

Finance and Audit Scrutiny Panel

Grand Jury Room, Town Hall
20 October 2009 at 6.00pm

The Finance and Audit Scrutiny Panel deals with the review of service areas and associated budgets, and monitors the financial performance of the Council. The panel scrutinises the Council's audit arrangements and risk management arrangements, including the annual audit letter and audit plans, and Portfolio Holder 'Service' decisions reviewed under the Call in procedure.

Information for Members of the Public

Access to information and meetings

You have the right to attend all meetings of the Council, its Committees and Cabinet. You also have the right to see the agenda, which is usually published 5 working days before the meeting, and minutes once they are published. Dates of the meetings are available at www.colchester.gov.uk or from Democratic Services.

Have Your Say!

The Council values contributions from members of the public. Under the Council's Have Your Say! policy you can ask questions or express a view to meetings, with the exception of Standards Committee meetings. If you wish to speak at a meeting or wish to find out more, please pick up the leaflet called "Have Your Say" at Council offices and at www.colchester.gov.uk.

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Occasionally meetings will need to discuss issues in private. This can only happen on a limited range of issues, which are set by law. When a committee does so, you will be asked to leave the meeting.

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Please ensure that all mobile phones and pagers are turned off before the meeting begins and note that photography or audio recording is not permitted.

Access

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Terms of Reference

Finance and Audit Scrutiny Panel

- To review all existing service plans and associated budget provisions against options for alternative levels of service provision and the corporate policies of the Council, and make recommendations to the Cabinet
- To have an overview of the Council's internal and external audit arrangements and risk management arrangements, in particular with regard to the annual audit plan, the audit work programme and progress reports, and to make recommendations to the Cabinet
- To monitor the financial performance of the Council, and to make recommendations to the Cabinet in relation to financial outturns, revenue and capital expenditure monitors
- To scrutinise the Audit Commission's annual audit letter
- To scrutinise executive 'service' decisions made by Portfolio Holders and officers taking key decisions which have been made but not implemented referred to the Panel through the call-in procedure

The panel may a) confirm the decision, which may then be implemented immediately, b) refer the decision back to the decision taker for further consideration setting out in writing the nature of its concerns, or c) refer the matter to full Council in the event that the Panel considers the decision to be contrary to the Policy Framework of the Council or contrary to, or not wholly in accordance with the Budget.

**COLCHESTER BOROUGH COUNCIL
FINANCE AND AUDIT SCRUTINY PANEL
20 October 2009 at 6:00pm**

Members

Chairman : Councillor Dennis Willetts.
Deputy Chairman : Councillor Christopher Arnold.
Councillors Dave Harris, Gerard Oxford, Wyn Foster,
Martin Goss, Theresa Higgins, Jackie Maclean, Jon Manning,
Lesley Scott-Boutell and Nick Taylor.

Substitute Members : All members of the Council who are not Cabinet members or members of this Panel.

Agenda - Part A

(open to the public including the media)

Members of the public may wish to note that Agenda items 1 to 5 are normally brief and items 6 to 9 are standard items for which there may be no business to consider.

Pages

1. Welcome and Announcements

(a) The Chairman to welcome members of the public and Councillors and to remind all speakers of the requirement for microphones to be used at all times.

(b) At the Chairman's discretion, to announce information on:

- action in the event of an emergency;
- mobile phones switched to off or to silent;
- location of toilets;
- introduction of members of the meeting.

2. Substitutions

Members may arrange for a substitute councillor to attend a meeting on their behalf, subject to prior notice being given. The attendance of substitute councillors must be recorded.

3. Urgent Items

To announce any items not on the agenda which the Chairman has agreed to consider because they are urgent and to give reasons for the urgency.

4. Declarations of Interest

The Chairman to invite Councillors to declare individually any personal interests they may have in the items on the agenda.

If the personal interest arises because of a Councillor's membership of or position of control or management on:

- any body to which the Councillor has been appointed or nominated by the Council; or
- another public body

then the interest need only be declared if the Councillor intends to speak on that item.

If a Councillor declares a personal interest they must also consider whether they have a prejudicial interest. If they have a prejudicial interest they must leave the room for that item.

If a Councillor wishes to make representations on an item on which they have a prejudicial interest they may do so if members of the public are allowed to make representations. In such circumstances a Councillor must leave the room immediately once they have finished speaking.

An interest is considered to be prejudicial if a member of the public with knowledge of the relevant facts would reasonably regard it as so significant that it is likely to prejudice the Councillor's judgement of the public interest.

Councillors should consult paragraph 7 of the Meetings General Procedure Rules for further guidance.

5. Minutes

1 - 6

To confirm as a correct record the minutes of the meeting held on 22 September 2009.

6. Have Your Say!

(a) The Chairman to invite members of the public to indicate if they wish to speak or present a petition at this meeting – either on an item on the agenda or on a general matter not on this agenda. You should indicate your wish to speak at this point if your name has not been noted by Council staff.

(b) The Chairman to invite contributions from members of the public who wish to Have Your Say! on a general matter not on this agenda.

7. Items requested by members of the Panel and other Members

(a) To evaluate requests by members of the Panel for an item relevant to the Panel's functions to be considered.

(b) To evaluate requests by other members of the Council for an item relevant to the Panel's functions to be considered.

8. Referred items under the Call in Procedure

To consider any Portfolio Holder decisions, taken under the Call in Procedure.

The panel may a) confirm the decision, which may then be implemented immediately, b) confirm the decision back to the decision taker for further consideration setting out in writing the nature of its concerns, or c) refer the matter to full Council in the event that the panel considers the decision to be contrary to the Policy Framework of the Council or contrary to, or not wholly in accordance with the Budget.

9. Decisions taken under special urgency provisions

To consider any Portfolio Holder decisions taken under the special urgency provisions.

10. Risk Management Progress report

7 - 17

See report from the Head of Resource Management.

11. Annual review of Business Continuity

18 - 29

See report from the Head of Resource Management.

12. Work Programme

30 - 32

See report from the Scrutiny Officer.

13. Exclusion of the public

In accordance with Section 100A(4) of the Local Government Act 1972 and in accordance with The Local Authorities (Executive Arrangements) (Access to Information) (England) Regulations 2000 (as amended) to exclude the public, including the press, from the meeting so that any items containing exempt information (for example confidential personal, financial or legal advice), in Part B of this agenda (printed on yellow paper) can be decided. (Exempt information is defined in Section 100I and Schedule 12A of the Local Government Act 1972).

FINANCE AND AUDIT SCRUTINY PANEL

22 SEPTEMBER 2009

Present:- Councillors Arnold, Foster, Goss, Harris, Maclean, Manning, G. Oxford, Scott-Boutell, Taylor and Willetts

Substitutions:- Councillor P. Higgins for Councillor T. Higgins

18. Minute

The minute of the meeting held on 18 August 2009 was confirmed as a correct record, subject to the following amendment. The last paragraph to minute number 15 to read "Councillor Foster said car parks should clearly identify special parking rates for customers, especially for those visitors not aware of concessions and discounts. Councillor Foster said Britannia Car Park did not show clearly the special rate of £2.00 for parking between 10.00 a.m. and 3.00 p.m. Members agreed that this was something that could also be considered at the review stage".

19. Have Your Say

Mr. Andy Hamilton addressed the panel, saying that whilst it was the Council's decision how to dispose of 15, Queen Street, he would expect them to get the best return both in financial terms and what its future use would be.

Mr. Hamilton said he was saddened to see how blatant he believed the Council had been in insisting that Firstsite should be given the lease to 15, Queen Street without any other charitable bodies being considered. Mr. Hamilton said he had been told no one else had made an offer and Firstsite had done all the required paperwork.

Mr. Hamilton said he was interested to see that the Hospice building was used for other charitable purposes and would have a lease would allow restricted activities at Firstsite for such organisations as mobility scooters and a local credit union.

Mr. Hamilton concluded by saying Council officers had refused to divulge any such information or a Firstsite inspection visit, and even worse, a Councillor had instructed officers to continue doing this. Mr. Hamilton said he would be requesting further information about 15, Queen Street and access to inspect the building.

Councillor Harris (in respect of being a member of the Colchester Credit Union) declared a personal interest in the following item.

19. Credit Union Funding

Have Your Say

Mr. Hamilton addressed the panel, saying he had followed the progress of the Credit union movement for years, still made up of a large number of small clubs that work independently, with each credit union having its own head office and back room accounts, working essentially still like the banks in the 1900s.

Mr. Hamilton, whilst admiring the work of the Credit Unions, it was clear that only a few unions are getting the critical mass to flourish. For example, the Ipswich credit union and the closely connected Suffolk County Council credit union have 1534 members that compared favorably with Basildon, 424 members, and Colchester, 283 members, figures that Mr. Hamilton later confirmed he had got from the Association of British Credit Unions Limited (ABCUL) website.

Mr. Hamilton said that the Ipswich Credit Union regularly gets spots on local radio and features in the local papers, and gets frequent high profile mentions on the supervisory organisation ABCUL. Mr. Hamilton believed the smaller credit unions need to link up to the larger unions to be able to share the administration costs and increase their public profile.

Mr. Hamilton concluded by saying he could see the logic of Essex County Council giving Essex Savers, a county wide based credit union £170,000 over three years, but asked the following questions:

- i) What help had Essex County Council offered to the Colchester Credit Union?
- ii) Was this help taken up?
- iii) Should members of Essex Savers be subsidised at £87 per member, per year?
- iv) Why is Essex Savers not a registered member of ABCUL the supervisory organisation?
- v) The Church of England strongly supports Essex Savers and the Credit Union office is based in church property. Should Essex Savers marketing literature be publicly showing it is dependant on a particular church and would a Muslim feel welcome?

Mr. Richard Cording addressed the panel. In response to the letter from Lord Hanningfield (within the agenda papers), Mr. Cording said that prior to Lord Hanningfield's announcement that he had approved a £170,000 grant, over three years, to the Essex Savers Credit Union, he was led to believe that a decision had not been taken and that Essex County Council officers were to undertake further investigations. Mr. Cording said officers did not contact the Colchester Credit Union.

Mr. Cording said that Dr Probert and Ms. O'Leary from Essex County Council had visited Colchester during 2009 but were told the only help that would be offered would be in respect of advertising, printing and website development. Mr. Cording believed the net effect of introducing Essex Savers Credit Union branches would be one branch competing against another.

In response to Councillor Willetts, Mr. Cording said he has tried to meet with Lord Hanningfield and officers at Essex County Council, but to no avail. Mr. Cording said there was to be a meeting between the credit unions in Essex, but this had been cancelled.

Councillor Paul Smith addressed the panel to say he was pleased that Lord Hanningfield had responded, but questioned whether the money being spent to set up more competing credit union branches was value for money.

Councillor Smith was disappointed that the modest requests for support from the Colchester branch had fallen on deaf ears, especially given the current economic downturn.

Credit Union Funding

Councillor Manning said the response from Lord Hanningfield and the contributions from the speakers have led him to believe the best way forward would be to invite the County Portfolio Holder and Officers to a future meeting to provide an opportunity to discuss this issue in greater detail.

Councillor Foster said her understanding was that the investment to the Essex Savers Credit Union was for them to be able to increase access to residents in areas which lack provision, and would not encroach in Colchester, which would remain the only union. Councillor Foster said the Essex Savers newsletter sent out to householders did mention the Colchester Credit Union, and believed officers would attend a meeting if invited, if that was the panel's desire.

Councillor Arnold said it would be helpful if Essex County Council officers were present at a future meeting to be involved with members in an informed debate, and stated that it was vital that the Council followed-up the offer from Lord Hanningfield, a comment endorsed by Councillors Manning, Harris and Foster.

RESOLVED that the panel noted the response from Lord Hanningfield and requested that the Portfolio Holder and officers from Essex County Council should be invited to attend a future meeting so as to allow an informed debate on local Credit Union funding.

20. Haven Gateway Funding

RESOLVED that the panel noted the progress in respect of the work on Haven Gateway funding.

21. 1st Quarter Internal Audit Assurance report 2009-10

Have Your Say

Mr. Hamilton addressed the panel saying that he believed the Audit Commission had failed to promote value for money for taxpayers when they ignored the valueless Visual Arts Facility. Mr. Hamilton said that he believed the external audit and inspection letter from the auditors made some ambitious recommendations, with appendix 3 of the report detailing the Council's attempts to meet these for the abandoned folly in the Bus Park.

Mr. Hamilton believed that the Council, when acting as an intelligent client in the appointment of Jackson Cole and the Mace group was an act out of desperation, with the Mace group appointed without competition because most reputable firms refused to get involved with this project.

Mr. Hamilton said whilst the Council states the plans are established on a robust and enforceable basis, that Mace has only agreed to sign the contract if there are no penalty clauses and with no guarantee that they can solve all the problems. Mr. Hamilton said whilst the Council states its plans are accurately detailed in an open and transparent manner, and plans are monitored in an open and timely manner, it refuses to make public the new contractor's report, and the public only became aware of problems due to the structural deficiencies and the lack of workmen on site.

Mr. Hamilton concluded by saying he believed the Council did not meet any of the Audit Commission recommendations.

1st Quarter Internal Audit Assurance report 2009-10

Ms. Elfreda Walker, Finance Manager, and Mr. Alan Woodhead, Auditor from Delloitte, both attended the meeting for this item and Ms. Walker presented the 1st Quarter Internal Audit Assurance report for 2009-10.

Ms. Walker confirmed to the panel that the key outcomes from audit 405 – booking of Public Premises had been implemented, and on time.

In response to Councillor Scott-Boutell, Mr. Woodhead said the management updates for outstanding recommendations in appendix 2 would only be notated once the audit recommendations had been considered, and if appropriate, implemented.

Members debated at length some of the Management update comments e.g. audit 203 Officers Expenses, the length of time it took some service areas to implement recommendations. Councillor Arnold hoped the report was not been offered to members as some sort of comfort, when he himself found little comfort that some audits from as long ago as two years had not been fully implemented or had follow up audits.

Councillor Willetts asked whether the reporting profile was similar to that done by other district councils.

Mr. Charles Warboys, Head of Resource Management addressed the panel to say that whilst the regular auditing programme was carried out, all outstanding audits would be prioritised for action, and a profile of other district councils would be undertaken for comparative purposes.

Councillor Arnold said that appendix 2, the update on outstanding recommendations should indicate the movement in each audit since the previous report, to visually identify any progress that had been made.

RESOLVED that the panel:

- i) Noted the Council's performance relating to executing the 1st quarter of the Internal Audit plan for 2009-10, and the performance of internal audit by reference to national best practice benchmarks.
- ii) Requested the Head of Resource Management to prioritise all older outstanding recommendations for action.
- iii) Requested the Head of Resource Management to provide a profile at the next reporting stage of audit reporting practices by other district councils.

22. Review of the setting of parking service fees and charges

Have your Say

Councillor Chillingworth addressed the panel, thanking Mr. Richard Walker for a comprehensive and interesting report, and Mr. Matthew Young and his team on the excellent work being done.

Councillor Chillingworth said he was pleased that Colchester now has user-friendly multi storey car parks and that Colchester's parking charges compared favorably with other close or

neighbouring authorities, and was encouraged by the joint scheme with Braintree and Uttlesford District Councils.

However, Councillor Chillingworth was concerned for the future, given the level of traffic that would be generated by the estimated increase in local residents from 181,000 to 250,000 under the Local Development Framework proposals, and whether parking services are taking sufficiently into account these likely increases, given that any new park and ride scheme will only help people travelling into Colchester, not local residents.

Review of the setting of parking service fees and charges

Councillor Tim Young, Portfolio Holder for Street and Waste Services and Mr. Matthew Young, Head of Street Services attended the meeting for this item, and Mr. Matthew Young gave a comprehensive presentation of the report on the Review of the setting of parking service fees and charges.

During the course of the following debate, all those members contributing to the discussions thanked Mr. Walker for the high quality of what was an excellent, comprehensive report.

Given that members were now being told that any new park and ride scheme would not be the answer to alleviating traffic congestion in the town centre as previously thought, Councillor Arnold wondered what consideration was being given to reducing town centre congestion. Mr. Young said information provided from Cambridge and Ipswich suggests when park and ride is introduced, those people using park and ride are usually long stay parkers and those using inner town centre car parks and short stay parkers, therefore it is anticipated that the short stay parkers will use the town centre roads more during the day, but outside peak travelling times, putting these roads under less pressure during peak travelling times.

In response to Councillor Arnold, Mr. Young confirmed that Mr. Walker was actively involved with the Council's Regeneration Team in investigating future park and ride in Colchester. Modelling has already been undertaken to see the impact of park and ride, though this still needs further investigation, though Colchester's long term parking strategy was based on park and ride being introduced in the near future.

Mr. Young confirmed to Councillor Taylor that the current parking strategy for inner car parks, of providing discount incentives to motorists to park and travel outside peak times during the week was working very successfully, as was the strategy on Sunday parking, charging £0.50 across most car parks. Councillor Taylor commended a strategy that was not just income driven.

Councillor Young confirmed to Councillor Taylor that he was awaiting advice from officers in respect of parking charges for 2010-11.

During the course of the subsequent debate, members were in agreement that to improve the overall travel experience for all residents and visitors to Colchester, along with the current and future improvements to be made to parking services in the town, there had to be an improvement to public transport services in general, for example, the need to improve cycling routes into the town centre and the provision of bus travel for the disabled, as mentioned by Councillors Manning and Oxford.

In response to Councillor Harris, and in regards to consultation, Mr. Young said the Council consulted with many organisations such as the Chamber of Commerce, businesses such as the Odeon, Mercury Theatre and Williams and Griffin, and smaller retail outlets such as those in outlying suburbs.

In response to Councillor Manning and Oxford, Mr. Young said officers in the Transport Policy Team and Parking Services are looking at innovative ways of advertising all aspects of parking more prominently in the borough. The Courier newsletter, the Council's website, car parks and local radio are extensively used and Mr. Young said they would consider more prominent advertisement on car parks and back of bus advertising as mentioned by Councillors Maclean and Arnold.

RESOLVED that the panel:

- i) Commented and noted the report on the process for setting car parking fees and charges in Colchester.
- ii) Commended officers for the depth and clarity of the report.
- iii) Requested that once the final proposals on park and ride are complete, the Head of Street Services provides the panel with the opportunity to examine all the financial aspects of the proposed scheme.

23. Work Programme

The panel agreed that the items on Colchester Credit Union and Use of Resources should be scheduled at the earliest convenient meeting.

RESOLVED that the panel noted the work programme for 2009-10.



Finance & Audit Scrutiny Panel

Item
10

22 October 2009

Report of

Head of Resource Management

Author

Hayley McGrath
508902

Title

1st & 2nd Quarter Risk Management Progress Report

Wards
affected

Not applicable

**This report concerns Risk Management activity between
April and September 2009**

1. Actions Required

1.1 To note and comment upon:

- The latest risk management issues;
- The performance relating to implementing the 2009/10 risk management action plan;
- The Strategic risk register

2. Reason for Scrutiny

- 2.1 The Risk Management Strategy, which forms part of the policy framework, identifies the Finance and Audit Scrutiny panel as being responsible for reviewing the effectiveness of the risk management process and reporting critical items to cabinet as necessary.
- 2.2 Quarterly progress reports, detailing work undertaken and current issues, are provided to assist with this responsibility.

3. Key Messages

- The Council continues to operate an 'exceeding' risk management function as evidenced by a level three score for the 2008/09 Use of Resources assessment.
- The highest risk from the last review - 1.c. responding to the Borough economy - has been reduced from a score of 15 to 10 as the probability has been reduced.
- A new risk has been added to the register - 4.e recognises that there is a potential that public funding may be reduced in the future. This has been scored at 15 due to the severity of the impact.
- A risk management training session has been held for members and is available on request.
- A recent information session for the Senior Management Team has demonstrated that risk management is a fundamental part of the Council's control processes.

4. Supporting Information

- 4.1 The aim of the Council is to adopt best practices in the identification, evaluation, cost-effective control and monitoring of risks across all processes to ensure that risks are properly considered and reduced as far as practicable.
- 4.2 In broad terms risks are split into three categories:
- Strategic – those risks relating to the long term goals of the Council
 - Operational – risks related to the day-to-day operation of each individual service
 - Project – consideration of the risks occurring as a result of the Council's involvement in specific initiatives

- 4.3 Strategic risks are essentially those that threaten the long term goals of the Council and therefore are mainly based around meeting the objectives of the Strategic Plan. They may also represent developing issues that have the potential to fundamentally effect service provision, such as proposals to change assessment processes. Strategic risks are owned by members of the Senior Management Team.
- 4.4 Operational risks are those that threaten the routine service delivery of the Council. Each service area has their own operational risk register that details the risks associated with providing the service. High risks and the success in controlling them are reported to Senior Management Team on a quarterly basis, as these assist in the formulation of the strategic risk register.
- 4.5 Project risks are those that relate solely to the successful delivery of that specific project. They tend to be quantifiable issues, such as resource or time related, and constantly change and develop over the course of the project as each stage is completed. The lead on the project is responsible for ensuring that there is an appropriate risk register and high level issues are reported to the senior management team.
- 4.6 Identified risks, in all three categories, are judged against levels of probability and impact to give them an overall score. This allows the risks to be shown as 'high, medium or low' which enables a prioritised action plan to be set for managing risks. There are insufficient resources to be able to reduce all risks - and in some cases it would not be cost effective. Therefore resources are more effectively targeted at the high, and in some cases medium, risks. Categorising an issue as 'high risk' indicates that it would have a fundamental effect on the Council, if it occurred, and therefore plans need to be put in place to either stop it happening or reducing the effect if it does. High risk does not mean that it has, or will definitely, occur.
- 4.7 In many cases the causes of risks are outside of the Council's control, such as general economic issues. The Council cannot stop these risks from occurring (the probability score) but can put plans in place to mitigate against their effect if they occur (the impact score). Likewise there are occasions that risks can be reduced with preventative actions but there is not much that can be done to mitigate their effect if they do occur, such as a failure to protect public resources. Therefore some risks will tend to maintain the same score, regardless of the controls that the Council puts in place.

5. Latest Risk Management Issues

- 5.1 There are four items, in addition to the action plan issues, to report this quarter:
- 5.2 The revised strategy that was considered by this panel in July has been agreed by Cabinet and referred to full Council so that the policy framework can be updated.
- 5.3 The recently confirmed Audit Commission Use of Resources assessment score for 2008/09 shows that the risk management function is continuing to provide an 'exceeding' service with the retainment of a level three score.
- 5.4 Flu pandemic issues and business continuity have dominated the risk management work for the main part of this period. A separate report has been provided regarding this.
- 5.5 The Risk and Resilience Manager supported the Monitoring Officer in providing a corporate governance information session for the Senior Management Team in September. This reinforced the requirement to ensure that risk management is embedded in all processes and demonstrated that risk management is a fundamental part of the control framework.

6. Action plan Implementation

6.1 The action plan for 2008/09 consists of four items, these are summarised below:

Action	Status	Comments
Complete the revised operational risk registers	In hand	The registers are currently being reviewed by each Head of Service.
Development of a Members risk register.	In hand	A risk management session was held with members in July. The results of this are being used to form a member's register. Further work is required to ensure that the format and content meets with best practise.
Setting of performance indicators	Outstanding	The Essex Risk Managers group is currently undertaking a benchmarking exercise which will also set performance indicators.
Review of guidance available for staff and members	In hand	The documents available on the hub are being reviewed and amended.

7. Strategic Risk Register

The register was reviewed by the Performance Management Board on 7 October. The agreed strategic register for quarters 1&2 is attached at appendix 1 with the score chart attached at appendix 2.

The format of the register is currently being reviewed to see if it is possible to incorporate both pre and post mitigation scores. Further details will be reported in quarter 3.

8. Proposals

8.1 To note and comment upon the Councils progress and performance in managing risk during the period from April to September 2009.

9. Strategic Plan Implications

9.1 The strategic risk register reflects the objectives of the strategic plan and the actions have been set with due regard to the identified key strategic risks. Therefore the risk process supports the achievement of the strategic objectives.

10. Risk Management Implications

10.1 The failure to adequately identify and manage risks may have an effect on the ability of the Council to achieve its objectives and operate effectively.

11. Other Standard References

11.1 There are no direct Publicity, Financial, Consultation, Human Rights, Equality and Diversity, Community Safety or Health and Safety implications as a result of this report.

Colchester Borough Council – Corporate Strategic Risk Register
Quarter 2 2009/10 - September 2009

Key points this update:

Risk 1.c. – effectively responding to the economy - has been reduced from 15 to 10 due to the mitigation work undertaken. A new risk 4.e. has been added – potential future cuts in public funding. This has been scored at 15. The probability for risks 3.a. & 3.d. has been reduced from a three to a two. The impact for risk 3.g. has been increased from a three to a four.

1. AMBITION		ACTION PLAN – AMBITION			
Specific Risks	Score P X I E O	Consequence	Action	Owner	Timing
1.a	2	Desired strategic outcomes are not achieved and improvements are not delivered.	Ensure that there is a structured regular review process for the Strategic plan, and corresponding action plan, so that it continues to deliver the strategic vision.	E.D. People & Performance	Ongoing annual review process.
1.b	3	Failure of one or more of the strategic projects.	Develop a structured reporting process to ensure that direction and priorities from Cabinet are communicated effectively to relevant officers.	Chief Exec	Ongoing
1.c	2	Financial or reputational loss by the Authority.	The desired 'place shape' needs to be formalised and clearly communicated to all staff.	E.D. Place Shaping	
1.d	2	Inability to attract key partners / investment.	Ensure that the Strategic Plan is central to the decision making processes and is reflected in the resource allocations supporting Service Plus areas.	Chief Exec / Head of Resource Management	Annual Budget Process
	3	Key staff difficult to retain leading to loss of knowledge and inability to maintain momentum of the change process.	Ensure that there is a structured use of the 'People Strategy' to ensure skills / capacity are appropriately based and to identify priority areas for improvement.	E.D. Customer Excellence	

2. CUSTOMERS			ACTION PLAN – CUSTOMERS		
Specific Risks	Score	Consequence	Action	Owner	Timing
2.a The Council fails to understand and consult its customers.	1	The Authority fails to manage / understand expectations from its customers.	Ensure that there is a structured corporate wide process to develop a good understanding of our customers which drives service improvement.	E.D. Customer Excellence	Ongoing
	2				
2.b A lack of political awareness amongst officers could lead to a failure to support our elected members.	3	Councillors not engaged with staff to deliver political priorities and fulfil role as community / ward champion.	A programme to improve levels of political awareness has been developed and will be implemented shortly. This will enhance relationship between officers and elected members.	E.D. Customer Excellence	July 09
	4				
2.c The Council fails to enhance the skills of its people to deliver customer excellence.	1	Staff become disengaged with the customer excellence programme and the link to service improvement.	Ensure that the learning and development strategy supports the customer excellence programme.	E.D. Customer Excellence	Ongoing
	3				
2.d The Council fails to develop and align the customer excellence programme, in phase four, with the Way We Work.	1	Customer Excellence will become irrelevant to the Way We Work and loses its profile as a top corporate priority to drive improvement.			
	3				

3. GENERAL MANAGEMENT			ACTION PLAN – GENERAL MANAGEMENT			
Specific Risks	Score		Consequence	Action	Owner	Timing
	P	I O				
3.a	2	4	Service delivery failure.	Develop capacity planning and monitoring plans to anticipate needs.	Head of Corporate Management	Autumn 2009
3.b	2	8	Financial and reputational loss. Personal liability of Officers and Members.	Ensure effective communications strategy and execution.	Head of Corporate Management	Plans included in GSP May 2009
3.c	2	8	Disengaged and demotivated staff. Legal action against the Council.	Ensure people strategy is developed and executed effectively	Head of Corporate Management	Strategy agreed April 2009
13			Loss of stakeholder confidence in the Borough leading to reduced partnership involvement in delivery.	Ensure Organisational Development is clearly defined and monitored within WWW. Programme/	Executive Director Customer Excellence	
3.d	2	8	High staff turnover, high cost of delivery.	Ensure performance management process is effectively implemented and monitored to include development needs and plans.	Head of Corporate Management	Ongoing
3.e	4	12	Efficiency and productivity reduction.	Active promotion and use of Colchester Learning Managers programme and development to meet evolving needs.	Head of Corporate Management	Ongoing
3.f	3	12	Inability to meet changing requirements and needs.			
3.g	2	8	Enforcement action by regulators.	Ensure ICT strategy is developed in conjunction with Service plans and promote industry best practice in IT service management in internal organisation.	Head of Corporate Management	ICT strategy agreed. Service plans under preparation
				Ensure the Performance Dashboard process is used effectively to monitor and remediate performance.	Head of Corporate Management	Ongoing

4. HORIZON SCANNING			ACTION PLAN – HORIZON SCANNING			
Specific Risks	Score			Action	Owner	Timing
	P	I	O			
4.a Requirements of Local Government reorganisation (opportunity & threat)	2	4	8	Ensure organisational readiness to respond to external challenges through the Way We Work programme strands: - People - IT/ flexible working - Customer Excellence - Place Shaping Supported by a robust Medium term Financial strategy and organisational development strategy.	E.M.T.	On-going agenda items
4.b Failure to respond to current economic recession appropriately, to assess its full extent or adapt services including plan for recovery and future needs.	4	3	12			
4.c Underestimation of impact / potential of the Olympic games.	2	2	4			
4.d Failure by the Council to spot / influence at an early stage the direction of Central Government policies / new legislation.	2	3	6			
4.e Potential impact of future central government decisions to reduce public funding.	3	5	15			

5. PARTNERSHIPS			ACTION PLAN – PARTNERSHIPS		
Specific Risks	Score	Consequence	Action	Owner	Timing
5.a Failure or inappropriate performance management of one or more strategic partnerships or key contracts E.g. Haven Gateway, RCE, Serco, CBH	4	The cost of service delivery is increased however quality decreases. Failure to deliver key priorities. Reputational and financial loss by the Authority. Failure to deliver expected outcomes through partnerships Requirement to repay external funding granted to partnership – taking on the liabilities of the 'withdrawn' partner. External assessment of the Councils partnerships are critical and score poorly.	Assess proposed strategic partnerships to ensure that they will satisfy the Council's objectives before commitment to new partnerships is made. Define a relationship / performance management process for partnerships	EMT	Ongoing as part of partnership strategy.
	3				
	12				
5.b Change of direction / policy within key partner organisations and they revise input / withdraw from projects.	3			ED People & Performance	Partnership strategy has been developed and approved by Cabinet.
15 5.c Potential inability to agree shared outcomes/ agendas with partners and the Council's ability to influence partner's performance, particularly in relation to CAA and LAA requirements.	3		Ensure that there is a mechanism to review partnerships and assess the value added.	ED People & Performance	

6. ASSETS & RESOURCES			ACTION PLAN – ASSETS & RESOURCES			
Specific Risks	Score		Consequence	Action	Owner	Timing
	P	I O				
6.a	2	5 10	Service delivery failure. Financial and reputational loss by the Authority. Personal liability of Officers and Members. Legal actions against the Council.	Ensure that there is a robust system of internal control that encompasses all assurance systems including Internal Audit, Risk Management, Budget process, Corporate Governance and performance management. This must be reported to senior officers and members on a regular basis to ensure that it is fully embedded.	EMT / Head of Resource Management	There is an ongoing cycle of reviewing and reporting including internal Audit, Risk management and the AGS
6.b	4	3 12				
6.c	3	2 6	Loss of stakeholder confidence in the Borough Inability to sustain costs	Continue to ensure that the budget monitoring process is reflective of finances across the whole Council not just individual service areas.	Head of Resource Management	Monthly reports to PMB. Quarterly reports to FASP
6.d	3	2 6	Failure to deliver a balanced budget. Required to use Reserves & Resources to fund services and support Renaissance programme without ability to 'top-up'. Severe impact on cash-flow leading to negative effect on performance targets.	Develop the annual budget strategy to ensure it has controls built in to be able to respond to changes in the strategic objectives.	Head of Resource Management	Annual exercise. Council approves the final budget in February
				Review the medium term financial outlook and capital programme processes to ensure they are kept up to date and realistic.	Head of Resource Management	MTFS is part of the budget strategy & considered during the process. Capital programme reported to FASP quarterly.

RISK MATRIX QUARTER 1&2 2009/10 - SEPTEMBER 09

Low Risks	Medium Risks	High Risks
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Scoring 1-5

Risk Tolerance Line

Probability of Occurrence	5 Very High					
	4 High			3e 4b 5a 6b		
	3 Medium		5b 5c 6c 6d	1b	2b 3f	4e
	2 Low		3a 4c	1a 1d 4d	3b 3d 3c 3g 4a	1c 6a
	1 Very Low		2a	2d 2c		
		1 Very Low	2 Low	3 Medium	4 High	5 Very high
Severity of Impact						



Finance & Audit Scrutiny Panel

Item
11

20 October 2009

Report of

Head of Resource Management

Author

Hayley McGrath
508902

Title

Annual Review of Business Continuity

Wards
affected

Not applicable

This report reviews the Business Continuity work undertaken for the period 1 October 2008 to 30 September 2009.

1. Actions Required

- 1.1 Consider and note the business continuity work undertaken during the period.
- 1.2 Consider and comment on the proposed business continuity strategy.
- 1.3 Consider and note the intended work plan for 2009/10.

2. Reason for Scrutiny

- 2.1 The Risk Management Strategy, which forms part of the policy framework, identifies the Finance and Audit Scrutiny panel as being responsible for reviewing the effectiveness of the risk management process and reporting critical items to cabinet as necessary. Business continuity is an integral part of the risk management process and it is appropriate that a detailed progress report is provided to this panel.

3. Key Messages

- Business continuity has been aligned with Emergency Planning, so whilst they are still separate services they are co-ordinated and compliment each other.
- A business continuity culture is being embedded throughout the authority with all service areas having a draft plan and the creation of a dedicated information area on the Hub – demonstrated by an increase in the internal audit assurance level.
- Benchmarking exercises show that Colchester is performing at a similar level to other Essex Authorities with regards to business continuity.

4. Supporting Information

- 4.1 Under the Civil Contingencies Act 2004 the council has two duties relating to business continuity:
 - To be able to carry on providing its own services in the event of a disruption
 - To provide advice and guidance relating to business continuity to local businesses and voluntary organisations.
- 4.2 The responsibility for ensuring that the Council has effective business continuity plans rests with the Executive Director for People and Performance and forms part of the Risk Management function in the Resource Management Service area. The role of the Risk & Resilience Manager is to provide advice and guidance and to co-ordinate the individual service plans and the overall Council plan. Issue specific plans, such as responding to a flu pandemic, are also required.

4.3 Business continuity issues are primarily reported to the 'First Call Officer' group, this consists of the senior management team and other key staff. The primary role of this group is to provide the strategic management of any emergency – either internal or external. The group meets every two months to review plans and consider emergency planning and business continuity issues.

4.3 The duty to provide advice and guidance to local businesses rests with the Emergency Planning team within Environmental and Protective Services.

5. Summary of Work Undertaken

5.1 The first internal audit report of the business continuity function, carried out in April 2007, highlighted that there were several areas of weakness which resulted in a 'no assurance' score. A further audit carried out in December 2008 showed that there had been significant improvements, with the assurance level raised to 'limited' but with only four recommendations, which related to the issue of the corporate plan and placing information on the Hub. These recommendations have now been implemented.

5.2 The main focus of the work in the past year has been to further develop the corporate and service plans. This has been a process of assessing key services and critical risks and ensuring that service areas have identified their needs in the event of an interruption.

5.3 During the past year there has also been work undertaken to raise the profile of business continuity including a staff quiz last November. This was available to all staff either on the Hub or in hard copy format. An information sheet was provided and staff were then asked to answer multiple choice questions about the information. This received a very good response with over 300 entries across all service areas. The page also had the biggest hit rate on the Hub for the month of November with over 800 hits. There is a dedicated business continuity and emergency planning area on the Hub containing advice and guidance, which is available for all officers and members to use.

5.4 Issues relating to swine flu have dominated the business continuity work for the later part of the year. Detailed response plans have been put together and actions have included the following:

- Issue of a guidance booklet for managers and staff
- Creation of a flu management team to co-ordinate our response if services start to suffer
- Distribution of advice posters
- Implementing an internal reporting system for services – this was used briefly during the first wave
- Carrying out a staff skills audit – this was to gauge staff skills that could be used to help support critical services. This was a voluntary questionnaire and to date over 25% of staff have completed it.
- Carrying out a table top exercise with senior managers to test and refine the swine flu plan.

5.5 One of the areas that was concentrated on this year was to align business continuity with emergency planning. Whilst they are separate services they overlap and should operate together. Therefore the business continuity processes need to complement the emergency plans. To achieve this the Risk and Resilience Manager has been working closely with the Protective Services Manager, who is responsible for emergency planning, and the Joint Emergency Planning Officer from Essex County Council. Both of whom have been extremely helpful in developing our business continuity processes.

5.6 Business continuity is now included as a standing item in the 'First Call Officer' meetings (these are sessions held every other month that are used to brief senior officers on their emergency planning duties) and an all day emergency planning exercise took place in February 2009 where the senior officers were given specific scenarios that they had to respond to, this included business continuity issues.

5.7 The Risk and Resilience Manager has attended the quarterly meetings of the Essex Business Continuity Working Group. This group consists of emergency planning and business continuity officers from across the county and meets to ensure that there is a coordinated approach to providing advice and guidance to businesses and the public and to share best practise. The group has also carried out several benchmarking exercises relating to business continuity effectiveness.

5.8 The Risk and Resilience Manager has also represented the business continuity service at several events including the annual parish councils emergency planning seminar, staff road shows and training sessions for emergency planning volunteers.

6. Business Continuity Strategy for 2009/10

6.1 As part of the Use of Resources assessment the Audit Commission looks to see that the Council has a structured approach to managing potential service interruptions. Having a strategy enables us to demonstrate that we have considered the high level issues and have set a framework for managing those risks. A strategy also demonstrates that senior management are committed to ensuring that we can still provide our services in the event of a disruption. The attached strategy, appendix 1, was agreed by the Performance Management Board on 7 October 2009.

7. Work plan for 2009/10

7.1 With regard to the comments made in the internal audit review, and the self assessment, the following areas will be the primary focus for developing business continuity further in 2009/10:

- Completion of the service plans. All of the Heads of Service are now in post and the primary objective for 2009/10 will be the review of the service plans.
- Development the information area on the Hub so that all staff can access the non-confidential parts of the plans.
- Creation of a training programme – using resources such as the Learning Pool (An on-line website that contains short training sessions on various topics that is available to all staff)

8. Proposals

8.1 To note and comment upon the Councils progress and performance with regard to business continuity during 2008/09, the Business Continuity Strategy and work plan for 2009/10.

9. Strategic Plan Implications

9.1 The ability of the Council to carry on providing critical services, even when dealing with a major disruption, is a fundamental part of customer excellence. Whilst business continuity does not directly affect the strategic plan it ensures that the systems that do can continue to operate.

10. Risk Management Implications

10.1 The failure to adequately manage a business interruption may have an effect on the ability of the Council to achieve its objectives and operate effectively.

11. Other Standard References

11.1 There are no direct Publicity, Financial, Consultation, Equality and Diversity, Human Rights, Community Safety or Health and Safety implications as a result of this report.



COLCHESTER BOROUGH COUNCIL

BUSINESS CONTINUITY STRATEGY

October 2009

CONTEXT

Colchester Borough Council, like every Local Authority, has key organisational objectives to meet, some of which will be based on statutory requirements. All will be aimed at providing and improving services to the community. Any failure, actual or perceived, to deliver the full range of services will have a negative impact on both the community and the authority. As such, all reasonable measures should be adopted to minimise the likelihood of business or service interruption.

The Civil Contingencies Act 2004 places a specific duty on local authorities to ensure that they have prepared, as far as reasonably practical, to continue to provide critical functions during any disruptive incident.

However the Civil Contingencies Act is just one of the key drivers for Business Continuity. Under the Audit Commission assessment criteria, Business Continuity is becoming one of the key areas that are reviewed as part of the Corporate Governance arrangements. But above all Business Continuity is critical to the Council in its ability to survive an incident with as little disruption to services as possible.

This Business Continuity Strategy provides the framework for a Plan to be implemented by the Council in order to mobilise its response and undertake work to prevent or mitigate the severity of potential disruptions.

The Plan will identify the specific recovery objectives, the structure for implementation, mitigation measures and the communication process to keep staff, partners and the public informed of necessary changes to service delivery.

OVERVIEW

The strategy adopted for development of the Business Continuity Plan can be summarised as follows:

- The basic need is to prepare a Corporate Incident Management Plan. This is an operational document designed to assist the authority in the event of a disruption occurring. The Plan will set priorities and communications to ensure an appropriate response to any disruption.
- The Corporate Incident Management Plan is the overall tool for the Council and event controllers. This will be supported by service specific Business Continuity Plans which ensure that each service is able to respond appropriately to an incident whether it is a corporate or service specific interruption.
- Incident specific plans will also be developed for corporate issues where the risk indicates sufficient likelihood of occurrence and the impact is seen to be severe, such as fuel shortages, power failures and severe weather.
- Business Impact Analyses (B.I.A.s) will be undertaken to be able to develop the plans. B.I.A.s will assess the key risks and key services at both Corporate and Service level and will help to identify preventative measures that can be undertaken.

AIM AND OBJECTIVES

The aim of the Strategy is:

- To support the Council in anticipating risks for the purpose of mitigating them and having flexible plans in place which are already tested to minimise disruption when unplanned events significantly interrupt normal business.

The objectives are:

- To identify preventative measures that can be carried out to minimise the likelihood of an incident occurring.
- To ensure the Council can continue to exercise its functions in the event of an emergency.
- To integrate the Business Continuity requirements with the Emergency Planning responsibilities of the Authority to ensure that in the event of a major disruption the Authority can respond appropriately both internally and externally.
- To identify the essential services, in order to determine overall priorities for recovery of functions if disruption takes place.
- To ensure all Council service areas are involved in the preparation of the Plan, so that there is an effective and consistent response to service continuity.
- To provide a basis for cost benefit analysis to determine which contingency plans will be developed.
- To develop a process to review and update the overall Plan and develop service area, functional or specific plans where necessary, in order to protect the services and reputation of the Council.
- To undertake training and awareness programmes for staff, elected members, suppliers and partners.
- To carry out regular tests of the Plan to validate the arrangements.

THE BUSINESS CONTINUITY PROCESS

Irrespective of an unusual or disruptive event, occurring internally or externally, the capabilities of the Council to provide services to the community must be maintained. This process aims to address the issues likely to arise, and to identify measures to mitigate them.

This process recognises that ‘Business Continuity’ can be considered in three phases:

- DEFENCE - The prevention of disruption
- CONTINUITY - Maintenance of essential services during a disruption
- RECOVERY - The return to normality

Business Continuity is an on-going cyclical process of risk assessment, management and review with the purpose of ensuring that the business can continue if risks materialise.

The effective implementation of Business Continuity has four stages:-

- Recognition of Need & Initiation
- Defining Requirements & Strategy
- Implementation
- Operational Management

Appendix 1 sets out the component parts of each stage of the implementation.

RESPONSIBILITY FOR BUSINESS CONTINUITY

To be effective Business Continuity should be fully endorsed and actively promoted by senior management and there should be a clearly defined responsibility for co-ordination of Business Continuity. However it does not belong to one person or role and every service has a responsibility for ensuring that they are capable of responding to an interruption.

There are three levels of responsibility for managing the business continuity process:

1. Co-ordinator
2. Corporate Response Team
3. Service Teams

Appendix 2 outlines the structure for Business Continuity relationships.

In essence there is a core role of co-ordinating the process and ensuring that services have access to information and assistance when building their own plans, mainly through the use of an operational Business Continuity Group consisting of representatives from each service. This co-ordinator also has responsibility for ensuring that key partners are involved in the process.

In the event that there is a disruption there should be a defined corporate response team who will have overall control of the situation. The co-ordinator is responsible for maintaining details of this team ensuring that they are fully briefed on executing the plan and are informed of any potential issues that may arise.

There should also be individual service action teams who are responsible for ensuring that their service has its own response plan and can manage the continuity and recovery for the functions within that service. The team is likely to consist of one person for the process of defining the response plans and day to day co-ordination of Business Continuity, but will call upon other senior managers if and when the plan needs to be put into practice.

Appendix 3 sets out the roles and responsibilities for Business Continuity at all levels.

LINKS

To be an effective management tool and to truly embed the process throughout the organisation the plan should recognise and be influenced by the Council's operational and strategic risk registers, this will lead automatically to the plan linking into the Internal Audit plan, the strategic plan and the budget process. The plan should also recognise the Community Risk Register to ensure that external impacts are recognised and allowed for.

The Business Continuity process must also be closely linked to the Emergency Planning process. In any major scenario it is likely that other organisations in the Borough will be effected as well and it is essential for the Council to be able to respond to their requirements as well as its own. Due to the nature of the response required from Emergency Planning it is likely that they will be the first service to receive external information regarding potential issues and it is imperative that there is a system for incorporating these issues in the Business Continuity process.

TRAINING

All members of the Corporate Response Team and the Service Teams need to be trained on an annual basis to ensure that they are fully aware of how to implement the plan. All staff should be informed of the process (preferably as part of the induction process) and further training should be available if required. Members should be trained to ensure that they know of the existence of the plan and also how they can assist, politically, in the continuity and recovery process.

REVIEW PROCESS

The Plan will be reviewed annually to ensure that it is still relevant to the Council's needs. However the individual plans for each service will be subject to review every six months to ensure that information on service functions and contact details are kept up to date.

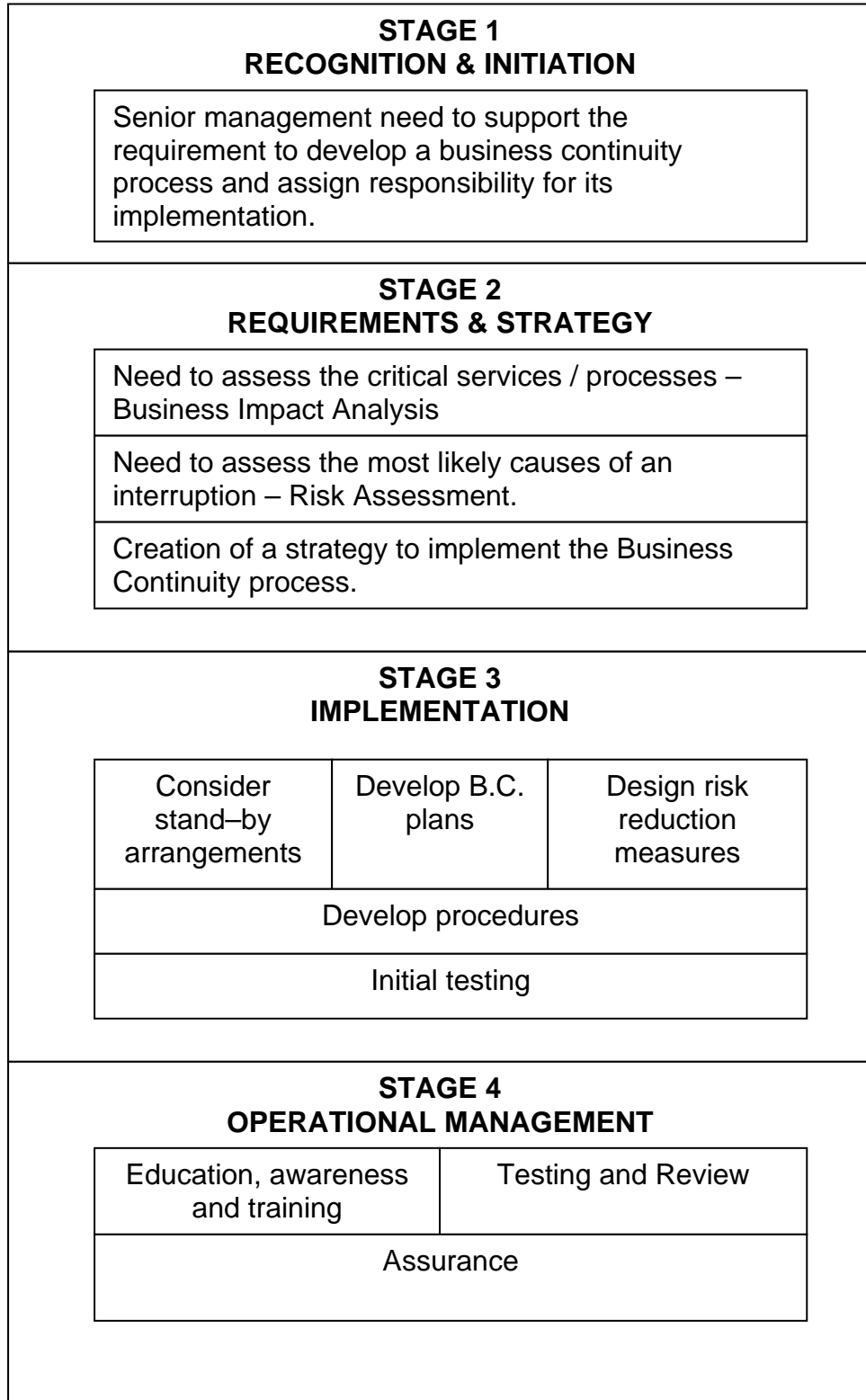
The outcome of training and exercises for the Plan will be incorporated into the annual review process.

The high risks, priority services and preventative actions will be re-assessed as part of the annual review process.

ROLES & RESPONSIBILITIES FOR BUSINESS CONTINUITY

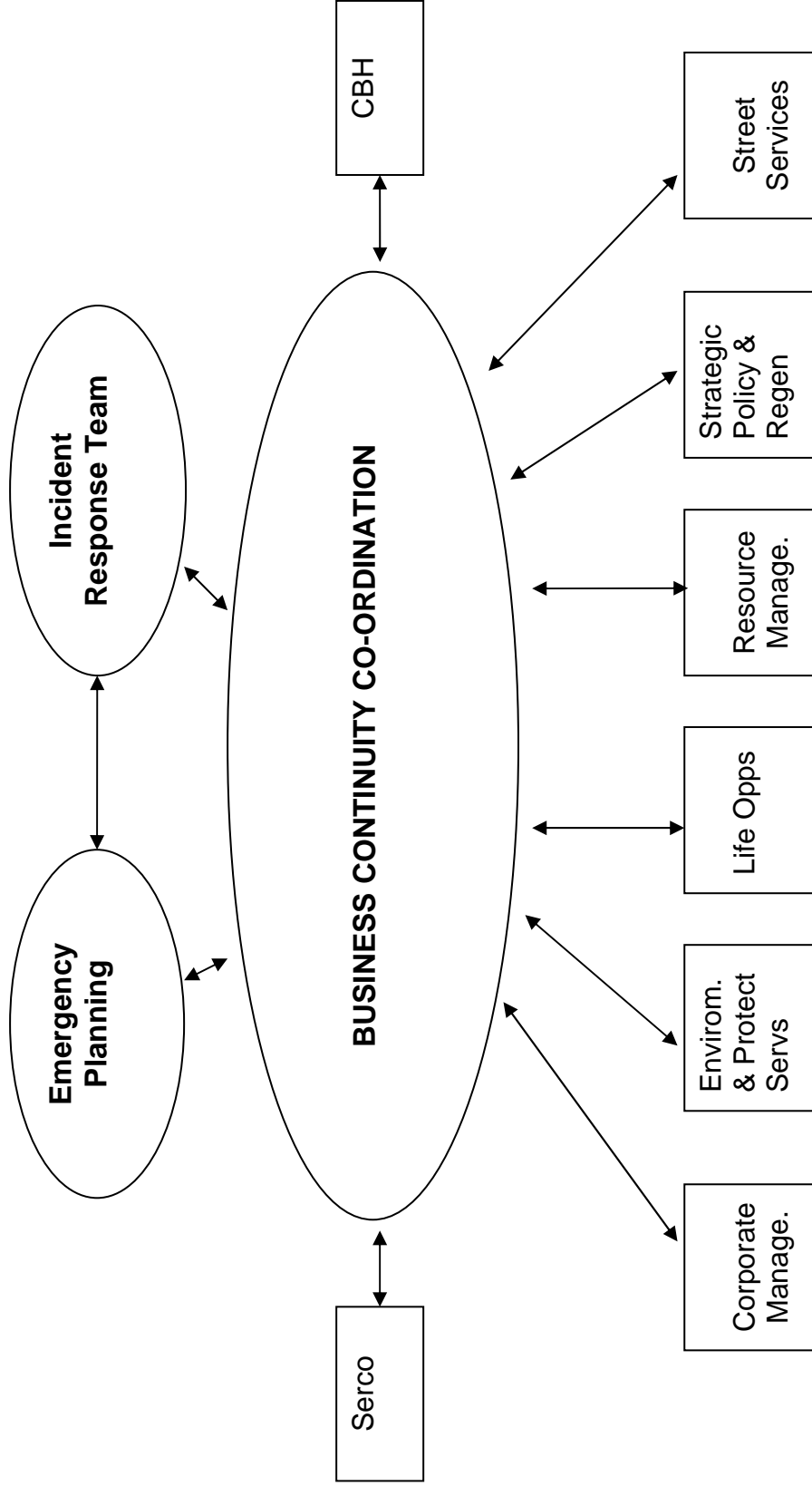
	Strategy And Plan	Defence	Continuity	Recovery
Members	Agreeing the Strategy and Plan Determined by Officers	Endorsing the defence plans and ensuring that political decisions are taken with due regard for Business Continuity.	Political will to ensure that there is a united approach to continuity.	Political will to ensure that there is a united approach to recovery.
Business Continuity Co-ordinator	Devising and co-ordinating the strategy and plan	Ensuring that the defence actions are appropriately implemented, are regularly reviewed and that services have developed own plans.	Co-ordination of the Corporate Response Team and the Service Action Teams. Guidance on the plan and mitigating actions during the incident.	Co-ordination of the Service Action Teams. Guidance on the plan and reporting progress of recovery to senior management.
Senior Management Team	Approval and support of the Strategy and Plan. Completion of service plans.	Critical review and approval of the defence actions.	Support of the actions of the Corporate Response Team during the incident.	Support the actions of the Service Action Teams, endorse recovery priority for services.
Corporate Response Team	Overview of strategy and plan. Review of 'new issues'.	Critical review of the defence plans. Ensuring that the information contained within the plan is accurate. Annual testing of the plan.	Control the response to the incident until such time as the organisation enters the recovery stage. Ensuring that priority services are afforded the proper support. Ensuring information is available to members and staff. Keeping SMT informed.	Review the actions of the Service Action Teams. Facilitate full recovery and ensure that recovery follows the correct priority. Liaison with external agencies. Ensuring information is available. Keeping SMT informed
Service Action Teams	Input into the formulation of the strategy and plan.	Development of defence plans and implementation of control actions. Ensure that checklists of key info are compiled. Identification of service priorities.	Co-ordinate their service's response. Act as a liaison between Corporate Response Team and Service. Respond to Corporate Response teams requests during an incident.	Implement their own team recovery plan whilst maintaining the link with the Corporate Response Team. Briefing staff. Overseeing alternative accommodation.
Employees, contractors and partners	Knowledge of the strategy and plan, and awareness of impact on own job / service.	Knowledge of the defence plans and awareness of impact on own job / service	Assist with the incident where required. Know how to / who to contact in emergency.	Assist with recovery where required. Understand how they fit into the recovery of their service.

BUSINESS CONTINUITY IMPLEMENTATION PROCESS



Appendix 2

BUSINESS CONTINUITY RELATIONSHIP CHART





Finance and Audit Scrutiny Panel

Item
12

20 October 2009

Report of	Scrutiny Officer	Author	Robert Judd
Title	Work Programme 2009-10		Tel. 282274
Wards affected	Not applicable		

This report sets out the rolling 2009/10 Work Programme for the Finance and Audit Scrutiny Panel

1. Action Required

1.1 The Panel is asked to consider and comment on the rolling 2009-10 work programme.

2. Reason for Action

2.1 This function forms part of the Panel's Terms of Reference in the Constitution.

3. Amendments and/or additions to the work programme

3.1 The Annual Governance Audit Report (A&R), previously scheduled for the meeting on 20 October 2009, has been rescheduled to the meeting on 17 November 2009.

3.2 The reports on the 2009 Use of Resources Statement and Managing Performance will be reported by Ms. Ann Wain, Executive Director to the panel at the meeting on the 26 January 2010.

3.3 The overview of the Grounds Maintenance contract, provisionally scheduled for 20 October, to be scheduled to the meeting on 26 January 2010.

4. Alternative Options

4.1 This forms part of the Panel's Terms of Reference in the Constitution, and there are no alternative options.

5. Standard References

5.1 There are no policy plan references or financial implications in this matter. There are no equality, diversity or human rights issues in this matter and therefore no Equality Impact Assessment has been completed. There are no health and safety, community safety or risk management implications in this matter.

5.2 The work of the Finance and Audit Scrutiny Panel is a key function to ensure probity in financial, audit and risk management, and is in line with the aims of the strategic plan.

Finance and Audit Scrutiny Panel

Incorporating Accounts and Regulatory Committee (A&R)

WORK PROGRAMME 2009-10 (last updated 8 October 2009)

To be scheduled

1. Review of Firstsite:Newsite project and business plan – date to be arranged
2. VFM review of Council funding to Firstsite, The Mercury and Arts Centre – date to be arranged
3. Progress report on the Free Freighter Service – date to be arranged in 2010

30 June 2009

1. 2007-08 Annual Audit and Inspection Letter (A&R)
2. 2008-09 External Audit Report (A&R)
3. 2008-09 Internal Audit Report (A&R)
4. Annual review of the Governance Framework and Statement (A&R)
5. 2008-09 Annual Governance Statement (A&R)
6. Draft Annual Statement of Accounts (A&R)
1. 2008-09 Revenue Expenditure pre-audit outturn (FASP)
2. 2008-09 Capital pre audit outturn (FASP)

28 July 2009

1. Annual Report on Treasury Management
2. 2008-09 Risk Management Summary

18 August 2009

1. 2009-10 Revenue Expenditure, period April to June
2. 2009-10 Capital Monitor

22 September 2009

1. 2009-10 Internal Audit Monitor, period April to June
2. 2009-10 External Audit Monitor, period April to June (no business to report)
3. Annual Statement of Accounts (A&R)
4. Office of High Steward (A&R)
5. Review of Parking Services (Portfolio Holder and Head of Service to attend)

20 October 2009

1. Report Publication of Audited Statement of Accounts (A&R)
2. Risk Management period April to September
3. Annual Business Continuity Progress report

17 November 2009

1. 2009-10 Internal Audit Monitor, period April to September
2. 2009-10 Revenue Expenditure, period April to September
3. 2009-10 Capital Monitor
4. 2009-10 Treasury Management Monitor
5. Annual Governance Audit Report (A&R)

26 January 2010

1. 2010-11 Budget Strategy
2. Treasury Management - Investment Strategy
4. Grounds Maintenance Contract(s) (Hd of Life Opportunities)
5. Use of Resources statement 2009 (EDO)
6. Managing Performance (EDO)

23 February 2010

1. Risk Management, period April to December
2. 2009-10 Revenue Expenditure, period April to December
3. 2009-10 Capital Monitor

23 March 2010

1. 2009-10 Internal Audit Monitor, period April to December
2. Annual Governance Statement briefing paper
3. Internal Audit Annual Plan 2010-11
4. Supplementary opinion audit plan

