



Framework Document

2008 – 2012



Lexcel
LITIGATION &
EMPLOYMENT GROUP



INVESTOR IN PEOPLE



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Foreword

By the Attorney General

I am delighted to present the revised Framework Document for the Treasury Solicitor's Department (TSol). It describes the responsibilities of the Agency for the next five years and sets out the key elements of the management policy and resources framework within which it will operate.

I am responsible to Parliament for overseeing the provision by TSol litigation and advisory services to Government Departments and other publicly funded bodies in England and Wales, and its action on behalf of the Crown to collect and maximise the efficient generation of income from Bona Vacantia assets.

I shall be setting the Agency challenging annual targets in relation to financial matters, efficiency, and quality of service. To achieve them, HM Procurator General and Treasury Solicitor, as Chief Executive, will need to draw on the experience, expertise and commitment of all who are employed by the Agency. He will be free to develop new and imaginative ideas for achieving these objectives.

Towards 2012 the Agency's strategy will be centred on the 5 priorities of sharpening customer focus, improving the quality of legal services, introducing more flexible service provision, enhancing the value of services and maximising the efficiency of support services and how resources are deployed.

Performance against the aim and objectives of the Agency will be monitored through the high level measures and targets set out in this Framework Document and through the many underlying internal performance measures used by the individual operating divisions.

The Agency will prepare an Annual Business Plan and a 3 year Corporate Plan to underpin its work and provide a basis for the TSol Board to communicate the Agency's targets and monitor how successfully they are being achieved.

Towards 2012 the TSol Board will build in particular on the current client business partnership and system change initiatives to relate performance targets directly to make sure TSol is the:

- **best for our people**
- **best for our clients**
- **best in the business**

The work of the Agency over the coming years will be demanding, but I am confident that the Chief Executive and his staff will meet that challenge and I thank them and wish them every success



**Baroness Scotland
the Attorney General**

Baroness Scotland

Attorney General

1 Organisation

Title

- 1.1 This Framework document describes the responsibilities of the Agency for the financial years 2008 – 2012 and sets out the key policies and resources within which it will operate.
- 1.2 The Treasury Solicitor's Department (TSol) is a non-ministerial government department and Executive Agency. Her Majesty's Procurator General and Treasury Solicitor was established as an Executive Agency on the 1 April 1996, and will continue to be called the Treasury Solicitor's Department. TSol is led by The Treasury Solicitor who is the Chief Executive and Accounting Officer for the Agency. The Attorney General has overall Ministerial responsibility for the Agency.
- 1.3 The Agency provides legal services to Departments of central government and to other publicly funded bodies in England and Wales and acts on behalf of the Crown to collect and maximise the efficient generation of income from Bona Vacantia assets.

Location

- 1.4 The Agency's Headquarters are at One Kemble Street in central London, although a number of advisory teams are located with the government departments they serve.

Resource Needs

- 1.5 TSol generates a significant majority of its income from services to client organisations which are charged to recover the full cost of the services provided. Other income funded by Parliamentary Vote is used to provide non-chargeable services
- 1.6 The Agency uses Vote funding to resource services required by the Attorney General in the wider public interest such as the Government Legal Service, acting for the Crown in matters of charity and family law, exercising the jurisdiction of the Queen's Proctor, acting for the Attorney in matters concerning the Royal Sign Manual and applications to have litigants declared vexatious or where no single client can be identified as the primary beneficiary of the service as in the case of European Division, whose main function is to co-ordinate consideration of legal issues in Whitehall on EU issues and represent the United Kingdom before the European Court of Justice and Court of First instance.
- 1.7 The Agency also raises income from the organisations that it has provided legal services to, which are priced at a level that fully recovers the Agency costs.
- 1.8 Details of the full resource requirement and budgets will be included in the Agency's published annual Business Plan. With the detail of resources for future years published in subsequent annual Business Plans.

2 Objective

- 2.1 The Agency's Departmental Strategic Objective agreed with HM Treasury is to provide high quality legal services to enable its clients to operate effectively within the law, maximise the value of legal services, minimise legal risk and achieve best legal outcomes.
- 2.2 The Agency has broken down the strategic objective with the Treasury into 5 objectives:
- Provide high quality legal services to enable its clients to operate effectively within the law
 - Work in partnership with its clients to achieve the best legal outcomes
 - Work in partnership with its clients to minimise their legal risk and maximise the value of the services they receive
 - Provide added value to government in developing joined up policy and legislation
 - Work with HM Treasury and other partners to maximise the efficient generation of income from Bona Vacantia assets
- 2.3 The Agency's purpose is to be the leading provider of legal services to Government.
- It enables Government to operate effectively within the rule of law
 - It provides, procures and manages professional, high quality and best value legal services
- 2.4 Towards 2012 the Agency's strategy will be to deliver its purpose by making sure it is the
- Best for our people
 - Best for our clients
 - Best in the business

The best for our people

- 2.5 The Agency will clarify its business goals to allow it to deliver its People Strategy. Attracting and retaining high calibre people who perform well is fundamental to its success.

Best for our clients

- 2.6 The Agency will develop strong working relationships with its clients and a deep understanding of their business to assist clients in managing their legal risks. The Agency will work in partnership with its clients, be pro-active in managing the work it does with them and ensure they receive high quality, best value legal services. The Agency will increase its capability to work with the private sector, offer a greater breadth of value-added services, and significantly improve its ability to plan and manage performance.

Best in the business

- 2.7 The Agency's systems will support its business needs to improve business, workforce and financial planning.

3 Performance Measurement and Targets

- 3.1 The Agency will be required to achieve demanding efficiency, financial and quality of service targets set annually by the Attorney General.
- 3.2 Performance against the strategic objective agreed with HMT will be monitored through the following key performance indicators:
 - Achievement of 95% overall client satisfaction ratings (measured against good and excellent) for Litigation and Advisory Surveys.
 - Recover from clients the full operating costs of chargeable services.
 - Pay all undisputed supplier invoices in accordance with terms or within 30 days.
 - Maintain Lexcel Accreditation.
- 3.3 In addition, the Agency will develop and maintain a number of internal measures to inform management and to aid planning and the monitoring of performance against those plans.
- 3.4 The process by which these quality, efficiency and competitiveness targets will be monitored will be set out in the Agency's Corporate Plan and Business Plan.
- 3.5 The Agency is required to have accounting and management information systems sufficient for the Chief Executive to review and report to the Attorney General on performance; and enable the Accounting Officer to sign an annual Statement of Internal Control which will form part of its annual report.

4 Business Partnership

- 4.1 The TSol Board has placed effective business partnership at the centre of delivering the Agency's Strategic Objective (see paragraph 2.1).
- 4.2 The Agency's Business Partnership Strategy (working with the Agency's other corporate strategies) will have the aim of ensuring that the Agency's Strategic Objective is achieved within the period of this Plan. The Agency's Business Partnership Strategy will be agreed in Autumn 2008.
- 4.3 Effective delivery of the Strategy requires a close, strong and effective partnership between the Agency and its clients - its business partners - where, together, we have the goal of avoiding litigation and reducing overall legal spend; we get even closer to our partners' business so that we more deeply understand their priorities and the pressures they face; we ensure our partners are confident that their work will be done to a high standard and that we are maximising the value of the services they receive; and we work closely with our partners to prioritise and make best use of our expertise and people.

5 Corporate Responsibilities

Role of the Attorney General

- 5.1 The Attorney General has ministerial responsibility for TSol. She is responsible to Parliament for ensuring that the Agency delivers the legal services that the Agency is set up and funded to provide.
- 5.2 The Attorney General is responsible for setting the policy and resources framework within which the Agency operates. She will appoint the Chief Executive, set the overall objectives and approve the Agency's Corporate Strategy and Business Plans.

Role of the Chief Executive

- 5.3 The Chief Executive is responsible for the management of the Agency and will be accountable for this to the Attorney General.
- 5.4 In particular, the Chief Executive will be responsible for advising the Attorney General on:
 - Overall strategic direction and overseeing its delivery
 - Managing overall performance and governance of the organisation
 - Managing relations with key stakeholders
 - Policy issues affecting the Agency
 - The framework of responsibilities and resources set out in this document
 - The Agency's three year Corporate Plan and the annual Business Plan
 - The setting and monitoring of key performance targets
 - Maintaining effective accounting and management information systems sufficient for the Chief Executive to meet the Accounting Officer responsibilities; and
 - Performance ensuring the best for people, best for clients, and best in the business.

6 Accountability

Accountability to Parliament

- 6.1 The Attorney General will be accountable to Parliament for the general conduct and efficiency of the Agency.

Accounting Officer Arrangements

- 6.2 The Chief Executive will be charged with carrying out the responsibilities of an Accounting Officer set out in the Treasury Memorandum 'The Responsibilities of an Accounting Officer' in so far as they concern the functions assigned to the Agency in the Framework Document. He will ensure that the requirements of Managing Public Money and the Financial Reporting Manual are met and that the Agency observes any guidance issued by the Treasury. He will put into effect any recommendations of the Public Accounts Committee or other Parliamentary Select Committee or other Parliamentary Authority which affects the Agency and have been accepted by Government.

Parliamentary Questions

- 6.3 Members of Parliament will be encouraged to deal directly with the Agency on day-to-day matters and to address their enquiries to the Chief Executive. The Attorney General will as a rule pass letters on operational issues for which the Chief Executive is responsible to the Chief Executive who will reply or make arrangements for a reply to be issued. The Attorney General will normally answer written Parliamentary Questions on matters delegated to the Agency by stating that the Chief Executive will write to the Member who put the Question. These letters will be published in the Official Report.

Parliamentary Committees

- 6.4 As Agency Accounting Officer, the Chief Executive may be required to appear before the Public Accounts Committee to answer questions relating to management and performance of the Agency and for all other responsibilities as set out in the Accounting Officer Memorandum and any subsequent revisions. The Attorney General will decide who should represent her at other Parliamentary Select Committees when affairs of the Agency are discussed. In practice, where a Committee's interests concern the day-to-day operation of the Agency, the Attorney General will normally expect the Chief Executive to answer on her behalf.

Parliamentary Commissioner for Administration

- 6.5 The activities of the Agency will fall within the jurisdiction of the Parliamentary Commissioner for Administration. The Chief Executive will be the Principal Officer with primary responsibility for commenting on matters concerning the operation of the Agency.

Corporate Governance

- 6.6 The Agency will put in place the necessary systems to monitor activity within the Agency and provide the TSol Board with the information required to discharge all obligations in respect of Corporate Governance.
- 6.7 This information will support an annual Statement of Internal Control, which will be signed by the Accounting Officer and form part of the Agency's Annual report.
- 6.8 The Agency's corporate governance structure and the Terms of Reference and membership of the board and sub-committees is at Annex A. The role of the TSol Board reflects its roles in strategy, performance management and stakeholder relations. The sub-committees are structured to focus leadership attention on the corporate priorities of performance, strategic change (Performance and Investment Committee) and business partnerships (Business Partnership Committee). Non-Executive Directors attend Board and Committee meetings in a challenge and support role.
- 6.9 An Audit Committee, which is chaired by an Non-Executive Director and includes a further two Non-Executive Directors, will support the Accounting Officer by monitoring and reviewing the Agency's risk, control and governance processes and the associated assurance processes.
- 6.10 A Security Committee oversees security policy and practice, including IT security and physical audits.

7 Planning and Control

The Corporate Plan

- 7.1 The Agency will prepare a Corporate Plan every three years and an Annual Business Plan which will set out priorities, objectives and annual performance targets.
- 7.2 The Corporate Plan will set out the objectives of the Agency and how they will be achieved. Aims and objectives will be set to achieve that programme. The Plan will, in addition focus on medium term business targets.
- 7.3 The Corporate Plan and Business Plan will cover:
- The nature and extent of the Agency's responsibilities;
 - The Agency's purpose, strategy, strategic objectives and the alignment of the strategy with Cabinet Office priorities;
 - Business and Financial Projections;
 - Risks that may affect the conduct of Agency business and how the Agency would respond to their crystallisation;
 - Performance targets and indicators, including those agreed with HM Treasury;
 - Governance and Organisation.
- 7.4 The TSol Board will directly relate performance targets to deliver our purpose by making sure we are the:
- best for our people
 - best for our clients
 - best in the business

The Business Plan

- 7.5 An annual Business Plan will be submitted by the Chief Executive to the Attorney General in March of each year and will specify the Agency's plans for the financial year ahead.
- 7.6 The Plan will be the definitive document against which the Agency's annual performance will be measured. It will:
- Include targets agreed with HM Treasury
 - Outline plans for improving value for money and quality of service. It will also forecast volume of work and income and expenditure.

Annual Report and Accounts

- 7.7 An Annual Report and Accounts covering the Agency's work for the preceding year will be published each year. This will include information on the Agency's performance against the Business Plan targets. The Annual Report and Accounts will be audited and laid before Parliament.
- 7.8 The Agency Accounts will:
- Be prepared on a Resource (accruals) basis in accordance with a Treasury Accounts Direction;
 - Fully comply with Managing Public Money and
 - Reflect, as appropriate, the best commercial practice as outlined in the Companies Act and accounting standards issued or adopted by the Accounting Standards Board.

Annual Security Report

- 7.9 An Annual Security Report will be issued to the Security Committee each year. The report will provide a review of the Information Security Management System in the Agency and will be aligned with the Cabinet Office Security guidelines and the ISO27001:2005 security standard that the Agency is certified against. This certification confirms the Agency's IT is suitable, inadequate and effective. The report covers all aspects of Information Assurance including governance, risk management, training and awareness, internal audits, Physical and IT Security. The Deputy Treasury Solicitor is the Senior Information Risk Owner for the Agency.

External Audit

- 7.10 The Agency will be subject to external audit by the Comptroller and Auditor General.

Internal Audit

- 7.11 The Accounting Officer/Chief Executive will be responsible for making suitable arrangements for the provision of an internal audit service in a manner which best represents value for money for the Agency. Internal audit will accord with objectives, standards and practices set out in the Government's Internal Audit Manual, and with the Government Information Systems Audit Manual guidance.

Pricing Policy

- 7.12 The Agency will be required to recover the full operating costs of its chargeable services, from its clients. Charges will be reviewed regularly as part of the planning and budgetary control process. Unless otherwise agreed with the Treasury, the Agency's charges will be consistent with the principles outlined in the Treasury's Guide on Fees and Charges.

Contractual Delegation

- 7.13 The Chief Executive will establish appropriate policies and practices for the Agency's purchasing arrangements in accordance with best practice and will ensure that instructions are promulgated to all staff. The Chief Executive will have unlimited delegated authority for competitive procurement, and authority for single tender action, within the Treasury's overall delegation. The Chief Executive may authorise contractual delegation to staff within the Agency.
- 7.14 All procurement by the Agency will be assessed against criteria set to ensure value for money.

Financial Delegation

- 7.15 Subject to the terms of Managing Public Money and any other Treasury guidance, the Chief Executive will have unlimited delegated authority to approve all items of expenditure, let contracts, write off losses and make special payments which are within the ambit and amount of the Estimates approved by Parliament and consistent with the Corporate and Business Plans approved by the Attorney General. The Chief Executive will delegate responsibility for expenditure, where appropriate, consistent with the needs of propriety, regularity and financial control.

Risk Registers

- 7.16 The Agency has identified four strategic risks which pose a threat to its strategic objectives. Strategic risks are owned by the TSol Board and monitored by the TSol Board and the Audit Committee. The Agency will maintain and monitor a comprehensive Risk Register for each operating division which identifies risks which pose a threat to the Agency's prime objectives.
- 7.17 Action Plans to manage the risks will be prepared and taken forward. Strategic risks will be reviewed quarterly by the TSol Board and half yearly by the Audit Committee, and the Agency's internal audit team will assure the Agency's risk management process annually. Risk Registers will be reviewed on a regular basis.

8 Personnel Matters and Industrial Relations

General

- 8.1 The Agency's staff will be Civil Servants employed on Civil Service Terms and Conditions, except as otherwise agreed with the Attorney General and the Treasury and Cabinet Office in the interests of the efficient management of the Agency. The provisions of the Principal Civil Service Pension Scheme will apply to its permanent staff.
- 8.2 The Agency in accordance with the Civil Service Management Code will recruit permanent staff to all grades through fair and open competition.

The Chief Executive

- 8.3 The Chief Executive will normally be appointed following recruitment through open competition. The pay and terms and conditions of employment of the Chief Executive will be agreed with the Attorney General and the Cabinet Office.

Personnel Management

- 8.4 The Chief Executive will be responsible for determining the number of staff employed in the Agency, their terms and conditions and their deployment.
- 8.5 The Chief Executive may review the terms and conditions of service in the interests of improved efficiency and effective management. Proposals for changes to the terms and conditions of service will be subject to consultation with staff and their representatives, the Treasury and Cabinet Office.
- 8.6 The Agency will have delegated responsibility, within the resources approved by Parliament, to pay salary levels which are appropriate to recruit, motivate and retain staff with the necessary skills required to meet its objective to provide high quality legal services to its clients.

Health and Safety

- 8.7 The Chief Executive will be responsible for ensuring that the Agency fully complies with all Health and Safety legislation.

Appraisals

- 8.8 The Agency will operate an annual staff performance appraisal system which conforms to the Modernising Government Agenda. Guidance and training on the performance appraisal system will be given to all Agency staff.

Career Development and Training

- 8.9 The Agency's People Strategy and Employee Deal will seek to ensure that the Agency offers staff an attractive and fulfilling experience at all stages of their careers, whether they are lawyers, administrators or in support functions. The Agency will achieve this by providing a variety of high quality, interesting work and opportunities to develop and progress. The agency will undertake work at the most appropriate level. This will allow the best use to be made of lawyers and their expertise, whether they are new recruits or experienced lawyers. This will enable the Agency to provide high quality work to administrators, allowing them to undertake the legal administrative work that they are qualified to do.
- 8.10 The Agency will value Diversity and promote the work-life balance approach and will provide flexible working opportunities, offering a good work life balance so that demanding work can be better combined with other activities.

Employer Relations

- 8.11 The Chief Executive will be responsible for promoting good staff relations and for consultation as and when appropriate with staff and their representatives.
- 8.12 Regular Partnership meetings will take place with the Trade Union Side to promote closer working relations.

Investor in People

- 8.13 The Agency will take steps to ensure that it continues to meet the standards required for Investor in People accreditation and to achieve benefits for all employees such as:
- A good working environment
 - Important and interesting work
 - Recognition and career development
 - Pride in being part of a successful organisation
 - Good quality training and skills development
 - Improved job satisfaction
 - Increased responsibility and involvement
 - Health and safety gains

9 Review

- 9.1 This Framework Document will be reviewed by the Chief Executive in consultation with the Attorney General every three years, or more frequently as necessary. Staff will be consulted on proposed changes relating to their terms and conditions of service.
- 9.2 Changes to the Framework Document will be subject to the agreement of the Chief Executive, the Treasury and the Cabinet Office, and the approval of the Attorney General.
- 9.3 Copies of this Framework Document, and of any revised editions, will be placed in the libraries of both Houses of Parliament.
- 9.4 This Framework Document is available on the Treasury Solicitor's Department's website at:
www.tsol.gov.uk.

Hard copies may be obtained from:–

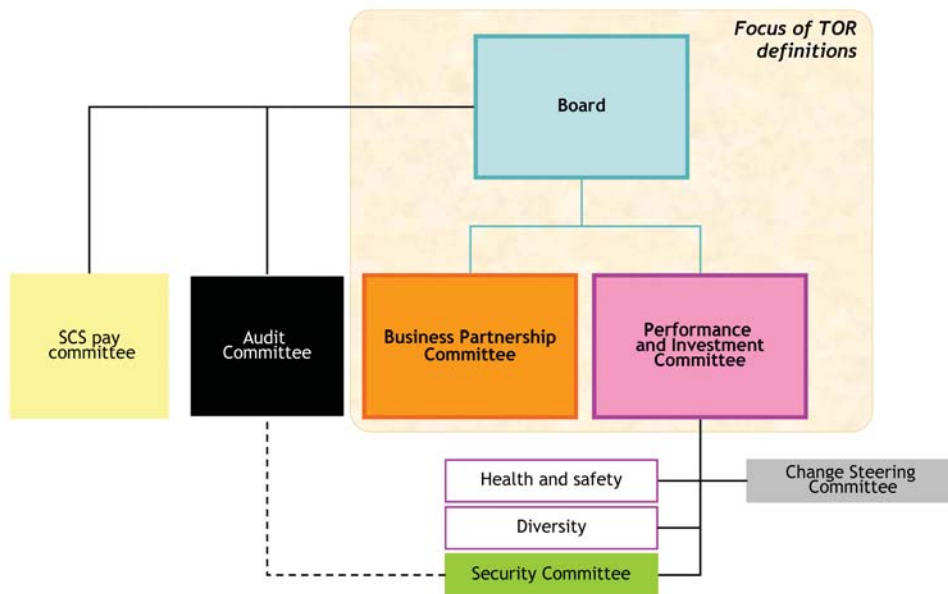
The Chief Executive
The Treasury Solicitor's Department
One Kemble Street
London WC2B 4TS
DX123242 Kingsway

10. Annexes

Annex A Board and Committees
 Terms of Reference

Annex A Board and Committees Terms of Reference

The Governance ToR focus on the Board, Business Partnership Committee and Performance and Investment Committee



The Board and Committees have clear and distinct purposes, which align against TSoI's strategic objectives

		Board	Business Partnership Committee	Performance and Investment Committee
PURPOSE		To support the Treasury Solicitor in providing leadership of TSoI, framing the overall strategic direction and overseeing its delivery, managing overall performance of the organisation and governance and managing relations with key stakeholders, ensuring the best for people, best for clients, and best in the business	To define and oversee TSoI's business partnering strategy and activities to ensure close and effective strategic partnering with all key clients - to achieve the best legal outcomes and to work in partnership with our clients to minimise their legal risk and maximise the value of the services they receive.	To oversee the performance of TSoI's objectives to ensure delivery of high value services in an efficient manner, consistent with business and Division plans and not disrupted by change activities, ensuring best in the business
1	Provide high quality legal services to enable our clients to operate effectively within the law	1. <i>Set and review strategic objectives and priorities, purpose and values and ensure progress against strategy</i>	1. <i>Oversee the creation and embedding of the business partnering and service strategy, covering</i> - Business relationship/partnering - New service delivery models - New business and clients - Expanding current work volumes	1. <i>Oversee performance against business, corporate and Division plans</i>
2	Work in partnership with our clients to achieve the best legal outcomes	2. <i>Manage overall performance of TSoI by delegating responsibilities for delivery of business and change to the line and overseeing progress</i>	2. <i>Oversee quality of individual client relationships to ensure consistent with strategy and driving high value</i>	2. <i>Oversee delivery of the TSoI change programme</i>
3	Work in partnership with our clients to minimise their legal risk and maximise the value of the services they receive.	3. <i>Ensure effective performance of governance arrangements</i>	3. <i>Address and resolve client care issues which have not been resolved at Divisional or line manager level (or fall outside their tolerances)</i>	3. <i>Address and resolve operational and change issues which cannot be resolved at Divisional or line manager level (or fall outside their tolerances)</i>
4	Provide added value to Government in developing joined up policy and legislation	4. <i>Conduct effective stakeholder management and stakeholder relations on behalf of TSoI</i>	4. <i>Define procurement approach and guidance for legal services</i>	4. <i>Oversees quality of procured legal services</i>
5	Work with Treasury and other partners to maximise the efficient generation of income from BV assets			

Board: Terms of reference

Purpose
To support the Treasury Solicitor in providing leadership of TSol, framing the overall strategic direction and overseeing its delivery, managing overall performance of the organisation and governance and managing relations with key stakeholders, ensuring the best for people, best for clients, and best in the business

Role	
Business Outcome	Decision type/Responsibilities
1. Set and review strategic objectives and priorities, purpose and values and ensure progress against strategy	<ul style="list-style-type: none"> Approve strategies that form part of TSol strategic framework Approve corporate and business plans Take decisions on escalated issues where decisions required may represent a deviation from agreed strategies
2. Manage overall performance of TSol by delegating responsibilities for delivery of business and change to the line and overseeing progress	<ul style="list-style-type: none"> Monitor performance of operations, corporate functions and change using progress reporting from sub-committees and via dashboards Maintain visibility of performance against business plan Take decisions on items raised from sub-committees by exception Monitor and intervene on exceptional items where Board requests visibility such as special or sensitive projects, operational or corporate issues Manage strategic risks
3. Ensure effective performance of governance arrangements	<ul style="list-style-type: none"> Define governance structure and decision tolerances of Committees and line management, such as <ul style="list-style-type: none"> Investment levels Recruitment levels Set Committee memberships, and review performance of governance, board, and committees
4. Conduct effective stakeholder management and stakeholder relations on behalf of TSol	<ul style="list-style-type: none"> Identify key corporate stakeholders and approve plans to manage them Take decisions on issues relating to relationships of TSol with respect to key stakeholders and business partners

Critical Success Factors
<ul style="list-style-type: none"> Strategic items dealt with separately to operational, change and corp. service items Meeting items prioritised by secretariat according to impact on long-term value creations and impact on strategic objectives Annual cycle of business established and reviewed quarterly Quarterly priorities are provided by board to secretariat and forward plan adjusted accordingly Meetings primarily used for decision making (materials circulated the week prior to meeting) Cover note on circulated materials explains reason participants expected to read material (e.g. what decisions will be required, for info only) Last item in meeting is agreement on what actions & decisions made during meeting Items are moved off agenda asap rather than being carried forward

Timing
<ul style="list-style-type: none"> Monthly, first Thursday of month

Membership	
<ul style="list-style-type: none"> Treasury Solicitor – Paul Jenkins 	<ul style="list-style-type: none"> Chair
<ul style="list-style-type: none"> Deputy Treasury Solicitor – David Pearson Dir, Finance Planning and Performance – Simon Parkes Dir, HR – Mary Esplin Dir. from Advisory Divisions (co-located) – Stephen Parker Dir. from Advisory Divisions (OKS) – Peter Fish Dir. Litigation Group – Hugh Giles Dir. Business Partnerships – Valerie Cain 	<ul style="list-style-type: none"> Executive members
<ul style="list-style-type: none"> Non Executive 1 – Marilynne Morgan Non Executive 2 – Niall Scott Non Executive 3 and Audit Committee chair – David Crowther 	<ul style="list-style-type: none"> Non Executive members
<ul style="list-style-type: none"> Secretariat – Jane Dawson Secretariat – Jackie Trainer 	<ul style="list-style-type: none"> Office of TSol

Key Agenda Items
<ul style="list-style-type: none"> Items as per annual cycle of business Approval of papers including strategy documents Review progress reports from sub-committees (e.g. quarterly) Take decisions on items raised by sub-committee Review strategic risks Review unresolved key client issues

Business Partnership Committee: Terms of reference

Purpose	
To define and oversee TSol's business partnering strategy and activities to ensure close and effective strategic partnering with all key clients - to achieve the best legal outcomes and to work in partnership with our clients to minimise their legal risk and maximise the value of the services they receive, ensuring best for our clients	
Role	
Business Outcome	Decision type/Responsibilities
1. Oversee the creation and embedding of the business partnering and service strategy, covering - Business relationship/partnering - New service delivery models - New business and clients - Expanding current work volumes	<ul style="list-style-type: none"> Define the Business Partnering Strategy Determine the key client list Agree operational guidance that are in line with the Strategy, for example <ul style="list-style-type: none"> Client relationship managers Client care training Criteria for taking on new business Monitor client risks
2. Oversee quality of individual client relationships to ensure consistent with strategy and driving high value	<ul style="list-style-type: none"> Monitor levels of maturity of relationship <ul style="list-style-type: none"> Appointment of client & TSol SPOCs Clear & agreed service levels Level of involvement & integration Monitor outcomes <ul style="list-style-type: none"> Reductions – client impact of debt, select categories of litigation cases (e.g. types of PI cases) Client survey results
3. Address and resolve client care issues which have not been resolved at Divisional or line manager level (or fall outside their tolerances)	<ul style="list-style-type: none"> Resolve client issues such as: <ul style="list-style-type: none"> Unfulfilled requests for new work Concerns with quality of outsourced services Billing issues Significant deviations from service levels agreement
4. Define procurement approach and guidance for legal services	<ul style="list-style-type: none"> Set the requirements for legal services procurement, to ensure consistent and supporting business partnering strategy
Timing	
<ul style="list-style-type: none"> Monthly, third Thursday of month 	

Critical Success Factors	
<ul style="list-style-type: none"> Consistent, well understood and effective business partnering approach used throughout TSol Client management capabilities existing within the right roles Client care and strategic partnering values understood and adopted throughout the organisation Real "strategic partnerships" achieved with all key clients High quality scores from all clients in satisfaction survey Seamless use of third party provision, well received by clients Primary responsibility for the ongoing management of client relationships and the resolution of client issues lies with line roles 	
Membership	
<ul style="list-style-type: none"> Deputy Treasury Solicitor – David Pearson 	<ul style="list-style-type: none"> Chair
<ul style="list-style-type: none"> Dir. Business Partnership – Valerie Cain Dir. HR – Mary Esplin Dir. from Advisory Divisions – (OKS) Frances Nash Dir. from Advisory Divisions – (Co-located) Claire Johnston Dir. Litigation Group – Hugh Giles Dir. BV – Peter Loosley (interim) Dir. Finance Planning and Performance – Simon Parkes Head of Change - Jane Dawson 	<ul style="list-style-type: none"> Executive members
<ul style="list-style-type: none"> Client Manager HMPS – David Dunleavy Client Manager BIA & HO– Simon Harker Client Manager MOD – Philip Kent Client manager Highways – Rukhsana Shah 	<ul style="list-style-type: none"> CCM Top 5 Clients
<ul style="list-style-type: none"> Non Executive Director– Niall Scott Client representative – Rowena Collins-Rice MoJ– (From 04/08) 	<ul style="list-style-type: none"> Non Executive members
<ul style="list-style-type: none"> Secretariat – Kim Petchey 	<ul style="list-style-type: none"> BPD Office
Key Agenda Items	
<ul style="list-style-type: none"> Items as per annual cycle of business Review of business partnering maturity, client issues/risks and client satisfaction via individual client dashboards Take decisions on items raised by line management Define and initiate actions required to address critical business partnering issues / shortfalls Annually, select individuals as examples of business partnering excellence 	

NB Committee will periodically review its own performance and effectiveness, including the role of the client representative

Performance and Investment Committee: Terms of reference

Purpose	
To oversee the performance of TSol's objectives to ensure delivery of high value services in an efficient manner, consistent with business and Division plans and not disrupted by change activities, ensuring best in the business	
Role	
Business Outcome	Decision type/Responsibilities
1. Oversee performance against business, corporate and Division plans	<ul style="list-style-type: none"> Monitor performance against plans and budgets via dashboards, identifying operational underperformance <ul style="list-style-type: none"> - Financial targets - Operational targets – e.g., joined up service delivery - Staff/recruitment/training targets - Output targets - Service provision standards Identify issues and monitor operational risks to instigate remedial actions and correct significant deviations Consider impact of key items such as <ul style="list-style-type: none"> - Overall debt and trends - Recovery position and projections - Workforce capacity, utilisation and planning - Progress and adherence to TSol sustainability commitments - Adherence to TSol diversity and equality commitments
2. Oversee delivery of the TSol change programme	<ul style="list-style-type: none"> Approve new initiatives to the change programme within delegated tolerances Approve changes to ongoing initiatives Monitor risks on change programme
3. Address and resolve operational and change issues which cannot be resolved at Divisional or line manager level (or fall outside their tolerances)	<ul style="list-style-type: none"> Resolve operational and change issues such as <ul style="list-style-type: none"> - Capacity shortfalls - Turnover of critical staff/roles - Over-recovery
4. Oversees quality of procured legal services	<ul style="list-style-type: none"> Monitor outcomes of third party provision via high light reports Resolve operational and quality issues which cannot be resolved by Division and line managers

Critical Success Factors	
<ul style="list-style-type: none"> Regular achievement of TSol and Division plans High quality services delivery – on time, right skills, value adding, delivered efficiently Well managed under / over-recoveries Consistent adherence to operational guidance, including decision tolerances Delivery on time and without disruption to BAU of the change programme High quality delivery of legal services by third party providers Primary responsibility for the ongoing management of finance, operational performance and planning lies with line roles Change programme delivered to time, cost, and quality 	
Timing	
<ul style="list-style-type: none"> Monthly, Fourth Thursday of the Month 	
Membership	
<ul style="list-style-type: none"> Deputy Treasury Solicitor – David Pearson 	<ul style="list-style-type: none"> Chair
<ul style="list-style-type: none"> Dir. Finance Planning and Performance – Simon Parkes Dir. HR – Mary Esplin Dir. from Advisory Divisions – Patrick Kilgarriff Dir. Litigation Group – Hugh Giles Head of Change – Jane Dawson Dir. Business Partnership – Valerie Cain Chair Change Steering Committee – Robert Aitken Head IS – Michelle Gabbidon IT Security Officer – Duane Parris Gateway Assurance – Simon Harker 	<ul style="list-style-type: none"> Executive members
<ul style="list-style-type: none"> Non Executive Director– Niall Scott Internal Auditor – Timothy Le Mare 	<ul style="list-style-type: none"> Non Executive members
<ul style="list-style-type: none"> Secretariat – Trevor Desouza 	<ul style="list-style-type: none"> Office of TSol
Key Agenda Items	
<ul style="list-style-type: none"> Items as per annual cycle of business Review performance dashboard items and risks relating to achievement of business and change programme plans Take actions on items raised by line management Define and initiate actions required to address critical operations and change programme issues / risks Make changes to change programme to ensure delivery 	

NB Committee will periodically review its own performance and effectiveness

Change Steering Committee: Terms of reference

Purpose
Responsible to Performance & Investment Committee (PIC) or Corporate management for overall direction and management of the project and has responsibility and authority for the project within the remit set by the PIC or corporate management.

Role	
Business Outcome	Decision type/Responsibilities
1. <i>Oversee and monitor delivery of all of the Projects on the TSol Change Programme on behalf of the PIC to ensure compliance with PIC or Corporate management directives.</i>	<ul style="list-style-type: none"> Provision of overall guidance and direction to the project, ensuring it remains within any specified constraints. Review of each completed stage and approval of progress to the next. Review and approval of Stage Plans and any Exception Plans before escalation to the PIC. Communicate information about the project to the organisation or stakeholder groups as necessary. Provide quality assurance for the project. Resolve conflicts between project team users and suppliers or escalating as necessary Overall strategic guidance for the project Monitor finances and plans to ensure projects deliver quality and benefits to agreed deadlines and within budget tolerances escalation to PIC where necessary.
2. <i>Continually check for external risks and support the management of any assigned risks that have an impact on strategic and organisational risk.</i>	<ul style="list-style-type: none"> Ownership of risks, as allocated at plan approval time. Monitor risks and advise PIC or the Project Manager of any change in its status and to take action, if appropriate to ameliorate the risk
3. <i>Controlled closure to projects on TSol Change Programme and passage of lessons learned to the PIC or appropriate group</i>	<ul style="list-style-type: none"> Assurance that all products have been delivered satisfactorily. Assurance that all acceptance criteria have been met. Approval of the End Project Report Approval of the Lessons Learned Report. Decisions on the recommendation for follow-on actions and the passage of these to the appropriate authorities. Approval of Post Project Review Plans. Project Closure notification to PIC.

Timing
• Monthly, second Thursday of month

Critical Success Factors
<ul style="list-style-type: none"> Change Programme Projects delivered on time, to cost and quality; Exception situations escalated in time to take appropriate action;

Membership	
<ul style="list-style-type: none"> Head of Litigation Division 4 – Robert Aitken Litigation Business Manager – Iftekhar Bukhari Head of Litigation Division 1 – David Dunleavy TBC Human Resources – Tom MacGruer Dir. from Advisory Divisions – Peter Fish Information Systems Ops Manager – Steve Woods D Dir Finance – Kathy Hosker Head of Change - Jane Dawson Change Programme Office – Trevor Desouza Head Facilities Management - Jonathan Longley IT Security Officer - Duane Parris 	<ul style="list-style-type: none"> Chair Members
<ul style="list-style-type: none"> Secretariat – Amanda Graham 	<ul style="list-style-type: none"> Office of TSol
<p>The Committee can be tailored to suit the needs of the roles for any project. Tailoring may include combining roles or dividing a role between two or more people. Depending on the nature of the project other people's expert opinion may be sought to provide input to decisions made by the chair for example technical specialists, and other key stakeholders may be required. Project Managers will attend committee meetings as requested by the Change Programme Office to discuss exception situations and key project issues.</p>	

Key Agenda Items
<ul style="list-style-type: none"> Items as per annual cycle of business Project Reports and Summary Financial Analysis Key Milestone Chart Risk & Issue Registers Project Exception Reports Project Closure Documentation

NB Committee will periodically review its own performance and effectiveness, including the role of the client representative

Security Committee: Terms of reference

Purpose
To oversee the performance of TSoI's Information Assurance Strategy, ensuring delivery of effective security controls within the integral business and other government departments/counsel as data handlers in an efficient manner, that enables divisional plans to support TSoI's objective of being best in the legal business service provided.

Role	
Business Outcome	Decision type/Responsibilities
1. Oversee effectiveness of security controls against business, corporate and Division plans	<ul style="list-style-type: none"> ▪ Monitor the effectiveness of security controls against plans and budgets via dashboards, identifying operational underperformance <ul style="list-style-type: none"> - Information Risk - Security Incidents - Compliance with standards (ISO27001) ▪ Identify issues and monitor information risks to instigate remedial actions and correct significant deviations (Internal Audit programme) ▪ Consider impact of key policies and guidance such as <ul style="list-style-type: none"> - GSI Requirements - Business Continuity position and projections - Workforce capacity, utilisation and planning <ul style="list-style-type: none"> -HMG guidance, new IT legislation ▪ Report on security incidents to the Performance & Investment Committee & TSoI Board via Dashboard Report ▪ Deliver assurance against corporate security requirements for control of security, risk, governance and Statement of Internal Control for Audit Committee
2. Oversee delivery of the TSoI Information Assurance programme	<ul style="list-style-type: none"> ▪ Approve new initiatives to the change programme within delegated tolerances ▪ Approve changes to ongoing initiatives ▪ Monitor risks on change programme

Critical Success Factors
<ul style="list-style-type: none"> ▪ Consistent adherence to HMG security guidance, including decision tolerances ▪ security improvement programme delivered to time, cost, and quality ▪ Approval of new or revised Information Security Policies and procedures

Timing
<ul style="list-style-type: none"> • Fourth Tuesday of the Month

Membership	
Deputy Treasury Solicitor – David Pearson	Chair
<ul style="list-style-type: none"> • Litigation Business Manager – Iftekhar Bukhari • Head of Records Management – Patrick Driscoll • Human Resources Policy -Tony Helliar • Head of Litigation Div 2 – Simon Harker • IS Operations Manager – Steve Woods • ITSO - Duane Parris • Dir. from Advisory Divisions – Patrick Kilgarriff • Head of Facilities Management – Jonathan Longley • Deputy Security Officer - Mick Stewart • Head of Change - Jane Dawson • Attorney General's Office – Roger Hill • Keep It Safe & Secure Project Manager -Richard Jackson • TUS – Open invitation to attend 	Members
<ul style="list-style-type: none"> • Keep It Safe & Secure Project – Jackie Trainer • Internal Auditor – Lisa Smith (BT) • Internal Auditor – Timothy Le Mare (DCLG) 	Attendees
Secretariat – Trevor Desouza	Office of TSoI

Key Agenda Items
<ul style="list-style-type: none"> • Security Incident Log • Security Risk Register • Cabinet Office Submission • Security Audit Programme • Review of new or revised Information Security Policies and procedures • Review performance dashboard items and risks relating improvement programme

NB Committee will periodically review its own performance and effectiveness, including the role of the client representative

Audit Committee: Terms of reference

Purpose
The TSol Board has established an Audit Committee to support the Board in their responsibilities for issues of risk and control and governance by meeting the Board and Accounting Officer's assurance needs.

Role	
Business Outcome	Decision type/Responsibilities
1. Advise the TSol Board and Accounting Officer after each meeting.	<ul style="list-style-type: none"> ▪ Assurances relating to the corporate governance requirements for TSol ▪ The planned activity and results of both internal and external audit. ▪ Assurance relating to the corporate security requirements.
2. Provide the TSol Board and Accounting Officer with an Annual Report, timed to support finalisation of the accounts and the Statement on Internal Control, summarising its conclusions from the work it has done during the year.	<ul style="list-style-type: none"> ▪ Strategic processes for risk, control, security and governance and the Statement on Internal Control. ▪ The accounting policies, the accounts, and the annual report, ▪ Review of the accounts prior to submission for audit and identify levels of error. ▪ Letter of representation to the external auditors.

Timing
<ul style="list-style-type: none"> ▪ The Committee will meet at least three times a year. The Chair of the Audit Committee may convene additional meetings, as deemed necessary.

Critical Success Factors
<ul style="list-style-type: none"> • Role of the Audit Committee clearly defined and communicated to all Audit Committee Members • System of internal reporting gives early warning of control failures and emerging risks. • Comprehensive and Effective Statement On Internal Control in place • Annual Report and Accounts comply with the relevant requirements, particularly the Treasury's Financial Reporting Manual and Accounts Direction.

Membership	
<ul style="list-style-type: none"> • Non Executive Director -David Crowther 	<ul style="list-style-type: none"> • Chair
<ul style="list-style-type: none"> • Non Executive Director - Niall Scott • Non Executive Director - Marilynne Morgan • Dir. Attorney General's Office Policy & Admin – Jenny Rowe • Dir. from Advisory Divisions – Frances Nash 	<ul style="list-style-type: none"> • Committee Members
<ul style="list-style-type: none"> • Treasury Solicitor – Paul Jenkins • Deputy Treasury Solicitor – David Pearson • Dir. Litigation Group – Hugh Giles • Dir. Finance Planning and Performance – Simon Parkes • Head of Change - Jane Dawson • Internal Auditor – Timothy Le Mare (DCLG) • External Auditor – NAO 	<ul style="list-style-type: none"> • Committee Attendees
<ul style="list-style-type: none"> • Secretariat – Trevor Desouza 	<ul style="list-style-type: none"> • Office of TSol

Key Agenda Items
<ul style="list-style-type: none"> • Report summarising significant changes to the organisation's Risk Register; • Progress report from internal audit summarising work performed, key issues, management response to audit recommendations, changes to the Periodic Plan and resourcing issues. • Progress report from the External Audit representative summarising work done and emerging finding. • Internal Audit Strategy; • Head of Internal Audit's Annual Opinion and Report; • Quality Assurance reports on the Internal Audit function; • Draft Accounts of the organisation; • Draft Statement on Internal Control; • Report on any changes to accounting policies; • Report on co-operation between internal and external audit.

NB Committee will periodically review its own performance and effectiveness, including the role of the client representative



Published and designed by:

TSol, DTP Services, 5.04
One Kemble Street, London, WC2B 4TS.