

Chief Executive's Office

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**To: All Members of Cabinet:
R.J. Phillips (Leader)
G.V. Hyde (Deputy Leader)
Mrs. L.O. Barnett
P.J. Edwards
Mrs. J.P. French
J.C. Mayson
D.W. Rule MBE
R.V. Stockton
D.B. Wilcox
R.M. Wilson
)**

6th April, 2005

Dear Councillor,

**MEETING OF CABINET
THURSDAY, 14TH APRIL, 2005 AT 2.15 P.M.
COUNCIL CHAMBER, BROCKINGTON, 35 HAFOD ROAD, HEREFORD**

AGENDA (05/07)

1. APOLOGIES FOR ABSENCE

To receive any apologies for absence.

2. DECLARATIONS OF INTEREST

To receive any declarations of interest by members in respect of items on this agenda.

3. ANNUAL EFFICIENCY STATEMENT

To approve the Council's forward looking Annual Efficiency Statement. *(Pages 1 - 8)*

4. RISK MANAGEMENT REPORT YEAR END 2004/05

To receive a summary of the key risks faced by the Council and the mitigating actions being applied to control them. *(Pages 9 - 34)*



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5. LOCAL AREA FORUMS

To receive feedback on the January 2005 round of meetings and to consider the renaming of the Local Area Forums. *(Pages 35 - 46)*

6. CORPORATE HEALTH PERFORMANCE

To receive an update on the Council's corporate performance in relation to our National and Local Best Value Performance Indicators from 1 April 2004 to 31 January 2005, reported on an exception basis where there is a variation on the target of at least + or - 10%. *(Pages 47 - 52)*

7. STRATEGIC AUDIT PLAN 2005/06 - 2008/09

To receive a report on the process used to develop the Strategic Audit Plan for 2005/06 to 2008/09 and the Annual Plan for 2005/06. *(Pages 53 - 90)*

Yours sincerely,



**N.M. PRINGLE
CHIEF EXECUTIVE**

Copies to: Chairman of the Council
Chairman of Strategic Monitoring Committee
Vice-Chairman of Strategic Monitoring Committee
Chairmen of Scrutiny Committees
Group Leaders
Directors
County Secretary and Solicitor
County Treasurer

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COUNTY OF HEREFORDSHIRE DISTRICT COUNCIL

BROCKINGTON, 35 HAFOD ROAD, HEREFORD.

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ANNUAL EFFICIENCY STATEMENT

PROGRAMME AREA RESPONSIBILITY: CORPORATE STRATEGY AND FINANCE

CABINET

14TH APRIL, 2005

Wards Affected

County-wide.

Purpose

To approve the Council's forward looking Annual Efficiency Statement.

Key Decision

This is not a Key Decision.

Recommendations

That the Corporate Strategy Statement attached in appendix 1 and the individual elements of the Annual Efficiency Statement in appendix 2 be approved.

Reasons

Cabinet is required to approve both the corporate and service approach towards making efficiency savings and ratify that this is both robust and achievable.

Considerations

1. A forward-looking Annual Efficiency Statement (AES) has to be made available to the Audit Commission by the 15th April this year. The Council is required to make £3,300,000 in efficiency gains with at least half of this amount releasing cash. The Chief Executive's Management team has set a higher target at £3.500,000 to comply with Comprehensive Performance assessment requirements.
2. An important part of the AES is the corporate strategy and this is set out in appendix 1. It explains why the Council needs to realise these efficiency gains and how it will go about achieving them. Appendix 2 shows in detail the actions services are taking to comply with the efficiency agenda.
3. Cabinet will note from the strategy that a significant percentage of the efficiency gains are cashable, which is in line with the Corporate Plan requirements to release resources to meet the Council's objectives. Accordingly, detailed work is also taking place on identifying efficiencies into the medium term and the Invest to Save allocation within this year's budget will play a key role in delivering these.
4. It is envisaged that the AES will go through a robust scrutiny process by the Audit Commission. In this respect the efficiency gains included need to be both substantiated and delivered. Interim monitoring will take place in November in addition to a full review in 2006/07.

Further information on the subject of this report is available from Andrew Tanner, Assistant County Treasurer (01432) 260162

5. The AES will be an integral part of the financial planning and budget process for 2006/07.

Risk Management

The Annual Efficiency Statement will form a major part of the Council's Use of Resources assessment. Failure to reach level 3 on this assessment will prevent the Council from becoming an 'excellent' authority. The Council currently assesses itself as being at level 2 on the revised criteria.

Consultees

None.

Background Papers

Budget report for 2005/06

Annual Efficiency Statement

Since its inception in 1998, Herefordshire Council has been innovative in delivering its frontline services. Partnerships have constantly been sought with the private sector and other public sector organisations to maximise both the efficiency and effectiveness of service provision.

Major examples of these partnerships have been:

- The joint Waste PFI project with Worcestershire.
- A ten-year contract with Jarvis Plc to form Herefordshire Jarvis Services securing efficiency savings of £600,000 per annum.
- The transfer of residential care homes to Shaw Homes.
- The transfer of leisure provision to Halo.
- The transfer of the housing stock to Herefordshire Housing.

In each of these major areas of business, the Council has ensured significant efficiencies are realised from the new arrangements. Being a rural authority there is a high cost of providing many services which is not fully reflected in national finance settlements. The approach, therefore, to service procurement and delivery has to be innovative in order to maintain the standards which have been set since 1998. The current 'Good' CPA classification does not necessarily do justice to the individual service assessments. The Council performs exceptionally well in many high profile areas including attainment in schools, helping older people to live independently and strategic housing and transport. Indeed, the latter has just been confirmed as a centre of excellence. The current Use of Resources assessment is the maximum 4 although there is a realisation that further improvements are required in this area to meet the revised standards set by the Audit Commission.

The Council's strategy for securing efficiencies is driven by the overriding factor of delivering the Corporate Plan within the constraint of a limited financial resource. Providing value for money for the County's residents is always the paramount concern, hence the Corporate Plan provides for minimal Council Tax increases over the medium term. Unavoidable spending pressures, specifically in waste disposal and care of older people, require cash to be released from other areas of business and there is a clear strategy to achieve this with minimum reductions in service. The Council does understand, however that this may not always be possible and it uses in depth public consultation to influence service priorities and is clear about what can, and what cannot, be achieved in the Corporate Plan.

The Council also is aware that the procurement initiatives implemented since its inception have made the realisation of significant future efficiency savings a very challenging task. The ongoing requirements in years 2 and 3 for savings will need to be carefully planned at this time and the creation of an Invest to Save fund is a highlight of the 2005/06 budget. The remainder of this Statement summarises the service and organisational developments which will not only deliver the efficiency gains in the current year, but also how targeted investment made in 2005/06 will realise the required gains in the medium term.

The corporate efficiency strategy is based around making the most out of the following three areas of the organisation:

- Procurement.
- Business processes; and
- Human resources.

The draft procurement strategy has recently been produced. The revised corporate structure has placed procurement in a prominent position within the new Resources and Property Directorate. The principles, however, behind the Council's approach to procurement will largely remain unchanged. This Statement has already referred to the strong track record the Council has in procurement and partnerships and the strategy will seek to build on these successes by continuing to:

- Identify opportunities for alternative service provision through strategic procurement.
- Develop partnerships or consortia as appropriate, including making the fullest possible use of West Mercia Supplies.
- Recognise the benefits of extending existing contracts and relationships.
- Where possible use eProcurement channels.

The Service Improvement Programme (SIP) has already resulted in some major successes, most noticeably in Revenues and Benefits where the performance gains in benefit processing has moved the service in to the top CPA category. A programme manager is soon to be appointed to move SIP to the next stage and advise on the prioritisation of the services already targeted for major efficiency gains in the next few years. Work currently underway includes:

- The rationalisation of office accommodation in to the Plough Lane site.
- The elimination of duplicate activities between the Environment and Policy and Community Directorates.
- The identification of resources required and the timescales for the establishment of a corporate contact centre.
- The creation of a project to deliver a corporate document management solution.
- The rolling out of the ICT back office integration project to incorporate other areas of business, specifically e procurement; corporate HR and performance management.

It is intended for the overall SIP programme to realise cash savings of £1,000,000 over the medium term. The nature of the improvements will require relatively long lead-in times before these savings are realised, in addition to a significant usage of the corporate Invest to Save Budget. An important piece of work underway now is the agreement of the cost baselines in the service improvement areas in order to measure the success of the overall project.

The recent senior management restructure has been partly driven by the need to harness resources within the service improvement agenda. Accordingly a new Corporate and Customer Services Directorate will be created with the delivery of SIP being a priority.

The corporate HR Strategy is a key component in delivering the Corporate Plan and clearly recognises staff as the Council's most important asset. The focus starts with ensuring that all managers are equipped to manage and the Council will continue to improve its extensive management development programme.

Four aspects of the efficiency agenda in relation to staffing which are being specifically addressed are:

- Managing absence.
- Improving recruitment practice.
- The introduction of flexible working; and
- Understanding performance management.

All four will result in both performance gains and cash savings. The success of the policies is dependent, however, on the Council's ability to disseminate and ingrain best practice across all the services. This is why the focus starts at the top with the development and empowerment of managers to implement these changes.

Increasing productive time is often addressed through improving local practices. However, the corporate agenda facilitates this through:

- Reducing travelling time by better use of ICT and rationalisation of office accommodation; and
- A better understanding of staff performance driven by training and the Staff Review and Development Scheme.

The focus of the Annual Efficiency Statement is on cash efficiency savings, although this does not in any way under-value the Council's approach to performance improvement which is fundamental within the Corporate Plan. Over 80% of the efficiency gains identified are cashable and these are required to deliver the Corporate Plan over the medium term. The Council intends to comfortably meet the minimum level of efficiency gains set by the Government and has self imposed a target of at least £3,500,000.

There are major gains in Adult Social Care where base budgets have been subject to considerable scrutiny owing to increasing service demands. Two major gains are planned in contract procurement and reducing the reliance on temporary staff.

Other significant gains have come from the major management restructure within Policy and Community Directorate to achieve a sharper focus on service priorities and also in the creation of a new Children's Directorate. The majority of the savings within the Environment Directorate are related to utilising the purchasing power of the Council to negotiate the best deals and improving working practices.

There are, therefore, some major efficiency gains within the main budgets but there is a strong expectation that the efficiency agenda is followed by every part of the Council no matter the size; hence the inclusion of relatively small numbers in the overall submission. The challenge will be in the next few years as this year's gains are built on. The Invest to Save Budget, therefore, will need to be effectively utilised this year in delivering some of the key corporate developments required to continue to deliver efficiency gains. This will focus on several of the elements of this statement such as improving the customer interface; corporate procurement as well as specific investment requirements from individual services.

Education

	Cat	Expected annual efficiency gains £000			of which other spend £000			of which cashable £000			Strategy	Key Actions	Quality Cross Check
		5/6	6/7	7/8	5/6	6/7	7/8	5/6	6/7	7/8			
Improved routing and scheduling of school transport	e1	150	150	150	150	150	150	150	150	150	Continued route reviews in school transport achieving savings by minimising number of buses and mileage travelled. Transport efficiencies will be achieved over a number of years.		
System efficiencies in awards and grants administration	e1	50	50	50	50	50	50	50	50	50	Achieving savings in administration e.g. Student awards and grants through our service delivery partners. Seeking to deliver greater outputs from the same or less resource input, people, time and/or money.		
2% improvement in KS 1,2,3,4,5 results	e3	18	18	18	18	18	18	18	18	18	A cross directorate working group of senior managers has been set up to bring together the service improvements and the financial efficiencies that can be realised from the creation of the new Children's Services Directorate. The approach will be to combine a mixture of better and more efficient working practices with the opportunity to achieve financial savings for re-investment in other high priority service areas.		
LEA Standards Fund	e3	16	16	16	16	16	16	16	16	16			
General efficiencies from better working practices within newly created Children's Directorate	e3	151	151	151	151	151	151	151	151	151		*****	
Totals		385	385	385	385	385	385	200	200	200			

RISK MANAGEMENT REPORT YEAR END 2004/05

PROGRAMME AREA RESPONSIBILITY: CORPORATE STRATEGY AND FINANCE

CABINET

14TH APRIL, 2005

Wards affected

County-wide.

Purpose

To receive a summary of the key risks faced by the Council and the mitigating actions being applied to control them.

Key decision

This is not a key decision.

Recommendation

- That (a) **Cabinet considers both the corporate and significant service risks outlined in the report and assures itself that sufficient mitigating actions are being undertaken to safeguard the Council's business and reputation; and**
- (b) **Cabinet approves the advice that no changes will be made to the existing risk management strategy for 2005/6 and agrees to a further annual review of the strategy in March 2006.**

Reasons

Consideration of risk management issues is required to safeguard the Council's business reputation.

Considerations

1. The Corporate Risk Strategy was adopted by Cabinet in April 2004. An important element of this strategy was the monitoring role set out as follows:
 - The Performance Leads Group will, on a quarterly basis, consider and review those risks reported and submit their findings to the Chief Executive's Management Team via the County Treasurer and Head of Performance Management.
 - A formal review and report will be generated annually. This will form the basis of an annual review of strategic risks to be reported to Cabinet.

2. This is the first full year that the Council has worked with the agreed risk management strategy. A great deal of effort has been put into educating and supporting managers in working with the strategy and improving the Council's overall approach to managing its risks. The Council has also been developing a comprehensive risk register, in addition to those held for individual Directorates and services, as well as a high level register of corporate risks. These are attached as appendices.
3. The risk management strategy is now becoming embedded as part of the Corporate, Annual Operating and Service Planning processes. It is important that managers increasingly see risk as part of the wider performance management agenda and the evidence is that they are. The strategy has, on the whole, worked well and it is not proposed to make any amendments to it for 2005/6. There will be a further review in March 2006.
4. Detailed consideration has been given to how risks can be monitored most effectively by Cabinet as a body. This report aims, therefore, to not only highlight the Council's key risks but also set out the principles for this type of corporate reporting.
5. The key principles for corporate reporting of risks were set out in the November 2004 report and split risks into three broad categories:
 - Service risks: risks which only affect a single service (but could have a wide reputational impact on the Council), a typical example being a high profile child abuse case.
 - Cross-departmental risks: typical examples of cross departmental risks are recruitment and retention issues which impact on all departments and the potential impact of service reductions on staff.
 - Corporate Risks: there is a slightly blurred distinction here between corporate and cross-departmental risks. A major corporate risk, for example, is a downgrading in the Council's CPA assessment, although this could have a direct impact on, or be driven by, service considerations.
6. A further useful categorisation was also identified in the last report being those risks which are considered new or emerging and those which are largely inherent. In terms of direct action, the former category will generally be more evident or highlighted in corporate reports. The remainder of this report details the main cross cutting and corporate issues emanating from the current risk logs. A more comprehensive list, including a hierarchy of risks is included in Appendices 1 and 2.

Cross Cutting and Corporate Risks – position at February 2005

7. The risks identified in November 2004 were recognised as the first attempt at collating a corporate and cross cutting list. This was deemed to be relatively comprehensive, although there were some key service risks conspicuous by their absence. The risks listed below are those reported in the second quarter, together with new risks identified.

Inherent Risks

Comprehensive Performance Assessment

8. In December 2004 the Council learnt it was to be in the first tranche of the revised Comprehensive Performance Assessment and subsequently a detailed timetable has been received. As anticipated, this will be undertaken in parallel with a Joint Area Review of Children and Young People's services. It should be noted that the latter is an assessment of all publicly funded services for that age group and that the CPA will also have a strong focus on partnership and the value for money derived from our work with others. Both processes are new, still in consultative form and have challenging timescales for delivery of their individual, but linked self-assessments. The Audit Commission, in particular, has been explicit that the new approach will "raise the bar" and that a "good" outcome would represent a considerable improvement on that under the old regime. It is the Council's intention, therefore, to seek to maintain its good status, though it is recognised there is a risk to the Council's reputation should this not be achieved.

The CPA/JAR preparation has been set up as a joint project led by the Director of Policy and Community, as overall Executive with the Director of Children's Services as Corporate Sponsor and is managed within a PRINCE2 environment, with a supporting group of Senior Suppliers. A Project Initiation Document has been approved by the Chief Executive's Management Team subject to further scoping work on the JAR. Arrangements are in hand to incorporate external challenge into the CPA self-assessment and this will need to be in place for the JAR too. A number of areas of ongoing activity have been identified which will need to be completed in a shorter timeframe. One of the key areas is diversity and a more formalised approach to this has now been agreed by the Chief Executive's Management Team. Early work has also begun on a communications strategy, to ensure full engagement of employees and members and inform the public.

Business Continuity Management

9. Failure to recognise and plan for disruption to any Council service or function.
10. Areas particularly identified are within ICT where detailed analysis and subsequent investment has been carried out. Further work is currently taking place to develop a wider corporate approach to business continuity which will take account of other issues, in addition to ICT failure, such as property and human resources. The Council is currently also considering its response to the Civil Contingencies Bill.
11. Additionally, Herefordshire Jarvis Services partnering arrangements continue to present a risk to the Council both in regard to the financial health of the holding company and current service provision.

In terms of the technical platform, the Council has invested capital for 2004/05 onwards and the restructure of ICT Services allows this to happen. A report on development of the Council's network is considered elsewhere on the Cabinet agenda. Business Impact Assessments have been carried out to identify key authority services.

The Emergency Planning Manager and Head of Performance Management have recently agreed an approach to Business Continuity Management with the Chief Executive, to be developed over the next few months.

There is ongoing dialogue within the HJS Partnership Board on current service arrangements and the national situation is being closely monitored. A Contingency Plan has been drawn up in the event of Jarvis' liquidation, although the restructuring of holding company debt for the next year should prevent these from having to be put into practice.

Project Management

12. Improving the Council's approach to project management was a key recommendation from the 2002 CPA.

The Chief Executive's Management Team agreed an approach to project management in 2004. The Council now has a comprehensive centralised list of all projects and a process for deciding which are the key strategic ones. Specialist project management skills must be applied to projects and the Council has increased its capacity in this area. IPG has the responsibility for overseeing the policy and agreeing key projects.

Corporate Budget Position

13. The budget position previously reported has significantly improved following the additional one-off funding in the Finance Settlement. This, however, could potentially leave the Council with a significant level of savings to find next year and this is forecasted to be £2m. Additionally, the Council is required to set a balanced budget for 2005/06 and concerns have been raised both in the last report in terms of the older people agenda and more recently within the learning disabilities area. The Council needs to ensure that both adequate budget provision and an action plan are in place before the year-end to meet the policy commitments within Social Care.
14. The ability for the Council to balance its budget in future in line with its policy commitments is very much dependent therefore, on the approach taken to the Gershon Review and its success in not only identifying savings through the Annual Efficiency Statement but being able to deliver them. This is a key line of enquiry in the Use of Resources assessment and subsequently the overall CPA. The three key areas within the efficiency agenda are operational efficiencies, procurement and service improvement. Each of these areas will require a consistent and concerted approach across the whole Council.

The Council is responding to the Gershon Review requirements which initially include the production of an Annual Efficiency Statement (AES) by 15th April. This, together with the service reductions identified through the budget scrutiny exercises carried out in the Autumn, are anticipated to meet the budget gap in 2005/06.

The Corporate Finance Group, consisting of senior finance managers, is leading on producing the AES together with nominated service leads within Directorates. A procurement consultant has been employed to set out the improvements required in corporate procurement and redraft the procurement strategy.

£1m has been set aside in the budget recently approved by Cabinet for further investment in older people's services and business critical ICT. There is also a review taking place on the specific overspend in learning disabilities. A statement will be submitted to Council later in this month setting out how both the additional budget allocation and the action plan for minimising future overspends will lead to the setting of a balanced budget. The budget has been set at a level to incorporate invest-to-save initiatives which will help maintain a balanced budget position into the medium term.

Job Evaluation

15. Impact of job evaluation results on staff recruitment and retention will continue to be assessed by services.

The Moving Forward Group provides regular bulletins on how the Council is managing the outcomes of Job Evaluation, including the imposition of market factors and general support arrangements for staff adversely affected by it.

LPSA 1 and 2

16. The main risk from LPSA1 is not achieving the stretched targets to maximise the Performance Reward Grant (PRG), which in turn will be funding a significant part of the second LPSA. Ideally LPSA2 would be negotiated by the end of this financial year, which sets a very tight timescale. Failure to negotiate a successful LPSA will adversely affect the Council's reputation for partnership working and being clear about the outcomes it would like to achieve over the medium term and translating these into a meaningful agreement with the government.

Quarterly monitoring takes place against LPSA1 targets and the current estimate of PRG is slightly over that reported towards the end of 2004.

Compared to other local authorities, the Council is acknowledged by ODPM as making good progress on agreeing LPSA2 but is still encountering a reluctance on the government's behalf to accept local performance measurements. This is likely to prolong negotiations into April.

New or Emerging Risks

Freedom of Information and Data Protection Acts

17. These are key pieces of recent legislation with implications of reputational risk.

A distance learning package on Data Protection was developed for key managers which has been well received. The Council set up a network of liaison officers in Directorates/Departments of people with a good understanding of the legislation to advise managers. This is working well and the Council is satisfying its statutory requirements.

The Council prepared for the 1st January implementation date by providing information and training to key personnel, both employees and managers. Training continues to be delivered for those who have not yet participated. There is a standard template for recording requests and figures are being collated for the Authority as a whole as well as in Directorates. A key risk is missing the statutory deadline for responding to a request. This has happened in two out of the 40+ requests received to date. A dedicated post has been created to support and coordinate Freedom of Information issues.

Children Act

18. The implications of the Children Act are wide-ranging although not all of the requirements need to be met immediately. The Council sees this as a positive opportunity to develop a holistic approach to the needs of children and young people. An appointment has been made to the post of Director of Children's Services and a Children's Change Team has been set up to drive the necessary activities required by the Every Child Matters agenda. The announcement of the timing of the Joint Area Review will increase the demands placed on the Change Team.

The new Children's Services Directorate has been operational since January 2005, ahead of some councils and the Director has moved swiftly to set up a Change Team. The preparation for JAR will be supported by the inclusion of this into the joint CPA/JAR joint project which is being "PRINCE2" managed.

Adult Care Services

19. The Green Paper on the future of Adult Care Services is due for publication later this month. The implications are unknown at this stage but will inevitably demand some attention to process and possibly structure comparable with that for Children's Services. There is a risk that with this running alongside the Children's agenda managerial and strategic capacity will be stretched.

It will be important to ensure that the implications of the Green Paper are given sufficient attention and any changes incorporated into the strategic development of the Council and its services. The Council is already progressing improvement plans arising from any Adult Care inspections which will assist in this process.

Inspection Scores

20. The outcomes of any recent inspections and/or assessments will be considered as important evidence in the forthcoming CPA/JAR. There will need to be clear post-assessment improvement plans in all relevant areas. In this context, it will be important to address the actions required to reverse the CSCI reduction in the star assessment from November 2004.

More emphasis has been placed on monitoring those most vulnerable performance indicators which feed into the star rating. There has also been a closer alignment of the service plans currently being developed with national priorities and an agreement that all improvement plans be incorporated into the service plans, rather than standing alone.

Educational attainment targets for looked after children have been included in the draft LPSA as a response to the CSCI Inspection and it being a key corporate priority.

Conclusion

21. The Council will continue to develop its approach to Risk Management and this second corporate report is accordingly more comprehensive than the first one last year. The Council will also need to be aware of new or emerging issues such as any implications on Local Government from a General Election and any internal strategic issues, e.g. the accommodation review. Areas which have already improved are:

- Identification and management of risk incorporated into Corporate and Annual Operating Plans provides direct link to management of performance
- Incorporation of assessment of risks into service planning.
- Better understanding of relativity of service risks across the Council.
- Development of a separate register for corporate risks.
- More frequent reviews of risks by Departmental Management Teams.
- Identification of specific actions to mitigate risks.

There is still scope for improvement in terms of:

- Consistency of approach to and assessment of risks.
- Better understanding of corporate and cross-cutting risks.
- Presentation of information for corporate reporting.

22. The Chief Executive's Management Team will continue to review risk issues on a quarterly basis and report further as appropriate.

Managing Risk – Strategic Risk Identification & Assessment



Directorate/Department/Function/Project: ALL SERVICE RISKS

Stage One		Stage Two						
Identified	Risk Reference Number	Assessment of Risk (Assume NO controls in place) using risk matrix		Risk Controls Measures	Assessment of Residual Risk (With control measures implemented)			
		Impact (Severity)	Likelihood (Probability)		Priority Rating	Residual Priority Rating		
Corporate Network	P&C 1	4	4	<p>The Corporate Network has had no significant investment in recent years. The recent SOCITM report confirmed the initial conclusion of the Head of ICT. The Council has restructured the service and made significant revenue and capital investment for 2004/05, however, the time frame for activity for completion is still 18 months-2 years.</p> <p>The Council has worked through a comprehensive tendering process reducing the initial interest to a shortlist of three. The preferred supplier is Siemens/Fujitsu. Details of the proposed networks including full business case were presented to Chief Executive's Management Team on the first March 2005 and report to the Information Policy Group on 2nd March 2005. The Cabinet Member (Human Resources and Corporate Support Services) was briefed on the proposal on Wednesday 2nd March and a Leader's briefing took place on 3rd March 2005. Following discussions with the County Treasurer the proposals were further considered by the CXMT at its away day on 8th March and will, following a briefing with the Chairman of Strategic Monitoring Committee go forward for approval by Cabinet at its meeting on 24th March 2005 alongside the bid for further investment. If this proposal is accepted phase</p>	4	4	High	High

	P&C 2	4	4	High	<p>one of the new network will be implemented by the summer of 2005 with a further role-out over the ensuing 12 months. Background documentation to support this are the business case and bid for further funding. (CXMT papers – 1st March, 2005).</p> <p>The Authority has inadequate disaster recovery arrangements. Included in this is the need for a backup data centre. There is also an issue about business continuity across the organisation. In terms of the technical platform, the Authority has invested capital for 2004/05 onwards and the restructure of ICT Services allows for this to happen. However the lack of a final decision on accommodation will place the Authority in a position to need to make some decisions about where the second data centre is located no later than mid September 2004.</p> <p>We have recruited a Disaster Recovery expert through Socitim who has undertaken an analysis of returns from the Directorate alongside further investigation of the technical issues. This was reported in full to CXMT at its meeting on 15th February 2005 and the IPG at its January meeting of 2005. Whilst this information has proved useful as a starting point this information will need to be revalidated and built into the risk assessment processes of Services. The final decision on a second data centre is related to the Accommodation Business Case to go to Cabinet in March 2005. Decisions on alternatives have been held back pending this final decision. However, this now becomes critical particularly in the light of the capacity issues at the Thorn Data Center.</p> <p>There is also a need for an overall authority approach in relation to an emergency plan in the event that a major authority premises be taken out of operation. That provision is subject to a discussion with the Chief Executive and Head of Emergency Planning and Head of Performance Management. The need for business services to accept the business consequences of failure were re-emphasised in the CXMT session of 8th March The Action Plan based on the internal on Disaster Recovery provides an action plan to reduce the level of risk.</p>	4	4	High
Failure to maintain CPA score, particularly in relation to use of resources	CT2	3	4	High	<p>Performance management arrangements in place with established performance indicators, ongoing monitoring established through performance management framework including service planning.</p>	3	4	High

Balancing the budget and obtaining capital bids	SCSH6	3	4	High	Management Action and Review of Investment Plans	3	4	High
Review Procurement Strategy	CSS16	3	4	High	Consultant engaged to undertake review on procurement strategy.	3	2	Medium
Halo	P&C 7	4	4	High	The Board has commissioned internal work into financial operation. Council and HALO officers are working together to produce a Medium-term financial plan due to report back in September.	3	3	Medium
Communication	P&C 12	3	4	High	<p>Failure to raise public perception of the Authority. Mitigation through the reintroduction of Herefordshire Matters, redesign of web capability, reappointment of Community Involvement Co-coordinator. Communications audit is planned.</p> <p>Herefordshire Matters has been re-introduced and established on a quarterly basis. The web has been redesigned. The Community Involvement Coordinator was appointed and presented an action plan to underwrite the Community Involvement Strategy in January 2005. This was approved including the decision to log all consultation and involvement activity with the Community Involvement coordinator/Principal research officer. The Communications Audit was undertaken however further work is necessary in order to bottom out the precise level of resources being applied in Directorates. Further work was undertaken in January 2005 on the Policy and Community Directorate in order to validate some of the responses.</p> <p>The ALI inspection has dropped out of these targets because of the successful re-inspection. Included however will be Youth Service and Libraries Standards and related to specific action plans. Work is already agreed for the Youth Service in relation to the CPA Inspection in Autumn 2005. N.b – Communications is a key element in CPA PID.</p>	3	3	Medium
Limitations placed on funding limiting ability to resource key priorities in future years	CT1	4	3	High	Budget procedures, forward projections in place to evaluate potential impact. Assessment of impact on Medium Term Financial Plan. Public consultation on budget proposals. Robust budgetary control procedures in place. Large scale efficiency savings have been identified but need to be delivered with minimal service impact	3	2	Medium

Failure to hit score of 2 in CPA assessment by	Env 6	4	3	High	Raise awareness through Herefordshire Matters Maintain investment in services. Use Environment Support Unit to develop understanding of CPA criteria.	4	2	Medium
<ul style="list-style-type: none"> Failure to provide service expected by stakeholders/customers. Waste Congestion Street cleaning 								
The failure of the Herefordshire Jarvis Services arrangements	Env 4	4	3	High	Ensure Council's financial liabilities are covered. Raise awareness of contingency arrangements following creation of contingency plan.	2	3	Medium
Joint Area Review – Youth Service	P&C 10	3	3	High	P&C has instigated the Synchronisation Group to map out activity to meet requirement of the new Joint Area Inspection. The Authority has working groups in place to progress response to the Children's Bill.	3	2	Medium
SIP	P&C 14	4	3	High	(info to focus on libraries) Technology used as an enabler to support the change. Major challenges in cultural. Risks associated with <ul style="list-style-type: none"> Lack of support to drive change through. Lack of resource to implement necessary technical platforms e.g. GIS, DMS Lack of decision about Plough Lane: location of contact centers Reports considered by CXMT/Cabinet briefing and Cabinet Member decision in February, This followed Cabinet conformation of lead roles of Cabinet Member for Human Resources and Corporate Support Services and the Director of Policy and Community. Programme Manager being recruited. 	3	2	Medium
Failing to meet the needs of schools	E5	4	3	High	Service Planning, Best Value Reviews, Performance Management, Cabinet Reports, External Inspections, Improvement Planning, Funding Bids	4	1	Low
Extension to Hereford Cemetery	Env 9	4	4	High	Financial Bid in for funds to extend	1	1	Low
External Funding – Fall out of key Programmes, particularly in Social & Economic Development, SRB, Market Towns (all 5) Initiative, Creative Industries, LEADER+	P&C 6	3	3	Medium	The Council is currently working on a range of strategies to ensure prioritisation of resources. Work ongoing to mitigate/manage expectation. Alternative sources of funding are being sought. However, the Authority has made significant and creative use of this funding in order to extend its range of services. The ability to find alternatives is limited.	3	3	Medium

Approach to Diversity	P&C 8	3	3	3	<p>The Diversity Group established. Progress towards level 2 of the equality standard being mapped. Impact assessment training has been planned. Year 1 officers have undertaken familiarisation. There are proposals to map out longer-term development.</p> <p>A short-term action plan was implemented in order to ensure Level 1 of the Equality Standard is assured. This was subject to a report and associated actions to CXMT on the 1st March. This also contained proposals relating to progress towards Level 2 including Year 2 Impact Assessments, development/training proposals and staff resourcing requirements. These were agreed and P&C DMT approved the resourcing proposals on the 1st March. These will now be built into the longer-term plan included as part of the CPA Bid.</p>	3	2	Medium
Library Standards, (including any possible Cultural Services inspection).	P&C 11	3	3	3	<p>The progress made on the new strategic plan for Libraries. The action plan is continuing to meet Library standards. Proposals in place for INFO/Libraries in each of the market towns. Some capital funding awarded. Integration of INFO and Library staff progressing.</p>	3	3	Medium
Aylestone Park	P&C 13	3	3	3	<p>Failure to deal with High-level contamination. Discussions with the Environment Agency about means of disposal of contaminated material. Search for means of disposal has some funds allocated to it.</p>	3	3	Medium
Due to JE and corporate budget savings key personnel will be lost to the organization, impacting on support provided to directorates and corporate governance	CT3	2	3	2	<p>Adapting structures to fit with changing circumstance, providing better coverage for key areas e.g. Revenue and Benefits and Audit restructuring. Limited extension of job rotation ensuring less specialism. Documentation and ongoing review of key policies and procedures.</p>	2	3	Medium
Failing to meet key performance targets and indicators	E1	2	4	2	<p>Service Planning, Best Value Reviews, Performance Management, Cabinet Reports, Funding Bids</p>	2	3	Medium
Failing to recruit and retain staff and maintain High morale	E2	2	4	2	<p>Service Planning, Performance Management, Improvement Planning, Funding Bids</p>	2	3	Medium


Failure to deliver the LPSA targets	Env 2	3	3	3	Medium	Amend JUP accordingly and drive change through the new management team.	4	2	Medium
Recruitment and retention of staff where there are national skills shortages e.g. Occupational Health Adviser	HR 1	3	3	3	Medium	Implement market forces / supplement. Succession planning Utilise SRDs / implement career development posts and conclude job evaluation. Promote professional development support through training agreements and payment of professional fees. Develop secondment opportunities internally and with partners.	2	3	Medium
Retention of Children's service social workers	SCSH1	2	3	3	Medium	Management Recruitment and Retention Action	2	3	Medium
Homelessness performance and delivery particularly for children leaving care	SCSH4	2	3	3	Medium	Develop Strategy and Secure new developments	2	3	Medium
Supporting People Grant	SCSH5	2	3	3	Medium	Review Resources/ Priorities and take Action	2	3	Medium
Medium term Investment in Older People's Services	SCSH7	3	3	3	Medium	Continue to allocate resources to best effect and continue to make the case for the already agreed action plan	3	3	Medium
Changing Home Care and realising the benefits	SCSH8	2	3	3	Medium	Monitor progress against the project plan	2	3	Medium
Electronic Service Delivery	P&C 3	3	3	3	Medium	Following a major review of the proposed eGateway platform and consideration of the options by both the Partnership and the Council, a decision has been made to move to a new platform. The Council has had to make this decision without committed support of AWM through the HIT Programme, (discussions are continuing), and endorsement from all partners. If the Authority does not do this, it will not meet its obligations in terms of requirements	2	1	Low

						of new legislation particularly the Disability Discrimination Act and the Freedom of Information Act. Also, the Council's progress towards achievement of BVPI 157 rests on an appropriate web-environment. A project plan has been approved but will be operating on a very tight timeframe.				
						The e-gateway platform was implemented on 4th January and the Council's internet and Partnership site were migrated in that timeframe. The Council's intranet moved over the course of the next ten days. The Website moved from a position near the bottom of the league (near 251st) and is likely to be endorsed. It has moved to position 24 in the league table. It is anticipated that it will move into the top 10 when the list is next published. Support was achieved from partners in the Herefordshire Partnership and funding from AWM. Regular reports will be received by the HIT Board in terms of Partnership support. However, in terms of the Council's activity there will be a planned programme of migration of individual websites over the next year. The Council's IEG 4 statement was presented on time and activity is continuing to ensure that the priority statements are achieved and that the collection of data in relation to BVPI157 is secure. Staff are being trained within Directorates in order that progress can be maintained.				
Freedom of Information Act compliance	CSS17	3	2		Medium	Resources committed to promote/ensure compliance	2	2		Low
Data Protection compliance	CSS18	3	2		Medium	Resources committed to promote/ensure compliance	2	2		Low
Total loss of IT facilities	CSS22	3	2		Medium	Disaster Recovery Plan (IT)	2	2		Low
Successful restructure for Children's Agenda	E11	4	2		Medium	Project team created to manage change	4	1		Low
Completion within timescales of Whitecross PFI High School	E12	4	2		Medium	Secondment of senior building surveyor to manage project from client's side	4	1		Low
Implementation of HR improvement Plan	HR 2	2	4		Medium	Set up project teams to shape the future of HR. Include areas not completed by the end of March in the Pay and Workforce Development Strategy.	1	3		Low
Implementation of employment, health and safety legislation	HR 3	3	2		Medium	Subscribe to appropriate providers of information. Ensure Personnel Officers are updated with relevant information.	1	3		Low

								Review policies and procedures in line with new legislation. Disseminate policies and procedures to Managers Make information available on Info Library in a timely manner.				
I.T. failure	HR4	3	3	3	3	3	3	Ensure people use the server for file storage Ensure passwords are changed at the prescribed intervals Ensure access to systems are controlled by systems manager.	1	1		Low
Recruitment and retention of staff in skill shortage areas including the impact of Job Evaluation	P&C 4	3	3	3	3	3	3	Implement a package of measures arising from the Award Strategy Group to include market forces supplement. Conclude Job Evaluation and provide appropriate support and implement Policy & Community Recognition Scheme. Provide development opportunities within and outside of the Directorate.	2	2		Low
Parks & Countryside	P&C 5	3	3	3	3	3	3	Additional funding applied to the Parks and Countryside budget set to recover base-position over 2 years. Undertake and implement policy development of the Section 106 Agreement. Develop alternative management arrangements for open space. Flag up early warning with Herefordshire Jarvis Contractors.	2	2		Low
Inspections-ALI	P&C 9	3	3	2	2	2	2	Officers working with LSC and undertaking programmed work to meet the re-inspection visit targets. Restructure of service to meet requirements implemented.	3	1		Low
Business Critical System failure	CT7	3	3	2	2	2	2	Ensure database saved daily and back-up stored off site	2	2		Low
Failing to secure physical safety & welfare of users, staff & the public	E3	2	2	3	3	3	3	Service Planning, External Inspections, Improvement Planning, Funding Bids	2	2		Low
Failing to meet the needs of individual children/young people	E4	4	4	2	2	2	2	Service Planning, Best Value Reviews, Performance Management, Cabinet Reports, External Inspections	4	1		Low
Failing to provide users with good access to services of appropriate quality at a reasonable speed	E6	2	2	3	3	3	3	Service Planning, Best Value Reviews, Performance Management, External Inspections	2	2		Low
Failing to secure an adequate level of	E7	2	2	3	3	3	3	Service Planning, Performance Management, Internal Audit reports, Funding Bids	2	2		Low

resources	E8	2	4	Medium	Service Planning, PRINCE2, Best Value Reviews, Performance Management, Cabinet Reports, External Inspections, Improvement Planning	2	2	Low
Failing to demonstrate capacity to improve								
Failing to effectively respond to initiatives requiring change	E9	2	3	Medium	Service Planning, PRINCE2 Project Management, Best Value Reviews, Performance Management, Cabinet Reports, External Inspections, Improvement Planning, Funding Bids, Change Team	2	2	Low
Failure of the Contract Services and Technical Consultancy Services	Env 3	4	2	Medium	Develop understanding, commitment and then appropriate empowerment in the service (to partnership working) through the new management team, in order to address the critical success factors for the Partnership.	4	1	Low
Failure of an element of it								
I.T. failure	Env 7	3	3	Medium	Ensure regular back up by it section. Write Directorate business continuity plan	1	1	Low
Flooding in Ross on Wye	Env 10	2	3	Medium	Achieve flood alleviation scheme in place in 2006	1	1	Low
Failure of Integrated Waste Management Contract in that recycling and diversion targets are not met.	Env 11	4	2	Medium	Commitment from all stakeholders to ensure contract does not fail by renegotiating a way forwards from the current stalemate. Need to identify alternative methods of Waste Diversion and recycling and to financially plan for having to use the Landfill Allowance Trading Scheme	4	1	Low
Failure to comply with Council environmental procedures	Env 5	2	4	Medium	Training and awareness	2	2	Low

BV5A The number of complaints to Ombudsman classified as maladministration	CSS11	3	1	Low	Procedures in place	2	1	Low
Lack of facilities at Crematorium breakdown / breaching of emission limits	Env 8	4	1	Low	Adequate Servicing and repair program Proposed New Crematorium bid	4	1	Low
Loss of premises at Brockington	CSS19	4	1	Low	Disaster Recovery Plan outstanding	4	1	Low
Total loss of landline telephones	CSS21	2	2	Low	Disaster Recovery Plan + mobile phone availability	1	2	Low
Major service disruption and financial loss if liquor licensing policy statement not produced in time for first implementation date. If we are unable to issue licences, businesses automatically receive a licence regardless of any objections	Env 12	4	1	Low	To allocate policy officer to assist with the production of a licensing policy statement and a designated licensing manager.	1	2	Low
Performance on inspections and star ratings	SCSH2	2	2	Low	Management and Scrutiny Action	2	2	Low
Key performance indicators needing improvement	SCSH3	2	2	Low	Management and Service Action	2	2	Low

Managing Risk – Strategic Risk Identification & Assessment	 HEREFORDSHIRE COUNCIL
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Directorate/Department/Function/Project: CORPORATE RISKS

Identified	Risk Reference Number	Assessment of Risk (Assume NO controls in place) using risk matrix			Risk Controls Measures	Assessment of Residual Risk (With control measures implemented)		
		Impact (Severity)	Likelihood (Probability)	Priority Rating		Impact (Severity)	Likelihood (Probability)	Residual Priority Rating
Stage One								
Children Act	CR1	4	4	High				
Corporate Network	CR2	4	4	High				
Stage Two								
					Children's Services Directorate established. Children's Change Team set up.	4	3	High
					The Council has restructured the service and made a significant revenue and capital investment. Proposals on a preferred network provider are due to go to Cabinet in March.	4	4	High

Identified	Risk Reference Number	Assessment of Risk (Assume NO controls in place) using risk matrix			Risk Controls Measures	Assessment of Residual Risk (With control measures implemented)		
		Impact (Severity)	Likelihood (Probability)	Priority Rating		Impact (Severity)	Likelihood (Probability)	Residual Priority Rating
Stage One								
Corporate budget position	CR3	4	4	High	Budget set aside to address Social Care and ICT budget pressures. Preparation of AES	4	2	Medium
Business continuity management	CR4	3	4	High	Work is underway to determine an overall corporate approach. Substantial capital investment made in ICT network and disaster recovery arrangements.	3	2	Medium
Failure to maintain CPA "good" rating	CR5	4	3	High	Project management of preparation. Complete areas for improvement. Engage partners.	3	2	Medium
Failure to get a "good" JAR rating	CR6	4	3	High	Run jointly with CPA project	3	2	Medium

Identified	Risk Reference Number	Assessment of Risk (Assume NO controls in place) using risk matrix			Risk Controls Measures	Assessment of Residual Risk (With control measures implemented)		
		Impact (Severity)	Likelihood (Probability)	Priority Rating		Impact (Severity)	Likelihood (Probability)	Residual Priority Rating
Stage One								
The failure of the Herefordshire Jarvis Services arrangements	CR7	4	3	High	Ensure Council's financial liabilities are covered. Raise awareness of contingency arrangements following creation of contingency plan.	2	3	Medium
Approach to Diversity	CR8	3	3	Medium	A short-term action plan is in place to evidence that Level 1 of the Equality Standard is reached by end March 2005. A longer term plan has been agreed to ensure progress towards Level 2.	3	2	Medium

Identified	Risk Reference Number	Assessment of Risk (Assume NO controls in place) using risk matrix			Risk Controls Measures	Assessment of Residual Risk (With control measures implemented)		
		Impact (Severity)	Likelihood (Probability)	Priority Rating		Impact (Severity)	Likelihood (Probability)	Residual Priority Rating
Stage One								
Delivery of new LSPA agreement in agreed timescales	CR9	3	2	Medium	Steering Group formed to manage the delivery of the agreement. Early liaison established with Government contacts to circumvent more formal processes	3	2	Medium
Failure to deliver the LPSA targets	CR10	3	3	Medium	Amend JUP accordingly and drive change through the new management team.	4	2	Medium
Adult Care Services Green Paper	CR11	3	3	Medium	Waiting for publication of Green Paper and respond accordingly.	3	3	Medium

Identified	Risk Reference Number	Assessment of Risk (Assume NO controls in place) using risk matrix			Risk Controls Measures	Assessment of Residual Risk (With control measures implemented)		
		Impact (Severity)	Likelihood (Probability)	Priority Rating		Impact (Severity)	Likelihood (Probability)	Residual Priority Rating
Stage One								
Recruitment and retention of staff where there are national skills shortages and including the impact of Job Evaluation.	CR12	3	3	Medium	<p>Stage Two</p> <p>Implement market forces / supplement. Succession planning Utilise SRDs / implement career development posts and conclude job evaluation Promote professional development support through training agreements and payment of professional fees. Develop secondment opportunities internally and with partners. Promote pride in Herefordshire.</p>	2	2	Low

LOCAL AREA FORUMS

PROGRAMME AREA RESPONSIBILITY: CORPORATE STRATEGY AND FINANCE

CABINET

14TH APRIL, 2005

Wards Affected

None.

Purpose

To receive feedback on the January 2005 round of meetings and to consider the re-naming of the Local Area Forums.

Key Decision

This is not a Key Decision.

Recommendation

THAT the report be noted and the change of name from Local Area Forums to Community Forums be endorsed.

Reasons

It was agreed that issues raised and discussed at Local Area Forum meetings should be relayed to Cabinet after each round of meetings.

Re-naming the Local Area Forums was proposed after recent discussions with the Leader of the Council. The title Local Area Forum has lent itself to the unfortunate acronym "lafs", and it was felt that this gave a wrong impression of the purpose and status of the Forums. For the Forums to attract a substantial number of people, as is hoped, it is important to convey the message that they have a serious purpose in informing and consulting the community on Council matters affecting them.

Considerations

1. The Research Study conducted by the LGA in September 2004 (Making decisions locally - a survey of local authorities on area committees and area forums. Sept 2004 LGA alert 301/04) refers to 'Area Forums' and this is used in many authorities where communities are scattered.
2. Simply dropping the word 'local' and using 'Area Forums' would attract the least attention. The Forums have been relaunched already, and a radical name change would look like another relaunch. However, it might not be different enough to prevent people continuing to refer to LAFs. The worst outcome would be that the change of name would not achieve the intention, necessitating a further change later. The recommended option is 'Community Forum'. This could be presented as a positive change reflecting more accurately the nature of the Forums.

3. This change would require some publicity to avoid confusion, but kept low-key by adding (formerly Local Area Forums) on all publicity and correspondence for the first and second round of Forums after the change of name had been agreed. The Chairmen of the Forums could also announce the change of name.
4. General Issues:- Meetings held during January varied in terms of the number of members of the public attending. Where there was strong interest in a local issue, as in North Herefordshire, 70 members of the public attended, whereas only four members of the public attending in East Herefordshire. However, turnout is generally low in this area. Attendance at other meetings varied between 12 and 28. The East Herefordshire meeting was closed early due to venue difficulties, and the item on Poly tunnels for that area will be discussed at a future meeting.
5. Summary of Agenda Items:- Youth Services appeared on the agenda in five of the six areas, but In Ross-on-Wye, the speaker on Youth Services was unable to attend. North Herefordshire had a full agenda and therefore it was not included. Youth Services will be on a future agenda in both areas. Community Policing was discussed at two meetings, and Emergency Planning at three of the meetings.
6. Local Interest Items:- The North Herefordshire Forum was entirely taken up by local issues, including the HGV survey and traffic at Bargates, and proposals for Grange House in Leominster. Other local issues were Primary Schools for Central Herefordshire, the proposed refurbishment of Eign Gate and possible pedestrianisation of Widemarsh Street for Hereford City, and Poly tunnels in East Herefordshire, which was postponed to a future meeting.
7. Summary of the Meetings:- Appendix 1 contains details of each meeting, and the questions raised.

Risk Management

None

Consultees

Local Area Forum Chairmen, Cabinet Members and the Leader of the Council.

Appendices

Report of Forum meetings and questions raised.

LOCAL AREA FORUM MEETINGS – JANUARY 2005

AGENDA ITEMS PRESENTED TO MOST OR ALL OF THE LOCAL AREA FORUMS

Emergency Planning

Philip Wilson, Emergency Planning Manager, explained the role of the Emergency Planning Team (EPT). The EP Team is fully integrated with all other appropriate Government Agencies and, in the event of a disaster, would provide support for the Emergency Services and co-ordinate the response of all other Government Agencies. Additionally they would also take the lead in rehabilitating the community and restoring the environment after any disaster or local emergency.

The main points arising from the question and answer session were:

- Members of the Emergency Response team come together to exercise the plan and train the team regularly.
- There is already a Plan in place for Foot and Mouth; the Rabies Plan is in addition to that.
- In response to concern over the SAS being based in Hereford. Members were advised that their presence did not pose any particular threat. There are many military bases elsewhere in the Country with a higher profile.
- In the event of an earthquake in Herefordshire, the EPT would implement its Major Emergency Response Plan.
- On planning matters, any proposal to build on floodplains or fault lines would be dealt with by the Environment Agency.
- The team provided a 24 hour response service, with the aim of having a full response team in place within one hour.
- Funding for services in a major incident would come partly from Council Tax and partly from Central Government. Extra money had come from Central Government in April to fund additional statutory responsibilities.
- Events on September 11 had increased awareness of the need to deal with major emergencies. The old Civil Defence plans have been brought up to date to increase the emphasis on emergency planning.

Youth Service

Jon Ralph / Jenny Lockwood, Community Youth Services, explained that the Herefordshire Youth Service was a statutory part of the Council that operated on a small budget, employing just 19.5 youth workers throughout the County. The Youth Service was responsible for running the Duke of Edinburgh Award Scheme and also produced a publication, 'Way 2 Go', which was distributed to all year 9 pupils throughout Herefordshire.

At the Hereford City Forum - Councillor Mrs Lloyd-Hayes described the successful youth provision provided by Close House in Hereford City centre. She also highlighted the work of a group of young people wishing to establish a skate park in Hereford City.

At the Golden Valley Forum - Sgt Phil Edwards also explained how he and others had started a Youth Club in Clehonger, linked with the DfES Extended Schools initiative, and using money donated by the Parish Council. Members were informed that there had been little support from the community and he thought that the community should take some responsibility, and pointed out that the youth of today were the parents of tomorrow. He added that the Youth Club had £60,000 to fund a 3 year period. Costs associated with the Club included mandatory police checks, training and weekly running costs.

The Forum was advised that the South Wye and the Golden Valley areas had one full-time youth worker and three part-timers working 6 hours each. The Council would shortly be advertising for a replacement secondment.

The main points arising from the question and answer session were:

- Members were advised that the Youth Service did not have the staff to open all Youth Clubs every night. There was a need for local people to get involved for the benefit of the young people.
- It was acknowledge that the Bodenham Lakes location was not ideal for sailing. A site at Wellington might be more appropriate.
- The Bodenham site should be RYA accredited by the end of the year.
- Jon Ralph acknowledged the lack of youth facilities north of the river Wye, and highlighted the problems of staff shortages even where facilities were available.
- Specialist disability facilities were only available at Herefordshire’s outdoor activity centre.
- It was acknowledged that the skate park located on Westfaling Street had fallen into disrepair. Jon Ralph advised that proposals had been put forward to redevelop the site.
- A Youth Worker had recently been employed in the Whitecross and Aylestone area to help reduce the number of young people currently engaging in anti-social behaviour.

North Herefordshire Forum	Tuesday 18 January 2005 Bridge St Sports Centre, Leominster
Agenda Items: Update on the Swimming Pool for North Herefordshire Air Quality Assessment of Traffic at Bargates North West HGV Study Grange House as a Hostel for Homeless Families	
Ward Councillors: J Stone (Chairman), S Bowen, R Burke, Mrs J French, R Phillips, JP Thomas.	
Speakers: R Ball, Transportation Manager, C Boot, Marches Housing Association, R Gabb, Head of Strategic Housing, T Featherstone, Leisure Services Manager, M Willimont, Principal Environmental Health Officer	
In Attendance: Mrs J Jones, Senior Management Team Representative, R Stockton Cabinet Member (Community and Social Development)	
Members of the Public: 75	

Chairman’s introduction

The Chairman referred to a press article concerning proposals for a new link road and housing development south of Leominster. He said that all objections made relating to these plans would be considered by the public enquiry into the Unitary Development Plan, which was to be held between February and July 2005.

Swimming Pool for North Herefordshire

Tony Featherstone, Leisure Services Manager, reminded the Forum that construction had started on 5 April 2004. He showed the Forum recent progress photographs and explained the energy-saving features incorporated into the design. Completion was planned for

November 2005, followed by commissioning and formal opening in January 2006. He praised the “We Want Our Pool” campaign and the local community for helping to initiate this project. He advised that regular progress reports would be available in the press.

Air Quality Assessment of Traffic At Bargates

Marc Willimont, Principal Environmental Health Officer, reported that investigations that had been carried out stemmed from a Herefordshire Council report to DEFRA in March 2004, that confirmed Bargates as possibly exceeding the objectives for nitrogen dioxide (NO₂) levels, which could cause respiratory difficulty. He explained how air quality was monitored and measured, and how the results were used to predict levels of nitrogen dioxide. The levels were likely to exceed 40 ug/m³, so would warrant public consultation for declaration of an “Air Quality Management Area” at Bargates and the drafting of an “Air Quality Action Plan”.

The main points arising from the question and answer session were:

- The comparison of air quality at Bargates with that in Victoria Street in Hereford;
- The advantages of installing a mini-roundabout to help improve traffic-flow;
- Acknowledging that cars as well as HGVs contribute to the problem of poor air quality.
- Any proposed development would be considered in the normal planning process.
- Noting that local people had already been consulted on the Environmental Action Plan, and that they would also be consulted at the Action Planning stage.
- A further presentation on air quality is planned for later in the year in conjunction with the Transportation Department.

North West HGV Study

Richard Ball, Transportation Manager, presented the findings of the North West HGV Study. He explained the aims, the process used, the area being studied and the key results. Additionally he explained the study’s draft recommendations and the actions required to support a bypass scheme, which would require funding. As the study was not yet complete, the views of the public were invited for inclusion in the final report.

The main points arising from the question and answer session were:

- Most HGVs using the route appear to be owned by the Tarmac Company, vehicles accessing the Shobdon Industrial Estate and the mill in Eardisley.
- The Tarmac Company’s plans for the life of the quarry will inform decisions about road construction in the area.
- Investment in by-pass roads must balance where it is technically most appropriate and where the Council sees the biggest priority and the availability of funding.
- Little can be done about traffic volume/calming in Eardisley as traffic movements are split between the various routes across the area.
- The issue of maintenance and pollution could be raised with the operators through the Freight Partnership process or directly with the Tarmac Company.
- Analysis of accidents shows very few caused by lorries.

Grange House – Responding to Homelessness

Richard Gabb, Head of Strategic Housing and Chris Boot, Marches Housing Association, jointly explained the problems encountered accessing affordable housing in Herefordshire, the relationship with the level of earnings and the Council’s statutory duties under the

Housing and Homelessness Acts. They explained the reasons for homelessness and how they are dealt with, how Grange House could be adapted and the service that could be provided.

The main points arising from the question and answer session were:

- The Forum was informed that the Grange House proposal was not a project for junkies. The selection process would be carefully managed between the Marches Housing Association and Shelter.
- Marches Housing Association is a not-for-profit organisation providing affordable housing for communities. Over 95% of lettings are allocated to people previously living in the County, or who have a local connection.
- Noise and disturbance at the Old Library – It was stated that this involved a different client group (16-25 year olds), and disruption was associated with the Youth Centre. Any issues around the Old Library would be taken up with the Landlord
- It was emphasised that homeless families need to be in an area with access to facilities, as they might not have access to a car. Proposals for Grange House are in response to a local need.
- The Marches Housing Association will engage with the Police to make the building as secure as possible. Grange House is a sensitive location and it is acknowledged that there might be some impact on neighbours.
- The project is for single people or couples with one child.
- Advised that temporary accommodation is needed because there is not enough property for long-term rental.
- It was pointed out that there was no other building or land available. An options appraisal was continuing, on the detailed work to be carried out on the conversion of the building.
- Consultants have submitted a planning application through the normal process.
- It was a false assumption that people in temporary accommodation caused problems in the community.
- The Grange House project was not just for young people.
- Members were advised that there was a high level of staff provision planned for Grange House. It was important that staff were well trained and supported. Shelter is a national organisation with a good reputation and excellent staff training.

Richard Gabb undertook to report back to the Forum the number of families in Leominster in bed and breakfast accommodation in an average year.

Central Herefordshire - Wednesday 12 January 2005 at Credenhill Village Hall

Agenda Items

Hope-under-Dinmore Primary School and update on proposed new school at Credenhill
Youth Services
Emergency Planning

Ward Councillors: R Matthews (Chairman), J Guthrie, Mrs S Robertson, M Wilson

Speakers: J Ralph, Youth Services Manager, G Salmon, Head of Policy and Resources (Education), P Wilson, Emergency Planning Manager

In Attendance: Ms M Rosenthal, Senior Management Team Representative, C Mayson, Cabinet Member (Rural Regeneration and Smallholdings)

Members of the Public: 70

Primary Schools

George Salmon, Head of Resources (Education) advised the Forum of the proposed closure of St Mary's of Hope-Under-Dinmore Primary School. He stated that the proposals were with the agreement of the Governors and that all the children had been allocated places at the next nearest Primary School Bodenham or at another preferred primary school.

With regards to Credenhill Primary School he explained the concerns regarding the condition of the existing school, with maintenance costs of £200,000 envisaged for the next 5 years. The school had major weaknesses in classroom size and layout, and was not compliant with the Disability Discrimination Act, which would require a further £400,000 investment. The existing Primary School is located on prime residential development land, and one option would be to sell the current school site and build a new school in the village. The Forum was advised that there was a suitable plot of land in the Council's ownership (Trenchard Avenue site), but the Council would need to purchase an adjoining piece of land.

The main points arising from the question and answer session were:

- There is no precise figure on the value of the existing school land for redevelopment, but it was expected to cover the cost of building a new school.
- It was acknowledged that the proposed Trenchard site for a new school was a little smaller than the current school site, but it was still within the Government guidelines for Primary School sites.
- Schools in the area are suffering from falling numbers of children on the roll. At present there are currently 1,000 fewer children in the County in education than in 2001, with the decline expected to continue until 2015.
- Central Government funding for schools is reducing due to falling roll numbers. Government does allocate specific grants for school refurbishment, but Credenhill School would not be a priority for refurbishment.
- The sum of £600,000 is a considerable amount for school maintenance. A large sum would be needed for the replacement of the roof of Credenhill School, as it has a flat roof, which is nearing the end of its 30 year lifespan.

Golden Valley - Wednesday 26 January 2005 at, Kingstone Village Hall

Agenda Items

Community Policing

Youth Services

Emergency Planning

Ward Councillors: D Taylor (Chairman), P Turpin.

Speakers: Sgt P Edwards (in his capacity working with the local Youth Group), Sgt D Gwynne, Herefordshire Police, Ms Jenny Lockwood, Youth Services, P Wilson, Emergency Planning Manager.

In attendance: G Dunhill, Senior Management Team Representative, B Wilcox Cabinet Member (Audit and Performance)

Members of the Public: 22

Chairman's introduction

The Chairman outlined developments concerning the road from Madley to Bridge Sollars.

A member of the public mentioned a serious accident at the bottom of Bage pitch, causing the road to be blocked and queried whether anything was being done to improve the road.

Community Policing

Crime figures in Golden Valley for 2004/05 showed an increase this year. Some of the increase was attributed to a request by the Police for people in Clehonger to report crime, rather than an actual increase in crime. A similar request was made in Kingstone and a similar increase in the figures was reported. The police plan to develop public drop-in centres and surgeries. The detection rate for all crime in the Golden Valley was 39%

The main points arising from the question and answer session were:

- Much crime is committed by people under the age of 20, raising the question of whether the crime was intentional or the result of reckless behaviour.
- Property is recovered in approximately 25% of cases. The Police wish to improve this rate.
- Crime in the 16-24 age group is largely drugs-related. The over 24 age group tends to be career criminals, and includes a rogue element from outside the County
- The public are advised to be vigilant and ensure security is adequate. If there is a break-in, they should make as much noise as possible, and Chief Inspectors advise them to make a citizen's arrest if possible.

East Herefordshire - Tuesday 11 January 2005 at the Bromyard Centre

Agenda Items

Youth Services
Polytunnels

Ward Councillors: T Hunt (Chairman), B Ashton, P Harling, B Hunt, R Mills, D Rule, R Stockton.

Speakers: J Barrett, Head of Planning Services, J Ralph, Community Youth Service Manager.

In Attendance: P Edwards Cabinet Member (Environment),

Members of the Public: 4

Members briefly discussed the issues raised regarding the Youth Service. After the item had concluded the Chairman, after consulting those in attendance at the meeting, declared the meeting closed due to the high level of disturbance occurring around the meeting room. Members were advised that the item on polytunnels would be discussed at a future meeting of the Forum.

Hereford City - Wednesday 19 January 2005 at the Shirehall, Hereford

Agenda Items

Community Policing
Emergency Planning
Youth Services
Update on proposals for refurbishment of Eign Gate
Proposals for pedestrianisation of Widemarsh Street

Ward Councillors: D Fleet (Chairman), Mrs U Attfield, Mrs M Bew, Mrs M Lloyd-Hayes, Ms G Powell, Ms A Toon.

Speakers: J Ralph, Community Youth Service Manager, P Wilson, Emergency Planning Manager, S Oates, Head of Highways and Transportation, PC T Powell, West Mercia Police, A Rimmer, Owen Williams Consultants.

In Attendance: Ms S Fiennes, Senior Management Representative, Cllr P Edwards, Mrs J French Cabinet Member (Human Resources and Corporate Support Services), Cllr M Wilson.

Members of the Public: 28

Community Policing

PC Tim Powell, West Mercia Police, is part of the police team with responsibility for the City centre area dealing with retail crime and night time anti-social behaviour. PC Powell highlighted the success of the Herefordshire Against Night-time Disorder group (HAND) and the amount of time saved in the issuing of fixed penalty tickets for those guilty of night time disorder, with only 20% of cases now requiring a court case. He also highlighted the improvements in police detection methods, which had seen burglary rates fall by 23% and overall crime down 17% compared to last years figures.

The main points arising from the question and answer session were:

- Problems had been experienced getting through to local police officers via the Worcester based call centre, but the Forum was advised things were improving.
- Licensing Act - Extended opening hours. The police would consider each application under the new Licensing Act on its merits and work with the Council to limit the number of additional premises with extended opening hours.
- Poor response times. PC Powell sympathised with a member of the public but advised that on the date in question, all police had been involved in policing a football match, leaving only a skeleton staff to deal with any other policing issues.

Update on Proposals for Eign Gate Redevelopment

Alan Rimmer of Owen Williams Consultants, detailed the planned redevelopment of Eign Gate, scheduled to take place during the summer of 2005. He updated the meeting on the conclusions of the recent public consultation and described the minor changes that were now to take place.

The main points arising from the question and answer session were:

- Litter bins would be incorporated into the redevelopment to prevent build up of litter.
- A proposal for a pedestrian crossing outside the store Boots The Chemist was not possible as people crossed the road all along the high street area.
- The stone used for paving slabs would not be smooth to prevent slippery surfaces. Additionally larger paving slabs would be used than those used in High Town at present, to prevent them loosening and becoming a health and safety problem
- The paving slabs used could be sprayed with a resistive agent to aid the removal of chewing gum.
- It was proposed to make the High Street end of Eign Gate a more pedestrian friendly environment.
- Accessible underground water pipes are to be laid for easy access to retailers.
- Emergency Services vehicles would still be able to access the pedestrianised area.
- Consideration had been given to preventing the blocking of CCTV camera views from the trees to be planted.

Proposals for the Pedestrianisation of Widemarsh Street

Stephen Oates, Head of Highways and Transportation, outlined the Council's plans to consider pedestrianising Widemarsh Street, as a result of the large number of comments received following last summers enforced closure due to essential works by Transco. The options include full pedestrianisation, partial pedestrianisation or not changing anything. The Council proposes to experiment with pedestrianisation during the Eign Gate redevelopment. Consultation on the form of the experiment was currently underway and evaluation of the experiment would take place during the autumn of 2005 before a final decision was taken.

The main points arising from the question and answer session were:

- If partial pedestrianisation was introduced all deliveries would be required to take place during non-restricted hours.
- Additional taxi rank places were being considered.
- Traders in Widemarsh Street supported pedestrianisation of some sort.

- A straw poll conducted at the forum showed that nearly everyone present supported pedestrianisation.

Other Business

In response to a question Councillor Mike Wilson (Cabinet Member – Highways and Transportation) said that Councillors were entitled to free parking only when on official Council business. Additionally he explained that the bus service recently withdrawn from Westfaling Street had been partially restored.

Proposed Future Agenda Items

- Plans for the long-term future development of Hereford.
- Discussion on the development of Herefordshire Learning Village.
- Presentation from Environment Agency Officials on maintenance and plans for the River Wye.
- Written statement on provision of a children’s play areas.
- Information on the Museum Service including future investment plans.

<p>Ross-on-Wye - Tuesday 25 January 2005 at, John Kyrle High School, Ross-on-Wye</p> <p>Agenda Items Emergency Planning Youth Services School Transport</p>
<p>Ward Councillors: G Davis (Chairman), H Bramer, Mrs A Gray, G Lucas, Mrs R Lincoln,</p>
<p>Speakers: Philip Wilson, Emergency Planning Manager, Andrew Blackman, Admissions and Transport Officer.</p>
<p>In Attendance: D Johnson, Senior Management Team Representative, D Rule, Cabinet Member (Children’s Services).</p>
<p>Members of the Public: 12</p>

School transport

The main points arising from the question and answer session were:

- The Council try to give as much notice as possible of withdrawal of free transport to a family outside the catchment area. Responsibility for transporting a child remains with the parents. Parents have a year to plan when considering applying to secondary schools. 9% of schools’ budget is allocated to transport, and needed for children with special needs.
- Parents currently pay £80 a term towards transport. This is a standard rate across the County, and represents a contribution towards the total cost of around £800.
- Parliament is considering a school transport bill designed to discourage the use of cars for transporting children to school. Free school transport may disappear altogether.

Main points arising from general questions

- Highways Agency responsible for clearing road verges on A roads, not the Council;
- The problems with cars parking in Smallbrook Road would be discussed at the next Council meeting, and the issue was being addressed;

- The firing range was licensed and governed by statutory controls, and farmers were restricted to shooting for only 28 days per year. Any grievances should be reported to the council, supported by dates and times of incidents.
- Proposals to discontinue the two hours free parking for elderly people have been dropped.
- There was no funding available for a footbridge over the dual carriageway to enable people to walk to the retail area.

CORPORATE HEALTH PERFORMANCE

PROGRAMME AREA RESPONSIBILITY: AUDIT AND PERFORMANCE MANAGEMENT

CABINET

14TH APRIL 2005

Wards Affected

County-wide

Purpose

To receive an update on the Council's corporate performance in relation to our National and Local Best Value Performance Indicators from 1 April 2004 to 31 January 2005, reported on an exception basis where there is a variation on the target of at least + or – 10%.

Key Decision

This is not a key decision.

Recommendation

THAT performance in relation to the Council's National and Local Corporate Best Value Indicators, from 1 April to 31 January 2005 be noted.

Reasons

The Council has developed revised performance monitoring arrangements as outlined in the Comprehensive Performance Self-assessment document submitted to the Audit Commission. The revised arrangements ensure that the Chief Executive's Management Team, the Strategic Monitoring Committee, Scrutiny Committees, and Cabinet are all involved in the performance monitoring process.

Considerations

1. During 2004/2005 corporate performance is being reported to Cabinet at 4, 6, 8, 10 and 12 monthly intervals, in line with the Council's Performance Management Framework.
2. Cabinet last received a performance update against Corporate Health Performance Indicators in January. Appendix 1 contains the latest update and shows:
 - Comparative performance against target, previous performance to September 2004 and against top quartile performance for unitary authorities in 2003/04; and
 - Narrative explaining variances from target where applicable.

Further information on the subject of this report is available from
Kevin Lloyd, Policy Assistant, on (01432) 383401

Risk Management

Failure to review performance and improvement activity would undermine the implementation of the Council's Performance Management Framework.

Background Papers

- Herefordshire Council's Performance Management Framework
- Best Value Performance Indicators for 2003/2004

Above Target Performance

NATIONAL PERFORMANCE INDICATORS									
BV ref	Indicator	Top Quartile for 2003/04	Actual outturn for 2003/04	Target for 2004/05	Actual Performance				Aim
					April - July	April - September	April - November	April - January	
BV 76c	Housing benefit security - the number of fraud investigations per 1,000 caseload	43.89	40.37	38	63	53	55	56	High
BV 76d	Housing benefit security - the number of prosecutions and sanctions per 1,000 caseload	4.35	5.64	7	9	8	8	8	High

Below Target Performance

NATIONAL PERFORMANCE INDICATORS									
BV ref	Indicator	Top Quartile for 2003/04	Actual outturn for 2003/04	Target for 2004/05	Actual Performance				Aim
					April - July	April - September	April - November	April - January	
BV 11a	The percentage of top 5% of earners that are women	46.19%	42.4%	45%	42.2%	42.4%	42.4%	39.44%	High
BV 12	The number of working days/shifts lost to sickness absence per full time equivalent employees	9.48 FTE	7.16 FTE	7 FTE	6.9 FTE	7.8 FTE	8.36 FTE	8.24 FTE	Low

NATIONAL PERFORMANCE INDICATORS									
BV ref	Indicator	Top Quartile for 2003/04	Actual outturn for 2003/04	Target for 2004/05	Actual Performance			Aim	
					April - July	April - September	April - November		
BV 157	The number of types of interactions that are enabled for electronic delivery as a percentage of the types of interactions that are legally permissible for electronic delivery	75%	75%	100%	Not Monitored	82.46%	82.46%	High	
The method of recording and reporting e-enablement has changed. The Programme and Project Support Office currently carry out a monitoring function and have now been able to identify areas where improvement can be made.									
BV 76a	Housing benefit security - number of claimants visited per 1,000 caseload	331.06	174.25	255	203	104	122	125	High
Performance is below target due to an ongoing shortage of visiting resources throughout a significant part of 2004. The full compliment on structure is 4 F.T.E. The section is currently running at 3.4 FTE but will be down 1 FTE from the end of February due to maternity leave. A business case has been approved for filling of this post but it is likely to be April until it is filled, as the post is subject to criminal records checks.									
BV 76b	Housing benefit security - number of fraud investigators employed per 1,000 caseload	0.38	0.34	0.33	0.39	0.37	0.37	0.21	High
The figure has fallen due to the loss of 2 members of staff in October. It is hoped that these will be replaced soon.									

APPENDIX 1

BV 78b	Speed of processing – average time for processing notifications of changes of circumstance	8.6 days	9.77 days	8 days	11.2 days	14.1 days	10.6 days	12.88 days	Low
<p>As mentioned in previous monitoring reports, the target for this indicator was set based on DWP guidelines, however the definition for the measurement of number of days has changed since April 2004. The increase in the number of days to process a change under this new definition is to be expected. It was hoped that data would now be available from the Department of Work and Pensions (DWP) to make comparison with how we are currently performing against the new definition. However, a recent Newsletter from the DWP indicates that there is uncertainty as to whether local authorities are measuring performance against the definition accurately making it difficult to gauge performance and review target. Whilst performance in processing new claims (BV 78a) is now on target and subsequently not part of this report, it is anticipated that there will be a dip in performance during February and March as a new benefit processing system is being installed and the system will be down for several weeks whilst conversions of data take place.</p>									

LOCAL PERFORMANCE INDICATORS							
Indicator	Actual outturn for 2003/04	Target for 2004/05	Actual Performance				
			April – July	April – September	April – November	April – January	Aim
Number of recorded complaints, both formal and informal	434	440	85 (147)	119 (220)	207 (293)	262 (367)	High

STRATEGIC AUDIT PLAN 2005/06 – 2008/09

CABINET AREA RESPONSIBILITY: AUDIT AND PERFORMANCE MANAGEMENT

CABINET

14TH APRIL 2005

Wards Affected

County-wide.

Purpose

To report to Cabinet on the process used to develop the Strategic Audit Plan for 2005/06 to 2008/09 and the Annual Plan for 2005/06.

Key Decision

This is not a Key Decision.

Recommendations

That the Audit Strategy and Audit Plan for 2005/06 be endorsed.

Reasons

Preparation of the Audit Strategy and Audit Plan represents best practice and is an integral part of the Council's internal controls and procedures.

Considerations

- 1 The Accounts and Audit Regulations 2003 established requirements related to systems of internal control and the review and reporting of these systems. Regulation 4 of the Accounts and Audit Regulations 2003 requires that from 1st April 2003 '*The relevant body shall be responsible for ensuring that the financial management of the body is adequate and effective and that the body has a sound system of internal control which facilitates the effective exercise of that body's functions and which includes arrangements for the management of risk*'.
- 2 Herefordshire Council also has an obligation to include in its Statement of Accounts a statement on the system of internal financial control. The statement should set out the framework within which financial control is managed and reviewed and the main components of the system, including arrangements for internal audit. This statement reports on significant identified weaknesses and the actions undertaken to rectify them.
- 3 The work of Audit Services forms a significant part in the Council meeting its obligations under Regulation 4 of the Accounts and Audit Regulations and in the compilation of the Council's Statement of Internal Control. In addition, Audit Services

Further information on the subject of this report is available from Tony Ford, Principal Audit Manager, on 01432 260425

work makes an important contribution to the Council's CPA rating in the Use of Resources category. Limiting the Council's vulnerability to fraud and corruption and adhering to financial controls are key lines of enquiry in this assessment. The first call on audit resources will always be from the corporate governance and control perspective although the skills inherent within the team can positively contribute to other corporate initiatives where possible.

- 4 The Code of Practice for Internal Audit in Local Government in the United Kingdom (2003) states that 'Internal Audit should prepare a risk-based audit plan designed to implement the audit strategy, taking account of the organisation's risk management process. Any differences between the plan and resources available should be identified and reported to the organisation'.
- 5 The approach to preparing the Annual and Strategic Plan is fundamentally based upon the Council's Risk Strategy and covers risk assessments in the following areas:
 - Fundamental Systems.
 - Non- fundamental Systems.
 - Corporate Governance arrangements to include Anti-Fraud arrangements.
 - Best Value Performance Indicators.
 - Risk Management arrangements.
 - ICT protocols and controls.
 - Establishment visits.
 - Verification and Probity Reviews.
6. Each area is assessed for potential risks as classified utilising 'Traffic Lights' signposting, with Red being high risk, Amber being medium risk and Green being low risk. In addition, within each risk area, consideration is also given to residual risk for specific functions or establishments based upon their last Audit opinion and current knowledge including risk management reports to CXMT.
7. A key part of the risk methodology is that fundamental systems are always red no matter what their previous audit opinion is, as these are systems whose failure could cause major disruption or loss of financial control to the Council. In addition, bank account schools are always red because of their level of independence from the Council's control systems.
8. Resources available have been reduced owing to the deletion of a post in line with the Council's budget reduction requirements. The impact of this reduction in resources has not led to a reduction of audit work in high risk areas.
9. Following the risk assessment, the base plan identified 2804 days of resources required (summarised in Appendix 2). Adjustments are then made to align the plan to available resources i.e. 2,596 days.
- 10 The reduction in the base plan was achieved by reducing the number of:
 - Non fundamental System Audits by 8 saving 111 days

- Non School Establishment visits by 6 saving 72 days
 - Verification and Probity reviews by 2 saving 25 days
11. Additionally, it should be noted that some 57 (63%) Primary and Special Schools have not had an audit visit in the previous four years. Although not high risk areas individually, they do have a substantial risk as a group. Although 60 days has been allocated to primary schools within the plan, this does not represent enough audit cover to clear the backlog or meet the current years' requirement. To help overcome this, Audit Services intends to run 2 half-day seminars for school administrators and carry out limited establishment audits at individual schools, which have been chosen at random. The audits will cover high risk areas identified from previous establishment visits across the Council. A checklist will also be developed to help Governors ensure proper corporate governance.
 12. The Audit Commission requirements for 2005/06 are that Audit Services produce detailed system procedures and flowcharts for all fundamental system in line with International Accounting Standards. The Bank Reconciliation, Cash and Deposit, FMS Financial Reporting and Control, and FMS Budget Creation and Monitoring fundamental systems must be finalised by 31st December 2005, with the remainder by 31st March 2006.
 13. Although there is no evidence to suggest that there is a problem in relation to fraud and corruption, it is important for the reasons stated in para 3 that the plan includes anti-fraud and corruption work. The Council is also taking part in the Audit Commission's National Fraud Initiative (NFI), and members will be updated on progress accordingly.
 14. The Plan also reflects continuing Audit Services involvement in supporting key corporate priorities such as the Performance Management Framework and Local Public Service Agreements (LPSA).
 15. The Strategic Audit Plan is a rolling plan covering a period of four years. Year one represents the Annual Plan for 2005/06. The whole represents the Strategic Plan for the period to March 2009. The first year plan is quite firm in terms of planned audit activity, whilst the remainder is more flexible and will be updated in the light of experience and future risk assessments.
 16. Any revisions to the plan for 2005/06 will be reported in November 2005 and will reflect any changes in resources and new audit work identified.
 17. Appendix I summarises audit time and gives a summary of audit activity at a strategic level. Appendix 2 shows a summary at service level, with the detailed Strategic Plan in Appendix 3. Appendix 4 shows the detailed Audit Service Strategy.
 18. There has been extensive consultation with Directors, Heads of Service and the Audit Commission and their views, subject to resources, have been taken into account in determining the areas that require audit attention.

Risk Management

The four-year strategic plan is based upon a 'Traffic Lights' Methodology, with Red being high risk, Amber being medium risk and Green being low risk. Within each risk area consideration is also given to residual risk for specific functions or establishments based

upon their last Audit opinion and current knowledge. The risk based plan has been aligned to available resources, which means that some items identified for audit will not be done in the current year.

Consultees

None identified.

Background Papers

The Code of Practice for Internal Audit in Local Government in the United Kingdom.

2005/06
HEREFORDSHIRE COUNCIL
AUDIT SERVICES ANNUAL PLAN
SUMMARY BY STRATEGIC AREAS

Strategic Area	Summary of Work Planned	Days	%
Audit Services	Covers time allocated for the Administration and Management of Audit Services and includes annual and sick leave, vacancies and training days.	898.50	34.61
Chief Executive's Office	The main area of review relates to the Human Resource Division and covers verification of data on the Computerised Human Resources Information System (CHRIS).	12.00	0.46
Computer Audits	Reviews covering E Gateway, E-government, GAP analysis in relation to BS 7799 , which sets out the minimum standard of security for computer systems. A review of physical security within the IT service, which includes disaster planning and contractors/third parties. There will also be reviews covering project management and new system controls and management of software licences. Risk assessments of the Council's main computer systems including Financial Accounting, Council Tax, NDR, Housing Benefit and Payroll.	127.50	4.91
Corporate	Work which covers projects across the Council as a whole and includes Performance Indicators, LPSA targets the Council's Performance Management Framework and Good Environmental Management Auditing.	411.00	15.84
County Secretary and Solicitor's Department	The main area of work covers verification work relating to Members' expenses.	7.00	0.27

2005/06
HEREFORDSHIRE COUNCIL
AUDIT SERVICES ANNUAL PLAN
SUMMARY BY STRATEGIC AREAS

County Treasurer's Department	Relates to performance management framework associated work, follow-up work on the Credit Card Payments system previously reviewed, in addition to Data Protection verification work and a system review of Salaries and Wages emergency payments.	47.00	1.81
Children Services Directorate	The main area of work relates to school audits at ten high and thirteen primary schools and a special school as part of the rolling programme of school visits. Early Years Development Site visits. This is in addition to a review of contract tendering arrangements within the Directorate.	318.00	12.25
Environment Directorate	Audit follow-up work on recommendations previously made on past system audits. System reviews covering the waste management contract, work programme - Herefordshire Jarvis, in addition to contract tendering arrangements across the directorate.	78.00	3.00
Fundamental Systems	Review of system and procedures whose failure could have an adverse effect on the Council's overall financial standing. This includes the main accounting system, risk management, anti-fraud and corruption arrangements, Creditors, NDR, Council Tax and Housing Benefits.	385.00	14.83
Policy and Community Directorate	Audit work covers three establishment visits across the directorate. Verification work with regard the Leader Project, diversity compliance and the SRB HIT programme. This is in addition to contract tendering and awarding across the Directorate.	93.50	3.60

2005/06
**HEREFORDSHIRE COUNCIL
 AUDIT SERVICES ANNUAL PLAN
 SUMMARY BY STRATEGIC AREAS**

Adult Services	The main areas of review will concentrate on system reviews and will cover Financial Management and Budgetary control. Pooled Budgets, agency payments, Residential assessments/ Contribution Orders, payments to Independent Providers and Government Grants. Also follow up work in relation to the In House Homecare, Fairer Charging and Homecare Assistants payroll reviews previously completed.	177.50	6.84
Strategic Housing	Areas of review will cover Financial Management and Budgetary control, Supporting People Contracts and Grant Claim.	41.00	1.58
	TOTAL	2596.00	100.00

**2005/06
HEREFORDSHIRE COUNCIL
AUDIT SERVICES
ANNUAL PLAN SUMMARY**

Risk Level		Base Plan	Resources Available
		Days	Days
	Audit Services		
N/a	Administration and Management	297.50	297.50
N/a	Non-Audit Work	20.00	20.00
N/a	Staff Development	10.00	10.00
N/a	Leave/Vacant Posts/Secondments	491.00	491.00
N/a	Training	80.00	80.00
	Total Audit Services	898.50	898.50
	Chief Executive		
Green	General Work/advice	1.00	1.00
Amber	Human Resources	11.00	11.00
	Total Chief Executive	12.00	12.00
	Computer Audits		
Red	Corporate	42.00	42.00
Red	IT Services	39.00	39.00
Red	Social Care and Strategic Housing	10.00	10.00
Red	County Treasurer	36.50	36.50
Red	Education	00.00	00.00
	Total Computer Audits	127.50	127.50

**2005/06
HEREFORDSHIRE COUNCIL
AUDIT SERVICES
ANNUAL PLAN SUMMARY**

Risk Level		Base Plan	Resources Available
		Days	Days
	Corporate		
Red	Good Environment Management	23.00	23.00
N/a	Contingency	123.00	123.00
Red	Corporate Projects	278.00	243.00
N/a	Corporate Working Groups	22.00	22.00
	Total Corporate	446.00	411.00
	County Secretary and Solicitor		
Amber	Custodians	1.00	1.00
Red	Democratic and Public Services	5.00	5.00
Green	Emergency Planning	00.00	00.00
Green	Electoral Registration	00.00	00.00
Green	General	00.00	00.00
Amber	Land Charges	10.00	00.00
Green	Legal Services	1.00	1.00
Green	Registration Service	00.00	00.00
	Total County Secretary and Solicitor	17.00	7.00
	County Treasurer		
Amber	Financial Policy and Audit	1.00	1.00

**2005/06
HEREFORDSHIRE COUNCIL
AUDIT SERVICES
ANNUAL PLAN SUMMARY**

Risk Level		Base Plan	Resources Available
		Days	Days
Amber	Accountancy and Exchequer	11.50	11.50
Amber	General	24.00	24.00
Amber	Revenue and Benefits	10.50	10.50
	Total County Treasurer	47.00	47.00
	Children Services		
Amber	Other Children Services	00.00	00.00
Amber	General	28.00	28.00
Red	High Schools - Bank Account	107.00	107.00
Amber	High Schools – Non Bank Accounts	62.00	62.00
Amber	Inspection Curriculum and School Performance	13.00	1.00
Red	Primary Schools Bank Accounts	34.00	34.00
Red	Pre Primary Education	10.00	10.00
Amber	Policy and Resources Division	55.00	16.00
Amber	Primary Schools – Non Bank Accounts	55.00	55.00
Amber	Special Schools and Units – Non Bank Accounts	5.00	5.00
	Total Children Services	369.00	318.00
	Environment		
Red	Client Services	28.00	16.00

**2005/06
HEREFORDSHIRE COUNCIL
AUDIT SERVICES
ANNUAL PLAN SUMMARY**

Risk Level		Base Plan	Resources Available
		Days	Days
Red	Engineering Services	26.00	26.00
Amber	Engineering Services – Transport	00.50	00.50
Amber	General	15.00	15.00
Amber	Planning Services – Building Control	00.50	00.50
Amber	Planning Services	12.50	00.50
Amber	Property Services	1.00	1.00
Amber	EH Environmental Health	30.00	18.00
Green	EH Trading Standards	00.50	00.50
	Total Environment	114.00	78.00
	Fundamental Systems		
Red	Financial Policy	45.00	45.00
Red	Corporate	90.00	90.00
Red	Education	25.00	25.00
Red	Accountancy and Exchequer	100.00	100.00
Red	Revenues and Benefits	125.00	125.00
	Total Fundamental Systems	385.00	385.00
	Policy and Community		
Green	Archives	12.00	00.00
Amber	Countryside Services	00.50	00.50

**2005/06
HEREFORDSHIRE COUNCIL
AUDIT SERVICES
ANNUAL PLAN SUMMARY**

Risk Level		Base Plan	Resources Available
		Days	Days
Amber	Community Liaison	10.00	10.00
Amber	Corporate Policy	11.00	11.00
Red	Economic Development	48.00	26.00
Amber	Heritage	00.00	00.00
Red	Info in Herefordshire	36.00	36.00
Amber	External Liaison	6.00	6.00
Green	Libraries	1.00	1.00
Green	Public Relations	00.50	00.50
Green	Recreation & Sport	00.50	00.50
Green	Tourism	1.00	1.00
Amber	Youth Service	1.00	1.00
	Total Policy and Community	127.50	93.50
	Adult Services		
Green	Children's Services	00.00	00.00
Amber	Supported Employment	00.00	00.00
Green	General	5.00	5.00
Amber	Learning Disabilities	31.00	31.00
Green	Other Adult Services	00.50	00.50
Amber	Older People	36.00	36.00
Amber	Physical Disabilities	27.00	15.00
Amber	Finance and Administration	60.00	45.00

**2005/06
HEREFORDSHIRE COUNCIL
AUDIT SERVICES
ANNUAL PLAN SUMMARY**

Risk Level		Base Plan	Resources Available
		Days	Days
Red	Service Strategy	20.00	20.00
Amber	Young People	25.00	25.00
	Total Adult Services	204.50	177.50
	Strategic Housing		
Amber	Strategic Housing	56.00	41.00
	Total Strategic Housing	56.00	41.00
	TOTAL	2804.00	2596.00

KEY**Red- High Risk****Amber- Medium Risk****Green- Low Risk,**

<u>Ref:</u>	<u>Section and</u>	<u>Risk Level</u> Principal Activity	<u>Days</u> <u>05/0</u>	<u>Strat.Plan</u>
Audit Services				
AM Administration and Management				
		N/A Not Assessable for Risk	5/6	6/7 7/8 8/9
AMM04	Health and Safety	Audit Service Administration	3.00	Y Y Y Y
AMM05	Recruitment and Selection	Audit Service Administration	5.00	Y Y Y Y
AMM06	Service Management	Audit Service Management	100.00	Y Y Y Y
AMM07	General Office Duties	Audit Service Administration	100.00	Y Y Y Y
AMM08	Audit Briefing Meetings	Audit Service Administration	20.00	Y Y Y Y
AMM09	Tardis Management	Audit Service Administration	10.00	Y Y Y Y
AMM10	Audit Manual	Audit Service Administration	10.00	Y Y Y Y
AMM11	Customer Liaison	Audit Service Administration	15.50	Y Y Y Y
AMM12	Hereford & Worcester Audit Group	Audit Service Administration	4.00	Y Y Y Y
AMM14	Audit Plan	Audit Service Administration	25.00	Y Y Y Y
AMM16	Benchmarking Club	Best Value	5.00	Y . . .
		Administration and Management	297.50	
ANA Non-Audit Work				
		N/A Not Assessable for Risk	5/6	6/7 7/8 8/9
ANA01	Controlled Stationery	Stationery Ordering / Issuing	10.00	Y Y Y Y
ANA02	IT Services and Problems/time delays	Audit Service Administration	10.00	Y Y Y Y
		Non-Audit Work	20.00	
ARD Staff Development				
		N/A Not Assessable for Risk	5/6	6/7 7/8 8/9
ARD06	Audit Staff Review and Development etc	Audit Service Administration	10.00	Y Y Y Y
		Staff Development	10.00	
ASL Leave				
		N/A Not Assessable for Risk	5/6	6/7 7/8 8/9
ASL06	Annual Leave	Leave	301.00	Y Y Y Y
ASL07	Sick Leave	Leave	100.00	Y Y Y Y
ASL08	Bank Holidays	Leave	60.00	Y Y Y Y
ASL09	Vacant Posts / Secondment	Vacant Posts	20.00	Y Y Y Y
ASL11	Special Leave	Leave	10.00	Y Y Y Y
		Leave	491.00	
ATR Training				
		N/A Not Assessable for Risk	5/6	6/7 7/8 8/9
ATR01	Post Entry Training	Training	30.00	Y Y Y Y
ATR07	Other Training	Development	40.00	Y Y Y Y
ATR09	Seminars etc	Development	10.00	Y Y Y Y
		Training	80.00	
		Audit Services	898.50	

Ref: Section and

Chief Executive

XGN General Work / Advice

XGN00 Non-specific
XGN05 Chairmans Imprest Account

XHR Human Resources

XHR00 General Audit Work/Advice
XHR08 Imprest Account
XHR09 Computerised Human Resources Info System
XHR10 Control of ID Cards & Certificates of

Risk Level Principal Activity	Days 05/06	Strat.Plan			
		H	I	J	K
Green Low Risk		5/6	6/7	7/8	8/9
Other Chargeable	0.75	Y	Y	Y	Y
Cash-ups	0.25	Y	Y	Y	Y
<u>General Work / Advice</u>	1.00				
Amber Medium Risk		5/6	6/7	7/8	8/9
Other Chargeable	1.00	Y	Y	Y	Y
Cash-ups	0.00	.	Y	.	.
Verification/Probity	10.00	Y	.	.	.
Systems	0.00	.	.	Y	.
<u>Human Resources</u>	11.00				
Chief Executive	12.00				

Ref:	Section and Principal Activity	Risk Level	Days				Strat.Plan				
			05/06	H	I	J	K	H	I	J	K
Children Services											
ECH Other Childrens Services											
ECH06	Prevention & Support - Sec 17 & 24	Amber	Medium Risk	5/6	6/7	7/8	8/9				
ECH07	Centre 18-After School club	Systems		0.00	.	Y	.	.	.		
ECH08	Board Out, Cont Fam, Shared Care Child & TPP	Establishment		0.00	.	Y	.	.	.		
ECH09	Hollybush	Systems		0.00	.	Y	.	.	.		
		Establishment		0.00	Y		
		<u>Other Childrens Services</u>		0.00							
EGN General											
EGN00	Non-specific	Amber	Medium Risk	5/6	6/7	7/8	8/9				
EGN06	Bank Mandates	Other Chargeable		8.00	Y	Y	Y	Y	Y		
EGN07	Directorate Contract Letting	Bank Accounts / Imprests		5.00	Y	Y	Y	Y	Y		
		F&C - Contracts - Tenders /		15.00	Y		
		<u>General</u>		28.00							
EHD High Schools - Bank Accounts											
EHD00	General Audit Work/Advice	Red	High Risk	5/6	6/7	7/8	8/9				
EHD06	John Masefield High - Ledbury	Other Chargeable		5.00	Y	Y	Y	Y	Y		
EHD07	Lady Hawkins - Kington	School Audit		17.00	Y	Y	Y	Y	Y		
EHD09	Fairfield High - Peterchurch	School Audit		17.00	Y	Y	Y	Y	Y		
EHD13	Bishop of Hereford's Bluecoat - Hereford	School Audit		17.00	Y	Y	Y	Y	Y		
EHD14	Queen Elizabeth High - Bromyard	School Audit		17.00	.	Y	Y	Y	Y		
EHD15	Kingstone High	School Audit		17.00	Y	Y	Y	Y	Y		
		<u>High Schools - Bank Accounts</u>		107.00							
EHS High Schools - Non-Bank Accounts											
EHS00	General Audit Work/Advice	Amber	Medium Risk	5/6	6/7	7/8	8/9				
EHS06	Aylestone High - Hereford	Other Chargeable		2.00	Y	Y	Y	Y	Y		
EHS07	Whitecross High - Hereford	School Audit		0.00	.	Y	.	Y	Y		
EHS08	John Kyrle High - Ross on Wye	School Audit		0.00	.	Y	.	Y	Y		
EHS09	Wigmore High	School Audit		15.00	Y	.	Y	.	.		
EHS10	Minster College Leominster - Non Bank	School Audit		15.00	Y	.	Y	.	.		
EHS11	St Mary's High - Non Bank	School Audit		15.00	Y	.	Y	.	.		
EHS12	Haywood High - Non Bank	School Audit		0.00	.	Y	.	Y	Y		
EHS13	Weobley High - Non Bank	School Audit		0.00	.	Y	.	Y	Y		
		<u>High Schools - Non-Bank Accounts</u>		62.00							
EIC Inspection, Curriculum and School											
EIC00	General Audit Work/Advice	Amber	Medium Risk	5/6	6/7	7/8	8/9				
EIC06	Instrumental Music Services	Other Chargeable		1.00	Y	Y	Y	Y	Y		
EIC07	Inspectorate	Establishment		0.00	.	.	Y	.	.		
EIC10	ICT Training Suite	Establishment		0.00	.	.	Y	.	.		
EIC12	Early Excellence Centre	Establishment		0.00	.	Y	.	.	.		
		<u>Inspection, Curriculum and School Performance</u>		1.00							
EPD Primary Schools - Bank Accounts											
EPD06	St. Paul's C. E. Primary - Hereford	Red	High Risk	5/6	6/7	7/8	8/9				
EPD07	Broadlands Primary - Bank Hereford	School Audit		17.00	Y	Y	Y	Y	Y		
		School Audit		17.00	Y	Y	Y	Y	Y		
		<u>Primary Schools - Bank Accounts</u>		34.00							
EPP Pre-Primary Education											
EPP06	Early Years Development	Red	High Risk	5/6	6/7	7/8	8/9				
EPP08	Early Years Development - Site visits	Systems		0.00	.	.	Y	.	.		
		Verification/Probity		10.00	Y	Y	Y	Y	Y		
		<u>Pre-Primary Education</u>		10.00							

Ref:	Section and	Risk Level	Principal Activity	Days 05/06	Strat.Plan				
					H	I	J	K	
EPR Policy and Resources Division									
EPR00	General Audit Work/Advice	Amber	Other Chargeable	1.00	Y	Y	Y	.	
EPR01	Free Meal Service		Systems	0.00	.	Y	.	.	
EPR02	Education Personnel	Medium Risk	Establishment	0.00	.	Y	.	.	
EPR04	Governor Services		Systems	0.00	.	Y	.	.	
EPR05	Home to School/College(Pupil Entitlement)		Systems	0.00	.	Y	.	.	
EPR06	LMS and Finance,		Establishment	0.00	.	Y	.	.	
EPR09	Pupil Admissions & Exclusions		Establishment	0.00	.	Y	.	.	
EPR11	Statistics and Information		Systems	0.00	.	.	Y	.	
EPR12	Supply Cover - Central Administration		Systems	15.00	Y	.	.	.	
EPR13	Schools Support Unit		Establishment	0.00	.	Y	.	.	
EPR15	Childcare Services		Establishment	0.00	.	.	Y	.	
EPR16	LEA Pool		Establishment	0.00	.	Y	.	.	
EPR17	Standards Fund		Systems	0.00	.	Y	.	.	
EPR20	Capital Grants		Systems	0.00	.	Y	.	.	
<u>Policy and Resources Division</u>				16.00					

Ref:	Section and	Risk Level	Principal Activity	Days 05/06	Strat.Plan			
					H	I	J	K
EPS Primary Schools - Non-Bank Accounts		Amber	Medium Risk		5/6	6/7	7/8	8/9
EPS06	Almeley Primary	School Audit		0.00	.	.	Y	.
EPS07	Ashperton Primary	School Audit		5.00	Y	.	.	.
EPS08	Bodenham, St. Michael's C. E. Primary	School Audit		0.00	.	.	.	Y
EPS09	Bosbury C. E. Primary	School Audit		0.00	.	Y	.	.
EPS10	Brampton Abbots C. E. Primary	School Audit		0.00	.	.	Y	.
EPS11	Bredenbury Primary	School Audit		0.00
EPS12	Bridstow C. E. Primary	School Audit		0.00
EPS13	Brilley Parochial Primary	School Audit		5.00	Y	.	.	.
EPS14	Brockhampton (Bromyard) Primary	School Audit		0.00	.	.	.	Y
EPS15	St. Peter's Primary - Bromyard	School Audit		0.00	.	Y	.	.
EPS16	Burghill Primary	School Audit		0.00	.	.	Y	.
EPS17	Burley Gate C. E. Primary	School Audit		0.00	.	Y	.	.
EPS18	Canon Pyon C. E. Primary	School Audit		0.00	.	.	.	Y
EPS19	Cleghonger St. Mary's C. E. Primary	School Audit		0.00	.	Y	.	.
EPS20	Clifford Primary	School Audit		0.00
EPS21	Colwall C. E. Primary	School Audit		0.00	.	.	Y	.
EPS22	Cradley C. E. Primary	School Audit		5.00	Y	.	.	.
EPS23	Credenhill C. E. Primary	School Audit		0.00
EPS24	Dilwyn C. E. Primary	School Audit		0.00
EPS25	Eardisley C. E. Primary	School Audit		0.00	.	.	.	Y
EPS26	Eastnor C. E. Primary	School Audit		0.00	.	Y	.	.
EPS27	Ewyas Harold Primary	School Audit		0.00	.	.	Y	.
EPS28	Fownhope, St. Mary's C. E. Primary	School Audit		5.00	Y	.	.	.
EPS29	Garway Primary	School Audit		0.00	.	.	.	Y
EPS30	Goodrich C. E. Primary	School Audit		0.00	.	Y	.	.
EPS31	Gorsley Goffs Endowed Primary	School Audit		0.00
EPS32	Broadlands Primary - PreBank Hereford	School Audit		0.00
EPS33	Hampton Dene Primary - Hereford	School Audit		0.00
EPS34	Holmer C. E. Primary - Hereford	School Audit		0.00
EPS35	Hunderton Infants' - Hereford	School Audit		0.00
EPS36	Hunderton Junior - Hereford	School Audit		0.00
EPS37	Lord Scudamore Primary - Hereford	School Audit		0.00
EPS38	Marlbrook Primary - Hereford	School Audit		0.00	.	.	Y	.
EPS39	Our Lady's R. C. Primary - Hereford	School Audit		5.00	Y	.	.	.
EPS40	St. Francis Xavier's R. C. Primary - Hereford	School Audit		0.00
EPS41	St. James' C. E. Primary - Hereford	School Audit		0.00
EPS42	St. Martin's Primary - Hereford	School Audit		0.00
EPS43	St. Thomas Cantilupe C. E. Primary - Hereford	School Audit		0.00
EPS44	Trinity Primary - Hereford	School Audit		0.00
EPS45	Holme Lacy Primary	School Audit		0.00
EPS46	Hope-under-Dinmore C. E. Primary	School Audit		0.00	.	.	.	Y
EPS47	Kimbolton, St. James' C. E. Primary	School Audit		0.00	.	Y	.	.
EPS48	Kings Cuple Primary	School Audit		0.00	.	.	Y	.
EPS49	Kingsland C. E. Primary	School Audit		5.00	Y	.	.	.
EPS50	Kingstone & Thruxton Primary	School Audit		0.00	.	.	.	Y
EPS51	Kington Primary	School Audit		0.00	.	Y	.	.
EPS52	Lea C. E. Primary	School Audit		0.00
EPS53	Ledbury Primary	School Audit		0.00	.	.	Y	.
EPS54	Leintwardine Endowed Primary	School Audit		0.00
EPS55	Leominster Infants'	School Audit		5.00	Y	.	.	.
EPS56	Leominster Junior	School Audit		0.00
EPS57	Ivington C. E. Primary - Leominster	School Audit		0.00	.	.	.	Y
EPS58	Little Dewchurch C. E. Primary	School Audit		0.00	.	Y	.	.
EPS59	Llangrove C. E. Primary	School Audit		0.00	.	.	Y	.
EPS60	Longtown Primary	School Audit		0.00
EPS61	Lugwardine Primary	School Audit		0.00
EPS62	Luston Primary	School Audit		5.00	Y	.	.	.

Ref:	Section and	Risk Level	Principal Activity	Days	Strat.Plan			
				05/06	H	I	J	K
EPS63	Madley Primary		School Audit	0.00
EPS64	Marden Primary		School Audit	0.00
EPS65	Michaelchurch Escley Primary		School Audit	0.00	.	.	.	Y
EPS66	Mordiford C. E. Primary		School Audit	0.00	.	Y	.	.
EPS67	Much Birch C. E. Primary		School Audit	0.00	.	.	Y	.
EPS68	Much Marcle C. E. Primary		School Audit	5.00	Y	.	.	.
EPS69	Orleton C. E. Primary		School Audit	0.00	.	.	.	Y
EPS70	Pembridge C. E. Primary		School Audit	0.00	.	Y	.	.
EPS71	Pencombe C. E. Primary		School Audit	0.00	.	.	Y	.
EPS72	Peterchurch Primary		School Audit	0.00
EPS73	Ross-on-Wye, Ashfield Park Primary		School Audit	0.00
EPS74	Ross-on-Wye, St. Joseph's R. C. Primary		School Audit	0.00	.	.	Y	.
EPS75	Shobdon Primary		School Audit	0.00
EPS76	St. Weonard's Primary		School Audit	0.00
EPS77	Staunton-on-Wye Endowed Primary		School Audit	0.00
EPS78	Stoke Prior (Leominster) Primary		School Audit	0.00	.	.	.	Y
EPS79	Stretton Sugwas C. E. Primary		School Audit	0.00	.	Y	.	.
EPS80	Sutton Primary		School Audit	0.00	.	.	Y	.
EPS81	Walford Primary		School Audit	5.00	Y	.	.	.
EPS82	Wellington Primary		School Audit	0.00	.	.	.	Y
EPS83	Weobley Primary		School Audit	0.00	.	Y	.	.
EPS84	Weston under Penyard C. E. Primary		School Audit	0.00	.	.	Y	.
EPS85	Whitbourne C. E. Primary		School Audit	5.00	Y	.	.	.
EPS86	Whitchurch C. E. Primary		School Audit	0.00	.	.	.	Y
EPS87	Wigmore Primary		School Audit	0.00	.	Y	.	.
EPS88	Withington Primary		School Audit	0.00	.	.	Y	.
Primary Schools - Non-Bank Accounts				55.00				
ESU	Special Schools and Units - Non Bank	Amber	Medium Risk		5/6	6/7	7/8	8/9
ESU06	Barrs Court - Hereford		School Audit	0.00
ESU07	Blackmarston - Hereford		School Audit	0.00
ESU08	Westfield - Leominster		School Audit	5.00	Y	.	.	.
ESU09	Brookfield - Hereford		School Audit	0.00
ESU10	Priory Centre - Leominster		School Audit	0.00	.	.	.	Y
ESU11	Aconbury Centre		School Audit	0.00	.	Y	.	.
ESU12	St. Davids - Hereford		School Audit	0.00	.	.	.	Y
Special Schools and Units - Non Bank Accounts				5.00				
Children Services				318.00				

Ref:	Section and Principal Activity	Risk Level	Days 05/06	Strat.Plan			
				H	I	J	K
Computer Audits							
ITC Corporate							
ITC08	Data Protection Legislation Compliance	Red	High Risk	5/6	6/7	7/8	8/9
ITC09	Data Protection Caldicot	Computer / IT	0.00
ITC10	Internet & E-mail Policy and Security*	Computer / IT	0.00	.	Y	.	.
ITC13	Planning & Contingency	Computer / IT	2.00	Y	Y	Y	Y
ITC15	IT Gap Analysis BS 7799 follow up *	Computer / IT	10.00	Y	Y	Y	Y
ITC16	Customer Relationship Management (CRM)	Computer / IT	0.00	.	Y	.	.
ITC17	IT Strategy	Computer / IT	0.00
ITC18	E- Financials *	Computer / IT	0.00
ITC19	E Gateway *	Computer / IT	10.00	Y	.	.	.
ITC22	Monitoring E- Government (IEG)	Computer / IT	10.00	Y	Y	Y	Y
ITC23	New Systems Controls	Computer / IT	10.00	Y	Y	Y	Y
			<u>Corporate</u>	42.00			
ITD IT Services							
ITD06	Development : Project Management & Reviews	Red	High Risk	5/6	6/7	7/8	8/9
ITD07	Development : Controls in new systems	Computer / IT	8.00	Y	.	.	.
ITD08	Development : Capacity Planning	Computer / IT	8.00	Y	.	.	.
ITD09	Development : System Acceptance & Change	Computer / IT	0.00	.	Y	.	.
ITD10	Physical Security : Acquisitions	Computer / IT	0.00	.	Y	.	.
ITD11	Physical Security : Asset Management	Computer / IT	0.00
ITD12	Physical Security : Back- up and Recovery	Computer / IT	0.00	.	Y	.	.
ITD13	Physical Security : Disaster Planning *	Computer / IT	8.00	Y	.	.	.
ITD14	Physical Security : Network Management	Computer / IT	0.00	.	Y	.	.
ITD15	Physical Security : PC Management & Control	Computer / IT	0.00	.	Y	.	.
ITD16	Physical Security : Contractors /3rd Party	Computer / IT	5.00	Y	.	.	.
ITD20	Technical Security : Data Base Management	Computer / IT	0.00	.	.	Y	.
ITD21	Technical Security : Firewall & Security	Computer / IT	0.00	.	Y	.	.
ITD22	Technical Security : Telephones	Recs FUA - Computer / IT	4.00	Y	.	.	.
ITD23	ICT Service : Performance Monitoring	Computer / IT	0.00	Y	.	.	.
ITD24	ICT Service : Recharging	Computer / IT	0.00
ITD25	Physical Security : Physical Security	Computer / IT	0.00
ITD26	Management of Software Licences	Computer / IT	6.00	Y	.	.	.
			<u>IT Services</u>	39.00			
ITE Children Services							
ITE06	ICT Risk Assessment: Payroll	Red	High Risk	5/6	6/7	7/8	8/9
ITE07	ICT Risk Assessment: Systems	Computer / IT	0.00
			<u>Education</u>	0.00			
ITH Housing							
ITH06	Housing General	Red	High Risk	5/6	6/7	7/8	8/9
			Other Chargeable	0.00	.	.	.
			<u>Housing</u>	0.00			
ITS Audit Services							
ITS06	Supporting People *	Red	High Risk	5/6	6/7	7/8	8/9
ITS07	Adult Services Systems	Computer / IT	0.00	.	Y	.	Y
			Computer / IT	10.00	Y	Y	.
			<u>Social Care and Strategic Housing</u>	10.00			

Ref:	Section and	Risk Level	Principal Activity	Days 05/06	Strat.Plan			
					H	I	J	K
ITT	County Treasurer's	Red	High Risk		5/6	6/7	7/8	8/9
ITT07	Systems Risk Assessment : E. Purchasing	Computer / IT		0.00	.	Y	.	.
ITT08	Systems Risk Assessment : C Tax & NDR *	Computer / IT		3.00	Y	Y	Y	Y
ITT09	Systems Risk Assessment : Housing Benefit *	Computer / IT		3.00	Y	Y	Y	Y
ITT11	Systems Risk Assessment : Payroll	Computer / IT		3.00	Y	Y	Y	Y
ITT12	Computer Assisted Technique- Creditors	Computer / IT		3.50	Y	Y	Y	Y
ITT13	Computer Assisted Technique- NDR	Computer / IT		3.50	Y	Y	Y	Y
ITT14	Computer Assisted Technique- Council Tax	Computer / IT		3.50	Y	Y	Y	Y
ITT15	Computer Assisted Technique- Housing Benefit	Computer / IT		3.50	Y	Y	Y	Y
ITT16	Computer Assisted Technique- Payroll	Computer / IT		3.50	Y	Y	Y	Y
ITT17	Systems Risk Assessment : Cedar Interfaces *	Computer / IT		5.00	Y	Y	Y	Y
ITT18	Data Protection Legislation Compliance	Computer / IT		0.00
ITT20	System Risk Assessment : Creditors *	Computer / IT		0.00	.	Y	.	.
ITT21	System Risk assessment : Accounting System	Computer / IT		5.00	Y	Y	Y	Y
		<u>County Treasurer's</u>			36.50			
		Computer Audits			127.50			

Ref:	Section and	Risk Level Principal Activity	Days 05/06	Strat.Plan				
				H	I	J	K	
Corporate								
CGM <u>Good Environmental Management</u>								
CGM00	GEM General	Red High Risk	5.00	5/6	6/7	7/8	8/9	
CGM06	GEM 1 - Systems	Environmental Auditing	3.00	Y	Y	Y	Y	Y
CGM07	GEM 2 - Operational Controls	Environmental Auditing	3.00	Y	Y	Y	Y	Y
CGM08	GEM 3 - Service	Environmental Auditing	3.00	Y	Y	Y	Y	Y
CGM09	GEM 4 - Site Audits	Environmental Auditing	3.00	Y	Y	Y	Y	Y
CGM10	GEM 3&4 - Site and Service	Environmental Auditing	3.00	Y	Y	Y	Y	Y
CGM11	GEM 5 - Contracts	Environmental Auditing	3.00	Y	Y	Y	Y	Y
Good Environmental Management			23.00					
CON <u>Contingency</u>								
CON01	Audit contingency	N/A Not Assessable for Risk	123.00	5/6	6/7	7/8	8/9	
				Y	Y	Y	Y	Y
				Contingency				
			123.00					
CPJ <u>Corporate Projects</u>								
CPJ07	Car loans	Red High Risk	0.00	5/6	6/7	7/8	8/9	
CPJ08	Lease cars	Systems	0.00	.	Y	.	.	.
CPJ09	National Fraud Initiative	Systems	0.00	.	Y	.	.	.
CPJ10	Honorarium Payments	Verification/Probity	10.00	Y	Y	Y	Y	Y
CPJ12	Audit Bulletins	Systems	0.00	.	Y	.	.	.
CPJ13	Internal control guide	Ad-hoc Research / Reports	0.00	Y	Y	Y	Y	Y
CPJ14	Quarterly Control Reports-CEMT Updates	Ad-hoc Research / Reports	0.00	Y	Y	Y	Y	Y
CPJ15	Annual Control report	Ad-hoc Research / Reports	20.00	Y	Y	Y	Y	Y
CPJ16	External Audit Liaison	Ad-hoc Research / Reports	15.00	Y	Y	Y	Y	Y
CPJ17	Staff Review and Development	District Audit	5.00	Y	Y	Y	Y	Y
CPJ20	External Funding	Systems	0.00	.	Y	.	.	.
CPJ23	Car mileage/Travel and Subsistence	Verification/Probity	0.00	.	Y	Y	Y	Y
CPJ26	Staff Exit Interviews	Recs FUA - Systems	5.00	Y	Y	Y	Y	Y
CPJ27	Comprehensive Performance Assessment	Systems	0.00	.	.	Y	.	.
CPJ29	Performance Indicators	Ad-hoc Research / Reports	15.00	Y
CPJ30	Attend Elections	Performance Management	75.00	Y	Y	Y	Y	Y
CPJ31	Private Finance Initiative	Other Chargeable	2.00	Y	Y	Y	Y	Y
CPJ33	Recruitment and Selection	Systems	15.00	Y	Y	Y	Y	Y
CPJ34	LPSA Targets	Systems	25.00	Y	Y	Y	.	.
CPJ35	Data sharing with 3rd Parties	Performance Management	25.00	Y	Y	Y	Y	Y
CPJ36	Section 106 Agreements	Systems	10.00	Y
CPJ37	Performance Management Framework	Systems	0.00	.	Y	.	.	.
CPJ39	Anti Money Laundering Procedures	Performance Management	15.00	Y	Y	Y	Y	Y
				Y	Y	Y	Y	Y
				Corporate Projects				
			243.00					
CWG <u>Corporate Working Groups</u>								
CWG07	Environmental Management Group	N/A Not Assessable for Risk	5.00	5/6	6/7	7/8	8/9	
CWG10	Procurement and Contracts	Working Groups	5.00	Y	Y	Y	Y	Y
CWG12	Performance Lead/Coordinators Group	Working Groups	5.00	Y	Y	Y	Y	Y
				Y	Y	Y	Y	Y
				Corporate Working Groups				
			22.00					
				Corporate				
			411.00					

Ref: Section and
County Secretary and Solicitor

LAC Custodians

LAC03 All Custodian Imprest Accounts

LDP Democratic and Public Services

LDP00 General Audit Work/Advice
LDP06 Members Expenses

LEP Emergency Planning

LEP07 Emergency Planning Activities

LER Electoral Registration

LER07 Registration Office visit

LGN General

LGN06 Department Contract Letting
LGN07 Special

LLC Land Charges

LLC06 Land Charges

LLS Legal Services

LLS00 General Audit Work/Advice
LLS05 Bank Account

LRS Registration Service

LRS00 General Audit Work/advice
LRS06 Bromyard Registrar
LRS07 Hereford Registrar
LRS08 Kington Registrar
LRS09 Ledbury Registrar
LRS10 Leominster Registrar
LRS11 Ross Registrar

Risk Level Principal Activity	Days 05/06	Strat.Plan			
		H	I	J	K
Amber Medium Risk	5/6	6/7	7/8	8/9	
Cash-ups	1.00	Y	Y	Y	Y
<u>Custodians</u>	1.00				
Red High Risk	5/6	6/7	7/8	8/9	
Other Chargeable	0.00	Y	Y	Y	Y
Systems	5.00	Y	Y	Y	Y
<u>Democratic and Public Services</u>	5.00				
Green Low Risk	5/6	6/7	7/8	8/9	
Establishment	0.00	.	.	Y	.
<u>Emergency Planning</u>	0.00				
Green Low Risk	5/6	6/7	7/8	8/9	
Establishment	0.00	.	.	.	Y
<u>Electoral Registration</u>	0.00				
Amber Medium Risk	5/6	6/7	7/8	8/9	
F&C - Contracts - Tenders /	0.00	.	.	.	Y
Not allocated in this year	0.00
<u>General</u>	0.00				
Amber Medium Risk	5/6	6/7	7/8	8/9	
Systems	0.00	.	Y	.	.
<u>Land Charges</u>	0.00				
Green Low Risk	5/6	6/7	7/8	8/9	
Other Chargeable	0.50	Y	Y	Y	Y
Cash-ups	0.50	Y	Y	Y	Y
<u>Legal Services</u>	1.00				
Green Low Risk	5/6	6/7	7/8	8/9	
Other Chargeable	0.00	.	Y	Y	Y
Establishment	0.00	.	.	Y	.
Establishment	0.00	.	.	.	Y
Establishment	0.00	.	.	.	Y
Establishment	0.00	.	Y	Y	.
Establishment	0.00	.	.	.	Y
<u>Registration Service</u>	0.00				

County Secretary and Solicitor 7.00

Ref: Section and

County Treasurer

TAA Financial Policy and Audit

TAA00 General Audit Work/Advice
TAA13 VAT

TEX Accountancy and Exchequer

TEX00 General Audit Work/Advice
TEX06 Salaries and Wages EP Payments
TEX07 Insurance
TEX08 Support Services Imprest Account
TEX09 Creditor E.P. Payments

TGN General

TGN00 General Audit Work Advice
TGN07 Performance Management Framework
TGN08 Department Health and Safety
TGN09 Department Contract Letting
TGN10 Environmental Management

TRB Revenues and Benefits

TRB00 General Audit Work/Advice
TRB05 Imprest Account & Bank Account
TRB07 Data Protection
TRB08 Mortgages
TRB14 Credit Card Payment Introduction - Controls

Risk Level	Principal Activity	Days 05/06	Strat.Plan			
			H	I	J	K
Amber	Medium Risk		5/6	6/7	7/8	8/9
	Other Chargeable	1.00	Y	Y	Y	Y
	Systems	0.00	.	Y	.	.
	<u>Financial Policy and Audit</u>	1.00				
Amber	Medium Risk		5/6	6/7	7/8	8/9
	Other Chargeable	1.00	Y	Y	Y	Y
	Systems	10.00	Y	.	.	.
	Systems	0.00	.	Y	.	.
	Cash-ups	0.50	.	Y	Y	Y
	Systems	0.00	.	Y	.	.
	<u>Accountancy and Exchequer</u>	11.50				
Amber	Medium Risk		5/6	6/7	7/8	8/9
	Other Chargeable	1.00	Y	Y	Y	Y
	Performance Management	15.00	Y	Y	Y	Y
	Other Chargeable	3.00	Y	Y	Y	Y
	F&C - Contracts - Tenders /	0.00	.	Y	.	.
	Other Chargeable	5.00	.	Y	Y	Y
	<u>General</u>	24.00				
Amber	Medium Risk		5/6	6/7	7/8	8/9
	Other Chargeable	1.00	Y	Y	Y	Y
	Cash-ups	0.50	Y	Y	Y	Y
	Verification/Probity	6.00	Y	Y	Y	Y
	Systems	0.00	.	Y	.	.
	Recs FUA - Systems	3.00	Y	.	.	.
	<u>Revenues and Benefits</u>	10.50				
	County Treasurer	47.00				

Ref:	Section and	Risk Level Principal Activity	Days 05/06	Strat.Plan			
				H	I	J	K
Environment							
VCS Client Services							
VCS00	General Audit Work/Advice	Red High Risk	1.00	5/6	6/7	7/8	8/9
VCS03	Waste Contract Management	Other Chargeable	15.00	Y	Y	Y	Y
VCS07	Cemeteries and Crematoria	Systems	0.00	.	Y	.	.
VCS08	Markets - fees, charges and collection	Establishment	0.00	.	.	Y	.
VCS10	Client Services Income	Systems	0.00	.	.	Y	.
VCS11	Recycling Income	Systems	0.00	.	.	Y	.
VCS12	Street Cleansing	Contracts - Payments / Final	0.00	.	Y	.	.
				<u>Client Services</u>			
			16.00				
VES Engineering Services							
VES00	General Audit Work/Advice	Red High Risk	1.00	5/6	6/7	7/8	8/9
VES06	NRSWA/Trench Inspection	Other Chargeable	0.00	Y	Y	Y	Y
VES10	Road Maintenance	Systems	0.00	.	.	Y	.
VES23	Fees and Charges	Systems	0.00	.	Y	.	.
VES24	Contracts and Tenders	Contracts - Tenders / Awarding	0.00	.	Y	.	.
VES25	Taxi Licensing	Systems	0.00	.	Y	.	.
VES26	Highways Inspection/Claims	Verification/Probity	0.00	.	Y	.	.
VES27	Winter Maintenance	VFM	0.00	.	.	Y	.
VES28	Car Park Income and Control	F&C - Systems	0.00	.	Y	.	.
VES29	Penalty Charge Notice	Recs FUA - Systems	5.00	Y	.	.	.
VES30	Work Programme -Herefordshire Jarvis	Systems	20.00	Y	.	.	.
				<u>Engineering Services</u>			
			26.00				
VET Transportation							
VET00	General Audit Work/Advice	Amber Medium Risk	0.50	5/6	6/7	7/8	8/9
VET09	Section 38 Orders/Private Street Works	Other Chargeable	0.00	Y	Y	Y	Y
VET17	Public Transport- Payment to contractors	Systems	0.00	.	Y	.	.
VET22	Concessionary Fares	Systems	0.00	.	.	Y	.
				<u>Transportation</u>			
			0.50				
VGN General							
VGN06	Directorate Contract Letting	Amber Medium Risk	15.00	5/6	6/7	7/8	8/9
				<u>General</u>			
			15.00				
VPB Planning Services - Building Control							
VPB00	General Audit Work/Advice	Amber Medium Risk	0.50	5/6	6/7	7/8	8/9
VPB10	Application Management	Other Chargeable	0.00	Y	Y	.	.
				<u>Planning Services - Building Control</u>			
			0.50				
VPS Planning Services							
VPS00	General Audit Work/Advice	Amber Medium Risk	0.50	5/6	6/7	7/8	8/9
VPS03	Application management	Other Chargeable	0.00	Y	Y	Y	.
VPS06	Planning /Building Control Administraion	Systems	0.00	.	Y	.	.
VPS08	Wye Valley Cycle Project	Establishment	0.00
VPS09	Fees and Charges	Establishment	0.00
				<u>Planning Services</u>			
			0.50				

Ref:	Section and	Risk Level	Principal Activity	Days	Strat.Plan			
				05/06	H	I	J	K
VPT Property Services		Amber	Medium Risk	5/6	6/7	7/8	8/9	
VPT00	General Audit Work/Advice	Other Chargeable		1.00	Y	Y	Y	.
VPT02	Rating Valuation	Systems		0.00	.	Y	.	.
VPT04	Management of Select Tender list	Verification/Probity		0.00	.	Y	.	.
VPT06	Terrier Management	Systems		0.00	.	.	Y	.
VPT07	Valuation and Land Agents	Systems		0.00	.	Y	.	.
VPT08	Tendering Procedures- External	Contracts - Tenders / Awarding		0.00	.	Y	.	.
VPT09	Contract Monitoring/Facilities Management	Contracts - Payments / Final		0.00	.	.	Y	.
VPT10	Management Property Portfolio	Systems		0.00	.	Y	.	.
VPT11	Property Maintenance Local orders	Systems		0.00	.	Y	.	.
VPT13	School Catering	Systems		0.00	.	.	Y	.
Property Services				1.00				
VTH EH.Environmental Health.		Amber	Medium Risk	5/6	6/7	7/8	8/9	
VTH00	General Audit Work/Advice	Other Chargeable		1.00	Y	Y	Y	Y
VTH06	Fees and Charges	Systems		12.00	Y	.	.	.
VTH07	Licensing income	Systems		0.00	.	.	Y	.
VTH08	Pest Control income	Systems		0.00	.	Y	.	.
VTH09	Landfill Sites Expenditure	VFM		0.00	.	.	Y	.
VTH10	Animal Health	Systems		0.00
VTH11	Dog Warden Income	Systems		0.00	.	Y	.	.
VTH12	Authorised Process (Air Pollution)	Systems		0.00	.	Y	.	.
VTH13	Private water supply Income	Recs FUA - Systems		5.00	Y	.	.	.
EH.Environmental Health.				18.00				
VTS EH.Trading Standards		Green	Low Risk	5/6	6/7	7/8	8/9	
VTS00	General Audit Work/Advice	Other Chargeable		0.50	Y	Y	Y	Y
VTS06	Trading Standards fees and Charges	Systems			.	Y	.	.
EH.Trading Standards				0.50				
Environment				78.00				

Ref: Section and
Fundamental Systems

FAA Financial Policy

FAA07 Treasury Management
FAA09 Asset Register

FCP Corporate

FCP06 Corporate Governance
FCP07 Salaries and Wages
FCP09 Risk Management
FCP10 Salaries and Wages Education
FCP12 Corporate Statement of Internal Control

FED Education

FED07 Financial Management System

FEX Accountancy and Exchequer

FEX06 F. M. Systems Budget Setting & Reporting
FEX07 Creditors
FEX10 Bank Reconciliation
FEX11 F.M. System . Accounting Procedures &

FRB Revenues and Benefits

FRB07 Sundry Debtors
FRB08 NDR
FRB09 Council Tax
FRB10 Housing Benefit
FRB11 Cash and Deposits

Risk Level	Principal Activity	<u>Days</u> 05/06	<u>Strat.Plan</u>			
			H	I	J	K
Red	High Risk		5/6	6/7	7/8	8/9
	Systems	20.00	Y	Y	Y	.
	Systems	25.00	Y	Y	Y	.
	<u>Financial Policy</u>	45.00				
Red	High Risk		5/6	6/7	7/8	8/9
	Verification/Probity	15.00	Y	Y	Y	Y
	Systems	25.00	Y	Y	Y	Y
	Systems	20.00	Y	Y	Y	Y
	Systems	25.00	Y	Y	Y	Y
	District Audit	5.00	Y	Y	Y	Y
	<u>Corporate</u>	90.00				
Red	High Risk		5/6	6/7	7/8	8/9
	Systems	25.00	Y	Y	Y	.
	<u>Education</u>	25.00				
Red	High Risk		5/6	6/7	7/8	8/9
	Systems	25.00	Y	Y	Y	Y
	Systems	25.00	Y	Y	Y	Y
	Systems	25.00	Y	Y	Y	Y
	Systems	25.00	Y	Y	Y	Y
	<u>Accountancy and Exchequer</u>	100.00				
Red	High Risk		5/6	6/7	7/8	8/9
	Systems	25.00	Y	Y	Y	.
	Systems	25.00	Y	Y	Y	.
	Systems	25.00	Y	Y	Y	.
	Systems	25.00	Y	Y	Y	.
	Systems	25.00	Y	Y	Y	.
	<u>Revenues and Benefits</u>	125.00				
Fundamental Systems		385.00				

Ref: Section and
Policy and Community

PAR Archives

PAR06 Modern records

PCC Countryside Services

PCC00 General Audit Work/Advice
PCC06 Marches Woodland Initiative
PCC07 Queenswood
PCC09 Wye Valley AONB

PCL Community Liaison

PCL07 Lady Hawkins Community Centre Trust
PCL08 Grants and Donations

PCP Corporate Policy

PCP00 General Audit Work/Advice
PCP01 Administration- Brockington
PCP06 Directorate Contract Letting

PED Economic Development

PED00 General Audit Work/Advice
PED06 SRB Leominster
PED07 Hereford Partnership (Southern Marches)
PED08 Street Trading
PED09 Policy & Commissioning
PED10 Economic Investment Development
PED12 SRB South Wye Regeneration
PED13 Community Building Grants
PED14 Business Grant Start up
PED15 External Grant Applications Procedures
PED16 LEADER Project
PED17 Market Towns Initiative Programme
PED18 SRB HIT Programme
PED19 Regeneration Development

PHT Heritage

PHT09 Hereford Museum Broad St.
PHT11 Ledbury Heritage Centre
PHT12 Heritage Centre Ross on Wye

PIH Info In Herefordshire

PIH07 Bromyard
PIH08 Ledbury
PIH09 Leominster
PIH10 Ross
PIH11 Development
PIH12 Garrick House

Risk Level	Principal Activity	Days 05/06	Strat.Plan			
			H	I	J	K
Green Low Risk		5/6	6/7	7/8	8/9	
	Establishment	0.00	.	Y	.	.
	<u>Archives</u>	0.00				
Amber Medium Risk		5/6	6/7	7/8	8/9	
	Other Chargeable	0.50	Y	Y	.	.
	Establishment	0.00	.	.	Y	.
	Establishment	0.00	.	.	Y	.
	Establishment	0.00	.	.	.	Y
	<u>Countryside Services</u>	0.50				
Amber Medium Risk		5/6	6/7	7/8	8/9	
	Establishment	0.00	.	.	.	Y
	Systems	10.00	Y	.	.	Y
	<u>Community Liaison</u>	10.00				
Green Low Risk		5/6	6/7	7/8	8/9	
	Other Chargeable	1.00	Y	Y	Y	Y
	Establishment	0.00	Y	.	Y	.
	F&C - Contracts - Tenders /	10.00	Y	.	.	.
	<u>Corporate Policy</u>	11.00				
Red High Risk		5/6	6/7	7/8	8/9	
	Other Chargeable	1.00	Y	Y	Y	Y
	Verification/Probity	0.00	.	.	Y	.
	Verification/Probity	0.00	.	Y	.	.
	Systems	0.00	.	Y	.	.
	Establishment	0.00	.	.	Y	.
	Establishment	0.00
	Verification/Probity	0.00	.	.	Y	.
	Systems	0.00	.	.	Y	.
	Systems	0.00	.	Y	.	.
	Systems	0.00	.	Y	.	Y
	Verification/Probity	10.00	Y	.	Y	.
	Systems	0.00	.	.	Y	.
	Verification/Probity	5.00	Y	.	.	.
	F&C - Systems	10.00	Y	.	.	.
	<u>Economic Development</u>	26.00				
Amber Medium Risk		5/6	6/7	7/8	8/9	
	Recs FUA - Establishment	0.00	.	.	Y	.
	Establishment	0.00	.	Y	.	.
	Establishment	0.00	.	Y	.	.
	<u>Heritage</u>	0.00				
Red High Risk		5/6	6/7	7/8	8/9	
	Establishment	12.00	Y	.	.	.
	Establishment	0.00	.	.	Y	.
	Establishment	12.00	Y	.	.	.
	Establishment	0.00	.	Y	.	.
	Establishment	0.00
	Establishment	12.00	Y	.	.	.
	<u>Info In Herefordshire</u>	36.00				

Ref: Section and
PLA External Liaison
 PLA09 Divesity Compliance

PLB Libraries
 PLB00 General Audit Work/Advice - Libraries
 PLB06 Belmont Library
 PLB07 Bromyard Library
 PLB08 Colwall Library
 PLB09 Hereford Library
 PLB10 Kington Library
 PLB11 Ledbury Library
 PLB12 Lentwardine Library
 PLB13 Leominster Library
 PLB14 Ross Library
 PLB15 Weobley Library
 PLB16 Central Library Service
 PLB19 School Library Service

PPR Public Relations
 PPR00 General Audit Work/Advice

PRS Recreation & Sport
 PRS00 General Audit Work/Advice

PTM Tourism
 PTM00 General Audit Work/Advice
 PTM07 TIC Hereford
 PTM08 TIC Ledbury
 PTM09 TIC Leominster
 PTM10 TIC Queenswood
 PTM11 TIC Ross On Wye

PYS Youth Service
 PYS00 General Audit Work/Advice
 PYS12 Leominster and Wigmore Youth Service
 PYS13 Ross on Wye Youth Service
 PYS14 South Wye and Golden Valley Youth Service
 PYS15 Bromyard and Ledbury Youth Service
 PYS16 North City Youth Service
 PYS17 Kington and Weobley Youth Service
 PYS19 Imprest Account
 PYS20 Central Administration

Risk Level	Principal Activity	Days 05/06	Strat.Plan			
			H	I	J	K
Amber Medium Risk			5/6	6/7	7/8	8/9
	Verification/Probity	6.00	Y	Y	Y	Y
	<u>External Liaison</u>	6.00				
Green Low Risk			5/6	6/7	7/8	8/9
	Other Chargeable	1.00	Y	Y	Y	Y
	Establishment	0.00	.	.	.	Y
	Establishment	0.00	.	.	.	Y
	Establishment	0.00	.	.	.	Y
	Establishment	0.00	.	.	.	Y
	Establishment	0.00	.	.	.	Y
	Establishment	0.00	.	.	.	Y
	Establishment	0.00	.	.	.	Y
	Establishment	0.00	.	.	.	Y
	Establishment	0.00	.	.	Y	.
	Establishment	0.00	.	.	.	Y
	<u>Libraries</u>	1.00				
Green Low Risk			5/6	6/7	7/8	8/9
	Other Chargeable	0.50	Y	Y	Y	Y
	<u>Public Relations</u>	0.50				
Green Low Risk			5/6	6/7	7/8	8/9
	Other Chargeable	0.50	Y	Y	Y	Y
	<u>Recreation & Sport</u>	0.50				
Green Low Risk			5/6	6/7	7/8	8/9
	Other Chargeable	1.00	Y	Y	Y	Y
	Establishment	0.00	.	.	Y	.
	Establishment	0.00	.	Y	.	.
	Establishment	0.00	.	.	Y	.
	Establishment	0.00	.	Y	.	.
	Establishment	0.00	.	Y	.	.
	<u>Tourism</u>	1.00				
Amber Medium Risk			5/6	6/7	7/8	8/9
	Other Chargeable	1.00	Y	Y	Y	.
	Establishment	0.00	.	Y	.	.
	Establishment	0.00	.	.	Y	.
	Establishment	0.00	.	.	.	Y
	Establishment	0.00	.	Y	.	.
	Establishment	0.00	.	.	Y	.
	Establishment	0.00	.	.	.	Y
	Cash-ups	0.00	.	Y	.	.
	Establishment	0.00	.	Y	.	.
	<u>Youth Service</u>	1.00				

Policy and Community 93.50

Ref:	Section and	Risk Level	Principal Activity	Days		Strat.Plan			
				05/06	05/06	H	I	J	K
Adult Services									
SEM Supported Employment									
		Amber	Medium Risk		5/6	6/7	7/8	8/9	
SEM01	Transport and Vehicles		Systems	0.00	.	.	Y	.	.
SEM02	Grants to Voluntary Bodies (SLA)		Systems	0.00	.	Y	.	.	.
SEM03	Admin of Clients Estates, Receiverships &		Systems	0.00	.	.	Y	.	.
SEM04	Sessional Workers Claims		Systems	0.00	.	Y	.	.	.
SEM05	Complaints Procedures		Systems	0.00	.	Y	.	.	.
SEM06	Donation & Bequests		Systems	0.00	.	.	Y	.	.
			<u>Supported Employment</u>	0.00					
SGN General									
		Green	Low Risk		5/6	6/7	7/8	8/9	
SGN06	Bank Mandates		Bank Accounts / Imprests	5.00	Y	Y	Y	.	.
			<u>General</u>	5.00					
SLD Learning Disabilities									
		Amber	Medium Risk		5/6	6/7	7/8	8/9	
SLD00	General Audit Work/Advice		Other Chargeable	1.00	Y	Y	Y	.	.
SLD07	Ivy Close - Hereford		Establishment	0.00	.	.	Y	.	.
SLD08	Marshfield Centre/Leominster Trading/Paint Box		Establishment	0.00	.	Y	.	.	.
SLD09	St. Owens Centre - Hereford		Establishment	0.00	.	.	Y	.	.
SLD10	Ryefield Centre, Ross		Establishment	0.00	.	Y	.	.	.
SLD11	Agency Payments		Systems	15.00	Y
SLD13	Joint Finance- Health Authority Section 31		Ad-hoc Research / Reports	15.00	Y
SLD14	Blackfriars Stableblock Workmatch		Establishment	0.00	.	.	Y	.	.
SLD15	Widemarsh Workshop		Establishment	0.00	.	Y	.	.	.
			<u>Learning Disabilities</u>	31.00					
SOA Other Adult Services									
		Green	Low Risk		5/6	6/7	7/8	8/9	
SOA00	General Audit Work/Advice		Other Chargeable	0.50	.	Y	Y	Y	.
SOA10	Meals on Wheels (WRVS)		Systems	0.00	.	Y	.	.	.
			<u>Other Adult Services</u>	0.50					
SOP Older People									
		Amber	Medium Risk		5/6	6/7	7/8	8/9	
SOP00	General Audit Work/Advice		Other Chargeable	1.00	Y	Y	Y	Y	.
SOP15	Residential Assessments/Contribution Orders		Systems	15.00	Y
SOP16	In-house Home Care inc. Cash Handling		Recs FUA - Systems	5.00
SOP18	Payments to Independent Providers		Systems	15.00	Y
SOP21	Golden Valley Day Centre		Establishment	0.00	.	Y	.	.	.
			<u>Older People</u>	36.00					
SPD Physical Disabilities									
		Amber	Medium Risk		5/6	6/7	7/8	8/9	
SPD06	Joint Equipment Store (Adapt. & Handicapped		Establishment	0.00	.	Y	.	.	.
SPD07	Direct Payment to Service Users		Systems	15.00	Y
SPD08	Canal Road DC		Establishment	0.00	.	Y	Y	.	.
			<u>Physical Disabilities</u>	15.00					

Ref:	Section and	Risk Level	Principal Activity	Days 05/06	Strat.Plan			
					H	I	J	K
SSF Finance and Administration		Amber	Medium Risk		5/6	6/7	7/8	8/9
SSF06	Government Grants		Systems	15.00	Y	.	.	.
SSF07	Bromyard Area Office		Establishment	0.00	.	Y	.	.
SSF09	Ledbury Area Office		Establishment	0.00	.	.	Y	.
SSF10	Leominster Area Office		Establishment	0.00	.	Y	.	.
SSF11	Ross on Wye Area Office		Establishment	0.00	.	.	Y	.
SSF12	Central Office Administration		Establishment	0.00	.	Y	.	.
SSF15	Independent Living partnership		Systems	5.00	Y	.	.	.
SSF16	Home Care Charging		Systems	0.00	.	Y	.	.
SSF19	Fairer Charging		Recs FUA - Systems	5.00	Y	.	.	.
SSF21	Financial Management inc Budgetary Control		Systems	15.00	Y	Y	Y	Y
SSF22	Homecare Assistants Payroll		Recs FUA - Systems	5.00	Y	.	.	.
SSF23	HOCCS Payments/Income		Systems	0.00	.	Y	.	.
			<u>Finance and Administration</u>	45.00				
SSS Service Strategy		Red	High Risk		5/6	6/7	7/8	8/9
SSS10	Contracts/Contracts Monitoring		F&C - Contracts - Tenders /	20.00	Y	.	.	.
			<u>Service Strategy</u>	20.00				
SYJ Young People		Amber	Medium Risk		5/6	6/7	7/8	8/9
SYJ02	Supported Living/After Care/Care Leavers		Systems	25.00	Y	.	.	.
			<u>Young People</u>	25.00				
			Adult Services	177.50				

Ref:	Section and	Risk Level	<u>Days</u>	<u>Strat.Plan</u>			
		Principal Activity	05/06	H	I	J	K
Strategic Housing							
BSH Strategic Housing							
BSH00	Strategic Housing General	Amber Other Chargeable	1.00	Y	Y	Y	Y
BSH07	Supporting People Scheme- Grant Claim	Verification/Probity	5.00	Y	.	.	.
BSH09	Temp. Accommodation/Homelessness	VFM	0.00	.	Y	.	.
BSH10	Choice Based Lettings (Homebase)	Establishment	0.00	.	.	Y	.
BSH11	Division-Ordering and Payments of Invoices	Systems	0.00	.	Y	.	.
BSH12	Tender Opening and Contracts	F&C - Contracts - Tenders /	0.00	.	Y	.	.
BSH13	Renovation Grants	Recs FUA - Systems	5.00	Y	Y	Y	.
BSH14	Agency Agreement with Housing Company	Systems	0.00	.	.	Y	.
BSH15	Enabling & Housing Need Capital/Grants	Systems	0.00	.	Y	.	.
BSH16	HMO Registration Scheme	Systems	0.00	.	Y	.	.
BSH17	Financial Management inc Budgetary Control	Systems	15.00	Y	.	.	.
BSH18	Supporting People - Contracts	Verification/Probity	15.00	Y	Y	Y	Y
		<u>Strategic Housing</u>	41.00				
		Strategic Housing	41.00				
TOTAL			<u>2596.00</u>				

AUDIT SERVICE STRATEGY 2005/06

1 INTRODUCTION

- 1.1 The Audit terms of reference are very comprehensive and are set out in the Audit Charter approved by Cabinet on 18th April 2002.
- 1.2 The strategy
- Outlines how the service will be provided.
 - State how the assurance as outlined in the annual statement on internal control will be demonstrated and will include how Audit Services will contribute to the review of
 1. The Council's corporate governance arrangements.
 2. Risk management process.
 3. Key internal control systems.
 - Establish the resources required for its delivery.
 - Set out the relative allocation of audit resources between assurance work and any fraud-related or consultancy work.
 - Reflects how the Principal Audit Manager prepares the risk-based audit plan designed to implement the audit strategy, taking account of the Council's risk management process. Any differences between the plan and resources available will be identified and reported. The risk-based plan will outline assignments to be carried out and the broad resources required for its delivery.
- 1.3 The audit plan will be kept under review to enable identification of amendments needed to reflect changes in priorities and emerging risks. Cabinet will approve material changes to the Audit Plan.

2 PROVISION OF SERVICE

Currently the service is provided in-house and supplemented by an external computer auditor. This mix works well bearing in mind the ever-changing world of ICT and the specific skills required for computer audit work.

ICT audit training and development will continue to be a key training area for all audit staff, and with other training will ensure that Audit Services staff provide a comprehensive audit service to the Council. The service has been under pressure, bearing in mind the ever-increasing need for computer auditing technical advice, giving

AUDIT SERVICE STRATEGY 2005/06

assurance on controls and the meeting of corporate ICT objectives and targets.

Additionally the Audit Commission no longer carries out any assurance work but relies solely on the work of Audit Services.

It is proposed that the service continues to be provided in-house supplemented by an external computer auditor.

3 DEMONSTRATE THE RESILIENCE OF AUDIT OPINION

3.1 The Audit opinion on the Council's systems of internal control will be based on a review of the following:

- Financial standards, which will cover the Council's Fundamental Systems.
- Non-Fundamental Systems.
- Corporate Governance arrangements to include Anti-Fraud activity.
- Best Value Performance Indicators.
- Risk Management Arrangements.
- ICT protocols and controls.
- Establishment visits
- Verification and probity audits
- Corporate issues as they arise.
- Level of recommendations agreed for action by management.
- Results of recommendations follow-up.

3.2 An audit opinion will be given to each segment on which the Council's overall opinion will be based and reported.

4 CONTRIBUTION TO THE REVIEW OF THE COUNCILS CORPORATE GOVERNANCE ARRANGEMENTS

Audit Services work will confirm that:

- The Authority has established a Standards Committee and adopted a code of conduct for members, incorporating the mandatory requirements of the model code.
- Members have signed a formal declaration accepting the terms of the code.
- Arrangements are in place for members to monitor and test the operation of the new framework.
- Information about the implications of the new arrangements have been disseminated to the public, our partners, members and staff.
- Key Corporate Governance documentation is in place and remains up to date.

AUDIT SERVICE STRATEGY 2005/06

- Key corporate documents are made available to the public partners, staff and members.
- There are arrangements in place for members to monitor and test the operation of the CIPFA/SOLACE framework.
- Staff and members receive training and guidance on what key corporate documentation and arrangements mean for their behaviour.
- That the Council's Whistle-blowing Policy is up to date and widely circulated.

5. REVIEW THE RISK MANAGEMENT PROCESS

5.1 Audit work will confirm:

- That there are arrangements for risk identification, and that assessment and management are in place for all key financial and operational risks.
- Involvement of members in considering key risks and responses.
- A risk register is in place, which is reviewed and updated on a regular basis.

5.2 Audit Services will also have a role in, and provide advice, about risk management within the Council.

6 REVIEW KEY INTERNAL CONTROL SYSTEMS

6.1 The Principal Audit Manager will carry out an annual assessment of the need to review all key financial systems.

6.2 The Principal Audit Manager will review all high-risk financial systems each year and medium risk financial systems on a cyclical basis.

7 RESOURCES TO COMPLETE THE PLAN

7.1 Following the completion of the risk based audit plan, any differences between the plan and resources available will be identified and reported to members as appropriate. Members will also be informed of audits removed from the plan to align the risk based plan to audit resources.

