan.

KEY DECISION: No

FORWARD PLAN: Not Appropriate

IMPLEMENTATION DATE: Following the expiry of the "call-in" period for the Minutes of this meeting.

Agenda Item 6

ALTERNATIVE OPTIONS:

None

IMPLICATIONS:

Budget/Policy Framework: This report reports on progress as part of the corporate performance management framework.

Financial:

	2009/10 £	2010/11 £	2011/12 £	2012/13 £
CAPITAL EXPENDITURE				
Gross Increase in Capital Expenditure				
Funded by:				
Sefton Capital Resources				
Specific Capital Resources				
REVENUE IMPLICATIONS				
Gross Increase in Revenue Expenditure				
Funded by:				
Sefton funded Resources				
Funded from External Resources				
Does the External Funding have an expiry date? Y/N	When?			
How will the service be funded post expiry?				

Legal: Not appropriate

Risk Assessment: Risk has been considered within all activities within the Departmental Service plan, and the Departmental Risk Register is considered on a quarterly basis by the Departmental Management Team.

Asset Management: Not appropriate

CONSULTATION UNDERTAKEN/VIEWS

None

CORPORATE OBJECTIVE MONITORING:

<u>Corporate Objective</u>		<u>Positive Impact</u>	<u>Neutral Impact</u>	<u>Negative Impact</u>
1	Creating a Learning Community	√		
2	Creating Safe Communities	√		
3	Jobs and Prosperity	√		
4	Improving Health and Well-Being	√		
5	Environmental Sustainability	√		
6	Creating Inclusive Communities	√		
7	Improving the Quality of Council Services and Strengthening local Democracy	√		
8	Children and Young People	√		

LIST OF BACKGROUND PAPERS RELIED UPON IN THE PREPARATION OF THIS REPORT

The Council's SPRINT (Sefton Performance Reporting and Information NeTwork) System

Agenda Item 6

1. **Background**

- 1.1. The 2009/10 Finance Departmental Service Plan (DSP) was approved by the Cabinet Member for Corporate Services on 29th April 2009. The purpose of this report is to update the Cabinet Member on performance against the Departmental Service Plan as at the end of Quarter 2 2009/10. This reporting frequency and approach has been recommended for all portfolio areas.
- 1.2. As part of performance management arrangements, all Departmental Service Plans, and Annual Service Plans are entered into the Council's SPRINT performance management system and officers are required to update progress within that system. Attached to this report is a copy of the Departmental Service Plan Quarter 2 updates on performance and activities.

2. **Service Achievements**

- 2.1. The key service achievements/issues over the last year can be summarised as follows:

2.2. **Major Service Review**

- (a) September 2009 saw the end of the first year of the contract between Sefton and arvato.
- (b) The services delivered by arvato are monitored monthly by a range of key performance indicators. All live key performance indicators have been met, there are a number of key performance indicators that are still subject to baselining and these are also carefully monitored with a view to them becoming live at a future date.
- (c) Key achievements for the period are
 - i. Completion of benchmarking for Transactional Services.
 - ii. Internal audit recommendations agreed and adopted for Accounts Payable.
 - iii. The creation of a dedicated arrears collection team to focus on Council Tax arrears
 - iv. The implementation of Government Connect.
 - v. The upgrade to the Council voice and data network infrastructure.

2.3. **Financial Management**

- (a) The 2008/09 Financial Accounts were closed and reported to the Audit and Governance Committee by the end of September 2009, in line with statutory timescales. The Accounts were approved with a clean bill of health from the Council's Auditor, PricewaterhouseCoopers.
- (b) Initial work has been undertaken on the introduction of the new International Financial Reporting Standards. Whilst the formal introduction is for the 2010/11 financial year, the 2009/10 Accounts also need to be re-stated in the new format. A significant amount of work will be required, over the coming months, from staff

not only within Finance, but also other Council departments and Capita Symonds. PricewaterhouseCoopers have assisted the Council in preparing an impact analysis to identify the key issues and the timescales for the Council.

- (c) The turmoil in the financial markets has resulted in additional work for the Treasury Management Team and produced significantly reduced investment returns for the Council. In order to ensure that the Council is fully prepared for the current climate, there have been changes to the Policy / Strategy of the Authority. Additional training of officers and Members has also been necessary, as has the need to expand the regularity of reporting to Cabinet / Audit and Governance Committee. In order that the Council has the ability to invest its temporary cash resources in as wide (but as secure) a range of institutions as possible, a number of new arrangements have been put in place with Money Market Funds. Despite these pressures, average investment returns have exceeded the standard benchmark target rate (7 day LIBID rate).

2.4. Central Purchasing Unit

- a) Adoption of E-Procurement System for Borough Schools
CPU has worked closely with the Department for Children, Schools and Families (DCSF) to implement an e-procurement solution for schools across the borough. This project was undertaken in partnership with Wirral MBC and preparations began during December 2008.

Following a series of consultation meetings with key internal staff within the ICT and payments sections of each borough, CPU and DCSF staff presented the solution to Sefton primary and secondary schools earlier this month at the school business forums.

The benefits of adopting such a system are as follows;

- It's free to use.
- Access to supplier catalogues typically realise savings of up to 30% v current expenditure.
- Enables schools to have seamless access to Sefton corporate contracts.
- Schools can undertake benchmarking with suppliers across the country at the touch of a button.
- Reduces the administrative burden to schools and eradicates the need to conduct purchases via costly paper exchange methods.
- It's extremely user friendly and is very similar to 'shopping on-line'.

Following presentations at the recent school business forums circa 90% of schools across the borough expressed an interest in signing up to the scheme through DCSF. It is envisage roll out will commence during the first quarter of the new calendar year.

- b) Adoption of Pro Contract Electronic Solution for Council Procurement Activity.

Agenda Item 6

CPU is rolling out the Pro Contract procurement solution across the authority. This was a collaborative project agreed with other Merseyside authorities. The solution eradicates the need for 'paper exchange' between Sefton officers and suppliers when business/contract opportunities are advertised/bid for.

Following the release of the Glover report in December 2008 all public sector bodies are required to implement an electronic portal solution when advertising business opportunities by the end of 2010. This reduces the cost of bidding in respect of suppliers, notably important for Small Businesses (SME's), and also improves the internal efficiencies of procurement operations among SMBC staff.

CPU has just gone live with the system and the solution will be rolled out across the authority during 2010.

2.5. Internal Audit

- a) Internal Audit work is separately reported quarterly to the Audit and Governance Committee. This allows for more regular reporting and monitoring of Internal Audit work and provides for greater Member input into reviewing the Council's control environment and in the formulation and review of the Annual Governance Statement.
- b) The review of the way Internal Audit works and supports the rest of the Council has been delayed to ensure it links with the Overall Budget Review currently in progress. This has been reported to Audit and Governance.

2.6. Claims and Administration

The Section continues to look for savings, and has successfully renewed all of the Council's insurance policies at reduced costs.

2.7. Specialised Transport Unit

Further actions have been taken to further minimise the financial, operational and management problems of the unit.

- a) A New Head of service has been recruited and started work at the beginning of September.
- b) A review of the taxi contracts has been undertaken and has been implemented during September at the beginning of the School Year – Initial indications are that this review of the contracts should reduce the taxi spend by approximately £100,000 in the current financial year.
- c) Overall indications are that spending for 2009/10 will remain flat or slightly increase in comparison with 2008/9. The efficiency improvements having been offset by inflation and an increase in demand for wheelchair and taxi places.

3. Corporate and Cross-Cutting Issues

- 3.1. **Equality** – An Equality Impact Assessment has commenced for Customer Services, Revenues and Benefits. The overarching assessment will result in 3 distinct action plans for each service. The assessment is due for completion at the end of quarter 3.
- 3.2. **Sickness** – sickness levels in the Department were 4.25% for the period April 2009 to October 2009. This is higher than the corporate target of 4% but an improvement on the 4.98% for the previous 12 months. Sickness is being closely managed with the support of personnel advice from the BSU. There have been a number of long-term sickness absences, which are being closely monitored, and the Council's Sickness Absence Procedures are being adhered to. In appropriate cases, advice is sought from the Occupational Health Unit.
- 3.3. **Sustainability** - The Department is continuing its commitment to the achievement of the requirements in relation to Sustainability. The roll out of Pro Contract procurement solution across the authority outlined in 2.4 (b) above is an example of proactive activity in this area.

4. Risks

- 4.1. The Finance Department has corporate responsibility for Risk Management, and responsibility for monitoring the Corporate Risk Register rests with the Audit and Governance Committee. This Committee considers the Corporate Risk Register on a quarterly basis, and was last reported on 16 December 2009.
- 4.2. The Corporate Risk Management policy and process is currently being reviewed as part of the Corporate Governance review, and a report detailing recommended changes to the overall Risk Management policy and strategy was presented to the Governance review on 22 December.

5. Recommendations

- 5.1. The Cabinet Member is asked to note the Quarter 2 position in respect of the portfolio's responsibilities within the Finance and Information Services Departmental Service Plan.

This page is intentionally left blank



SEFTON METROPOLITAN BOROUGH COUNCIL



Sefton's Performance Reporting and Information NeTwork (SPRINT)

Annual Service Plan Monitoring

Department: Finance and Information Services
Author: Policy and Performance
Print Date: 26/11/2009
File path: G:\CSU_DATA\SPRINT\10 Performance Reports\05 ASP\ASP Monitoring.rpt

Contract Monitoring

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-CM-AP-001 : Reconciliation of Financial and Contractual Commitments	John Farrell	Linda Price	31-Mar-2010	On Target
<u>Activities</u>	<u>Comments</u>	<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>
FIS-CM-AP-001.1 : Reconcile April Invoices & Statements of Work (PC's, Printers, Project Days & Telephony)		15-Apr-2009	Phil Breen	Completed
FIS-CM-AP-001.2 : Reconcile May Invoices & Statements of Work (PC's, Printers, Project Days & Telephony)		15-May-2009	Phil Breen	Completed
FIS-CM-AP-001.3 : Reconcile June Invoices & Statements of Work (PC's, Printers, Project Days & Telephony)		15-Jun-2009	Phil Breen	Completed
FIS-CM-AP-001.4 : Reconcile July Invoices & Statements of Work (PC's, Printers, Project Days & Telephony)		15-Jul-2009	Phil Breen	Completed
FIS-CM-AP-001.5 : Reconcile August Invoices & Statements of Work (PC's, Printers, Project Days & Telephony)		14-Apr-2009	Phil Breen	Completed
FIS-CM-AP-001.6 : Reconcile September Invoices & Statements of Work (PC's, Printers, Project Days & Telephony)		09-Sep-2009	Phil Breen	Completed
FIS-CM-AP-001.7 : Reconcile October Invoices & Statements of Work (PC's, Printers, Project Days & Telephony)		15-Oct-2009	Phil Breen	Not Started
FIS-CM-AP-001.8 : Reconcile November Invoices & Statements of Work (PC's, Printers, Project Days & Telephony)		16-Nov-2009	Phil Breen	Not Started
FIS-CM-AP-001.9 : Reconcile December Invoices & Statements of Work (PC's, Printers, Project Days & Telephony)		15-Dec-2009	Phil Breen	Not Started
FIS-CM-AP-001.10 : Reconcile January Invoices & Statements of Work (PC's, Printers, Project Days & Telephony)		15-Jan-2010	Phil Breen	Not Started

Agenda Item 6

<u>Activities</u>	<u>Comments</u>	<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>
FIS-CM-AP-001.11 : Reconcile February Invoices & Statements of Work (PC's, Printers, Project Days & Telephony)		16-Feb-2010	Phil Breen	Not Started
FIS-CM-AP-001.12 : Reconcile March Invoices & Statements of Work (PC's, Printers, Project Days & Telephony)		15-Mar-2010	Phil Breen	Not Started

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-CM-AP-002 : Record & Distribute Reports	John Farrell	Linda Price	31-Mar-2010	On Target
<u>Activities</u>	<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>	<u>Comments</u>
FIS-CM-AP-002.1 : Record & Distribute April Reports to FISOB (Create trend analysis)	18-May-2009	Phil Breen	Completed	
FIS-CM-AP-002.2 : Record & Distribute May Reports to FISOB (Create trend analysis)	22-Jun-2009	Phil Breen	Completed	
FIS-CM-AP-002.3 : Record & Distribute June Reports to FISOB (Create trend analysis)	20-Jul-2009	Phil Breen	Completed	
FIS-CM-AP-002.4 : Record & Distribute July Reports to FISOB (Create trend analysis)	24-Aug-2009	Phil Breen	Completed	
FIS-CM-AP-002.5 : Record & Distribute August Reports to FISOB (Create trend analysis)	21-Sep-2009	Phil Breen	Completed	
FIS-CM-AP-002.6 : Record & Distribute September Reports to FISOB (Create trend analysis)	19-Oct-2009	Phil Breen	Completed	
FIS-CM-AP-002.7 : Record & Distribute October Reports to FISOB (Create trend analysis)	11-Nov-2009	Phil Breen	Not Started	
FIS-CM-AP-002.8 : Record & Distribute November Reports to FISOB (Create trend analysis)	14-Dec-2009	Phil Breen	Not Started	
FIS-CM-AP-002.9 : Record & Distribute December Reports to FISOB (Create trend analysis)	18-Jan-2010	Phil Breen	Not Started	
FIS-CM-AP-002.10 : Record & Distribute January Reports to FISOB (Create trend analysis)	22-Feb-2010	Phil Breen	Not Started	
FIS-CM-AP-002.11 : Record & Distribute February Reports to FISOB (Create trend analysis)	22-Mar-2010	Phil Breen	Not Started	
FIS-CM-AP-002.12 : Record & Distribute March Reports to FISOB (Create trend analysis)	19-Mar-2010	Phil Breen	Not Started	
FIS-CM-AP-002.13 : Record & Distribute Quarter 1-Ending June 09 Partnership Report	30-Jun-2009	Phil Breen	Completed	

Agenda Item 6

<u>Activities</u>	<u>Comments</u>	<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>
FIS-CM-AP-002.14 : Record & Distribute Quarter 2-Ending September 09 Partnership Report		30-Sep-2009	Phil Breen	Completed
FIS-CM-AP-002.15 : Record & Distribute Quarter 3- Ending December 09 Partnership Report		31-Dec-2009	Phil Breen	Not Started
FIS-CM-AP-002.16 : Record & Distribute Quarter 4- Ending March 10 Partnership Report		31-Mar-2010	Phil Breen	Not Started

Action	Authorising Officer	Lead Officer	Deadline	Status
FIS-CM-AP-003 : Provide generic quality assurance service ensuring compliance with the contract	John Farrell	Linda Price	31-Mar-2010	On Target

Activities	Comments	Deadline	Lead Officer	Status
FIS-CM-AP-003.1 : Prepare and distribute analysis report of KPI assurance checks (monthly)	50% Complete	31-Mar-2010	Angela Ellis	On Target
FIS-CM-AP-003.2 : Prepare and distribute analysis report of correspondence, FOI, Data Protection requests (monthly)	50% Complete	31-Mar-2010	Angela Ellis	On Target
FIS-CM-AP-003.3 : Validate sample check of reports submitted by service provider (monthly)	50% Complete	31-Mar-2010	Angela Ellis	On Target

Customer Services

Action	Authorising Officer	Lead Officer	Deadline	Status
FIS-CS-AP-001 : Web strategy	John Farrell	Janet Barry	31-Mar-2010	On Target

<u>Activities</u>	<u>Comments</u>	<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>
FIS-CS-AP-001.1 : Update strategy		15-Apr-2009	Melissa Levitt	Completed
FIS-CS-AP-001.2 : Attain approval of strategy at CCEB	CCEB to be scheduled in November	31-Aug-2009	Melissa Levitt	On Hold
FIS-CS-AP-001.3 : Publish strategy		30-Sep-2009	Melissa Levitt	Not Started
FIS-CS-AP-001.4 Conduct EIA on Web Strategy		31-Dec-2009	Janet Barry	Not Started

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-CS-AP-002 : Register of activities for website	John Farrell	Janet Barry	31-Mar-2010	On Target
<u>Activities</u>	<u>Comments</u>	<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>
FIS-CS-AP-002.1 : Update register		31-Mar-2010	Melissa Levitt	On Target
FIS-CS-AP-002.2 : Report latest guidance from central Government and other local authority websites		31-Mar-2010	Melissa Levitt	On Target
FIS-CS-AP-002.3 : Chair discussion at data owners working groups		31-Mar-2010	Melissa Levitt	On Target
FIS-CS-AP-002.4 : Report developments from North West Immediacy group		31-Mar-2010	Melissa Levitt	On Target
FIS-CS-AP-002.5 : Report on actions from comments received on Website		31-Mar-2010	Janet Barry	On Target

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-CS-AP-003 : Review content and functionality of website	John Farrell	Janet Barry	31-Mar-2010	On Target

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-CS-AP-004 : Review and monitor kiosk usage	John Farrell	Janet Barry	31-Mar-2010	On Target
<u>Activities</u>	<u>Comments</u>	<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>
FIS-CS-AP-004.1 : Report on kiosk performance		30-Apr-2009	Melissa Levitt	Completed
FIS-CS-AP-004.2 : Report on kiosk performance		29-May-2009	Melissa Levitt	Completed
FIS-CS-AP-004.3 : Report on kiosk performance	LSC HAC Orrell Library Litherland Library Southport OSS Bootle OSS	26-Jun-2009	Melissa Levitt	Completed
FIS-CS-AP-004.4 : Report on kiosk performance		31-Jul-2009	Melissa Levitt	Completed
FIS-CS-AP-004.5 : Report on kiosk performance		31-Aug-2009	Melissa Levitt	Completed
FIS-CS-AP-004.6 : Report on kiosk performance		30-Sep-2009	Melissa Levitt	Completed
FIS-CS-AP-004.7 : Report on kiosk performance		30-Oct-2009	Melissa Levitt	Not Started
FIS-CS-AP-004.8 : Report on kiosk performance		30-Nov-2009	Melissa Levitt	Not Started
FIS-CS-AP-004.9 : Report on kiosk performance		31-Dec-2009	Melissa Levitt	Not Started
FIS-CS-AP-004.10 : Report on kiosk performance		29-Jan-2010	Melissa Levitt	Not Started
FIS-CS-AP-004.11 : Report on kiosk performance		26-Feb-2010	Melissa Levitt	Not Started
FIS-CS-AP-004.12 : Report on kiosk performance		31-Mar-2010	Melissa Levitt	Not Started

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-CS-AP-005 : Conduct study into social networking	John Farrell	Janet Barry	31-Mar-2010	On Target
<u>Activities</u>	<u>Comments</u>	<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>
FIS-CS-AP-005.1 : Monitor and review Active Sefton Facebook advert proposal		31-Mar-2010	Melissa Levitt	On Target
FIS-CS-AP-005.2 : Contact other authorities to assess impact of social networking		30-Sep-2009	Melissa Levitt	On Hold
FIS-CS-AP-005.3 : Draw up report on social networking		30-Sep-2009	Melissa Levitt	On Hold
FIS-CS-AP-005.4 : Present to CCEB		30-Oct-2009	Janet Barry	On Hold

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-CS-AP-006 : Conduct study into template development	John Farrell	Janet Barry	31-Mar-2010	On Target
<u>Activities</u>	<u>Comments</u>	<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>
FIS-CS-AP-006.1 : Report on Myspace2breathe template development		31-Jul-2009	Melissa Levitt	Completed
FIS-CS-AP-006.2 : Report on Myspace2breathe template development		30-Sep-2009	Melissa Levitt	Completed
FIS-CS-AP-006.3 : Report on Southport Cycle Town template development		31-Jul-2009	Melissa Levitt	Completed
FIS-CS-AP-006.4 : Report on Southport Cycle Town template development		30-Sep-2009	Melissa Levitt	Completed
FIS-CS-AP-006.5 : Assess effectiveness of templates		30-Sep-2009	Melissa Levitt	Completed
FIS-CS-AP-006.6 : Report on review of request for Southport Eco Centre template		31-Jul-2009	Melissa Levitt	Completed
FIS-CS-AP-006.7 : Report on review of request for Southport Eco Centre template		30-Sep-2009	Melissa Levitt	Completed
FIS-CS-AP-006.8 : Report on monitoring request for template/site for Safer Stronger Communities		31-Jul-2009	Melissa Levitt	Completed
FIS-CS-AP-006.9 : Report on monitoring request for template/site for Safer Stronger Communities		30-Sep-2009	Melissa Levitt	Completed
FIS-CS-AP-006.10 : Report on priority areas for development including resources required		30-Sep-2009	Melissa Levitt	Completed
FIS-CS-AP-006.11 : Complete study including recommendations for moving forward		30-Sep-2009	Melissa Levitt	Completed
FIS-CS-AP-006.12 : Present to CCEB		30-Oct-2009	Janet Barry	Not Started

Action	Authorising Officer	Lead Officer	Deadline	Status
FIS-CS-AP-007 : Conduct study into template development	John Farrell	Janet Barry	31-Mar-2010	On Target

Activities	Deadline	Lead Officer	Status
FIS-CS-AP-007.1 : Assess and report on quality of existing intranet site,	31-Jul-2009	Melissa Levitt	Completed
FIS-CS-AP-007.2 : Assess and report on usage of existing intranet site.	31-Aug-2009	Melissa Levitt	Completed
FIS-CS-AP-007.3 : Report on discussion with data owners for their ideas on intranet development	31-Aug-2009	Melissa Levitt	Completed
FIS-CS-AP-007.4 : Report on research of other intranet designs from Immediacy user group	31-Aug-2009	Melissa Levitt	Completed
FIS-CS-AP-007.5 : Report on priority areas for development requiring resources required	31-Aug-2009	Melissa Levitt	Completed
FIS-CS-AP-007.6 : Complete study including recommendations for moving forward	30-Sep-2009	Melissa Levitt	Completed

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-CS-AP-008 : Improve the % of customers who are fairly or very satisfied with the service provided by Sefton Plus	John Farrell	Janet Barry	31-Mar-2010	On Target
Activities				
FIS-CS-AP-008.1 : Set meetings to discuss, and finalise PI definitions for CS1 and CS2		Janet Barry	30-Jun-2009	Completed
FIS-CS-AP-008.2 : Set up meetings to agree and set PI targets for CS1 and CS2		Janet Barry	30-Jun-2009	Completed
FIS-CS-AP-008.3 : Agree content and commission customer satisfaction survey	Comments Contacted Mott MacDonald to provisionally book time slot first two weeks in October. Further Meeting to be held in early August to obtain costs and agree content.	Janet Barry	30-Sep-2009	Completed
FIS-CS-AP-008.4 : Conduct customer satisfaction survey		Janet Barry	31-Dec-2009	On Target
FIS-CS-AP-008.5 : Publish report on findings from survey, identify and agree actions		Janet Barry	31-Mar-2010	Not Started
FIS-CS-AP-008.6 : Publish PI performance		Janet Barry	31-Mar-2010	Not Started

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-CS-AP-009 : Reducing avoidable contact	John Farrell	Janet Barry	31-Mar-2010	On Target
Activities	Comments	Deadline	Lead Officer	Status
FIS-CS-AP-009.1 : Following national guidance, ensure data collection requirements are in place.		31-Mar-2010	Kurt Goldman	Completed
FIS-CS-AP-009.2 : Set data sample collection period	Provisional date set for September to monitor progress	31-Mar-2010	Janet Barry	On Target
FIS-CS-AP-009.3 : Set up working group meetings		31-Mar-2010	Janet Barry	On Target
FIS-CS-AP-009.4 : Ensure data is being recorded		31-Mar-2010	Kurt Goldman	Not Started
FIS-CS-AP-009.5 : Publish report on data		31-Mar-2010	Janet Barry	Not Started
FIS-CS-AP-009.6 : Ensure action plans are in place where required	Action plans resulting from the exercise undertaken in February have been written and are held under NI14 within SPRINT	31-Mar-2010	Janet Barry	On Target

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-CS-AP-010 : Develop diversity work through the delivery of services across all channels for all customers regardless of their personal circumstances	John Farrell	Kurt Goldman	31-Mar-2010	On Target
Activities				
Comments				
FIS-CS-AP-010.1 : Attend Equality partnership meetings	Meetings attended. Additional meeting attended to move forward monitoring for this year	Janet Barry	31-Mar-2010	On Target
FIS-CS-AP-010.2 : Ensure all policy changes are implemented	Ruth Austin Vincent has made recommendations to improve our accessibility to services for hard to reach groups. Hate crime reporting to be promoted more actively.	Janet Barry	31-Mar-2010	On Target
FIS-CS-AP-010.3 : Ensure EIA action plan is adhered to	Kurt Goldman to undertake EIA review.	Janet Barry	31-Mar-2010	On Target
FIS-CS-AP-010.4 : Meet the Directorate activity to take for Customer Centric Services	Following meeting with Andy Woods, a meet the directorate event will take place in October, with representatives from the ability network.	Kurt Goldman	31-Oct-2009	On Target

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-CS-AP-011 : Develop staff skills	John Farrell	Janet Barry	31-Mar-2010	On Target
<u>Activities</u>				
FIS-CS-AP-011.1 : Maintain skills matrix			<u>Deadline</u>	<u>Status</u>
	<u>Comments</u>			
	Skills audit undertaken to develop skills matrix	31-Mar-2010	Kurt Goldman	On Target
FIS-CS-AP-011.2 : Maintain staff development plans	Includes elements of performance as indicated from report for CIP AN16. Aligning staff work patterns to call arrival patterns	31-Mar-2010	Kurt Goldman	On Target

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-CS-AP-012 : Develop existing services accessed through Sefton Plus	John Farrell	Kurt Goldman	31-Mar-2010	On Target
<u>Activities</u>				
FIS-CS-AP-012.1 : Attend quarterly meetings with service area			31-Mar-2010	On Target
FIS-CS-AP-012.2 : Assess service delivery for services	Service reviewed at each quarterly meeting		31-Mar-2010	On Target
FIS-CS-AP-012.3 : Implement changes resulting from service meetings			31-Mar-2010	On Target
FIS-CA-AP-012.4 : Develop Quality Reporting Mechanism - CIP AN10	Protocol has been drafted for agreement.		31-Aug-2009	Completed
	Workshops to be set up with outcomes Full understanding of protocols and reasons for it Full support and agreement to follow protocol Agreed mechanism to report problems and issues		Janet Barry	

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-CS-AP-013 : Develop the performance management framework for the delivery of customer services	John Farrell	Kurt Goldman	31-Mar-2010	On Target
Activities				
	Comments	Deadline	Lead Officer	Status
FIS-CS-AP-013.1 : Report against established KPI monthly	All KPI currently on target	31-Mar-2010	Kurt Goldman	On Target
FIS-CS-AP-013.2 : Report against established PIs annually	Two annual KPI now established	31-Mar-2010	Kurt Goldman	On Target
FIS-CS-AP-013.3 : Review reporting mechanism		30-Sep-2009	Kurt Goldman	Completed

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-CS-AP-014 : Expand the range of services accessible to customers through Sefton Plus	John Farrell	Janet Barry	31-Mar-2010	On Target
Activities				
FIS-CS-AP-014.1 : Agree a prioritised service take on schedule		Janet Barry	30-Apr-2009	Completed
FIS-CS-AP-014.2 : Agree project days required	First service to be moved into Sefton Plus Contact Centre will be SplashWorld. Development time agreed.	Janet Barry	31-Mar-2010	On Target
FIS-CS-AP-014.3 : Report progress on service take on within agreed schedule	No further development days have been required yet	Janet Barry	30-Jun-2009	Completed
FIS-CS-AP-014.4 : Report progress on service take on within agreed schedule	ContactPoint service now fully operational	Janet Barry	30-Sep-2009	Completed
S-AP-014.5 : Report progress on service take on within agreed schedule	SplashWorld calls now being taken through Contact Centre during office hours (8.00 am to 18.00 pm)	Janet Barry	31-Dec-2009	Not Started
S-AP-014.6 : Report progress on service take on within agreed schedule		Janet Barry	31-Mar-2010	Not Started

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-CS-AP-015 : Customer Access Strategy	John Farrell	Janet Barry	31-Mar-2010	On Target
Activities	Comments	Deadline	Lead Officer	Status
FIS-CS-AP-015.1 : Set out draft Customer Access Strategy		31-May-2009	Janet Barry	Completed
FIS-CS-AP-015.2 : Obtain officer approval for Customer Access Strategy	Strategy currently with John Farrell for approval and progression	30-Sep-2009	Janet Barry	On Target
FIS-CS-AP-015.3 : Consider public consultation on Customer Access Strategy	Strategy document has been shared with Margaret Carney. A progress plan will be in place by 31.12.09	30-Sep-2009	Janet Barry	Delayed
FIS-CS-AP-015.4 : obtain member approval for Customer Access Strategy		31-Oct-2009	Janet Barry	Delayed
FIS-AP-015.5 : Conduct EIA on Customer Access Strategy		30-Oct-2009	Janet Barry	Not Started
FIS-AP-015.6 : Publish Customer Access Strategy		30-Nov-2009	Janet Barry	Not Started

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-CS-AP-016 : Contract/relationship management	John Farrell	Janet Barry	31-Mar-2010	On Target
Activities		Lead Officer	Deadline	Status
FIS-CS-AP-016.1 : Reporting performance against CS KPI	Quarter 1 April - June, all KPIs met target July - September, all KPIs met target	Janet Barry	31-Mar-2010	On Target
FIS-CS-AP-016.2 : Reporting progress against CS CIP	Quarter 1 CIP projects are progressing, some slippage may be experienced due to pressure of work in first year of contract.	Janet Barry	31-Mar-2010	On Target
FIS-CS-AP-016.3 : Update service area on developments	Quarter 1 Regular meetings have been set up with service areas to discuss issues. Any issues/projects requiring approval are raised at CCEB	Janet Barry	31-Mar-2010	On Target
	Quarter 2 No further progress made, pending access strategy approval, will be obtained in quarter 3			
FIS-CS-AP-016.4 : Relationship management for Transactional HR and Payroll	Quarter 1 Any issues requiring buy in from retained staff are dealt with through arranging meetings and workshops	Janet Barry	31-Mar-2010	On Target
	Quarter 2 2 workshops held to find solutions with problems generated by feeder systems			

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-CS-AP-017 : NI14	John Farrell	Janet Barry	31-Mar-2010	On Target
<u>Activities</u>	<u>Comments</u>	<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>
FIS-CS-AP-017.1 : NI14 working group meetings	Arrange and chair working group meetings	31-Mar-2010	Janet Barry	On Target
FIS-CS-AP-017.2 : Monitor service action plans	Next meeting scheduled for November 2009 Action plans can be found as uploaded documents under additional information on NI14 national indicator. Plan progress will be reported at next NI14 working group.	31-Mar-2010	Janet Barry	On Target
FIS-CS-AP-017.3 : Data capturing	Due to take place February 2010	31-Mar-2010	Janet Barry	Not Started
FIS-CS-AP-017.4 : Performance reporting	Corporate reporting against target is required on an annual basis.	31-Mar-2010	Janet Barry	Not Started

Agenda Item 6

Indicator	Description	Preferred Outcome	Frequency of collection	2008/09 Actual	2009/10 Q3 Estimate	2009/10 Q3 Actual	2009/10 Target	2009/10 Projection	Target to be achieved?
NI 014	Avoidable contact: The average number, of customer contacts per received customer request	Lower	Annual	11.75%					No Data

Finance Transactional Services Client

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-TS-AP-001 : Deliver & Improve the Business Rate Collection service in accordance with relevant legislation				
Activities				
FIS-TS-AP-001.1 Administer Business Rate Collection Service (Measured by KPI)	John Farrell	Christine Finnigan	30-Jun-2009	Completed
<p>Target will be set end of July - data being collated & from Government regarding impact on change to empty property rates & Docks billing.</p> <p>Target has been set - revised KPI in place & monitored - 15.10.09.</p>				
FIS-TS-AP-001.2 Administer Business Rate Collection Service (Measured by KPI)		Christine Finnigan	30-Sep-2009	Completed
<p>Revised KPI - altered to 3 & removed Docks collection to separate KPI.</p> <p>Target met for this period.</p>				
FIS-TS-AP-001.3 Administer Business Rate Collection Service (Measured by KPI)		Christine Finnigan	31-Dec-2009	On Target
FIS-TS-AP-001.4 Administer Business Rate Collection Service (Measured by KPI)		Christine Finnigan	31-Mar-2010	On Target
FIS-TS-AP-001.5 Action Internal Audit Requirements		Christine Finnigan	31-Mar-2010	On Target
FIS-TS-AP-001.6 Prepare for Pericles Migration		Christine Finnigan	31-Mar-2010	On Target
FIS-TS-AP-001.7 Achieve CIP Programme Year 1		Christine Finnigan	31-Mar-2010	Completed
<p>Targets & milestones not yet agreed - in negotiations phase.</p> <p>CIP programme under review - revised programme to be submitted by Customer Centric Service Manager - review date 22.07.09</p> <p>Agreed actions completed in year 1 programme.</p>				
FIS-TS-AP-001.8 Complete CIPFA Benchmarking to Client		Christine Finnigan	05-Jun-2009	Completed
FIS-TS-AP-001.9 CIPFA comparator questionnaire to Client		Christine Finnigan	24-Jul-2009	Completed
<p>Data provided & results.</p> <p>Client will arrange date to discuss best practice ideas for service.</p>				

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-TS-AP-002 : Deliver & Improve the Council's Sundry Income Collection service	John Farrell	Christine Finnigan	31-Mar-2010	On Target
Activities		Lead Officer	Deadline	Status
FIS-TS-AP-002.1 : Administer Sundry Income Collection Service (Measured by KPI)		Gary Davies	30-Jun-2009	Completed
FIS-TS-AP-002.2 : Administer Sundry Income Collection Service (Measured by KPI)		Gary Davies	30-Sep-2009	Completed
FIS-TS-AP-002.3 : Administer Sundry Income Collection Service (Measured by KPI)		Gary Davies	31-Dec-2009	On Target
FIS-TS-AP-002.4 : Administer Sundry Income Collection Service (Measured by KPI)		Gary Davies	31-Mar-2010	On Target
FIS-TS-AP-002.5 : Action Internal Audit Requirements		Mark Barry	31-Mar-2010	On Target
FIS-TS-AP-002.6 : Prepare for Pericles Migration		Mark Barry	31-Mar-2010	On Target
FIS-TS-AP-002.7 : Achieve CIP Programme Year 1		Mark Barry	31-Mar-2010	Completed
FIS-TS-AP-002.8 : Complete CIPFA Benchmarking to Client		Mark Barry	15-May-2009	Completed
FIS-TS-AP-002.9 : CIPFA comparator questionnaire to Client		Mark Barry	31-Mar-2010	Completed
Comments				
	Waiting for actions from I audit.			
	work commenced in areas.			
	No targets or milestones set - in negotiation stage			
	Require updated CIP programme from Customer Centric Service Manager - review date 22.07.09			
	Arrears review completed within year 1. Next step will be business plan.			
	Draft report received from CipFa - next stage comparators reports.			
	Data provided to Client - now looking at best practice for service improvement.			

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-TS-AP-003 : Provide a Benefit Fraud investigation Service	John Farrell	Christine Finnigan	31-Mar-2010	On Target
<u>Activities</u>	<u>Comments</u>	<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>
FIS-TS-AP-003.1 : Reduce Fraud & error - monitored by achieving KPI's		30-Jun-2009	Pete Jenner	Completed
FIS-TS-AP-003.2 : Reduce Fraud & error - monitored by achieving KPI's	KPI targets achieved for this period	30-Sep-2009	Pete Jenner	Completed
FIS-TS-AP-003.3 : Reduce Fraud & error - monitored by achieving KPI's		31-Dec-2009	Pete Jenner	On Target
FIS-TS-AP-003.4 : Reduce Fraud & error - monitored by achieving KPI's		31-Mar-2010	Pete Jenner	On Target

Financial Management

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-FINMAN-AP-001 : Monthly revenue budget monitoring	Lynton Green	Mike Martin	31-Mar-2010	On Target
Activities	Comments	Deadline	Lead Officer	Status
FIS-FINMAN-AP-001.1 : Production of monitoring reports from Oracle FMS	Monitoring reports continue to be run monthly	30-Jun-2009	Kevin McBlain	Completed
FIS-FINMAN-AP-002.1 : Quarterly written reports to Cabinet Members		30-Jun-2009	Kevin McBlain	Completed
FIS-FINMAN-AP-002.2 : Quarterly written reports to Cabinet Members	Some 2nd quarter reports will be presented during Oct/Nov	30-Sep-2009	Kevin McBlain	On Target
FIS-FINMAN-AP-002.3 : Quarterly written reports to Cabinet Members		31-Dec-2009	Kevin McBlain	Not Started
FIS-FINMAN-AP-002.4 : Quarterly written reports to Cabinet Members		31-Mar-2010	Kevin McBlain	Not Started
FIS-FINMAN-AP-001.2 : Production of monitoring reports from Oracle FMS		30-Sep-2009	Kevin McBlain	Completed
FIS-FINMAN-AP-001.3 : Production of monitoring reports from Oracle FMS		31-Dec-2009	Kevin McBlain	Not Started
FIS-FINMAN-AP-001.4 : Production of monitoring reports from Oracle FMS		31-Mar-2010	Kevin McBlain	Not Started
Progress Summary				
<u>Period</u>	<u>Action Plan Status</u>	<u>% Complete</u>		
Quarter 2	On Target	50		

Action	Authorising Officer	Lead Officer	Deadline	Status
FIS-FINMAN-AP-002 : Monthly capital programme monitoring	Lynton Green	Mike Martin	31-Mar-2010	On Target

Activities	Deadline	Lead Officer	Status
FIS-FINMAN-AP-002.1 : Production of monitoring reports from Oracle FMS	30-Jun-2009	Mike Martin	Completed
FIS-FINMAN-AP-002.5 : Quarterly written reports to Cabinet	30-Jun-2009	Mike Martin	Completed
FIS-FINMAN-AP-002.2 : Production of monitoring reports from Oracle FMS	30-Sep-2009	Mike Martin	On Target
FIS-FINMAN-AP-002.3 : Production of monitoring reports from Oracle FMS	31-Dec-2009	Mike Martin	Not Started
FIS-FINMAN-AP-002.4 : Production of monitoring reports from Oracle FMS	31-Mar-2010	Mike Martin	Not Started
FIS-FINMAN-AP-002.6 : Quarterly written reports to Cabinet	30-Sep-2009	Mike Martin	Completed
FIS-FINMAN-AP-002.7 : Quarterly written reports to Cabinet	31-Dec-2009	Mike Martin	Not Started
FIS-FINMAN-AP-002.8 : Quarterly written reports to Cabinet	31-Mar-2010	Mike Martin	Not Started

Progress Summary		
Period	Action Plan Status	% Complete
Quarter 2	On Target	50

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-FINMAN-AP-003 : Closure of Accounts	Lynton Green	Mike Martin	01-Jun-2009	Completed
<u>Activities</u>				
FIS-FINMAN-AP-003.1 : Physical closure of all ledgers		Mike Martin	01-Jun-2009	Completed
FIS-FINMAN-AP-003.2 : Preparation of statement of account pro forma information		Mike Martin	01-Jun-2009	Completed
FIS-FINMAN-AP-003.3 : Preparation of statistical returns		Mike Martin	01-Jun-2009	Completed
FIS-FINMAN-AP-003.4 : Preparation of grant claims		Mike Martin	01-Jun-2009	Completed
FIS-FINMAN-AP-003.5 : Completion of outturn reports to Cabinet Member outturn reports		Mike Martin	01-Jun-2009	Completed
<u>Comments</u>				

<u>Press Summary</u>	<u>Action Plan Status</u>	<u>% Complete</u>
Item 2	Completed	100

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-FINMAN-AP-004 : Revenue Budget Preparation	Lynton Green	Mike Martin	31-Mar-2010	On Target
<u>Activities</u>	<u>Comments</u>	<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>
FIS-FINMAN-AP-004.1 : Reformating departmental budgets within the notified cash envelope		31-Mar-2010	Mike Martin	Not Started
FIS-FINMAN-AP-004.2 : Input of agreed detailed budgets into Oracle FMS		31-Mar-2010	Mike Martin	Not Started
FIS-FINMAN-AP-004.3 : Completion of Statistical Returns		31-Mar-2010	Mike Martin	Not Started

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-FINMAN-AP-005 : Capital Programme Preparation	Lynton Green	Mike Martin	31-Mar-2010	On Target
<u>Activities</u>	<u>Comments</u>	<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>
FIS-FINMAN-AP-005.1 : Review of phasing of current year's capital programme		31-Mar-2010	Mike Martin	On Target
FIS-FINMAN-AP-005.2 : Preparation of new start capital programme report to SAMG and Cabinet		31-Mar-2010	Mike Martin	Not Started
FIS-FINMAN-AP-005.3 : Evaluate capital allocation notifications		31-Mar-2010	Mike Martin	Not Started

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-FINMAN-AP-006 : Financial advice to Departments	Lynton Green	Mike Martin	31-Mar-2010	On Target

<u>Activities</u>	<u>Comments</u>	<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>
FIS-FINMAN-AP-006.1 : Engagement in working groups and Departmental management teams		31-Mar-2010	Mike Martin	On Target
FIS-FINMAN-AP-006.2 : Appraisal of Consultants reports, scheme proposals or speculative/aspirational proposals		31-Mar-2010	Mike Martin	On Target
FIS-FINMAN-AP-006.3 : Completion of Statistical Returns		31-Mar-2010	Mike Martin	Not Started

<u>Progress Summary</u>			
<u>Field</u>	<u>Action Plan Status</u>	<u>% Complete</u>	
Character 2	On Target	50	

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-FINMAN-AP-007 : Provision of the Treasury Management and Banking Function	Lynton Green	Jeff Kenah	31-Mar-2010	On Target
<u>Activities</u>				
FIS-FINMAN-AP-007.1 : Treasury Management Policy & Strategy – Monitoring compliance with the TM Policy & Strategy 2009/10		Jeff Kenah	31-Mar-2010	On Target
FIS-FINMAN-AP-007.2 : Treasury Management Policy & Strategy – comparison of investment performance against LIBID 7 day Benchmark rate		Jeff Kenah	31-Mar-2010	On Target
FIS-FINMAN-AP-007.3 : Treasury Management Policy & Strategy – Annual review of performance 2008/09		Jeff Kenah	31-Jul-2009	Completed
FIS-FINMAN-AP-007.4 : Treasury Management Policy & Strategy – Preparation of Policy & Strategy 2010/11		Jeff Kenah	28-Feb-2010	Not Started
FIS-FINMAN-AP-007.5 : Prudential Code - Monitoring of performance 2009/10		Jeff Kenah	31-Mar-2010	On Target
FIS-FINMAN-AP-007.6 : Prudential Code - Annual review of performance 2008/09		Jeff Kenah	31-Jul-2009	Completed
FIS-FINMAN-AP-007.7 : Prudential Code - Preparation of Code 2010/11		Jeff Kenah	28-Feb-2010	Not Started
<u>Progress Summary</u>				
<u>Period</u>	<u>Action Plan Status</u>	<u>% Complete</u>		
Quarter 2	On Target	50		

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-FINMAN-AP-008 : Preparation of MTFP / Budget and Council Tax Setting	Lynton Green	Jeff Kenah	31-Mar-2010	On Target
<u>Activities</u>		<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-FINMAN-AP-008.1 : MTFP / Budget update reports to Cabinet		Jeff Kenah	31-Mar-2010	On Target
FIS-FINMAN-AP-008.2 : Council Tax Setting		Jeff Kenah	31-Mar-2010	Not Started
FIS-FINMAN-AP-008.3 : Statistical Returns (RA Forms, BR1)		Jeff Kenah	31-Mar-2010	On Target

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-FINMAN-AP-009 : Corporate Budget Monitoring function				
	Lynton Green	Jeff Kenah	31-Mar-2010	On Target
<u>Activities</u>	<u>Comments</u>	<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>
FIS-FINMAN-009.1 : Compilation of corporate budget monitoring		31-Jul-2009	Jeff Kenah	Completed
FIS-FINMAN-009.2.1 : Reporting to the Leaders Meeting		31-Jul-2009	Jeff Kenah	On Target
FIS-FINMAN-009.3.1 : Reporting to Cabinet		31-Jul-2009	Jeff Kenah	On Target
FIS-FINMAN-009.2 : Compilation of corporate budget monitoring		31-Oct-2009	Jeff Kenah	On Target
FIS-FINMAN-009.3 : Compilation of corporate budget monitoring		31-Jan-2010	Jeff Kenah	Not Started
FIS-FINMAN-009.4 : Compilation of corporate budget monitoring		31-Mar-2010	Jeff Kenah	Not Started
FIS-FINMAN-009.2.2 : Reporting to the Leaders Meeting		31-Oct-2009	Jeff Kenah	On Target
FIS-FINMAN-009.2.3 : Reporting to the Leaders Meeting		31-Jan-2010	Jeff Kenah	Not Started
FIS-FINMAN-009.2.4 : Reporting to the Leaders Meeting		31-Mar-2010	Jeff Kenah	Not Started
FIS-FINMAN-009.3.2 : Reporting to Cabinet		31-Oct-2009	Jeff Kenah	Not Started
FIS-FINMAN-009.3.3 : Reporting to Cabinet		31-Jan-2010	Jeff Kenah	Not Started
FIS-FINMAN-009.3.4 : Reporting to Cabinet		31-Mar-2010	Jeff Kenah	Not Started
Progress Summary				
<u>Period</u>	<u>Action Plan Status</u>	<u>% Complete</u>		
Quarter 2	On Target	50		

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-FINMAN-AP-010 : VAT Accounting	Lynton Green	Jeff Kenah	31-Mar-2010	On Target

<u>Activities</u>	<u>Comments</u>	<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>
FIS-FINMAN-AP-010.1 : Completion of monthly return		31-Mar-2010	Jeff Kenah	On Target
FIS-FINMAN-AP-010.2 : Monitoring of Partial Exemption position		30-Sep-2009	Jeff Kenah	On Target
FIS-FINMAN-AP-010.3 : Provision of VAT advice / support		31-Mar-2010	Jeff Kenah	On Target

<u>Progress Summary</u>		
<u>Period</u>	<u>Action Plan Status</u>	<u>% Complete</u>
Quarter 2	On Target	50

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-FINMAN-AP-011 : Corporate Closure of the Accounts	Lynton Green	Jeff Kenah	31-Mar-2010	On Target
Activities	Comments	Deadline	Lead Officer	Status
FIS-FINMAN-AP-011.1 : Preparation of working papers / supporting documents		31-Mar-2010	Jeff Kenah	Activities
FIS-FINMAN-AP-011.2 : Production of Draft Statement of Accounts and Executive Summary for Audit & Governance Committee		30-Jun-2009	Jeff Kenah	Completed
FIS-FINMAN-AP-011.3 : Preparation of Budget Outturn report to Cabinet		31-Jul-2009	Jeff Kenah	Completed
FIS-FINMAN-AP-011.4 : Preparation of Statistical returns (RA Forms)		31-Jul-2009	Jeff Kenah	Completed
FIS-FINMAN-AP-011.5 : Preparation of Statistical returns (RA Forms)		30-Sep-2009	Jeff Kenah	Completed
Press Summary				
Quarter 2	Action Plan Status	% Complete		
	On Target	90		

ICT& Support

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-ICT-AP-001 : Customer Contact Strategy	John Farrell	Linda Price	31-Mar-2010	On Target
<u>Activities</u>	<u>Comments</u>	<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>
FIS-ICT-AP-001.1 : Attend the regular meetings of the Customer Contact Strategy board	There have not been any meetings of the board during this period	31-Mar-2010	Linda Price	On Target
FIS-ICT-AP-001.2 : Continue to manage successive phases of the CRM implementation in accordance with project plans.	50% Complete	31-Mar-2010	Jan Wemmel	On Target
FIS-ICT-AP-001.3 : Implement the Northgate Front Office Upgrade to version 3	50% Complete	31-Mar-2010	Jan Wemmel	On Target

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-ICT-AP-002 : Support The Council's Accommodation Strategy	John Farrell	Linda Price	31-Mar-2010	On Target
<u>Activities</u>	<u>Comments</u>	<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>
FIS-ICT-AP-002.1 : IT element will be managed by a skilled project manager (Bob Fitt)	On target 50%	31-Mar-2010	Jan Wemmel	On Target
FIS-ICT-AP-002.2 : Provide Technical Staff to assist in the removal and set-up of IT equipment	On target 50%	31-Mar-2010	Jan Wemmel	On Target

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-ICT-AP-003 : Develop a Strategy and Timescale for Implementation of Government Connect	Paul Edwards	Linda Price	30-Sep-2009	Completed
<u>Activities</u>				
FIS-ICT-AP-003.1 : Engage with Government Connect Programme Team and business departments		30-Sep-2009	Stephen O'brien	Completed
FIS-ICT-AP-003.2 : Confirm business requirements and prepare project plan		30-Apr-2009	Sue Brisco	Completed
FIS-ICT-AP-003.3 : Meet requirements for Code of Connection to join Gsi	Deadline amended from 30/06/09 to 30/08/09 per Richard Roscoe.	30-Aug-2009	Sue Brisco	Completed
FIS-ICT-AP-003.4 : Implementation - Build and test GC environment		30-Sep-2009	Steve Miller	Completed
<u>Progress Summary</u>				
Field	Action Plan Status	% Complete		
Field 2	Completed	100		
<u>Progress</u>				
Completed				
<u>Issues affecting current/future progress & corrective actions</u>				

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-ICT-AP-005 : Establish a New Data Centre	John Farrell	Linda Price	31-Mar-2010	On Target
<u>Activities</u>	<u>Comments</u>	<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>
FIS-ICT-AP-005.1 : Statement of Needs		31-Mar-2010	Jan Wemmel	Completed
FIS-ICT-AP-005.2 : Select Site(s)		31-Mar-2010	Jan Wemmel	Completed
FIS-ICT-AP-005.3 : Select Consultant / Partner		31-Mar-2009	Jan Wemmel	Completed
FIS-ICT-AP-005.4 : Commence Procurement Process		31-Mar-2010	Jan Wemmel	Completed
FIS-ICT-AP-005.5 : Select Partner / Award Contract		31-Mar-2010	Jan Wemmel	Completed
FIS-ICT-AP-005.6 : Commence build/construction of new data centre(s)		31-Mar-2010	Jan Wemmel	Completed
FIS-ICT-AP-005.7 : Complete build & fit-out of data centre(s)	underway	31-Mar-2010	Jan Wemmel	On Target
FIS-ICT-AP-005.8 : Transfer to New Site(s)		31-Mar-2010	Jan Wemmel	On Target

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-ICT-AP-006 : Upgrade Data Network Infrastructure	John Farrell	Linda Price	31-Mar-2010	On Target
<u>Activities</u>	<u>Comments</u>	<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>
FIS-ICT-AP-006.1 : Structural Redesign of the Data Network Infrastructure		31-Mar-2010	Jan Wemmel	Completed
FIS-ICT-AP-006.2 : Sign contract with Telewest		31-Mar-2010	Jan Wemmel	Completed
FIS-ICT-AP-006.3 : Rationalisation of Data Network Support		31-Mar-2010	Jan Wemmel	Completed
FIS-ICT-AP-006.4 : Rationalisation of Firewall and Security Support		31-Mar-2010	Jan Wemmel	On Target

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-ICT-AP-007 : Upgrade Telephony Infrastructure	John Farrell	Linda Price	31-Mar-2010	On Target
<u>Activities</u>		<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>
FIS-ICT-AP-007.1 : Upgrade the Ericsson MD110 to MX-One (3.1)		31-Mar-2010	Jan Wemmel	On Target
FIS-ICT-AP-007.2 : Upgrade the Aastra MX-One to V.4		31-Mar-2010	Jan Wemmel	On Target
FIS-ICT-AP-007.3 : Rationalisation of Internal Data Network Support		31-Mar-2010	Jan Wemmel	On Target
	<u>Comments</u>			
	80% complete			

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-ICT-AP-008 : Refresh Desktop PC and Laptops	John Farrell	Linda Price	31-Mar-2010	On Target
<u>Activities</u>	<u>Comments</u>	<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>
FIS-ICT-AP-008.1 : Create PC Refresh List for Phase 2 (June 09 – Sep 09)		30-Apr-2009	Jan Wemmel	Completed
FIS-ICT-AP-008.2 : Create PC Refresh List for Phase 3 (Oct 09 – Mar 10)		31-Aug-2009	Jan Wemmel	Completed
FIS-ICT-AP-008.3 : Create PC Refresh List for Phase 4 (Apr 10 – Sep 10)		28-Feb-2010	Jan Wemmel	On Target

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-ICT-AP-009 : Refresh Telephones	John Farrell	Linda Price	31-Mar-2010	On Target
Activities	Comments	Deadline	Lead Officer	Status
FIS-ICT-AP-009.1 : Refresh 10% of the baseline volume per annum		31-Mar-2010	Jan Wemmel	On Target
FIS-ICT-AP-009.2 : Create list of current Centrex lines that can move onto Internal Telephony Infrastructure and prepare cost benefit analysis	ammended activity description to include "and prepare cost benefit analysis"	31-Mar-2010	Jan Wemmel	On Target
FIS-ICT-AP-009.3 : Publish plan to convert centrex lines to PABX	changed digital network to PABX in description	31-Mar-2010	John Murray	On Target
FIS-ICT-AP-009.4 : Create list of new handsets required for lines moved onto Internal Telephony Infrastructure		31-Mar-2010	Jan Wemmel	On Target
FIS-ICT-AP-009.5 : Publish plan for conversion of Centrex lines to PABX	changed digital network to PABX in description	30-Sep-2009	Jan Wemmel	On Target

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-ICT-AP-011 : Refresh Server infrastructure	John Farrell	Linda Price	31-Mar-2010	On Target
<u>Activities</u>				
FIS-ICT-AP-011.1 : Implementation of SAN replacement		<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>
		30-Sep-2009	Jan Wemmel	Completed
FIS-ICT-AP-011.2 : Plan Server refresh		31-Mar-2010	Jan Wemmel	On Target
FIS-ICT-AP-011.3 : Expand virtual environment		31-Mar-2010	Jan Wemmel	On Target

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-ICT-AP-012 : Migration from Pericles to new Revenue & Benefits system	John Farrell	Linda Price	31-Mar-2010	On Target
<u>Activities</u>	<u>Comments</u>	<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>
FIS-ICT-AP-012.1 : Identify and purchase new system	Procurement process has commenced	31-Mar-2010	Stephen O'brien	On Target
FIS-ICT-AP-012.2 : Initiate Project Plan		31-Mar-2010	Stephen O'brien	On Target
FIS-ICT-AP-012.3 : Implementation of new system		31-Mar-2010	Stephen O'brien	On Target
FIS-ICT-AP-012.4 : Migrate data to new system		31-Mar-2010	Stephen O'brien	On Target
FIS-ICT-AP-012.5 : Test new system		31-Mar-2010	Stephen O'brien	On Target

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-ICT-AP-013 : Implementation of ContactPoint for Children's Services	John Farrell	Linda Price	31-Mar-2010	On Target

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-ICT-AP-014 : Continued ICT support for Elected Members	John Farrell	Linda Price	31-Mar-2010	On Target
<u>Activities</u>	<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>	
FIS-ICT-AP-014.1 : Review kit used by members	31-Mar-2010	Stephen O'brien	On Target	
FIS-ICT-AP-014.2 : Report on wireless connectivity for non-Council equipment	31-Mar-2010	Stephen O'brien	Completed	

Action	Authorising Officer	Lead Officer	Deadline	Status
FIS-ICT-AP-016 : Migration from GroupWise to Microsoft Exchange	John Farrell	Linda Price	31-Mar-2010	On Target

Activities	Comments	Deadline	Lead Officer	Status
FIS-ICT-AP-016.1 : Complete GroupWise mailbox reduction exercise	10% Complete	31-Mar-2010	Stephen O'brien	On Target
FIS-ICT-AP-016.2 : Implementation of Microsoft Exchange	Likely to become a 2010/11 activity. This task is dependant on the move to the new data Centre in St Peter's House which is in turn dependant on Scottish Power providing sufficient power to the electrical sub-station.	31-Mar-2010	Stephen O'brien	On Hold
FIS-ICT-AP-016.3 : Migrate GroupWise mailboxes to Exchange	Likely to become a 2010/11 activity. Likely to become a 2010/11 activity. This task is dependant on the move to the new data Centre in St Peter's House which is in turn dependant on Scottish Power providing sufficient power to the electrical sub-station.	31-Mar-2010	Stephen O'brien	On Hold
FIS-ICT-AP-016.4 : Test new Exchange mailboxes	Likely to become a 2010/11 activity. Likely to become a 2010/11 activity. This task is dependant on the move to the new data Centre in St Peter's House which is in turn dependant on Scottish Power providing sufficient power to the electrical sub-station.	31-Mar-2010	Stephen O'brien	On Hold
FIS-ICT-AP-016.5 : Sign-off of new system by Client	Likely to become a 2010/11 activity. Likely to become a 2010/11 activity. This task is dependant on the move to the new data Centre in St Peter's House which is in turn dependant on Scottish Power providing sufficient power to the electrical sub-station.	31-Mar-2010	Stephen O'brien	On Hold
FIS-ICT-AP-016.6 : Train users of new system	Likely to become a 2010/11 activity. Likely to become a 2010/11 activity. This task is dependant on the move to the new data Centre in St Peter's House which is in turn dependant on Scottish Power providing sufficient power to the electrical sub-station.	31-Mar-2010	Stephen O'brien	On Hold
FIS-ICT-AP-016.7 : New system go-live	This task is dependant on the move to the new data Centre in St Peter's House which is in turn dependant on Scottish Power providing sufficient power to the electrical sub-station.	31-Mar-2010	Stephen O'brien	Delayed

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-ICT-AP-017 : Migration of Access databases to SQL	John Farrell	Linda Price	31-Mar-2010	On Target
Activities	Comments	Deadline	Lead Officer	Status
FIS-ICT-AP-017.1 : Identify Access databases to be migrated	15% complete	31-Mar-2010	Stephen O'brien	On Target
FIS-ICT-AP-017.2 : Agree requirements with system owner	Council wide exercise to identify relevant Access databases is ongoing. Once complete, evaluation and prioritisation will take place. (Stephen O'Brien)	31-Mar-2010	Stephen O'brien	Not Started
FIS-ICT-AP-017.3 : Design migration of each system	Council wide exercise to identify relevant Access databases is ongoing. Once complete, evaluation and prioritisation will take place. (Stephen O'Brien)	31-Mar-2010	Stephen O'brien	Not Started
FIS-ICT-AP-017.4 : Complete migration	Council wide exercise to identify relevant Access databases is ongoing. Once complete, evaluation and prioritisation will take place. (Stephen O'Brien)	31-Mar-2010	Stephen O'brien	Not Started
FIS-ICT-AP-017.5 : Test new SQL version	Council wide exercise to identify relevant Access databases is ongoing. Once complete, evaluation and prioritisation will take place. (Stephen O'Brien)	31-Mar-2010	Stephen O'brien	Not Started
FIS-ICT-AP-017.6 : System owner sign-off	Council wide exercise to identify relevant Access databases is ongoing. Once complete, evaluation and prioritisation will take place. (Stephen O'Brien)	31-Mar-2010	Stephen O'brien	Not Started
FIS-ICT-AP-017.7 : SQL version go-live	Council wide exercise to identify relevant Access databases is ongoing. Once complete, evaluation and prioritisation will take place. (Stephen O'Brien)	31-Mar-2010	Stephen O'brien	Not Started

Action	Authorising Officer	Lead Officer	Deadline	Status
FIS-ICT-AP-018 : Migration of ASP systems to NET	John Farrell	Linda Price	31-Mar-2010	On Target
Activities	Comments	Deadline	Lead Officer	Status
FIS-ICT-AP-018.1 : Identify ASP systems to be migrated		31-Mar-2010	Stephen O'brien	Completed
FIS-ICT-AP-018.2 : Agree requirements with system owner	arvato undertaking migration exercise as rolling programme, utilising downtime between scheduled work. (Stephen O'Brien)	31-Mar-2010	Stephen O'brien	On Target
FIS-ICT-AP-018.3 : Design migration of each system	arvato undertaking migration exercise as rolling programme, utilising downtime between scheduled work. (Stephen O'Brien)	31-Mar-2010	Stephen O'brien	On Target
FIS-ICT-AP-018.4 : Complete migration	arvato undertaking migration exercise as rolling programme, utilising downtime between scheduled work. (Stephen O'Brien)	31-Mar-2010	Stephen O'brien	On Target
FIS-ICT-AP-018.5 : Test new .NET version	arvato undertaking migration exercise as rolling programme, utilising downtime between scheduled work. (Stephen O'Brien)	31-Mar-2010	Stephen O'brien	On Target
FIS-ICT-AP-018.6 : System owner sign-off	arvato undertaking migration exercise as rolling programme, utilising downtime between scheduled work. (Stephen O'Brien)	31-Mar-2010	Stephen O'brien	On Target
FIS-ICT-AP-018.7 : NET version go-live	arvato undertaking migration exercise as rolling programme, utilising downtime between scheduled work. (Stephen O'Brien)	31-Mar-2010	Stephen O'brien	On Target

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-ICT-AP-019 : Support implementation of Government Connect	John Farrell	Linda Price	31-Mar-2010	On Target
Activities	Comments	Deadline	Lead Officer	Status
FIS-ICT-AP-019.1 : Attain sign-off and approval of Code of Connection		31-Mar-2010	Stephen O'brien	Completed
FIS-ICT-AP-019.2 : Implement connection to GCSx		31-Mar-2010	Stephen O'brien	Completed
FIS-ICT-AP-019.3 : Test connection to GCSx		31-Mar-2010	Stephen O'brien	Completed
FIS-ICT-AP-019.4 : Train relevant users	75% complete	31-Mar-2010	Stephen O'brien	On Target
FIS-ICT-AP-019.5 : Update Information Risk Policies and Acceptable Use Policies for GC		31-Mar-2010	Stephen O'brien	Completed
FIS-ICT-AP-019.6 : Client sign-off given		31-Mar-2010	Stephen O'brien	Completed
ICT-AP-019.7 : GC approval given		31-Mar-2010	Stephen O'brien	Completed
ICT-AP-019.8 : Go-live		31-Mar-2010	Stephen O'brien	Completed

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-ICT-AP-020 : Development of GIS	Paul Edwards	Linda Price	31-Mar-2010	On Target
<u>Activities</u>	<u>Comments</u>	<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>
Tidy up gazetteer	Ongoing work	31-Jul-2009	Jane Taylor	Completed
Extend Spacial Database	There are problems with the software that are being discussed with the supplier.	31-Jul-2009	Jane Taylor	Delayed

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-ICT-AP-021 : Corporate Information Risk Management and Compliance	Paul Edwards	Linda Price	31-Mar-2010	On Target
Activities				
FIS-ICT-AP-021.1 : Agree Strategy & Plan for information risk management.		Linda Price	31-Mar-2010	On Target
FIS-ICT-AP-021.2 : Liaise, advise and support all departments on FOI/DPA handling.		Richard Roscoe	31-Mar-2010	On Target
FIS-ICT-AP-021.3 : Develop Corporate Publication scheme for FOI		Richard Roscoe	31-Mar-2010	On Target
FIS-ICT-AP-021.4 : Monitor information Laws and ensure departments and resources are kept up to date.		Richard Roscoe	31-Mar-2010	On Target
FIS-ICT-AP-021.5 : Maintain corporate information risk site for intranet.		Richard Roscoe	31-Mar-2010	On Target
FIS-ICT-AP-021.6 : Set up corporate information risk management steering group and framework and hold 4 meetings.	Need to decide if this group should be a standalone group, or built into the existing business risk management group.	Richard Roscoe	31-Mar-2010	On Target
FIS-ICT-AP-021.7 : Identify and allocate all personal information held across Council.	Dependant on having a steering group in place. See activity above (FIS-ICT-AP-021.6)	Richard Roscoe	30-Jun-2009	Delayed
FIS-ICT-AP-021.8 : Carry out training needs analysis for information risk management.	Dependant on having a steering group in place. See activity above (FIS-ICT-AP-021.6)	Richard Roscoe	30-Jun-2009	Delayed
FIS-ICT-AP-021.9 : Develop appropriate corporate training and awareness to support the above.	Dependant on having a steering group in place. See activity above (FIS-ICT-AP-021.6)	Richard Roscoe	30-Jun-2009	Delayed
FIS-ICT-AP-021.10 : Track information flow between Agencies and support ISPs where necessary	Dependant on having a steering group in place. See activity above (FIS-ICT-AP-021.6)	Richard Roscoe	30-Jun-2009	Delayed
FIS-ICT-AP-021.11 : Monitor and address information risk issues with Service Providers.		Richard Roscoe	31-Mar-2010	On Target
FIS-ICT-AP-021.12 : Support business projects on Information risk related issues.		Richard Roscoe	31-Mar-2010	On Target

<u>Activities</u>	<u>Comments</u>	<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>
FIS-ICT-AP-021.13 : Audit and report on corporate/service provider data protection compliance.		30-Sep-2009	Richard Roscoe	On Target
FIS-ICT-AP-021.14 : Liaise with external organisations and maintain external profile of the council in these areas.		31-Mar-2010	Richard Roscoe	On Target

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-ICT-AP-022 : Review and develop Corporate ICT Policy and Strategy.	Paul Edwards	Linda Price	31-Mar-2010	On Target
<u>Activities</u>	<u>Comments</u>	<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>
FIS-ICT-AP-022.1 : Chair Greater Merseyside Policy and Strategy Group	50% Complete	31-Mar-2010	Linda Price	On Target
FIS-ICT-AP-022.2 : Agree Strategy & Plan	On hold until Strategic Budget Review Complete	31-Mar-2010	Linda Price	On Hold
FIS-ICT-AP-022.3 : Review & Develop IT Strategy and Policy framework	On hold until Strategic Budget Review Complete	31-Mar-2010	Linda Price	On Hold
FIS-ICT-AP-022.4 : Develop new Implementation Plan	On hold until Strategic Budget Review Complete	31-Mar-2010	Linda Price	On Hold

Insurance & Administration

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-I&A-AP-001 : Review and monitoring of the Scheme of Members's Allowances	John Farrell	Viv Swale	31-Mar-2010	On Target
<u>Activities</u>				
FIS-I&A-AP-001.1 : Ensure the Scheme is updated in line with appropriate inflation factors.	No changes to the payments because they are linked to Officers pay rises which have not been settled	Viv Swale	31-Mar-2010	Completed
FIS-I&A-AP-001.2 : Ensure that payments following changes to responsibilities are correctly implemented	Increase and back pay in October 2009 payments.	Viv Swale	31-Mar-2010	Completed
FIS-I&A-AP-001.3 : Review and reissue guidance booklet	Review of the scheme has been referred back to the independent Remuneration Panel	Viv Swale	31-Mar-2010	On Target
FIS-I&A-AP-001.4 : Prepare information for consideration by IRP as required	Surveys completed and draft report being prepared	Viv Swale	31-Mar-2010	On Target

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-I&A-AP-002 : Implementing & Reviewing General Administration Processes	John Farrell	Viv Swale	31-Mar-2010	On Target
Activities	Comments	Deadline	Lead Officer	Status
FIS-I&A-AP-002.1 : Continue to provide rail tickets in line with the requirements of the Corporate Travel Policy, and consider extending this to include accommodation	Meeting on accommodation 12/06/09 Introducing accommodation for the CXO Directorate on a trial basis	31-Mar-2010	Viv Swale	On Target
FIS-I&A-AP-002.2 : Review procedures for the administration of the Petty Cash accounts for the Council	Account set up and will be operational by late October 2009	31-Mar-2010	Viv Swale	On Target
FIS-I&A-AP-002.3 : Administer the Council's car loan scheme and calculate taxable benefits for reporting to the Inland Revenue	2008/09 taxable benefits completed	31-Mar-2010	Viv Swale	On Target
FIS-I&A-AP-002.4 : Ensure that all correspondence is appropriately received and distributed		31-Mar-2010	Viv Swale	On Target
FIS-I&A-AP-002.5 : Initiate tender exercise for security firms (collections)	Discussions with the Merseyside Authorities consortium	31-Mar-2010	Viv Swale	On Hold

Agenda Item 6

Action	Authorising Officer	Lead Officer	Deadline	Status
FIS-I&A-AP-003 : Renewal of Insurance Broker Contract	John Farrell	Viv Swale	31-Mar-2010	On Target
Activities	Comments	Deadline	Lead Officer	Status
FIS-I&A-AP-003.1 : 1. Collate information and preparation of the Tender Document	Q1 Meeting with various companies	30-Sep-2009	Viv Swale	On Target
FIS-I&A-AP-003.2 : 2. Evaluate Tender responses and make recommendations		31-Dec-2009	Viv Swale	On Target
FIS-I&A-AP-003.3 : 3. Ensure successful and unsuccessful Tenders are notified of results and publish details		31-Dec-2009	Viv Swale	On Target
FIS-I&A-AP-003.4 : 4. Ensure smooth transition to the new contract		31-Mar-2010	Viv Swale	On Target

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-I&A-AP-004 : Renewal of the Insurance Policies (including those subject to Long Term Agreements)				
	John Farrell	Viv Swale	31-Mar-2010	On Target
<u>Activities</u>	<u>Comments</u>	<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>
FIS-I&A-AP-004.1 : Collate information and send to the Insurance Brokers	Q1 Refining the schedules and discussions with Financial Management Meeting with Brokers and insurers 28th July 2009	31-Jul-2009	Viv Swale	Completed
FIS-I&A-AP-004.2 : Evaluate potential new risks with departments, and seek appropriate cover		31-Mar-2010	Viv Swale	Completed
FIS-I&A-AP-004.3 : Undertake discussions/negotiations with Insurance Brokers		31-Aug-2009	Viv Swale	Completed
FIS-I&A-AP-004.4 : Evaluate the proposals and make recommendations		18-Sep-2009	Viv Swale	Completed
FIS-I&A-AP-004.5 : Place business		29-Sep-2009	Viv Swale	Completed
FIS-I&A-AP-004.6 : Ensure receipt of Policy documents	Policies renewed, Motor documentation received. Still awaiting remainder of policies.	31-Mar-2010	Viv Swale	On Target

Agenda Item 6

Action	Authorising Officer	Lead Officer	Deadline	Status
FIS-I&A-AP-005 : Ensure that all insurance claims are handled appropriately and that Loss Prevention Strategies are considered.	John Farrell	Viv Swale	31-Mar-2010	On Target
Activities				
FIS-I&A-AP-005.1 : Ensure procedures for handling claims are implemented, reviewed and monitored	Q1 redistribution of claims (temporary vacant post)	Viv Swale	31-Mar-2010	On Target
FIS-I&A-AP-005.2 : Ensure that all claims are processed appropriately		Viv Swale	31-Mar-2010	On Target
FIS-I&A-AP-005.3 : 3. Continue to meet with Insurance Brokers and Insurers on a quarterly basis	Q1 Meeting - 3rd June 2009	Viv Swale	31-Mar-2010	On Target
FIS-I&A-AP-005.4 : Arrange training for Departments - by the Insurers' Risk Manager	Q1 Finance & IS Dept completed, and Leisure Dept arranged for November 2009	Viv Swale	31-Mar-2010	On Target
FIS-I&A-AP-005.5 : Meet with Departments / Partners to discuss claims and improve communications	Q1 Regular meetings with Capita Symonds and Technical Services on highways claims. Meeting with Leisure also undertaken.	Viv Swale	31-Mar-2010	On Target
FIS-I&A-AP-005.6 : Continue staff training		Viv Swale	31-Mar-2010	On Target

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-I&A-AP-006 : Review and monitor the insurance fund, and calculate Departmental contributions / recharges	John Farrell	Viv Swale	31-May-2010	On Target
<u>Activities</u>				
FIS-I&A-AP-006.1 : Monitor payments made from the f			<u>Deadline</u> 31-Mar-2010	<u>Status</u> On Target
FIS-I&A-AP-006.2 : Analyse the actuarial report received from insurance brokers, and make recommendations on future contributions			31-Dec-2009	On Target
FIS-I&A-AP-006.3 : Determine potential savings			31-Mar-2010	On Target
FIS-I&A-AP-006.4 : Calculate insurance recharges and advise FMD			31-Dec-2009	On Target

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-I&A-AP-007 : Take the Departmental Lead on Equalities	John Farrell	Viv Swale	31-Mar-2010	On Target
Activities	Comments	Deadline	Lead Officer	Status
FIS-I&A-AP-007.1 : Attend meetings of the Corporate Equalities Group (CEG)	Workshop to discuss the future content of the CEG meetings planned for September 2009 Workshop October 13th 2009	31-Mar-2010	Viv Swale	On Target
FIS-I&A-AP-007.2 : Arrange and lead on meetings of the Finance Department Equalities Group	Discussing the introduction of a wider group to include IIP and equalities matters	31-Mar-2010	Viv Swale	On Target
FIS-I&A-AP-007.3 : Continue to review policies and procedures to ensure compliance with the Council's Equalities Policy agreeing procedures with DMT	EIA training course for DASH members November / December 2009	31-Mar-2010	Viv Swale	On Target
FIS-I&A-AP-007.4 : Promote training on Equalities	Course arranged	31-Mar-2010	Viv Swale	On Target

Procurement

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
<p>FIS-PROC-AP-001 : Link the procurement strategy to the overall Corporate Strategy, the Merseyside Collaborative Procurement Group Strategy, and NWIEP strategy.</p>				
	John Farrell	Tommy Crawford	30-Sep-2009	On Target
<u>Activities</u>	<u>Comments</u>	<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>
FIS-PROC-AP-001.1 : Link to the Overall Corporate Plan/Strategy	<p>Q1 Previous strategy document was for the period 2004-2008. The current document update will reflect the strategic focus on issues impacting the procurement agenda, including efficiencies, equality, sustainability and service delivery. When complete the document will govern procurement for the period 2009 - 2011 and will be subject to annual reviews.</p> <p>Q2 Document has been updated - final link need to be made to the Corporate Plan before issuing doc to the intranet site. Awaiting outcome of Strategic Budget Review to finalise changes.</p>	30-Sep-2009	Tommy Crawford	On Hold
FIS-PROC-AP-001.2 : Update strategy to robustly incorporate KLOE/UoR procurement reporting requirements	<p>Q1 The strategy content will incorporate references to the Use of Resources measurement 2.1 (Procurement and Commissioning) and 2.3 (Good Governance re Equalities).</p> <p>Q2 Document has been updated. Awaiting the outcome of the Strategic Budget Review to incorporate any changes regarding procurement.</p>	30-Sep-2009	Tommy Crawford	On Hold
FIS-PROC-AP-001.3 : Link to the Collaborative Procurement Hub Strategy	<p>Q1 The Merseyside Collaborative Procurement Strategy document was presented to the North West Improvement and Efficiency Partnership (NWIEP) in June 2009. It has taken some months to agree the content. Now that this has happened the Sefton procurement strategy can be linked directly to the Merseyside regional strategy.</p> <p>Q2 Document has been updated. Awaiting outcome of Strategic Budget Review to incorporate any changes regarding procurement.</p>	30-Sep-2009	Tommy Crawford	On Hold

<u>Activities</u>	<u>Comments</u>	<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>
FIS-PROC-AP-001.4 : Link to NWIEP Strategy/Plan	<p>Q1 The North West Improvement and Efficiency Partnership (NWIEP) is now hosted by Manchester City Council following reorganisation last year. Sefton's procurement strategy will where appropriate link directly to the updated North West regional strategy, in line with government guidance and best practice approach.</p> <p>Q2 Docuement has been updated. Awaiting outcome of Strategic Budget Review to incorporate any changes regarding procurement.</p>	30-Sep-2009	Tommy Crawford	On Hold
FIS-PROC-AP-001.5 : Roll out updated strategy across authority	<p>Q1 Following completion the strategy will govern procurement/commissioning activity across the authority. It will be rolled out to key users and will be hosted within the appropriate area on the intranet/internet.</p> <p>Q2 Docuement has been updated. Awaiting outcome of Strategic Budget Review to incorporate any changes regarding procurement.</p>	30-Sep-2009	Tommy Crawford	On Hold

Agenda Item 6

Action
FIS-PROC-AP-002 : Manage the tender process on behalf of the authority and oversee successful implementation of a Merseyside wide collaborative contract for the supply of Agency Staff.

Authorising Officer John Farrell
Lead Officer Tommy Crawford
Deadline 31-Mar-2010
Status On Target

Activities	Comments	Deadline	Lead Officer	Status
FIS-PROC-AP-002.1 : Evaluate tender bids	<p>Q1 Tender bids were evaluated through May/June 2009. Sefton's evaluation team consisted of Tommy Crawford (CPU), Val Jones (Personnel), Martin Murphy (Adult Social Care), Paul Cunningham (Childrens Services) and Marie Lambert (BSU). Four bids were received and following evaluation two companies were shortlisted to present solutions to the Merseyside collaborative representatives during July 2009. It is expected that a successful supplier will be appointed following the presentations.</p> <p>Q2 The contract was awarded to a company named Matrix. Savings of around 10% against current spend have been guaranteed by Matrix. Initial meetings have taken place to oversee transition. It is envisaged transition will take place to enable a go-live date circa January 2010.</p>	30-Sep-2009	Tommy Crawford	Completed
FIS-PROC-AP-002.2 : Manage the communications process	<p>Q1 The evaluation team and key internal users are advised of all communiques issued in respect of this exercise. Following contract award to the successful supplier the communications process will be key in order to prepare the authority for handover.</p> <p>Q2 The project team has set up internal meetings with key HR colleagues. HR & procurement will manage the corporate communications required to enable successful transition.</p>	30-Sep-2009	Tommy Crawford	Completed

<u>Activities</u>	<u>Comments</u>	<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>
FIS-PROC-AP-002.3 : Implementation Plan - Engage senior internal users pre implementation	<p>Q1 Key internal users have previously been engaged through CPU and Personnel representatives undertaking a series of presentations to DMT's across the authority. Key users will again be contacted to understand current requirements and to manage expectations through transition.</p> <p>Q2 Initial meetings have taken place with Matrix and were attended by procurement and senior HR colleagues. Initial internal meetings will take place through November 2009 to plan for transition.</p>	30-Sep-2009	Tommy Crawford	Completed
FIS-PROC-AP-002.4 : Implementation	<p>Q1 Following contract award it is expected that Sefton will undergo a phased implementation. The transition process will be managed by the successful supplier. However Sefton's participation and involvement of key internal users will be key to ensuring a seamless transition.</p> <p>Q2 Implementation will take place between November 2009 - January 2010.</p>	31-Dec-2009	Tommy Crawford	On Target
FIS-PROC-AP-002.5 : Post contract assessment and ongoing supplier management	<p>Q1 Sefton will play an active role in the ongoing management of the contract, and operational supplier account managers will liaise directly with key internal Sefton stakeholders. Sefton procurement will also play a read role in subsequent commercial management of the contract.</p> <p>Q2 No status change.</p>	31-Mar-2010	Tommy Crawford	On Target

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-PROC-AP-003 : Liaise with Mersey Equalities Partnership to oversee continued roll out of 'Equalities in Procurement' documents - ensure all staff engaged in procurement/commissioning/contracting activity undergo training and adopt the suite of documents.	John Farrell	Tommy Crawford	31-Mar-2010	On Target
Activities	Comments	Deadline	Lead Officer	Status
FIS-PROC-AP-003.1 : Continued Roll Out of tender docs	Q1 Tender docs have been completed and have been rolled out to senior officers involved in procurement/commissioning activity.	30-Jun-2009	Tommy Crawford	Completed
FIS-PROC-AP-003.2 : Oversee relevant officer participation in training	Q1 Periodic training sessions have now been organised with Mersey Equalities Partnership over the previous six months. These sessions will continue throughout the current financial year. Q2 Training continues to be delivered to key officers with procurement/commissioning responsibility.	31-Mar-2010	Tommy Crawford	On Target
FIS-PROC-AP-003.3 : Manage the document content during legislative changes	Q1 Ongoing communications between CPU and Sefton Equalities retained consultant ensures that the mechanism is in place to keep all guidance documentation updated. Recent changes have been incorporated into the documents and internal training programme as a direct result of the current consultation process regarding the new Equalities Bill. Q2 Awaiting publication of the Equalities Bill to incorporate any changes to Sefton's documents/processes.	31-Mar-2010	Tommy Crawford	On Target

<u>Activities</u>	<u>Comments</u>	<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>
FIS-PROC-AP-003.4 : Manage the communication process with Mersey Equalities and retained specialist consultants	<p>Q1 CPU has representation on the Sefton Corporate Equalities Group which meets every quarter. Meetings also continue to take place on an ad-hoc basis with the retained consultant and key Sefton Equalities staff to support and implement the 'equalities in procurement' agenda.</p> <p>Q2 Regular communications continue to take place with Sefton Equalities Partnership to embed the documentation into contracting activity.</p>	31-Mar-2010	Tommy Crawford	On Target

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-PROC-AP-004 : Implementation of a contract management / sourcing portal				
	John Farrell	Tommy Crawford	31-Mar-2010	On Target
Activities				
FIS-PROC-AP-004.1 : Manage the communications process				
<p>Comments</p> <p>Q1 The initial overview session took place in May 2009 and was attended by key internal users. Following this CPU and the Regeneration Stepclever team have delivered workshops specifically for Technical Services and Legal personnel. Following adoption of the electronic portal by CPU this communication process will be ongoing to support the wider roll out across the authority. The adoption of an electronic sourcing portal becomes mandatory by the end of 2010 on all public sector bodies.</p> <p>A Cabinet Member Report to CM Corporate Services was completed in May 2009.</p> <p>Q2 CPU is on the verge of going live with the Pro Contract portal. Following this 'Verifier' training will be delivered to Legal colleagues before roll-out commences across a number of key departments; namely Leisure Services and Technical services initially.</p>				
			31-Mar-2010	On Target
FIS-PROC-AP-004.2 : Oversee relevant officer participation in training				
<p>Q1 Initial training has been delivered to CPU staff. This will support the implementation within central procurement throughout August and beyond. Following successful implementation within CPU further training will be delivered to key internal users across the council.</p> <p>Q2 Training will be delivered to legal colleagues during November 2010.</p>				
			31-Mar-2010	On Target
FIS-PROC-AP-004.3 : Oversee phased roll out				
<p>Q1 The phased roll out across the authority will begin following successful implementation within CPU.</p> <p>Q2 No change to status.</p>				
			31-Mar-2010	On Target

<u>Activities</u>	<u>Comments</u>	<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>
FIS-PROC-AP-004.4 : Ensure contingency measures are implemented to facilitate roll out	<p>Q1 CPU will manage all contingency measures in partnership with the provider of the electronic solution, 'Due North'. This will manage risk and ensure that the authority's procurement processes are not negatively impacted by any teething problems regarding the system implementation.</p> <p>Q2 CPU will ensure that the 'manual' procurement process is available in the event of any system issues throughout the roll-out.</p>	31-Mar-2009	Tommy Crawford	On Target

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
<p>FIS-PROC-AP-005 : Implementation of a framework contract governing the provision of taxi services to meet authority requirements for a 3 year period.</p>				
	John Farrell	Tommy Crawford	31-Dec-2009	On Target
<u>Activities</u>	<u>Comments</u>	<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>
FIS-PROC-AP-005.1 : Manage the tender process	<p>Q1 CPU has worked closely with STU and overseen the tender process which was governed by requirements under the Official Journal of the European Union (OJEU), due to the value involved.</p> <p>A report was completed and will be presented to the Cabinet Member Corporate Services during July 2009, recommending the adoption of a flexible framework contract for provision of taxi services across the authority. Current spend currently stands at £2,240,000, and the sample costing exercise undertaken in tender indicates that the process will result in cost savings for Sefton.</p>	30-Jun-2009	Graham Mussell	Completed
FIS-PROC-AP-005.2 : Manage the contract transition	<p>Q1 CPU will support STU in respect of any transitional requirements following formal award of the framework arrangement, in order to support a 'go-live' date of 1/9/09.</p> <p>Q2 Contract went live during September 2009.</p>	31-Aug-2009	Graham Mussell	Completed
FIS-PROC-AP-005.3 : Manage contract negotiations	<p>Q1 Further discussions will take place with providers following formal award. Additional discussions will also take place to support the successful implementation of complimentary initiatives such as the route management software solution in 2009/10.</p> <p>Q2 Contracts were concluded and estimates indicate that the new agreement should result in savings against current spend of circa £250k pa. From a budget perspective this will reduce the overspend amount.</p>	30-Sep-2009	Graham Mussell	Completed

<u>Activities</u>	<u>Comments</u>	<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>
FIS-PROC-AP-005.4 : Implement final framework agreement	Q1 CPU will support STU when implementing the framework arrangement following formal award during August 2009. Q2 Contract is now live and being used by STU.	30-Sep-2009	Graham Mussell	Completed

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-PROC-AP-006 : Sourcing and implementation of a software solution to facilitate coordination of all authority transport requirements.	John Farrell	Tommy Crawford	31-Dec-2009	On Target
Activities				
FIS-PROC-AP-006.1 : Manage the tender process				
	Comments	Deadline	Lead Officer	Status
Q1 In 2008 a number of potential suppliers presented to CPU and STU in respect of route management software solutions. It is expected a local tender process (non OJEU) will be initiated following completion of the current taxi tender process. Successful adoption of route management software is key to the efficient management of the taxi and wider transport service and could result in considerable efficiency benefits for the authority.	30-Sep-2009	Graham Mussell	Completed	
It has been suggested that STU engage directly with arvato for this provision. However this would likely result in a legal challenge from other potential providers as each is expecting a tender process to begin over the next couple of months.				
Q2 CPU undertook the sourcing process alongside CPU and tender bids are currently being analysed by the Head of Transport.				
FIS-PROC-AP-006.2 : Manage the contract transition Process				
Q1 Successful implementation will compliment the efficient management of STU's requirements. Full knowledge and understanding of current needs will be key in order to feed into the software solution. CPU will work closely with STU in this respect.	31-Dec-2009	Graham Mussell	On Target	
Q2 CPU is currently awaiting feedback from STU in respect of tender bids received ahead of formal award of contract to the successful supplier.				

<u>Activities</u>	<u>Comments</u>	<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>
FIS-PROC-AP-006.3 : Manage contract negotiations	Q2 Bid submissions are currently being analysed within STU.	31-Dec-2009	Graham Mussell	On Target
FIS-PROC-AP-006.4 : Implement contract		31-Dec-2009	Graham Mussell	On Target
FIS-PROC-AP-006.5 : Implement transport software solution		31-Dec-2009	Graham Mussell	On Target

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
<p>FIS-PROC-AP-007 : Undertake procurement activities to support successful delivery of specific 'building schools for the future' projects.</p>				
John Farrell	Tommy Crawford	31-Aug-2009	On Target	
<u>Activities</u>	<u>Comments</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-PROC-AP-007.1 : Manage the sourcing processes	<p>Q1 CPU has been heavily involved with meeting requirements in respect of Sefton 6th Form College, Rimrose Hope, Litherland High and Thomas Gray. Detailed discussions have taken place with project teams and to date all equipment required has been ordered to meet specific 'go-live' dates.</p> <p>Q2 All activities were completed to meet school needs ahead of the new term in September 2009.</p>	stuart bate	31-Aug-2009	Completed
FIS-PROC-AP-007.2 : Undertake negotiations with suppliers	<p>Q1 Ongoing negotiations will take place through Q2.</p> <p>Q2 All activities were completed ahead of the new school term in September 2009.</p>	stuart bate	31-Aug-2009	Completed
FIS-PROC-AP-007.3 : Implement agreements	<p>Q2 All activities were completed ahead of the new school term in September 2009.</p>	chris magee	31-Aug-2009	Completed
FIS-PROC-AP-007.4 : Liaise with key users & specifiers	<p>Q1 CPU is represented on a number of project teams and manages all purchasing requirements in agreement with the project manager, in line with budget constraints and according to user specification requirements.</p> <p>Q2 All activities were completed ahead of the new school terms in September 2009.</p>	chris magee	31-Aug-2009	Completed

Action	Authorising Officer	Lead Officer	Deadline	Status
FIS-PROC-AP-008 : Re-launch and roll-out of the I-proc Oracle Software Solution across the authority	John Farrell	Tommy Crawford	31-Mar-2010	On Target

Activities	Comments	Deadline	Lead Officer	Status
FIS-PROC-AP-008.1 : Manage the communication process	<p>Q1 A number of meetings have taken place with representatives from Legal, Leisure Services and Technical Services, with a view to rolling out I-proc across these departments. In respect of the latter the 'Protect' system will become obsolete in September 2009 and consequently I-Proc will be the system through which much of the departments spend will be processed.</p> <p>A number of 'project team' meetings have also taken place to plan the way forward and to identify and tackle any potential technical issues from an early stage. Currently there is an outstanding issue which needs to be actioned by the arvato Oracle team which relates to enabling the processing of blank purchase orders. This is essential for the procurement of 'services' where volume can not be determined.</p> <p>Q2 Meetings with key internal colleagues continued throughout Q2. Technical Services requirements have now been moved to the Oracle and Sword solutions following the closure of the 'Protect' system solution.</p>	31-Mar-2010	Tommy Crawford	On Target

Agenda Item 6

<u>Activities</u>	<u>Comments</u>	<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>
FIS-PROC-AP-008.2 : Manage pilot implementation	<p>Q1 Currently CPU is working closely with Leisure Services to facilitate complete adoption of I-proc. Throughout Q2 it is also planned to extend the pilot with Technical Services coming on board. It is noted however that resource constraints regarding user training facilities may threaten the success of any re-launch.</p> <p>Q2 Technical Services department has now 'gone live' on I-proc. Further phased implementations will continue throughout the current financial year. The availability of sufficient training resources may slow progress.</p> <p>CPU is currently awaiting delivery of a Computer Based Training solution from arvato.</p>	30-Sep-2009	Tommy Crawford	Delayed
PROC-AP-008.3 : Implement contingency measures to ensure successful transition	<p>Q1 Throughout Q2 and beyond, CPU will attempt to ensure a smooth transition within the confines of its existing resources, as more departments make the changeover.</p> <p>Q2 No status change.</p>	31-Mar-2010	Tommy Crawford	On Target

Action	Authorising Officer	Lead Officer	Deadline	Status
FIS-PROC-AP-009 : Pursue collaborative procurement opportunities where applicable.	John Farrell	Tommy Crawford	31-Mar-2010	On Target

Activities	Comments	Deadline	Lead Officer	Status
FIS-PROC-AP-009.1 : Manage communications with partners and feed back internally	<p>Q1 Feedback regarding the collaborative programme takes place through regular update sessions with internal staff. Progress regarding initiatives is also fed back via the monthly internal Procurement Report.</p> <p>Q2 No status change</p>	31-Mar-2010	Tommy Crawford	On Target
FIS-PROC-AP-009.2 : Engage appropriate stakeholders to pursue opportunities	<p>Q1 Key internal stakeholders are identified and engaged from an early stage of any initiative. In this respect a project team was established from the outset within Sefton to move the Agency Staffing project forward. Key internal staff are also kept abreast of progress where appropriate.</p> <p>Q2 CPU is also supporting the Energy Team (Ian Weller) in respect of Pamela Brandwood's imminent departure, with a view to pursuing collaborative opportunities with other authorities.</p> <p>Q2 CPU is liaising closely with the internal Energy team to pursue collaborative opportunities regarding Energy procurement.</p> <p>Q2 CPU has also been invited to sit on the Sefton Childrens Trust Commissioning Group following a recent joint procurement/commissioning event. CPU is working with Colin Oxley & Jean Massam in this respect.</p>	31-Mar-2010	Tommy Crawford	On Target

Agenda Item 6

<u>Activities</u>	<u>Comments</u>	<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>
FIS-PROC-AP-009.3 : Lead on behalf of the Merseyside Group re specific initiatives where appropriate	<p>Q1 Sefton is leading on a number of collaborative procurement exercises at the moment, including a Merseywide deal for Building Cleaning services and Furniture requirements.</p> <p>Sefton is also the lead in respect of Procurement's link into the Regeneration agenda, due to activities to date with the Regeneration Stepclever team. It also leads for the Merseyside Group in respect of the Third Sector, Equalities and Sustainability, due to the relationships forged to date and work completed with the Mersey Equalities Partnership and Environmental teams respectively.</p> <p>Q2 No status change.</p>	31-Mar-2010	Tommy Crawford	On Target
ROC-AP-009.4 : Report locally and to the regional (NWIEP) on behalf of the Merseyside Group re efficiency and efficiency gains	<p>Q1 This piece of work has been ongoing following the departure of the Collaborative Project Manager in February. However the post has now been filled as of July 2009 so requirements in this respect will be handed over wherever possible.</p>	31-Mar-2010	Tommy Crawford	Completed
FIS-PROC-AP-009.5 : Adopt a standardised suite of documents to help deliver a common approach to procurement activity across participating bodies	<p>Q1 Sefton leads on this particular deliverable in partnership with Halton and in line with government guidance is aiming to implement common documents throughout 2009/10. These include standard Pre Qualification Questionnaires (PQQ's), sustainability documentation, Invitation to tender documentation (ITT) and implementation across the region of the electronic procurement portal.</p> <p>Q2 Delivery of this objective continues to progress and discussions have taken place with the NWIEP in respect of adopting comment documents across all regional authorities regarding procurement.</p>	31-Mar-2010	Tommy Crawford	On Target

Specialist Transport

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-ST-AP-001 : Establish, monitor and control STU Budget	John Farrell	Graham Mussell	31-Mar-2010	On Target
Activities	Deadline	Lead Officer	Status	
FIS-ST-AP-001.1 : Establish, monitor and control STU Budget	30-Jun-2009	Graham Mussell	On Hold	
FIS-ST-AP-001.2 : Create draft budget (GM,Helen Wilson)	30-Jun-2009	Graham Mussell	On Hold	
FIS-ST-AP-001.3 : Agreement (John Farrell)	30-Jun-2009	Graham Mussell	On Hold	
FIS-ST-AP-001.4 : Cascade to Operation Managers	30-Jun-2009	Graham Mussell	On Hold	
FIS-ST-AP-001.5 : Monitor, create and distribute monthly MI packs	31-Mar-2010	Graham Mussell	On Hold	
FIS-ST-AP-001.6 : Manage spending within budgets	31-Mar-2010	Graham Mussell	On Hold	
FIS-ST-AP-001.7 : Review Performance	31-Mar-2010	Graham Mussell	On Hold	
FIS-ST-AP-001.8 : Agree and cascade any amended budgets to control spending	31-Mar-2010	Graham Mussell	On Hold	
FIS-ST-AP-001.9 : Follows management instruction on spending	31-Mar-2010	dave witten	On Hold	
FIS-ST-AP-001.10 : Review	31-Mar-2010	Graham Mussell	On Hold	

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-ST-AP-002 : Service Provider Management Strategy	John Farrell	Graham Mussell	31-Mar-2010	On Target
Activities	Deadline	Lead Officer	Status	Comments
FIS-ST-AP-002.1 : Service Provider Management Strategy	30-Jun-2009	Graham Mussell	On Hold	
FIS-ST-AP-002.2 : Create service/goods provider contract specifications (Taxi, Software, Bus)	31-Mar-2010	Graham Mussell	On Hold	
FIS-ST-AP-002.3 : Within Procurement Strategy	30-Jun-2009	stuart bate	On Hold	
FIS-ST-AP-002.4 : Undertake taxi 2009/2010 procurement	30-Sep-2009	stuart bate	On Hold	
FIS-ST-AP-002.5 : Undertake software procurement	31-Dec-2009	stuart bate	On Hold	
FIS-ST-AP-002.6 : Undertake Bus. Coach 2010/2011 procurement	31-Mar-2010	stuart bate	On Hold	
FIS-ST-AP-002.7 : Award taxi contractors	30-Sep-2009	Graham Mussell	On Hold	
FIS-ST-AP-002.8 : Award software supplier	31-Mar-2010	Graham Mussell	On Hold	
FIS-ST-AP-002.9 : Award Bus, Coach contractors	31-Mar-2010	Graham Mussell	On Hold	
FIS-ST-AP-002.10 : Cascade information to operations managers	31-Mar-2010	Graham Mussell	On Hold	
FIS-ST-AP-002.11 : Operate contracts	31-Mar-2010	dave witten	On Hold	
FIS-ST-AP-002.12 : Contractor Compliance Auditing	31-Mar-2010	barry phillips	On Hold	
FIS-ST-AP-002.13 : Review	31-Mar-2010	Graham Mussell	On Hold	

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-ST-AP-003 : Training Strategy	John Farrell	Graham Mussell	31-Mar-2010	On Target
<u>Activities</u>	<u>Comments</u>	<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>
FIS-ST-AP-003.1 : Training Strategy		30-Jun-2009	Graham Mussell	On Hold
FIS-ST-AP-003.2 : Create Training Map		30-Jun-2009	Graham Mussell	On Hold
FIS-ST-AP-003.3 : Agreement of JF/GM/PW		30-Jun-2009	Graham Mussell	On Hold
FIS-ST-AP-003.4 : Link to PDR captured information		30-Jun-2009	Graham Mussell	On Hold
FIS-ST-AP-003.5 : Capture PDR information, send to GM		31-Dec-2009	dave witten	On Hold
FIS-ST-AP-003.6 : Identify resource/provider		30-Jun-2009	Graham Mussell	On Hold
FIS-ST-AP-003.7 : Co-ordinate service provision		31-Mar-2010	barry phillips	On Hold
IT-AP-003.8 : Implement delivery		31-Mar-2010	barry phillips	On Hold
IT-AP-003.9 : Review		31-Mar-2010	Graham Mussell	On Hold

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-ST-AP-004 : Service Level Agreement	John Farrell	Graham Mussell	31-Mar-2010	On Target
<u>Activities</u>	<u>Comments</u>	<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>
FIS-ST-AP-004.1 : Service Level Agreement		31-Mar-2010	Graham Mussell	On Hold
FIS-ST-AP-004.2 : Create draft SLA for each client department /section		30-Jun-2009	Graham Mussell	On Hold
FIS-ST-AP-004.3 : STU management (JF/GM/PW) agreement of draft SLA's		30-Jun-2009	Graham Mussell	On Hold
FIS-ST-AP-004.4 : Agreement of SLA with client departments and trade unions		30-Jun-2009	Graham Mussell	On Hold
FIS-ST-AP-004.5 : Cascade to all client department staff and STU operational staff for implementation		30-Sep-2009	Graham Mussell	On Hold
FIS-ST-AP-004.6 : Undertake Reviews with client departments (GM/PW)		31-Mar-2010	Graham Mussell	On Hold

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-ST-AP-005 : Policies and Procedures	John Farrell	Graham Mussell	31-Mar-2010	On Target
Activities		Lead Officer	Deadline	Status
FIS-ST-AP-005.1 : Policies and Procedures		Graham Mussell	31-Mar-2010	On Hold
FIS-ST-AP-005.2 : Create draft documents (policies & procedures including equalities eia and policy)		Graham Mussell	30-Jun-2009	On Hold
FIS-ST-AP-005.3 : Agreement on documents JF/GM/PW		Graham Mussell	30-Jun-2009	On Hold
FIS-ST-AP-005.4 : Agreement on documents Unions/cabinet member		Graham Mussell	30-Sep-2009	On Hold
FIS-ST-AP-005.5 : Cascade to all STU staff		Graham Mussell	30-Sep-2009	On Hold
FIS-ST-AP-005.6 : Compliance audit		Graham Mussell	31-Mar-2009	On Hold
FIS-ST-AP-005.7 : Review		Graham Mussell	30-Jun-2009	On Hold
FIS-ST-AP-005.8 : Review		Graham Mussell	30-Sep-2009	On Hold
FIS-ST-AP-005.9 : Review		Graham Mussell	31-Dec-2009	On Hold
FIS-ST-AP-005.10 : Review		Graham Mussell	31-Mar-2010	On Hold

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-ST-AP-006 : Reduce plus 16 costs	John Farrell	Paul Wade	31-Mar-2010	On Target
<u>Activities</u>	<u>Comments</u>	<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>
FIS-ST-AP-006.1 : Reduce plus 16 cost's		30-Sep-2009	dave witten	On Hold
FIS-ST-AP-006.2 : Replace taxi's by using in-house vehicle		31-Mar-2010	dave witten	On Hold
FIS-ST-AP-006.3 : Recruit two drivers. Consult with B.S.U.		31-Mar-2010	Paul Wade	On Hold

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-ST-AP-007 : Reduce number of routes in south area	John Farrell	Paul Wade	31-Mar-2010	On Target
<u>Activities</u>		<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-ST-AP-007.1 : Use map point and consult with staff, H&SC.		Paul Wade	30-Sep-2009	On Hold
<u>Comments</u>				

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-ST-AP-009 : Assimilate casual staff	John Farrell	Paul Wade	31-Mar-2010	On Target
<u>Activities</u>		<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-ST-AP-009.1 : Liaise with B.S.U.		Paul Wade	30-Sep-2009	On Hold
<u>Comments</u>				

Action	Authorising Officer	Lead Officer	Deadline	Status
FIS-ST-AP-010 : Training	John Farrell	Graham Mussell	31-Mar-2010	On Target

Activities	Deadline	Lead Officer	Status
FIS-ST-AP-010.1 : Liaise with training unit / Strategy	30-Jun-2009	Graham Mussell	On Hold
FIS-ST-AP-010.2 : Liaise with training unit / Strategy	30-Sep-2009	Graham Mussell	On Hold
FIS-ST-AP-010.3 : Liaise with training unit / Strategy	31-Dec-2009	Graham Mussell	On Hold

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
FIS-ST-AP-011 : Organise meetings with school passenger assistants	John Farrell	Paul Wade	31-Mar-2010	On Target
<u>Activities</u>	<u>Comments</u>	<u>Deadline</u>	<u>Lead Officer</u>	<u>Status</u>
FIS-ST-AP-011.1 : Organise locations and times.		30-Sep-2009	dave witten	On Hold



SEFTON METROPOLITAN BOROUGH COUNCIL



Sefton's Performance Reporting and Information NeTwork (SPRINT)

Departmental Service Plan Monitoring

Finance and Information Services

Quarter 2 2009/10

Author: Policy and Performance

Print Date: 26/11/2009

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
COR-FIN-AP-071 - Achieve efficiency savings through better procurement, collaboration with other Councils and business transformation (including the implementation of the Procurement Strategy).	Paul Edwards	John Farrell	31-Mar-2011	On Target
<u>Progress Summary</u>				
<u>Period</u>	<u>Action Plan Status</u>	<u>% Complete</u>		
Quarter 2	On Target	50		
<u>Activities</u>	<u>Comments</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>

<u>Activities</u>	<u>Comments</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
Merseyside/Regional Collaboration	<p>Q2 Evaluate tender bids The contract was awarded to a company named Matrix. Savings of around 10% against current spend have been guaranteed by Matrix. Initial meetings have taken place to oversee transition. It is envisaged transition will take place to enable a go-live date circa January 2010.</p> <p>Q2 Manage the communications process The project team has set up internal meetings with key HR colleagues. HR & procurement will manage the corporate communications required to enable successful transition.</p> <p>Q2 Implementation Plan - Engage senior internal users pre implementation Initial meetings have taken place with Matrix and were attended by procurement and senior HR colleagues. Initial internal meetings will take place through November 2009 to plan for transition.</p> <p>Implementation will take place between November 2009 - January 2010</p> <p>Q2 Post contract assessment and ongoing supplier management No status change.</p>	Tommy Crawford	31-Mar-2010	On Target

Agenda Item 6

Action **COR-FIN-AP-081 - Develop the Medium Term Financial Plan (MTFP) in line with corporate objectives.** **Authorising Officer** Paul Edwards **Lead Officer** Lynton Green **Deadline** 31-Mar-2011 **Status** On Target

Progress Summary

Period	Action Plan Status	% Complete
Quarter 2	On Target	50

Activities

Ensure that MTFP and Budget Process appropriately link Corporate Objectives

Comments

The MTFP process is being closely aligned within the Strategic Budget Review. A Key element of the SBR is the ensuring that Members are clear on the impact of proposals on all services, but in particular the impact on Corporate Objectives and Priorities.

Lead Officer Lynton Green **Deadline** 31-Mar-2010 **Status** On Target

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
COR-FIN-AP-082 - Improve the risk management process so that it better informs strategic and operational decision making.	Paul Edwards	Paul Edwards	31-Mar-2011	On Target

<u>Progress Summary</u>		
<u>Period</u>	<u>Action Plan Status</u>	<u>% Complete</u>
Quarter 2	On Target	45

<u>Activities</u>	<u>Comments</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
Risk Management Process 2008/09	Q2 The Authority's Risk management process has been the subjected to a comprehensive comparison with best practice. The resultant Gap Analysis is to be considered by a group of Service Director to develop revised procedures (quarter three) and training / implementation (quarter four)	Paul Edwards	31-Mar-2009	On Target

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
DSP-FIS-AP-001 Deliver Audit Plan - undertake individual audits as detailed in Audit Plan and report progress on a quarterly basis to Audit and Governance Committee	Lynton Green	Geoff Hudson	31-Mar-2010	On Target

Progress Summary

<u>Period</u>	<u>Action Plan Status</u>	<u>% Complete</u>
Quarter 2	On Target	50

Activities

1. Production of Audit Plan 2009/10 – (1st April – 30th September)
undertake individual audits as detailed in Plan
2. Production of quarterly monitoring reports to Audit and Governance
3. Production of quarterly monitoring reports to Audit and Governance
4. Production of Annual Audit Report (for 2008/09)

Comments

- Audit Plan approved by Audit and Governance 25th March 2009
- Audits in period 1/4/09 to 30/9/09 being undertaken in accordance with Plan
- Audits have been undertaken in accordance with Plan - monitoring report presented to Audit and Governance 30th September
- Monitoring report to be taken to Audit and Governance 30/9/09
- Monitoring report taken to Audit and Governance 30th September for period 1st April to 31st August. Further report to Audit and Governance for period September to November will be taken to Audit and Governance on 16th December
- Annual Report for 2008/09 approved by Audit and Governance on 24/6/09

Deadline

- 31-Mar-2009
- 31-Mar-2009
- 31-Mar-2010
- 30-Jun-2009

Lead Officer

- Geoff Hudson
- Geoff Hudson
- Geoff Hudson
- Geoff Hudson

Status

- Completed
- On Target
- On Target
- Completed

<u>Activities</u>	<u>Comments</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
5. Production of Audit Plan 2009/10 – (1st October to 31st March 2010)	To be reported to Audit and Governance 30/9/09 Audit Plan for period 1st October to 31st March 2010 reported to and approved by Audit and Governance on 30th September	Geoff Hudson	30-Sep-2009	Completed

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
DSP-FIS-AP-002 Review of Internal Audit structure, operation and the methodology applied when undertaking individual audits	Lynton Green	Geoff Hudson	30-Sep-2009	Delayed

Progress Summary

<u>Period</u>	<u>Action Plan Status</u>	<u>% Complete</u>
Quarter 2	Delayed	50

Activities

1. Identify views of Internal Audit Section and Other activities operation / methodology complete review approval / implementation of Review recommendations
4. Production of Audit Plan wef 1st October – constructed in accordance with Review

Comments

Review completed by 31/5/09

Completion of review delayed to ensure it links with the Overall Budget Review currently in progress

Review delayed to ensure it links with Overall Budget Review currently in progress

Audit Plan for period 1/10/09 to 31/3/10 will be submitted to Audit and Governance on 30/9/09 but will be constructed on basis of current operations rather than recommendations of Audit Review which has been delayed. It is envisaged that Plan for 2010/11 will be constructed on basis of Review and will be submitted to Audit and Governance in March 2010

Lead Officer

Geoff Hudson

Geoff Hudson

Geoff Hudson

Geoff Hudson

Deadline

31-May-2009

30-Jun-2009

30-Sep-2009

30-Sep-2009

Status

Completed

Delayed

Delayed

Delayed

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
DSP-FIS-AP-003 Production of Annual Governance Statement 2008/09 and reporting to Audit and Governance by 30th June 2009.	Lynton Green	Geoff Hudson	30-Jun-2009	Completed

<u>Progress Summary</u>		
<u>Period</u>	<u>Action Plan Status</u>	<u>% Complete</u>
Quarter 1	Completed	100

<u>Activities</u>	<u>Comments</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
1. Establish Annual Governance Statement Management Group and receive relevant information	Group established and considered information during April, May and June	Geoff Hudson	09-Apr-2009	Completed
Request and receive completed Chief Officers Assurance Statements	Chief Officers Assurance Statements received	Geoff Hudson	09-Apr-2009	Completed
Production of report to Audit and Governance	Annual Governance Statement reported to and approved by Audit and Governance on 24/6/09	Geoff Hudson	30-Jun-2009	Completed

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
DSP-FIS-AP-004 Deliver & Improve the Council Tax Collection service in accordance with relevant legislation	John Farrell	Christine Finnigan	31-Mar-2010	On Target

Progress Summary

<u>Period</u>	<u>Action Plan Status</u>	<u>% Complete</u>
Quarter 2	On Target	50

Activities

<u>Activities</u>	<u>Comments</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
1. Administer Council tax Collection Service (Measured PI)	Target 25% end of June - achieved 27.57	Christine Finnigan	30-Jun-2009	Completed
2. Administer Council tax Collection Service (Measured PI)	Achieving target	Mark Barry	30-Sep-2009	Completed
3. Administer Council tax Collection Service (Measured by KPI)		Mark Barry	31-Dec-2009	On Target
4. Administer Council tax Collection Service (Measured by KPI)		Mark Barry	31-Mar-2010	On Target
5. Action Internal Audit Requirements	Internal Audit action will be updated to show completed actions.	Mark Barry	31-Mar-2010	On Target
6. Prepare for Pericles Migration	Overall targets & milestones to be agreed. In negotiation stage.	Mark Barry	31-Mar-2010	On Target
7. Achieve CIP Programme Year 1	Revised action plan received regarding C Tax arrears project. Client waiting for revised overall CIP programme from Customer Centric Manager - due 22nd July 09. updated review of programme due in on 13.10.09	Mark Barry	30-Sep-2009	On Target
8. Complete CIPFA Benchmarking data to Client	Data submitted to CIPFA - draft report received.	Mark Barry	29-May-2009	Completed

<u>Activities</u>	<u>Comments</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
9. CIPFA Comparator questionnaire to Client		Mark Barry	17-Jul-2009	Completed

Agenda Item 6

Action DSP-FIS-AP-005 Provide an efficient & effective Housing & Council Tax Benefit Service **Authorising Officer** John Farrell **Lead Officer** Christine Finnigan **Deadline** 31-Mar-2010 **Status** On Target

Progress Summary

Period	Action Plan Status	% Complete
Quarter 2	On Target	50

Activities

1. Administer housing & council tax benefit/ second rebate & discretionary hardship payments – moving to upper quartile performance. (Measured by

action Internal Audit report requirements

11. Complete CIPFA benchmarking data to Client

12. CIPFA comparator questionnaire to be returned to Client

2. Administer housing & council tax benefit/ second adult rebate & discretionary hardship payments – improving to upper quartile performance. (Measured by KPI)

Comments

individual service plans received also monitored by Client

Action plan reviewed & separate meeting to follow up by Client.

Action plan update & work progressing. CF 29.09.09

Referred to Customer Centric Service Manager to follow up. Due in 17.07.09

Completed & submitted - final report received.

Submitted to CIPFA - CF 29.09.09

Improvement plans received & actions being monitored - 29.09.09. DWP funding agreed to support additional work due to economic downturn. This is being monitored. 29.09.09

Lead Officer

Pete Jenner

Pete Jenner

Pete Jenner

Pete Jenner

Pete Jenner

Deadline

30-Jun-2009

09-Sep-1931

10-Jul-2009

28-Aug-2009

30-Sep-2009

Status

Completed

On Target

Completed

Completed

Completed

<u>Activities</u>	<u>Comments</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
3. Administer housing & council tax benefit/ second adult rebate & discretionary hardship payments – improving to upper quartile performance. (Measured by KPI)		Pete Jenner	31-Dec-2009	On Target
4. Administer housing & council tax benefit/ second adult rebate & discretionary hardship payments – improving to upper quartile performance. (Measured by KPI)		Pete Jenner	31-Mar-2010	On Target
5. Prepare for Audit Commission Benefit Service inspection (KLOE)	Overall action plan received - follow up meeting scheduled 28.07.09 to discuss actions. Review on policies & strategies being completed. engagement & consultation strategy under review. Next overall update scheduled for 13.10.09 - CF 29.09.09	Craig Green	31-Mar-2010	On Target
6. Maximise subsidy returns in compliance with DWP guidance. Ensure LA error remains below minimum threshold. Achieve Audit Commission approval.	PWC currently reviewing subsidy claim & additional checks have been requested. Excellent results - grant claim signed off with few adjustments for year 08/09. Nowe looking at LA error meeting scheduled for 05/10/09 - CF 29.09.09	Pete Jenner	31-Mar-2010	On Target
7. Achieve CIP programme in Year 1	Client requested revised CIP programme form Customer Centric Services Manager - due 22.07.09 Activities for year 1 CIP programme completed - discussed at meeting 13.10.09	Craig Green	09-Sep-1931	Completed
8. Maximise usage of DHP scheme – DWP funding.	Received reports on spend from arvato including forecast of spend. The years estimate has been submitted to the DWP - 29.09.09.	Pete Jenner	31-Mar-2010	On Target
9. Prepare for Pericles Migration		Pete Jenner	31-Mar-2010	On Target

Agenda Item 6

Action DSP-FIS-AP-006 Payment of Council Invoices & associated activities **Authorising Officer** John Farrell **Lead Officer** Christine Finnigan **Deadline** 31-Oct-2010 **Status** On Target

Progress Summary

Period	Action Plan Status	% Complete
Quarter 2	On Target	50

Activities

1. Payment of invoices & associated activities
2. Payment of invoices & associated activities
3. Payment of invoices & associated activities
4. Payment of invoices & associated activities
5. Complete CIPFA Benchmarking activity

Comments

Targets met for this period

Draft report received from CIPFA - next stage is comparators.

Lead Officer

Karen Glean
 Karen Glean
 Karen Glean
 Karen Glean
 Karen Glean

Deadline

30-Jun-2009
 30-Sep-2009
 31-Dec-2009
 31-Mar-2010
 31-Mar-2010

Status

Completed
 Completed
 On Target
 On Target
 Completed

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
DSP-FIS-AP-007 Support the Delivery of Corporate Initiatives				
<u>Progress Summary</u>				
<u>Period</u>	<u>Action Plan Status</u>	<u>% Complete</u>		
Quarter 2	On Target	50		

<u>Activities</u>	<u>Comments</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
Customer Contact Strategy	Attend the regular meetings of the Customer Contact Strategy board	Linda Price	31-Mar-2010	On Target
	There have not been any meetings of the board during this period			
	Continue to manage successive phases of the CRM implementation in accordance with project plans.			
	50% Complete			
	Implement the Northgate Front Office Upgrade to version 3			
	50% Complete			
Develop a Strategy & Timescale for the Implementation of Government Connect	All actions completed Engage with Government Connect Programme Team and business departments Confirm business requirements and prepare project plan	Linda Price	31-Mar-2010	Completed
	Meet requirements for Code of Connection to join Gsi - Deadline amended from 30/06/09 to 30/08/09 per Richard Roscoe.			

Agenda Item 6

<u>Activities</u>	<u>Comments</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
Support the Council's Accommodation Strategy	IT element will be managed by a skilled project manager (Bob Fitt) On target 50%	Jan Wemmel	31-Mar-2010	On Target
	Provide Technical Staff to assist in the removal and set-up of IT equipment On target 50%			

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
DSP-FIS-AP-008 Monitor Finance and IS Contract	John Farrell	Linda Price	31-Mar-2010	On Target
<u>Progress Summary</u>				
<u>Period</u>	<u>Action Plan Status</u>	<u>% Complete</u>		
Quarter 2	On Target	50		

<u>Activities</u>	<u>Comments</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
1) Reconciliation of Financial and Contractual Commitments		Phil Breen	31-Mar-2010	On Target
Record & Distribute Reports		Phil Breen	31-Mar-2010	On Target
Provide generic quality assurance service ensuring compliance with the contract	50% complete	Angela Ellis	31-Mar-2010	On Target

Agenda Item 6

Action DSP-FIS-AP-009 Upgrade Corporate ICT Infrastructure **Authorising Officer** John Farrell **Lead Officer** Linda Price **Deadline** 31-Mar-2010 **Status** On Target

Progress Summary

Period Action Plan Status % Complete
 Quarter 2 On Target 50

Activities	Comments	Lead Officer	Deadline	Status
Create and Undertake a Printer Reduction Strategy		Jan Wemmel	31-Mar-2010	On Target
Establish a New Data Centre		Jan Wemmel	31-Mar-2010	On Target
Refresh Desktop PC and Laptops	two out of three actions completed FIS-ICT-AP-008.1 : Create PC Refresh List for Phase 2 (June 09 – Sep 09) Completed	Jan Wemmel	31-Mar-2010	On Target
	FIS-ICT-AP-008.2 : Create PC Refresh List for Phase 3 (Oct 09 – Mar 10) Completed			
	FIS-ICT-AP-008.3 : Create PC Refresh List for Phase 4 (Apr 10 – Sep 10)			
Refresh Server infrastructure		Jan Wemmel	31-Mar-2010	On Target
Refresh Telephones		Jan Wemmel	31-Mar-2010	On Target
Upgrade Data Network Infrastructure	three out of four actions in annual service plan completed Action (FIS-ICT-AP-006)	Jan Wemmel	31-Mar-2010	On Target
Upgrade Telephony Infrastructure	FIS-ICT-AP-007.1 : Upgrade the Ericsson MD110 to MX-One (3.1 80% complete	Jan Wemmel	31-Mar-2010	On Target

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
DSP-FIS-AP-010 Implementation of Departmental ICT Projects				
<u>Progress Summary</u>				
<u>Period</u>	<u>Action Plan Status</u>	<u>% Complete</u>		
Quarter 2	On Target	50		

<u>Activities</u>	<u>Comments</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
1) Migration from Pericles to new Revenue and Benefits system	Procurement process has commenced	Jan Wemmel	31-Mar-2010	On Target
Implementation of ContactPoint for Children's Services		Jan Wemmel	31-Mar-2010	On Target
Continued ICT support for Elected Members	One of the two actions completed FIS-ICT-AP-014.1 : Review kit used by members On Target	Jan Wemmel	31-Mar-2010	On Hold
4) Implement Document Management in Children's Services	FIS-ICT-AP-014.2 : Report on wireless connectivity for non-Council equipment Completed	Jan Wemmel	31-Mar-2010	On Target

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
DSP-FIS-AP-011 Upgrade corporate ICT applications	John Farrell	Linda Price	31-Mar-2010	On Target

Progress Summary

<u>Period</u>	<u>Action Plan Status</u>	<u>% Complete</u>
Quarter 2	On Target	50

Activities

<u>Activities</u>	<u>Comments</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
1) Prepare for Migration from GroupWise to Microsoft Exchange	Migration will not take place until 2010/11 Likely to become a 2010/11 activity. This task is dependant on the move to the new data Centre in St Peter's House which is in turn dependant on Scottish Power providing sufficient power to the electrical sub-station.	Jan Wemmel	31-Mar-2010	On Target
2) Migration of Access databases to SQL	15% complete	Jan Wemmel	31-Mar-2010	On Hold
3) Migration of ASP systems to .NET	Council wide exercise to identify relevant Access databases is ongoing. Once complete, evaluation and prioritisation will take place. arvato undertaking migration exercise as rolling programme, utilising downtime between scheduled work.	Jan Wemmel	31-Mar-2010	On Target

<u>Activities</u>	<u>Comments</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
4) Support implementation of Government Connect	Seven out of eight actions completed FIS-ICT-AP-019.1 : Attain sign-off and approval of Code of Connection Completed	Jan Wemmel	31-Mar-2010	Completed
	FIS-ICT-AP-019.2 : Implement connection to GCSx Completed			
	FIS-ICT-AP-019.3 : Test connection to GCSx Completed			
	FIS-ICT-AP-019.4 : Train relevant users On Target			
	FIS-ICT-AP-019.5 : Update Information Risk Policies and Acceptable Use Policies for GC Completed			
	FIS-ICT-AP-019.6 : Client sign-off given Completed			
	FIS-ICT-AP-019.7 : GC approval given Completed			
Development of GIS	One action completed and one delayed Tidy up gazetteer Completed	Jan Wemmel	31-Mar-2010	On Target
	Extend Spatial Database There are problems with the software that are being discussed with the supplier. Delayed			

Agenda Item 6

Action DSP-FIS-AP-012 Review & Develop Corporate Policies & Strategies in relation to ICT **Authorising Officer** Paul Edwards **Lead Officer** Linda Price **Deadline** 31-Mar-2010 **Status** On Target

Progress Summary

Period	Action Plan Status	% Complete
Quarter 2	On Target	40

Activities

Corporate Information Risk Management and compliance

Comments

FIS-ICT-AP-022.1 : Chair Greater Merseyside Policy and Strategy Group
 On Target 50% Complete

On hold until Strategic Budget Review Complete
 FIS-ICT-AP-022.2 : Agree Strategy & Plan
 FIS-ICT-AP-022.3 : Review & Develop IT Strategy and Policy framework
 FIS-ICT-AP-022.4 : Develop new Implementation Plan

Lead Officer Richard Roscoe **Deadline** 31-Mar-2010 **Status** On Target

<u>Activities</u>	<u>Comments</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
Review and develop Corporate ICT Policy and Strategy.	Ten actions on target and 4 have been delayed	Linda Price	31-Mar-2010	On Target
	<p>FIS-ICT-AP-021.6 : Set up corporate information risk management steering group and framework and hold 4 meetings. On Target</p> <p>Need to decide if this group should be a standalone group, or built into the existing business risk management group.</p>			
	<p>Delayed</p> <p>FIS-ICT-AP-021.7 : Identify and allocate all personal information held across Council.</p> <p>FIS-ICT-AP-021.8 : Carry out training needs analysis for information risk management.</p> <p>FIS-ICT-AP-021.9 : Develop appropriate corporate training and awareness to support the above.</p> <p>FIS-ICT-AP-021.10 : Track information flow between Agencies and support ISPs where necessary</p>			
	<p>All four dependant on having a steering group in place. See activity above (FIS-ICT-AP-021.6)</p>			

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
DSP-FIS-AP-013 Develop and maintain a fully compliant and accessible internet and intranet site	John Farrell	Janet Barry	31-Oct-2010	On Target
<u>Progress Summary</u>				
<u>Period</u>	<u>Action Plan Status</u>	<u>% Complete</u>		
Quarter 2	On Target	50		
<u>Activities</u>	<u>Comments</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>

<u>Activities</u>	<u>Comments</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
All activities listed under customer services client workstream	Attain approval of strategy at CCEB - CCEB to be scheduled in November	Janet Barry	31-Mar-2010	On Target
	six reports on kiosk performance completed			
	Report on Myspace2breathe template development Completed			
	Report on Southport Cycle Town template development Completed			
	Report on review of request for Southport Eco Centre template Completed			
	Report on monitoring request for template/site for Safer Stronger Communities Completed			
	Report on priority areas for development including resources required Completed			
	Completed study including recommendations for moving forward			
	Conducted study into template development			
	Set meetings to discuss, and finalise PI definitions for CS1 and CS2 Completed			

Agenda Item 6

<u>Action</u>	<u>Authorising Officer</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
DSP-FIS-AP-014 Delivery of excellent Customer Services	John Farrell	Janet Barry	31-Mar-2010	On Target
<u>Progress Summary</u>				
<u>Period</u>	<u>Action Plan Status</u>	<u>% Complete</u>		
Quarter 2	On Target	50		
<u>Activities</u>	<u>Comments</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>

<u>Activities</u>	<u>Comments</u>	<u>Lead Officer</u>	<u>Deadline</u>	<u>Status</u>
<p>ALI activities are listed under customer services client workstream</p>	<p>Agreed content and commission customer satisfaction survey</p>	<p>Janet Barry</p>	<p>31-Mar-2010</p>	<p>On Target</p>
	<p>Contacted Mott MacDonald to provisionally book time slot first two weeks in October. Further Meeting to be held in early August to obtain costs and agree content. Conduct customer satisfaction survey On Target</p>			
	<p>Publish report on findings from survey, identify and agree actions Not Started</p>			
	<p>Publish PI performance Not Started</p>			
	<p>Reducing avoidable contact Following national guidance, ensure data collection requirements are in place. Completed</p>			
	<p>Action plans resulting from the exercise undertaken in February have been written and are held under NI14 within SRINT</p>			
	<p>Customer Access Strategy document has been shared with Margaret Carney. A progress plan will be in place by 31.12.09</p>			

Agenda Item 6

Action DSP-FIS-AP-015 Finance and IS/arvato Continuous Improvement Plan/Customer Contact Strategy

Authorising Officer John Farrell

Lead Officer Janet Barry

Deadline 31-Mar-2010

Status On Target

Progress Summary

Period	Action Plan Status	% Complete
Quarter 2	On Target	50

Activities

Activity listed under customer services client stream

Comments

Customer Access Strategy document has been shared with Margaret Carney. A progress plan will be in place by 31.12.09

July - September, all KPIs met target

Lead Officer Janet Barry

Deadline 31-Mar-2010

Status On Target

PI Ref	Description	Preferred Outcome	Collection Frequency	Previous Year's Actual	2009/10 Q2 Estimate	2009/10 Q2 Actual	2009/10 Target	2009/10 Projection	Target to be achieved?
Finance									
NI 014	Avoidable contact: The average number, of customer contacts per received customer request	Lower	Annual	11.75%	No Data	No Data	No Data	No Data	No Data

Agenda Item 6

PI Ref	Description	Preferred Outcome	Collection frequency	Previous Year's Actual	2009/10 Q2 Estimate	2009/10 Q2 Actual	2009/10 Target	2009/10 Projection	Target to be achieved?
Finance and Information Services									
LPI FIS-ICT-001	ICT 01: Service Desk Response (Abandoned Calls)	Lower	Monthly	No Data	10%	4.28%	No Data	No Data	No Data
LPI FIS-ICT-003	ICT 03: Service Desk Response (Incidents: First Line Support)	Higher	Monthly	No Data	75%	100%	No Data	No Data	No Data
LPI FIS-ICT-004	ICT 04: Desktop IT Facilities Installation	Higher	Monthly	No Data	95%	100%	No Data	No Data	No Data
LPI FIS-ICT-005	ICT 05: Network Infrastructure Availability	Higher	Monthly	No Data	99%	100%	No Data	No Data	No Data
FIS-ICT-	ICT 06: Voice Network Availability	Higher	Monthly	No Data	99%	100%	No Data	No Data	No Data
FIS-ICT-	ICT 07: Critical Application Availability	Higher	Monthly	No Data	99.50%	99.95%	No Data	No Data	No Data
LPI FIS-ICT-008	ICT 08 - Server Availability (Availability of servers supporting business-critical applications)	Higher	Monthly	No Data	99.5%	99.77%	No Data	No Data	No Data
LPI FIS-ICT-009	ICT 09 - Incident Resolution	Higher	Monthly	No Data	80%	89.36%	No Data	No Data	No Data
LPI FIS-ICT-010	ICT 10 - Project Request Response (New Work)	Higher	Monthly	No Data	100%	100%	No Data	No Data	No Data
LPI FIS-ICT-011	ICT 11 - Incidents Requiring a Visit by an IT Technician	Higher	Monthly	No Data	80%	86.18%	No Data	No Data	No Data
LPI FIS-ICT-012	ICT 12 - Service Desk Response (Service Request: First Line Support)	Higher	Monthly	No Data & No Measure Set	& No Measure Set	No Measure Set	No Data & No Measure Set	No Data & No Measure Set	No Data & No Measure Set

PI Ref	Description	Preferred Outcome	Collection frequency	Previous Year's Actual	2009/10 Q2 Estimate	2009/10 Q2 Actual	2009/10 Target	2009/10 Projection	Target to be achieved?
Finance and Information Services									
LPI FIS-ICT-013	ICT 13 - Performance Reporting	Higher	Monthly	No Data	100%	100%	No Data	No Data	No Data
LPI FIS-ICT-014	ICT 14 - Disposal of Equipment	Higher	Monthly	No Data	90%	100%	No Data	No Data	No Data
NI 014	Avoidable contact: The average number, of customer contacts per received customer request	Lower	Annual	11.75%	No Data	No Data	No Data	No Data	No Data
NI 179	Value for money – total net value of on-going cash-releasing value for money gains that have impacted since the start of the 2008-9 financial year (£ thousands) CLG DSO	Higher	Bi-annual	7,336.00	No Data	No Data	8,710.00	8,710.00	Yes
80	Changes in Housing Benefit/ Council Tax Benefit entitlements within the year DWP DSO	Higher	Annual	790%	No Data	No Data	No Data	No Data	No Data
NI 181	Time taken to process Housing Benefit/Council Tax Benefit new claims and change events DWP DSO	Lower	Monthly	No Data	No Data	No Data	No Data	No Data	No Data

This page is intentionally left blank

Agenda Item 7

REPORT TO: CABINET MEMBER – CORPORATE SERVICES

DATE: 3rd February 2009

SUBJECT: CONSULTATION ON DRAFT STATUTORY GUIDANCE ON THE DUTY TO RESPOND TO PETITIONS

WARDS AFFECTED: ALL

REPORT OF: CAROLINE ELWOOD, LEGAL DIRECTOR

CONTACT OFFICER: ANDREA GRANT Ext 2030

**EXEMPT/
CONFIDENTIAL:** NO

PURPOSE/SUMMARY:

To consider a draft response to the Government's consultation on the draft statutory guidance on the duty to respond to petitions.

REASON WHY DECISION REQUIRED:

To enable a response to be forwarded to the Department of Communities and Local Government before the deadline of 24th February 2010.

RECOMMENDATION(S):

That the draft response to the consultation on the draft statutory guidance on the duty to respond to petitions be approved for submission to the Department of Communities and Local Government.

KEY DECISION: No

FORWARD PLAN: Not appropriate

IMPLEMENTATION DATE: Following the expiry of the "call-in" period for the Minutes of this meeting.

Agenda Item 7

ALTERNATIVE OPTIONS:

None

IMPLICATIONS:

Budget/Policy Framework: None arising from this report.

Financial:

CAPITAL EXPENDITURE	2009/ 2010 £	2010/ 2011 £	2011/ 2012 £	2012/ 2013 £
Gross Increase in Capital Expenditure				
Funded by:				
Sefton Capital Resources				
Specific Capital Resources				
REVENUE IMPLICATIONS				
Gross Increase in Revenue Expenditure				
Funded by:				
Sefton funded Resources				
Funded from External Resources				
Does the External Funding have an expiry date? Y/N	When?			
How will the service be funded post expiry?				

Legal: The Legal Director supports this proposal.

Risk Assessment:

Asset Management: None arising from this report.

CONSULTATION UNDERTAKEN/VIEWS

CORPORATE OBJECTIVE MONITORING:

<u>Corporate Objective</u>		<u>Positive Impact</u>	<u>Neutral Impact</u>	<u>Negative Impact</u>
1	Creating a Learning Community		√	
2	Creating Safe Communities		√	
3	Jobs and Prosperity		√	
4	Improving Health and Well-Being		√	
5	Environmental Sustainability		√	
6	Creating Inclusive Communities	√		
7	Improving the Quality of Council Services and Strengthening local Democracy	√		
8	Children and Young People		√	

LIST OF BACKGROUND PAPERS RELIED UPON IN THE PREPARATION OF THIS REPORT
--

1.0 BACKGROUND:

- 1.1 Sections 10 to 22 of The Local Democracy, Economic Development and Construction Act 2009 include requirements for every principal local authority in respect of petitions. Although the Act received Royal Assent on 12th November 2009, the provisions relating to petitions have yet to be implemented and the Government is now consulting on the guidance that will apply to those provisions.
- 1.2 The main statutory requirements that will relate to the Council are as follows –
- i) To have an on-line petition facility which allows anyone to set up a petition on the Council’s system, and allows anyone to ‘sign’ the petition on-line.
 - ii) To adopt a petition scheme which sets out how the Council will acknowledge receipt of petitions and advise the petition organiser how the petition will be dealt with. The Act requires that the petition scheme define three categories of petition, and set a minimum number of signatures for each type of petition.
- 1.3 For ‘ordinary petitions’, the authority is given wide flexibility to set the threshold number of signatures as high or low as it wishes, and to determine how such petitions will be dealt with. The Government recommend however that the Council set a low threshold and the Secretary of State will have the power to direct a Council to amend its petition scheme if it is proving to be unworkable.

Agenda Item 7

- 1.4 'Petitions requiring Debate' must be reported to full Council for debate, and the Council will be able to set a higher number of signatures as the threshold for this type of petition. Note however that currently the draft guidance states that the threshold must be no higher than 5% of the local population. According to the most recent population estimates, 5% of Sefton's population is 13,755.
- 1.5 'Petitions to hold an officer to account' must name a senior officer and will trigger an open meeting of an appropriate Overview and Scrutiny Committee at which the officer may be questioned by the Committee in relation to his or her actions on a particular matter. The Council will be able to set a different threshold number of signatures for this type of petition, although again, a low threshold is recommended.
- 1.6 To fall in with the requirements of the scheme, the petition must relate to a function of the authority or, to 'an improvement in the economic, social or environmental well-being of the authority's area to which any of the authority's partner authorities could contribute'. The Act provides that a petition may be signed by anyone who lives, works or studies in the authority's area.
- 1.7 The Council will be able to reject petitions which are considered to be vexatious, abusive or otherwise inappropriate.
- 1.8 The new petition scheme does not apply to petitions received under other statutory procedures, such as petitions for an elected mayor referendum. Matters relating to planning decisions and licensing decisions are also specifically excluded.
- 1.9 Where the petition organiser is not satisfied by the actions taken by the authority in response to a petition, the petition scheme must give a right of appeal to a relevant Overview and Scrutiny Committee. That Committee will then be able to review the decision and action taken by way of a response and make appropriate recommendations.

2.0 E-petitions

- 2.1 The 2009 Act applies the same requirements to electronic petitions as to paper petitions, except for the following:
 - local authorities are only required to respond to e-petitions made through their e-petition facility;
 - authorities must decide, when a request to host an e-petition is received, whether the petition is appropriate for publishing on their web site;
 - the authority will need to decide what equates to a signature on an e-petition
 - local authorities are required to provide a facility for people to submit petitions to the authority electronically. In addition to this, local authorities can choose to respond to e-petitions submitted by other means and should indicate in their petition scheme how they will deal with these types of petitions.

- 2.2 A local authority's petition scheme must secure that the authority's e-petition facility allows citizens to create a petition which can be published online and made available to others for electronic signature. The Government does not consider that acceptance of emailed petitions meets this requirement.
- 2.3 Authorities should consider how to integrate their e-petition process with relevant online information and existing online functions. The suggestion is that it could be linked to council meetings or decisions, to the minutes or webcast of the relevant meeting, to online forums and most importantly, to the authority's published response to the petition.
- 2.4 When taking the decision whether to host an e-petition the authority should consider pertinent issues when publishing any information of their website. Eg issues such as data protection, libel and the statutory requirement, as a public body, to comply with equalities and antidiscrimination legislation.
- 2.5 If we decide not to host an e-petition we are required to give reasons why this decision has been taken. This will allow petitioners an opportunity to amend and resubmit their petition.
- 2.6 The Department of Communities has indicated that further sector led best practice guidance on e-petitions will be available, including practical advice for selecting and setting up an e-petitions facility and a set of recommended data standards. However they have not given any timescale for this.

3.0 Sefton's current arrangements

- 3.1 The Council already has a long established process for dealing with petitions. Area Committees hear and consider petitions relating to matters within their purview (with the exception of specific planning or licensing matters which follow the procedures set out in the Council and Committee procedure rules).
- 3.2 In addition, Members of the public may attend meetings of the Council to present petitions, including making a brief (5 minute) statement as to the content of their petition. Councillors may also present a petition on behalf of residents on matters affecting their ward. The rules governing petitions at the moment are set out below:
- Persons intending to present a petition are required to notify the Legal Director by 12 noon on the day before the Council Meeting.
 - Petitions need to be signed by at least 25 people, who are residents of the Borough.
 - Petitions must be relevant to the discharge of the Council's functions.
 - Petitions should not refer to individual officers of the Council by name.
 - Petitions are referred, without debate, to the appropriate Cabinet Member or Committee.
 - The Mayor, in consultation with the Legal Director, has the power to determine that a petition is out of order, where it does not comply with the above procedures.

Agenda Item 7

4.0 The Consultation

- 4.1 The Department for Communities and Local Government is consulting on the draft guidance and the full consultation paper is attached at Appendix 1.
- 4.2 The consultation paper incorporates a draft model petition scheme which Councils will be able to adapt for their own use.
- 4.3 There are 12 specific questions within the consultation document and the closing date for responses is 24th February 2010.
- 4.4 It should be pointed out that the consultation has raised a considerable level of interest within the Local Government community. A number of issues have been raised in connection with the proposals as they currently stand, with particular emphasis on required threshold levels, on-line petition verification/security methods and appropriate levels of accountability.

5.0 Consultation Questions

- 5.1 The consultation questions are set out below and suggested responses are in italics below.
- 5.2 Question 1 - Does the guidance clearly set out the key principles and requirements of the petitions duty?

Yes the guidance is clear but does not take into account any existing measures the Council has in place for dealing with petitions.

- 5.3 Question 2 – Are there any existing areas in the guidance which require further clarification?

There is no suggestion that a minimum threshold for petitions is set. This would be essential to distinguish petitions from ordinary correspondence – although this would need to be set locally and at a relatively low level.

For petitions that are 'requiring debate', this would inevitably lead to Council debating executive matters that are the responsibility of the Cabinet. It would be helpful if the guidance allowed the formal referral of such petitions to the Cabinet for consideration.

The issue of thresholds being set at different levels for different subject matters (set out in paragraph 19 of the consultation paper) could lead to a complicated and bureaucratic process that would be difficult to implement and frustrating for petitioners.

The role of elected Members in instigating and promoting a petition needs to be clarified, particularly their role in any investigation subsequently carried out.

Agenda Item 7

- 5.4 Question 3 - Are there any additional areas which you feel this statutory guidance should cover ? If so, please state what they are and why you feel they should be included.

Depending on the level of submissions, Council meetings could be considerably extended – a time limit for the time spent on petitions per Council meeting could be useful.

The guidance should also cover the issue of multiple petitions on the same topic.

- 5.5 Question 4 - Are there any additional areas which, while not appropriate for statutory guidance, you would like to see covered by sector-led guidance?

It would be helpful to have some guidance on protocols for dealing with cross-boundary petitions to enable them to be dealt with in a consistent manner.

- 5.6 Question 5 - Are there any areas covered in this statutory guidance which you feel would be more appropriately covered in sector-led guidance? If so, please state what they are and why you feel they should be addressed in this way.

See response to Question 4 above.

- 5.7 Question 6 - Do you think the model scheme is clearly expressed and easy for people to use ? Please give your reasons

Yes subject to the details on thresholds set out above.

- 5.8 Question 7 - Do you think the standards set in the model scheme are achievable and appropriate to citizens expectations ?

Yes

- 5.9 Question 8 - Do you think there is anything that should be added to the model scheme ?

No but it could be subject to review following a period of operation.

- 5.10 Question 9 - Do you agree with the categories we have excluded in the order? If you do not agree with the categories please explain why you do not think they should be excluded.

Yes

- 5.11 Question 10 - Do you think there should be additional categories excluded? If so please state what they are and why you feel they should be excluded

The exclusion of petitions relating to politically controversial subjects around elections should be considered

Agenda Item 7

- 5.12 Question 11 - Following on from this consultation, what do you consider the most appropriate timescale for bringing the petitions duty into force? Please explain your reasons

The proposed timetable for implementation (1st April 2010) would be tight to achieve and is close to the local government elections. It may be more appropriate to introduce at the start of the new Municipal Year.

- 5.13 Question 12 - Initial discussions with both the local government and technology sector indicate that it would be wise to stagger the implementation of the e-petition element of the duty, bringing the e-petition requirements into force 12 months after the other elements of the duty are commenced. Do you agree? Please explain your reasons.

Yes - It is sensible to introduce the e-petitions element once systems can be tested and quality assured. However, it may be confusing to stagger implementation.



Listening to communities:
Consultation on draft statutory guidance on the duty
to respond to petitions

Agenda Item 7



Listening to communities:
Consultation on draft statutory guidance on the duty
to respond to petitions

Communities and Local Government
Eland House
Bressenden Place
London
SW1E 5DU
Telephone: 030 3444 0000
Website: www.communities.gov.uk

© Crown Copyright, 2009

Copyright in the typographical arrangement rests with the Crown.

This publication, excluding logos, may be reproduced free of charge in any format or medium for research, private study or for internal circulation within an organisation. This is subject to it being reproduced accurately and not used in a misleading context. The material must be acknowledged as Crown copyright and the title of the publication specified.

Any other use of the contents of this publication would require a copyright licence. Please apply for a Click-Use Licence for core material at www.opsi.gov.uk/click-use/system/online/pLogin.asp, or by writing to the Office of Public Sector Information, Information Policy Team, Kew, Richmond, Surrey TW9 4DU

e-mail: licensing@opsi.gov.uk

If you require this publication in an alternative format please email alternativeformats@communities.gsi.gov.uk

Communities and Local Government Publications
Tel: 0300 123 1124
Fax: 0300 123 1125
Email: product@communities.gsi.gov.uk
Online via the Communities and Local Government website: www.communities.gov.uk

75% recycled

This is printed on
75% recycled paper

December 2009

Reference number: 09CA06127

ISBN: 978-1-4098-1941-7

Ministerial foreword



Over the past decade, there has been a steady and sustained transfer of power to local authorities as part of the Government's drive to improve public services and make them more responsive as well as efficient. Local authorities are firmly at the heart of this shift of power, enabling them to hold key service providers, such as police and health, to account to their local residents.

This transfer of power has confirmed the importance of elected local authorities to the Government. We are clear that the foundation of their importance lies with individual citizens, not with the institutions themselves. The founding principle of local government is that citizens have the right to influence the decisions that affect their lives and their communities. Sometimes they may exercise this right through personalised services and sometimes by influencing local services – for example, by having a direct say over how their neighbourhood is policed. And sometimes it will be through lobbying their council. But a key way in which local citizens are able to exercise that right is their ability to elect a strong local council which can lead and shape their area.

That is why the role of councillors and councils, with their unique democratic mandate, is critical to making sure that local services are responsive to the needs of their local communities. Citizens have a right to have their voices heard, and to expect those delivering services to care what they think.

Through the petitions duty in the Local Democracy, Economic Development and Construction Act, we are supporting these principles by ensuring that citizens know how they can voice their concerns with their council and know how these concerns have been taken into account. Through petitions, councils in turn have a valuable opportunity to demonstrate strong local leadership, for example, advocating of behalf of their community with local partners where there are community concerns that services are under-performing.

This consultation on the draft statutory guidance and secondary legislation to support the petitions duty is a further step towards the Government's important aim to strengthen local democracy.

A handwritten signature in black ink, appearing to read 'John Denham'. The signature is fluid and cursive, with a long horizontal stroke at the end.

John Denham
Secretary of State for Communities and Local Government

Contents

About this consultation	9
Draft statutory guidance on the duty to respond to petitions	11
Introduction	11
Chapter 1 The petition scheme	13
Summary of requirements	14
Designing a petition scheme	15
Responding to petitions	16
Verification of signatures and acknowledgement	17
Relevant matters	17
Exclusions	17
Vexatious, abusive or otherwise inappropriate	17
Petitions under other enactments	18
Matters excluded by regulation	18
Appropriate steps	19
E-petitions	21
Chapter 2 Petition debates	23
The debate	23
Setting the threshold for debates	24
Exclusions	24
Chapter 3 Giving evidence	25
Existing guidance	25
Setting an appropriate threshold	25
Officers to which Section 16 applies	26
Appropriate officer	26
Giving ‘grounds’	27
Reporting	27
Chapter 4 Petition reviews	28
Triggering a meeting of the full council	29
Publicising the outcome of the review	29
Annex A – Draft model scheme	30
Annex B – Draft petitions order	37
Summary of consultation questions	43

Scope of the consultation

Topic of this consultation:	The Local Democracy, Economic Development and Construction Act 2009 contains a duty on local authorities to respond to petitions. This consultation is to gather feedback on the draft statutory guidance and secondary legislation underpinning the duty.
Scope of this consultation:	This consultation asks whether the guidance adequately explains the key principles and requirements of the duty, whether it is clear and easily understood with an appropriate level of detail. It also asks views on the matters to be excluded from the duty through the draft order at Annex B and on suitable timescales for implementation. Specific questions can be found at the end of this consultation document.
Geographical scope:	This legislation applies to England and Wales but this consultation, the guidance and the draft order only apply to England.
Impact Assessment:	<p>The petitions duty is considered to have impact only on the public sector and estimated costs fall below the impact assessment threshold.</p> <p>New burdens</p> <p>The proposals set out in this consultation will impose costs on local authorities; they may also deliver savings. In line with the Government's new burdens doctrine, any net additional cost will be fully and properly funded by the Department for Communities and Local Government so that no additional pressure is placed on council tax bills.</p>

Basic information

To:	This consultation seeks the views of principal local authorities, community and third sector organisations and members of the public.
Body/bodies responsible for the consultation:	Community Action Division in Communities and Local Government.
Duration:	This consultation will run for 12 weeks from Wednesday 2 December 2009 until Wednesday 24 February 2010.
Enquiries:	For more information please contact Carl Laughna on 0303 44 42044 or at Carl.Laughna@communities.gsi.gov.uk or Emma Hagan on 0303 44 42010 or at Emma.Hagan@communities.gsi.gov.uk

<p>How to respond:</p>	<p>Please send responses by email to petitions@communities.gsi.gov.uk</p> <p>Or by post to</p> <p>Listening to Communities Consultation Eland House 5/B4 Bressenden Place London SW1E 5DU</p> <p>Responses can also be submitted online at www.communities.gov.uk</p>
<p>Additional ways to become involved:</p>	<p>A network of local authority expert practitioners in the field of petitions has been formed. The network has been established to provide advice and support to local authorities on the petitions duty. They will also be facilitating an online forum to discuss the draft guidance which can be found at the IDeA community of practice website: http://www.communities.idea.gov.uk/.</p> <p>Views expressed in these discussions will also be fed into the consultation process.</p>
<p>After the consultation:</p>	<p>We will analyse responses to the consultation and they will be used to inform the final version of the statutory guidance and model scheme which will underpin the petitions duty when it comes into effect.</p> <p>A summary of the responses received will also be published on the Department's website within three months of the close of the consultation.</p>
<p>Compliance with the Code of Practice on Consultation:</p>	<p>This consultation complies with the Government's Code of Practice on Consultation.</p>

Background

<p>Getting to this stage:</p>	<p>The petitions duty was a commitment in the Government's Empowerment white paper <i>Communities in control: Real people, real power</i> and was in response to the <i>Local Petitions and Calls for Action Consultation</i> which ran from December 2007 to March 2008.</p>
<p>Previous engagement:</p>	<p><i>Local Petitions and Calls for Action Consultation</i> which ran from December 2007 to March 2008.</p>

About this consultation

1. This consultation document and consultation process have been planned to adhere to the Code of Practice on Consultation issued by the Department for Business, Innovation and Skills and is in line with the seven consultation criteria, which are:
 - formal consultation should take place at a stage when there is scope to influence the policy outcome
 - consultations should normally last for at least 12 weeks with consideration given to longer timescales where feasible and sensible
 - consultation documents should be clear about the consultation process, what is being proposed, the scope to influence and the expected costs and benefits of the proposals
 - consultation exercises should be designed to be accessible to, and clearly targeted at, those people the exercise is intended to reach
 - keeping the burden of consultation to a minimum is essential if consultations are to be effective and if consultees' buy-in to the process is to be obtained
 - consultation responses should be analysed carefully and clear feedback should be provided to participants following the consultation
 - officials running consultations should seek guidance in how to run an effective consultation exercise and share what they have learned from the experience
2. Representative groups are asked to give a summary of the people and organisations they represent, and where relevant who else they have consulted in reaching their conclusions when they respond.
3. Information provided in response to this consultation, including personal information, may be published or disclosed in accordance with the access to information regimes (these are primarily the Freedom of Information Act 2000 (FOIA), the Data Protection Act 1998 (DPA) and the Environmental Information Regulations 2004).
4. If you want the information that you provide to be treated as confidential, please be aware that, under the FOIA, there is a statutory Code of Practice with which public authorities must comply and which deals, amongst other things, with obligations of confidence. In view of this it would be helpful if you could explain to us why you regard the information you have provided as confidential. If we receive a request for disclosure of the information we will take full account of your explanation, but we cannot give an assurance that confidentiality can be maintained in all circumstances. An automatic confidentiality disclaimer generated by your IT system will not, of itself, be regarded as binding on the department.

5. The Department for Communities and Local Government will process your personal data in accordance with DPA and in the majority of circumstances this will mean that your personal data will not be disclosed to third parties.
6. Individual responses will not be acknowledged unless specifically requested.
7. Your opinions are valuable to us. Thank you for taking the time to read this document and respond.
8. Are you satisfied that this consultation has followed these criteria? If not or you have any other observations about how we can improve the process please contact:

CLG Consultation Co-ordinator
Zone 6/H10
Eland House
London SW1E 5DU

or by e-mail to: consultationcoordinator@communities.gsi.gov.uk

Listening to communities: draft statutory guidance on the duty to respond to petitions

Introduction

Context

1. The Local Democracy, Economic Development and Construction Act 2009 (referred to in this document as 'the 2009 Act') aims to reinvigorate local democracy – putting local authorities at the forefront of the drive to reconnect people with public and political decision-making. This democratic renewal is about restoring trust and confidence in local government and its institutions and its starting point is the citizen.
2. While the Place Survey shows that 80 per cent¹ of people are happy with their area, satisfaction with the way the council runs things is low at 45 per cent. The perception in communities that people can influence decisions that affect their local area is even lower. The duty to respond to petitions is an important step towards addressing this.
3. Signing a petition is one way for citizens to express their concerns and priorities to their local authority and the Citizenship Survey shows that petitions are the most popular and recognised form of civic action². Some local authorities already have well developed processes for responding to petitions and approach them as an opportunity to listen to the community and demonstrate strong local leadership.
4. However, this is not the case across the board. Communities and Local Government examined all English local authority websites in April 2008, and found that only one in five councils make details about how to submit a petition publicly available. In a climate where only 39³ per cent of people feel they can influence decisions in their local area and in some areas only 48⁴ per cent feel that their council keeps them well informed about the services it provides, it is essential that we ensure people can easily find out how to send their views about public services to local decision makers. If not, people will continue to feel that their views are not welcome, and will be discouraged from trying to get involved in local decisions in the future.

¹ Place Survey: England – Headline Results 2008 (Revised), <http://www.communities.gov.uk/publications/corporate/statistics/placesurvey2008>

² 60 per cent of those people who engaged in an act of civic participation in 2007-2008 signed a petition, Citizenship Survey, 2007-2008

³ Citizenship Survey April to December 2007

⁴ Place Survey

5. The petitions provisions in the 2009 Act, combined with the duty to promote democracy also in that Act, are a significant step towards addressing this situation.

Guidance

6. The draft statutory guidance to which local authorities will be required to pay regard can be found on pages 13 – 36. This part of the document sets out the key principles and key requirements of the petitions duty. It gives guidance to which local authorities⁵ must have regard when designing and complying with their petition scheme and information about the role of overview and scrutiny committees under these requirements. It also contains, at Annex A, a model scheme which local authorities may choose to adopt or to adapt to local circumstances. This guidance does not replicate the provisions set out in the legislation and should be read in conjunction with Sections 10 – 22 of the 2009 Act and the Local Authorities (Petitions)(England) Order2009 (see draft order at Annex B).

⁵ The petitions duty applies to principal local authorities, defined for the purpose of Chapter 2 of the Local Democracy, Economic Development and Construction 2009 Act as a) a county council in England; b) a district council in England; c) a London borough council; d) the Common Council of the City of London in its capacity as a local authority; e) the Council of the Isles of Scilly; f) a county or county borough council in Wales. However, this guidance applies only to principal local authorities in England.

Chapter 1

The petition scheme

Key principles:

- ensuring that local people know how to express their views
- local authorities will take action to respond to petitions
- local people know that their views have been listened to
- keeping prescribed requirements on councils to a minimum, and
- building on local authority best practice

Key outcome:

Everyone, no matter where they live, will be easily able to find information about how to petition their local authority and they will know what to expect from their local authority in response.

Overview

7. The petitions duty in the Local Democracy, Economic Development and Construction Act 2009 means that for the first time councils will be required to respond to petitions and tell local people what action is going to be taken to address their concerns. Petitions can no longer be ignored because they raise a difficult or challenging issue in the local area.
8. Government believes that local authorities should approach their petition scheme from the starting point of responding to all the petitions they receive. Petitions are an important tool for local people to raise concerns with their locally elected representatives and we expect petitions to trigger action where appropriate. This guidance includes examples of the responses local authorities should consider in four key areas, under-performing schools, alcohol related crime and disorder, under-performing health services and anti-social behaviour.
9. The model scheme at Annex A demonstrates these principles by setting out that all petitions, regardless of the number of signatures, will receive a response providing they follow the guidelines set out in the scheme. The model scheme also gives details about the types of action the 'model' local authority will take in response to petitions on key areas of concern.

Summary of requirements

10. The Local Democracy, Economic Development and Construction Act 2009 requires all principal local authorities in England to establish a scheme for handling petitions made to the authority.
11. The scheme:
 - must be approved by a meeting of the full council before it comes into force
 - must be published on the principal local authority's website and by any other method appropriate for bringing it to the attention of those who live, work or study in its area
 - can be revised at any time but the revised scheme must be approved and publicised as detailed above
 - the authority must comply with its petition scheme
12. The 2009 Act requires petition schemes to meet some minimum standards in order to ensure minimum entitlements which all citizens can expect. Beyond this small number of requirements local authorities have a high level of flexibility about how they approach the duty – leaving a lot of scope for local determination.
13. The requirements are:
 - anyone who lives, works or studies in the local authority area, including under 18's, can sign or organise a petition and trigger a response
 - a facility for making electronic petitions is provided by the local authority
 - petitions must be acknowledged within a time period specified by the local authority
 - among the many possible steps that the principal local authority may choose to take in response to a petition, the following steps must be included in the scheme:
 - taking the action requested in the petition
 - considering the petition at a meeting of the authority
 - holding an inquiry
 - holding a public meeting
 - commissioning research
 - a written response to the petition organiser setting out the authority's views on the request in the petition
 - referring the petition to an overview and scrutiny committee

- petitions with a significant level of support trigger a debate of the full council. Councils will determine this threshold locally but it must be no higher than 5 per cent of the local population (see Chapter 2)
 - petitions with a requisite level of support, set by the local authority, trigger a senior local government officer to give evidence at a meeting of the authority's overview and scrutiny committee (see Chapter 3)
 - petition organisers⁶ can prompt a review of the local authority's response if the response is felt to be inadequate (see Chapter 4)
14. The requirements listed above are the minimum set by the 2009 Act. Local authorities are encouraged to consider designing a scheme which is wider than these requirements, for example, responding to petitions from those who do not live, work or study in the local area or e-petitions which are not made through the authority's own e-petition facility.
 15. Section 18 of the 2009 Act clarifies that local authorities can include other information which they consider to be appropriate in their petition scheme. For example, details about how they handle petitions which do not qualify under the scheme or which apply to the functions of another principal local authority, particularly in areas with two tiers of local government.
 16. Once published the local authority must comply with its petition scheme but can revise it at any time by taking the steps set out in Section 11 of the 2009 Act.

Designing a petition scheme

17. Principal local authorities, when designing their petition scheme, are expected to
 - take into account local circumstances to ensure that the scheme is locally appropriate; for example, *the same thresholds set in a densely populated urban area may not be suitable for a rural authority*
 - ensure that the scheme is accessible to all; for example, *an authority could decide to promote its petition scheme as part of its responsibility to promote understanding of the council under the requirements of the duty to promote democracy, the e-petitions facility is compliant with web accessibility standards*
 - ensure that the process is easy for citizens to use; for example, *that the scheme sets thresholds which are achievable for petitions on very local, as well as authority wide, concerns, no previous knowledge of council procedure is needed in order to submit a petition, the scheme is written in Plain English, people know what they have to do in order to receive a response*

⁶ "petition organiser", in relation to a petition made to a principal local authority, means—

(a) the person designated in the petition as the petitioner;
(b) such other person as agrees with the authority to

act on behalf of the authority in relation to the petition, or
any other person whom the authority may deal in relation to the petition;

18. Government expects any thresholds which local authorities decide to set to be locally achievable. We expect that where practical local authorities will set low thresholds, such as those used in the model scheme at Annex A. The model scheme takes the approach already used by some local authorities of setting no threshold for triggering a response to a petition. This means the 'model' local authority responds to all the petitions it receives, providing that the petition follows the guidelines set out in the scheme i.e. the petition is not discriminatory or about an excluded matter such as a planning decision.
19. Local authorities should also consider whether variable thresholds would be appropriate to their local circumstances. For example, top tier authorities might consider what appropriate thresholds might be set for matters specific to each of their constituent district areas. Government expects local authorities' petition schemes to ensure that petitions on very local issues, such as anti-social behaviour in a particular street, will receive a response from the council. Setting no threshold, or thresholds which vary depending on the issue or geographic location affected might be one method of achieving this.
20. Thresholds can be reviewed after a period of activity and amended if necessary provided the process set out in paragraph 11 and Section 11 of the 2009 Act is followed. Should it become apparent that a principal local authority, or authorities, are setting requirements which are unachievable, the Secretary of State has the power to direct the principal local authority, or authorities, to amend their petition scheme.
21. The model petition scheme at Annex A can be used by local authorities as a starting point and guide as to how a scheme might operate. Principal local authorities may choose to adopt this scheme as a whole or amend it to reflect local circumstances.

Responding to petitions

22. As a minimum, a local authority's petition scheme must apply if a petition:
 - calls for the authority to take action
 - is signed by the requisite number of people who live, work or study in the local area
 - is made under another enactment but does not qualify under that enactment (see paragraph 33)
 - If made electronically, is made through the authority's e-petition facility

Verification of signatures and acknowledgement

23. Local authorities can choose to verify the signatures given on a petition should they wish. Authorities must take account of the signatures of people who provide valid addresses where they live, work or study within the local authority area; but authorities may take account of signatures of people who do not supply such information, or supply information which shows that they do not live, work or study in the area.
24. In the case of e-petitions the local authority must decide what counts as an authentic signature, for example it might decide that a valid email address is sufficient, a valid postcode or both.
25. All petitions which meet the scheme criteria (see Section 12(1) of the 2009 Act) must be acknowledged within the period specified in the authority's scheme.

Relevant matters

26. Petitions are a valuable opportunity for local authorities to demonstrate strong leadership on issues of concern to the community. As community leaders and place shapers local authorities have a key interest in issues which, although wider than their functions, affect the local area. In view of this, and their role in the local area agreement process, Section 14(2)(b)(ii) of the 2009 Act requires top tier authorities to respond to petitions which relate to an improvement in the economic, social or environmental well-being of the authority's area to which any of its partner authorities could contribute. This means that these local authorities must deal with petitions which relate to the functions of partner authorities as well as petitions which relate to their own functions, including petitions on matters which are sub-regional and cross-authority.
27. In practice, this may mean acting as an advocate for the local community, working with partners to resolve the issue, lobbying a partner organisation on behalf of the community or instigating an overview and scrutiny review of the issue.
28. Should a petition of this sort call for something which goes against council policy a principal local authority may choose to say 'no' to the request. However, to ensure the step taken in response to the petition is substantive a local authority must clearly explain their position in their response.

Exclusions

Vexatious, abusive or otherwise inappropriate

29. Local authorities should approach the petitions they receive positively and not assume that the motivation is one which is vexatious, abusive or inappropriate. However, petitions, which are in the opinion of the authority vexatious, abusive or otherwise inappropriate, do not qualify under the Section 14 requirement to take steps in response to the petition. Principal local authorities must acknowledge these

petitions, as set out in Section 13 of the 2009 Act, and this acknowledgement should explain why the authority will not be taking action.

30. When considering whether a petition is vexatious a principal local authority should use as a starting point the guidance under the Freedom of Information Act 2000. Guidance to the Act states that *“Deciding whether a [Freedom of Information] request is vexatious is a flexible balancing exercise, taking into account all the circumstances of the case. There is no rigid test or definition, and it will often be easy to recognise. The key question is whether the request is likely to cause distress, disruption or irritation, without any proper or justified cause”*⁷. In most circumstances it should be the subject matter of the petition, rather than the personality of the petitioners or the manner in which the issue is supported, that is the deciding factor.
31. It is important that petitions which are abusive or otherwise inappropriate are also identified at this stage. Particular care must be taken when considering petitions which call for an officer to give evidence under Section 16 of the 2009 Act that these petitions relate to the role of the individual in delivering public services and not matters relating to an officer’s personality or private life.
32. The types of petitions which local authorities may consider inappropriate include those relating to matters which are part of ongoing legal proceedings or which target individual members of a community. However, the decision on what constitutes an inappropriate petition is ultimately for the local authority to decide considering the circumstances of the individual case.

Petitions under other enactments

33. Petitions made under other enactments, such as petitions under the Local Government Act 2000 asking for referendum on whether the area should have an elected mayor, should be dealt with according to the procedures set out in those enactments. If such a petition fails to meet the requirements of the enactment in question, for example a petition under the 2000 Act does not achieve the requisite number of signatures, it should be addressed through a local authority’s petition scheme in exactly the same manner as any other petition.

Matters excluded by order

34. In order not to duplicate procedures where established processes exist for communities to have their say Government has excluded the following matters from the scope of the petitions duty (see Annex B for draft order):
 - any matter relating to a planning decision, including about a development plan document or the community infrastructure levy

⁷ http://www.ico.gov.uk/upload/documents/library/freedom_of_information/detailed_specialist_guides/wareness_guidance_22_vexatious_and_repeated_requests_final.pdf

- any matter relating to a licensing decision, including licensing applications under the Licensing Act 2003 and the Gambling Act 2005
 - any matter relating to an individual or entity in respect of which that individual or entity has a right of recourse to a review or right of appeal conferred by or under any enactment
35. However, failure to deliver services in these areas remain within the scope of the duty. For example, a petition on an individual planning application is excluded from the duty but a petition about the local authority's failure to deliver an effective service for planning applications would be within scope.
36. When in receipt of a petition on an excluded matter a principal local authority should acknowledge receipt of the petition and explain why the matter is not covered by the authority's petition scheme. If the petition can be taken into account as part of existing procedures, the authority should explain how this will happen. If the petition cannot be taken into account as part of these procedures a principal local authority should explain the existing arrangements for communities to have their say as part of the process in question.

Appropriate steps

37. Principal local authorities are required to take appropriate steps when responding to the petitions they receive. A local authority's response should be proportionate to the seriousness of the issue and the level of support contained in the petition. The actions referred to above (see paragraph 13) and in Section 14(6) of the 2009 Act need to be among those considered but should not be regarded as the only options. Government encourages authorities to be innovative when considering their response to petitions, **including considering any courses of action open to them that are specific to the subject of the petition.**
38. Examples of appropriate steps local authorities should consider in response to specific subjects are included in the table below:

Petition subject	Appropriate steps
Alcohol related crime and disorder	If a local authority receives a petition about alcohol-related crime or disorder, Government expects them to fully consider with their partners the range of options available to them including considering the case for establishing a designated public place order or, as a last resort, establishing and imposing an alcohol disorder zone covering the relevant area.

<p>Anti-social behaviour (ASB)</p>	<p>As the elected representatives of the local area, and often as social landlord and licensing authority, local councils have a significant role to play in tackling anti-social behaviour. Recently crime and disorder reduction partnerships, of which local authorities are a constituent member, have been challenged to set minimum service standards and publicise these to their local communities by March 2010. The police and many local authorities also have a target to increase public confidence that the police and council are working together to deal with crime and ASB issues that matter most locally. As such, when responding to petitions on ASB, local authorities are expected to consider, in consultation with local partners, all the options available to them including the wide range of powers and mechanisms they have to intervene as part of these roles. They should, for example, work with the neighbourhood policing team in the affected area to identify what action might be taken, consider identifying a dedicated contact within the council to liaise with the community, Registered Social Landlords and other neighbourhood partners on issues of ASB in the area in question and, where appropriate, alert the crime and disorder reduction partnership and crime and disorder overview and scrutiny committee to the issues highlighted in the petition.</p>
<p>Under-performing schools</p>	<p>Local authorities are expected to consider, in consultation with local partners, all the options available to them when working with schools to secure their improvement. For example, on behalf of the local authority, the school improvement partner (SIP) will play a pivotal role, challenging and brokering support for poorly performing schools. Where a school is under performing the local authority should consider whether it is appropriate in the circumstances to issue a warning notice outlining expectations and a timeframe for the school to improve its performance standards. Other measures available to local authorities, where schools fail to comply with a warning notice or are in an Ofsted category of notice to improve (requiring significant improvement) or special measures include; appointing additional governors, establishing an interim executive board, removal of the school's delegated budgets, requiring the school to enter into a formal contract or partnership or, only if the school is in special measures, closure.</p>

Under-performing health services	Local authorities are expected to work with local health partners to consider the matter raised in the petition including, where appropriate, exploring what role the Local Involvement Network (LiNk) might have in reviewing and feeding back on the issue. The health overview and scrutiny committee should also be alerted to the petition and where the matter is sufficiently or potentially serious, the issue should be referred to them to consider for review.
----------------------------------	---

39. The local authority must notify the petition organiser of the steps it intends to take and publish this notification on the authority’s website.

E-petitions

40. The 2009 Act applies the same requirements to electronic petitions as to paper petitions, except for the following:
- principal local authorities are only required to respond to e-petitions made through their e-petition facility
 - principal local authorities must decide, when a request to host an e-petition is received, whether the petition is appropriate for publishing on their facility
 - principal local authorities will decide what equates to a signature on an e-petition (see paragraph 24 above and also Section 12(3)(b) of the 2009 Act)
 - Principal local authorities are required to provide a facility for people to submit petitions to the authority electronically. In addition to this, local authorities can choose to respond to e-petitions submitted by other means and should indicate in their petition scheme how they will deal with these types of petitions.
41. A local authority’s petition scheme must secure that the authority’s e-petition facility allows citizens to create a petition which can be published online and made available to others for electronic signature. Government does not consider that mere acceptance of emailed petitions meets this requirement.
42. Local authorities should consider how best to integrate their e-petition process with relevant online information and existing online functions, for example, linking petitions to council meetings or decisions, to the minutes or webcast of the relevant meeting, to online forums and most importantly, to the authority’s published response to the petition.
43. When taking the decision whether to host an e-petition principal local authorities should, in addition to following the guidance above on vexatious, abusive and otherwise inappropriate petitions, consider those issues pertinent when publishing

any information of their website. For example, issues such as data protection, libel and the statutory requirement, as a public body, to comply with equalities and anti-discrimination legislation⁸.

44. Under Section 10 (2) of the 2009 Act principal local authorities are required to give reasons should they decide not to host an e-petition. This will allow petitioners an opportunity to amend and resubmit their petition.
45. Further sector led best practice guidance on e-petitions will be available, including practical advice for selecting and setting up an e-petitions facility and a set of recommended data standards.

⁸ Section 33 of the Equality Act 2006 for sets out a list of "equality enactments" covering equalities and anti-discrimination legislation

Chapter 2

Petition debates

Key principle:

Local people know that their views have been listened to and they have the opportunity to hear their local representatives debate their concerns.

Key outcome:

Local people will know that if they can get the number of signatures specified in their council's petitions scheme, they will be guaranteed a public, full council debate on their concerns.

46. A systematic review of evidence on empowerment found that when petitions are linked with decision making there are increased levels of empowerment⁹. Section 15 of the 2009 Act therefore requires that petitions which receive a significant level of support should be debated at a meeting of the full council. Principal local authorities are required to set out in their petition scheme the number of signatures needed to trigger a debate as part of the authority's response. This debate may be added to the agenda of a normal meeting of the full council.
47. Where a petition receives the required level of support to trigger a council debate the council should also consider what other steps they should take in order to ensure their response is adequate (see Chapter 4 – Petition Reviews). A debate alone may not be considered a sufficient response to a petition with this level of support.

The debate

48. The principle behind a petition debate is the increased transparency of the local decision making process. Therefore the petition organiser should be informed in writing about when the debate will be held and with sufficient notice to enable their attendance. This notification should also be published on the authority's website.
49. Petitioners should be offered the option of presenting their petition to the council at the beginning of the debate. Principal local authorities should also consider what other contribution the petitioners might make to the discussion, for example, answering questions put by councillors.

⁹ *Empowering communities to influence local decision making – A systematic review of the evidence*, Communities and Local Government 2009, <http://www.communities.gov.uk/publications/localgovernment/localdecisionreview>

50. The debate should conclude with a decision being taken by the full council. This could be a decision to take the action the petition requests, not to take the action requested for reasons put forward in the debate, or to commission further investigation into the matter, for example by a relevant committee. In line with the principle that local authorities should listen to the people they represent, and give them feedback, the petition organiser should then receive written notification of this decision. The notification should also be published on the local authority's website.

Setting the threshold for debates

51. Local authorities are required to set a threshold for triggering a full council debate and to include this information in their petition scheme. We recommend where practical, that local authorities set low thresholds, such as those used in the model scheme at Annex A, at the outset. These thresholds can be reviewed after a period of activity and amended if necessary provided the process set out in paragraph 11 and Section 11 of the 2009 Act is followed. If, for example, no debates were triggered in the space of a year, a local authority should review their threshold and consider lowering it in order to ensure that it is locally achievable.
52. Should it become apparent that a local authority, or authorities, are setting requirements which are unachievable, the Secretary of State has the power to direct a principal local authority, or authorities, to amend their petition scheme.
53. The draft order at annex B stipulates that the absolute maximum threshold which can be set is 5 per cent¹⁰ of the local population. We expect that in most cases a much lower figure will be considered locally appropriate. The maximum figure should be calculated using the estimate of the population of the area of the authority contained in the Registrar General's population estimates for England and Wales published by the Office of National Statistics. The threshold should be expressed in the scheme as a simple figure so that people know the number of signatures they need to trigger a debate (see model scheme at Annex A for an example).

Exclusions

54. An authority is not required to hold a debate in response to any petition which falls outside the scheme, for example because it is vexatious, or relates to a licensing or planning decision. Petitions calling for evidence from an officer are also excluded from the requirement to hold a debate.

¹⁰ The 5 per cent maximum threshold is a proxy figure, easy for local authorities to calculate, but not directly related to the number of people eligible to sign a petition.

Chapter 3

Giving evidence

Key principle:

Local people know that their views have been listened to.

Key outcome:

Local people have the right to petition for a senior member of council staff to attend a public meeting of the council's overview and scrutiny committee. If enough people sign the petition, a senior officer will have to attend the meeting, answer the committee's questions and explain how they are delivering public services.

55. Principal local authorities' petition schemes must allow for petitions to trigger a senior member of council staff to attend a meeting of the authority's overview and scrutiny committee and answer questions about their work. This builds on existing powers of overview and scrutiny committees who can already require members and officers to attend a meeting of the committee and give evidence. It is based on the principle that local government should be as transparent as possible and that officers are accountable to elected members. It allows members of the local community to make use of petitions to influence the way that this scrutiny takes place.

Existing guidance

56. Guidance¹¹ under the Local Government Act 2000 is already in place to cover the way in which overview and scrutiny committees should conduct themselves when questioning an officer of the local authority – including, for example, considering the appropriate seniority of witnesses to ensure that junior officers are not put under undue pressure, and restricting questions to matters of fact and explanation.

Setting an appropriate threshold

57. Local authorities must consider the detail of how these provisions should work in the broader context of their petition scheme. An authority's petition scheme must specify how many signatures will be needed to require an officer to attend a public hearing.

¹¹ *New council constitutions: guidance to English Authorities*
<http://www.communities.gov.uk/documents/localgovernment/pdf/155181.pdf>

58. Local authorities should consider a suitable threshold according to local circumstances. While local authorities will need to ensure that the level of support is appropriate for the steps triggered, thresholds should be achievable and expressed as a simple figure so that people know the number of signatures needed to trigger this type of response.
59. Again, we recommend where practical, that local authorities set low thresholds, such as those used in the model scheme at Annex A, at the outset. These thresholds can be reviewed after a period of activity and amended if necessary provided the process set out in paragraph 11 and Section 11 of the 2009 Act is followed. If, for example, no such evidence sessions are triggered by petition in the space of a year the local authority should consider the reasons for this including, for example, the level of public awareness of the scheme and whether the threshold set may be too high.
60. Should it become apparent that a local authority, or authorities, are setting requirements which are unachievable, the Secretary of State has the power to direct a principal local authority, or authorities, to amend their petition scheme.

Officers to which section 16 applies

61. Principal local authorities must determine which of their officers are able to be called to account in this way and include these details in their petition scheme. This information should include the names and job titles of the officers in question. In order for petitions to have a meaningful impact petitioners must be able to call on the most senior officers to attend meetings and give evidence. Section 16(5) of the 2009 Act therefore requires that, as a minimum, petition schemes provide that the head of paid service – often known as the chief executive of the authority – and the most senior officers responsible for the delivery of services can be required to provide information on their activities at public meetings of overview and scrutiny committees. Petition schemes should apply to senior officers responsible for delivering council functions and public services and not junior members of staff.

Appropriate officer

62. As now, the final decisions on which officer should attend, and the questions to be asked of him or her, rest with the overview and scrutiny committee. Under Section 16(10) of the 2009 Act overview and scrutiny committees can decide that for the purposes of addressing the concerns raised in a petition it is more appropriate for another officer to be called to attend instead.

Giving 'grounds'

63. It is essential that the scrutiny prompted by petitions is appropriate and fair to the officers involved. They must not be exposed to inappropriate public scrutiny of their private lives, nor to harassment or bullying. To safeguard officers, Section 16 of the 2009 Act stipulates that the 'grounds' given in the petition for attendance at a meeting of the overview and scrutiny committee must relate to their job – it cannot relate to their personal circumstances or character. An officer is not required to attend a meeting of the overview and scrutiny committee to give evidence if the petition calling for the attendance is deemed to be vexatious, abusive or otherwise inappropriate by the local authority.

Reporting

64. A principal local authority should inform the petition organiser when the overview and scrutiny meeting will take place with sufficient notice to enable them to attend. In any case where the subject of the petition is likely to lead to the discussion of confidential information, and therefore a resolution under the provisions in Part 5A of the Local Government Act 1972 to hold any part of the meeting in private, the reasons and process should be made clear in this notification. This notification should also be published on the local authority's website.
65. After the relevant person has appeared before the overview and scrutiny committee, the committee must make a report or recommendations to the authority (under its existing powers) and send a copy of that report or recommendations to the petition organiser. If appropriate, the report could also be published on the authority's website.

Chapter 4

Petition reviews

Key principle:

That local people know that their views have been listened to.

Key outcome:

Petitioners will be able to appeal to the council’s overview and scrutiny committee if they feel the response from their council is not adequate.

66. Section 17 of the 2009 Act is essentially an appeal provision. If a petition organiser is not satisfied with the way an authority has dealt with a petition, this section gives the organiser the power to ask an overview and scrutiny committee to review that authority’s response to the petition. The overview and scrutiny committee will decide whether the steps taken by the executive in response to the petition were adequate. Considering petition appeals can help raise public awareness of the important role of overview and scrutiny.
67. The overview and scrutiny committee will bear in mind the list of potential steps which could be used to respond to the petition, listed in Section 14(6) of the 2009 Act. An adequate response is likely to be proportionate to the issue set out in the petition and the level of support the petition has received. High quality responses which take people’s concerns seriously should lower the volume of appeals.
68. There may be petition organisers who appeal because the action their petition calls for is rejected, no matter how thorough the council’s process for coming to that decision. Appeals of this sort should not be onerous providing the principal local authority keeps records of how they have decided to respond to each petition.
69. If the committee has reason to be concerned about the adequacy of the authority’s response it may decide to carry out a full review of the issues raised in the petition using their powers under the Local Government Act 2000.

Triggering a meeting of the full council

70. If the overview and scrutiny committee is very concerned – for instance if the committee thinks that the authority is seriously neglecting its responsibility to listen to local people – under Section 21(3)(b) of the Local Government Act 2000 the committee can arrange for the full council to carry out the review function. That is to say the overview and scrutiny committee can arrange for the authority's response to the petition to be discussed at a meeting of the full council.

Publicising the outcome of the review

71. Under s.17(4)(b) of the 2009 Act the principal local authority must inform the petition organiser of the results of the review and s. 17(4)(c) requires that the results are also published on the authority's website. Local people will therefore be able to see how many petition organisers appeal against their council's response to petitions compared to other councils – and read the response to the appeals. People will therefore be able to judge for themselves how seriously their council is taking community petitions.

Consultation questions – Main guidance:

Question 1:

Does the guidance clearly set out the key principles and requirements of the petitions duty?

Question 2:

Are there any existing areas in the guidance which require further clarification?

Question 3:

Are there any additional areas which you feel this statutory guidance should cover? If so, please state what they are and why you feel they should be included.

Question 4:

Are there any additional areas which, while not appropriate for statutory guidance, you would like to see covered by sector-led guidance?

Question 5:

Are there any areas covered in this statutory guidance which you feel would be more appropriately covered in sector-led guidance? If so, please state what they are and why you feel they should be addressed in this way.

Annex A

Draft model scheme

In order to demonstrate how the framework set out in the 2009 Act can translate in practice we have created a model scheme which local authorities can choose to adopt or adapt. The example below is based on an authority with a population of 150,000 and is the public facing information about their petition scheme published on their website. The model authority has chosen to respond to all the petitions it receives. Petitions which contain 1500 signatures will be debated by the full council and petitions which call for evidence from a senior officer, and have 750 signatures, will trigger that response. [‘link’ indicates where the council’s webpage includes a link to related information]

Petitions

The council welcomes petitions and recognises that petitions are one way in which people can let us know their concerns. All petitions sent or presented to the council will receive an acknowledgement from the council within 14 days of receipt. This acknowledgement will set out what we plan to do with the petition.

Paper petitions can be sent to:

[insert address]

Or be created, signed and submitted online by following this link [link]

Petitions can also be presented to a meeting of the council. These meetings take place on a monthly basis, dates and times can be found here [link]. If you would like to present your petition to the council, or would like your councillor to present it on your behalf, please contact [insert name] on [insert phone number] at least 5 working days before the meeting and they will talk you through the process.

What are the guidelines for submitting a petition?

Petitions submitted to the council must include

- a clear and concise statement covering the subject of the petition. It should state what action the petitioners wish the council to take
- the name and address and signature of any person supporting the petition

Petitions should be accompanied by contact details, including an address, for the petition organiser. This is the person we will contact to explain how we will respond to the petition. The contact details of the petition organiser will not be placed on the website. If the petition does not identify a petition organiser, we will contact signatories to the petition to agree who should act as the petition organiser.

Petitions which are considered to be vexatious, abusive or otherwise inappropriate will not be accepted. If a petition does not follow the guidelines set out above, the council may decide not to do anything further with it. In that case, we will write to you to explain the reasons.

What will the council do when it receives my petition?

An acknowledgement will be sent to the petition organiser within 14 days of receiving the petition. It will let them know what we plan to do with the petition and when they can expect to hear from us again. It will also be published on our website.

If we can do what your petition asks for, the acknowledgement may confirm that we have taken the action requested and the petition will be closed. If the petition has enough signatures to trigger a council debate, or a senior officer giving evidence, then the acknowledgment will confirm this and tell you when and where the meeting will take place. If the petition needs more investigation, we will tell you the steps we plan to take.

If the petition applies to a planning or licensing application, is a statutory petition (for example requesting a referendum on having an elected mayor), or on a matter where there is already an existing right of appeal, such as council tax banding and non-domestic rates, other procedures apply. Further information on all these procedures and how you can express your views is available here [insert links]

We will not take action on any petition which we consider to be vexatious, abusive or otherwise inappropriate and will explain the reasons for this in our acknowledgement of the petition.

To ensure that people know what we are doing in response to the petitions we receive the details of all the petitions submitted to us will be published on our website, except in cases where this would be inappropriate. Whenever possible we will also publish all correspondence relating to the petition (all personal details will be removed). When you sign an e-petition you can elect to receive this information by email. We will not send you anything which is not relevant to the e-petition you have signed, unless you choose to receive other emails from us. [link to account settings]

How will the council respond to petitions?

Our response to a petition will depend on what a petition asks for and how many people have signed it, but may include one or more of the following:

- taking the action requested in the petition
- considering the petition at a council meeting
- holding an inquiry into the matter
- undertaking research into the matter
- holding a public meeting
- holding a consultation
- holding a meeting with petitioners
- referring the petition for consideration by the council’s overview and scrutiny committee*
- calling a referendum
- writing to the petition organiser setting out our views about the request in the petition

*Overview and scrutiny committees are committees of councillors who are responsible for scrutinising the work of the council – in other words, the overview and scrutiny committee has the power to hold the council’s decision makers to account.

In addition to these steps, the council will consider all the specific actions it can potentially take on the issues highlighted in a petition. The table below gives some examples.

Petition subject	Appropriate steps
Alcohol related crime and disorder	If your petition is about crime or disorder linked to alcohol consumption, the council will, among other measures, consider the case for placing restrictions on public drinking in the area by establishing a designated public place order or, as a last resort, imposing an alcohol disorder zone. When an alcohol disorder zone is established the licensed premises in the area where alcohol related trouble is being caused are required to contribute to the costs of extra policing in that area. The council’s response to your petition will set out the steps we intend to take and the reasons for taking this approach.

Petition subject	Appropriate steps
Anti-social behaviour (ASB)	<p>As the elected representatives of your local area, as social landlord and licensing authority, the council plays a significant role to play in tackling anti-social behaviour. The council, in conjunction with our partners in the local crime and disorder partnership have set out minimum service standards for responding to issues of anti-social behaviour, you can find more details about these standards here [insert link].</p> <p>When responding to petitions on ASB, we will consider in consultation with our local partners, all the options available to us including the wide range of powers and mechanisms we have to intervene as part of our role as social landlord and licensing authority. For example, we will work with the neighbourhood policing team in the affected area to identify what action might be taken, consider identifying a dedicated contact within the council to liaise with the community and neighbourhood partners on issues of ASB in the area in question and, where appropriate, we will alert the crime and disorder reduction partnership and crime and disorder overview and scrutiny committee to the issues highlighted in the petition.</p>
Under-performing schools	<p>We will consider, in consultation with local partners, all the options available to us when working with schools to secure their improvement. For example, on our behalf, the school improvement partner (SIP) will play a pivotal role, challenging and brokering support for poorly performing schools. Where a school is under performing we will consider whether it is appropriate in the circumstances to issue a warning notice outlining expectations and a timeframe for the school to improve its performance standards. Other measures available to us, where schools fail to comply with a warning notice or are in an Ofsted category of notice to improve (requiring significant improvement) or special measures including; appointing additional governors, establishing an interim executive board, removal of the school's delegated budgets, requiring the school to enter into a formal contract or partnership or, only if the school is in special measures, closure.</p>

Petition subject	Appropriate steps
Under-performing health services	We will work with local health partners to consider the matter raised in the petition including, where appropriate, exploring what role the Local Involvement Network (LINK) might have in reviewing and feeding back on the issue (the LINK is run by local individuals and community groups and independently supported – their role to find out what people want in terms of local health services, monitor those services and to use their powers to hold them to account). The health overview and scrutiny committee will also be alerted to the petition and where the matter is sufficiently or potentially serious, the issue will be referred to them to consider for review.

If your petition is about something over which the council has no direct control (for example the local railway or hospital) we will aim to make representations on behalf of the community to the relevant body. The council works with a large number of local partners [link to list of LAA partners] and where possible will work with these partners to respond to your petition. If we are not able to do this for any reason (for example if what the petition calls for conflicts with council policy), then we will set out the reasons for this to you. You can find more information on the services for which the council is responsible here [link].

If your petition is about something that a different council is responsible for we will give consideration to what the best method is for responding to it. It might consist of simply forwarding the petition to the other council, but could involve other steps. In any event we will always notify you of the action we have taken.

Full council debates

If a petition contains more than 1,500 signatures it will be debated by the full council unless it is a petition asking for a senior council officer to give evidence at a public meeting. This means that the issue raised in the petition will be discussed at a meeting which all councillors can attend. The petition organiser will be given five minutes to present the petition at the meeting and the petition will then be discussed by councillors for a maximum of 15 minutes. The council will decide how to respond to the petition at this meeting. They may decide to take the action the petition requests, not to take the action requested for reasons put forward in the debate, or to commission further investigation into the matter, for example by a relevant committee. The petition organiser will receive written confirmation of this decision. This confirmation will also be published on our website.

Officer evidence

Your petition may ask for a senior council officer to give evidence at a public meeting about something for which the officer is responsible as part of their job. For example, your petition may ask a senior council officer to explain progress on an issue, or to explain the advice given to elected members to enable them to make a particular decision.

If your petition contains at least 750 signatures, the relevant senior officer will give evidence at a public meeting of the council's overview and scrutiny committee. A list of the senior staff that can be called to give evidence can be found here [insert link]. You should be aware that the overview and scrutiny committee may decide that it would be more appropriate for another officer to give evidence instead of any officer named in the petition – for instance if the named officer has changed jobs. Committee members will ask the questions at this meeting, but you will be able to suggest questions to the chair of the committee by contacting [insert details] up to three working days before the meeting.

E-petitions

The council welcomes e-petitions which are created and submitted through our website [link]. E-petitions must follow the same guidelines as paper petitions [link to guidelines]. The petition organiser will need to provide us with their name, postal address and email address. You will also need to decide how long you would like your petition to be open for signatures. Most petitions run for six months, but you can choose a shorter or longer timeframe, up to a maximum of 12 months.

When you create an e-petition, it may take five working days before it is published online. This is because we have to check that the content of your petition is suitable before it is made available for signature.

If we feel we cannot publish your petition for some reason, we will contact you within this time to explain. You will be able to change and resubmit your petition if you wish. If you do not do this within 14 days, a summary of the petition and the reason why it has not been accepted will be published under the 'rejected petitions' section of the website.

When an e-petition has closed for signature, it will automatically be submitted to [insert details]. In the same way as a paper petition, you will receive an acknowledgement within 14 days. If you would like to present your e-petition to a meeting of the council, please contact [insert details] (details above) within five days of the petition closing.

A petition acknowledgement and response will be emailed to everyone who has signed the e-petition and elected to receive this information. The acknowledgment and response will also be published on this website.

How do I 'sign' an e-petition?

You can see all the e-petitions currently available for signature here [insert link].

When you sign an e-petition you will be asked to provide your name, your postcode and a valid email address. When you have submitted this information you will be sent an email to the email address you have provided. This email will include a link which you must click on in order to confirm the email address is valid. Once this step is complete your 'signature' will be added to the petition. People visiting the e-petition will be able to see your name in the list of those who have signed it but your contact details will not be visible.

What can I do if I feel my petition has not been dealt with properly?

If you feel that we have not dealt with your petition properly, the petition organiser has the right to request that the council's overview and scrutiny committee review the steps that the council has taken in response to your petition.

The committee will consider your request within 30 days of receiving it. Should the committee determine we have not dealt with your petition adequately, it may use any of its powers to deal with the matter. These powers include instigating an investigation, making recommendations to the council executive and arranging for the matter to be considered at a meeting of the full council.

Once the appeal has been considered the petition organiser will be informed of the results within seven days. The results of the review will also be published on our website.

Consultation questions – Model scheme:

Question 6:

Do you think the model scheme is clearly expressed and easy for people to use? Please explain your reasons.

Question 7:

Do you think the standards set out in the model scheme are achievable and appropriate to citizens' expectations?

Question 8:

Do you think there is anything that should be added to the model scheme?

Annex B

Draft petitions order

S T A T U T O R Y I N S T R U M E N T S

2009 No.

LOCAL GOVERNMENT, ENGLAND

The Local Authorities (Petitions) (England) Order 2009

<i>Made</i> - - - -	***
<i>Laid before Parliament</i>	***
<i>Coming into force</i> - -	1st April 2010

The Secretary of State, in exercise of the powers conferred by sections 14(4) and 19(1) and (3) of the Local Democracy, Economic Development and Construction Act 2009(a), makes the following Order:

Citation, commencement, application and interpretation

1.—(1) This Order may be cited as the Local Authorities (Petitions) (England) Order 2009 and shall come into force on 1st April 2010.

(2) In this Order—

“the Act” means the Local Democracy, Economic Development and Construction Act 2009;

“licensing decision” means—

(a) any decision in relation to—

- (i) an application for the grant, variation or review of any authorisation under Part 3 or 4 of the Licensing Act 2003 (premises licences and club premises certificates)(b), or
- (ii) a hearing or appeal in respect of any such application;

(b) any decision in relation to—

- (i) an application for the grant, renewal or transfer of a licence under Schedule 3 to the Local Government (Miscellaneous Provisions) Act 1982 (control of sex establishments)(c), or
- (ii) a request for the variation of any term, condition or restriction contained in such a licence, or
- (iii) the revocation of such a licence;

(c) any decision in relation to—

- (i) an application for a licence, permit or registration under the Gambling Act 2005(d), or
- (ii) a request for the variation of any term, condition or restriction associated with any such licence, permit or registration, or
- (iii) the revocation of any such licence, permit or registration, and

(a) 2009 c. 20 As to “the appropriate national authority”, in relation to English authorities, see the definition in section 22(1).
 (b) 2003 c. 17. See the definition of “authorisation” in section 2(4).
 (c) 1982 c. 30.
 (d) 2005. c. 19.

- (d) any enforcement decision made under any of the Acts mentioned in sub-paragraphs (a) to (c) above, or subordinate legislation made under those Acts.

“the Planning Acts” means the Town and Country Planning Act 1990 (a), the Planning (Listed Building and Conservation Areas) Act 1990(b), the Planning (Hazardous Substances) Act 1990(c) and the Planning Act 2008(d);

“planning decision” means—

- (a) any decision on an application under the Planning Acts or subordinate legislation made under any of those Acts for any agreement, approval, consent or permission, or
- (b) any enforcement decision relating to any development within the meaning of those Acts(e), or
- (c) any decision in relation to the preparation, revision or adoption of a development plan document within the meaning of section 37(3) of the Planning and Compulsory Purchase Act 2004(f) or Community Infrastructure Levy charging schedule within the meaning of section 211(1) of the Planning Act 2008; and

“right of recourse to a review” does not include any right to make a complaint to the Commission for Local Administration pursuant to Part 3 of the Local Government Act 1974(g).

Excluded matters

2. Subject to article 3, for the purposes of subsection (1)(a) of section 14 of the Act (requirement to take steps), the following matters are not to be regarded as relating to a function of a principal local authority—

- (a) any matter relating to a planning decision;
- (b) any matter relating to a licensing decision;
- (c) any other matter relating to an individual or entity in respect of which that individual or entity has a right of recourse to a review or right of appeal conferred by or under any enactment;

Systematic failure in discharge of functions not an excluded matter

3. A matter does not fall within article 2 if it consists of an allegation that a function for which the authority is responsible has not been discharged at all or that its discharge has failed or is failing on a systematic basis, notwithstanding the fact that the allegation specifies or refers to a planning decision, a licensing decision or a matter of the description referred to in paragraph (c) of that article.

Specified number for petition requiring debate

4.—(1) The number to be specified by an authority pursuant to section 15(4) of the Act must be no greater than 5% of the total local authority population.

(2) For the purposes of paragraph (1) “total local authority population” means the estimate of the population of the area of the authority contained in the Registrar General’s population estimates for England and Wales published by the Office of National Statistics.

(a) 1990 c. 8.

(b) 1990 c.9.

(c) 1990 c.10.

(d) 2008 c. 29.

(e) “Development” is defined in section 55 of the Town and Country Planning Act 1990 and is used with the same meaning in the other Planning Acts, with some modification, in the case of the Planning Act 2008, where the definition is subject to sections 32(2) and (3) of that Act.

(f) 2004 c. 5 Section 37(2) was amended by section 100(1) of the Planning Act 2008 (c.29).

(g) 1974 c. 7.

Signed by authority of the Secretary of State for Communities and Local Government

Date

Name
Minister of State
Department for Communities and Local Government

EXPLANATORY NOTE

(This note is not part of the Order)

This Order specifies, for England, matters that are not to be relevant matters for the purposes of section 14(1) of the Local Democracy, Economic Development and Construction Act 2009. Consequently, the petition schemes of principal local authorities in England are not required to make provision requiring the authority to take steps in response to petitions dealing with those matters.

Article 2 of the Order provides that a petition relating to a licensing decision or a planning decision (both defined in article 1(3)); or a matter relating to an individual or entity where there is already a statutory right to a review or appeal (other than the right to complain to the Commission for Local Administration – commonly known as the Local Government Ombudsman) are not relevant matters.

Article 3 provides that a petition which calls for action in respect of an allegation of systematic failure of an authority to discharge a function for which the authority is responsible is a relevant matter, notwithstanding that the petition specifies matters which would otherwise be excluded by virtue of article 2.

Article 4 specifies the maximum number of signatures that authorities may include in their petition schemes as being required to trigger a debate of the full council. That figure is 5% of the local population as estimated by the Office of National Statistics.

Consultation questions – Draft order:

It is our intention to ensure that the petitions duty enables people to express their views on issues of local concern and to know that their views have been listened to. It is also our intention to ensure there is a balance between this aim and the requirements placed on local authorities by the duty. On this basis ministers have set out the Government's intention to exclude from the duty matters for which there are already established processes in place for people to have their say. The aim of the draft order at Annex B is to achieve this intention, however we are aware that there may be other matters which we should consider excluding for other reasons. We would therefore value your views on the following:

Question 9:

Do you agree with the categories we have excluded in the order? If you do not agree with the categories please explain why you do not think they should be excluded.

Question 10:

Do you think there should be additional categories excluded? If so, please state what they are and why you feel they should be excluded.

Summary of consultation questions

This guidance aims to:

- set out the key principles and key requirements of the petitions duty
- set a framework for local authorities to use when designing and complying with their petitions scheme
- allow for significant local determination

This guidance does not replicate the provisions set out in the legislation and should be read in conjunction with Sections 10 – 22 of the 2009 Act and the Local Authorities (Petitions) (England) Order 2009 (see draft order at Annex B). Sector led guidance will provide more detailed practical advice and support on implementing the petitions duty.

The purpose of this public consultation is to seek your views on whether this guidance meets its aims. If you think improvements could be made please give specific examples in response to the questions set out below.

Main guidance

Question 1:

Does the guidance clearly set out the key principles and requirements of the petitions duty?

Question 2:

Are there any existing areas in the guidance which require further clarification?

Question 3:

Are there any additional areas which you feel this statutory guidance should cover? If so, please state what they are and why you feel they should be included.

Question 4:

Are there any additional areas which, while not appropriate for statutory guidance, you would like to see covered by the expert practitioners in their sector-led guidance?

Question 5:

Are there any areas covered in this statutory guidance which you feel would be more appropriately covered by the expert practitioners in their sector-led guidance? If so, please state what they are and why you feel they should be addressed in this way.

Model scheme

Question 6:

Do you think the model scheme is clearly expressed and easy for people to use? Please explain your reasons.

Question 7:

Do you think the standards set out in the model scheme are achievable and appropriate to citizens' expectations?

Question 8:

Do you think there is anything that should be added to the model scheme?

Draft order

It is our intention to ensure that the petitions duty enables people to express their views on issues of local concern and to know that their views have been listened to. It is also our intention to ensure there is a balance between this aim and the requirements placed on local authorities by the duty. On this basis ministers have set out the Government's intention to exclude from the duty matters for which there are already established processes in place for people to have their say. The aim of the draft order at Annex B is to achieve this intention, however we are aware that there may be other matters which we should consider excluding for other reasons. We would therefore value your views on the following:

Question 9:

Do you agree with the categories we have excluded in the order? If you do not agree with the categories please explain why you do not think they should be excluded.

Question 10:

Do you think there should be additional categories excluded? If so, please state what they are and why you feel they should be excluded.

Additional questions – Next steps

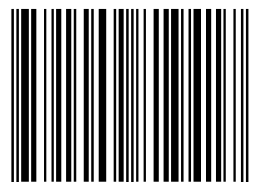
Question 11:

Following on from this consultation, what do you consider the most appropriate timescale for bringing the petitions duty into force? Please explain your reasons.

Question 12:

Initial discussions with both the local government and technology sector indicate that it would be wise to stagger the implementation of the e-petition element of the duty, bringing the e-petition requirements into force 12 months after the other elements of the duty are commenced. Do you agree? Please explain your reasons.

Agenda Item 7



By virtue of paragraph(s) 1 of Part 1 of Schedule 12A of the Local Government Act 1972.

Document is Restricted

This page is intentionally left blank

By virtue of paragraph(s) 3 of Part 1 of Schedule 12A of the Local Government Act 1972.

Document is Restricted

This page is intentionally left blank

By virtue of paragraph(s) 3 of Part 1 of Schedule 12A of the Local Government Act 1972.

Document is Restricted

This page is intentionally left blank