

The Local Authorities and Police and Crime Panels (Coronavirus) (Flexibility of Local Authority and Police and Crime Panel Meetings) (England and Wales) Regulations 2020) came into force on Saturday 4 April 2020 to enable councils to hold remote committee meetings during the Covid 19 pandemic period. This is to ensure local authorities can conduct business during this current public health emergency.

This meeting of Audit Committee will be held remotely under these regulations, via the Zoom application and will be webcast to ensure accessibility by the public and press.

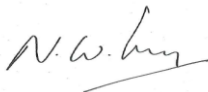
Please ask for:  
Jonah Anthony

12 January 2021

Dear Councillor

You are requested to attend a meeting of the WELWYN HATFIELD BOROUGH COUNCIL AUDIT COMMITTEE to be held on Wednesday 20 January 2021 at 7.30 pm on Zoom.

Yours faithfully



Corporate Director  
Public Protection, Planning and Governance

**AGENDA**  
**PART 1**

1. **SUBSTITUTION OF MEMBERS**

To note any substitution of Committee members made in accordance with Council Procedure Rules.

2. **APOLOGIES**

3. **MINUTES**

To confirm as a correct record the Minutes of the meeting held on Monday 28 September 2020 (previously circulated).

4. NOTIFICATION OF URGENT BUSINESS TO BE CONSIDERED UNDER ITEM 9

5. DECLARATIONS OF INTERESTS BY MEMBERS

To note declarations of Members' disclosable pecuniary interests, non-disclosable pecuniary interests and non-pecuniary interests in respect of items on this agenda.

6. PUBLIC QUESTION TIME AND PETITIONS

Up to thirty minutes will be available for questions from members of the public on issues relating to the work of the Committee and to receive any petitions.

7. RISK MANAGEMENT (Pages 5 - 20)

Report of the Corporate Director (Public Protection, Planning and Governance), which brings to Members' attention the current strategic and top operational risks facing the Council, as determined by Corporate Management Team and Heads of Service. These risks have been reviewed at the performance clinic in November 2020 and reflect the assessments in place for the quarter October 2020 to January 2021.

8. SHARED INTERNAL AUDIT SERVICE - PROGRESS REPORT (Pages 21 - 36)

Report of the Shared Internal Audit Service which provides an update on the progress in delivering the Annual Audit Plan for 2020-21 as at 8 January 2021.

9. SUCH OTHER BUSINESS AS, IN THE OPINION OF THE CHAIR, IS OF SUFFICIENT URGENCY TO WARRANT IMMEDIATE CONSIDERATION

10. EXCLUSION OF PRESS AND PUBLIC

The Committee is asked to resolve:

That under Section 100(A) (2) and (4) of the Local Government Act 1972, the press and public be now excluded from the meeting for item 12 (if any) on the grounds that it involves the likely disclosure of confidential or exempt information as defined in Section 100A (3) and Part I of Schedule 12A of the said Act as amended.

In resolving to exclude the public in respect of the exempt information, it is considered that the public interest in maintaining the exemption outweighs the public interest in disclosing the information.

**PART II**

11. ANY OTHER BUSINESS OF AN EXEMPT NATURE AT THE DISCRETION OF THE CHAIR

Circulation: Councillors G.Michaelides (Chairman) L.Chesterman  
S.Markiewicz (Vice-Chairman) F.Marsh  
M.Birleson J.Skoczylas  
J.Boulton

Corporate Management Team  
Press and Public (except Part II Items)

**If you require any further information about this Agenda please contact Jonah Anthony, Principal Governance Officer at [democracy@welhat.gov.uk](mailto:democracy@welhat.gov.uk)**

This page is intentionally left blank

**WELWYN HATFIELD BOROUGH COUNCIL**  
**AUDIT COMMITTEE – JANUARY 2021**  
**REPORT OF THE CORPORATE DIRECTOR (PUBLIC PROTECTION, PLANNING AND GOVERNANCE)**

**RISK MANAGEMENT**

**1 Executive Summary**

1.1 This report brings to Members’ attention the current strategic risks facing the Council, as determined by Corporate Management Team. These risks have been reviewed at the performance clinic in November 2020 and reflect the assessments in place for the quarter October 2020 to January 2021. These risks have been checked subsequent to the performance clinic to ensure that risk commentaries are up to date and Members have the latest possible information. The strategic risks and top operational risks have also been available on the Member Information Hub to facilitate scrutiny.

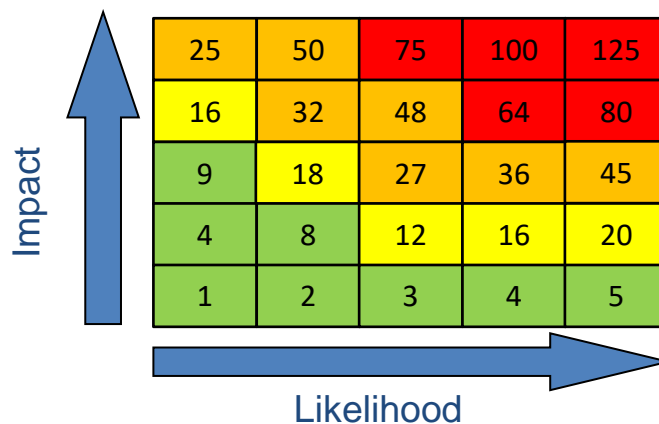
**2 Recommendation**

2.1 Members are asked to:

- Note the attached current Strategic Risk Register;
- Note comments in respect of each risk where shown.

**3 Explanation**

3.1 Appendix A shows the strategic risk register. Each strategic risk has ownership by a Corporate Director and an Executive Member. The risk scoring table is as follows and shows the new impact<sup>2</sup> x likelihood methodology:



3.2 In October 2020 a revised reporting mechanism was agreed for risks. The existing procedure could lead to a significant delaying reporting risks through CMT, Cabinet and ultimately to Audit Committee. The new procedure improves the efficiency of the procedure by making use of the Member Information Hub at an early stage to enable scrutiny by

Members, then a review of risks before they go to Audit Committee. This will compress the timescale significantly, improve scrutiny, and also ensure that Members of Audit Committee receive more recently updated risk information, which will support them in their oversight role of internal controls and risk management as ‘those charged with governance’.

#### **4 Legal Implications**

- 4.1 The Accounts and Audit Regulations 2015 require that “[a] relevant authority must ensure that it has a sound system of internal control which [among other matters] includes effective arrangements for the management of risk.”

#### **5 Financial Implications**

- 5.1 There are none directly arising from this report, though of course any risk event may have its own financial consequences.

#### **6 Risk Management Implications**

- 6.1 Failing to maintain adequate and effective arrangements for the management of risk may lead to risk events not being foreseen, an inadequate response to a risk event occurring and a failure to exploit opportunities.

#### **7 Security and Terrorism Implications**

- 7.1 None.

#### **8 Procurement Implications**

- 8.1 None.

#### **9 Climate Change Implications**

- 9.1 None.

#### **10 Human Resources Implication(s)**

- 10.1 None.

#### **11 Health and Wellbeing Implications**

- 10.1 None.

#### **12 Communication and Engagement Implications**

- 12.1 None.

#### **13 Link to Corporate Priorities**

- 13.1 The subject of this report supports all council priorities in that the effective management of risk is essential to the achievement of objectives.

#### **14 Equality and Diversity**

- 14.1 An Equality Impact Assessment (EIA) has not been carried out in connection with the proposals that are set out in this report as it relates purely to monitoring information.

**Name of Author:** Andy Cremer

**Title:** Risk and Resilience Manager

**Date:** September 2020

Appendices:

Appendix A – Strategic Risk Register

Appendix B – Operational Risk Register

This page is intentionally left blank





# Risk Report

Description of Risk	Risk Manager	Controls	Current Score	Comment: We continue to work towards completing this work, which has suffered delays due to the Covid Pandemic.					
<p>Strategic - Community Consultation and Engagement Description: Failure to properly consult customers in line with legislative and regulatory requirements (as appropriate to relevant service areas). Failure to involve communities when planning services. Consequences: Intervention by regulatory bodies, Legal - challenge, Reputational damage, Additional costs, Inadequate service shaping</p>	Simone Chinman Russell	Alliance Strategy  Borough Panel  Community Partnership Team engagement events  Corporate Strategy - Tenant Involvement Strategy (Housing)  New Corporate Community and Stakeholder Engagement Strategy  Policy and Procedure Framework  Tenants' Panel	<p style="text-align: center;"><b>32</b></p> <p style="text-align: center;"><b>Indicator</b></p> <table border="1" style="width: 100%;"> <tr> <td style="text-align: center;">Probability</td> <td style="text-align: center;">Impact</td> </tr> <tr> <td style="text-align: center;">2</td> <td style="text-align: center;">4</td> </tr> </table>	Probability	Impact	2	4		
Probability	Impact								
2	4								
<p>Strategic - Management of Council Owned Housing Property Assets Description: Failure to provide and maintain council housing property assets and services. Taking opportunities to invest in assets. Consequences: Increased homelessness, Community impact, Economic development, Unsafe assets, P&amp;S - Injuries and ill health, Intervention by regulatory bodies, Customer dissatisfaction, Reputational damage, Additional costs, Financial Implications</p>	Simone Chinman Russell	Asbestos Management  Electrical safety  Fire Risk Assessment  H and S - Organisation And responsibilities  LGSR compliance  Planned works delivery  Policy and Procedure Framework	<p style="text-align: center;"><b>32</b></p> <p style="text-align: center;"><b>Indicator</b></p> <table border="1" style="width: 100%;"> <tr> <td style="text-align: center;">Probability</td> <td style="text-align: center;">Impact</td> </tr> <tr> <td style="text-align: center;">2</td> <td style="text-align: center;">4</td> </tr> </table>	Probability	Impact	2	4	Comment: Property Services continues with its programme of stock condition assessments. In addition the team ensures that new additions to the housing stock are fully assessed upon handover and brought up to the required standard, before being let.	
Probability	Impact								
2	4								
<p>Strategic - Safeguarding Description: Failure to meet obligations in respect of children and adults at risk from abuse. Consequences: Undetected Abuse, Legal - Litigation, Reputational damage, Risk to residents wellbeing</p>	Simone Chinman Russell	Mandatory safeguarding training programme  Reporting pathways communicated and updated  Safeguarding Action Plan  Safeguarding Policies	<p style="text-align: center;"><b>32</b></p> <p style="text-align: center;"><b>Indicator</b></p> <table border="1" style="width: 100%;"> <tr> <td style="text-align: center;">Probability</td> <td style="text-align: center;">Impact</td> </tr> <tr> <td style="text-align: center;">2</td> <td style="text-align: center;">4</td> </tr> </table>	Probability	Impact	2	4	Comment: The council's Safeguarding group continues to oversee the effective implementation of our safeguarding procedures. In particular the group has ensured that the impacts of Covid have been addressed, through joined up working with the LRF in terms of protecting vulnerable households.	
Probability	Impact								
2	4								

Description of Risk	Risk Manager	Controls
Strategic - Change Management Description: A new oneteam culture and set of behaviours have been rolled out across the council and are now being embedded to support our modernisation and improvement journey. This risk addresses the consequences of any failure to robustly manage change. Consequences: Inadequate service shaping, Additional costs, Reputational damage	Ka Ng	Appraisal and one to one process Chief Executive Briefings Close Working Relationship with HR Communication HR - Employee Forum HR - Meetings with Trades Unions HR - Reporting to ROSC LGA Membership Peer Challenge Staff Use of consultants

<b>Current Score</b>	
32	
<b>Indicator</b>	
<b>Probability</b>	<b>Impact</b>
2	4

Comment: The modernisation programme has been progressing well, despite the challenges that have been brought out by COVID. Staff have been involved throughout the modernisation reviews and that some key improvements to services and significant financial savings have been included in the 2021/22 budget. Modernisation Board has been meeting every fortnight and wider staff communications have been planned in the coming weeks to inform them the next set of reviews.

Description of Risk	Risk Manager	Controls
Strategic - Staff/Workforce Description: Failure to recruit or retain staff with key skills. Lack of resources due to high levels of sickness, turnover or industrial action. Failure to develop and train existing staff. Breach of legislation or failure to follow our HR policies. Consequences: Legal - Litigation, HR - High Staff Turnover, Low morale, Additional costs	Nick Long	Appraisal and one to one process Apprenticeship Scheme Corporate Governance - Management Assurance Statement Departmental Training Plans Flexible Working Green Travel Plan Health and Wellbeing Programme HR - Agency Staff Policy HR - Disciplinary and Grievance Policy HR - Employee Forum HR - Meetings with Trades Unions HR - Recruitment and Selection Process HR - Reporting to ROSC HR - Sickness Absence Policy HR - Workforce Development Strategy HR Policies (overall framework) Training and Awareness of HR Staff

<b>Current Score</b>	
48	
<b>Indicator</b>	
<b>Probability</b>	<b>Impact</b>
3	4

Comment: Staff continue to work remotely. Although remote working offers the potential to recruit from a wider geographical pool recruitment for certain key disciplines (for example Planning, Finance, Environmental Health, Estates) still remains a challenge. This is because the pool of talent is nationally very small and there is a high demand for these staff. Whilst additional external funding for some posts (eg. EHO) is very welcome it has sadly not been possible to recruit to all of these posts. We are utilising furloughed staff where possible and are trying to reduce our reliance on costly agency staff in order to minimise impacts on the budget. Our training has been scaled back but we have looked to deliver critical training in appropriate social distanced ways. We continue to monitor the significant potential impacts from the pandemic. Following on from the peer review, the action plan and direction of travel have been agreed; we are continuing the work on developing the corporate workforce development strategy, which will take account of learning from the pandemic. In the current pandemic climate we have reviewed and adjusted all of our recruitment methods to accommodate social distancing requirements. We are also mindful of the need to understand existing work force skills and the potential for redeployment of staff in response to the pandemic. We have commenced the modernisation review for HR which will incorporate learning from the pandemic.

Description of Risk	Risk Manager	Controls
Strategic - Prevent Description: Not properly implementing the government's 'Prevent' agenda to address the risks of radicalisation. Consequences: Reputational damage, Undetected Abuse, Prevent Delayed referral to Channel, Prevent - lack of staff awareness, Poor partnership working	Nick Long	Prevent - Channel Prevent - Lease and Hire Agreements Prevent - Nominated Lead Officer for Prevent Prevent - Security and Terrorism implications in report template Prevent - Venue Guidance Prevent - WRAP workshops Prevent matters discussed at Safeguarding meetings. Representation at County Prevent Board

<b>Current Score</b>	
32	
<b>Indicator</b>	
Probability	Impact
2	4

Comment: To support the county wide 're-boot' of Prevent, the County's Prevent Programme Manager joined CMT to deliver an update presentation on 6th January 2021. This set out our Prevent duties and the actions taken or proposed to meet these, or to enhance our arrangements. The Organisational Prevent Delivery Plan has been submitted for review and once comments are received and addressed, this will be submitted to CMT. The county wide Prevent E-Learning session is also being piloted with a view to corporate roll out.

Description of Risk	Risk Manager	Controls
Strategic - Corporate Resilience Description: Failure to meet the requirements of the Civil Contingencies Act 2004, including the material failure or inadequacy of plans Failure to respond appropriately to a civil emergency or business continuity incident, including the duty of care to the community. Consequences: Community impact, Economic development, Unsafe assets, Customer dissatisfaction, Reputational damage, Poor partnership working, Intervention regulatory bodies	Nick Long	Resilience - Business Continuity Management Process Resilience - Care of People Plan Resilience - Crisis Support Team Resilience - Extended Floodline Resilience - Local Resilience Forum Resilience - Resilient Telecommunications Resilience - Training and Exercising Resilience - WHBC Emergency Plan

<b>Current Score</b>	
25	
<b>Indicator</b>	
Probability	Impact
1	5

Comment: The council remains a key member of the local resilience forum and the Corporate Director (Public Protection, Planning and Governance) represents the 10 district and borough councils on the strategic coordinating group that has been set up to respond to the current Covid-19 pandemic. Other officers are also involved in various LRF sub-groups and cells set up as part of this response, as well as representing WHBC on groups set up as part of the recent EU transition work. Routine plan reviews have slipped but they remain fit for purpose. There will be a huge amount of learning as we recover from the pandemic, and our plans will be fully and thoroughly reviewed as part of this, and will incorporate changes in working practices that have been implemented, for example use of Microsoft Teams and remote working. The recent fire in Hatfield required plans to be activated. The response by WHBC went very well and gives assurance that our current emergency plan and reception centre plan function as they should.

Description of Risk	Risk Manager	Controls
Strategic - Health and Safety Description: Failure to maintain an adequate and effective safety management system within the Council, including structures, processes, control measures and allocation of responsibilities and ensuring competence of employees, contractors and service providers. Consequences: H&S - Injuries and ill health, Lost productivity, Sickness absence, Legal - Litigation, Intervention by regulatory bodies, Reputational damage	Nick Long	H&S - Collective Responsibility of Executive Board H&S - Corporate Health and Safety Policy H&S - Inspection and auditing H&S - Map of the extent of the undertaking H&S - Periodic Inspection of plant and equipment. H&S - Risk and Resilience Team H&S - Risk Assessment Policy H&S - Safety Director Role H&S - Staff Induction and Training

<b>Current Score</b>	
25	
<b>Indicator</b>	
Probability	Impact
1	5

Comment: A prime focus of our health and safety work remains Covid-19, including regular workplace audits. Covid secure ways of working have now become normalised and the volume of queries relating to risk assessments and working methods has stabilised, though work volumes remain high. There is now some capacity to address more business as usual work, such as policy reviews. There are still some large pieces of work, for example safety of the elections, which will require a significant resource implication and which may impact on other priorities. The work of the Risk and Resilience Team has extended into each service area and has supported the delivery of services in a covid secure manner.

Description of Risk	Risk Manager	Controls
Strategic - Local Plan Description: Risk that Local Plan will be found unsound. Inspector has asked Council to find at least 4,000 more homes in plan period. Consequences: Economic development, Financial - affects on receipts, Economic - inward investment, Economic - local infrastructure, Economic - new facilities, Environment - hostile developments, Economic - loss of funding, Reputational damage	Nick Long	Planning - Committees
		Planning - Consultation
		Planning - Evidence
		Planning - Project Plan
		Planning - Section 106 and CIL

<b>Current Score</b>	
75	
<b>Indicator</b>	
<b>Probability</b>	<b>Impact</b>
3	5

Comment: In late 2020, Cabinet agreed OAN of 13,800 and Full Council agreed submission of additional sites adding to total of 13,277, plus aspiration for safeguarded land for 700 homes at PB1. The Inspector is considering this information, but appears minded to host hearing sessions on the OAN and village sites in February and March 2021. Dates are currently being agreed to take account of purdah and local elections. This reduces the immediate risk that the Local Plan will be found unsound. The Government has scrapped the proposed new standard method that would have reduced the borough requirement to 667 homes per year, and defaulted to the current standard method which equates to 875 homes per year, which further increases the risk of not proceeding with hearing sessions in whatever guise the Inspector is minded.

Description of Risk	Risk Manager	Controls
Strategic - Finance Description: Plans for meeting the growing budget gap are not delivered on time to ensure continued sufficient resources to pay for services. Consequences: Finance - Depletion of reserves, Reputational damage, Service delivery - loss/reduction, Financial - affects on receipts, Service delivery -can't meet demand	Ka Ng	Finance - Annual Governance Statement
		Finance - budget challenge process
		Finance - budget preparation process
		Finance - budgetary control by managers
		Finance - capital programme
		Finance - external audit
		Finance - Finance Procedure Rules
		Finance - Financial Information System (Agresso)
		Finance - HRA Business Plan
		Finance - internal audit
		Finance - Medium Term Financial Plan
		Finance - Treasury Management Policy
		Finance - use and control of reserves and balances
		Property - Asset Management Plan

<b>Current Score</b>	
75	
<b>Indicator</b>	
<b>Probability</b>	<b>Impact</b>
3	5

Comment: There is a continuing challenge to meet the medium targets, but we have a large number of robust controls and processes in place in order for us to meet the savings requirements. The Government announced a one year settlement for 2020/21, which provided certainty in the short term, but there continue to be a number of uncertainties beyond this, as many of the government funding streams are under review and the Council looks to meet its challenging savings targets. The provisional settlement was announced on 17 December, and has been incorporated into the budget proposals which were finalised in quarter 3. The budget will be presented to Cabinet on 5 January 2021 with a small draw down from balances and an updated medium term financial strategy. There continues to be significant uncertainties in relation to the ongoing impact of the covid-19 pandemic, and future government funding. Based on current assumptions the budget gap stands at £2.2m by 2023/24, after a draw down from reserves to support collection fund deficits associated with the pandemic. The medium term strategy sets out the main strategies that are in place to meet savings targets and deliver a balanced budget in future years.

Description of Risk	Risk Manager	Controls
Strategic - Communications Description: Failure to engage effectively with our communities, communicate the council's priorities, actively manage the council's reputation and/or communicate effectively across multiple platforms. Consequences: Reputational damage, Loss of trust, Comms - inability to manage message	Ka Ng	Comms - communication plan
		Comms - Communications Team
		Comms - Corporate Communications Strategy
		Comms - media monitoring
		Comms - media trained staff and Members
		Comms - surveys
		LGA Peer Challenge
Social Media Policy		

<b>Current Score</b>	
32	
<b>Indicator</b>	
<b>Probability</b>	<b>Impact</b>
2	4

Comment: Corporate communications continue to be managed remotely due to COVID-19. There has been an increased use of ONE Welwyn Hatfield and social media has been vital in ensuring core messages and information gets out to our local communities and we are increasingly linking with county level partners on this. Press and media enquiries have continued to be responded to in a timely manner. TeamTalk and support for major projects and initiative also continue. Regular updates are also provided to all officers and members on all key matters related to COVID-19.

Description of Risk	Risk Manager	Controls
Strategic - ICT Failure Description: Critical failure of ICT services, for example due to virus attack or ransomware virus attacks. These target computers running Microsoft Windows. Consequences: ICT - loss of service	Ka Ng	ICT - database updates
		ICT - Disaster Recovery Plan
		ICT - ICT Strategy
		ICT - infrastructure review
		ICT - malware detection
		ICT - PSN Compliance Testing
		ICT - Temporary PSTN connection

<b>Current Score</b>	
75	
<b>Indicator</b>	
Probability	Impact
3	5

Comment: There is a continual battle against attacks, but we have a large number of robust controls, systems and processes in place in order for us to be as protected as reasonably possible, and risk is significantly reduced because of this. During quarter 3 the team: -arranged additional cyber security training via webinar which was well attended - completed the regular penetration testing of the network and of new systems -registered with the national cyber security centre for early warning notifications -reviewed and followed LGA advice following a cyber incident at another local authority The COVID19 pandemic increased the need for new ways of working, including increased remote working, and with this comes increased risks. These risks are being proactively reviewed and managed, with management regularly discussing these updates with the team.

Description of Risk	Risk Manager	Controls
Strategic - Data Protection Description: TheGeneral Data Protection Regulations (GDPR) replaced the previous Data Protection Act from May 18. It contains onerous obligations that had an immediate impact. As we handle people's data we are responsible for keeping it safe. Consequences: Legal - Litigation, Intervention by regulatory bodies, Reputational damage, Legal - challenge, Additional costs	Ka Ng	Governance - Data Protection Policies
		ICT - data encryption
		Internal Auditing
		Procurement considerations - Data Protection in Contracts

<b>Current Score</b>	
32	
<b>Indicator</b>	
Probability	Impact
2	4

Comment: GDPR remains a high priority for the Council, and work continues to ensure the Council remains GDPR compliant. However, as GDPR has been in place now for over 2 years, project type work (such as production of policies and procedures) has reduced, and the focus is on improving and enhancing awareness and procedures. Subject Access Requests have been increasing, and this work is currently being supported by a fixed term apprentice. During quarter three, the following items are specific areas of work to highlight: - The team continued review of the councils Information Asset Register; - The data retention guidelines were reviewed and approved; and - Additional work was undertaken on data arrangements for the end of the EU transition period. There are additional demands which need responding to quickly in order to adequately respond in a timely way to the covid-19 pandemic. This includes reviewing data sharing agreements, and understanding the legal basis for data already held by the Council to support the wider public good and delivery of new support measures. The data protection officer is being proactively consulted on these areas.

Description of Risk	Risk Manager	Controls
Strategic - Management of Council Owned Non-Housing Property Assets Description: Failure to provide and maintain council owned non-housing property assets. Taking opportunities to invest in assets. Consequences: Economic development, Unsafe assets	Ka Ng	Asset Management Plan
		Property Portfolio

<b>Current Score</b>	
50	
<b>Indicator</b>	
Probability	Impact
2	5

Comment: The Council has a capital work programme in place to adequately maintain its non-housing assets, and all key planned are on target. The team continues to be responsive to day to day repairs and maintenance. A refresh of the councils asset management plan is well underway with a base data review having been commissioned through our advisors. This data has been received and is being considered. A small pause is in place for the asset strategy to ensure it aligns to the corporate objectives which are under review. A quick response was put in place to manage property risks remotely, which has included working with our insurers to balance the risk of spreading COVID19 against the need for regular inspections. The have maintained all compliance checks, increased these where use of buildings has reduced, and will continue to do so through the period of the pandemic. Cleaning of buildings continues at the increased levels. The team have worked with the Risk and Resilience Manager to ensure our managed buildings are COVID-secure, including for the recent opening of HatTech. An internal audit was undertaken in quarter three on compliance with statutory requirements and draft results are expected in early quarter four.

Description of Risk	Risk Manager	Controls
Strategic - Effects of Brexit Description: Preparing the borough and council for exiting the EU by understanding the effect on 1) communities and residents, 2) businesses and economy, and 3) The council, along with any actions we need to take. Consequences: Additional costs, Economic - inward investment, Economic development, Community impact, Economic - loss of funding	Ka Ng	Brexit - appropriate action plan to be produced
		Brexit - Communication to businesses/communities
		Brexit - LRF Strategic Co-ordinating Group
		Brexit - MHCLG Seminar
		Corporate Governance - engagement with Councillors
		ECMT Brexit Workshop
		LGA Membership
		LGA support and briefings

Current Score	
9	
Indicator	
Probability	Impact
1	3

Comment: Following the end of the EU transition period and the start of the new trade arrangements taking place from January, officers have been reviewing the new guidance applied to relevant services and updated the detailed risk register that teams have compiled during the EU transition period. Over the next few months, further detailed changes to procurement and state-aid rules are expected to be made available and further adjustments to our policy and procedures may be necessary

Description of Risk	Risk Manager	Controls
Strategic - Homelessness Description: Failure to meet the demand of homelessness due to lack of provision of temporary housing and permanent housing Consequences: Intervention by regulatory bodies, Additional costs, Reputational damage, Increased homelessness, Community impact, Service delivery -can't meet demand, Legal - Regulatory, Financial Implications, Risk to residents wellbeing	Simone Chinman Russell	Delivery Strategy
		Finance - budgetary control by managers
		Finance - HRA Business Plan
		Housing, Homelessness and Rough Sleeping Strategy
		Night Shelter and rough sleeper navigators
		Private Sector Navigator post
		Provision of temporary accommodation stock
		Use of funding for homeless prevention

Current Score	
32	
Indicator	
Probability	Impact
2	4

Comment: There has been additional pressures due to an increased number of presentations of homeless families to the service, as well as the government's Everyone In initiative, which meant that every one who is rough sleeping or at risk of rough sleeping was offered accommodation. A block booking of a local hotel meant that there was capacity to ensure that every one could be made a suitable offer of accommodation. The team have worked hard to ensure that any void council homes can be progressed as quickly as possible, so that there is a continued supply of homes to ease pressures. Due to the restrictions on moving, current vacancies are being prioritised for homeless families. Despite the pressures, the team are managing the increased workloads and have successfully ensured that no one is on the street.

Description of Risk	Risk Manager	Controls
Strategic - Impact of Covid-19 Pandemic Description: The Covid-19 pandemic is seriously impacting on council services and local communities. Employee absence will place strain on the council, as will significant changes to work practices, adaptations to service delivery and resultant backlog management. There are likely to be significant budgetary implications. Managing the response to the outbreak locally will impact council resources, capacity and priorities. Consequences: Reputational damage, Additional costs, Inadequate service shaping, Community impact, Economic development, HR - High Staff Turnover, Low morale, H&S - Injuries and ill health, Lost productivity, Sickness absence, Financial - affects on receipts, Economic - inward investment, Service delivery - loss/reduction, Service delivery -can't meet demand, Harm to Vulnerable People, Economic - loss of funding, Risk to residents wellbeing, Backlog needing to be managed, Slippage to corporate projects, Reduced income, Opportunity to modernise/transform, Greater understanding of resilience, Enhanced team working/collaboration, Enhancements to partnership working	Ka Ng	All staff Communications
		CMT+
		Comms - Communications Team
		Comms - Corporate Communications Strategy
		County Wide SCG, TCG and cells
		Dynamic responses to service challenges
		Flexible HR policies
		Heeding PHE Advice
		Hertfordshire Resilience
		ICT home working arrangements
		Implementation of local social distancing - office closures
		Infectious Disease Group
		Operations Shield and Sustain
		WHBC Pandemic Plan

Current Score	
125	
Indicator	
Probability	Impact
5	5

Comment: : The country has entered into the third national lockdown since March 2020 and that the current restrictions are expected to last until at least mid-February. The impact of the pandemic has a severe impact on the council's financial position, which has been reported regularly to Cabinet and Full Council throughout the year. Most of our staff are continuing to work remotely and a series of staff wellbeing and support programme have been put in place. The COVID recovery plans will be reviewed once the COVID restrictions are starting to ease.



This page is intentionally left blank





# Risk Report

<i>Description of Risk</i>	<i>Risk Manager</i>	<i>Controls</i>	<b>Current Score</b>		<p>Comment: Due to the current COVID-19 pandemic, there will be additional financial pressures on residents and businesses. Whilst the Government has announced a range of measures (including extension of the small business rates relief scheme, retail relief, small business grants, retail and hospitality grants, and council tax hardship funds) we are expecting that there will be an impact on the collection rates, and ultimately this could impact on the funds available to the Council. This is being closely monitored. We continue to be behind target, but are still doing well relatively to some other areas. We are working with other Councils to look at emerging trends and collection rates. We are also closely monitoring our Council Tax Support levels. The government has announced additional support to councils for collection fund losses, but this does not extend to losses associated with collection, it only provides support for reductions to the base and additional reliefs.</p>
<p>Client - Collection Risks Description: Maintain collection rates for council tax and business rates. Consequences: Financial - affects on receipts, Reputational damage, Service delivery - loss/reduction</p>			64		
			<b>Indicator</b>		
			Probability	Impact	
			4	4	

<i>Description of Risk</i>	<i>Risk Manager</i>	<i>Controls</i>	<b>Current Score</b>		<p>Comment: Due to the current COVID19 pandemic, the Council has worked rapidly to ensure remote working is available to employees, and that new technologies are deployed to ensure staff remain connected and processes flow efficiently. There has been a heightened risk of cyber attacks during such times as hackers may take advantage of such situations, as seen in recent cases such as Hackney Council. The ICT team are proactively reviewing security measures of software and technology in advance of deployment, and also ensuring reminders are sent to staff and members reminding them about email security. New cyber security training was rolled out in quarter 3 and additional measures have been put in place following national guidance.</p>
<p>Client - ICT Virus or Hacking Attack Description: Attack by introduction of a virus or by hacking. Consequences - Corruption of systems by the introduction of a virus or access to confidential information by hacking. Consequences: Reputational damage, ICT - loss of service, Additional costs, Customer dissatisfaction, Financial Implications</p>			75		
			<b>Indicator</b>		
			Probability	Impact	
			3	5	

Description of Risk	Risk Manager	Controls	Current Score	Indicator		Comment
Planning - Inadequate professional resource Description: Lack of professional staff to prepare planning documents, determine planning applications, tackle breaches of planning control and inspect trees and woodlands Consequences: Reputational damage, Additional costs, HR - High Staff Turnover, Customer dissatisfaction, Low morale, Service delivery -can't meet demand	Colin Haigh	Planning - Qualifications and Training	64			Comment: Planning Service relying on agency staff where recruitment of permanent staff has been unsuccessful. Significant risk of backlogs, appeals and complaints if permanent appointments cannot be made and agency staff cannot be retained.
			<b>Indicator</b>			
			Probability	Impact		
			4	4		

Description of Risk	Risk Manager	Controls	Current Score	Indicator		Comment
Env. Services - Car Park income Description: Reduced income if charges are perceived to high - competitors undercut parking charges - less shoppers - less business usage, less commuters due to national restrictions: Risk: loss of income and parking in roads and complaints - reputational Consequences: Reputational damage	Durk Reyner	Car parks	80			Comment: The fall in car park usage was almost 100% during the first lockdown and has only partly recovered during the periods when out of lockdown. The 2nd and 3rd lockdowns has seen a level of car park usage, which is mainly by shoppers and local workers, and, to a very limiting extent commuters. It is envisaged that car park income will fall considerably below last year's performance and will remain the case and not recover for the rest of this financial year.
			<b>Indicator</b>			
			Probability	Impact		
			5	4		

Description of Risk	Risk Manager	Controls	Current Score	Indicator		Comment
Planning - Housing land supply Description: Failure to maintain rolling five year housing land supply, which puts Council at risk of having to approve undesirable developments Consequences: Reputational damage, Additional costs, Intervention, Environment - hostile developments, Financial - financial penalties, Speculative planning applications	Sue Tiley	Planning - AMR Planning - Qualifications and Training	80			Comment: AMR 2019-2020 has confirmed that Council has 2.58 years of housing land supply, against a Government target of 5 years. The only way to improve this situation is by adopting the Local Plan in order to agree a new housing target and a housing trajectory of urban and green belt sites.
			<b>Indicator</b>			
			Probability	Impact		
			5	4		

Description of Risk	Risk Manager	Controls	Current Score 125	Comment: England back in Tier 4 lockdown. Coronavirus has had a significant impact on businesses and high streets. UK likely to be in recession for a considerable period of time. Many businesses will owe money to Government and banks. Economic Development function will seek to assist wherever possible.	
Planning - Economic development Description: Continued provision of a well-regarded economic development function to assist businesses Consequences: Economic development, Poor partnership working, Loss of trust, Economic - inward investment	Colin Haigh	Planning - Business Forum  Planning - Evidence  Planning - Qualifications and Training	<b>Indicator</b>	Probability 5	Impact 5

Description of Risk	Risk Manager	Controls	Current Score 80	Comment: The 2020 production of 'Jack and the Beanstalk' has been postponed to 2021 due to the significant impacts arising from Covid-19. It would not have been possible to maintain social distancing for either the cast or crew, and a major reduction in the seating capacity in the theatre would mean production costs would not be covered.	
Campus West - Production of an annual Pantomime Description: Risks associated with the production of an annual pantomime in-house at Campus West. Consequences: Reputational damage, Additional costs, Customer dissatisfaction, Financial - affects on receipts	Paul Underwood	Staff	<b>Indicator</b>	Probability 5	Impact 4

Description of Risk	Risk Manager	Controls	Current Score 125	Comment: UK back in Tier 4 lockdown. No major business losses known to date. It is presumed that Tesco and Ocado have traded well during coronavirus lockdown. John Lewis remains shut. Most harm likely in SME and self-employed sector. Retailers, restaurants and pubs are struggling and facing job cuts. Visitor destinations are struggling and facing job cuts. Risk remains high while coronavirus and lockdown restrictions continue.	
Planning - Loss of major businesses Description: Loss of major businesses, in terms of jobs, economic development, prosperity, skills and town centre vitality Consequences: Community impact, Economic development, Economic - local infrastructure	Colin Haigh	Planning - Business Forum	<b>Indicator</b>	Probability 5	Impact 5

<b>Description of Risk</b>	<b>Risk Manager</b>	<b>Controls</b>	<b>Current Score</b>		<p>Comment: Hackitt Review recommendations are being incorporated into forthcoming Building Safety Act. This includes: a new national building safety regulator within HSE; tighter regulations for all multi-occupied residential buildings of 18+ metres or 6+ storeys; a golden thread duty-holder regime that applies to clients, principal designers, principal contractors and others; fire statements as part of planning applications; a requirement to consult Fire &amp; Rescue Services about relevant planning applications; an Accountable Person for in-scope buildings; a building safety manager for in-scope buildings; and greater engagement with residents. Officers have mapped these issues and are ready to implement them once the legislation is enacted.</p>
			<b>64</b>		
			<b>Indicator</b>		
			<b>Probability</b>	<b>Impact</b>	
Planning - Hackitt Review Description: Tighter regulations for multi-occupied residential buildings (18+ metres or 6+ storeys) and other complex buildings. Consequences: Unsafe assets, Loss of trust	Colin Haigh	Planning - Consultation	4	4	

<b>Description of Risk</b>	<b>Risk Manager</b>	<b>Controls</b>	<b>Current Score</b>		<p>COMMENT: NONE</p>
			<b>64</b>		
			<b>Indicator</b>		
			<b>Probability</b>	<b>Impact</b>	
Supplier financial failure Description: Failure of supplier due to bankruptcy etc Consequences: No consequence	Andrew Harper	Contract Management Guide Credit Agency alerts	4	4	



## **Welwyn Hatfield Borough Council**

### **Audit Committee Progress Report**

20 January 2021

#### Recommendations

Members are recommended to:

- Note the Internal Audit Progress Report for the period to 8 January 2021 and
- Note the implementation status of internal audit recommendations and the management response.

## Contents

- 1 Introduction and Background
  - 1.1 Purpose
  - 1.2 Background
  
- 2 Audit Plan Update
  - 2.1 Delivery of Audit Plan and Key Findings
  - 2.4 Changes to Projected Audit Start Dates
  - 2.5 Proposed Amendments to the 2020/21 Annual Audit Plan
  - 2.5 High Priority Recommendations
  - 2.7 Medium Priority Recommendations
  - 2.10 Performance Management

## Appendices

- A Progress against the 2020/21 Audit Plan
  
- B 2020/21 Audit Plan Start Dates Agreed with Management
  
- C Implementation Status of Outstanding Medium Priority Recommendations as at 05 January 2021
  
- D Assurance and Finding Definitions 2020/21

# 1. Introduction and Background

## Purpose of Report

- 1.1 This report details:
- a) Progress made by the Shared Internal Audit Service (SIAS) in delivering the Council's Annual Audit Plan for 2020/21 as at 8 January 2021.
  - b) Details of changes to the planned start dates of audits from the approved 2020/21 Audit Plan.
  - c) Proposed amendments to the 2020/21 Annual Audit Plan report.
  - d) The implementation status of previously agreed audit recommendations.
  - e) An update on performance management information as at 8 January 2021.

## Background

- 1.2 The 2020/21 Annual Audit Plan was approved by the Audit Committee at its meeting on 19 March 2020.
- 1.3 The Audit Committee receives periodic updates of progress against the Annual Internal Audit Plan. This is the third report on the delivery of the 2020/21 Internal Audit Plan.
- 1.4 The work of Internal Audit is required to be reported to a Member Body so that the Council has an opportunity to review and monitor an essential component of corporate governance and gain assurance that its internal audit provision is fulfilling its statutory obligations. It is considered good practice that progress reports also include proposed amendments to the agreed Annual Audit Plan.

# 2. Audit Plan Update

## Delivery of Audit Plan and Key Audit Findings

- 2.1 As at 8 January 2021, 68% of the 2020/21 Audit Plan days had been delivered (the calculation excludes contingency).
- 2.2 The following final reports have been issued since 11 September 2020 (cut-off date for the SIAS Update Report for 28 September 2020 Audit Committee):

<b>Audit Title</b>	<b>Date of Issue</b>	<b>Assurance Level</b>	<b>Number of Recommendations</b>
DFG Grant Certification	September 2020	N/A	N/A
Disaster Recovery	September 2020	Good	2 Low
Regulating Private Housing	September 2020	Satisfactory	3 Medium, 1 Low

Independent Living Service	October 2020	Satisfactory	1 Medium, 1 Low
Absence Management	October 2020	Satisfactory	4 Medium
GDPR	November 2020	Good	None
IT Asset Management	November 2020	Satisfactory	1 Medium, 3 Low
Right to Buy Pooling	December 2020	Good	2 Low
Treasury Management 19/20	January 2021	Satisfactory	1 Medium, 2 Low
Housing Development Company	January 2021	Satisfactory	1 Medium, 1 Low

#### Changes to Projected Audit Start Dates

- 2.3 To help the Committee assess progress in delivering the 2020/21 Audit Plan, Appendix B details agreed start dates. These dates were agreed with management and resources allocated accordingly. This schedule was designed to facilitate smoother delivery of the audit plan through the year.

#### Proposed Amendments to Audit Plan

- 2.4 Two days have been removed from the total allocation for the Council Website audit. This reduced the total audit budget for the review from 15 to 13 days. These days have been reallocated to a new project entitled COVID-19 Local Authority Compliance and Enforcement Grant.

#### High Priority Recommendations

- 2.5 Members will be aware that a Final Audit Report is issued when it has been agreed by management. This includes an agreement to implement the recommendations that have been made. It is Internal Audit's responsibility to bring to Members' attention the non-implementation of high priority recommendations. It is the responsibility of officers to implement the recommendations by the agreed date.
- 2.6 There are no high priority recommendations that remain outstanding and we have not made any new high priority recommendations during 2020/21.

#### Medium Priority Recommendations

- 2.7 From 1 April 2019, SIAS has assumed responsibility for the co-ordination of following up the implementation status of Internal Audit medium priority



recommendations from the Council's Principal Governance Officer. Internal Audit has worked with Council management to develop a database of audit recommendations, regardless of the recommendation priority, to monitor the implementation status and progress to date. It has been agreed with Council management that SIAS will follow up all recommendations made since 1 April 2018.

- 2.8 The table below outlines the 'Medium' priority recommendations that were followed up during this cycle:

Medium priority recommendations		Not implemented by due date	
Total number of recommendations followed up in this period	Implemented / No Longer Applicable	Partially implemented – revised date agreed	No update provided by action owner
37	32	5	0
%	86.5	13.5	0

- 2.9 Appendix C details the implementation status of all 'Medium' priority recommendations that have not been fully implemented by the original target date, or for which no management response has been received at the date of this report. Appendix C has been abridged to fit this Progress Report, and the full database is maintained on a shared drive. This can be supplied by Council management on request, should it be required. A summary of the status of all 'Medium' priority recommendations is set out in a table in Appendix C.

#### Performance Management

- 2.10 Performance indicators and associated targets are approved by the SIAS Board on an annual basis. As at 8 January 2021, actual performance for Welwyn Hatfield Borough Council against the targets that can be monitored in year is set out in the table below:

Performance Indicator	Annual Target	Profiled Target to 8 January 2021	Actual to 8 January 2021
<b>1. Planned Days</b> – percentage of actual billable days against planned chargeable days completed (excluding unused contingency)	95%	72% (200/ 279 days)	68% (190/ 279 days)
<b>2. Planned Projects</b> – percentage of actual completed projects to	95%	57% (13 / 23 projects)	52% (12 / 23 projects)

draft report stage against planned completed projects			
<b>3. Client Satisfaction with Conduct of the Audit</b> – percentage of client satisfaction questionnaires returned at 'satisfactory' level	100%	100%	100% (7 surveys returned at satisfactory level out of 7 issued)
<b>4. Number of High Priority Audit Recommendations agreed</b>	95%	95%	N/A (None made)

2.11 In addition, the performance targets listed below are annual in nature. Performance against these targets will be reported in the 2020/21 Head of Assurance's Annual Report:

**5. Annual Plan** – prepared in time to present to the March meeting of each Audit Committee. If there is no March meeting, then the plan should be prepared for the first meeting of the financial year.

**6. Head of Assurance's Annual Report** – presented at the Audit Committee's first meeting of the civic year.

**APPENDIX A – PROGRESS AGAINST THE 2020/21 ANNUAL AUDIT PLAN AS AT 11 SEPTEMBER 2020**

AUDITABLE AREA	LEVEL OF ASSURANCE	C RECS	H RECS	M RECS	L RECS	AUDIT PLAN DAYS	LEAD AUDITOR ASSIGNED	BILLABLE DAYS COMPLETED	STATUS / COMMENTS
<b>Key Financial Systems</b>									
Business World (Financial System)						15	Yes	5.5	In Fieldwork
Housing Benefit						10	Yes	0	
Housing Rents						10	Yes	9.5	Draft Report Issued
Payroll						12	Yes	1	ToR Issued
Revenues						15	Yes	6	In Fieldwork
Treasury Management						7	Yes	0	
<b>Corporate Audits</b>									
Absence Management	Satisfactory	0	0	4	0	15	Yes	15	Final Report Issued
Housing Development Company	Satisfactory	0	0	1	0	15	Yes	15	Final Report Issued
<b>Operational Audits</b>									
Building Services Asset Management						10	Yes	9.5	Draft Report Issued
Climate Change and Sustainability						7	Yes	0.5	ToR Issued
Council Website						13	Yes	1	ToR Issued
DFG Grant Certification	Not Assessed	0	0	0	0	2	Yes	2	Final Report Issued
Food Safety						0	Yes	0	Cancelled
Housing Land Supply						10	Yes	8	In Fieldwork
Independent Living Service	Satisfactory	0	0	1	1	12	Yes	12	Final Report Issued
Lone Worker Devices						10	Yes	1	ToR Issued
Regulating Private Housing	Satisfactory	0	0	3	1	10	Yes	10	Final Report Issued
Responsive Repairs	Satisfactory	0	0	2	1	10	Yes	10	Final Report Issued

**APPENDIX A – PROGRESS AGAINST THE 2020/21 ANNUAL AUDIT PLAN AS AT 11 SEPTEMBER 2020**

<b>AUDITABLE AREA</b>	<b>LEVEL OF ASSURANCE</b>	<b>C RECS</b>	<b>H RECS</b>	<b>M RECS</b>	<b>L RECS</b>	<b>AUDIT PLAN DAYS</b>	<b>LEAD AUDITOR ASSIGNED</b>	<b>BILLABLE DAYS COMPLETED</b>	<b>STATUS / COMMENTS</b>
Right to Buy Pooling	Good	0	0	0	2	10	Yes	10	Final Report Issued
COVID-19 LA Compliance and Enforcement Grant						2	Yes	0	
<b>Procurement / Contracts</b>									
Street Scene Contract Management						10	Yes	0	
<b>IT Audits</b>									
Disaster Recovery	Good	0	0	0	2	12	Yes	12	Final Report Issued
GDPR	Good	0	0	0	0	6	Yes	6	Final Report Issued
IT Asset Management	Satisfactory	0	0	1	3	12	Yes	12	Final Report Issued
<b>Shared Learning and Joint Reviews</b>									
Joint Reviews						0		0	Cancelled
Shared Learning						0		0	Cancelled
<b>Contingency &amp; Ad Hoc Activity</b>									
Contingency & Ad Hoc Activity						0		0	
<b>Strategic Support</b>									
Head of Internal Audit Opinion 2019/20						3		3	Complete
Audit Committee						8		8	Through Year
Client Meetings						6		6	Through Year
Liaison with External Audit						1		1	
Progress Monitoring						8		8	Through Year
SIAS Development						5		5	Complete

**APPENDIX A – PROGRESS AGAINST THE 2020/21 ANNUAL AUDIT PLAN AS AT 11 SEPTEMBER 2020**

AUDITABLE AREA	LEVEL OF ASSURANCE	C RECS	H RECS	M RECS	L RECS	AUDIT PLAN DAYS	LEAD AUDITOR ASSIGNED	BILLABLE DAYS COMPLETED	STATUS / COMMENTS
2021/22 Audit Planning						6		6	
Recommendations Follow Up						5	Yes	5	Through Year
<b>2019/20 Projects requiring completion</b>									
Finalisation of Projects						2	Yes	2	Complete
<b>Total – Welwyn Hatfield B.C.</b>		<b>0</b>	<b>0</b>	<b>12</b>	<b>10</b>	<b>279</b>		<b>190</b>	

**APPENDIX B – 2020/21 AUDIT PLAN START DATES AGREED WITH MANAGEMENT**

<b>Quarter 1</b>	<b>Quarter 2</b>	<b>Quarter 3</b>	<b>Quarter 4</b>
Housing Development Company <b>Final Report Issued</b>	Housing Land Supply <b>In Fieldwork</b>	Business World (Financial System) <b>In Fieldwork</b>	Council Website <b>ToR Issued</b>
Independent Living Service <b>Final Report Issued</b>	Right to Buy Pooling <b>Final Report Issued</b>	Treasury Management <b>In Planning</b>	Lone Worker Devices <b>ToR Issued</b>
Responsive Repairs <b>Final Report Issued</b>	Building Services Asset Management <b>Draft Report Issued</b>	Payroll <b>TOR Issued</b>	Streetscene Contract Management
GDPR <b>Final Report Issued</b>	DFG Grant Certification <b>Final Report Issued</b>	Revenues <b>In Fieldwork</b>	Climate Change and Sustainability <b>ToR Issued</b>
Disaster Recovery (moved from quarter 2) <b>Final Report Issued</b>	IT Asset Management (Moved from quarter 4) <b>Final Report Issued</b>	Housing Benefit <b>In Planning</b>	Food Safety <b>Cancelled</b>
Regulating Private Housing <b>Final Report Issued</b>		Housing Rents <b>Draft Report Issued</b>	COVID-19 LA Compliance and Enforcement Grant
Absence Management (moved from quarter 2) <b>Final Report Issued</b>			
2019/20 Projects requiring completion <b>Complete</b>			

**APPENDIX C – STATUS OF OUTSTANDING MEDIUM PRIORITY RECOMMENDATIONS MADE SINCE 1 APRIL 2018**

Report Title and Date	Recommendation	Management Response	Original Target Date	Responding Officer	Management Action Taken to Date	Revised Target Date and Reason	Status
Fire Safety, September 2018	<p><b>Monitoring of Actions identified through Fire Risk Assessments</b></p> <p>We recommend that the Council:</p> <ul style="list-style-type: none"> <li>- Upload all actions identified against each asset on Lifespan</li> <li>- Assign department action owners and due dates for completion</li> <li>- Ensure the status of actions identified from Fire Risk Assessments are monitored on a regular basis (to be determined by the Council) and reported as part of the KPIs to the Fire Safety Management Group and the Corporate Management Board.</li> <li>- The Fire Safety policy should be updated to reflect the proposed new monitoring procedures</li> </ul>	<p>Agreed.</p> <p>Relevant data from Fire Risk Assessments will be shared with Heads of Service to ensure any failures are actioned.</p> <p>Additionally, KPI "Number of Actions Outstanding" will be broken down by priority, High, Medium, Low.</p> <p>The resource above will export from Lifespan, assess each action and allocate accordingly</p>	30/11/2018	Compliance Officer	Actions noted and works orders issued		Partially Implemented
Apprenticeship Levy, September 2019	<p><b>Forward Planning for Apprenticeships</b></p> <p>We recommend that the Council creates a strategy or an action plan that demonstrates how the Council intends to maximise the use of funding available.</p> <p>This forward plan should set clear and measurable targets for enrolment of apprentices, identify any risks that may jeopardise the objectives and identify the services or teams that apprenticeships may be effective for filling positions or upskilling the current workforce.</p>	<p>The authority will consider their approach to apprenticeships as part of the workforce development strategy which will be debated as part of the peer review action plan.</p> <p>Recruiting managers are responsible for identifying apprenticeship opportunities, either through converting existing roles, or upskilling existing employees to gain qualifications.</p> <p>An apprentice champion is not necessary. All of HR are aware of the apprenticeship levy and regularly discuss recruitment and development with managers. HR</p>	31/03/2020	Corporate Management Team		Revised Target Date 01/04/2021 New L&D Officer to be recruited to be responsible for maximising apprenticeship levy funding	Partially Implemented

**APPENDIX C – STATUS OF OUTSTANDING MEDIUM PRIORITY RECOMMENDATIONS MADE SINCE 1 APRIL 2018**

Report Title and Date	Recommendation	Management Response	Original Target Date	Responding Officer	Management Action Taken to Date	Revised Target Date and Reason	Status
	<p>The progress of the forward plan should be monitored and reviewed periodically.</p> <p>Additionally, we recommend that an HR Officer is assigned role of 'Apprenticeship Champion' with the responsibility for driving the forward plan and actively promoting apprenticeships to service managers within the Council. The role may involve attending service manager meetings to discuss apprenticeships and promote the benefits of apprenticeships as well as circulating apprenticeship promotional material.</p>	<p>Advisors regularly meet with service managers to discuss workforce implications. The recommendation is 'overkill' for 8 apprenticeship roles.</p> <p>All of the HR team are apprenticeship champions; we do not have the resources to dedicate one person to this role.</p>					
Apprenticeship Levy, September 2019	<p><b>Monitoring of Funding</b></p> <p>We recommend that:</p> <p>a) The Council monitors and records the available Apprenticeship Levy funding in the Online Service Account each month. Funding due to expire should be monitored, while funding allocated and available for apprenticeship training should be noted.</p> <p>b) When the Council is considering adding apprenticeships, the estimated costs of training should be projected and compared to the levy funding available to the Council, to ensure sufficient funding is available.</p> <p>c) Enrolment targets for apprentices should be set to ensure that allocated</p>	<p>The fund is monitored on a regular basis. As the levy has been in place for 2 years, we are only now reaching the stage where funding will be lost.</p> <p>Apprenticeship levy funding will be reported to CMT on a quarterly basis.</p> <p>This is already in place as the fee for apprenticeship qualifications are set. We have more funding than we will ever be able to spend.</p> <p>The Government set a voluntary target of 2.3% of the workforce to be in apprenticeships, this equates to 8/9 apprenticeships.</p>	31/03/2020	HR Manager		Revised Target Date 01/04/2021 As above	Not Implemented



**APPENDIX C – STATUS OF OUTSTANDING MEDIUM PRIORITY RECOMMENDATIONS MADE SINCE 1 APRIL 2018**

Report Title and Date	Recommendation	Management Response	Original Target Date	Responding Officer	Management Action Taken to Date	Revised Target Date and Reason	Status
	funding continues to be utilised, while consideration is given to utilising unallocated funding to offer apprenticeships to existing Council officers (linked to recommendation 2 above).	The council already offers qualification sponsorships and staff development is embedded as part of appraisal process.					
Public Health February 2020	<b>Local Procedures</b> We recommend that local procedures are put in place for officers to follow for processing an application through to the issuing of a registration and including the recording on M3 Case Management System.	All the recommendations will be actioned in order to update and rationalise our inspection procedures and processes and to ensure safe working practices at relevant premises. The inspection regime will take into account the Toolkit and relevant legislation. This will require ratification by elected members through the Governance system in line with the constitution.	30/09/2020	Head of Public Health and Protection	See reason for revised target date comments	Revised Target Date 31/12/2021 The work on this target has not been progressed because workloads have had to be reprioritised to deal with the demands on the service as a result of the coronavirus pandemic.	Not Implemented
Public Health February 2020	<b>Inspection Checklist</b> We recommend that a standard checklist template is produced to be used on all occasions. The checklist should include, but not be limited to, the following:  a) all the questions already asked at each inspection b) questions on training c) qualifications attained if applicable d) a comments column to aid Public Health Officers	The inspection procedures will be updated so there is a standard checklist with space for comments and remedial actions to include checks for training.  The case management system will be amended to include a date for future routine inspections rather than only having one off checks in order to register the person and the premises.	30/09/2020	Head of Public Health and Protection	See reason for revised target date comments	Revised Target Date 31/12/2021 The work on this target has not been progressed because workloads have had to be reprioritised to deal with the demands on the service as a result of the	Not Implemented

**APPENDIX C – STATUS OF OUTSTANDING MEDIUM PRIORITY RECOMMENDATIONS MADE SINCE 1 APRIL 2018**

Report Title and Date	Recommendation	Management Response	Original Target Date	Responding Officer	Management Action Taken to Date	Revised Target Date and Reason	Status
	<p>e) section for outstanding actions still to complete after the inspection prior to issuing of the registration</p> <p>This checklist, once completed, should be held on file with all other information relating to the application in the correct location on the M3 Case Management system.</p>					<p>coronavirus pandemic.</p>	

**APPENDIX D – ASSURANCE AND FINDINGS DEFINITIONS 2020/21**

<b>Assurance Level</b>	<b>Definition</b>
<b>Good</b>	The design and operation of the internal control framework is effective, thereby ensuring that the key risks in scope are being well managed and core objectives will likely be achieved. There are minor reportable audit findings.
<b>Satisfactory</b>	The internal control framework is largely working well in managing the key risks in scope, with some audit findings related to the current arrangements.
<b>Limited</b>	The system of internal control is only partially effective, with important audit findings in key areas. Improvement in the design and/or operation of the control environment is necessary to gain assurance risks are being managed to an acceptable level, and core objectives will be achieved.
<b>No</b>	The system of internal control has serious gaps, and controls are not effective in managing the key risks in scope. It is highly unlikely that core objectives will be met without urgent management intervention.
<b>Priority Level</b>	<b>Definition</b>
<b>Critical</b>	Audit findings which, in the present state, represent a serious risk to the organisation as a whole, i.e. reputation, financial resources and / or compliance with regulations. Management action to implement the appropriate controls is required immediately.
<b>High</b>	Audit findings indicate a serious weakness or breakdown in control environment, which, if untreated by management intervention, is highly likely to put achievement of core service objectives at risk. Remedial action is required urgently.
<b>Medium</b>	Audit findings which, if not treated by appropriate management action, are likely to put achievement of some of the core service objectives at risk. Remedial action is required in a timely manner.
<b>Low / Advisory</b>	Audit findings indicate opportunities to implement good or best practice, which, if adopted, will enhance the control environment. The appropriate solution should be implemented as soon as is practically possible.

This page is intentionally left blank