



Borough of Tamworth

Marmion House,  
Lichfield Street, Tamworth,  
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## AUDIT AND GOVERNANCE COMMITTEE

23 October 2014

Dear Councillor

A meeting of the Audit and Governance Committee will be held in **Committee Room 1 - Marmion House on Thursday, 30th October, 2014 at 6.00 pm**. Members of the Committee are requested to attend.

Yours faithfully

A handwritten signature in black ink, appearing to read 'J. Wheatley'.

### A G E N D A

#### NON CONFIDENTIAL

- 1 Apologies for Absence
- 2 Minutes of the Previous Meeting (Pages 1 - 4)
- 3 Declarations of Interest

*To receive any declarations of Members' interests (pecuniary and non-pecuniary) in any matters which are to be considered at this meeting.*

*When Members are declaring a pecuniary or non-pecuniary interest in respect of which they have dispensation, they should specify the nature of such interest. Members should leave the room if they have a pecuniary or non-pecuniary interest in respect of which they do not have a dispensation.*

- 4 The Annual Audit Letter** (Pages 5 - 12)  
(Report of Grant Thornton (External Auditor))
- 5 Internal Audit Quarterly Report 2014/15 Quarter 2** (Pages 13 - 36)  
(Report of the Head of Internal Audit Services)
- 6 Risk Management Quarterly Update** (Pages 37 - 68)  
(Report of the Head of Internal Audit Services)
- 7 Regulation of Investigatory Powers Act 2000** (Pages 69 - 70)  
(Report of the Solicitor to the Council and Monitoring Officer)
- 8 Audit and Governance Committee Timetable** (Pages 71 - 74)  
(For Information Only)

*People who have a disability and who would like to attend the meeting should contact Democratic Services on 01827 709264 or e-mail [committees@tamworth.gov.uk](mailto:committees@tamworth.gov.uk) preferably 24 hours prior to the meeting. We can then endeavour to ensure that any particular requirements you may have are catered for.*

To Councillors: J Chesworth, M Couchman, J Faulkner, M Gant, R Kingstone, J Oates and P Seekings.



## **MINUTES OF A MEETING OF THE AUDIT AND GOVERNANCE COMMITTEE HELD ON 25th SEPTEMBER 2014**

**PRESENT:** Councillor M Gant (Chair), Councillors J Chesworth,  
M Couchman, J Faulkner, R Kingstone and P Seekings

**Officers** John Wheatley (Executive Director Corporate Services),  
Jane Hackett (Solicitor to the Council and Monitoring  
Officer), Stefan Garner (Director of Finance), Angela  
Struthers (Head of Internal Audit Services) and Lynne  
Pugh (Directorate Accountant)

**Visitors** James Cook (Grant Thornton)  
Joan Barnett (Grant Thornton)

### **18 APOLOGIES FOR ABSENCE**

None

### **19 MINUTES OF THE PREVIOUS MEETING**

The minutes of the meeting held on 26 June 2014 were approved and signed as a correct record.

*(Moved by Councillor M Couchman and seconded by Councillor J Chesworth)*

### **20 DECLARATIONS OF INTEREST**

There were no declarations of Interest.

### **21 AUDIT FINDINGS REPORT 2013/14**

The Report of Grant Thornton (External Auditor) was considered.

**RESOLVED:** The Annual Audit Letter for Tamworth Borough Council be endorsed.

*(Moved by Councillor M Gant and Seconded by Councillor J Chesworth)*

## **22 ANNUAL STATEMENT OF ACCOUNTS & REPORT 2013/14**

The Annual Statements of Accounts was considered

**RESOLVED:** That:

1. the Annual Statement of Accounts and Report 2013/14 be approved, and;
2. the Committee thanked the staff for all work and preparation involved in the Annual Statement of Accounts.

*(Moved by Councillor J Faulkner and seconded by Councillor M Couchman)*

## **23 REVIEW OF THE TREASURY MANAGEMENT STRATEGY STATEMENT, MINIMUM REVENUE PROVISION POLICY STATEMENT AND ANNUAL INVESTMENT STATEMENT 2014/15 AND THE ANNUAL REPORT ON THE TREASURY MANAGEMENT SERVICE AND ACTUAL PRUDENTIAL INDICATORS 2013/14**

The Report of the Executive Director Corporate Services to avail the Audit & Governance Committee the opportunity to scrutinise and review the Treasury Management Strategy Statement, Minimum Revenue Provision Statement and Annual Investment Statement 2014/15 and the Annual Report on the Treasury Management Service and Actual Prudential Indicators 2013/14 approved by Council on 25th February 2014 and 16th September 2014 respectively was considered.

**RESOLVED:** That the Committee endorsed the Treasury Management Report, as detailed within the statements and agreed that there were no changes for recommendation to Cabinet.

*(Moved by Councillor M Gant and seconded by Councillor J Faulkner)*

## **24 FRAUD & CORRUPTION UPDATE REPORT 2014/15**

The Report of the Head of Internal Audit Services to provide Members with an update of Counter Fraud work completed to date during the financial year 2014/15 was considered.

**RESOLVED:** That :

1. the updated Fighting Fraud Checklist for Governance;
2. the Counter Fraud Work Plan, and;
3. the Fraud Risk Register all be endorsed.

*(Moved by Councillor M Gant and seconded by Councillor J Chesworth)*

**25 INTERNAL AUDIT QUARTER 1 REPORT 2014/15**

The Report of the Head of Internal Audit Services reporting on the outcome of Internal Audit's review of the internal control, risk management and governance framework in the 1st Quarter of 2014/15 and to provide members with assurance of the ongoing effective operation of an internal audit function and enable any particularly significant issues to be brought to the Committee's attention was considered.

**RESOLVED:** That the quarterly report be endorsed.

*(Moved by Councillor J Faulkner and seconded by Councillor M Gant)*

**26 LOCAL GOVERNMENT OMBUDSMAN - ANNUAL REVIEW AND REPORT**

The Report of the Solicitor to the Council and Monitoring Officer advising the Committee of the views of the Local Government Ombudsman in relation to complaints against the Borough Council and providing an opportunity for members of the Committee to raise any issues they consider appropriate and consider the effectiveness of investigations relating to Tamworth Borough Council was considered.

**RESOLVED:** That the Annual Review Letter be endorsed subject to recognition that the statistics include not only complaints investigated by Tamworth Borough Council but also enquiries made to the Ombudsman's Office as noted in their systems and that the Chief Executive write to the Ombudsman office to raise concerns on their reporting mechanisms.

*(Moved by Councillor M Gant and seconded by Councillor M Couchman)*

**27 REGULATION OF INVESTIGATORY POWERS ACT 2000**

The Report of the Solicitor to the Council and Monitoring Officer informing Members of The Council's Code of Practice for carrying out surveillance under the Regulation of Investigatory Powers Act 2000 (RIPA) including quarterly reports to be taken to Audit & Governance Committee to demonstrate to elected members that the Council is complying with its own Code of Practice when using RIPA was considered.

**RESOLVED:** That the Committee

1. endorsed the Quarterly RIPA monitoring report, and;

2. noted the forthcoming visit from the Officer of Surveillance Commissioner.

*(Moved by Councillor M Couchman and seconded by Councillor M Gant)*

**28 REVISED ARRANGEMENTS FOR DEALING WITH COMPLAINTS IN RELATION TO MEMBERS FOR AN ALLEGED BREACH OF THE CODE OF CONDUCT**

The Report of the Solicitor to the Council and Monitoring Officer to inform members of The Localism Act 2011 and fundamental changes to the system of regulation of Standards of Conduct for Members. This report provides details of the revised arrangements for dealing with complaints in relation to Members for an alleged breach of the Code of Conduct and seeks the Committee's endorsement of the said arrangements was considered.

**RESOLVED:** That the revised arrangements for dealing with complaints in relation to Members for an alleged breach of the Code of Conduct be endorsed.

*(Moved by Councillor M Gant and seconded by Councillor J Faulkner)*

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Chair

# The Annual Audit Letter for Tamworth Borough Council

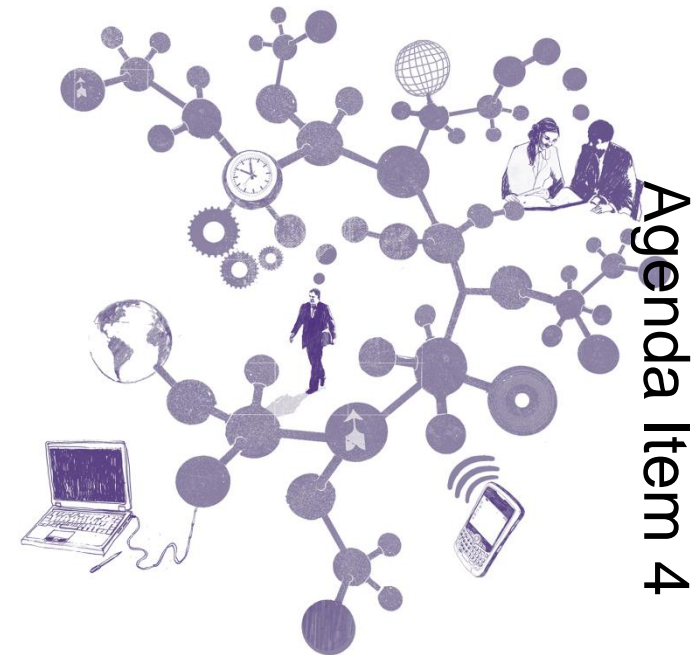
Year ended 31 March 2014

October 2014

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Agenda Item 4

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# Key messages

Our Annual Audit Letter summarises the key findings arising from the work that we have carried out at Tamworth Borough Council ('the Council') for the year ended 31 March 2014.

The Letter is intended to communicate key messages to the Council and external stakeholders, including members of the public. Our annual work programme, which includes nationally prescribed and locally determined work, has been undertaken in accordance with the Audit Plan that we issued on 27 March 2014 and was conducted in accordance with the Audit Commission's Code of Audit Practice, International Standards on Auditing (UK and Ireland) and other guidance issued by the Audit Commission.

|                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
|------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><b>Financial statements audit (including audit opinion)</b></p> <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 7</p> | <p>We issued an unqualified opinion on the Council's 2013/14 financial statements on 25 September 2014, meeting the deadline set by the Department for Communities and Local Government. Our opinion confirms that the financial statements give a true and fair view of the Council's financial position and of the income and expenditure recorded by the Council.</p> <p>We reported our findings arising from the audit of the financial statements in our Audit Findings Report on 25 September 2014 to the Audit and Governance Committee. The key messages reported were:</p> <ul style="list-style-type: none"> <li>• The accounts presented for audit were good quality</li> <li>• We identified a small number of changes requires to disclosure notes, and requested a couple of adjustments to improve the presentation of the financial statements, particularly to simplify the Explanatory Foreword.</li> </ul> |
| <p><b>Value for Money (VfM) conclusion</b></p>                                                                                                 | <p>We issued an unqualified VfM conclusion for 2013/14 on 25 September 2014.</p> <p>Overall our work highlighted that:</p> <ul style="list-style-type: none"> <li>• The Council had effective arrangements in place which enabled it to deliver its challenging savings programme in 2013/14.</li> <li>• The Council is exploring further collaborative opportunities such as shared services opportunities with Lichfield District Council as part of its on-going savings programme.</li> </ul> <p>Continued...</p>                                                                                                                                                                                                                                                                                                                                                                                                          |

# Key messages

|                                                                             |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
|-----------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 8</p> | <ul style="list-style-type: none"> <li>• The Council approved a 3 year Medium Term Financial Strategy in February 2014. The strategy estimates that general fund reserve balances shall be £0.5m the minimum approved level, and HRA reserve balances £1.5m compared to the minimum approved level of £1.5m. Work is ongoing via the Sustainability Strategy to address future financial constraints. Workstreams have been identified to identify further savings.</li> <li>• The Council faces even greater challenges in the future with the need to achieve substantial savings from 2017/18 onwards to deliver a balanced budget.</li> <li>• Whilst the Council has effective arrangements for prioritising its resources, looking at new service delivery arrangements and working co-operatively with partners, the continued improvement of these arrangements will be crucial to meeting the significant financial challenges in the future.</li> </ul> <p>On the basis of our work, and having regard to the guidance on the specified criteria published by the Audit Commission, we are satisfied that in all significant respects the Council put in place proper arrangements to secure economy, efficiency and effectiveness in its use of resources for the year ending 31 March 2014.</p> |
| <p><b>Whole of Government Accounts</b></p>                                  | <p>We reviewed the consolidation pack prepared by the Council to support the production of the Government's Whole of Government Accounts. In line with our instructions we reported that the Council was below the audit threshold level set by the National Audit Office and reviewed the worksheets specified for bodies below the audit threshold. We confirmed that the closing figures for property, plant &amp; equipment and pensions liabilities in the consolidation pack were consistent with those in the Council's financial statements on the 2 October 2014 in line with the deadline.</p> <p>There were no matters arising from our work.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| <p><b>Certification of grant claims and returns</b></p>                     | <p>We certified the pooling of housing capital receipts return on 29 September 2014. No amendments were identified and the return was unqualified.</p> <p>We are currently certifying the Housing Benefit grant claim and will issue our report on this after we have completed the work in accordance with the deadline for submission to the DWP at the end of November.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| <p><b>Audit fee</b></p>                                                     | <p>Our fee for 2013/14 was £66,450, excluding VAT but including an additional £900 in relation to extra work required on business rate appeals which was not included in the audit plan. Further detail is included within Appendix A.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |

# Appendix A: Reports issued and fees

We confirm below the fee charged for the audit.

## Fees

|                         | Per Audit plan<br>£ | Actual fees<br>£ |
|-------------------------|---------------------|------------------|
| Audit Fee               | 65,550              | 66,450           |
| Grant certification fee | 16,400              | TBC              |
| <b>Total fees</b>       | <b>81,950</b>       | <b>TBC</b>       |

There is an additional fee of £900 in respect of work on material business rates balances. This additional work was necessary as auditors are no longer required to carry out work to certify NDR3 claims, from which we were able to gain certain assurances in prior years. The Audit Commission has therefore given approval in principle for a fee variation for the additional work required. The additional fee will be applied nationally and is 50% of the average fee previously charged for NDR3 certifications for district councils. We will bill this once formal agreement from the Audit Commission has been received.

The grant certification fee is indicative and may vary dependent upon the final levels of audit required. We are still completing our grant certification work and will report upon the fee once it is completed.

## Fees for other services

| Service | Fees £ |
|---------|--------|
| None    | Nil    |

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# Appendix A: Reports issued and fees

## Reports issued

| Report                | Date issued       |
|-----------------------|-------------------|
| Audit Plan            | 27 March 2014     |
| Audit Findings Report | 25 September 2014 |
| Certification plan    | 27 March 2014     |
| Annual Audit Letter   | October 2014      |

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## AUDIT & GOVERNANCE COMMITTEE

30<sup>TH</sup> October 2014

### Report of the Head of Internal Audit Services

#### INTERNAL AUDIT QUARTERLY REPORT 2014/15 QUARTER 2

##### EXEMPT INFORMATION

None

##### PURPOSE

To report on the outcome of Internal Audit's review of the internal control, risk management and governance framework in the 2nd quarter of 2014/15 – to provide members with assurance of the ongoing effective operation of an internal audit function and enable any particularly significant issues to be brought to the Committee's attention.

##### RECOMMENDATION

That the Committee considers the attached quarterly report and raises any issue it deems appropriate.

##### EXECUTIVE SUMMARY

The Accounts and Audit Regulations 2011 (as amended) require each local authority to publish an Annual Governance Statement (AGS) with its Annual Statement of Accounts. The AGS is required to reflect the various arrangements within the Authority for providing assurance on the internal control, risk management and governance framework within the organisation, and their outcomes.

One of the sources of assurance featured in the AGS is the professional opinion of the Head of Internal Audit Services on the outcome of service reviews. Professional good practice recommends that this opinion be given periodically throughout the year to inform the Annual Governance Statement. This opinion is given on a quarterly basis to the Audit & Governance Committee.

The Head of Internal Audit Services' quarterly opinion statement for Jul – Sept 2014 (Qtr 2) is set out in the attached document, and the opinion is summarised below.

Based on the ongoing work carried out by and on behalf of Internal Audit and other sources of information and assurance, my overall opinion of the control environment for this quarter is that "reasonable assurance" can be given. Where significant deficiencies in internal control have been formally identified

by management, Internal Audit or by external audit or other agencies, management have given assurances that these have been or will be resolved in an appropriate manner. Such cases will continue to be monitored. Internal Audit's opinion is one of the sources of assurance for the Annual Governance Statement which is statutorily required to be presented with the annual Statement of Accounts.

#### Specific Issues

No specific issues have been highlighted through the work undertaken by Internal Audit during 2014/15.

#### **RESOURCE IMPLICATIONS**

None

#### **LEGAL/RISK IMPLICATIONS**

Failure to report would lead to non-compliance with the requirements of the Annual Governance Statement and the Public Sector Internal Audit Standards.

#### **SUSTAINABILITY IMPLICATIONS**

None

#### **BACKGROUND INFORMATION**

None

#### **REPORT AUTHOR**

Angela Struthers, Head of Internal Audit Services

#### **LIST OF BACKGROUND PAPERS**

None

#### **APPENDICES**

**Appendix 1 Internal Audit Performance Report 2014/15 Quarter 2**

**Appendix 2 Percentage of Management Actions Agreed 2014/15  
Quarter 2**

**Appendix 3 Implementation of Agreed Management Actions 2014/15**



## INTERNAL AUDIT ANNUAL REPORT/QUARTERLY REPORT – Q2 - 2014/15

### **1. INTRODUCTION**

Internal Audit is an independent, objective assurance and consulting activity designed to add value and improve an organisation's operations. It helps an organisation accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes. (Public Sector Internal Audit Standards).

Internal Audit's role is to provide independent assurance to the Council that systems are in place and are operating effectively.

Every local authority is statutorily required to provide for an adequate and effective internal audit function. The Internal Audit service provides this function at this Authority.

This brief report aims to ensure that Committee members are kept aware of the arrangements operated by the Internal Audit service to monitor the control environment within the services and functions of the authority, and the outcome of that monitoring. This is to contribute to corporate governance and assurance arrangements and ensure compliance with statutory and professional duties, as Internal Audit is required to provide periodic reports to "those charged with governance".

### **2. PERFORMANCE AND PROGRESSION AGAINST AUDIT PLAN**

The Internal Audit service aims as one of its main Performance Indicators (PI's) to complete work on at least 90% of applicable planned audits by the end of the financial year, producing draft reports on these where possible/necessary. **Appendix 1** shows the progress at the end of quarter 2 of the work completed against the plan and highlights the work completed in the second quarter. At the end of the second quarter, internal audit have commenced 41 areas of work which equates to 56% of the total annual plan – which at this time includes 6 additional implementation reviews not originally identified. The report has been split to distinguish between audits and implementation reviews.

The service also reports quarterly on the percentage of draft reports issued within 15 working days of the completion of fieldwork. All (100%) of the draft reports issued in this quarter of the year were issued within this deadline.

### **3. AUDIT REVIEWS COMPLETED QUARTER 2 2014/15**

The audits finalised in the 2nd quarter of 2014/15 are shown in **Appendix 2** and this identifies the number of recommendations made. A total of 112 recommendations were made in the first quarter with 110 (98%) of the recommendations being accepted by management.

The service revisits areas it has audited around 6 months after agreeing a final report on the audit, to test and report to management on the extent to which agreed actions have been taken. Eighteen Implementation reviews were completed during the 2nd

quarter of 2014/15. **Appendix 3** details the implementation progress to date for 2014/15 with 66 % of the agreed management actions implemented or partially implemented. Internal Audit is fairly satisfied with the progress made by management to reduce the level of risk and its commitment to progress the outstanding issues. As there are still a number of high priority actions still requiring to be completed, additional implementation reviews will be carried out to ensure the implementation of the actions is completed.

#### **4. INDEPENDENCE OF THE INTERNAL AUDIT ACTIVITY**

Attribute Standards 1110 to 1130 in the Public Sector Internal Audit Standards require that Internal Audit have organisational and individual independence, and specifically state that the head of Internal Audit Services must confirm this to the Audit & Governance Committee at least annually. As performance is reported quarterly, this confirmation will be provided quarterly.

The Head of Internal Audit Services confirms that Internal Audit is operating independently of management and is objective in the performance of internal audit work.

#### **5 OVERALL CURRENT INTERNAL AUDIT OPINION**

Based on the ongoing work carried out by and on behalf of Internal Audit and other sources of information and assurance, my overall opinion of the control environment at this time is that “reasonable assurance” can be given. Where significant deficiencies in internal control have been formally identified by management, Internal Audit or by external audit or other agencies, management have given assurances that these have been or will be resolved in an appropriate manner. Such cases will continue to be monitored. Internal Audit’s opinion is one of the sources of assurance for the Annual Governance Statement which is statutorily required to be presented with the annual Statement of Accounts.

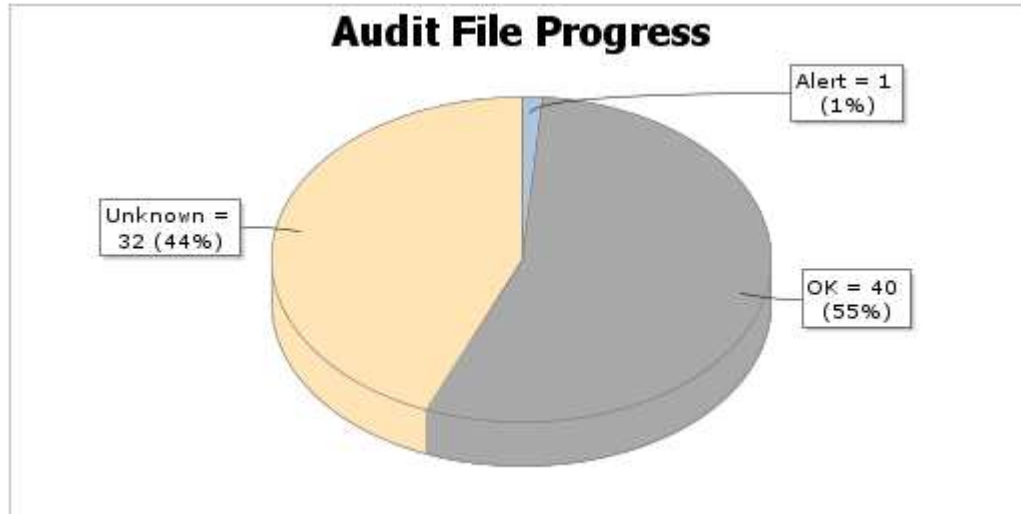
##### Specific issues:

There were no specific issues highlighted through the work of Internal Audit in the second quarter of the 2014/15 financial year

Angela Struthers,  
Head of Internal Audit Services

Internal Audit Performance report 1415 qtr 2









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Finalised Audit Reports Quarter 2

| Audit File                   | Audit File Progress Icon | Audit Assurance Type   | Audit File Overall Opinion                                                                                                                                                                                                                                        | Revised Audit Opinion | Audit Assurance Level |
|------------------------------|--------------------------|------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|-----------------------|
| 1415.TECH.09 Data Protection | ✔                        | Information Technology | It is with some concern that Audit have to report only limited assurance can be given that the system, process or activity will achieve its objectives safely and effectively as controls are in place but operating poorly, or controls in place are inadequate. |                       | ⚠                     |

Finalised Audit Reports Quarter 2







| Audit File                                    | Audit File Progress Icon                                                            | Audit Assurance Type            | Audit File Overall Opinion                                                                                                                                                                                                                                                 | Revised Audit Opinion | Audit Assurance Level                                                                 |
|-----------------------------------------------|-------------------------------------------------------------------------------------|---------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|---------------------------------------------------------------------------------------|
| 1415.FIN.05 Treasury Management Qtr 4 2013/14 |    | Main financial system – interim | Audit are pleased to be able to report substantial assurance can be given that the system, process or activity should achieve its objectives safely and effectively and that controls are in place and operating satisfactorily.                                           |                       |    |
| 1415.FIN.02 Treasury Management Qtr 1 2014/15 |    | Main financial system – interim | Audit are pleased to be able to report substantial assurance can be given that the system, process or activity should achieve its objectives safely and effectively and that controls are in place and operating satisfactorily.                                           |                       |    |
| 1415.SCC.01 Pension Contributions             |    | Transactional                   | Audit are pleased to be able to report reasonable assurance can be given that the system, process or activity should achieve its objectives safely and effectively however there are some control weaknesses but most key controls are in place and operating effectively. |                       |    |
| 1415.TECH.11 Xpress Application review        |  | Information Technology          | It is with some concern that Audit have to report only limited assurance can be given that the system, process or activity will achieve its objectives safely and                                                                                                          |                       |  |

Finalised Audit Reports Quarter 2

| Audit File                   | Audit File Progress Icon                                                            | Audit Assurance Type   | Audit File Overall Opinion                                                                                                                                                                                                                                                 | Revised Audit Opinion | Audit Assurance Level                                                                 |
|------------------------------|-------------------------------------------------------------------------------------|------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|---------------------------------------------------------------------------------------|
| 1415.TECH.02 ISO20000        |    | Information Technology | effectively as controls are in place but operating poorly, or controls in place are inadequate.                                                                                                                                                                            |                       |    |
| 1415.HH03 Sheltered Housing  |    | Risk based review      | It is with some concern that Audit have to report only limited assurance can be given that the system, process or activity will achieve its objectives safely and effectively as controls are in place but operating poorly, or controls in place are inadequate.          |                       |    |
| 1415.HH.04 Estate Caretaking |  | Risk Workshop          | Audit are pleased to be able to report reasonable assurance can be given that the system, process or activity should achieve its objectives safely and effectively however there are some control weaknesses but most key controls are in place and operating effectively. |                       |  |

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Implementation reviews completed Quarter 2

| Audit File                                                   | Audit File Progress Icon                                                          | Audit Assurance Type             | Audit File Overall Opinion                                                                                                                                                                                                                         | Revised Audit Opinion                                                                                                                                                                                                                                                 | Audit Assurance Level                                                                                                                                                     |
|--------------------------------------------------------------|-----------------------------------------------------------------------------------|----------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1415.TCP06FIR Travel & Subsistence 3rd Implementation Review |  | Additional Implementation Review | The initial audit opinion was that only limited assurance can be given that the system, process or activity will achieve its objectives safely and effectively as controls are in place but operating poorly, or controls in place are inadequate. | The revised audit opinion is that reasonable assurance can be given that the system, process or activity should achieve its objectives safely and effectively however there are some control weaknesses but most key controls are in place and operating effectively. |  →  |
| 15.TechCP07 Data Quality & Records Management                |  | Information Technology           | The initial audit opinion was that only limited assurance can be given that the system, process or activity will achieve its objectives safely and effectively as controls are in place but operating poorly, or controls in place are inadequate. | The revised audit opinion is that only limited assurance can be given that the system, process or activity will achieve its objectives safely and effectively as controls are in place but operating poorly, or controls in place are inadequate.                     |  →  |

1415.CPP05IR Community  
Leisure Implementation  
Review



Implementation Review

The initial audit opinion was that limited assurance can be given that the system, process or activity will achieve its objectives safely and effectively as controls are in place but operating poorly, or controls in place are inadequate.

The revised opinion is that limited assurance can be given that the system, process or activity will achieve its objectives safely and effectively as controls are in place but operating poorly, or controls in place are inadequate.



1415.AE.10IR Public  
Protection – Food Safety



Implementation Review

The initial audit opinion was that reasonable assurance can be given that the system, process or activity should achieve its objectives safely and effectively however there are some control weaknesses but most key controls are in place and operating effectively.

The revised audit opinion is that reasonable assurance can be given that the system, process or activity should achieve its objectives safely and effectively however there are some control weaknesses but most key controls are in place and operating effectively.



1415.STTC02IR Legal  
Compliance



Implementation Review

The initial audit opinion was that limited assurance can be given that the system, process or activity will achieve its objectives safely and effectively as controls are in place but operating poorly, or controls in place are inadequate.

The revised audit opinion is that limited assurance can be given that the system, process or activity will achieve its objectives safely and effectively as controls are in place but operating poorly, or controls in place are inadequate.



1415.STTC06FIR RIPA  
Further Implementation  
Review

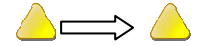


Additional Implementation  
Review

The initial audit opinion was that limited assurance can be given that the system, process or activity will achieve its objectives safely and effectively as controls are in place but operating poorly, or controls in place are inadequate.

There was no change in the assurance level when the first implementation review was carried out.

Due to the lack of implementation of the recommendations and the priority assigned to them the revised audit opinion is that limited assurance can be given that the system, process or activity will achieve its objectives safely and effectively as controls are in place but operating poorly, or controls in place are inadequate.



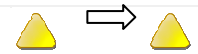
15.TCP07FIR Health &  
Safety Further  
Implementation Review



Additional Implementation  
Review

The initial audit opinion was that only limited assurance can be given that the system, process or activity will achieve its objectives safely and effectively as controls are in place but operating poorly, or controls in place are inadequate.

Due to the nature of the outstanding recommendations, i.e. policies not in place, outstanding and not being updated has meant that there has been no change in the audit assurance level of limited.





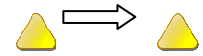
1415.TCP09IR Petty Cash  
Implementation Review



Implementation Review

The initial audit opinion was that limited assurance can be given that the system, process or activity will achieve its objectives safely and effectively as controls are in place but operating poorly, or controls in place are inadequate.

The revised audit opinion is that limited assurance can be given that the system, process or activity will achieve its objectives safely and effectively as controls are in place but operating poorly, or controls in place are inadequate.



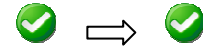
1415.TCP05FIR Building  
Security Further  
Implementation Review



Additional Implementation  
Review

The initial audit opinion was that reasonable assurance can be given that the system, process or activity should achieve its objectives safely and effectively however there are some control weaknesses but most key controls are in place and operating effectively.

The revised audit opinion is that reasonable assurance can be given that the system, process or activity should achieve its objectives safely and effectively however there are some control weaknesses but most key controls are in place and operating effectively.



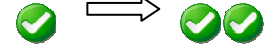
1415.AE02IR Corporate  
Property Management  
Implementation Review



Implementation Review

The initial audit opinion was that reasonable assurance can be given that the system, process or activity should achieve its objectives safely and effectively however there are some control weaknesses but most key controls are in place and operating effectively.

The revised audit opinion is that substantial assurance can be given that the system, process or activity should achieve its objectives safely and effectively and that controls are in place and operating satisfactorily.



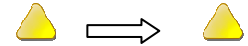
1415.CPP04IR Tourism & Town Centre Implementation Review



Implementation Review

The initial audit opinion was that limited assurance can be given that the system, process or activity will achieve its objectives safely and effectively as controls are in place but operating poorly, or controls in place are inadequate.

The revised opinion is that limited assurance can be given that the system, process or activity will achieve its objectives safely and effectively as controls are in place but operating poorly, or controls in place are inadequate.



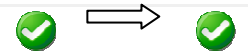
1415.CPP.04FIR Castle Further Implementation Review



Additional Implementation Review

The initial audit opinion was that reasonable assurance can be given that the system, process or activity should achieve its objectives safely and effectively however there are some control weaknesses but most key controls are in place and operating effectively.

The revised audit opinion is that reasonable assurance can be given that the system, process or activity should achieve its objectives safely and effectively however there are some control weaknesses but most key controls are in place and operating effectively.



1415.STTC01FIR Standards & Declarations 3rd Implementation Review



Additional Implementation Review

The initial audit opinion was that only limited assurance can be given that the system, process or activity will achieve its objectives safely and effectively as controls are in place but operating poorly, or controls in place are inadequate.

The revised audit opinion is that substantial assurance can be given that the system, process or activity should achieve its objectives safely and effectively and that controls are in place and operating satisfactorily.



1415.AE.13FIR Asbestos & Legionella Further, Further Implementation Review



Additional Implementation Review

The initial audit opinion was that no assurance can be given that the system, process or activity will achieve its objectives safely and effectively as controls are not in place or are failing.

The assurance level given after testing during the previous two implementation reviews was limited. A review of the number and priority of partially implemented and outstanding recommendations has led to there still being only limited assurance that the system, process or activity will achieve its objectives safely and effectively as controls are in place but operating poorly, or controls in place are inadequate.



1415.AE.03IR Commercial/ Industrial Properties Implementation Review



Implementation Review

The initial audit opinion was that limited assurance can be given that the system, process or activity will achieve its objectives safely and effectively as controls are in place but operating poorly, or controls in place are inadequate.

The revised opinion is that limited assurance can be given that the system, process or activity will achieve its objectives safely and effectively as controls are in place but operating poorly, or controls in place are inadequate.



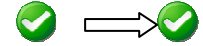
1415.AE.02FIR Disabled Facilities Grants Further Implementation Review



Additional Implementation Review

The initial audit opinion was that reasonable assurance can be given that the system, process or activity should achieve its objectives safely and effectively however there are some control weaknesses but most key controls are in place and operating effectively.

The revised opinion is that reasonable assurance can be given that the system, process or activity should achieve its objectives safely and effectively however there are some control weaknesses but most key controls are in place and operating effectively.



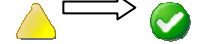
1415.STTC05FIR Committee Decisions & Reporting Further Implementation Review



Additional Implementation Review

The initial audit opinion was that limited assurance can be given that the system, process or activity will achieve its objectives safely and effectively as controls are in place but operating poorly, or controls in place are inadequate.

The revised opinion, following the initial implementation review, was that reasonable assurance can be given that the system, process or activity should achieve its objectives safely and effectively however there are some control weaknesses but most key controls are in place and operating effectively.



Following on from the further implementation review, the audit opinion has not changed due to the priority of the outstanding recommendation.

1415.STTC03IR Scheme of  
Delegation Implementation  
Review



Implementation Review

The initial audit opinion was that limited assurance can be given that the system, process or activity will achieve its objectives safely and effectively as controls are in place but operating poorly, or controls in place are inadequate.

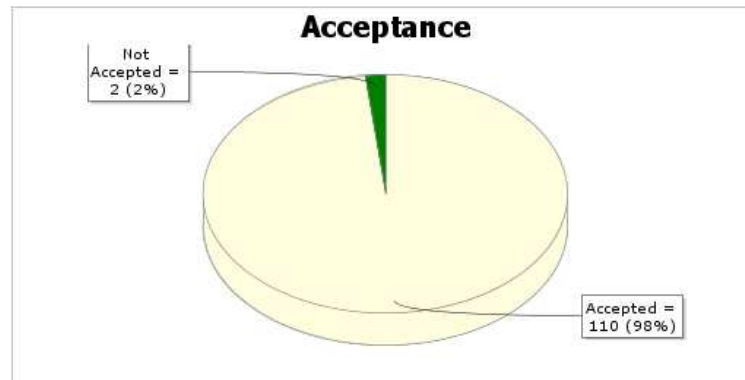
The revised audit opinion is that substantial assurance can be given that the system, process or activity should achieve its objectives safely and effectively and that controls are in place and operating satisfactorily.



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## Percentage of Management Actions Agreed Qtr 2



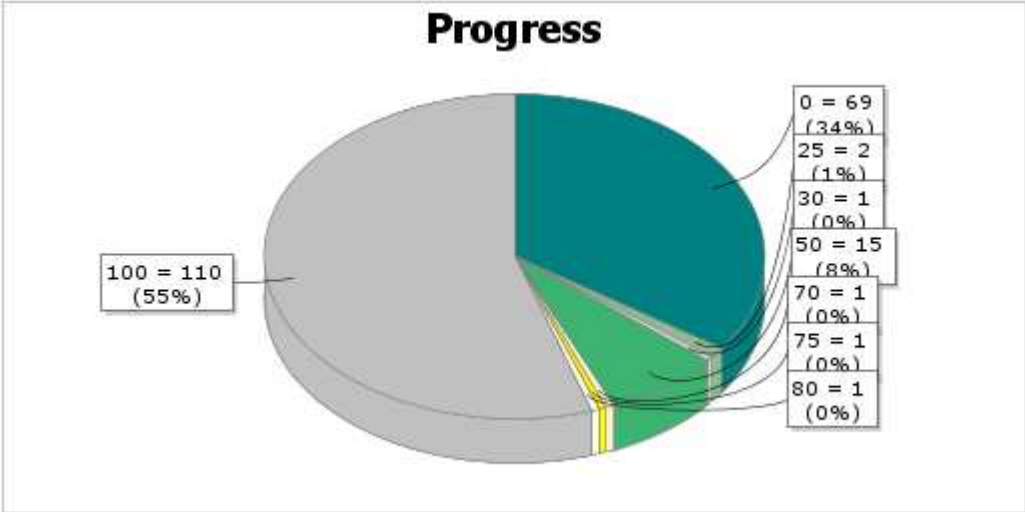
Page 29

| Audit Recommendation Code & Title     | Audit Recommendation Priority | Audit Recommendation Acceptance                                                                                                                                                                                                                                    |
|---------------------------------------|-------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1314 SAM 07 Formal Review             | Medium Priority               | No formal review is conducted on an annual or more regular basis to ensure the management objectives of software asset management are being achieved. A review has been undertaken to identify the business need and is included on the business plan for 2014/15. |
| 1314.GISGAZ01.1 Supplier/generic ID's | High Priority                 | Risk accepted by management                                                                                                                                                                                                                                        |


















































Implementation Reviews Quarter 2 2014/15























| Audit Recommendation Code & Title                     | Audit Recommendation Status Icon                                | Directorate | Audit Recommendation Priority | Audit Recommendation Progress Bar |
|-------------------------------------------------------|-----------------------------------------------------------------|-------------|-------------------------------|-----------------------------------|
| 1112 DQRM 3.1c Processes to remove old sensitive data | ✔ To be completed after Records Management Policy approved      | Tech CP     | High Priority                 | 0%                                |
| 1112 DQRM 3.2a Scanning Facilities                    | ✔ Policy will be drafted in line with Records Management Policy | Tech CXP    | High Priority                 | 0%                                |
| 1213 T&S 3.3 Documentation provided annually          | ✔ Spreadsheet not yet fully developed                           | TCP         | High Priority                 | 0%                                |

| Audit Recommendation Code & Title                     | Audit Recommendation Status Icon                                                                                                                 | Directorate | Audit Recommendation Priority | Audit Recommendation Progress Bar |
|-------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------|-------------|-------------------------------|-----------------------------------|
| 1314 Com&Ind06.1 a) Monitoring                        |  Spreadsheet not yet fully developed                            | AE          | High Priority                 | <input type="text" value="0%"/>   |
| 1314 Com&Ind06.1 b) Monitoring                        |  Revised date                                                   | AE          | High Priority                 | <input type="text" value="0%"/>   |
| 1314 Com&Ind09.3 a) Rent Reviews                      |  Revised date                                                   | AE          | High Priority                 | <input type="text" value="0%"/>   |
| 1314 Com&Ind09.3 b) Rent Reviews                      |  Revised date                                                   | AE          | High Priority                 | <input type="text" value="0%"/>   |
| 1314 ComAdmin9.8 Business Continuity                  |  Revised date                                                   | AE          | High Priority                 | <input type="text" value="0%"/>   |
| 1314 Legal 01.1 Business Continuity                   |  Revised date                                                   | STTC        | High Priority                 | <input type="text" value="0%"/>   |
| 1314 Legal 08.1 Legal Documents                       |  Revised date                                                   | STTC        | High Priority                 | <input type="text" value="0%"/>   |
| 1314 Legal 12.1 Risk Treatment Measures               |  Revised date                                                   | STTC        | High Priority                 | <input type="text" value="0%"/>   |
| 1314 Legal 14.1 Segregation of Duties                 |  Revised date – new staff                                       | STTC        | High Priority                 | <input type="text" value="0%"/>   |
| 1314 Legal 17.2 Legislation Changes                   |  Discussions to be had corporately to see if can be implemented | STTC        | High Priority                 | <input type="text" value="0%"/>   |
| 1314 Legal 17.3 Updates to CMT                        |  Following above once decided                                  | STTC        | High Priority                 | <input type="text" value="0%"/>   |
| 1314 Legal 19.1 Risk Register Review                  |  Revised date                                                 | STTC        | High Priority                 | <input type="text" value="0%"/>   |
| 1314 RIPA 2.2 Identification of court representatives |  Revised date                                                 | STTC        | High Priority                 | <input type="text" value="0%"/>   |
| 1314 RIPA 3.1 Policy                                  |  Revised date                                                 | STTC        | High Priority                 | <input type="text" value="0%"/>   |
| 1415 Com&Ind IR1 Invoice Coding                       |  Additional recommendation                                    | AE          | High Priority                 | <input type="text" value="0%"/>   |
| 1415 Com&Ind IR2 Notify NNDR Billing & Collections    |  Additional recommendation                                    | AE          | High Priority                 | <input type="text" value="0%"/>   |


| Audit Recommendation Code & Title                                                        | Audit Recommendation Status Icon                                                                                             | Directorate | Audit Recommendation Priority | Audit Recommendation Progress Bar |
|------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------|-------------|-------------------------------|-----------------------------------|
| 1112 DQRM 1.1 Policies and Procedures                                                    |  Policies in draft                          | Tech CP     | Medium Priority               | <input type="text" value="0%"/>   |
| 1112 DQRM 1.3 Review and update internet                                                 |  One new policy – others need replacing     | Tech CP     | Medium Priority               | <input type="text" value="0%"/>   |
| 1112 DQRM 2.07b Destroyed Records                                                        |  Waiting approval of policy                 | Tech CP     | Medium Priority               | <input type="text" value="0%"/>   |
| 1112 DQRM 3.1b Guidance on attaching large files with emails                             |  Waiting approval of policy                 | Tech CP     | Medium Priority               | <input type="text" value="0%"/>   |
| 1112 DQRM 3.2b Co-ordinator for Data Quality and Records Management in each Service Area |  Waiting approval of policy                 | Tech CP     | Medium Priority               | <input type="text" value="0%"/>   |
| 1112 DQRM 3.2c Independent Reviews                                                       |  Revised date                               | Tech CP     | Medium Priority               | <input type="text" value="0%"/>   |
| 1112 DQRM 4.1 Data Quality and Records Management Training                               |  To be included in Data Protection training | Tech CP     | Medium Priority               | <input type="text" value="0%"/>   |
| 1112 DQRM 4.2 Review of Staff Training                                                   |  Revised date                               | Tech CP     | Medium Priority               | <input type="text" value="0%"/>   |
| 1213 Castle 1.2 Updating of Plans                                                        |  Recently implemented                       | CPP         | Medium Priority               | <input type="text" value="0%"/>   |
| 1213 Castle 1.3 Maintenance Plan                                                         |  Aligned to budget setting                | CPP         | Medium Priority               | <input type="text" value="0%"/>   |
| 1213 LC 1.2a Business Continuity                                                         |  Revised date                             | STTC        | Medium Priority               | <input type="text" value="0%"/>   |
| 1213 LC 1.2b Business Continuity                                                         |  Revised date                             | STTC        | Medium Priority               | <input type="text" value="0%"/>   |
| 1213 LC 8.1a Users                                                                       |  Revised date                             | STTC        | Medium Priority               | <input type="text" value="0%"/>   |
| 1213 LC 8.1b Users                                                                       |  Revised date                             | STTC        | Medium Priority               | <input type="text" value="0%"/>   |
| 1213 LC 8.2 System Parameter Checks                                                      |  Revised date                             | STTC        | Medium Priority               | <input type="text" value="0%"/>   |

| Audit Recommendation Code & Title                      | Audit Recommendation Status Icon                                                                                                                                 | Directorate | Audit Recommendation Priority | Audit Recommendation Progress Bar |
|--------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------|-------------------------------|-----------------------------------|
| 1213 T&S 3.2 Insurance and other vehicle documentation |  Will be completed as part of the implementation of Self Serve on ITrent system | TCP         | Medium Priority               | <input type="text" value="0%"/>   |
| 1213 T&S 4.3 Policy Updated                            |  Revised date                                                                   | TCP         | Medium Priority               | <input type="text" value="0%"/>   |
| 1213 T&S 6.1 Car Sharing Policy                        |  Revised date                                                                   | TCP         | Medium Priority               | <input type="text" value="0%"/>   |
| 1314 Com&Ind01.1 Procedures                            |  Revised date                                                                   | AE          | Medium Priority               | <input type="text" value="0%"/>   |
| 1314 Com&Ind02.1 Title of Ownership                    |  Revised date                                                                   | AE          | Medium Priority               | <input type="text" value="0%"/>   |
| 1314 Com&Ind03.1 Insurance Recharges                   |  Revised date                                                                   | AE          | Medium Priority               | <input type="text" value="0%"/>   |
| 1314 Com&Ind03.3 Insurance Recharges                   |  Revised date                                                                   | AE          | Medium Priority               | <input type="text" value="0%"/>   |
| 1314 Com&Ind03.5 Insurance Recharges                   |  Revised date                                                                   | AE          | Medium Priority               | <input type="text" value="0%"/>   |
| 1314 Com&Ind07.1 Asset Management Property Records     |  Other solution identified and work in progress                                 | AE          | Medium Priority               | <input type="text" value="0%"/>   |
| 1314 Com&Ind07.2 Asset Management Property Records     |  Revised date                                                                  | AE          | Medium Priority               | <input type="text" value="0%"/>   |
| 1314 Com&Ind07.2 Asset Management Property Records     |  Revised date                                                                 | AE          | Medium Priority               | <input type="text" value="0%"/>   |
| 1314 Com&Ind07.3 Asset Management Property Records     |  Waiting roll out of EDRMS                                                    | AE          | Medium Priority               | <input type="text" value="0%"/>   |
| 1314 Com&Ind09.1 Rent Reviews                          |  Revised date                                                                 | AE          | Medium Priority               | <input type="text" value="0%"/>   |
| 1314 Com&Ind09.2 Rent Reviews                          |  Revised date                                                                 | AE          | Medium Priority               | <input type="text" value="0%"/>   |

| Audit Recommendation Code & Title                | Audit Recommendation Status Icon                                                                                               | Directorate | Audit Recommendation Priority | Audit Recommendation Progress Bar |
|--------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|-------------|-------------------------------|-----------------------------------|
| 1314 Com&Ind11.1 Lease Renewals                  |  Revised date                                 | AE          | Medium Priority               | <input type="text" value="0%"/>   |
| 1314 Com&Ind11.2 Lease Renewal                   |  Revised date                                 | AE          | Medium Priority               | <input type="text" value="0%"/>   |
| 1314 Com&Ind15.5 Temporary Licences              |  Revised date                                 | AE          | Medium Priority               | <input type="text" value="0%"/>   |
| 1314 Com&Ind8.12 Leases                          |  Revised date                                 | AE          | Medium Priority               | <input type="text" value="0%"/>   |
| 1314 ComLeis 2.1 Regular Monitoring              |  Risk register to be revisited                | CPP         | Medium Priority               | <input type="text" value="0%"/>   |
| 1314 ComLeis 3.1 Sports Development Classes      |  SLA not finalised                            | CPP         | Medium Priority               | <input type="text" value="0%"/>   |
| 1314 ComLeis 3.4 Invoices                        |  To be completed on next invoice cycle        | CPP         | Medium Priority               | <input type="text" value="0%"/>   |
| 1314 ComLeis 3.5 Invoices Raised Timely          |  To be completed on next invoice cycle        | CPP         | Medium Priority               | <input type="text" value="0%"/>   |
| 1314 ComLeis 8.1 Community Leisure Risk Register |  Revised date                                 | CPP         | Medium Priority               | <input type="text" value="0%"/>   |
| 1314 DFG 1.01 DFG Risk Register                  |  To be reviewed in line with the new contract | AE          | Medium Priority               | <input type="text" value="0%"/>   |
| 1314 DFG 2.01 Publicise DFG                      |  Deferred to new contract start date        | AE          | Medium Priority               | <input type="text" value="0%"/>   |
| 1314 Food 013 Lone working policy                |  Revised date                               | AE          | Medium Priority               | <input type="text" value="0%"/>   |
| 1314 Legal 03.1 Training & Awareness             |  Revised date                               | STTC        | Medium Priority               | <input type="text" value="0%"/>   |
| 1314 RIPA 2.1 HMCTS Contact                      |  Revised date                               | STTC        | Medium Priority               | <input type="text" value="0%"/>   |
| 1314 T&TC 013 Place Strategy                     |  Revised date                               | CPP         | Medium Priority               | <input type="text" value="0%"/>   |
| 1314 T&TC 013 Place Strategy                     |  Revised date                               | CPP         | Medium Priority               | <input type="text" value="0%"/>   |

| Audit Recommendation Code & Title                               | Audit Recommendation Status Icon                                                                                                          | Directorate | Audit Recommendation Priority | Audit Recommendation Progress Bar |
|-----------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------|-------------|-------------------------------|-----------------------------------|
| 1314 T&TC 1.1 Tourism and Town Centre Risk Register             |  Now completed                                           | CPP         | Medium Priority               | <input type="text" value="0%"/>   |
| 1314 T&TC 1.2 Review Risk Treatment Measures                    |  Revised date                                            | CPP         | Medium Priority               | <input type="text" value="0%"/>   |
| 1415 Com&Ind IR3 Business Rates                                 |  Additional recommendation made at implementation review | AE          | Medium Priority               | <input type="text" value="0%"/>   |
| 1415 Com&Ind IR4 Commercial & Industrial Properties Spreadsheet |  Additional recommendation made at implementation review | AE          | Medium Priority               | <input type="text" value="0%"/>   |

 Revised implementation not reached

 Revised implementation date exceeded implementation not confirmed

## AUDIT AND GOVERNANCE COMMITTEE

THURSDAY 30 OCTOBER 2014

### REPORT OF THE HEAD OF INTERNAL AUDIT SERVICES

#### RISK MANAGEMENT UPDATE 2014/15

#### EXEMPT INFORMATION

None

#### PURPOSE

To report on the Risk Management process and progress to date for the current financial year.

#### RECOMMENDATIONS

That the Committee endorses this report and raises any issues it deems appropriate.

#### EXECUTIVE SUMMARY

One of the functions of the Audit & Governance Committee is to monitor the effectiveness of the authority's risk management arrangements, including the actions taken to manage risks and to receive regular reports on risk management. Corporate risks are identified and managed and monitored by the Corporate Management Team (CMT) on a quarterly basis. Corporate risks have been assigned to relevant members of the Corporate Management Team. Through regular review, risks may be added or removed from the Corporate Risk Register.

Work is continually completed by Internal Audit with Service Units to ensure that the operational risk register entries are aligned to the corporate risks. This will also identify areas where operational risk registers need to be updated to ensure that operationally, the corporate risks are managed.

The Corporate Risk Register is attached as **Appendix 1** for information.

The Risk Management Action Plan for 2014/15 is attached as **Appendix 2** and shows status to date.

#### RESOURCE IMPLICATIONS

None

#### LEGAL/RISK IMPLICATIONS BACKGROUND

None

#### SUSTAINABILITY IMPLICATIONS

None

#### BACKGROUND INFORMATION

None

**REPORT AUTHOR**

Angela Struthers, Head of Internal Audit Services ex 234

**LIST OF BACKGROUND PAPERS**

None

**APPENDICES**

**Appendix 1 – Corporate Risk Register**

**Appendix 2 – Risk Management Action Plan 2014/15**



# Corporate Risk Register 201415


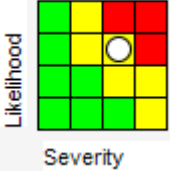
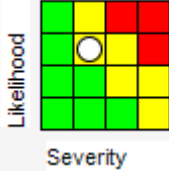
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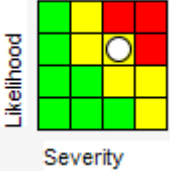
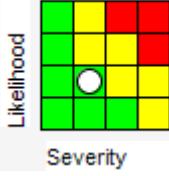
|                               |                                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                          |                            |                              |             |
|-------------------------------|-----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------|----------------------------|------------------------------|-------------|
| <b>Risk Code</b>              | CPR1415_01                              | <b>Risk Title</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Medium Term Financial Planning & Sustainability Strategy | <b>Current Risk Status</b> |                              |             |
| <b>Description of Risk</b>    | Loss of Funding and Financial Stability |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                          | <b>Assigned To</b>         | Stefan Garner; John Wheatley |             |
| <b>Gross Risk Matrix</b>      |                                         | <b>Risk Treatment Measures Implemented</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                          | <b>Current Risk Matrix</b> |                              |             |
| <b>Gross Risk Score</b>       | 12                                      | Sustainability Strategy developed to address longer term funding shortfall identified - detailed work-stream deliverables including corporate change programme(3)<br>Budget planning and monitoring (1)<br>Draft Medium term financial strategy prepared January 2014 for Joint Scrutiny Committee review (2)<br>Treasury Management Strategy, annual outturn & strategy approved by Council. regular monitoring (4)<br>WRIEP support for efficiency / procurement (5)<br>Grant income sourced where possible (6)<br>Developing benchmarking process within the authority to evaluate and understand costs/performance/outputs including CIPFA benchmarking, reviewing high spend, annual internal audit review of audit commission benchmarking data (7)<br>Performance setting (8)<br>Procurement section, contracts register, quick quote process / Procurement guidance updated / intranet (9)<br>Business case reviews (10)<br>SCFOG/Networking / Active engagement in central government reform and change agenda (11)<br>Effective use of assets eg Marmion House, agile working project (12)<br>Attendance at professional & Government updates / workshops (13)<br>Proactive management & monitoring of corporate income levels i.e. council tax, |                                                          |                            | <b>Current Risk Score</b>    | 8           |
| <b>Gross Severity</b>         | 4                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                          |                            | <b>Current Severity</b>      | 4           |
| <b>Gross Likelihood</b>       | 3                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                          |                            | <b>Current Likelihood</b>    | 2           |
| <b>Gross Risk Review Date</b> |                                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                          |                            | <b>Last Risk Review Date</b> | 17-Oct-2014 |

|                                                                                                             |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |  |  |
|-------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|--|
|                                                                                                             |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | <p>business rates &amp; housing rent (14)<br/> Section 151 review of controls within key financial systems (15)<br/> Housing Regeneration Project Group established with key sub-groups for specific tasks (16)<br/> Council tax support scheme - legal advice, EIAs, sound consultation with public, claimants and other LAs to develop a local scheme based on an agreed Countywide framework (17)<br/> support provided for new/existing members from key officers and third parties (SOLACE)<br/> Peer Assessment identified clear recognition &amp; communication of financial position to stakeholders<br/> Updating of HRA Business Plan<br/> Review of Healthier Housing Strategy<br/> Review of SPV feasibility</p> |  |  |
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);"><b>Page 40</b><br/><b>Consequences</b></p> | <p>Cuts in front line service provision<br/> Quality of service decline<br/> partnership relationships become strained<br/> uncoordinated cuts/ reduction in service provision<br/> financial savings not achieved<br/> miss out on funding opportunities<br/> inability to meet on-going costs<br/> Significant impact on the economic health of the local community<br/> Budget overspends<br/> minimum reserves not maintained<br/> Budgets not balanced<br/> Potentially acting illegally<br/> Reputation issues<br/> Reduced income streams including car parks, golf course, planning, treasury, council tax &amp; business rates</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |  |  |
| <p><b>Vulnerabilities/causes</b></p>                                                                        | <p>changes to political control (local/national)<br/> budget shortfall / funding gap increasing through austerity cuts - 3 year MTFs in place from 2013/14 (longer term shortfalls identified from 2016/17) CSR 2013 &amp; LGFS identified further cuts from 2015/16 c.15% (1,2,3,9,10,12)<br/> Increased cost liabilities e.g. water course maintenance, land charges, legacy MMI claims, golf course (1,2,3,9,10,12)<br/> failure to manage budgets (1)<br/> failure to manage investments (4)<br/> missing key business funding opportunities (5, 6)<br/> Failure to maximise incentive funding (i.e. new homes bonus, council tax, benefits admin, RTB's one for one replacement) (6)<br/> Disabled Facilities Grants - increased demand / costs not in line with grant levels impacting on other funding sources (6)<br/> recession increase impact on services required (i.e. capacity, finance, recovery levels) (7,8,14)<br/> failure of an existing contractor (9)<br/> Technical reform of Council Tax and other welfare reform changes (Universal Credit, Housing Allowances etc) wef 1/4/13 and the potential impact on collection levels/write offs (14, 15)<br/> Business rates retention wef 1/4/13 - local collection levels will directly on the councils budget (14,15)<br/> Reduced income corporately due to welfare reform changes (including council tax support scheme) - impact on council tax, rent income etc (14, 15)<br/> HRA regeneration projects &amp; impact on business plan / wider regeneration project including town centre, car parks etc (16)</p> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |  |  |


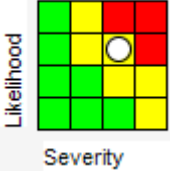
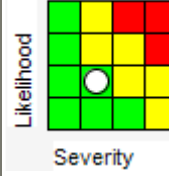
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|                   | Council tax support scheme - legal challenge (17)                                                                 |
| <b>Risk Notes</b> | Possibility of Fire Service taking Industrial action - review risk on a more regular basis - review set to weekly |

|                               |                                                                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                              |                            |                                                                                     |
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| <b>Risk Code</b>              | CPR1415_02                                                                                                                                                                                                                            | <b>Risk Title</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | Reputation                   | <b>Current Risk Status</b> |  |
| <b>Description of Risk</b>    | Damage to Reputation                                                                                                                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                              | <b>Assigned To</b>         | Anica Goodwin; Tony Goodwin; Jane Hackett                                           |
| <b>Gross Risk Matrix</b>      |                                                                                                                                                      | <b>Risk Treatment Measures Implemented</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                              | <b>Current Risk Matrix</b> |  |
| <b>Gross Risk Score</b>       | 9                                                                                                                                                                                                                                     | Monitoring Officer<br>Increased use of multi media to consult/communicate<br>Members surgeries<br>Celebrating success<br>State of Tamworth debate<br>PR & Communications<br>Tell Us Scheme<br>Tamworth Listens<br>Standards through Audit & Governance Committee<br>independent Person<br>Members declarations of Interest<br>Ombudsmen report<br>Monitoring of news stories<br>Service delivery standards<br>Contract monitoring<br>Codes of conduct<br>Policies and procedures<br>Service Standards<br>Training for all staff and members in media/press/use of social media<br>mystery shopper<br>AGM<br>Annual Corporate Plan<br>Updates to all staff from CE | <b>Current Risk Score</b>    | 6                          |                                                                                     |
| <b>Gross Severity</b>         | 3                                                                                                                                                                                                                                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | <b>Current Severity</b>      | 2                          |                                                                                     |
| <b>Gross Likelihood</b>       | 3                                                                                                                                                                                                                                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | <b>Current Likelihood</b>    | 3                          |                                                                                     |
| <b>Gross Risk Review Date</b> | 20-Mar-2014                                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | <b>Last Risk Review Date</b> | 17-Oct-2014                |                                                                                     |
| <b>Consequences</b>           | erosion in trust and confidence<br>service failure<br>loss of income<br>increased cost of working<br>fall in satisfaction levels<br>loss of public support<br>claims in tribunal/personal liability<br>loss of peer group credibility |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                              |                            |                                                                                     |

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|                               | increased scrutiny by government and auditors                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>Vulnerabilities/causes</b> | <p>Failure to match social and political expectations<br/> failure to act on feedback<br/> crisis and major incident management failures<br/> failure to deliver minimum standards of service<br/> Third party supply chain failure<br/> non-compliance with legislation<br/> unethical practices by officers/members<br/> security breaches by officers/members<br/> personal actions by officers/members<br/> misuse of social media by officers/members</p> |
| <b>Risk Notes</b>             | amendments made by AG                                                                                                                                                                                                                                                                                                                                                                                                                                          |


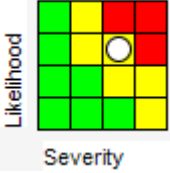
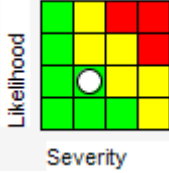
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| <b>Risk Code</b>              | CPR1415_03                                                                        | <b>Risk Title</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | Governance & Regulatory Failure | <b>Current Risk Status</b>   |  |
| <b>Description of Risk</b>    | Failure to achieve adequate Governance Standards and statutory responsibilities   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                 | <b>Assigned To</b>           | Jane Hackett; John Wheatley                                                         |
| <b>Gross Risk Matrix</b>      |  | <b>Risk Treatment Measures Implemented</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                 | <b>Current Risk Matrix</b>   |  |
| <b>Gross Risk Score</b>       | 9                                                                                 | <p>Regular review &amp; update of Financial guidance (1)</p> <p>Audit &amp; Governance Committee in place, including Standards (2)</p> <p>Scrutiny Committees in place, including call in &amp; questions at Council (3)</p> <p>Annual Governance Statement process / prepared (4)</p> <p>Whistleblowing Policy and Counter Fraud and Corruption Strategy developed &amp; communicated (5)</p> <p>Money Laundering Policy developed and communicated</p> <p>Section 151 functionality and Monitoring Officer in place / Scheme of Delegation (6)</p> <p>Internal Audit function (7)</p> <p>External Audit assessment / reviews (8)</p> <p>Partnership Guidance Policy (9)</p> <p>Managers Assurance Statements prepared annually (10)</p> <p>Constitution - regular review (11)</p> <p>Code of Conduct for members (12)</p> <p>Relevant policies and procedures / Net Consent for policy management and acceptance (13)</p> <p>Legislation training for officers and members / continual CPD and other training / regular legal updates (14)</p> <p>development of member training plan / development of e learning solution (15)</p> <p>Insurance policies for regulatory failure - officials indemnity, fidelity guarantee &amp; libel and slander(16)</p> <p>TULG - consultation, openness, accountability, probity (17)</p> <p>Obligations under Environmental Protection Act and Public Health Act (18)</p> <p>PDR process (19)</p> <p>Electoral Process (20)</p> <p>Forward Plan in place with key decisions highlighted, Committee meetings scheduled (21)</p> <p>The Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012 (22)</p> <p>Regular RIPA training for staff and key officers</p> <p>Data Protection awareness for staff</p> | <b>Current Risk Score</b>       | 4                            |                                                                                     |
| <b>Gross Severity</b>         | 3                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | <b>Current Severity</b>         | 2                            |                                                                                     |
| <b>Gross Likelihood</b>       | 3                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | <b>Current Likelihood</b>       | 2                            |                                                                                     |
| <b>Gross Risk Review Date</b> |                                                                                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                 | <b>Last Risk Review Date</b> | 17-Oct-2014                                                                         |

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| <p><b>Consequences</b></p>           | <p>non-compliance with legal requirements<br/> fraud<br/> poor performance<br/> damage to reputation<br/> prosecution, fines<br/> death or injury to public and/or staff<br/> audit criticism within Annual Audit Letter / accounts qualified<br/> poor inspection comments<br/> legal challenge<br/> Ultra vires<br/> Financial impact / exposure from poor decisions arising from uninformed decision making process<br/> Increased demand for resource support from Members</p>                                                                                                                                                                                                                                                                                                                                                                        |
| <p><b>Vulnerabilities/causes</b></p> | <p>Lack of training / knowledge - officers and member (14, 15)<br/> lack of documented procedures (1)<br/> lack of commitment from officers and members (6, 12)<br/> failure to understand the importance of key decisions (14, 15)<br/> Inadequate governance process in place (1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, 21,22)<br/> Lack of accountability (5, 6 ,7, 8, 12, 19, 20)<br/> Non compliance with legislation (6 ,14 ,18)<br/> fraud (1, 5, 6)<br/> Poor performance (19)<br/> failure to manage or be aware of legal responsibilities/changes to legislation (6, 14, 15)<br/> lack of resources/ funding legal challenge(3)<br/> financial position affecting decision making<br/> loss of key staff / members (20)<br/> inappropriate decision making (6, 14, 15)<br/> Changes to political control (20)</p> |
| <p><b>Risk Notes</b></p>             | <p>Localism Act, Welfare Benefit reform,</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |


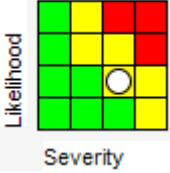
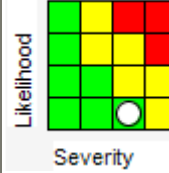
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| <b>Risk Code</b>                              | CPR1415_04                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | <b>Risk Title</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | Partnership Working and Supply Chain Challenges | <b>Current Risk Status</b>   |  |
| <b>Description of Risk</b>                    | Failure in partnership working, shared services or supply chain                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                 | <b>Assigned To</b>           | Andrew Barratt; Rob Mitchell                                                        |
| <b>Gross Risk Matrix</b>                      |                                                                                                                                                                                                                                                                                                                                                                                                                                                         | <b>Risk Treatment Measures Implemented</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                 | <b>Current Risk Matrix</b>   |  |
| <b>Gross Risk Score</b>                       | 9                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | Procurement section, contracts register, quick quote process / Procurement guidance updated / intranet<br>Partnership Governance Policy and training on the policy in place - refreshed in 2012<br>Partnership arrangements in place, eg contracts, shared service agreements<br>Effective contract/partnership monitoring - revised TSP working well<br>Business Continuity plans in place<br>Comprehensive review of corporate business continuity with representation across all directorates. Policy, terms of reference and testing schedule drafted with expected sign off by Business Continuity Group 24/6/13<br>Risks identified and managed<br>Constitutions in place for some partnerships<br>TBC Business Continuity Group<br>Adequate terms of reference<br>Adherence to contracts register | <b>Current Risk Score</b>                       | 4                            |                                                                                     |
| <b>Gross Severity</b>                         | 3                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | <b>Current Severity</b>                         | 2                            |                                                                                     |
| <b>Gross Likelihood</b>                       | 3                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | <b>Current Likelihood</b>                       | 2                            |                                                                                     |
| <b>Page 6</b><br><b>Next Risk Review Date</b> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                 | <b>Last Risk Review Date</b> | 17-Oct-2014                                                                         |
| <b>Consequences</b>                           | <ul style="list-style-type: none"> <li>Services not delivered</li> <li>Damage to reputation</li> <li>Loss of knowledge, intellectual property and other assets</li> <li>Loss of quality service</li> <li>Criticism from external auditors/assessors</li> <li>Customer dissatisfaction</li> <li>Lack of resources</li> <li>Workforce opposition</li> <li>High exit costs</li> <li>Costs not reduced</li> <li>Efficiencies not gained</li> <li>Waste not eliminated</li> <li>Regulations not met</li> <li>Increase in accidents</li> </ul> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                 |                              |                                                                                     |
| <b>Vulnerabilities/causes</b>                 | <ul style="list-style-type: none"> <li>Failure to meet service delivery expectations</li> <li>Partner has financial failure</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                 |                              |                                                                                     |




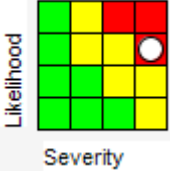
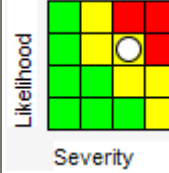
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|                   | <p>Supplier incident eg data loss, governance issue<br/> Service delivery collapses during wide spread major incident<br/> Third party supply chain failure<br/> Partner under performs<br/> Failure to assess and manage the risks arising from the use of thrid parties<br/> Failure to set and manage contractual conditions and performance targets<br/> Failure to get management support<br/> Staff turnover increases<br/> Poor, incomplete knowledge transfer<br/> Scope of change too narrow/too broad<br/> benefits not realised<br/> Political change of policy</p> |
| <b>Risk Notes</b> | Partnerships in place - waste, health & safety, Economic Development, Building Control, Strategic Partnership, Housing Repairs, IT service desk                                                                                                                                                                                                                                                                                                                                                                                                                                |

|                               |                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                     |                            |                                                                                     |
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| <b>Risk Code</b>              | CPR1415_05                                                                                                               | <b>Risk Title</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Emergency & Crisis Response Threats | <b>Current Risk Status</b> |  |
| <b>Description of Risk</b>    | Failure to manage an external or internal emergency/disaster situation                                                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                     | <b>Assigned To</b>         | Andrew Barratt; Nicki Burton                                                        |
| <b>Gross Risk Matrix</b>      |                                         | <b>Risk Treatment Measures Implemented</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                     | <b>Current Risk Matrix</b> |  |
| <b>Gross Risk Score</b>       | 9                                                                                                                        | <p>Emergency Plan in place</p> <p>Emergency planning training completed at various levels</p> <p>Business Continuity Plans in place</p> <p>Comprehensive review of corporate business continuity with representation across all directorates. Policy, terms of reference and testing schedule drafted with expected sign off by Business Continuity Group 24/6/13</p> <p>Active engagement in Exercise Triton</p> <p>Insurance cover in place to cover exposure to financial loss.</p> <p>Advice and guidance on Risk Management and Business Continuity on the intranet</p> <p>Emergencies advice available on website</p> <p>Building- fire prevention controls in place and tested on a regular basis</p> <p>Adequate physical security controls in place and reviewed on a regular basis.</p> <p>IT business continuity plan in place and tested on a regular basis</p> <p>Service impact analysis completed to rank priority of services</p> <p>Corporate business continuity plan in place</p> <p>All communication plans tested on a regular basis</p> <p>Emergency plan tested on a regular basis</p> <p>Business Continuity Group</p> <p>Membership of Staffordshire CCU &amp; Resilience Forum</p> <p>Effective communication /ICT tools/ infrastructure eg mobile phones, laptops</p> <p>Representation at newly formed CCU Strategic Leaders Meeting</p> <p>Successful no notice test</p> <p>Learning from actual events i.e. corporate system failure Dec 12</p> <p>Comprehensive internal audit across BC and EP resulting in a number of agreed management actions</p> <p>Emergency Planning Admin all brought into ICT</p> | <b>Current Risk Score</b>           | 4                          |                                                                                     |
| <b>Gross Severity</b>         | 3                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | <b>Current Severity</b>             | 2                          |                                                                                     |
| <b>Gross Likelihood</b>       | 3                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | <b>Current Likelihood</b>           | 2                          |                                                                                     |
| <b>Gross Risk Review Date</b> |                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | <b>Last Risk Review Date</b>        | 17-Oct-2014                |                                                                                     |
| <b>Consequences</b>           | <p>Services not delivered</p> <p>Damage to reputation</p> <p>Civil Contingency Act requirements not met</p> <p>Death</p> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                     |                            |                                                                                     |


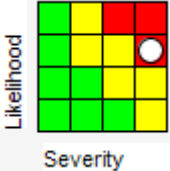
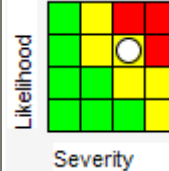
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|                               | <p>Destruction of property<br/> Damage to the environment<br/> Adverse affect on vulnerable groups<br/> Public expectations of service delivery not met<br/> Increased costs for alternative service delivery</p>                                                                                                                                                                                                                                                         |
| <b>Vulnerabilities/causes</b> | <p>Lack of integrated emergency arrangements making it difficult to react quickly to a disaster and provide the required support and essential service in line with the requirements of the Civil Contingencies Act.<br/> Failure to test plans<br/> Failure to undertake training<br/> Plans not activated<br/> plans do not accurately identify the staffing/resources required<br/> implications of industrial action from other service providers ie Fire Service</p> |
| <b>Risk Notes</b>             | <p>current risks and scoring matrix still accurate and fit for purpose</p>                                                                                                                                                                                                                                                                                                                                                                                                |

|                               |                                                                                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                           |                              |                                                                                     |
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| <b>Risk Code</b>              | CPR1415_06                                                                        | <b>Risk Title</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | Economic Changes          | <b>Current Risk Status</b>   |  |
| <b>Description of Risk</b>    | Failure to plan and adapt services to economic changes within the community       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                           | <b>Assigned To</b>           | Stefan Garner; Rob Mitchell                                                         |
| <b>Gross Risk Matrix</b>      |  | <b>Risk Treatment Measures Implemented</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                           | <b>Current Risk Matrix</b>   |  |
| <b>Gross Risk Score</b>       | 6                                                                                 | <p>Link to CPR1415_01 - financial control (1)</p> <p>Strategic Priority - Aspire &amp; Prosper (performance monitored, addressed) (2)</p> <p>Keep up to date with central government communications (3)</p> <p>Adapt to downturn in economy - Tamworth Community Advice Network (TamworthCAN) (3)</p> <p>Economic Bulletin distributed to management - shows regional and local economic statistics (4)</p> <p>Management networks and leadership meetings (5)</p> <p>Support to local businesses - including through local Procurement (quick quote) (6)</p> <p>Think Local (7)</p> <p>Business and Economic Partnership (8)</p> <p>Place Group / Tamworth Strategic Partnership (9)</p> <p>Solutions for Business (10)</p> <p>External funding streams explored (Portas, GBSLEP) (11)</p> <p>Medium term financial plan (12)</p> <p>Zero based budgeting approach to Income targets (13)</p> <p>Regular review of business plans (14)</p> <p>Economic Strategy (15)</p> <p>GBSLEP including Business Rate reform / pooling (16)</p> <p>Local Plan (17)</p> <p>Local Investment Plan (18)</p> <p>Local Transport Board (GBSLEP) (19)</p> <p>Housing Regeneration projects / review including wider Town Centre regeneration (20)</p> <p>Plan for Welfare reform - discuss with partner agencies via the TSP (21)</p> <p>Joint working - Economic Development and Finance to develop financial business case (22) -</p> <p>a) Additional monitoring of empty properties (Revenues/Economic Development) to identify actions to promote growth &amp; associated Business rate income;</p> <p>b) regeneration projects such as Town Centre regeneration, Cultural Quarter, Created in Tamworth etc.</p> | <b>Current Risk Score</b> | 3                            |                                                                                     |
| <b>Gross Severity</b>         | 3                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | <b>Current Severity</b>   | 3                            |                                                                                     |
| <b>Gross Likelihood</b>       | 2                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | <b>Current Likelihood</b> | 1                            |                                                                                     |
| <b>Gross Risk Review Date</b> |                                                                                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                           | <b>Last Risk Review Date</b> | 17-Oct-2014                                                                         |

|                               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
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| <b>Consequences</b>           | <p>Lack of Town Centre development / prosperity<br/>         No external funding to aid economy and growth<br/>         Economic prosperity declines<br/>         Detrimental effect on housing market<br/>         People leave the borough<br/>         Increased demand for social housing<br/>         Impact on Council income<br/>         Increased costs to Council services due to increased demand<br/>         Reduced income corporately due to welfare reform changes (including council tax support scheme) - impact on business rates, council tax, rent income, car parking, planning etc</p> |
| <b>Vulnerabilities/causes</b> | <p>Failure to recognise economic changes (1, 2)<br/>         Sudden economic downturn affecting businesses, jobs, housing etc (2, 3, 6, 8, 9, 15)<br/>         Loss of major employer in the region (3)<br/>         Failure to recognise opportunities (11, 15, 16)<br/>         Rapid increase in inflation (1, 12)<br/>         Changes in government funding/grants (3, 12)<br/>         Collapse / decline of the property market (2, 8, 15, 16, 17, 18, 19, 20)<br/>         Change of government (18, 19)<br/>         Under achievement of development/investment (15, 16, 17, 18, 19, 20, 22)</p>    |
| <b>Risk Notes</b>             |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |


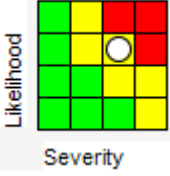
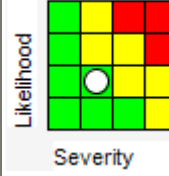
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| <b>Risk Code</b>              | CPR1415_07                                                                                   | <b>Risk Title</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | Information Management & Information Technology | <b>Current Risk Status</b>   |  |
| <b>Description of Risk</b>    | Failure to secure and manage data and IT infrastructure                                      |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                 | <b>Assigned To</b>           | Nicki Burton; John Wheatley                                                         |
| <b>Gross Risk Matrix</b>      |             | <b>Risk Treatment Measures Implemented</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                 | <b>Current Risk Matrix</b>   |  |
| <b>Gross Risk Score</b>       | 12                                                                                           | Network security<br>Physical security<br>Security Policy, Information Security Manual<br>Data Protection compliance and training<br>Single point of contact eliminated regarding Data Protection<br>Storage limits being implemented (subject to CMT endorsement) - links to retention schedule & EDRMS, active management & archiving of data not regularly accessed<br>GCSX<br>PSN compliance<br>Environmental controls<br>Established protocols<br>Security of data<br>EDRMS implementation<br>Data limits<br>Business Continuity Plans<br>Disaster Recovery Plan<br>Virtual servers<br>Web based systems<br>Home working<br>ISO27001<br>Back ups<br>Annual penetration tests<br>ISO20000<br>Improved Business Continuity with reciprocal arrangements at Walsall<br>Enhancements made to Data Retention, Storage Management and Proven Integrity of VMWare Infrastructure |                                                 | <b>Current Risk Score</b>    | 9                                                                                   |
| <b>Gross Severity</b>         | 4                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                 | <b>Current Severity</b>      | 3                                                                                   |
| <b>Gross Likelihood</b>       | 3                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                 | <b>Current Likelihood</b>    | 3                                                                                   |
| <b>Gross Risk Review Date</b> |                                                                                              |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                 | <b>Last Risk Review Date</b> | 17-Oct-2014                                                                         |
| <b>Consequences</b>           | Financial penalty<br>Reputational damage<br>Potential imprisonment<br>Physical harm to staff |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                 |                              |                                                                                     |

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|                               | <p>Consequence for members of the public if their personal data lost/stolen</p> <p>Loss of key management information</p> <p>Inability to deliver services</p> <p>potential loss of income</p>                                                              |
| <b>Vulnerabilities/causes</b> | <p>Insecure IT equipment</p> <p>Human error / loss of personal data</p> <p>Loss of equipment/data</p> <p>Theft</p> <p>Equipment failure</p> <p>Hacking / Viruses</p> <p>Agile working trials / flexible working project</p> <p>Corporate Change Project</p> |
| <b>Risk Notes</b>             |                                                                                                                                                                                                                                                             |


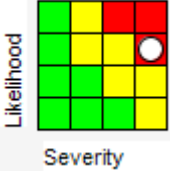
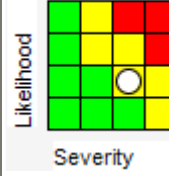
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| <b>Risk Code</b>              | CPR1415_08                                                                                                                                                                                                                                                                                                          | <b>Risk Title</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | Loss of Community Cohesion | <b>Current Risk Status</b>   |  |
| <b>Description of Risk</b>    | Failure to achieve community cohesion                                                                                                                                                                                                                                                                               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                            | <b>Assigned To</b>           | Rob Barnes; Rob Mitchell                                                            |
| <b>Gross Risk Matrix</b>      |                                                                                                                                                                                                                                    | <b>Risk Treatment Measures Implemented</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                            | <b>Current Risk Matrix</b>   |  |
| <b>Gross Risk Score</b>       | 12                                                                                                                                                                                                                                                                                                                  | No change to front line services<br>Locality working<br>ASB Policy<br>Partnership working<br>Financial Inclusion Policy<br>Community Engagement- project related and inclusive<br>Corporate consultation database<br>Services proactive in engaging communities<br>Data and intelligence used to inform service planning<br>Community cohesion awareness<br>Capacity building projects & initiatives<br>Impact assessments used<br>Horizon scanning Big Society/Localism impact<br>Stronger Communities Partnership<br>Responsible Authorities Group<br>Development of ASB hub<br>Links with Police<br>Community Cohesion Audit<br>Tamworth Strategic Partnership<br>ASB working group to agree processes to go onto CRM<br>effective Council wide response to implications of WBR |                            | <b>Current Risk Score</b>    | 9                                                                                   |
| <b>Gross Severity</b>         | 4                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                            | <b>Current Severity</b>      | 3                                                                                   |
| <b>Gross Likelihood</b>       | 3                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                            | <b>Current Likelihood</b>    | 3                                                                                   |
| <b>Gross Risk Review Date</b> |                                                                                                                                                                                                                                                                                                                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                            | <b>Last Risk Review Date</b> | 17-Oct-2014                                                                         |
| <b>Consequences</b>           | Long term costs<br>Not meeting/understanding users needs<br>Increase in crime and disorder<br>Poor use of funding<br>Increased tensions in the community<br>No community commitment/ownership to the authorities vision<br>Low level of community cohesion<br>Fear of perception of crime<br>Failure to meet demand |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                            |                              |                                                                                     |
| <b>Vulnerabilities/causes</b> | Economic recession<br>Poverty                                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                            |                              |                                                                                     |




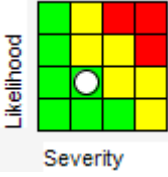
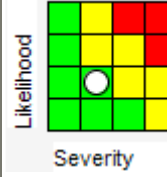
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|                   | <p>Welfare reforms<br/> Services withdrawn<br/> Big Society does not take off<br/> Communities become fragmented<br/> Increase in ASB<br/> Increase in financial deprivation<br/> Lack of interest from the public<br/> Poor communication<br/> Poor engagement mechanisms at corporate and service level<br/> Limited understanding of good engagement process<br/> Housing and regeneration projects- change mgt'</p> |
| <b>Risk Notes</b> |                                                                                                                                                                                                                                                                                                                                                                                                                         |


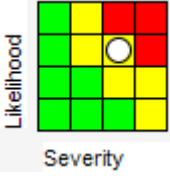
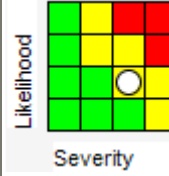
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| <b>Risk Code</b>              | CPR1415_09                                                                                                                                                                                                                                                                                                                                                                                                                         | <b>Risk Title</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | Workforce Planning Challenges | <b>Current Risk Status</b>   |  |
| <b>Description of Risk</b>    | Failure to manage workforce planning challenges                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                               | <b>Assigned To</b>           | Anica Goodwin; Tony Goodwin                                                         |
| <b>Gross Risk Matrix</b>      |                                                                                                                                                                                                                                                                                                                                                   | <b>Risk Treatment Measures Implemented</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                               | <b>Current Risk Matrix</b>   |  |
| <b>Gross Risk Score</b>       | 9                                                                                                                                                                                                                                                                                                                                                                                                                                  | Service reviews<br>Regular communication<br>Workforce and succession planning<br>Core brief<br>Staff AGM<br>PDR process to ensure skill development requirements are being addressed<br>HR policies and procedures in place<br>Post entry training to qualify staff in key areas<br>Absence management policy, health shield and occupational health<br>Market supplement policy for either retention or recruitment of necessary skills<br>Managers review of resource capabilities/capacity for business continuity purposes<br>Relationship with Trade Unions (TULG)<br>Management awareness of risk impact of reduced staffing<br>Corporate change programme<br>Pre employment checks<br>Business continuity plans |                               | <b>Current Risk Score</b>    | 4                                                                                   |
| <b>Gross Severity</b>         | 3                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                               | <b>Current Severity</b>      | 2                                                                                   |
| <b>Gross Likelihood</b>       | 3                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                               | <b>Current Likelihood</b>    | 2                                                                                   |
| <b>Gross Risk Review Date</b> | 20-Mar-2014                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                               | <b>Last Risk Review Date</b> | 17-Oct-2014                                                                         |
| <b>Consequences</b>           | Strain on remaining staff<br>Risk to service delivery<br>Industrial action<br>Budget misalignment<br>Increase in fraud<br>Wrong messages sent out<br>Potential increase in employment tribunal cases<br>increased number of grievances from staff<br>increase in absenteeism<br>Inability to respond to change agenda<br>inability to align skill levels to new working methods<br>Unable to recruit staff<br>impact on reputation |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                               |                              |                                                                                     |
| <b>Vulnerabilities/causes</b> | Staff become overloaded                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                               |                              |                                                                                     |


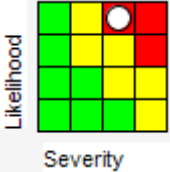
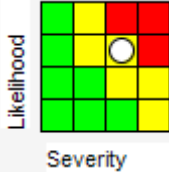
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|                   | Low morale has impact on service delivery<br>Industrial unrest<br>Redundancies lead to additional future costs<br>Failure to communicate effectively<br>Small authority with specialised staff<br>Sickness levels remain too high leaving vulnerable skills gaps<br>Pay and conditions below market conditions for skills required |
| <b>Risk Notes</b> | Reviewed by AG                                                                                                                                                                                                                                                                                                                     |

|                               |                                                                                                                                                                                                                              |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                              |                            |                                                                                     |
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| <b>Risk Code</b>              | CPR1415_10                                                                                                                                                                                                                   | <b>Risk Title</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | Health & Safety              | <b>Current Risk Status</b> |  |
| <b>Description of Risk</b>    | Failure to manage Health & Safety                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                              | <b>Assigned To</b>         | Andrew Barratt; Anica Goodwin                                                       |
| <b>Gross Risk Matrix</b>      |                                                                                                                                             | <b>Risk Treatment Measures Implemented</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                              | <b>Current Risk Matrix</b> |  |
| <b>Gross Risk Score</b>       | 12                                                                                                                                                                                                                           | Policies in place<br>Training completed<br>Health and Safety groups<br>Risk assessments completed<br>Inspections completed<br>Personal safety equipment provided<br>Lone working policy and practices<br>PVP register<br>Fire alarm tests and evacuation tests<br>Regular update meetings with H&S officers and Director Transformation and Corporate Performance audits<br>Landlord Health and Safety Audit and Action Plan<br>Review of high rise fire risk following changes to regulation | <b>Current Risk Score</b>    | 6                          |                                                                                     |
| <b>Gross Severity</b>         | 4                                                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | <b>Current Severity</b>      | 3                          |                                                                                     |
| <b>Gross Likelihood</b>       | 3                                                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | <b>Current Likelihood</b>    | 2                          |                                                                                     |
| <b>Gross Risk Review Date</b> | 20-Mar-2014                                                                                                                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | <b>Last Risk Review Date</b> | 17-Oct-2014                |                                                                                     |
| <b>Consequences</b>           | Corporate manslaughter<br>Fines<br>Negative publicity<br>insurance claims<br>death/injury                                                                                                                                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                              |                            |                                                                                     |
| <b>Vulnerabilities/causes</b> | Non-compliance with legislation<br>lack of health and safety awareness<br>short cuts/ poor working practices<br>Personal safety equipment not used<br>risks not identified and or managed<br>inspections/tests not completed |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                              |                            |                                                                                     |
| <b>Risk Notes</b>             | Reviewed by AG                                                                                                                                                                                                               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                              |                            |                                                                                     |
|                               | H&S team to ensure they keep up to date with legislative changes etc                                                                                                                                                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                              |                            |                                                                                     |
|                               | Risk level still at reported score                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                              |                            |                                                                                     |
|                               | H&S audit carried out highlighting some high priority areas. support action plan to be implemented.                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                              |                            |                                                                                     |


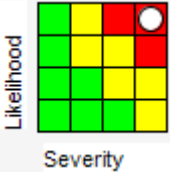
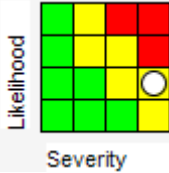
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|  | Regular updates with SL/JH/AG                          |
|  | regular updates by AG with JH and SL<br>Updates to CMT |

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| <b>Risk Code</b>              | CPR1415_11                                                                                                                                                                   | <b>Risk Title</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                      | Corporate Change             | <b>Current Risk Status</b> |  |
| <b>Description of Risk</b>    | Failure to manage corporate change                                                                                                                                           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                              | <b>Assigned To</b>         | Nicki Burton; Anica Goodwin                                                         |
| <b>Gross Risk Matrix</b>      |                                                                                             | <b>Risk Treatment Measures Implemented</b>                                                                                                                                                                                                                                                                                                                                                                                                                             |                              | <b>Current Risk Matrix</b> |  |
| <b>Gross Risk Score</b>       | 4                                                                                                                                                                            | Programme Plan<br>Pool of trained resources<br>Structured programme<br>Dedicated Programme Manager<br>Strong Governance<br>Strong budget management<br>demonstrated benefit realisation<br>clear communications<br>Dedicated Project Manager<br>Active engagement of Corporate Change Board<br>Reporting to CMT & Cabinet<br>One of the active workstreams is to tackle financial deficits<br>Inclusion of Sustainability Plan following Cabinet approval (22/08/2013) | <b>Current Risk Score</b>    | 4                          |                                                                                     |
| <b>Gross Severity</b>         | 2                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | <b>Current Severity</b>      | 2                          |                                                                                     |
| <b>Gross Likelihood</b>       | 2                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | <b>Current Likelihood</b>    | 2                          |                                                                                     |
| <b>Gross Risk Review Date</b> | 20-Mar-2014                                                                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | <b>Last Risk Review Date</b> | 17-Oct-2014                |                                                                                     |
| <b>Consequences</b>           | Return on investment not made<br>Reputation<br>Failure to implement agile working environment<br>Savings are not made<br>Budget not balanced<br>Programme becomes overloaded |                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                              |                            |                                                                                     |
| <b>Vulnerabilities/causes</b> | Weak management/ leadership / direction<br>Weak governance<br>No executive management support<br>Insufficient corporate skills and capacity<br>Failure to retain staff       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                              |                            |                                                                                     |
| <b>Risk Notes</b>             | reviewed by AG<br>Corporate Change Programme<br>Monitoring and involvement of CMT Political acceptance                                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                              |                            |                                                                                     |


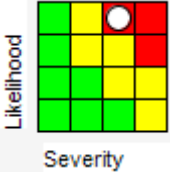
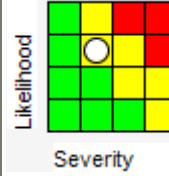
|                               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                           |                            |                                                                                     |
|-------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------|----------------------------|-------------------------------------------------------------------------------------|
| <b>Risk Code</b>              | CPR1415_12                                                                                                                                                                                                                                                                                                                                                                                                                                                              | <b>Risk Title</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | Safeguarding Children & Vulnerable Adults | <b>Current Risk Status</b> |  |
| <b>Description of Risk</b>    | Failure to safeguard children and vulnerable adults                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                           | <b>Assigned To</b>         | Jane Hackett; Rob Mitchell                                                          |
| <b>Gross Risk Matrix</b>      |                                                                                                                                                                                                                                                                                                                                                                                        | <b>Risk Treatment Measures Implemented</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                           | <b>Current Risk Matrix</b> |  |
| <b>Gross Risk Score</b>       | 9                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Safeguarding policy adopted - member training implemented<br>Clear procedures for reporting and dealing with disclosure<br>Annual section 11 audit - 2012 and 2013 completed<br>Appropriate risk assessments to identify vulnerability in customers/residents<br>Senior leadership commitment with designated officers<br>Policy implemented with training for appropriate staff<br>Safe recruitment process<br>Supervision of staff, contractors and volunteers included in tender process | <b>Current Risk Score</b>                 | 6                          |                                                                                     |
| <b>Gross Severity</b>         | 3                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | <b>Current Severity</b>                   | 3                          |                                                                                     |
| <b>Gross Likelihood</b>       | 3                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | <b>Current Likelihood</b>                 | 2                          |                                                                                     |
| <b>Gross Risk Review Date</b> | 16-Jan-2012                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | <b>Last Risk Review Date</b>              | 17-Oct-2014                |                                                                                     |
| <b>Consequences</b>           | Death, serious injury<br>Legal challenge for lack of compliance with legislation<br>Loss of reputation<br>Financial costs of review and insurance claims<br>Prosecution<br>Increase in inspection                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                           |                            |                                                                                     |
| <b>Vulnerabilities/causes</b> | Non-compliance with legislation<br>Lack of appropriate policy and procedures<br>Low awareness amongst staff and members<br>Lack of joined up case management<br>Case management systems unable to share data or support risk management<br>partner agencies not delivering services<br>lack of appropriate services<br>lack of reporting incidents considered trivial<br>Other organisation's not delivering the service - gaps in service provision for adults in need |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                           |                            |                                                                                     |
| <b>Risk Notes</b>             |                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                           |                            |                                                                                     |

|                               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                       |                            |                                                                                     |
|-------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------|----------------------------|-------------------------------------------------------------------------------------|
| <b>Risk Code</b>              | CPR1415_13                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | <b>Risk Title</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | Golf Course project -stage 2 selection of a sustainable future option | <b>Current Risk Status</b> |  |
| <b>Description of Risk</b>    | Cabinet selected to redevelop the Golf Course for housing following the in-depth options appraisal. Further to this, Cabinet approved the closure of the course in October 2014. The project to redevelop the site is ongoing and a number of technical studies are being finalised. A draft master plan will be out for preplanning consultation in late October 2014.                                                                                                                                                                                                                                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                       | <b>Assigned To</b>         | Tony Goodwin; Rob Mitchell; John Wheatley                                           |
| <b>Gross Risk Matrix</b>      |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | <b>Risk Treatment Measures Implemented</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                                                       | <b>Current Risk Matrix</b> |  |
| <b>Gross Risk Score</b>       | 12                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | Project group established<br>External support/advice commissioned<br>Project plan established with key milestones<br>Regular reporting to Cabinet<br>Technical and legal advice sought<br>Regular communications to staff, customers, and with stakeholders<br>Engagement with stakeholders, staff, residents and customers through specific consultation as part of the project<br>Consultation and oversight from key TBC officers<br>Engagement and consultation with Members<br>Implementation plan to be taken to Cabinet post a decision on the preferred option | <b>Current Risk Score</b>                                             | 9                          |                                                                                     |
| <b>Gross Severity</b>         | 3                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | <b>Current Severity</b>                                               | 3                          |                                                                                     |
| <b>Gross Likelihood</b>       | 4                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | <b>Current Likelihood</b>                                             | 3                          |                                                                                     |
| <b>Gross Risk Review Date</b> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | <b>Last Risk Review Date</b>                                          | 29-May-2014                |                                                                                     |
| <b>Consequences</b>           | Revenue costs<br>Capital costs<br>Reputation                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                       |                            |                                                                                     |
| <b>Vulnerabilities/causes</b> | Financial impact - for MTFS<br>Lack of capital funds to invest<br>Reputation / negative press<br>Selection of a sustainable option required<br>Differing political views / changes in political structure adversely affecting project timeframe.<br>A range of evidence and views have been gathered- some of which, when taken out of context can support options which are not viable if they are considered holistically alongside the other information<br>For some customers and residents the potential preferred options are fundamentally unpopular despite the evidence which might support them |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                       |                            |                                                                                     |
| <b>Risk Notes</b>             |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                       |                            |                                                                                     |



|                               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                                                                                    |                                                                                                                  |                            |                                                                                     |
|-------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------|----------------------------|-------------------------------------------------------------------------------------|
| <b>Risk Code</b>              | CPR1415_14                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | <b>Risk Title</b>                                                                                                                                                                                                                  | Inability to manage the impact corporately of the Government Austerity measures and new legislative requirements | <b>Current Risk Status</b> |  |
| <b>Description of Risk</b>    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                                                                                    |                                                                                                                  | <b>Assigned To</b>         | Tony Goodwin                                                                        |
| <b>Gross Risk Matrix</b>      |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | <b>Risk Treatment Measures Implemented</b>                                                                                                                                                                                         |                                                                                                                  | <b>Current Risk Matrix</b> |  |
| <b>Gross Risk Score</b>       | 16                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | Regular updates<br>Monitoring<br>Dedicated website for Housing benefit changes to inform customers<br>Consultation with customers over CT changes<br>Financial profiling<br>Town centre redevelopment<br>Economic development team | <b>Current Risk Score</b>                                                                                        | 8                          |                                                                                     |
| <b>Gross Severity</b>         | 4                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                    | <b>Current Severity</b>                                                                                          | 4                          |                                                                                     |
| <b>Gross Likelihood</b>       | 4                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                    | <b>Current Likelihood</b>                                                                                        | 2                          |                                                                                     |
| <b>Gross Risk Review Date</b> | 09-Nov-2012                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                                    | <b>Last Risk Review Date</b>                                                                                     | 17-Oct-2014                |                                                                                     |
| <b>Consequences</b>           | Unable to maintain rent income/increase in rent income<br>Social housing becomes unaffordable<br>Delivery of new housing<br>Realistic housing waiting lists<br><i>Social unrest - those unable to access social housing</i><br>Increase in benefit claimants<br>Increase in fraud - Benefits, Business Rates, RTB, Council Tax, tenancy<br>Increase in benefits overpayments<br>Potential economic growth<br>Maximise benefit entitlement & income generation<br>Community run services - not provided, inappropriately run<br>Processes lengthened through challenge<br>CIL - investment in development areas<br>Impact on staff |                                                                                                                                                                                                                                    |                                                                                                                  |                            |                                                                                     |
| <b>Vulnerabilities/causes</b> | Welfare reform - changes to social housing - flexibility in rent setting, short term fixed tenancies, pay to stay, use of RTB receipts for new housing<br>New Homes Bonus<br>Social housing allocations reform<br>Cap to benefit levels, reduction in local housing allowances, increase in non dependant charge, universal credit<br>Changes to business rates<br>Changes to Council Tax<br>Welfare Rights Fairer Charging<br>Community right to challenge<br>Community right to bid                                                                                                                                             |                                                                                                                                                                                                                                    |                                                                                                                  |                            |                                                                                     |

|                   |                                                                                          |
|-------------------|------------------------------------------------------------------------------------------|
|                   | Changes to Planning system<br>Community Infrastructure Levy<br>National Home Swap Scheme |
| <b>Risk Notes</b> |                                                                                          |

|                               |                                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                        |                                        |                              |                                                                                     |
|-------------------------------|---------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------|------------------------------|-------------------------------------------------------------------------------------|
| <b>Risk Code</b>              | CPR1415_15                                                                                                                      | <b>Risk Title</b>                                                                                                                                                                                                                                                                                                                                      | Impact of changes to political control | <b>Current Risk Status</b>   |  |
| <b>Description of Risk</b>    |                                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                        |                                        | <b>Assigned To</b>           | Tony Goodwin                                                                        |
| <b>Gross Risk Matrix</b>      |                                                | <b>Risk Treatment Measures Implemented</b>                                                                                                                                                                                                                                                                                                             |                                        | <b>Current Risk Matrix</b>   |  |
| <b>Gross Risk Score</b>       | 12                                                                                                                              | keep up to date with changes<br>officers politically neutral<br>appropriate key officer briefings (Executive Board)<br>Member induction and training programme for new and existing members<br>use of SOLACE management support to develop awareness/understanding re<br>new councillors etc.<br>policy underpinned by robust contractual arrangements |                                        | <b>Current Risk Score</b>    | 6                                                                                   |
| <b>Gross Severity</b>         | 3                                                                                                                               |                                                                                                                                                                                                                                                                                                                                                        |                                        | <b>Current Severity</b>      | 2                                                                                   |
| <b>Gross Likelihood</b>       | 4                                                                                                                               |                                                                                                                                                                                                                                                                                                                                                        |                                        | <b>Current Likelihood</b>    | 3                                                                                   |
| <b>Gross Risk Review Date</b> |                                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                        |                                        | <b>Last Risk Review Date</b> | 17-Oct-2014                                                                         |
| <b>Consequences</b>           | financing streams may change<br>services being delivered could change<br>decision making becomes lengthy/doesn't happen/changes |                                                                                                                                                                                                                                                                                                                                                        |                                        |                              |                                                                                     |
| <b>Vulnerabilities/causes</b> | changes to political leadership - local/national<br>hung council/government<br>political balance on decision making committees  |                                                                                                                                                                                                                                                                                                                                                        |                                        |                              |                                                                                     |
| <b>Risk Notes</b>             |                                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                        |                                        |                              |                                                                                     |








# Risk Management Action Plan 2014/15

**Report Author:** Angela Struthers  
**Generated on:** 14 October 2014



| Code | Title                                 | Status Icon | Due Date    | Completed Date | Progress Bar                      | Latest Status Update                                                                                                                                                                                                                                                         | Assigned To      |
|------|---------------------------------------|-------------|-------------|----------------|-----------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------|
| RM1  | Risk Management Policy                |             | 01-Apr-2015 |                | <input type="text" value="0%"/>   | 07-Aug-2014 The Policy will be reviewed by the due date                                                                                                                                                                                                                      | Angela Struthers |
| RM2  | Risk Management Training              |             | 01-Apr-2015 |                | <input type="text" value="0%"/>   |                                                                                                                                                                                                                                                                              | Angela Struthers |
| RM3  | E-learning module                     |             | 01-Apr-2015 |                | <input type="text" value="0%"/>   |                                                                                                                                                                                                                                                                              | Angela Struthers |
| RM4  | Linking risks to corporate priorities |             | 01-Apr-2015 |                | <input type="text" value="0%"/>   |                                                                                                                                                                                                                                                                              | Angela Struthers |
| RM5  | Opportunities Risk Register           |             | 01-Apr-2015 |                | <input type="text" value="0%"/>   | 07-Aug-2014 This is a development area. A request to the software supplier has been made.                                                                                                                                                                                    | Angela Struthers |
| RM6  | Internal Controls                     |             | 01-Apr-2015 |                | <input type="text" value="0%"/>   |                                                                                                                                                                                                                                                                              | Angela Struthers |
| RM7  | Risk Library                          |             | 01-Apr-2015 | 14-Oct-2014    | <input type="text" value="100%"/> | 07-Aug-2014 The risk library held on the covalent system now contains project and partnerships risk libraries as these are the areas that will be used by several departments. Other risk libraries are more specific to the service area and will remain as word documents. | Angela Struthers |
| RM8  | Health & Safety Risk Registers        |             | 01-Apr-2015 |                | <input type="text" value="0%"/>   |                                                                                                                                                                                                                                                                              | Angela Struthers |
| RM9  | Other Assurance Sources               |             | 01-Apr-2015 |                | <input type="text" value="0%"/>   |                                                                                                                                                                                                                                                                              | Angela Struthers |

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| Action Status                                                                     |                                    |
|-----------------------------------------------------------------------------------|------------------------------------|
|  | Cancelled                          |
|  | Overdue; Neglected                 |
|  | Unassigned; Check Progress         |
|  | Not Started; In Progress; Assigned |
|  | Completed                          |

30 OCTOBER 2014

**REPORT OF THE SOLICITOR TO THE COUNCIL AND MONITORING OFFICER**

**REGULATION OF INVESTIGATORY POWERS ACT 2000**

**EXEMPT INFORMATION**

None

**PURPOSE**

The Council's Code of Practice for carrying out surveillance under the Regulation of Investigatory Powers Act 2000 (RIPA) specifies that quarterly reports will be taken to Audit & Governance Committee to demonstrate to elected members that the Council is complying with its own Code of Practice when using RIPA.

On 13th December 2012, the Council adopted a new RIPA policy and agreed that quarterly reports on the use of RIPA powers be submitted to Audit & Governance Committee.

**RECOMMENDATIONS**

**That Members endorse the quarterly RIPA monitoring report.**

**BACKGROUND INFORMATION**

The RIPA Code of Practice produced by the Home Office in April 2010 introduced the requirement to produce quarterly reports to elected members to demonstrate that the Council is using its RIPA powers appropriately and complying with its own Code of Practice when carrying out covert surveillance. This requirement relates to the use of directed surveillance and covert human intelligence sources (CHIS).

The table below shows the Council's use of directed surveillance in the current financial year to provide an indication of the level of use of covert surveillance at the Council. There have been no applications under RIPA in the quarterly period from 1st July 2014 to 30th September 2014.

The table outlines the number of times RIPA has been used for directed surveillance, the month of use, the service authorising the surveillance and a general description of the reasons for the surveillance. Where an investigation is ongoing at the end of a quarterly period it will not be reported until the authorisation has been cancelled. At the end of the current quarterly period there are no outstanding authorisations.

There have been no authorisations for the use of CHIS.

In January 2014, 23 Officers received RIPA refresher training. This included the Chief Executive, the Senior Responsible Officer, Authorising Officers, and the Officers who would prepare and present applications as well as internal auditors.

**Financial year 2014/15**

| <b>Month</b> | <b>Service</b> | <b>Reason</b> |
|--------------|----------------|---------------|
|--------------|----------------|---------------|

No applications

**REPORT AUTHOR**

Jane Hackett, Solicitor to the Council and Monitoring Officer Ext 258

**LIST OF BACKGROUND PAPERS**

None

**APPENDICES**

None



**Planned Reports to Audit & Governance Committee (Draft)**

|   | <b>Report</b>                                                  | <b>Committee Date</b> | <b>Report of</b>                                | <b>Comments</b>                                                                                                |
|---|----------------------------------------------------------------|-----------------------|-------------------------------------------------|----------------------------------------------------------------------------------------------------------------|
| 1 | Internal Audit annual & quarterly update                       | <b>May</b>            | Head of Internal Audit                          |                                                                                                                |
| 2 | Risk Management quarterly update                               | <b>May</b>            | Head of Internal Audit                          |                                                                                                                |
| 3 | Review of the effectiveness of Internal Control Environment    | <b>May</b>            | Head of Internal Audit                          | To include the review of the effectiveness of internal audit, compliance with PSIAS, roles of the CFO and HIAS |
| 4 | Counter Fraud update                                           | <b>May</b>            | Head of Internal Audit                          |                                                                                                                |
| 5 | Role of the Audit Committee                                    | <b>May</b>            | Grant Thornton                                  | Presentation/training                                                                                          |
| 1 | Draft Annual Statement of Accounts                             | <b>June</b>           | Executive Director Corporate Services           |                                                                                                                |
| 2 | Annual Governance Statement & Code of Corporate Governance     | <b>June</b>           | Head of Internal Audit                          |                                                                                                                |
| 3 | Review of the Constitution & Scheme of Delegation for Officers | <b>June</b>           | Solicitor to the Council and Monitoring Officer |                                                                                                                |
| 4 | Audit & Governance Committee Update                            | <b>June</b>           | Grant Thornton                                  |                                                                                                                |
| 5 | Fee Letter                                                     | <b>June</b>           | Grant Thornton                                  |                                                                                                                |
| 6 | RIPA Quarterly Report                                          | <b>June</b>           | Solicitor to the Council and Monitoring Officer |                                                                                                                |

|   | <b>Report</b>                                                                                        | <b>Committee Date</b> | <b>Report of</b>                                | <b>Comments</b> |
|---|------------------------------------------------------------------------------------------------------|-----------------------|-------------------------------------------------|-----------------|
| 1 | Annual Statement of Accounts                                                                         | <b>September</b>      | Executive Director<br>Corporate<br>Services     |                 |
| 2 | Audit Findings Report                                                                                | <b>September</b>      | Grant Thornton                                  |                 |
| 3 | Internal Audit quarterly update                                                                      | <b>September</b>      | Head of Internal Audit                          |                 |
| 4 | Risk Management quarterly update                                                                     | <b>September</b>      | Head of Internal Audit                          |                 |
| 6 | Treasury Management Strategy Statement and Annual Investment Strategy Mid-year Review Report 2013/14 | <b>September</b>      | Executive Director<br>Corporate<br>Services     |                 |
| 7 | RIPA Quarterly Report                                                                                | <b>September</b>      | Solicitor to the Council and Monitoring Officer |                 |
| 8 | Local Government Ombudsman's Annual Review and Report 2013/14                                        | <b>September</b>      | Solicitor to the Council and Monitoring Officer |                 |
| 1 | Annual Audit Letter 2013/14                                                                          | <b>October</b>        | Grant Thornton                                  |                 |
| 2 | Internal Audit quarterly update                                                                      | <b>October</b>        | Head of Internal Audit                          |                 |
| 3 | Risk Management quarterly update                                                                     | <b>October</b>        | Head of Internal Audit                          |                 |
| 4 | Members/Standards                                                                                    | <b>October</b>        | Solicitor to the Council & Monitoring Officer   |                 |

|   | <b>Report</b>                                  | <b>Committee Date</b> | <b>Report of</b>                                | <b>Comments</b>                                                     |
|---|------------------------------------------------|-----------------------|-------------------------------------------------|---------------------------------------------------------------------|
| 5 | Anti Money Laundering Policy                   | <b>October</b>        | Solicitor to the Council & Monitoring Officer   |                                                                     |
| 1 | Audit Report on Certification Work 2013/14     | <b>January</b>        | Grant Thornton                                  |                                                                     |
| 2 | Audit Progress Report                          | <b>January</b>        | Grant Thornton                                  |                                                                     |
| 3 | Internal Audit quarterly update                | <b>January</b>        | Head of Internal Audit                          |                                                                     |
| 4 | Risk Management quarterly update               | <b>January</b>        | Head of Internal Audit                          |                                                                     |
| 5 | Counter Fraud update                           | <b>January</b>        | Head of Internal Audit                          | To include review of Counter Fraud Policy and Whistleblowing Policy |
| 6 | Review of Financial Guidance                   | <b>January</b>        | Head of Internal Audit                          |                                                                     |
| 7 | RIPA Quarterly Report                          | <b>January</b>        | Solicitor to the Council and Monitoring Officer |                                                                     |
| 8 | Treasury Management mid year monitoring report | <b>January</b>        | Executive Director Corporate Services           |                                                                     |
| 1 | Final Accounts 2014/15 – Action Plan           | <b>March</b>          | Director of Finance                             |                                                                     |
| 2 | Draft Audit Plan                               | <b>March</b>          | Grant Thornton                                  |                                                                     |
| 3 | Draft Certification Work Plan                  | <b>March</b>          | Grant Thornton                                  |                                                                     |
| 4 | Audit Committee Update                         | <b>March</b>          | Grant Thornton                                  |                                                                     |

|   | <b>Report</b>                                          | <b>Committee Date</b> | <b>Report of</b>                                | <b>Comments</b> |
|---|--------------------------------------------------------|-----------------------|-------------------------------------------------|-----------------|
| 5 | Auditing Standards                                     | <b>March</b>          | Grant Thornton                                  |                 |
| 6 | Internal Audit Charter and Audit Plan                  | <b>March</b>          | Head of Internal Audit                          |                 |
| 7 | Audit & Governance Committee Self Assessment           | <b>March</b>          | Head of Internal Audit                          |                 |
| 8 | RIPA Quarterly Report                                  | <b>March</b>          | Solicitor to the Council and Monitoring Officer |                 |
| 9 | Treasury Management Strategy and Prudential Indicators | <b>March</b>          | Executive Director Corporate Services           |                 |

Portfolio Holder CS - Portfolio Holder for Corporate Services & Assets