

Significant Internal Control Issues for 2006-07 – Progress Report

No	Issue	Action to be taken	Action Taken / Comments	Status
1.	Procurement – need to further develop the Council’s procurement practices and update the procurement strategy	<ul style="list-style-type: none"> (i) Review and update the procurement strategy (ii) Review of contract procedure rules (iii) Provide training to all key employees involved with procurement (iv) Develop a corporate contract register (v) To procure goods and services jointly with other organisations wherever appropriate 	<ul style="list-style-type: none"> (i) Work on this is to be commenced later in the year (ii) A review of the Contract Procedure Rules is in progress; (iii) Training on procurement will be provided once the revised contract procedure rules have been finalised. A procurement handbook is also being produced (iv) A corporate contract register is currently being developed (v) When tendering, managers are asked to consider the most effective method eg joint tendering, use of framework agreements, etc 	Work in progress

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2.	Business Continuity Planning – need to develop a business continuity plan	(i) Develop approach to business continuity planning (ii) Identify the priority for Council services in the event of a disaster and evaluate the resources needed to support these services (iii) Prepare Business Continuity Plan	(i) Work is underway jointly with the Staffordshire Civil Contingencies Unit to develop the approach to Business Continuity Planning (ii) An initial list of priority services has been identified and this is currently being refined (iii) Work has commenced on the preparation of a business continuity plan	Work in progress
3.	Child Protection Strategy – existing processes are ad hoc and need to be developed further	(i) Child Protection Strategy to be drafted; (ii) Processes to be reviewed and developed following the approval of the strategy.	A draft report and policy have been prepared. A CRB policy (which is supplementary to the overarching child protection strategy) has also been drafted.	Work in progress
4.	Partnerships - lack of a formal approach to developing partnerships	(i) Framework and guidance to be developed for partnership working, in particular this will address:- <ul style="list-style-type: none"> • What constitutes a partnership • assessing the risks of partnerships working; • identifying and monitoring the cost-effectiveness of partnerships 	Due to vacancies it has not yet been possible to progress work on this issue	No progress

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5.	Corporate Governance – Employees are not always aware of and / or do not always comply with the Council’s key processes and are often not held accountable for their actions	<ul style="list-style-type: none"> (i) Review the Council’s key policies, regulations etc , including the Scheme of Delegations, Financial Regulations, Contract Procedure Rules, etc. Provide training to raise awareness and monitor compliance. (ii) Implement the management competencies framework 	<ul style="list-style-type: none"> (i) The Council’s scheme of delegations, contract procedure rules and financial regulations are being reviewed. Training on the Constitution is to be provided shortly and training on other rules and regulations will follow. (ii) The Management Competencies Framework has been introduced and is to be used for this year’s PDR process. 	Work in progress
6.	Budget Accountability & Budgetary Control – in relation to certain overspending areas (Linked to 5 above)	<ul style="list-style-type: none"> (i) Detailed outturn review of all services to determine the nature and cause of overspends; (ii) Comprehensive budget review of specific services as appropriate; and (iii) Heads of Service to be requested to provide action plans for planning, controlling and monitoring problem areas of spend, as appropriate 	<ul style="list-style-type: none"> (i) Detailed review undertaken as part of final accounts process. (ii) Recovery action plan provided for overspending areas to mitigate impact. (iii) Comprehensive budget review to be undertaken as part of VFM review for certain services (iv) Further action to be determined 	Work in progress