

**PROGRESS ON IMPLEMENTATION OF THE ANNUAL GOVERNANCE  
AND USE OF RESOURCES ACTION PLANS 2009/10**

**LEAD OFFICER:** Fergus McMorrow, Acting Chief Executive

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**1.0 INTRODUCTION**

- 1.1 The Audit Committee considered the Audit Commission's Annual Governance Report on 23<sup>rd</sup> September 2009 and the Use of Resources Report on 22<sup>nd</sup> December. Each report included an action plan to address areas for improvement. These were approved the Audit Committee, with an instruction that a specific report should be brought back to the Committee, showing progress on implementation of the action plans.

**2.0 PROGRESS ON IMPLEMENTATION OF THE ACTION PLANS**

- 2.1 Corporate Team have reviewed progress against the action plans, as at January 2010.
- 2.2 Progress on implementation is detailed at the follow up action plans shown at Appendices A and B, with a summary given below.

| <b>Annual Governance Report September 2009</b><br>[ 7 recommendations made] |                    |                                                       |                     |
|-----------------------------------------------------------------------------|--------------------|-------------------------------------------------------|---------------------|
| <b>Priority</b>                                                             | <b>Implemented</b> | <b>Part Implemented</b><br>[still within target date] | <b>Outstanding</b>  |
| P1 (High)                                                                   | -                  | 3                                                     | 1<br>[50% progress] |
| P2 (Medium)                                                                 | 1                  | 1                                                     | 1<br>[25% progress] |
| P3 (Low)                                                                    |                    |                                                       |                     |

| <b>Use of Resources Report December 2009</b><br>[ 7 recommendations made, split into 15 actions ] |                    |                                                       |                    |
|---------------------------------------------------------------------------------------------------|--------------------|-------------------------------------------------------|--------------------|
| <b>Priority</b>                                                                                   | <b>Implemented</b> | <b>Part Implemented</b><br>[still within target date] | <b>Outstanding</b> |
| P1 (High)                                                                                         | 3                  | 12                                                    | -                  |
| P2 (Medium)                                                                                       |                    |                                                       |                    |
| P3 (Low)                                                                                          |                    |                                                       |                    |

**3.0 CONCLUSION AND RECOMMENDATION**

- 3.1 Progress has already been made on implementation of the action plans, with 4 high priority actions being fully implemented and 15 high priority actions and 1 medium priority action being part implemented, although the target dates are not yet due. The outstanding actions had target dates of 31<sup>st</sup> December and 30<sup>th</sup> September, which have proved to be unrealistic when the tasks have been undertaken - Cashflow preparation and the technical problem in producing accurate reports of unpresented cheques. A further progress report will be brought to the April Committee meeting.
- 3.2 Members are recommended to note this report.

**Appendices:** Appendix A Annual Governance Follow Up Action Plan  
Appendix B Use of Resources Follow Up Action Plan

**Officers Consulted:** Corporate Team

**Background Papers:** None

## Audit Recommendations - Annual Governance Report Sept 2009

**Report Type:** Actions Report

**Author:** Audit Manager

**Generated on:** 21 January 2010



### Code & Title AR-F&MIS Finance & Management Information

| Status Icon                                                                        | Action Code & Title                                                                                                                                 | Priority | Managed By                                                                          | Progress Bar              | Due Date           | Description                             | All Notes                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
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|    | AR-F&MIS_201 Improve the understanding and arrangements in place within Finance to produce the cashflow statement and supporting notes for 2009/10. | 1        | Head of Finance and Management Information Systems;<br>Accountancy Services Manager | <div><div>50%</div></div> | 31 Dec 2009        | Annual Governance Report September 2009 | <p>21 Jan 2010 The Cashflow Statement was discussed in the 1st Closedown meeting on 20/1/10. The principles are now thought to be understood but the intention is to bring forward the production of this Statement in the timetable, so it leaves time for review and approval.</p> <p>24 Nov 2009 Guidance has been sought from peer authority in respect of the methodology they use. CBC will consider using the indirect method for producing CFS in 2009/10, reflecting upon 2008/09 experience. Briefing session to be arranged with Audit Commission to assist learning.</p> |
|  | AR-F&MIS_202 Ensure that the 2009/10 financial statements are fully SORP compliant.                                                                 | 2        | Head of Finance and Management Information Systems;                                 | <div><div>10%</div></div> | <u>30 Jun 2010</u> | Annual Governance Report September 2009 | <p>18 Jan 2010 SORP 2009 practitioner guidance received over Christmas 2009. This will be reviewed as part of closure</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                            |

# Progress on Implementation of the Annual Governance and Use of Resources Action Plans 2009/10

## APPENDIX A

| Status Icon                                                                        | Action Code & Title                                                                                                                                                                                                                                                          | Priority | Managed By                                                                                                                                | Progress Bar              | Due Date           | Description                             | All Notes                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
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|                                                                                    |                                                                                                                                                                                                                                                                              |          | Accountancy Services Manager                                                                                                              |                           |                    |                                         | <p>of Accounts planning activity and changes to accounting policies, if required, will be proposed to Audit Committee.</p> <p>24 Nov 2009 SORP compliance has improved as part of 2008/09 Accounts process but further work to be done. Will attend training sessions organised by CIPFA and Audit Commission in quarter 4. Accountancy Services Manager to complete SORP disclosure checklist as part of closure of accounts process.</p>                                                                                                                                               |
|  | AR-F&MIS_203 Ensure that key controls operating within financial systems are operating as expected, & throughout the year, to minimise the risk to the Council and to maximise the ability of the external auditor to adopt a controls based approach to the accounts audit. | 1        | Head of Customer Services; Head of Finance and Management Information Systems; Accountancy Services Manager; Head of Policy & Performance | <div><div>20%</div></div> | <u>30 Apr 2010</u> | Annual Governance Report September 2009 | <p>18 Jan 2010 Draft Audit Commission report received in December. Report to be reviewed and actions agreed. Head of Customer Services and Head of Policy &amp; Performance will also ensure any recommendations relating to their financial systems are actioned. Internal Audit had covered 75% of the 2009/10 material systems audits by the end of December 2009.</p> <p>24 Nov 2009 Results of separate Audit Commission report to be considered by Head of Finance when received. Action to be developed with Corporate Management Team to address specific issues raised [Nov</p> |

| Status Icon                                                                      | Action Code & Title                                                                                                                                | Priority | Managed By                                                                          | Progress Bar              | Due Date           | Description                             | All Notes                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
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|                                                                                  |                                                                                                                                                    |          |                                                                                     |                           |                    |                                         | 2009]. Internal Audit to continue to review key controls of material systems as part of systems audit process, to provide assurance in relation to 2009/10 Accounts audit.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|  | AR-F&MIS_204 The Council should review arrangements for the transit of paid invoices to be electronically scanned and ensure that they are robust. | 1        | Head of Finance and Management Information Systems;<br>Accountancy Services Manager | <div><div>75%</div></div> | <u>31 Jan 2010</u> | Annual Governance Report September 2009 | <p>21 Jan 2010 Training and Go Live with e-invoicing has been delayed to February (from January), due to consultant's availability. [Adverse weather conditions has delayed his site visits]. Scanner to be tested 22/1/10.</p> <p>23 Dec 2009 The Systems Accountant has continued to work on developing in house scanning to ensure it is fully compatible with eCreditors &amp; MarketPlace - (see also 09.AS_2.5). Total Live is now set-up to be able to process eCreditors invoices. The next step is to purchase the scanner, and this should take place by the end of the second week in January. The Financial Ledger System software provider will be coming back on site on the 19th/20th January to run a training session for the revised process, after which we can go Live.</p> <p>15 Dec 2009 Accountancy has</p> |

| Status Icon | Action Code & Title | Priority | Managed By | Progress Bar | Due Date | Description | All Notes                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
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|             |                     |          |            |              |          |             | <p>explored sharing the current scanning solutions used by the Council and they are not able to handle our requirements. Integrated scanned invoices with the creditors module is being developed by Consilium and we will test this and look to implement for 2010/11. Currently 2009/10 invoices are being stored on site and will be scanned in house. Scanners are being sourced. By end Jan (as intended) scanner solution will be in place and 09/10 scanning will recommence</p> <p>24 Nov 2009 Upon notification from the courier, steps were taken to ensure copies of the paid invoices which related to grant claims were obtained. Started to look at options to scan invoices and are working with Procurement section to develop electronic receipt of invoices, following roll out of Idea Marketplace (Procurement software). A test module has been developed over the summer. Options paper has been drafted by the Systems Accountant and implementation will follow, consistent with systems developments elsewhere in</p> |

| Status Icon                                                                        | Action Code & Title                                                                                                                                                             | Priority | Managed By                                                                          | Progress Bar               | Due Date    | Description                             | All Notes                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
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|                                                                                    |                                                                                                                                                                                 |          |                                                                                     |                            |             |                                         | the Council, where possible. Funding exists within the 2009/10 Capital Programme for this.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
|    | AR-F&MIS_205 Ensure that the asset register is up to date by not removing assets from either the fixed asset register, or records held by Capita, until they are actually sold. | 2        | Head of Finance and Management Information Systems;<br>Accountancy Services Manager | <div><div>100%</div></div> | 30 Sep 2009 | Annual Governance Report September 2009 | 24 Nov 2009 Action has already been taken by the Accountancy Services Manager to inform Capita of the requirement to not remove assets from the asset register until asset sale is complete. This has already been agreed and is in place.                                                                                                                                                                                                                                                                                                                                                                                                                              |
|  | AR-F&MIS_206 Periodically review the list of unrepresented cheques to identify ones that are greater than six months old and assess whether these should be cancelled.          | 2        | Head of Finance and Management Information Systems;<br>Accountancy Services Manager | <div><div>25%</div></div>  | 30 Sep 2009 | Annual Governance Report September 2009 | <p>23 Dec 2009 Potential problem has been identified with the unrepresented cheques report, whereby previously actioned cancellations still seem to appear on subsequent unrepresented cheques reports. Still to be resolved. This is now tied into the review of the bank reconciliation overhaul as noted in AR-F&amp;MIS_160. While no further progress has been made so far solutions will be incorporated into new processes currently being devised.</p> <p>24 Nov 2009 Technical Officer (Accountancy) to produce monthly unrepresented cheque analysis and liaise with relevant Service Managers to consider cancellation. Systems Accountant has also done</p> |

| Status Icon                                                                      | Action Code & Title                                                                                                                                                                                                                   | Priority | Managed By                                                        | Progress Bar              | Due Date           | Description                             | All Notes                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
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|                                                                                  |                                                                                                                                                                                                                                       |          |                                                                   |                           |                    |                                         | some work on this. New Technical Officer in post, October 2009. This task will be addressed.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
|  | AR-F&MIS_207 Progress in implementing the new asset register in 2009/10 should be monitored and work will be required by Internal Audit to document the system and to ensure that balances have been correctly and fully transferred. | 1        | Head of Finance and Management Information Systems; Audit Manager | <div><div>50%</div></div> | <u>31 Mar 2010</u> | Annual Governance Report September 2009 | <p>12 Jan 2010 Work on updating the data held within the test system for audit adjustments following 2008/09 audit and implementation of the asset register module into the live system commenced today and it is anticipated the module will be in place in time for closedown 2009/10.</p> <p>23 Dec 2009 Work on implementation into the live system will commence in January.</p> <p>27 Nov 2009 Implementation is scheduled for the last quarter of the financial year.</p> <p>24 Nov 2009 Software has been purchased (integrated with TOTAL ledger) and is currently held in Test environment, pending further work. Module has been populated but we anticipate further work to ensure IFRS compliance and to reflect audit adjustments following 2008/09 audit.</p> |

## Audit Recommendations - Use of Resources Report Dec 2009

**Report Type:** Actions Report

**Author:** Audit Manager

**Generated on:** 21 January 2010



Code & Title **AR-C Corporate**

| Status Icon                                                                       | Action Code & Title                                                                                                 | Priority | Managed By      | Progress Bar              | Due Date           | Description               | All Notes                                                                                                                                                                                                                                                                                                                                        |
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|  | AR-C_31 Ensure that risk management and governance arrangements weaknesses in partnerships are addressed (Point 1). | 1        | Chief Executive | <div><div>30%</div></div> | <u>31 Mar 2010</u> | Use of Resources Dec 2009 | 18 Jan 2010 Budget Monitoring for Q.3 (2008/09) involved development of funding register, to identify external funding of projects to assist with closure of Accounts 2008/09. Further developments in 2009/10 to complement partnership framework - an action for Q.2, following appointment of the Projects Accountant. Partnership monitoring |

framework agreed in principle by Corporate Management Team (CMT) in February 2009. Working Group established involving CMT to progress this work during 2009/10. Managers requested to update

| Status Icon                                                                        | Action Code & Title                                                                                                 | Priority | Managed By      | Progress Bar              | Due Date           | Description               | All Notes                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
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|                                                                                    |                                                                                                                     |          |                 |                           |                    |                           | <p>Evaluation framework using CIPFA Good Governance Guidance has been adopted for assessing risks and significance of strategic partnerships. Report to be received by Executive in March. A review of the LSP for Allerdale and Copeland is underway - report to be received by the Executive on 18/1/10. Marketplace system is being piloted and rolled out in 2009/10. Will provide information on supplier base and costs to enable review and potential efficiencies / savings.</p> <p>22 Dec 2009 Point 1. Review of Partnerships to be completed.</p> |
|  | AR-C_32 Ensure that risk management and governance arrangements weaknesses in partnerships are addressed (Point 2). | 1        | Chief Executive | <div><div>50%</div></div> | <u>31 Mar 2010</u> | Use of Resources Dec 2009 | <p>21 Jan 2010 The system re the Cumbria Strategic Partnership has been reviewed and new governance arrangements are being developed. This will now be a forum rather than a delivery partnership, so the risk will be reduced. New governance arrangements are also being developed for the West Cumbria Strategic Partnership, with the help of a specialist improvement advisor. Re the Managing Radioactive Waste</p>                                                                                                                                    |

| Status Icon | Action Code & Title | Priority | Managed By | Progress Bar | Due Date | Description | All Notes                                                                                                                                                                                                                             |
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|             |                     |          |            |              |          |             | professional project manager, written governance arrangements and a risk log in place. Governance arrangements are also being developed re the Energy Coast Board.<br>22 Dec 2009 Point 2. CSP governance arrangements to be adopted. |

Code & Title AR-F&MIS Finance & Management Information

| Status Icon                                                                        | Action Code & Title                                                                                                                                                                                                                                         | Priority | Managed By                                         | Progress Bar               | Due Date           | Description               | All Notes                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
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|    | AR-F&MIS_211 Evaluate the impact of the new arrangements for monitoring the delivery of the capital programme.                                                                                                                                              | 1        | Head of Finance and Management Information Systems | <div><div>50%</div></div>  | <u>30 Jun 2010</u> | Use of Resources Dec 2009 | 22 Dec 2009 Developments in 2009/10 to improve the monitoring and the delivery of the capital programme have been introduced and are working. These include the establishment of Capital Control Working Group, appointment of Capital and Projects Accountant, establishment of Strategic Asset Management Group with Portfolio Holder, development of budget monitoring practices introduced in Q3 of 2008/09 and filling of key vacancies within Services in 2008/09 providing capacity to deliver schemes eg housing. These will be evaluated as part of quarterly strategic risk management process, ie at end of quarter 3 with a full review after the end of the financial year. |
|  | AR-F&MIS_212 Ensure that the data quality improvement plan is implemented consistently across the Council. Specific action is required on improving the quality of data on both affordable homes and on the accuracy of housing benefit payments (Point 2). | 1        | Audit Manager                                      | <div><div>100%</div></div> | 22 Dec 2009        | Use of Resources Dec 2009 | 21 Jan 2010 Each system audit, where applicable, has included a test for compliance with the Data Quality Guidance issued to all Managers.<br>22 Dec 2009 Point 2. Checks                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |

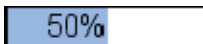
| Status Icon | Action Code & Title | Priority | Managed By | Progress Bar | Due Date | Description | All Notes                                                          |
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|             |                     |          |            |              |          |             | to take place by Internal Audit as part of routine system reviews. |

Code & Title **AR-LES Leisure & Environmental Services**

| Status Icon                                                                      | Action Code & Title                                                                                                | Priority | Managed By                               | Progress Bar              | Due Date           | Description               | All Notes                                                                                                                                                                                                                                                    |
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|  | AR-LES_12 Improve performance with regards to staff sickness absence and the diversity of its workforce (Point 4). | 1        | Head of Leisure & Environmental Services | <div><div>50%</div></div> | <u>28 Feb 2010</u> | Use of Resources Dec 2009 | <div>21 Jan 2010 A dedicated Health Improvement Officer has been appointed on a 2 year contract. He has started developing the health improvement plan.</div> <div>22 Dec 2009 Point 4. Develop a health improvement plan for the Council's workforce.</div> |

## Code &amp; Title AR-PP Policy &amp; Performance

| Status Icon                                                                        | Action Code & Title                                                                                                                                                                                                                                     | Priority | Managed By                   | Progress Bar               | Due Date           | Description               | All Notes                                                                                                                                                                                                                                                                      |
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|    | AR-PP_27 Efficiency targets, that will achieve real savings, need to be determined and their achievement closely monitored.                                                                                                                             | 1        | Head of Policy & Performance | <div><div>100%</div></div> | <u>31 Mar 2011</u> | Use of Resources Dec 2009 | 22 Dec 2009 The Council has already a programme in place which has identified efficiencies that will produce savings of £3.7m over a three-year period, commencing with 2008/09.                                                                                               |
|    | AR-PP_28 Ensure that the data quality improvement plan is implemented consistently across the Council. Specific action is required on improving the quality of data on both affordable homes and on the accuracy of housing benefit payments (Point 1). | 1        | Head of Policy & Performance | <div><div>25%</div></div>  | <u>30 Jun 2010</u> | Use of Resources Dec 2009 | 18 Jan 2010 Use of Resources judgement recognised progress made at corporate level to put appropriate framework in place. Plan for improvement includes actions for service managers, including new training programme.<br>22 Dec 2009 Point 1. Further training for Managers. |
|  | AR-PP_29 Ensure that the data quality improvement plan is implemented consistently across the Council. Specific action is required on improving the quality of data on both affordable homes and on the accuracy of housing benefit payments (Point 3). | 1        | Head of Policy & Performance | <div><div>25%</div></div>  | <u>22 Jun 2010</u> | Use of Resources Dec 2009 | 21 Jan 2010 The checklist has been established and is being rolled out to departments.<br>22 Dec 2009 Point 3. Use of Checklist for Self assessment.                                                                                                                           |
|  | AR-PP_30 Ensure that the data quality improvement plan is implemented consistently across the Council. Specific action is required on improving the quality of                                                                                          | 1        | Head of Policy & Performance | <div><div>10%</div></div>  | <u>31 Mar 2010</u> | Use of Resources Dec 2009 | 21 Jan 2010 The PIT team has allocated the work to review the process for the affordable housing National Indicator. An initial meeting has been held                                                                                                                          |

| Status Icon                                                                        | Action Code & Title                                                                                                                                                                                 | Priority | Managed By                   | Progress Bar                                                                          | Due Date           | Description               | All Notes                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
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|                                                                                    | data on both affordable homes and on the accuracy of housing benefit payments (Point 4).                                                                                                            |          |                              |                                                                                       |                    |                           | with those responsible for compiling the NI and work is in progress.<br>22 Dec 2009 Point 4. Process Improvement Team to establish a revised process for affordable housing NI.                                                                                                                                                                                                                                                                                       |
|    | AR-PP_31 Prepare a Workforce Strategy that identifies the Council's medium and longer term staffing needs and is based on an understanding of current skills mix and the impact of shared services. | 1        | Head of Policy & Performance |    | <u>31 Mar 2010</u> | Use of Resources Dec 2009 | 18 Jan 2010 Target date now March 2010. People Strategy Group to meet twice in February 2010 to consider draft. Service Managers contributing workforce planning detail as part of service planning process.<br>22 Dec 2009 Complete the Workforce Strategy.                                                                                                                                                                                                          |
|  | AR-PP_32 Improve performance with regards to staff sickness absence and the diversity of its workforce (Point 1).                                                                                   | 1        | Head of Policy & Performance |  | <u>31 Jan 2010</u> | Use of Resources Dec 2009 | 18 Jan 2010 Corporate Team has reviewed the position with regard to all the employees who have triggered action under the Council's Sickness Absence Policy and Procedure. A list of areas where further action is needed has been identified. In addition a further review of the Policy and Procedure is proposed to ensure that it enables managers to intervene appropriately.<br>22 Dec 2009 Point 1. Analyse long terms sickness figures and underlying causes. |

## Progress on Implementation of the Annual Governance and Use of Resources Action Plans 2009/10

## APPENDIX B

| Status Icon                                                                      | Action Code & Title                                                                                               | Priority | Managed By                   | Progress Bar              | Due Date           | Description               | All Notes                                                                                                                                                                                         |
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|  | AR-PP_33 Improve performance with regards to staff sickness absence and the diversity of its workforce (Point 2). | 1        | Head of Policy & Performance | <div><div>50%</div></div> | <u>30 Apr 2010</u> | Use of Resources Dec 2009 | 18 Jan 2010 Budget bid included in draft budget for 2010/11.<br>22 Dec 2009 Point 2. Commission more Occupational Health sessions based on analysis of Point 1.                                   |
|  | AR-PP_34 Improve performance with regards to staff sickness absence and the diversity of its workforce (Point 3). | 1        | Head of Policy & Performance | <div><div>25%</div></div> | <u>30 Jun 2010</u> | Use of Resources Dec 2009 | 18 Jan 2010 Proposal for further training and support for managers during 2010 in tackling sickness absence.<br>22 Dec 2009 Point 3. Provide further training in absence management for managers. |
|  | AR-PP_35 Improve performance with regards to staff sickness absence and the diversity of its workforce (Point 5). | 1        | Head of Policy & Performance | <div><div>25%</div></div> | <u>31 Mar 2010</u> | Use of Resources Dec 2009 | 18 Jan 2010 Format and means of publication to be decided. Data available.<br>22 Dec 2009 Point 5. Publish profile of workforce including job applicants.                                         |

Code & Title **AR-R Regeneration**

| Status Icon                                                                      | Action Code & Title                                                                                                                                           | Priority | Managed By                     | Progress Bar              | Due Date           | Description               | All Notes                                                                                                                                                                                                                                                         |
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|  | AR-R_92 Ensure that there is a clear link between the procurement strategy and practice and the outcome from the Council's ongoing assessment of local needs. | 1        | Head of Development Operations | <div><div>30%</div></div> | <u>28 Feb 2010</u> | Use of Resources Dec 2009 | 22 Dec 2009 The Action Plan as part of the Council's newly revised Procurement Strategy covers this issue. This Strategy will be taken to the Executive alongside the Sustainable Procurement Policy in February 2010 which also addresses the local needs issue. |