

Overall Summary

Summary Risk Information			
Risk		Current	Desired
Financially sustainable and value for money	L'hood	4	2
	Impact	4	4
	Total	16	8
Strong leadership and governance	L'hood	2	2
	Impact	4	4
	Total	8	8
Dedicated and resourceful employees	L'hood	3	1
	Impact	4	4
	Total	12	4
Education and skills development	L'hood	4	3
	Impact	4	4
	Total	16	12
A growing economy	L'hood	3	2
	Impact	4	4
	Total	12	8
Job creation and increased employment	L'hood	4	3
	Impact	4	4
	Total	16	12
People are supported and protected from harm	L'hood	3	2
	Impact	5	5
	Total	15	10
People live healthy lives	L'hood	4	2
	Impact	4	4
	Total	16	8
Cohesive and safe communities	L'hood	3	1
	Impact	3	3
	Total	9	3
Great places to live and visit	L'hood	2	1
	Impact	3	3
	Total	6	3
Clean and green spaces	L'hood	2	1
	Impact	2	2
	Total	4	2
Rich cultural experiences	L'hood	1	1
	Impact	3	3
	Total	3	3

Summary of Completed Audit Work (Internal Controls)						
Assurance	Audit Findings (By Impact)					
		VL	L	M	H	VH
95%	R	0	1	0	0	0
	A	0	3	0	0	1
	G	1	24	11	7	1
98%	R	1	0	0	0	0
	A	0	1	2	0	0
	G	2	21	25	10	6
100%	R	0	0	0	0	0
	A	0	0	1	0	0
	G	2	12	2	1	0
97%	R	0	0	0	0	0
	A	0	1	0	0	0
	G	0	5	5	1	0
100%	R	0	0	0	0	0
	A	0	0	0	0	0
	G	0	0	1	0	0
100%	R	0	0	0	0	0
	A	0	0	0	0	0
	G	0	1	0	1	0
97%	R	0	0	0	0	0
	A	0	0	1	2	1
	G	0	6	13	10	9
100%	R	0	0	0	0	0
	A	0	0	0	1	0
	G	0	0	0	4	0
100%	R	0	0	0	0	0
	A	0	0	1	0	0
	G	1	0	1	0	0
99%	R	0	0	0	0	0
	A	0	0	1	0	0
	G	1	6	11	2	0
89%	R	0	0	0	0	0
	A	0	0	0	0	0
	G	0	2	3	0	0
100%	R	0	0	0	0	0
	A	0	1	0	0	0
	G	0	0	1	0	0

Detailed Commentary

Risk & Description	Causes & Implications	Current Status	Score
<p>Financially sustainable and value for money - Financial resources may not be available to support the Council' corporate planning processes, financial strategy and annual budgets.</p>	<p>Significant reduction in government funding over previous 10 years. Uncertainty remains over future funding and significant pressures are faced in adults and children's services and the impact of COVID is uncertain long-term. Potentially a significant impact on reputation, service delivery, and ability to fund Council objectives.</p>	<p>The Council has a strong track-record in managing its finance however there remains significant uncertainty in funding beyond 2021. Significant pressures are faced in Adults & Childrens' Services and the long term impact of COVID is uncertain. We continue to plan based on the most accurate and up to date information available with regular updates to members.</p>	16
<p>Strong leadership and governance - Failure to have in place strong leaderships supported by excellent governance and practices.</p>	<p>There is an expectation we will be open and transparent with a strong customer focus and strive for continuous improvement supported by effective communication and strong assurance. Can lead to weakened leadership and ability to meet objectives and an erosion of trust.</p>	<p>A set of key campaigns is being delivered, in line with the Council vision, to be used as the basis and framework for focussing communications. The SBC website and social media platforms continue to be developed as a way of keeping residents, businesses and visitors informed about the Council and the borough Be a Councillor campaign launched to provide information to people interested in becoming a councillor.</p>	8
<p>Dedicated and resourceful employees - The skills, expertise and level of human resources available may not be sufficient to support the overall aims of the organisation.</p>	<p>The necessity to deliver savings and efficiencies has resulted in a reduced workforce with a loss of experienced staff due to retirement, ill health or lack of opportunities. There are recruitment and selection difficulties specifically being able to attract applicants to the public sector. Failure to maintain and develop staff capacity and capability impacts on the Council's ability to deliver services and its reputation. Increased workloads leading to further sickness.</p>	<p>The recruitment of a younger and more diverse workforce remains challenging. Further changes to the financial position are extremely likely, however through the Shaping a Brighter Future programme, the Council is building on the capabilities of the workforce, increasing capacity, resilience and success. Employee sickness levels have fallen.</p>	12

<p>Education and skills development - Failure to provide facilities and opportunities to develop skills and promote education as means to improve life chances.</p>	<p>A failure to understand the skills required and the offer available and being able to meet the demands of both. Being able to promote investment in an economic climate of financial constraint. Being unable to provide opportunities to improve lives. Financial burdens in supporting individuals and the damage to the reputation of the council by failing to support change.</p>	<p>Demand pressures continue to be experienced, particularly relating to the rising number and complexity of external residential placements. There are challenges to address around higher than average fostering and adoption timescales, and the number of care leavers in education, employment or training. There are issues to address relating to communication and information sharing between partners which may create barriers to effective support. Working with the combined authority on the skills agenda for the Tees Valley. Agreed to develop an employment and skills hub</p>	<p>16</p>
<p>A growing economy - Failure to encourage regeneration, support enterprise and improve development opportunities for new and existing businesses across the borough.</p>	<p>Lack of awareness or effectiveness of support available specifically for start-up businesses. Poor partnership working and understanding of infrastructure needs. Environmental restrictions and challenges. Can lead to a lack of investment and an inability to provide employment opportunities. There would also be a subsequent financial impact on the council and residents of the borough.</p>	<p>The Council continues to support the development of business startups and the growth of existing businesses. The evening economy of Stockton is expanding, the refurbishment of The Globe Theatre continues and the Council has supported a successful Business Improvement District and Healthy High Streets programme. The re-occupation of vacant floor space remains a priority. Working closely with the combined authority on a number of schemes. Action included in Council Plan to promote inward investment. Intervened in Town Centre management across each of the towns within the borough.</p>	<p>12</p>

<p>Job creation and increased employment - Failure to ensure we have communities who are provided with skills and opportunities to achieve economic prosperity.</p>	<p>Failure to effectively engage with the communities we serve and be able to encourage ambition and provide relevant jobs to match skills reducing the dependency on universal credit. Ensuring there are sufficient jobs available and understanding the impact of COVID and other environmental factors on the employment sector. Social impact on outcomes well-being and life chances as a result of financial difficulties and family poverty. Negative financial impact on the local economy and the alienation and disengagement of the community.</p>	<p>Effective partnership working with other public sector organisations, private and voluntary sectors, influences economic growth locally. The Council has a strong track record with TVCA. The Council continues to support the development of business startups and the growth of existing businesses. Agreement to develop an employment and skills hub.</p>	<p>16</p>
<p>People are supported and protected from harm - People of Stockton-on-Tees may not be safe, protected and cared for.</p>	<p>Unpredictable level of demand for services and an increased level of referrals placing strain on existing services and our ability to provide an effective response. Effective partnership working is essential. Legislation changes are unpredictable and often significant. Being able to effectively commission services is a challenge. Implications include Physical and emotional distress, injury or death. Limitations to future life chances/loss of independence. Ineffective commission can lead to financial loss.</p>	<p>Demand pressures continue to be high as a result of high referral activity, high number of child protection plans and a high number of looked after children. A collaborative approach is in place with strong partnership links and preventative strategies to improve outcomes for adults at risk. Public awareness of safeguarding issues has increased. The proportion of people who feel safe and secure remains relatively high. Recruitment and retention of experienced social workers continues to be a challenge.</p>	<p>15</p>
<p>People live healthy lives - Failure to promote and protect health and wellbeing across the borough and to reduce inequalities.</p>	<p>A lack of understanding, awareness and access to adequate provision/commissioning of support services leading to poor lifestyle choices. Reduced quality of life and an increase in premature death rates.</p>	<p>Work continues to address the numerous issues affecting health and wellbeing issues in Stockton-on-Tees and, in particular, the health inequalities which exist between our more deprived and least deprived communities, for example smoking prevalence. The extent of these inequalities in health remain one of the biggest challenges to the health and wellbeing of our Borough as a whole. The current pandemic is obviously having a significant impact with long-term issues currently unknown and the risk increased in response.</p>	<p>16</p>

<p>Cohesive and safe communities - Failure to provide a safe Stockton-on-Tees, where all residents are able to live their lives in a borough free from crime, fear of crime and anti-social behaviour.</p>	<p>Ineffective partnership working leading to reduced detection and trust. A failure to identify and respond to external threats. Individuals subjected to crime, physical harm and a fear of crime impacting on their lives.</p>	<p>Safer Stockton Partnership works together to improve community safety across the borough. Crime levels are now showing signs of reducing since the latter part of 2019 but remain higher than 2017 levels and have not decreased as sharply as similar areas during the pandemic.</p>	<p>9</p>
<p>Great places to live and visit - Failure to provide attractive areas with housing needs being met and supported by an effective infrastructure.</p>	<p>Infrastructure (Housing, Amenities, Transport, Town Centres) that makes the borough a less attractive place to live and a lack of appropriate infrastructure and events to attract visitors to the borough. Unable to attract/retain residents and visitors and the subsequent loss of investment.</p>	<p>A strong partnership ethos is in place with developers, land owners and registered social landlords to deliver housing strategies, regeneration schemes, and improve the quality of existing housing. The Local Plan was adopted in January 2019.</p>	<p>6</p>
<p>Clean and green spaces - Failure to provide a clean, green and attractive environment throughout the borough.</p>	<p>Lack of facilities to support the achievement of core council priorities. Inability to provide financial support to create and maintain facilities and ensure the borough remains attractive to residents and visitors. Residents and visitors may be reluctant to visit/live in the borough and we may deter individuals from undertaking leisure activities to improve their well-being through a lack of facilities/opportunity.</p>	<p>The borough has a number of large flagship parks as well as smaller neighbourhood green spaces and urban grey spaces, such as town and neighbourhood centres. Despite reduced investment due to limited funding, the Council continues to maintain the required standard for our green spaces. A new team has been established and a strategy being developed.</p>	<p>4</p>
<p>Rich cultural experiences - People may not be provided with opportunities to experience and participate in cultural activities.</p>	<p>Affordability of events and services. A lack of understanding of the market and our ability to meet the needs of residents and visitors. Being unable to attract people to the borough and the subsequent loss of investment. A lost opportunity to improve individual's well-being.</p>	<p>The Council successfully delivers a diverse programme of festivals and events. A broad range of leisure and visitor attractions provide great experiences and drive economic activity in the borough.</p>	<p>3</p>

Audit Testing Results

Results of Audit Testing for the period:		December 2020		to	February 2021		Controls Tested:
		Very Low	Low	Medium	High	Very High	
275	Financially sustainable and value for money	0	1	1	5	0	8
		0	0	0	0	1	
		0	0	0	0	0	
279	Strong leadership and governance	0	2	7	3	4	17
		0	0	0	0	0	
		1	0	0	0	0	
290	Dedicated and resourceful employees	0	1	1	0	0	3
		0	0	1	0	0	
		0	0	0	0	0	
282	Education and skills development	0	0	2	1	0	3
		0	0	0	0	0	
		0	0	0	0	0	
287	A growing economy	0	0	1	0	0	1
		0	0	0	0	0	
		0	0	0	0	0	
288	Job creation and increased employment	0	0	0	0	0	0
		0	0	0	0	0	
		0	0	0	0	0	
278	People are supported and protected from harm	0	0	5	4	3	14
		0	0	0	2	0	
		0	0	0	0	0	
280	People live healthy lives	0	0	0	3	0	3
		0	0	0	0	0	
		0	0	0	0	0	
281	Cohesive and safe communities	1	0	0	0	0	1
		0	0	0	0	0	
		0	0	0	0	0	
284	Great places to live and visit	0	1	3	1	0	5
		0	0	0	0	0	
		0	0	0	0	0	
285	Clean and green spaces	0	1	0	0	0	1
		0	0	0	0	0	
		0	0	0	0	0	
286	Rich cultural experiences	0	0	0	0	0	0
		0	0	0	0	0	
		0	0	0	0	0	

Planning Summary

Planned Work		February 2021		to		March 2021	
ID	Risk	Very Low	Low	Medium	High	Very High	Total Time Required
275	Financially sustainable and value for money	1	10	7	2	3	27
279	Strong leadership and governance	0	5	10	2	0	25.45
290	Dedicated and resourceful employees	0	1	4	1	0	7.1
282	Education and skills development	0	1	4	1	0	17.45
287	A growing economy	0	0	3	0	0	2.1
288	Job creation and increased employment	0	0	0	1	0	1
278	People are supported and protected from harm	0	6	18	11	7	46.35
280	People live healthy lives	0	2	0	5	0	7.25
281	Cohesive and safe communities	0	3	5	1	0	8.5
284	Great places to live and visit	0	4	13	1	0	14.55
285	Clean and green spaces	1	1	0	0	0	0.75
286	Rich cultural experiences	0	2	1	0	0	2

Quality, Assurance & Improvement Process

Period Covered	December 2020	to	February 2021
Planned Period	February 2021	to	March 2021

Stewardship (Coverage)		
Measure	Target	Performance
Adequate Resources (Planned Period)	15	23.85
Portfolio Coverage (Period)	88	56
Presentation of Annual Report (Annual)	June	*
Presentation of Activity Report	Qtrly	*

Stakeholders		
Measure	Target	Performance
Reports Issued	Qtrly	*
Fraud Strategy Review	31/03/2021	*
Client Satisfaction	TBC	*
Recommendation Implementation	TBC	*

Process		
Measure	Target	Performance
Self assessment against standards (Annual)	March	*
External Assessment (Every 5 Years)	31/03/2023	*
Staff Meetings Held (Period)	5	8
Up to Date Audit Manual	31/03/2021	*

People		
Measure	Target	Performance
Productivity (Period)	75%	74.9%
Training (Per Financial Year)	20	*
Code of Conduct (Annual)	100%	*
Appraisals (Annual)	100%	*

* - Results to be reported in the annual report

Planning - Full List

Below is a full list of controls to be examined in the next period.	Impact
Children's placements are monitored appropriately and opportunities for family reunification examined.	Very High
Sufficient school places are available to meet demand.	Very High
Children's Assessment procedures are comprehensive and up to date	Very High
Children's cases are appropriately supervised with regular discussion and appropriate recording.	Very High
Systems are updated with the relevant referral information	Very High
Accurate and timely assessment of children's referrals is undertaken.	Very High
Clear budget process and timetable is in place which could be followed by team members as and when required.	Very High
Focussed financial support to commercial ventures	Very High
An approved Council Plan is in place which sets out the priorities of the council.	Very High
Process council tax support claims	Very High
Adult Services have a service strategy in place and delivery is being monitored.	Very High
An up to date strategic plan is in place for the Safeguarding Adults Board.	Very High
Adult Social Care cases are allocated appropriately considering caseloads and qualification requirements.	Very High
Appropriate service provision has been identified to meet an Adult Social Care users individual needs, which is accurately charged for as required.	Very High
Where the Authority has Deputyship/Appointeeship, appropriate authorisation/legal documentation is in place	Very High
The Troubled Families Initiative programme is managed effectively.	Very High
Accurate and up to date MTFP projections for future years	Very High
Children have been matched with appropriate adopters	Very High
Adequate and effective after school, day care and residential short breaks provision is available for children with a care plan.	High
Staff assessing children's cases have the relevant qualifications and clearances.	High
Hard-copy Children's case files are appropriately managed and safeguarded.	High
School investment plan in place to ensure appropriate number and quality of places available.	High
Undertake forward planning and projections of external factors in respect of income and expenditure and feed into MTFP.	High
Prepare statement of accounts	High
Participate in appropriate safeguarding processes and provider serious concern protocol	High
Vehicles used in the provision of community transport services are suitable and meet requirements for servicing and road worthiness.	High
Client risk assessments are undertaken and appropriate arrangements are in place for provision of social care and education transport to clients.	High
Planning and provision of school meals promotes healthy, nutritious eating in compliance with the School Food Standards.	High
Free school meals are provided to eligible pupils.	High

Bridge Inspections are undertaken in accordance with an appropriate specified programme.	High
Adult Social Care case files are updated accurately and in a timely manner.	High
Staff working in settings for adults are suitably qualified and receive appropriate training.	High
Appropriate monitoring of residential placements is in place.	High
Timely and accurate financial assessments are undertaken for service users wishing to take up a service.	High
All care packages are receiving appropriate approval, and include all relevant information.	High
Appropriate arrangements are in place to continue managing clients finances in the event of disruption.	High
Food & Hygiene premises rating system is updated regularly and published	High
Appropriate formal documented ICT project management standards/policies have been established.	High
Appropriate periodic IT Health checks (or other equivalent exercises) are undertaken in order to identify and categorise significant security issues/vulnerabilities. Work is then undertaken to remediate these issues/vulnerabilities where appropriate.	High
Management and oversight of youth offending cases improve outcomes for young people involved in criminal justice system or at risk of becoming involved.	High
The council has a strategy in place to deliver public health services to the community.	High
Effective management of grants received to support jobs and growth.	High
Effective commissioning and procurement of public health services and programmes.	High
Public health research and local needs assessment.	High
Suitability of approved in-house foster carers is monitored.	High
Continued eligibility for a free school meal is monitored and appeals are handled appropriately.	High
Breakdowns/transition arrangements and appeals are handled effectively.	High
Where there is a shortfall in specialist housing facilities managed by the authority to meet demand external provision is effectively sourced.	High
A child in care's story is documented	Medium
A robust training and support regime is in place for new teachers	Medium
Arrangements are in place to manage the breakdown of a placement	Medium
Health & safety of children's placements is monitored	Medium
School places have been appropriately allocated.	Medium
Procedures for managing referrals (Children's) and undertaking initial assessments are comprehensive and up to date.	Medium
Agreements for early years provision are in place and being complied with and monitoring visits are being undertaken.	Medium
Allocation of school budgets in line with funding formula.	Medium
Deliver the efficiency programme in place with identified lead responsibilities	Medium
Treasury Management Strategy and its implementation meets the Prudential Code and Treasury Management Code of Practice.	Medium
Financial appraisal completed as part of business case/options appraisal	Medium
Requests for information are handled in line with requirements of the Freedom of Information Act.	Medium
Update and report the risk diagnostic tool (RAG) to assist in risk management in all adults, public health and children's contracts	Medium

Appropriate business risk assessments are undertaken within the community transport service and measures are in place to ensure the health and safety of council employees.	Medium
Contractors & Sub-Contractors involved in the provision of community transport hold necessary clearances, licences, qualifications and insurance.	Medium
Arrangements are in place for inspection and maintenance of security and surveillance equipment.	Medium
Civic enforcement decisions are consistent, fair, proportionate and necessary; in line with legislation.	Medium
Community engagement and communication to highlight and reduce environmental crime.	Medium
Sensitive personal information in relation to Lifeline (DBC) and Telecare (SBC) clients is managed in line with GDPR requirements.	Medium
Highway inspections are undertaken in accordance with an appropriate specified programme.	Medium
Street Lighting inspections and associated electrical testing are undertaken in accordance with an appropriate specified programme.	Medium
Road closures are undertaken following appropriate consultation and required notification are undertaken within appropriate timescales.	Medium
The highways network resilience to extreme events such as weather has been fully established and plans are in place to manage this.	Medium
Targeted Action Plans in place for Central Stockton and North Thornaby are appropriately controlled.	Medium
Staff involved in adult referrals and assessments appropriately qualified and have appropriate clearances.	Medium
Corporate initiatives are in place to help prevent sickness absence.	Medium
Procurement of contracts in place for provision of employee therapy is undertaken in line with contract procedure rules and appropriate monitoring undertaken.	Medium
Information security and sharing protocols in relation to occupational health and employee therapy provision is in line with data protection legislation.	Medium
Smarter Working in Stockton objectives are achieved.	Medium
Library stock is adequately recorded, managed and its condition is 'fit for purpose'.	Medium
Adequate performance information is maintained and is appropriately utilised within the Highways Department.	Medium
The authority has an adequate, appropriate and up to date Highway Infrastructure Asset Management Strategy (HIAMS) in place.	Medium
Utility works are licensed, inspected and, where applicable, appropriate charges are issued and collected for overruns/fines.	Medium
Building control decisions are appropriately authorised and made in line with Building Regulations.	Medium
Section 106 agreements utilised effectively and obligations are complied with.	Medium
Landlord Accreditation Scheme membership is subject to an effective review and renewal process.	Medium
Network infrastructure/equipment is appropriately managed and protected.	Medium
HMRC reporting requirements are being complied with.	Medium
Information held in systems relating to HR are accurate and up to date.	Medium
Invoice certification procedures should confirm that: goods and services have been received; prices have been checked; discounts have been taken and the invoice has not been paid before.	Medium

The authority complies with HMRC CIS scheme.	Medium
The authority exercises powers to ensure safe, high quality standards in the private housing sector.	Medium
Safeguarding training in schools is up to date and a safeguarding lead is in place.	Medium
Suitability of emergency unsupported placements.	Medium
Up to date and accessible procedures available to support the management of children's case files.	Medium
Address patterns of absence and promote regular attendance at school.	Medium
Pathway plans support care leavers in managing the transition from school to higher education, training or employment.	Medium
Effective recruitment and retention of foster carers, including ongoing campaigns promoting the role.	Medium
Advice, access to support and refuge accommodation for victims of domestic abuse.	Medium
Commercial delegated planning applications are considered and determined in line with the local development plan, national planning framework, gives consideration to the provision of green spaces and is dealt with in accordance of the appropriate timescale.	Medium
Prioritised support and provision to tackle fuel poverty and deliver the Affordable Warmth Strategy.	Medium
Monitor delivery of Local Strategic Partnership objectives and key priorities - reword?? Communities Strategy?	Medium
Strategic plans and framework are in place to tackle poverty.	Medium
Commitment to road safety and reducing road casualties.	Medium
Support is provided to new and existing businesses.	Medium
Tackling town centre property vacancies.	Medium
Promotion of the borough and town centres as a great place to invest, trade and visit.	Medium
Delivery of Safer Stockton Partnership objectives and key priorities.	Medium
Trading standards investigations are recorded accurately either as a result of a programmed inspection or in response to a complaint and the results circulated as necessary including general guidance as necessary.	Medium
Appropriate and up to date emergency plans are in place to guide a coordinated response to a major incident.	Medium
Provide effective short-term support to individuals following a discharge from hospital or to prevent hospital admission.	Medium
Information asset registers are in place for each service and are being complied with.	Medium
In-house foster carer details are accurately recorded and updated.	Medium
Information relating to adopters is accurately recorded and up to date.	Medium
Adopter suitability appeals are appropriately managed.	Medium
School admissions appeals are appropriately managed.	Medium
There is a system of performance management in place to establish the effectiveness of HR policies, procedures and initiatives.	Medium
Leisure provision requirements are understood and effectively sourced.	Medium
The programme of trading standards inspections and sample testing is being monitored for completion.	Medium
Monitoring is undertaken to ensure compliance with planning decisions and appeals are handled appropriately.	Medium
Inspections of building work are undertaken to ensure compliance.	Medium
Building control decisions are accurately recorded.	Medium

Where financial assistance has been provided to businesses these are being monitored for compliance.	Medium
Changes in circumstances for council tax support and housing benefit claimants are processed appropriately.	Medium
Exclusions/Pupils at risk of exclusion are reviewed and action taken to address issues.	Medium
Monitoring is undertaken of care packages for continued suitability.	Medium
Payments made for discretionary housing payments are accurate.	Medium
Plans are in place to continue to deliver housing/council tax support during an emergency.	Medium
Staff within HR, Legal & Communications have completed mandatory information governance training.	Medium
Staff within Community Services & Transport have completed mandatory information governance training.	Medium
Staff within Democratic Services, Administration & Licensing have completed mandatory information governance training.	Medium
Staff within the Environment, Culture & Leisure department have completed mandatory information governance training.	Medium
Staff within the Town Centres Development Team have completed mandatory information governance training	Medium
Staff within Finance, Development & Business Services have completed mandatory information governance training.	Medium
Staff within Adults and Health have completed mandatory information governance training.	Medium
Staff within Xentrall have completed mandatory information governance training.	Medium
Staff within Children's Services have completed mandatory information governance training.	Medium
Income Recompense Scheme is appropriately reported and claimed.	Medium
Headcount is being undertaken accurately and steps taken to verify figures for early years contracts.	Low
Payments made to early years providers are accurate	Low
Transport provision is in line with client eligibility criteria.	Low
Procurement of transport routes, goods and services ensures compliance with value for money principles and contract procedure rules.	Low
Payments made to community transport staff are appropriate, accurate and authorised.	Low
Charges for internal and external catering and cleaning provision are raised accurately and promptly, and income due has been received.	Low
The authority has undertaken appropriate consultation and produced an adequate, appropriate and up to date Local Transport Plan.	Low
Procurement by Legal Services is in line with contract procedure rules and value for money principles.	Low
Accurate charging is made in accordance with approved scale of land charges and fees.	Low
Library income is securely held and effectively managed.	Low
Sufficient and trained staff are available to support Elections held.	Low
Records relating to environmental health cases are appropriately recorded and managed.	Low
The Travellers Site is secure and maintained effectively	Low
Remote access to facilities is adequately controlled.	Low
The organisation's establishment is authorised by the managing body.	Low

All variable payments other than overtime (control covered elsewhere) are supported by appropriate paperwork and details are promptly and accurately entered onto the system.	Low
All fixed salary payments comply with policies and are supported by appropriate paperwork and details are promptly and accurately entered into the system.	Low
Financial information is updated in a timely manner and recorded accurately within Business World On!	Low
Standard exception reports are produced for subsequent investigation and clearance.	Low
Secure procedures operate for immediate payments.	Low
Standing orders/financial regulations require the reasons for all sundry debtor write-offs exceeding £x to be reported to committee. Write-offs below this amount may be authorised by a nominated officer when all recovery procedures have been unsuccessful.	Low
A record is kept of all accounts which are not dispatched at the time the accounts are raised. This record indicates why this action was taken, and where appropriate, records the agreement of the budget holder.	Low
Amendments and credits can only occur with the authorisation of the responsible officer for the cost centre whose account was originally credited in error.	Low
Specialist housing facilities managed by the authority meet demand, provide good quality accommodation and meet the needs of vulnerable residents.	Low
Procedures ensure that staff are aware of the process for making a referral to children's social care.	Low
Effective oversight of education provided to children in the home/hospital or other setting outside school.	Low
Financial support provided to adoptive families is paid accurately and timely.	Low
Corporate privacy notices in place.	Low
Response to requests for the removal of needles and syringes within two hours.	Low
Effective performance management systems are in place to monitor levels of take up of leisure and culture activities with remedial action taken as necessary.	Low
Provide a broad selection of accessible leisure and outdoor activities, representing value for money to the public.	Low
Safeguarding of assets and equipment used in the delivery of arts and events.	Low
Waste and recycling targets are achieved.	Low
Registration of births, deaths, marriages and civil partnerships is in line with statutory timescales.	Low
Parks and green spaces are identified, mapped and promoted.	Low
Security and crime prevention measures are in place in relation to parks and green spaces.	Low
Provision of green spaces is a consideration for new housing developments, regeneration schemes etc.	Low
Provision and upkeep of outdoor public seating and street furniture.	Low
National Fraud Initiative matches are promptly reviewed and investigations undertaken as necessary.	Low
Effective marketing and promotion of the Council brand and services.	Low
Records relating to housing and housing related developments are accurate, up to date and appropriately safeguarded.	Low
Employee hard copy files are adequately safeguarded.	Low
Payments to external providers of day care, after school and residential short breaks are accurate and timely.	Low
School admission records are accurate and up-to-date.	Low

There is a process in place for managing appeals and monitoring continued placement on the employee protection register.	Low
Charges for security and surveillance have been set appropriately.	Low
Appeals against civic enforcement actions are managed appropriately.	Low
Information held about pupils in receipt of a free school meal is accurate and update and managed appropriately.	Low
Payments to transport providers are accurate.	Low
Payments are made to waste contractors accurately.	Low
Allocation of Markets pitches is monitored and feedback sought.	Low
Details about market traders are accurate and up to date.	Low
Systems are in place to report/identify potential planning breaches.	Low
There is an appropriate system in place to manage building control appeals.	Low
Fees for building control applications have been set appropriately.	Low
The correct fee is received for planning applications/requests.	Low
Payment of disabled facilities/helping hand grants are accurate.	Low
The outcome of the disabled facility/helping hand grant application has been appropriately recorded.	Low
Monitoring of disabled facility/helping hand grant work is appropriate.	Low
The disabled facilities/helping hand grant budget is appropriately monitored.	Low
Financial assistance to businesses decisions are accurately recorded.	Low
The decisions to allow a personal budget is appropriate.	Low
Financial assessments are reviewed and updated for changes in circumstances.	Low
Payment of personal budgets is accurate and timely.	Low
There is an effective appeals process for transport eligibility decisions.	Low
Community transport information is up to date and accurate.	Low
The correct fee is received for licenses.	Low
Feedback on cases of identified fraud are acted upon appropriately.	Low
Council Tax support/housing benefit overpayments are managed effectively.	Low
Discretionary housing payments are made in accordance with the scheme.	Low
Adequate procedures exist to deliver Council Tax/Benefits/Business Rate services.	Low
Decisions to write-off outstanding council tax and NNDR debts are appropriate and have been appropriately approved.	Low
Decisions to write-off outstanding housing debts is appropriate and all steps taken to recover the amount.	Low
Sundry debts are only written-off when all steps have been taken to recover the amounts and are appropriately authorised.	Low
Effective management of external payments and expenses associated with independent DoLS assessors.	Low
Operate clear and robust insurance claim management and processing uninsured loss recovery.	Very Low
Approved absence has been granted in-line with policy and promptly recorded and correctly authorised.	Very Low
Prompt removal of graffiti from public land and street furniture.	Very Low
Permits/Waivers and Blue Badges are monitored for continued eligibility and an appeal process is in place.	Very Low
Information relating to car parking permits/waivers and Blue Badges is appropriately stored and kept up-to-date.	Very Low
An appropriate fee has been received for building control applications.	Very Low