

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	1	1
	Impact	3	3
	Total	3	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
94%	R	0	1	0	0	0
	A	1	3	0	0	0
	G	2	37	16	8	2
91%	R	1	0	3	0	0
	A	0	2	5	0	1
	G	2	33	37	11	2
95%	R	0	0	0	0	0
	A	0	2	1	1	0
	G	2	12	6	0	0
84%	R	0	0	0	0	0
	A	0	3	0	2	0
	G	0	6	7	3	1
100%	R	0	0	0	0	0
	A	0	0	0	0	0
	G	0	0	2	0	0
100%	R	0	0	0	0	0
	A	0	0	0	0	0
	G	0	1	0	1	0
93%	R	0	0	0	0	0
	A	0	0	5	4	1
	G	0	10	21	15	10
88%	R	0	0	0	1	0
	A	0	0	0	0	0
	G	0	1	0	7	0
96%	R	0	0	1	0	0
	A	0	0	2	0	0
	G	1	2	3	1	0
88%	R	0	0	1	0	0
	A	0	1	3	1	0
	G	1	9	15	1	0
100%	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	0	0	0	0
	G	0	1	2	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 &amp; 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>	<p>16</p>
<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>	<p>8</p>
<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>	<p>12</p>
<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 be an effective partner in providing 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>3</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:		June 2021		to	August 2021		
		Very Low	Low	Medium	High	Very High	Controls Tested:
275	Financially sustainable and value for money	0	3	7	5	0	16
		1	0	0	0	0	
		0	0	0	0	0	
279	Strong leadership and governance	0	10	11	4	1	32
		0	1	2	0	0	
		0	0	3	0	0	
290	Dedicated and resourceful employees	0	2	0	0	0	4
		0	2	0	0	0	
		0	0	0	0	0	
282	Education and skills development	0	0	1	2	1	7
		0	1	0	2	0	
		0	0	0	0	0	
287	A growing economy	0	0	0	0	0	0
		0	0	0	0	0	
		0	0	0	0	0	
288	Job creation and increased employment	0	0	0	1	0	1
		0	0	0	0	0	
		0	0	0	0	0	
278	People are supported and protected from harm	0	3	1	5	5	15
		0	0	1	0	0	
		0	0	0	0	0	
280	People live healthy lives	0	0	0	3	0	5
		0	0	0	0	0	
		0	0	0	1	0	
281	Cohesive and safe communities	0	0	0	0	0	1
		0	0	1	0	0	
		0	0	0	0	0	
284	Great places to live and visit	0	1	4	0	0	6
		0	0	0	1	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	1	0	0	1
		0	0	0	0	0	
		0	0	0	0	0	

## Planning Summary

Planned Work	September 2021	to	November 2021
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ID	Risk	Very Low	Low	Medium	High	Very High	Total Time Required
275	Financially sustainable and value for money	1	17	8	4	4	48.1
279	Strong leadership and governance	0	21	15	7	5	43.95
290	Dedicated and resourceful employees	0	4	1	1	0	4.5
282	Education and skills development	0	2	2	3	1	6.15
287	A growing economy	0	2	1	1	0	2.55
288	Job creation and increased employment	0	1	0	0	0	1
278	People are supported and protected from harm	0	5	17	19	11	56.75
280	People live healthy lives	0	3	0	3	0	6.8
281	Cohesive and safe communities	0	8	3	2	0	11.3
284	Great places to live and visit	0	4	11	0	0	15.5
285	Clean and green spaces	1	1	3	0	0	2.8
286	Rich cultural experiences	0	1	2	0	0	2.6

Quality, Assurance & Improvement Process

Period Covered	June 2021	to	August 2021
Planned Period	September 2021	to	November 2021

Stewardship (Coverage)		
Measure	Target	Performance
Adequate Resources (Planned Period)	15	26
Portfolio Coverage (Period)	55	89
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)	7	12
Up to Date Audit Manual	31/03/2021	*

People		
Measure	Target	Performance
Productivity (Period)	75%	74.0%
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
Education, Health & Care Plans are completed appropriately and in a timely fashion	Very High
Section 17 payments made in respect of children are appropriately managed.	Very High
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
Six monthly performance report to CMT	Very High
Six monthly performance reports to Cabinet and Executive Scrutiny.	Very High
Update and report the strategic corporate risk register.	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
Where the Authority has Deputyship/Appointeeship, appropriate authorisation/legal documentation is in place	Very High
The Supporting Families programme is managed effectively.	Very High
Council's Delivery Framework is working effectively.	Very High
Accurate and up to date MTFP projections for future years	Very High
An appropriate ICT system(s) is in place to manage and safeguard children's social care/education information held.	Very High
Children have been matched with appropriate adopters	Very High
For Youth Employment Initiative (YEI) grants financial audits have been undertaken.	Very High
Youth Employment Initiative (YEI) outcomes are accurately recorded on the return to HBC	Very High
Appointment of suitable of in-house foster carers.	High
Appropriate arrangements are in place to assess the suitability of adopters	High
In-House carers receive appropriate training.	High
Education, Health & Care Plans are appropriately monitored	High
Staff assessing children's cases have the relevant qualifications and clearances.	High
Business continuity arrangements are in place to continue to deal with referrals.	High
Clear acquisition, disposal and re-valuation process for land and buildings.	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
Early help and support provided by welfare support service	High
Client risk assessments are undertaken and appropriate arrangements in place for the provision of Passenger Transport (social care and education) service usage.	High
Planning and provision of school meals promotes healthy, nutritious eating in compliance with the School Food Standards.	High
Community engagement and communication to highlight and reduce environmental crime.	High



Business continuity arrangements are in place in order to continue to receive adult referrals and undertake assessments.	High
Referral and Assessment Procedures (Adults) are comprehensive and up to date.	High
Appropriate reporting mechanisms are in place in respect of safeguarding activities and outcomes.	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
Posts requiring a DBS check are identified and requirements are in line with legislation.	High
Venues for events are appropriate.	High
Adequate health & safety measures/risk assessments are in place/undertaken at individual adults establishments.	High
Arrangements are in place to ensure Day Services, Residential and Supported Living service provision continues if there was a loss of staff or premises.	High
All care packages are receiving appropriate approval, and include all relevant information.	High
Formal signed agreements in place between LA/CCG in accordance with relevant guidance	High
Appropriate arrangements are in place to continue managing clients finances in the event of disruption.	High
Residential 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 within the appropriate timescale.	High
Disposals of ICT equipment are undertaken in an appropriate manner in line with an adequate and appropriate official disposal policy.	High
Progress towards the ICT strategy goals is monitored and reported on.	High
Appropriate formal documented ICT project management standards/policies have been established.	High
Anti-virus controls are in place for relevant elements of the ICT infrastructure including servers and individual machines.	High
An appropriate infrastructure is in place to facilitate the organisation's firewalls.	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
The computer system calculates all payments correctly.	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
Economic Growth Strategy and Economic Growth Plan is monitored and milestones achieved.	High
Monitor re-offending rates and target resources towards young people at risk of re-offending.	High
Effective commissioning and procurement of public health services and programmes.	High
Achievement of completion rate targets for mandatory on-line information governance training.	High
Breakdowns in placements 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
Regular bank reconciliations are undertaken and are up to date with minimal amounts in suspense.	High
A child in care's story is documented	Medium
Arrangements are in place to manage the breakdown of a placement	Medium
Hard copy information held in Children's Residential Homes is appropriately safeguarded.	Medium
Procedures for managing referrals (Adult's) and undertaking initial assessments are comprehensive and up to date.	Medium
Clear contract procedure rules	Medium
Delivery of tender management plan.	Medium
Ensure accurate in-year financial monitoring	Medium
Financial appraisal completed as part of business case/options appraisal	Medium
Development of an appropriate risk assessed H&S audit programme.	Medium
Delivery of an effective Internal Audit Service in compliance with Accounts & Audit Regulations.	Medium
Prepare annual governance statement	Medium

Ensure specifications are clear and include all requirements for safe care	Medium
Crisis and emergency/settlement support	Medium
Council employed drivers and passenger assistants hold the necessary clearances, licences, qualifications and training.	Medium
Contractors & sub-contractors involved in the provision of passenger transport hold the necessary clearances, licences, qualifications and insurance.	Medium
Catering and cleaning staff have been subject to appropriate disclosure checks.	Medium
Civic enforcement decisions are consistent, fair, proportionate and necessary; in line with legislation.	Medium
Ensure the health and safety of enforcement officers.	Medium
Telecare staff hold appropriate qualifications and DBS clearances, and receive regular training.	Medium
Highway inspections are undertaken in accordance with an appropriate specified programme.	Medium
Car Parking Strategy in place which is up to date and considers resident, disabled and general parking requirements.	Medium
The authority is committed to reducing it's carbon footprint and supporting residents and businesses to reduce theirs.	Medium
Disabled Facilities Grants/Helping Hands recipients meet grant eligibility criteria, payments and contributions are correct.	Medium
The authority has an adequate, appropriate and up to date Empty Homes Strategy in place.	Medium
Targeted Action Plans in place for Central Stockton and North Thornaby are appropriately controlled.	Medium
Adult Social Care staff are aware of Health & Safety requirements and have received appropriate H & S training.	Medium
Where legal charges have been placed on a service user's property, appropriate deferred payment/legal documentation is in place	Medium
The Council maintains an accurate and up to date land charges register.	Medium
Arts Council funding is used appropriately and conditions complied with.	Medium
Adequate emergency response plans are in place for events and venues.	Medium
Maintain an accurate and up to date electoral register, which conforms to Electoral Commission requirements.	Medium
Adequate performance information is maintained and is appropriately utilised within the Highways Department.	Medium
Appropriate measures are in place to identify, record and investigate significant flooding incidents.	Medium
Landlord Accreditation Scheme membership is subject to an effective review and renewal process.	Medium
An appropriate current documented and approved ICT strategy is in place.	Medium
Appropriate formal agreements are in place with any external parties involved in the management and operation of the networks.	Medium
Appropriate access controls are in place to secure the virtualised environment.	Medium
The authority complies with HMRC CIS scheme.	Medium
Invoices give details of what the debts relate to, the goods and services provided and dates of provision, and are coded to the correct service.	Medium
Pension deductions are taken each month from employee's pay at the appropriate rate.	Medium
The total contributions collected from both the employee and the employer are paid to the relevant pension fund in full.	Medium
The authority exercises powers to ensure safe, high quality standards in the private housing sector.	Medium
DBS check renewals are undertaken for Adults and Health staff	Medium
Suitability of emergency unsupported placements.	Medium
Pupil premium funding is used effectively.	Medium
Strategic plans and framework are in place to tackle poverty.	Medium
Tackling town centre property vacancies	Medium
Delivery of Safer Stockton Partnership objectives and key priorities.	Medium
An accurate and complete register of licences issued is maintained.	Medium
Licence applications are subject to appropriate review and approval, evidence of background and eligibility.	Medium
Appropriate and up to date emergency plans are in place to guide a coordinated response to a major incident.	Medium
Cemeteries and memorials are well maintained and health and safety risks managed.	Medium
Crematorium inspection and monitoring to reduce the impact of emissions.	Medium
There is a register of land owned and a sustainable grounds maintenance/landscaping programme in place.	Medium
A Gypsy Traveller Accommodation Assessment (GTAA) is undertaken to identify pitch requirements.	Medium

Compliance with the Health and Social Care Information Centre (HSCIC) Information Governance Toolkit	Medium
Up to date and accessible procedures available to support the management of Adult Social Care users files.	Medium
Exclusions/Pupils at risk of exclusion are reviewed and action taken to address issues.	Medium
Any payments agreed as part of the Pathway Plan have been paid correctly.	Medium
Accurate and up to date information is recorded for adoption cases.	Medium
Income Recompense Scheme is appropriately reported and claimed.	Medium
Treasury Management Strategy and its implementation in relation to borrowing meets the Prudential Code and Treasury Management Code of Practice.	Medium
Robust authorisation processes are in place for the payment of creditors.	Medium
Cash in Children's Services is appropriately safeguarded and reconciled.	Low
Annual maintenance plans are in place for all buildings	Low
Delivery of contract management plans	Low
Operate Stockton Collections arrangements and bad debt arrangements in compliance with relevant legislation.	Low
Co-ordinate complaints process	Low
Deliver health & safety training programme and provide advice and guidance materials.	Low
Manage the contract with SDAIS for advice	Low
Strategies are in place to monitor and manage the demand for school meals in the short, medium and long term.	Low
Charges for internal and external catering and cleaning provision are raised accurately and promptly, and income due has been received.	Low
Assets and equipment owned by the catering and cleaning service are effectively maintained.	Low
Operational procedures are in place and available to catering and cleaning staff.	Low
Charges for internal and external security and surveillance services are raised accurately and promptly, and all income due has been received.	Low
Accurate charging and effective income management in relation to civic enforcement activity.	Low
Appropriate measures are in place within the vehicle workshop environment to ensure the health and safety of council employees and the public.	Low
The authority has an adequate, appropriate and up to date Homeless Reduction and Prevention Strategy in place.	Low
The range of physical disability & sensory impairment equipment available is sufficient to meet service user need	Low
Environmental Health cases are appropriately allocated to officers.	Low
Environmental Health income is managed appropriately and all income due to the service is collected.	Low
Payments made to providers of employee benefit schemes are accurate.	Low
Payments to external leisure providers are effectively managed.	Low
Members induction and training sufficiently meets requirements.	Low
Maintain an up to date and accurate register of officers and Members business interests.	Low
Maintain accurate and up to date gifts and hospitality register.	Low
Officers and Members and aware of appropriate conduct in relation to gifts and hospitality.	Low
Council meeting agendas and supporting documentation are available to support decision making.	Low
Environmental Health inspectors have the appropriate qualifications.	Low
Appropriate controls and system are in place to ensure all car parking income is accounted for in the authority's accounts.	Low
Financial assistance provided to businesses is subject to appropriate appraisal and approval.	Low
An adequate and appropriate software asset and license register/inventory is maintained.	Low
Sufficient appropriate policing/auditing of software installation/use and licensing compliance is undertaken.	Low
All overtime payments are supported by appropriate paperwork and details are promptly and accurately entered onto the system	Low
Payments to carers are accurate, appropriate and timely.	Low
Implementation of action plans that promote access to targeted resources, increase access to education, training and employment.	Low
Continuity of care workers for children and their families is a priority.	Low
Effective administration and management of community centres.	Low

Effective administration and management of children's centres.	Low
Effective community engagement and consultation.	Low
Local economic assessment provides an economic baseline to inform decision making.	Low
Effective administration and management of business premises and specialist start-up business space.	Low
Appropriate allocation of town centre market pitches.	Low
Monitor trends in crime and anti-social behaviour and respond to emerging issues.	Low
Effective management and delivery of CCTV strategy.	Low
Response to requests for the removal of needles and syringes within two hours.	Low
Safeguarding of assets and equipment used in the delivery of arts and events.	Low
Waste and recycling targets are achieved.	Low
Effective management of trade waste contracts and collection of income.	Low
Effective procurement of waste and recycling contracts.	Low
Demand for burial space is monitored and plans are in place to meet current and future requirements.	Low
Statutory records in relation to registrations and burials are accurate and complete.	Low
Compliance with General Register Officer (GRO) statistical reporting requirements.	Low
Parks and green spaces are identified, mapped and promoted.	Low
Provision and upkeep of outdoor public seating and street furniture.	Low
National Fraud Initiative (NFI) matches in relation to COVID related business grants are promptly reviewed and investigations undertaken as necessary.	Low
Effective marketing and promotion of the Council brand and services.	Low
Effective working relationships with staff forums and other employee groups such as unions.	Low
School admissions records are accurate and up-to-date.	Low
Payments made to external training providers are accurate.	Low
Civic enforcement actions are appropriately and accurately recorded.	Low
Appeals against civic enforcement actions are managed appropriately.	Low
Payments for catering supplies are accurate and in accordance with the contract.	Low
H&S audit work is recorded appropriately	Low
Decisions to award discounts for Council Tax or Rate Relief for NNDR are appropriate	Low
Discounts/Rate Relief is monitored for continued eligibility and there is an appropriate appeals process in place.	Low
The decisions to allow a personal budget is appropriate.	Low
Decisions to write-off outstanding housing debts is appropriate and all steps taken to recover the amount.	Low
National Fraud Initiative (NFI) matches in relation to Blue Badge permits are promptly reviewed and investigations undertaken as necessary.	Low
National Fraud Initiative (NFI) matches in relation to Concessionary Travel passes are promptly reviewed and investigations undertaken as necessary.	Low
National Fraud Initiative (NFI) matches in relation to trade creditors are promptly reviewed and investigations undertaken as necessary.	Low
National Fraud Initiative (NFI) matches in relation to Council Tax Reduction Scheme are promptly reviewed and investigations undertaken as necessary.	Low
National Fraud Initiative (NFI) matches in relation to Council Tax Single Person Discount are promptly reviewed and investigations undertaken as necessary.	Low
National Fraud Initiative (NFI) matches in relation to procurement are promptly reviewed and investigations undertaken as necessary.	Low
National Fraud Initiative (NFI) matches in relation to payroll are promptly reviewed and investigations undertaken as necessary.	Low
Ticket sales and admission charges for museums are recorded and income received in full.	Low
Prompt removal of graffiti from public land and street furniture.	Very Low
Receipt of appropriate fees prior to release of lost animals to their owner.	Very Low

Plan Period	Months	44440	44530
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Auditor	Av Days	Hols		Avail	Test	Mon	Bal
Andrew Ja	5.0		65	65.0	0.0	0.0	65.0
David Stoc	5.0		65	65.0	0.0	0.0	65.0
Andrew Ba	3.0		65	39.0	0.0	0.0	39.0
Lindsay Pa	3.0		65	39.0	0.0	0.0	39.0
Nicola Coo	3.0		65	39.0	0.0	0.0	39.0
Paul Robin	5.0		65	65.0	0.0	0.0	65.0
Joanne Stc	5.0		65	65.0	0.0	0.0	65.0
Stephanie	5.0		65	65.0	0.0	0.0	65.0

SBC					187.5	15	
DBC					200.5	13	
				442	388	28	26