



BEST VALUE REVIEW OF
SUPPORT SERVICES
Phase 1

Report 0 SB/15/04 to the Executive

November 2004

Adopted by the Overview and Scrutiny Board
on 13th October 2004



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1. Executive Summary

1.1 The Support Services Review Panel undertook a review at the end of 2003 to determine whether the actions that were agreed at the conclusion of the initial stage of the Best Value Review of Support Services had been implemented.

1.2 The recommendation of that Panel was that the Best Value Review be concluded by requiring each individual support service to prepare an options appraisal and to identify improvement actions in line with a Best Value Toolkit to be designed for the purpose.

1.3 The following services have undertaken a Best Value Review :

- Legal Services
- Risk Management
- Printing and Design Services
- Internal Audit
- Democratic Services

1.4 Each Review was challenged by the Support Services Challenge Panel and this reports set out the key areas of discussion at the Challenge Panel.

It is recommended to the Executive:

1.5 That the summaries of the each of the five support services, as presented in this report, be accepted.

1.6 That the Service Improvement Plans for Legal Services, Risk Management, Printing and Design Services, Internal Audit and Democratic Services as set out in the appendices to this report be adopted.

2. Introduction

2.1 Following the Support Services Review Panel's report of the progress made with the support services best value review, it was recommended that the review be brought to a conclusion. This would require each individual support service to prepare an options appraisal and to identify improvement actions in line with a best value toolkit to be designed for this purpose. A bespoke toolkit was devised and a three phased approach adopted. Each of the support services would then report their findings to the Support Services Challenge Panel.

2.2 Following the successful pilot of this approach with the Human Resources Directorate in April 2004, a further five support services proceeded in working through the toolkit. These services were:-

- Legal Services
- Risk Management
- Printing and Design Services
- Internal Audit
- Democratic Services

2.3 Each of the above services then reported their findings to the Support Services Challenge Panel on Wednesday 25th August 2004. Specifically, and in line with the toolkit, the Challenge Panel asked each of the services to present the following:-

- The issues and future demand on the service;
- A robust options appraisal;
- Consultation and benchmarking information to aid the options appraisal process;
- An ideal scenario for the future delivery of the service;
- Service improvement actions based on the recommended option.

2.4 The membership of the Challenge Panel comprised:

Councillor Arnold
Councillor Carter
Councillor Darling
Councillor Hayman
Councillor McHugh
Councillor Turnbull
Peter Metcalfe (Union)
Len Coney (Consultant/DeA)
Matt Redwood (Learning & Culture)
Paul Lucas (Corporate Governance)
(also present Zoe Williamson)

- 2.5 As the Scrutiny Lead Member for Human Resources, Law and Support, Councilor Carter was the chair of the Panel.

3. Key Discussion Areas

Legal Services

- 3.1 Bill Norman gave a presentation on the options appraisal and a future way forward for the delivery of Legal Services. Members of the Challenge Panel raised several points:
- Partnership working with other larger public bodies such as Torbay Hospital;
 - Prioritising demands to front line services;
 - The 80/20 split between in-house and private service provision and ensuring the effectiveness and efficient running of Legal Services;
 - The skills mix of the Legal Services team to operate cost effectively;
 - The 2002 customer satisfaction survey triggering improvements to service delivery and the need for more frequent surveys;
 - The pro-activeness of the service;
 - Clarification over benchmarking results and the involvement of external organisations;
 - The level and ratio of Solicitors to Legal Executives and Para-Legals;
 - The debt recovery team and reporting to client departments;
 - The response from other local authorities to the Licensing Act;
 - Longer term implications as a result of the forthcoming Adults Trust and Children's Service and the provision of legal advice;
 - The chasing of critical third party delays;
 - Cost comparisons and chargeable hours with external companies that may want to tender for work.
- 3.2 All of the issues raised were considered and verbally responded to by Bill Norman.
- 3.3 The Challenge Panel was satisfied with the responses given to the issues raised. The Challenge Panel was also satisfied with the recommendation given to continue with the existing level of in-house delivery coupled with an improvement plan; alongside greater partnership working with the private and/or public sector for balance of service provision.
- 3.4 However, the Challenge Panel recommended that the following issues and actions are taken into account and incorporated into the Service Improvement Plan: -
- I Further testing of the market with regards to joint and partnership working with other authorities and public sector organisations;

- II. Ensure performance indicators are sufficiently embracing of the whole service;
- III. Ensure greater emphasis is made by Legal Services on front line dialogue;
- IV. Increased frequency of satisfaction surveys (including 'how' and 'why' questions) and results reported via the Corporate Services Performance Board;
- V. Undertake regular benchmarking exercises;
- VI. Consider making the Service Improvement Plan longer term.

3.5 The amended Legal Services Service Improvement Plan can be found in appendix 1.

Risk Management

3.6 Bill Norman gave a presentation on the options appraisal and a future way forward for the delivery of Risk Management. Members of the Challenge Panel raised several points:

- The skills mix of the Risk Management Team to work cost effectively;
- Exploration of partnership working with other authorities and fully engaging with other public sector organisations as an option;
- The Civil Contingency Bill and the scope for a properly trained civil defence organisation for Torbay;
- Small claims versus court proceedings;
- The ability of the council to cope with a disaster such as Boscastle and the agreement with insurers;
- Public liability in local authorities and the increasing 'claims' culture;
- The impressive fall in claims and high success rate in defending claims against carrying risk;
- Opportunities to trade under a 'Fair' CPA rating and risk associated with this;
- Provision of incentives for improvements to risk;
- Exposure to claims under the Race Relations (Amendment) Act 2000 and Disability Discrimination Act 1995;
- Approach to risks to members and officers to a corporate failing;
- Clarification on insurance for members and personal liability;
- The policing of the 'risk management' section in members' reports;
- The move towards business risk management and the risks associated with individual services.

3.7 All of the issues raised were considered and verbally responded to by Bill Norman and Claire Ammar. A response seeking clarification of

officials indemnity and the extent of cover to members can be found in appendix 2. There was also praise given by the Panel to the Claims Handling Team. The Challenge Panel also discussed the risks associated with the Disability Discrimination Act 1995 and the Race Relations (Amendment) Act 2000 and it is recommended that this issue be addressed at the appropriate time and considered by the Overview and Scrutiny Board as a separate issue.

3.8 The Challenge Panel was satisfied with the responses given to the issues raised. The Challenge Panel was also satisfied with the recommendation given to continue with the existing level of in-house provision with continuous improvement together with the March 2006 OJEC compliant re-tendering of the liability policy. This will ensure greater assurance of a value for money balance in claims handling and a validation of a multidisciplinary approach to corporate risk management.

3.9 However, the Challenge Panel recommended that the following areas and actions are taken into account and incorporated into the Service Improvement Plan:-

- I Training on risk management and risk awareness for members using report and case study material;
- II Exploration of utilising incentives for managing risk;
- III Emphasis on work to revitalise health and safety.
- IV. Consider making the Service Improvement Plan longer term.

3.10 The amended Risk Management Service Improvement Plan can be found in appendix 3.

Printing and Design Services

3.11 Bill Norman gave a presentation on the options appraisal and a future way forward for the delivery of Printing and Design Services. Members of the Challenge Panel raised several points:

- The scope of a standalone printing and design company and the level of potential profit if the service was to be externalised;
- The importance of printing and design as the public image of the council and the cost benefits of a more suitable location;
- Partnership working and the potential for cost savings;
- The development of a catalogue of prices to enable officers to understand costs;
- Consumer choice and departments choosing external printing companies;
- Document imaging and the printing and design service;

- 3.12 All of the issues raised were considered and verbally responded to by Bill Norman and Stuart Richards. An analysis of results from a 2004 survey based on the last 611 jobs undertaken by the service was circulated for discussion. The Challenge Panel was pleased with the effort of the service with the consultation undertaken.
- 3.13 The Challenge Panel was satisfied with the recommendation to continue in-house provision with continuous improvement. The Challenge Panel was also in agreement with the recommendation to explore opportunities for greater partnership working with the private and/or public sector as well as exploring the opportunities for trading with the private sector if the council is rated as 'Fair' in the CPA assessment in November.
- 3.14 However, the Challenge Panel recommended that the following areas and actions are taken into account and incorporated into the Service Improvement Plan:-
- I. In the next financial year, evaluate the business case for the re-location of the Printing and Design Service;
 - II. Explore the link with the Post Room and document imaging;
 - III. Explore the possibility of a 'ready reckoner' for printing;
 - IV. Continuation of the consultation undertaken per 'job' and include a question relating to cost.
 - V. Consider making the Service Improvement Plan longer-term.
- 3.15 The amended Printing and Design Service Improvement Plan can be found in appendix 4.

Internal Audit

- 3.16 Martin Gould gave a presentation on the options appraisal and a future way forward for the delivery of Internal Audit. Members of the Challenge Panel raised several points:
- The recruitment of adequately qualified staff and the skills mix to deliver an effective service and implications for having less well qualified auditors;
 - Developing opportunities for partnership working with neighbouring local authorities to gain economies of scale;
 - The overall cost of the service and income from schools;
 - The determining factors with regards to the auditing of the Adults Trust and the potential for entering into joint service provision with Health;
 - Productive versus non-productive time;
 - Added value to the service by looking at best practice and learning from others;

- Capacity issues and concerns in the short term
- The use of agency staff and advantages to the organisation;
- Vulnerability to fraud by having a lower number of internal auditors compared to others;
- The auditing of the Torbay Coast and Countryside Trust and exposing the council to risk;
- Concerns with regards to capacity and corporate risk in the delivery of the improvement plan;
- Aspirations to increase the resources within Internal Audit;
- Prioritisation and the mitigation of risk;
- Sickness levels within the service;

3.17 All of the issues raised were considered and verbally responded to by Martin Gould. The Challenge Panel noted that they are pleased with the level of monitoring given that the service is in transition.

3.18 The Challenge Panel was satisfied with the recommendation to retain the in-house service with introduction of clear performance measures and targets for continuous improvement. Further to this, the Challenge Panel was also satisfied with the additional recommendations to explore opportunities for closer partnership working for specialist work; continued review of opportunities and benefits in relation to sub contracting parts of the service; and the continued development of formal Service Level Agreements.

3.19 However, the Challenge Panel recommended that the following areas and actions are taken into account and incorporated into the Service Improvement Plan:-

- I The reporting of fundamental issues, evidence of consultation results, and reporting on absence, quarterly to performance boards;
- II Identify ways of working with others including a more positive and clearer steer with regards to partnership working with other local authorities and the Health Sector;
- III Analysis of how additional resources could be used, for example, an extra 10%, on reducing risk within the council;
- IV. Explore services provided to schools including the true charges to schools.

3.20 The amended Internal Audit Improvement Plan can be found in appendix 5.

Democratic Services

3.21 Colin Gamble gave a presentation on the options appraisal and a future way forward for the delivery of Democratic Services. Members of the Challenge Panel raised several points:

- Focusing on serving the local community, enhancing democracy and championing public engagement;
- The skills mix to deliver the service most effectively;
- Exploring opportunities for expanding services to others, such as Torbay Hospital, once it has foundation status;
- Time and resources to administer school appeals;
- Additional services required by new members as a first point of contact, especially as a result of by-elections;
- The courier service and the delivery of post to members;
- The amount of information received by members;
- The 2002 customer satisfaction results and quality assurance;
- Monitoring and the achievement of customer focus;
- Progress with regards to E Government;
- Preparation and implications for an elected mayor and the costs of a referendum;
- Equality of opportunity, including equal access to PCs for those members not opting to have PCs at home;
- The role of the Group Assistants and a non-political approach;
- Assistance to the ward partnerships and the risk of raising public expectations;
- The benchmarking data and the reasons for the high number of meetings versus low cost per meeting;
- The advantages of a Service Level Agreement or development of protocol and quality standards and involving members;
- Mechanisms for senior officers to brief members in an open forum on strategic issues facing services;

3.22 All of the issues raised were considered and verbally responded to by Colin Gamble and Paul Lucas. The Challenge Panel noted its appreciation of the service to members and the improvement in these services over recent years.

3.23 The Challenge Panel was satisfied with the recommendation to continue to deliver Democratic Services in-house and the exploration into partnership arrangements, especially with regards to its training and scrutiny role.

3.34 However, it is recommended that the following areas and actions be taken into account and incorporated into the Service Improvement Plan:-

- I The quality of monitoring service provision needs to be enhanced (customer satisfaction);
- II Improving clarity of process in guiding members on protocol;
- III Lead-in times to reports coming to councils could be longer;

- iv. The members handbook and availability to new members (ie. from by-elections) and for reference for existing members;
- v. External and internal foci for enhancing the democratic process.

3.35 The amended Democratic Services Improvement Plan can be found in appendix 6.

4. Conclusions, Recommendations and Monitoring Arrangements

- 4.1 The Challenge Panel agreed with the information presented and with the recommendations provided by each service for future delivery options along with the modified Service Improvement Plans in line with the feedback given.

It is therefore recommended to the Executive:

- 4.2 That the summaries of each of the five support services, as presented in this report, be accepted.
- 4.3 That the Service Improvement Plans for Legal Services, Risk Management, Printing and Design Services, Internal Audit and Democratic Services as set out in the appendices to this report be adopted.

Monitoring Arrangements

- 4.4 Each Service Improvement Plan will be incorporated into the relevant divisional or directorate business plan. Service Improvement Plans will also be monitored quarterly by the relevant performance board.

Appendix 1

Legal Services Service Improvement Plan

Description	Anticipated Outcome	Target(s)	Date action to start	Date target to be completed	Performance indicator	Other organisations involved	Responsible Officer	Estimated financial implications
1) Review (a) with clients data on referral of matters to Legal Services internally, i.e. when, who, why; (b) by Legal Services externally, to ensure standard criteria apply.	To identify and communicate a comprehensive protocol published to client departments providing clear criteria	To document and circulate results to clients to ensure procedures remain appropriate and to renegotiate where necessary	Sept 2004	Jul 2005	Customer satisfaction	None	Legal Services Manager	Officer time 20 days
2) In consultation with clients, develop Legal Services acknowledgement of instructions process and client feedback process on all matters and for all media, i.e. phone, letters and email	To manage client expectations re progress of matter and acquire more detailed feedback on work completed than through current periodic meetings client meetings with senior solicitors	To standardise an acknowledgement of instructions process and to give clients access to feedback forms in connection with each matter	Sept 2004	June 2005	Customer satisfaction	None	3 Senior Solicitors in Legal Services	Officer time days
3) Consult with client departments to develop an annual satisfaction survey (including "how" and "why" questions)	Annual report to Corporate Performance Board	Annual survey results analysed and any necessary consequential action taken	Jan 2005	Dec 2005 and ongoing	Customer satisfaction	None	Legal Services Manager	Officer time
4) Improve effectiveness by reviewing and updating Office Procedure Manual to comply with newly published Law Society Business Excellence Practice Management Standards 2004	To ensure practice management consistent with external Law Society approved standards	Publish revised Lexcel-compliant procedure manual	Jan 2005	Mar 2006	Customer satisfaction	None	Legal Services Manager and Assistant Director (Risk Management)	Officer time 5 days

Best Value Review of Support Services (Phase 1)

Description	Anticipated Outcome	Target(s)	Date action to start	Date target to be completed	Performance indicator	Other organisations involved	Responsible Officer	Estimated financial implications
5) Consult with client departments to formalise appropriate process standards for different categories of routine cases with defined reporting intervals and format updates of anticipated timescales for completion and of time costing information developing upon acknowledgement of instructions process	To identify and adopt a clear client approved protocol for all standard processes to enhance SLA	To identify and adopt service-specific process standards	June 2005	Dec 2007	Percentage of cases handled within Protocol standards	None	3 Senior Solicitors	Officer time 10 days
5. Progress benchmarking with private and public sector on service-specific work	Outcome-related performance information for all areas of the service	To develop and secure comparative information upon qualitative indicators for each team	Ongoing	Ongoing	Benchmarking results	Regional LA;s, private sector solicitors/ Barristers	Legal Services Manager + 3 Senior Solicitors	Officer time
6 Explore potential for joint and partnering arrangements for surplus-to-capacity service-specific work with regional local authorities, private practices and Chambers	Minimise expenditure on surplus-to-capacity non-core work and maximise income generation re "agency" local authority working and training	To negotiate at least one arrangement in relation to each service-specific area of work.	Jan 2005	April 2006	Reduced av. external spend per hour of external work in each category.	Regional LA;s, private sector solicitors/ barristers	Legal Services Manager	Officer time 15 days

Best Value Review of Support Services (Phase 1)

Description	Anticipated Outcome	Target(s)	Date action to start	Date target to be completed	Performance indicator	Other organisations involved	Responsible Officer	Estimated financial implications
7 Develop and refine through customer feedback a newsletter and/or website featuring legal personnel and their specialist areas together with relevant developments in legislation and case law	To improve communication with client departments and raise awareness of available advice and information	Newsletter published and web site activated	Jan 2005	Oct 2007	Customer satisfaction	None	Legal Services Manager + Senior Solicitors	Officer time 15 days
9. To prepare for an external audit of practice management standards	To monitor effectiveness of compliance with new 2004 quality standards	To validate performance of in-house service	Mar 2005	Dec 2006	Compliance with Lexcel 2004	External legal auditor	Assistant Director (Risk Management) and Legal Services Manager	Estimated £2,000

Appendix 2

Official's Indemnity and Cover for Members

Summary:

Indemnifies the Council, Governors and employees for all sums they may become liable to pay as compensation for 3rd party financial loss. Excludes loss arising from bodily injury, illness, physical loss or property damage which is covered by the Public liability policy. Application restricted to negligent acts errors or omissions committed **in good faith** by any official of the Council or breach of statutory duty or warranty of any official **in the performance of their normal duties**.

The policy has been extended to include cover for any official acting at the request order or direction of the Council in a management or supervisory capacity on any outside entity such as an association, trust or committee not under the authority of the Council. Application includes ultra vires actions. However officials are encouraged to check that the outside body itself provides adequate protection through insurance and appropriate indemnities.

Limit of cover:	£5million
Deductible:	£25 000 each and every claim with a combined aggregate stop of £1.3million
Includes:	Food Safety Act Data Protection Act
Excludes:	Pollution and contamination.

Report to be prepared by Bill Norman on indemnities once the Government's response to a consultation document is published later in 2004.

Appendix 3

Risk Management Service Improvement Plan

Description	Anticipated Outcome	Target(s)	Date action to start	Date target to be completed	Performance indicator	Other organisations involved	Responsible Officer	Estimated financial implications
1. Deliver improvements in Corporate Risk Management processes	Defined risk appetite, uniform risk assessment procedures, improved risk management policy and strategy and implementation plan, risk registers and control mapping processes consistent with best practice and the requirements of Civil Contingencies legislation.	Achievement of Strategic Plan risk management objective 1 through completion of key activities 1-8	April 2004	Dec 2005	CPA Customer feedback	None	Assistant Director (Risk Management)	Officer time
2. Explore financial and performance management based incentives to improve corporate risk management performance	Adoption of an effective method of incentivising improved performance	To identify performance management and/or financial processes to reinforce good risk management practice and deter under performance	Jan 2005	Dec 2006	BVPIX10 (proposed for 2005/6)	St Paul Insurance Co. Marsh Brokers	Assistant Director (Risk Management)	Officer time

Best Value Review of Support Services (Phase 1)

Description	Anticipated Outcome	Target(s)	Date action to start	Date target to be completed	Performance indicator	Other organisations involved	Responsible Officer	Estimated financial implications
3. Deliver improvements in Corporate Health & Safety performance focussed upon Revitalising Health & Safety targets	Directorate health and safety plans, developed and implemented; a strategy to reduce working days lost in place; an annual Health & Safety report published and continuous review of the Health & Safety manual effected	To enhance employee well-being and reduce working days lost achieving objective 7 of the Strategic Plan through completion of key activities 1-5	April 2004	April 2008	Working days lost BVPI	None	Health & Safety Manager (jointly with Human Resources on workplace absence/illness strategy)	Officer time
4. Improve effectiveness by reviewing and updating Office Procedure Manual to comply with newly published Law Society Business Excellence Practice Management Standards 2004	To ensure practice management consistent with external Law Society approved standards	Publish revised Lexcel-compliant procedure manual	Jan 2005	Mar 2006	Customer satisfaction	None	Assistant Director (Risk Management) and Legal Services Manager	Officer time 5 days
5. Improve management by developing appropriate individual officer work lists to supervise progress of matters and monitor available capacity	To minimise delay and maximise allocation according to capacity	To standardise an appropriate work list for use in monthly review meetings by all managers	Jan 2005	July 2005	Customer satisfaction	None	Assistant Director (Risk Management) and Managers	Officer time 1 day

Best Value Review of Support Services (Phase 1)

Description	Anticipated Outcome	Target(s)	Date action to start	Date target to be completed	Performance indicator	Other organisations involved	Responsible Officer	Estimated financial implications
6. Enhance performance data by progressing benchmarking with private and public sector on service-specific work.	Outcome-related performance information	To develop and secure comparative information upon qualitative indicators for each team	Ongoing	Ongoing	Benchmarking results	Regional local authorities, private sector solicitors, barristers	Assistant Director (Risk Management) plus Managers	Officer time
7. Explore potential for (a) joint projects re mutual issues and (b) partnering arrangements for public bodies surplus-to-capacity service-specific work with regional local authorities and other public bodies, also brokers, health & safety, emergency planning and risk management consultants, defendant insurers solicitors and barristers	Minimise expenditure on surplus-to-capacity non-core work and maximise income generation re "agency" local authority work including training	To negotiate at least one arrangement in relation to each service-specific area of work.	Jan 2005	Jul 2006	Reduced av. External spend per hour of external work in each category.	Regional LA;s, private sector solicitors/ barristers	Assistant Director (Risk Management)	Officer time 15 days
8. To develop and refine through customer feedback a newsletter and/or website featuring Risk Management personnel and information on best practice in their specialist areas together with relevant developments in legislation, regulations, codes of practice and case law	To improve communication with client departments and raise awareness of available advice and information	Newsletter published and web site activated	Jan 2005	Oct 2007	Customer satisfaction	None	Assistant Director (Risk Management) + Managers	Officer time 10 days

Best Value Review of Support Services (Phase 1)

Description	Anticipated Outcome	Target(s)	Date action to start	Date target to be completed	Performance indicator	Other organisations involved	Responsible Officer	Estimated financial implications
9. To prepare Claims Handling for an external audit of practice management standards	To monitor effectiveness of compliance with new 2004 quality standards	To validate performance of in-house service	Mar 2005	Dec 2006	Compliance with Lexcel 2004	External legal auditor	Assistant Director (Risk Management) and Legal Services Manager	Estimated £2,000

Appendix 4

Printing and Design Services Service Improvement Plan

Description	Anticipated Outcome	Target(s)	Date action to start	Date target to be completed	Performance indicator	Other organisations involved	Responsible Officer	Estimated financial implications	Link to Corporate Priorities
Improve SPAR performance	Increase customer satisfaction, increase throughput of work and allow for more efficient working.	90% + for all dept.	Q2 - 2005	Ongoing	Delivery of goods within specified timescale	N/A	SR	N/A	All
Obtaining ISO accreditation	To ensure commitment to quality and to allow external analysis of our operation		Q1 - 2006	Q4 2005		N/A	SR	Unknown until all details of what's required are received	All
In-house training	Ensure smoother work flow during and staff absence, allow for double shift working when required		Q2 - 2004	Ongoing		N/A	SR/BL	£2000.00 P.A Approx.	All
Improved Digital Printing capability	Allow faster throughput of digital files and mail merges, increase volumes on less devices, ability to 'cope' with future mail merge demands		Q1 - 2004	Q4 - 2004		N/A	SR	Cost saving on current spend	All

Best Value Review of Support Services (Phase 1)

Description	Anticipated Outcome	Target(s)	Date action to start	Date target to be completed	Performance indicator	Other organisations involved	Responsible Officer	Estimated financial implications	Link to Corporate Priorities
Customer estimates and delivery information	Allow customer to make judgement on budget spend before job goes ahead, allow for any delivery queries before job goes ahead		Q2 – 2005	Ongoing		N/A	SR	Officer time 5 days	All
Customer e-access	Allow customer access to their records and jobs in progress from their desktop		Q4 - 2005	Q2 – 2006		Tharstern MIS systems	SR	Officer time plus upgrade cost's for Tharstern @ Approx £8000.00	All
Online proofing	Paperless proofing for initial proofs saving time and money reducing the need for multiple colour prints		Q2 – 2005	Q4 - 2005			SR/BL/GM	Software upgrades @ £500.00	All
Colour correct proofing	Ensuring colour correct outputs for proofing allowing the customer an accurate example of the final job		Q2 – 2005	Q3 - 2005			SR/BL/GM	Cost of new printers @ £1000.00 +software upgrades @ £1000.00 apporx	All

Best Value Review of Support Services (Phase 1)

Description	Anticipated Outcome	Target(s)	Date action to start	Date target to be completed	Performance indicator	Other organisations involved	Responsible Officer	Estimated financial implications	Link to Corporate Priorities
Central picture and font library	Ensuring all pictures and fonts held by Torbay Council are available on a central database enabling customers to source pictures quickly and fonts to be matched		Q2 – 2005	Q4 - 2005			SR/BL/GM	Minimal software upgrades @ £500.00 possible server requirements @ £1000.00	All
Backup options for “old” jobs	Allowing safe storage of complete jobs so they can archived for future use		Q4 – 2005	Q2 - 2006			SR/BL/GM	Hardware purchases @ £1000.00 approx	All
Training	Ensuring staff are up to date with current software releases		Q3 – 2004	Ongoing			SR/BL/GM	External training cost @ £2500	All
Digital Mailroom Savings	Faster more efficient service better use of staff time, digitising incoming allowing it be delivered electronically and gives the ability to be filed digitally and indexed for any CRM package		Q1 – 2005	Q1 - 2007			SR/MK	Software purchases @ £3000.00 approx. Hardware purchases @ £2000.00 approx	All
Merging Postrooms from other buildings	Saving in bulk mail despatch		Q1 –2005	Q1 - 2007			SR/MK	Officer Time 20 Days	All

Best Value Review of Support Services (Phase 1)

Description	Anticipated Outcome	Target(s)	Date action to start	Date target to be completed	Performance indicator	Other organisations involved	Responsible Officer	Estimated financial implications	Link to Corporate Priorities
Courier van use	Better use of vans to allow more even spread of cost		Q3 – 2004	Q3 -2004			SR/MK	N/A	All
New Finance system Savings	Possible staff reduction in Postroom due to decrease in invoice processing for other departments		Q1 – 2005	Q1 - 2005			SR/MK	Saving in officer time approx 40 hours per week	All
Investigate siting department in outside premises i.e. industrial unit etc.	Produce a cost saving for the service and allow the department to work more efficiently		Q2 – 2005	Q1 - 2006			SR/BN	Cost of moving equipment @ £20K approx. Potential cost saving on new premises	All

Appendix 5

Internal Audit Service Improvement Plan

	Description	Anticipated Outcome	Target(s)	Date action to start	Date target to be completed	Performance indicator	Other organisations involved	Responsible Officer	Estimated financial implications	Risk	Link to Corporate Priorities
INCREASING CUSTOMER SATISFACTION											
1.	To develop new SLAs	To assist our customers in benchmarking the Service we provide to them	To identify new SLAs where they do not exist and identify improvements to existing SLAs, update SLAs where required	April 2004	March 2005	Customer satisfaction	None	Assistant Director internal Audit / Service Managers	Officer time – 20 days	High	1.1, 1.3.1, 3.2, 1.5.1, 1.6.1, 1.6.2, 1.6.3, 1.6.6
2.	To develop SLA monitoring processes. Client meetings Feedback on support issues. Procurement requirements and project progress.	Putting in place PI measurement mechanisms to help meet customer needs in terms of SLA monitoring.	Identify and agree a process for monitoring SLAs Review all Services SLA against the monitoring process identified	April 2004	March 2005	Customer satisfaction	None	Assistant Director internal Audit	Officer time – 20 days	Medium: Key Risks Not able to put resources into the project Key risks of not doing project Service not satisfactory to our customer base.	1.3.1, 3.2, 1.5.1, 1.6.1, 1.6.2, 1.6.3, 1.6.6
3.	Explore services provided to schools and identification of the true cost and charges	More focussed audit work for schools	Review of services provided to schools	Sept 04	April 05	Increased customer focus and satisfaction	None	Assistant Director internal Audit	Officer time – 20 days	Medium: Service not satisfactory to our customer base.	1.1, 1.3.1, 3.2, 1.5.1, 1.6.1, 1.6.2, 1.6.3, 1.6.6
4.	Revise Internal Audit Procedures Manual	Review and update the Internal Audit Procedure Manual	Procedures Manual better linked to corporate direction and current processes.	Sept.04	Mar. 05	Clear guidance for staff and customers	None	Assistant Director Internal Audit	Officer Time 20 Days	Low	1.1, 1.3.1, 3.2, 1.5.1, 1.6.1, 1.6.2, 1.6.3, 1.6.6

Best Value Review of Support Services (Phase 1)

	Description	Anticipated Outcome	Target(s)	Date action to start	Date target to be completed	Performance indicator	Other organisations involved	Responsible Officer	Estimated financial implications	Risk	Link to Corporate Priorities
TARGETED AND FLEXIBLE SERVICE PROVISION											
5.	Continued development of Risk Based audit planning and refining current risk assessment methodology	Introduction of a formal and transparent Risk Assessment in developing audit plans. Adopting this approach in terms of audit plans will lead to more audit time (resources) being targeted towards areas of weakness / greatest need within the Council	More focussed risk assessment methodology linked to corporate risk assessments.	Sept. 2004	To be reviewed in December 2004	More focussed risk assessment methodology linked to corporate risk assessments.	None	Assistant Director internal Audit / Management Team	Officer time – 20 days	Medium/ High. Could impact on CPA score. High risk areas require identification to ensure appropriate audit coverage. Lack of coverage of key areas could adversely affect achievement of corporate objectives	1.3.1, 1.6.1, 1.6.6, 1.4.1
6.	Investigation into improving the computer and contract audit services by means of a partnership with an external organisation and the purchase of top up services where necessary.	More flexibility in service provision and access to specialist skills.	Develop an appropriate procurement document and contract arrangements for such an approach. Greater level of computer audit work and possible partnership working with Devon, health trust Teignbridge DC and/or private provider. Contract documents written and advert placed	January 2005	March 2008	Cost per day Level of Audit coverage Achievement of plan	OLAs Private Sector Organisations Health Service	Assistant Director IA Director of Finance Procurement Officer	Average cost of outside providers is £250-£500 per day compared with in-house of £200. Costs would depend on level of service and work required.	High	1.1, 1.5, 1.3.1, 3.2, 1.5.1, 1.6.1, 1.6.2, 1.6.3, 1.6.6, 1.6.7

Best Value Review of Support Services (Phase 1)

	Description	Anticipated Outcome	Target(s)	Date action to start	Date target to be completed	Performance indicator	Other organisations involved	Responsible Officer	Estimated financial implications	Risk	Link to Corporate Priorities
7.	In tandem with the above, Investigate with other authorities the feasibility of setting up an Internal Audit Consortium and identification of ways of working with others including more positive steer as to partnership working with OLAs and Health Sector	More flexibility in service provision and access to specialist skills. Economies of scale	Identification and evaluation of key issues in relation to this approach.	January 2005	March 2008	Cost per day Level of Audit coverage Achievement of plan	OLAs Private Sector Organisations Health Service	Assistant Director IA Director of Finance Procurement Officer	Average cost of outside providers is £250-£500 per day compared with in-house of £200. Costs would depend on level of service and work required.	High	1.1, 1.5, 1.3.1, 3.2, 1.5.1, 1.6.1, 1.6.2, 1.6.3, 1.6.6, 1.6.7
8.	Consider possibility of undertaking grant review work on behalf of customers to satisfy grant body requirements in light of Audit Commission decision that External Auditors will no longer be undertaking this work for grants below £50,000.	Audit of grant claims in line with funding body requirements	Establish feasibility and resource requirements for such work. Continued grant funding received in light of grant certification work.	September 2004	To be reviewed in March 2005	Cost of grant certification. Reduction in External Audit fees.	Grant funding bodies	Asst. Director Internal Audit and Audit Management Team	Officer time To be quantified.	High	1.1, 1.3.1, 3.2, 1.5.1, 1.6.1, 1.6.2, 1.6.3, 1.6.6
9.	Continue to respond to future changes to the Council with regard the possible creation of 'Childrens' and Adult Trusts and review the Audit Service in light of this including a possible restructure, re-positioning of the service.	An Internal Audit Service which is responsive to the changing needs of the Council	Latest restructure embedded and functioning well. Responsive to Customer Needs. Revised Audit focus and audit plans.	Sept. 04	Sept. 06	Customer Feedback	Potentially Health organisations and other local authorities	Asst. Director Internal Audit and Audit Management Team	Officer time 20 Days?	Medium	1.1, 1.3.1, 3.2, 1.5.1, 1.6.1, 1.6.2, 1.6.3, 1.6.6

Best Value Review of Support Services (Phase 1)

	Description	Anticipated Outcome	Target(s)	Date action to start	Date target to be completed	Performance indicator	Other organisations involved	Responsible Officer	Estimated financial implications	Risk	Link to Corporate Priorities
ADDING VALUE TO SERVICE DELIVERY											
10.	Explore potential for income generation through joint working with other local authorities in the provision of training events	Achieve added value through joint working with OLAs and generation of supplementary income to put into service delivery.	Increased income generated	Sept. 04	April 2006	Income generated Training for staff	Other Local Authorities	Assistant Director Internal Audit Audit Manager	Potential additional income	Medium Depends on other local authorities and demand	1.1.1, 1.7.
11.	Analysis of how additional resources could be used on reducing risk within the Council (e.g. 10% increase in resources)	Achieve added value through reducing the Council's exposure to risk.	To reduce Council exposure to risk and fraud.	Sept. 04	December 04	Increased audit coverage and reduction in assessed risk.	Potentially other local authorities and health organisations. Also management and outside contractors	Assistant Director Internal Audit Audit Mgt Team	Additional resources and costs	Medium	1.3.1, 1.6.1, 1.6.6, 1.4.1
SERVICE IMPROVEMENT THROUGH PERFORMANCE MANAGEMENT											
12.	Benchmarking as part of CIPFA club and also with other Local Authorities	The CIPFA Benchmarking club allows collection of benchmarking data in order to monitor service performance, in terms of costs, productive audit days, use and allocation of resources, staffing levels and use of performance indicators. The results also provide some process data in terms of days allocated to establishment audits or days allocated to fundamental systems. In addition it is planned to undertake further benchmarking in terms of processes with other West of England and South Coast councils and with Internal Audit Sections elsewhere who may have gone through a Best Value review.	To improve position in relation to other authorities and to be in top quartile of unitary authorities in respect of Internal Audit by December 2005	On-going	On-going	Benchmarking results CPA Score for Internal Control External Audit Assessment	OLAs	Assistant Director IA	15 days Officer time	Medium. Key area identified from CPA and initial Challenge	1.1, 1.6.1, 1.5.1

Best Value Review of Support Services (Phase 1)

	Description	Anticipated Outcome	Target(s)	Date action to start	Date target to be completed	Performance indicator	Other organisations involved	Responsible Officer	Estimated financial implications	Risk	Link to Corporate Priorities
		<p>Expected outcomes/benefits include:-</p> <p>Regular comparison of aspects of performance e.g. costs, functions, processes, plan completion etc;</p> <p>Identifying gaps in performance;</p> <p>Seeking fresh approaches to bring about improvements in performance;</p> <p>Following through with implementing improvements and follow up by monitoring progress and reviewing the benefits achieved</p>									
13.	Investigate feasibility of using audit automation software to improve service delivery and support Egovt targets.	<p>Business Case prepared for use of audit automation.</p> <p>More efficient service delivery and better monitoring of performance.</p>	Reduced time required for audit and improved turnaround of reports.	September 2006	March 2008	<p>Improved service delivery and reduced time required for individual audits.</p> <p>Improved trail from risk identification to audit work and findings, and reporting.</p>	OLAs, Software suppliers	Asst. Director Internal Audit and Audit Management Team	<p>Potential cost of software.</p> <p>£3,000 - £15,000</p>	Low	1.1, 1.5, 1.3.1, 3.2, 1.5.1, 1.6.1, 1.6.2, 1.6.3, 1.6.6, 1.6.7, 1.9.5.

Best Value Review of Support Services (Phase 1)

	Description	Anticipated Outcome	Target(s)	Date action to start	Date target to be completed	Performance indicator	Other organisations involved	Responsible Officer	Estimated financial implications	Risk	Link to Corporate Priorities
14.	Fundamental Issues, evidence of consultation results and absence information to be reported to Performance Boards on a quarterly basis	Identifying gaps in performance; Seeking fresh approaches to bring about improvements in performance; Following through with implementing improvements and follow up by monitoring progress and reviewing the benefits achieved	Improved performance of the service and monitoring of outcomes.	Sept.04	On-going	Improved service delivery	None	Asst. Director Internal Audit and Audit Management Team	Officer time 20 days	Low	1.1, 1.3.1, 3.2, 1.5.1, 1.6.1, 1.6.2, 1.6.3, 1.6.6

Appendix 6

Democratic Services Service Improvement Plan

Link to Corporate Priority	Action	Outcome	Timescale		Targets	Other organisations involved	Responsible officer	Estimated (financial) implications
			Start	End				
Corporate Ability	To introduce new area arrangements	To add value to the decision making process and to increase public participation in the decision making process	Sept 2004	March 2005	<u>By the end of September 2004:</u> First revised ward partnership meetings to be held.	Current members of the Ward Partnerships	Kate Spencer	Within existing resources. Match funding to be provided by Devon and Cornwall Police.
					<u>By the end of March 2005:</u> Review of effectiveness of area arrangements to be undertaken.	Members of the Ward Partnerships	Kate Spencer	Within existing resources
Corporate Ability	To embed within the political management arrangements of the Council a credible programme of overview and scrutiny activity	To add value to the decision making process	Sept 2004	March 2005	<u>By end of September 2004:</u> Members to have had access to appropriate overview and scrutiny training	IDeA Julia Wright Training	Kate Spencer	Within existing resources

Link to Corporate Priority	Action	Outcome	Timescale		Targets	Other organisations involved	Responsible officer	Estimated (financial) implications
Corporate Ability	To embed within the political management arrangements of the Council a credible programme of overview and scrutiny activity (continued)	To add value to the decision making process	Sept 2004	March 2005	<u>By end of December 2004</u>	A range of organisations as set out in the Project Plan for each review.	Kate Spencer	Within existing resources
					Third round of scrutiny reviews to be completed			
					Overview and Scrutiny Manual to be completed			
					Overview and Scrutiny Protocol to be completed	To be determined	Kate Spencer	Within existing resources
					<u>By end of March 2005</u>		Kate Spencer	Within existing resources
					Work undertaken during 2004/2005 to be reviewed.		Kate Spencer	Within existing resources
					Training Programme for 2005/2006 to be developed.		Kate Spencer	Within existing resources
					Review of budget to be completed	A range of the stakeholder organisations will be invited to give their views during the Overview and Scrutiny Board's review of the budget.	Kate Spencer	Within existing resources

Link to Corporate Priority	Action	Outcome	Timescale		Targets	Other organisations involved	Responsible officer	Estimated (financial) implications
Corporate Ability	To embed within the political management arrangements of the Council a credible programme of overview and scrutiny activity (continued)	To add value to the decision making process	Sept 2004	March 2005	Review effectiveness of the health scrutiny arrangements in Torbay.	Local health agencies	Colin Gamble	Within existing resources
Corporate Ability	To support the development of Members	To equip all Members with the necessary knowledge and skills to enable them to carry out their roles effectively	Sept 2004	Dec 2006	<p><u>By the end of March 2005:</u></p> <p>Programme of training for Members to be delivered.</p> <p>Members Training Programme for 2005/2006 to be finalised</p> <p><u>By end of December 2006</u></p> <p>Review of support services for Members to be completed.</p> <p><u>Ongoing</u></p> <p>Provide guidance on new procedures adopted by the Council</p> <p>Induction training to be made available to all newly elected Councillors</p>		<p>Colin Gamble</p> <p>Colin Gamble</p> <p>Colin Gamble</p> <p>Colin Gamble</p> <p>Colin Gamble</p>	<p>Within existing resources</p> <p>Within existing resources</p> <p>Within existing resources</p> <p>Within existing resources</p> <p>Within existing resources</p>

Link to Corporate Priority	Action	Outcome	Timescale		Targets	Other organisations involved	Responsible officer	Estimated (financial) implications
Corporate Ability	Enhanced involvement of the Overview and Scrutiny Board in monitoring performance	An effective set of indicators which are used to drive performance improvement across the Authority	Sept 2004	March 2006	<u>By end of September 2004:</u>	IDeA	Kate Spencer	Within existing resources
					Training for Members on Performance Management to be held			
					Democratic Services to provide administrative support to Performance Boards.		Kate Spencer	Within existing resources
					<u>By end of December 2004:</u>		Kate Spencer	Within existing resources
					Review of the "lessons learnt" from the September round of Performance Boards.			
					<u>By end of March 2005:</u>		Kate Spencer	Within existing resources
					Consideration to be given to Performance Boards being established on a priority basis rather than Directorate basis		Kate Spencer	Within existing resources
					Any further training needs in relation to performance management to be identified and fed into Members Development Programme 2005/2006		Kate Spencer	Within existing resources

Link to Corporate Priority	Action	Outcome	Timescale		Targets	Other organisations involved	Responsible officer	Estimated (financial) implications
Corporate Ability	Enhanced involvement of the Overview and Scrutiny Board in monitoring performance (continued)	An effective set of indicators which are used to drive performance improvement across the Authority	Sept 2004	March 2006	<u>By end of March 2006:</u> Review of work of Performance Boards over the past 18 months to be completed.		Kate Spencer	Within existing resources
Corporate Ability	Continuous review of the Codes of Conduct and Protocols within the Council's Constitution	Open, transparent and effective political management of the Council	Jan 2005	Sept 2006	<u>By end of September 2005:</u> Review one third of the Council's Codes, Protocols etc in line with the agreed programme.		Colin Gamble	Within existing resources
					<u>By end of September 2006:</u> Review one third of the Council's Codes, Protocols etc in line with the agreed programme.		Colin Gamble	Within existing resources
Corporate Ability	Continuous review of decision making processes of the Council	Open, transparent and effective political management of the Council	Sept 2004	April 2005	<u>By end of March 2004:</u> Format of meetings of the Council to be reviewed and new arrangements agreed.		Colin Gamble	Within existing resources
					Format of Forward Plan to be reviewed and new format introduced.		Colin Gamble	Within existing resources

Best Value Review of Support Services (Phase 1)

Link to Corporate Priority	Action	Outcome	Timescale		Targets	Other organisations involved	Responsible officer	Estimated (financial) implications
Corporate Ability	Continuous review of decision making processes of the Council (continued)	Open, transparent and effective political management of the Council	Sept 2004	April 2005	<u>By end of April 2005:</u> Review the support provided to new bodies established by the Council by Democratic Services	Torbay Development Agency Children's Trust Adult Services Care Trust	Colin Gamble	Within existing resources
					Consideration to be given to providing Councillors with information on reports at an earlier stage than at present and revised process agreed.		Colin Gamble	Within existing resources
Corporate Ability	Preparation of Service Level Agreement	Greater clarity of the nature and level of services provided and associated costs	Sept 2004	Dec 2004	<u>By end of December 2004:</u> Service Level Agreement completed following consultation with Directors		Colin Gamble	Within existing resources
Corporate Ability	Continuous review of the effectiveness of the functions provided by Democratic Services	Competitive and responsive support service to the Council	Aug 2004	on-going	<u>By end of April 2006:</u> Benchmarking exercise with other unitary authorities to be completed	Other unitary authorities	Colin Gamble	Within existing resources

Link to Corporate Priority	Action	Outcome	Timescale		Targets	Other organisations involved	Responsible officer	Estimated (financial) implications
					<u>Ongoing:</u> Achievement, where possible, of reductions in costs without reducing the efficiency of the service			
Corporate Ability	Continuous review of the effectiveness of the functions provided by Democratic Services (Continued)	Competitive and responsive support service to the Council	Aug 2004	on-going	<u>Timetable to be developed having regard to intentions of other support services</u> Customer satisfaction surveys to be undertaken and analysis of results to be completed.			
Corporate Ability	Promote greater public involvement in local decision making.	Enhance representative role for Councillors in the community through the use of technology	Sept 2004	Dec 2006	<u>By end of December 2005:</u> Public access to agendas and minutes for all meetings of the Council (including working parties and review panels) Councillors to have the option to have an easy-to-manage set of public web pages (for community leadership purposes) that is either maintained for them, or that they can maintain themselves		June Godsolve June Godsolve	Within existing resources Within existing resources

Link to Corporate Priority	Action	Outcome	Timescale		Targets	Other organisations involved	Responsible officer	Estimated (financial) implications
Corporate Ability	Promote greater public involvement in local decision making (continued).	Enhance representative role for Councillors in the community through the use of technology	Sept 2004	Dec 2006	<p><u>By end of April 2006</u></p> <p>Establishment of multi-media resources on local policy priorities accessible via public website (e.g. video and audio files)</p> <p><u>By end of December 2006</u></p> <p>To explore the feasibility of introducing further initiatives as a means of enhancing the democratic process. In particular to focus on engaging young persons through schools and the youth council.</p>		June Godsolve	Within existing resources