

**Chief Executive's Office**

Chief Executive: N.M. Pringle

**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**

Your Ref:

Our Ref: NMP/CD

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29th April, 2004

Dear Councillor,

**MEETING OF CABINET  
THURSDAY, 6TH MAY, 2004 AT 2.15 P.M.  
COUNCIL CHAMBER, BROCKINGTON, 35 HAFOD ROAD, HEREFORD**

**AGENDA (03/28)**

**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. TREASURY MANAGEMENT INVESTMENT STRATEGY 2004/2005**

To endorse the Treasury Management Investment Strategy for 2004/05 attached to this report for Council approval. *(Pages 1 - 14)*

**4. EQUALITY STANDARDS**

To approve an updated Equal Opportunities Policy (EOP) and to note progress of and proposals for diversity work within Herefordshire Council. *(Pages 15 - 32)*

**5. LOCAL AREA FORUMS**

To receive feedback on the first round of the Local Areas Forums, and to note any issues raised by the community. *(Pages 33 - 38)*

**6. STRATEGIC AUDIT PLAN 2004/05 - 2007/08**

To note the process used to develop the Strategic Audit Plan for 2004/05 to 2007/08 and to endorse the Annual Plan for 2004/05. *(Pages 39 - 78)*

**7. COUNTY SPORTS PARTNERSHIP**

To identify a suitable model for Herefordshire to enter a County Sports Partnership with Worcestershire to enable access to national and regional funding for sport. *(Pages 79 - 82)*

**8. CITIZENSHIP CEREMONIES**

To receive an update on proposed arrangements. *(Pages 83 - 84)*

**9. STRATEGIC MONITORING COMMITTEE**

To note the report of the Strategic Monitoring Committee to Council. *(Report to follow)*

**10. ROTHERWAS ACCESS ROAD, COMPULSORY PURCHASE AND SIDE ROADS ORDERS**

To approve the necessary Compulsory Purchase Orders (CPO) and Side Roads Orders (SRO) to facilitate the construction of the proposed Rotherwas Access Road. *(Pages 85 - 86)*

**EXCLUSION OF THE PUBLIC AND PRESS**

**In the opinion of the Proper Officer, the appendix to previous report and the next item will not be, or are likely not to be, open to the public and press at the time they are considered**

**RECOMMENDATION:**

**That under the Local Government Act 1972, the public be excluded from the meeting for the following items of business on the grounds that they involve the likely disclosure of exempt information as defined in Schedule 12(A) of the Act as indicated below**

**10. ROTHERWAS ACCESS ROAD, COMPULSORY PURCHASE AND SIDE ROADS ORDERS - EXEMPT APPENDIX**

To consider the confidential information attached to the report. *(Pages 87 - 90)*

**This item discloses information relating to the financial or business affairs of any particular person (other than the authority).**

**This item discloses any instructions to counsel and any opinion of counsel (whether or not in connection with any proceedings) and any advice received, information obtained or action to be taken in connection with –**

- a) any legal proceedings by or against the authority, or**
- b) the determination of any matter affecting the authority (whether, in either case, proceedings have been commenced or are in contemplation)**

**11. HEREFORDSHIRE HOUSING - VAT SHELTER ARRANGEMENTS**

To receive a report on proposals by Herefordshire Housing to revise the VAT shelter agreed at the time of the transfer of the housing stock. *(Pages 91 - 94)*

**This item discloses information relating to the financial or business affairs of any particular person (other than the authority).**

Yours sincerely,

A handwritten signature in black ink, appearing to read "Neil Pringle". The signature is written in a cursive style with a large, stylized initial "N" and "P".

**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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### **YOU HAVE A RIGHT TO:-**

- Attend all Council, Cabinet, Committee and Sub-Committee meetings unless the business to be transacted would disclose 'confidential' or 'exempt' information.
- Inspect agenda and public reports at least five clear days before the date of the meeting.
- Inspect minutes of the Council and all Committees and Sub-Committees and written statements of decisions taken by the Cabinet or individual Cabinet Members for up to six years following a meeting.
- Inspect background papers used in the preparation of public reports for a period of up to four years from the date of the meeting. (A list of the background papers to a report is given at the end of each report). A background paper is a document on which the officer has relied in writing the report and which otherwise is not available to the public.
- Access to a public Register stating the names, addresses and wards of all Councillors with details of the membership of the Cabinet, of all Committees and Sub-Committees.
- Have a reasonable number of copies of agenda and reports (relating to items to be considered in public) made available to the public attending meetings of the Council, Cabinet, Committees and Sub-Committees.
- Have access to a list specifying those powers on which the Council have delegated decision making to their officers identifying the officers concerned by title.
- Copy any of the documents mentioned above to which you have a right of access, subject to a reasonable charge (20p per sheet subject to a maximum of £5.00 per agenda plus a nominal fee of £1.50, for postage).
- Access to this summary of your rights as members of the public to attend meetings of the Council, Cabinet, Committees and Sub-Committees and to inspect and copy documents.

Please Note:

Agenda and individual reports can be made available in large print or on tape. Please contact the officer named below in advance of the meeting who will be pleased to deal with your request.

The Council Chamber where the meeting will be held is accessible for visitors in wheelchairs, for whom toilets are also available.

A public telephone is available in the reception area.

### **Public Transport links**

Public transport access can be gained to Brockington via bus route 74.

If you have any questions about this Agenda, how the Council works or would like more information or wish to exercise your rights to access the information described above, you may do so either by telephoning Mrs Christine Dyer on 01432 260222 or by visiting in person during office hours (8.45 a.m. - 5.00 p.m. Monday - Thursday and 8.45 a.m. - 4.45 p.m. Friday) at the Council Offices, Brockington, 35 Hafod Road, Hereford.

# **COUNTY OF HEREFORDSHIRE DISTRICT COUNCIL**

**BROCKINGTON, 35 HAFOD ROAD, HEREFORD.**

## **FIRE AND EMERGENCY EVACUATION PROCEDURE**

In the event of a fire or emergency the alarm bell will ring continuously.

You should vacate the building in an orderly manner through the nearest available fire exit.

You should then proceed to Assembly Point J which is located at the southern entrance to the car park. A check will be undertaken to ensure that those recorded as present have vacated the building following which further instructions will be given.

Please do not allow any items of clothing, etc. to obstruct any of the exits.

Do not delay your vacation of the building by stopping or returning to collect coats or other personal belongings.





# TREASURY MANAGEMENT INVESTMENT STRATEGY 2004/2005

## PROGRAMME AREA RESPONSIBILITY: CORPORATE STRATEGY AND FINANCE

CABINET

6TH MAY, 2004

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### Wards Affected

County-wide.

### Purpose

To endorse the Treasury Management Investment Strategy for 2004/05 attached to this report for Council approval.

### Key Decision

This is not a key decision.

### Recommendations

**THAT the Treasury Management Investment Strategy as detailed in Appendix 1, be endorsed.**

### Reasons

The reporting of expected activities for the coming financial year is required by the Council's Treasury Management Policy.

### Considerations

1. The Council has adopted and is currently working within CIPFA's Code of Practice on Treasury Management in the Public Services (2001).
2. A Treasury Management Strategy for 2004/05 has been approved by members that conforms to the CIPFA Code of Practice 2001. The Strategy was prepared in line with the Treasury Management Policy adopted by Council in February 2002.
3. From 2004/05 onwards, the requirements of the Treasury Management Code have been supplemented by guidance from the Office of the Deputy Prime Minister (ODPM) designed to replace the terms of the Approved Investment Regulation 1990, which cease to have effect from 1st April, 2004. Authorities are required to take the guidance into account under the terms of section 15(1)(a) of the Local Government Act 2003.
4. Owing to the late issue of the OPDM guidance in March 2004, this 2004/05 Investment Strategy has been prepared separately for approval from the Treasury Management Strategy. In future, the Investment Strategy will form part of the annual Treasury Management Strategy passed to Cabinet for endorsement before the start of each

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Further information on the subject of this report is available from Samantha Pitt  
on (01432) 261860

financial year.

5. The Treasury Management Investment priorities are:

- The security of capital.
- The liquidity of investments.
- The optimum return on investment commensurate with the proper levels of security and liquidity.

6. Cabinet is invited to endorse the Treasury Management Investment Strategy for 2004/05 as detailed in Appendix 1.

## **Risk Management**

Risk is managed in accordance with the Treasury Management Policy Statement approved by Council in March 2002.

## **Consultees**

Treasury Management advisers – Sector Treasury Services Limited.

## **Background Papers**

None identified.

### HEREFORDSHIRE COUNCIL

#### TREASURY MANAGEMENT INVESTMENT STRATEGY 2004/05

##### 1. INTRODUCTION

- 1.1 Under CIPFA's Treasury Management Code of Practice, the Council is required to formulate a strategy each year regarding its investments. From 2004/05 onwards, the requirements of the Treasury Management Code have been supplemented by guidance from the Office of the Deputy Prime Minister (ODPM), designed to replace the terms of the Approved Investment Regulation 1990, which cease to have effect from 1st April 2004. Authorities are required to take the guidance into account under the terms of section 15(1)(a) of the Local Government Act 2003.
- 1.2 Owing to the late issue of the OPDM guidance in March 2004, this 2004/05 Investment Strategy has been prepared separately for approval from the Treasury Management Strategy. In future, the Investment Strategy will form part of the annual Treasury Management Strategy passed to Cabinet for endorsement before the start of each financial year.
- 1.3 This Annual Investment Strategy states which investments the Council may use for the prudent management of its treasury balances during the financial year under the headings of **Specified Investments** and **Non-Specified Investments** as detailed in **Annex A**.
- 1.4 This Annex sets out:
- The procedures for determining the use of each category of investment (advantages and associated risk), particularly if the investment falls under the category of "non-specified investments."
  - The maximum periods for which funds may be prudently committed in each category.
  - Whether the investment instrument is to be used by the Council's in-house officers and/or by the Council's appointed external fund managers (Investec Asset Management); and, if non-specified investments are to be used in-house, whether prior professional advice is to be sought from the Council's treasury advisors (Sector Treasury Services Ltd).

##### 2. INVESTMENT OBJECTIVES

- 2.1 All investments will be in sterling. The general policy objective for Herefordshire Council is the prudent investment of its treasury balances\*. The Council's investment priorities are:
- (a) the **security** of capital; and
  - (b) **liquidity** of its investments.

The Council will aim to achieve the optimum return on its investments commensurate with the proper levels of security and liquidity.

\* This includes monies borrowed for the purpose of expenditure in the reasonably near future (i.e. borrowed 12-18 months in advance of need).

2.2 The ODPM guidance maintains that the borrowing of monies purely to invest or on-lend and make a return is unlawful and the Council will not engage in such activity.

### **3. SECURITY OF CAPITAL: THE USE OF CREDIT RATINGS**

3.1 The Council relies on credit ratings published by *Fitch Ratings*, *Moody's Investors Service* or *Standard & Poor's* to establish the credit quality of counterparties and investment schemes. The Council has also determined the minimum long-term, short-term and other credit ratings it deems to be "high" for each category of investment in conjunction with its Treasury Management advisor.

#### **3.2 Monitoring of credit ratings:**

- All credit ratings will be monitored monthly: The Council has access to Fitch credit ratings and is alerted to changes from its Treasury Management advisor.
- If a counterparty's or investment scheme's rating is downgraded with the result that it no longer meets the Council's minimum criteria, the further use of that counterparty/investment scheme as a new investment will be withdrawn immediately. Any intra-month credit rating downgrade which the Council has identified that affects the Council's pre-set criteria will also be similarly dealt with. The Council will also immediately inform its external fund manager of the withdrawal of the same.
- If a counterparty is upgraded so that it fulfils the Council's criteria, its inclusion will be considered for approval by the County Treasurer.

### **4. INVESTMENTS DEFINED AS CAPITAL EXPENDITURE**

4.1 The acquisition of share capital or loan capital in any body corporate is defined as capital expenditure under Section 16(2) of the Local Government Act 2003. Such investments will have to be funded out of capital or revenue resources and will be classified as 'non-specified investments'.

4.2 Investments in "money market funds" which are collective investment schemes and bonds issues by "multilateral development banks" (both defined in Statutory Instrument Number 534), will not be treated as capital expenditure.

4.3 A loan or grant by this Council to another body for capital expenditure by that body is also deemed by regulation to be capital expenditure by this Council. It is, therefore, important for this Council to clearly identify if the loan has made for policy reasons (e.g. to the registered social landlord for the construction/improvement of dwellings) or if it is an investment for treasury management purposes. The latter will be governed by the framework set by the Council for 'specified' and 'non-specified' investments.

4.4 This Council will not use or allow its external fund managers to use any investment which will be deemed as capital expenditure.

## **PROVISION FOR CREDIT-RELATED LOSSES**

- 4.5 If any of the Council's investments appeared at risk of loss owing to default (i.e. this a credit-related loss, and not one resulting from a fall in price due to movements in interest rates), the Council will make revenue provision of an appropriate amount.

## **5. INVESTMENT STRATEGY**

- 5.1 The County Treasurer manages part of the Council's investment portfolio. Investments managed by the in-house team are generally temporary in nature and short-term. All decisions are made in the light of the Council's forecast cash flow requirements.
- 5.2 If, during the course of the year, the County Treasurer detects that the market's expectation for base rates has been too high, the strategy will be to keep investments as long as possible with a view to locking in higher rates of return than may be available at a later stage when market expectations are corrected.
- 5.3 The money market yield curve is currently anticipating rising base rates in 2004/05. This authority views the markets' expectation for base rates as being too low; investment maturities will generally be kept short (1-3 months), with a view to enabling returns to be compounded more frequently.
- 5.4 Investment returns are forecast to be less than the cost of new borrowing during most of the year. It may, therefore, be beneficial to finance new capital expenditure by running down cash balances.
- 5.5 Based on its cash flow forecasts, the Council anticipates its fund balances in 2004/05 to average around £15,000,000.
- 5.6 Giving due consideration to the Council's level of balances over the next three years, the need for liquidity, its spending commitments and provisioning for contingencies, the Council has determined that a maximum of £10,000,000 of its overall fund balances can be prudently committed to longer term investments (i.e. those with a maturity exceeding a year).
- 5.7 In relation to the Council's internally managed funds, the County Treasurer does not currently plan to invest over 364 days. However, the Council's External fund manager could have a maximum 50% of its investment portfolio invested for periods in excess of 364 days. The market will be continuously monitored for opportunities to lock in to higher, longer-term rates, if it is viewed that this will add stability and value to returns.
- 5.8 With investment returns at historically low levels, there is limited scope to generate higher returns. However, the County Treasurer continuously seeks to add value over general market levels of returns. To this end, Call Accounts and Money Market Funds are some of the recent investment opportunities which have added value to the internally managed funds. Internally managed investments have generally exceeded the benchmark return.

## **6. EXTERNALLY MANAGED FUNDS**

- 6.1 A cash fund of £6,822,721.42 (as at 31st March 2004) is currently managed by Investec Asset Management on a discretionary basis. The Council, in conjunction with the Council's Treasury Management adviser, will monitor the external fund manager's performance in 2004/05.
- 6.2 The fund management agreement between the Council and Investec Asset Management formally documents the instruments it can use within pre-agreed limits.

## **7. COMPLIANCE WITH INVESTMENT STRATEGY**

- 7.1 All internally managed investments must be carried out in accordance with this Investment Strategy.
- 7.2 The contract with the External Fund Managers will be amended to ensure that the investments managed by them comply with the Council's Annual Investment Strategy.

## **8. END OF YEAR INVESTMENT REPORT**

- 8.1 At the end of the financial year, the Council will prepare a report on its investment activity as part of its Annual Treasury Report.

## SPECIFIED INVESTMENTS

*All investments listed below must be sterling-denominated*

Investment	Share/ Loan Capital?	Repayable/ Redeemable within 12 months?	Security / Credit Rating	Capital Expenditure?	Circumstance of use	Maximum period
<b>Debt Management Agency Deposit Facility*</b> (DMADF) * this facility is at present available for investments up to 6 months	No	Yes	Govt-backed	No	In-house	1 year*
<b>Term deposits</b> with the UK government or with UK local authorities (i.e. local authorities as defined under Section 23 of the 2003 Act) with maturities up to 1 year	No	Yes	High security although LAs not credit rated.	No	In-house and by external fund manager	1 year
<b>Term deposits</b> with credit-rated deposit takers (banks and building societies), including callable deposits, with maturities up to 1 year	No	Yes	Yes-varied <i>Minimum rating "A" Long-term and "F1" Short-term (or equivalent)</i>	No	In-house and by external fund manager	1 year
<b>Certificates of Deposit</b> issued by credit-rated deposit takers (banks and building societies): up to 1 year.	No	Yes	Yes-varied <i>Minimum rating "F1+" Short-term (or equivalent)</i>	No	External fund manager	1 year
<i>Custodial arrangement required prior to purchase</i> <b>Gilts:</b> up to 1 year	No	Yes	Govt-backed	No	(1) Buy and hold to maturity: to be used in-house after consultation with Treasury Management advisor (2) For trading: by external fund manager only subject to the guidelines and parameters agreed with them	1 year
<i>Custodial arrangement required prior to purchase</i>						

Investment	Share/ Loan Capital?	Repayable/ Redeemable within 12 months?	Security / Credit Rating	Capital Expenditure?	Circumstance of use	Maximum period
<b>Reverse Gilt Repos:</b> maturities up to 1 year [A transaction where gilts are bought with a commitment (as part of the same transaction) to sell equivalent gilts on a specified date, or at call, at a specified price]. Custodial arrangement required prior to purchase	No	Yes	Govt-backed	No	External fund manager only subject to the guidelines and parameters agreed with them	1 year
<b>Money Market Funds</b> [i.e. a collective investment scheme as defined in Statutory Instrument 2004 No. 534] These funds do not have any maturity date	No	Yes	Yes-varied <i>Minimum AAA credit rated</i>	No	In-house and by external fund manager subject to the guidelines and parameters agreed with them	The period of investment may not be determined at the outset but would be subject to cash flow and liquidity requirements
<b>Forward deals</b> with credit rated banks and building societies < 1 year (i.e. negotiated deal period plus period of deposit)	No	Yes	Yes-varied <i>Minimum rating "A" Long-term and "F1" Short-term (or equivalent)</i>	No	In-house	1 year in aggregate
<b>Commercial paper</b> [Short-term obligations (generally with a maximum life of 9 months) which are issued by banks, corporations and other issuers] Custodial arrangement required prior to purchase	No	Yes	Yes-varied <i>Minimum rating "F1+" Short-term (or equivalent)</i>	No	External fund manager only subject to the guidelines and parameters agreed with them	9 months



Investment	Share/ Loan Capital?	Repayable/ Redeemable within 12 months?	Security / Credit Rating	Capital Expenditure?	Circumstance of use	Maximum period
<b>Gilt Funds and other Bond Funds</b> ***. [These are open-end mutual funds investing predominantly in UK govt gilts and corporate bonds. These funds do not have any maturity date. These funds hold highly liquid instruments and the Council's investments in these funds can be sold at any time.]	No	Yes	Yes <i>Minimum rating 'AA-'</i>	No (ensure it is not a body corporate by virtue of its set up structure)	External fund manager only subject to the guidelines and parameters agreed with them (NB: In the selection of a fund the manager will ensure that the fund is not a body corporate by virtue of its set up structure).	
<b>Treasury bills</b> [Government debt security with a maturity less than one year and issued through a competitive bidding process at a discount to par value] <i>Custodial arrangement required prior to purchase</i>	No	Yes	Govt-backed	No	In-house and external fund manager subject to the guidelines and parameters agreed with them	1 year
<b>Bonds issued by a financial institution that is guaranteed by the UK Government</b> [As defined by Statutory Instrument 2004 No. 534, with maturities under 12 months]. <i>Custodial arrangement required prior to purchase</i>	No	Yes	Govt-backed	No	1) Buy and hold to maturity: to be used in-house after consultation with Treasury Management advisor (2) For trading: by external fund manager only subject to the guidelines and parameters agreed with them	1 year
<b>Bonds issued by a multilateral development bank</b> [As defined by Statutory Instrument 2004 No. 534, with maturities under 12 months]. <i>Custodial arrangement required prior to purchase</i>	No	Yes	AAA	No	1) Buy and hold to maturity: to be used in-house after consultation with Treasury Management advisor (2) For trading: by external fund manager only subject to the guidelines and parameters agreed with them	1 year

\*\*\*Open-ended funds continually create new units (or shares) to accommodate new monies as they flow into the funds and trade at net asset value. (NAV).

## NON-SPECIFIED INVESTMENTS

*All investments listed below must be sterling-denominated*

Investment	(A) Why use it? (B) Associated risks?	Share/ Loan Capital?	Repayable/ Redeemable within 12 months?	Security / Minimum credit rating	Capital Expen- diture?	Circumstance of use	Max % of overall investments	Maximum maturity of investment
<b>Term deposits</b> with credit rated deposit takers (banks and building societies) with maturities greater than 1 year	(A) (i) Certainty of rate of return over period invested. (ii) No movement in capital value of deposit despite changes in interest rate environment.  (B) (i) Illiquid: as a general rule, cannot be traded or repaid prior to maturity. (ii) Return will be lower if interest rates rise after making the investment. (iii) Credit risk: potential for greater deterioration in credit quality over longer period.	No	No	YES-varied <i>Minimum rating "AA-" Long-term and "F1" Short-term (or equivalent) Support 1,2 or equivalent</i>	No	External Fund Manager. In-house	50%  20%	5 years
<b>Certificates of Deposit</b> with credit rated deposit takers (banks and building societies) with maturities greater than 1 year <i>Custodial arrangement required prior to purchase</i>	(A) (i) Although in theory tradable, are relatively illiquid.  (B) (i) Market or interest rate risk: Yield subject to movement during life of CD which could negatively impact on price of the CD.	No	Yes	YES-varied <i>Minimum rating "AA" Long-term and "F1+" Short-term (or equivalent)</i>	No	External fund manager. In-house after consultation with Treasury Management advisor	50%  20%	5 years

Investment	(A) Why use it? (B) Associated risks?	Share/ Loan Capital?	Repayable/ Redeemable within 12 months?	Security / Minimum credit rating	Capital Expen- diture?	Circumstance of use	Max % of overall investments	Maximum maturity of investment
<b>Callable deposits</b> with credit rated deposit takers (banks and building societies) with maturities greater than 1 year	(A) (i) Enhanced income - Potentially higher return than using a term deposit with similar maturity. (B) (i) Illiquid – only borrower has the right to pay back deposit; the lender does not have a similar call. (ii) Period over which investment will actually be held is not known at the outset. (iii) Interest rate risk: borrower will not pay back deposit if interest rates rise after deposit is made.	No	No	YES-varied <i>Minimum rating "AA-" Long-term and "F1" Short-term (or equivalent) Support 1,2 or equivalent</i>	No	External Fund Manager. In-house after consultation with Treasury Management advisor	50%  20%	5 years in aggregate
<b>UK government gilts</b> with maturities in excess of 1 year  <i>Custodial arrangement required prior to purchase</i>	(A) (i) Excellent credit quality. (ii) Very liquid. (iii) If held to maturity, known yield (rate of return) per annum - aids forward planning. (iv) If traded, potential for capital gain through appreciation in value (i.e. sold before maturity) (v) No currency risk  (B) (i) 'Market or interest rate risk': Yield subject to movement during life of sovereign bond which could negatively impact on price of the bond i.e. potential for capital loss.	No	Yes	Govt backed	No	(1) Buy and hold to maturity: in- house after consultation with Treasury Management advisor (2) For trading: by external fund manager only subject to the guidelines and parameters agreed with them	20%  50%	10 years (but also including the 10 year benchmark gilt)

Investment	(A) Why use it? (B) Associated risks?	Share/ Loan Capital?	Repayable/ Redeemable within 12 months?	Security / Minimum credit rating	Capital Expen- diture?	Circumstanc e of use	Max % of overall investments	Maximum maturity of investment
<b>Sovereign issues ex UK govt gilts:</b> any maturity  <i>Custodial arrangement required prior to purchase</i>	(A) (i) Excellent credit quality. (ii) Liquid. (iii) If held to maturity, known yield (rate of return) per annum - aids forward planning. (iv) If traded, potential for capital gain through appreciation in value (i.e. sold before maturity) (v) No currency risk  (B) (i) Market or interest rate risk: Yield subject to movement during life of sovereign bond which could negatively impact on price of the bond i.e. potential for capital loss.	No	Yes	AAA	No	(1) Buy and hold to maturity in-house after consultation from Treasury Management advisor (2) For trading: by external fund manager only subject to the guidelines & parameters agreed with them	20%  50%	10 years
<b>Forward deposits</b> with credit rated banks and building societies for periods > 1 year (i.e. negotiated deal period plus period of deposit)	(A) (i) Known rate of return over period the monies are invested - aids forward planning.  (B) (i) Credit risk is over the whole period, not just when monies are actually invested. (ii) Cannot renege on making the investment if credit rating falls or interest rates rise in the interim period.	No	No	Yes-varied  <i>Minimum rating "AA-" Long-term and "F1" Short-term (or equivalent) Support 1,2 or equivalent</i>	No	External Fund Manager In-house after consultation with Treasury Management advisor	50%  20%	5 years

Investment	(A) Why use it? (B) Associated risks?	Share/ Loan Capital?	Repayable/ Redeemable within 12 months?	Security / Minimum credit rating	Capital Expen- diture?	Circumstanc e of use	Max % of overall investments	Maximum maturity of investment
<b>Deposits with unrated deposit takers (banks and building societies) but with unconditional financial guarantee from HMG or credit-rated parent institution:</b> any maturity	(A) Credit standing of parent will determine ultimate extent of credit risk	No	Yes	Not rated in their own right, but parent must be rated. <i>Minimum rating for parent "AA-" Long-term and "F1" Short-term (or equivalent) Support 1,2 or equivalent</i>	No	In-house	20%	1 year
<b>Bonds issued by a financial institution that is guaranteed by the UK Government</b> (as defined in Statutory Instrument 2004 No. 534) with maturities in excess of 1 year  <i>Custodial arrangement required prior to purchase</i>	(A) (i) Excellent credit quality. (ii) relatively liquid (although not as liquid as gilts). (iii) If held to maturity, known yield (rate of return) per annum - aids forward planning, enhanced return compared to gilts. (iv) If traded, potential for capital gain through appreciation in value (i.e. sold before maturity)  (B) (i) Market or interest rate risk: Yield subject to movement during life of bond which could negatively impact on price of the bond i.e. potential for capital loss. (ii) Spread versus gilts could widen.	Yes	Yes	AAA / Govt guaranteed	No	(1) Buy and hold to maturity: in-house after consultation with Treasury Management advisor (2) For trading: by external fund manager only subject to the guidelines and parameters agreed with them	20%  50%	10 years

Investment	(A) Why use it? (B) Associated risks?	Share/ Loan Capital?	Repayable/ Redeemable within 12 months?	Security / Minimum credit rating	Capital Expen- diture?	Circumstanc e of use	Max % of overall investments	Maximum maturity of investment
<p><b>Bonds issued by multilateral development banks</b> (as defined in Statutory Instrument 2004 No. 534) with maturities in excess of 1 year</p> <p><i>Custodial arrangement required prior to purchase</i></p>	<p>(A) (i) Excellent credit quality. (ii) relatively liquid (although not as liquid as gilts). (iii) If held to maturity, known yield (rate of return) per annum - aids forward planning, enhanced return compared to gilts. (iv) If traded, potential for capital gain through appreciation in value (i.e. sold before maturity)</p> <p>(B) (i) Market or interest rate risk: Yield subject to movement during life of bond which could negatively impact on price of the bond i.e. potential for capital loss. (ii) Spread versus gilts could widen.</p>	Yes	Yes	AAA / Govt guaranteed	No	<p>(1) Buy and hold to maturity: in-house after consultation with Treasury Management advisor</p> <p>(2) For trading: by external fund manager only subject to the guidelines and parameters agreed with them</p>	20%	10 years

## EQUALITY STANDARDS

### PROGRAMME AREA RESPONSIBILITY: CORPORATE STRATEGY AND FINANCE

CABINET

6TH MAY, 2004

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#### Wards Affected

County-wide

#### Purpose

To approve an updated Equal Opportunities Policy ('EOP') and to note progress of and proposals for diversity work within Herefordshire Council.

#### Key Decision

This is not a Key Decision

#### Recommendation

- THAT (a) the new draft of the Equal Opportunities Policy be approved;**  
**(b) that the proposal for the Corporate Equalities Plan be approved;**

#### Reasons

The Equal Opportunities Policy was first approved in July 2002. It has been updated to reflect changes in legislation.

#### Considerations

1. In April 2003 a corporate Diversity Group was set up to take the Council forward in its approach to equalities issues. Work to date undertaken by this group includes the ongoing "Respecting Customers and Colleagues-Diversity in Practice", Officer and Member training, and co-ordination of Equality Impact Assessment Process. Equality Impact Assessments will be carried out for all Council services (both internal and to the public) in a three year rolling programme and will be incorporated into all Service Plans [and will include the identification and provision of reasonable adjustments to comply with the requirements for the Disability Discrimination Act]. All services will be prioritised to be assessed in either year 1, 2 or 3.
2. Leading the organisation in the attainment of the Equality Standard comprises part of the group's terms of reference. The Equality Standard is a tool developed by the Local Government Employers' Organisation as a means of assessing how Local Authorities are progressing against the diversity agenda. The Equality Standard is a National Performance Indicator
3. In the 2003/04 Best Value Performance Plan, Herefordshire Council recorded itself as being at level one - "Commitment to a comprehensive Equality Policy". In order to

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Further information on the subject of this report is available from  
Jane Jones, Director of Policy and Community on (01432) 260042

begin to move towards level two it will be necessary to audit attainment against level one.

4. Level one will be audited by Herefordshire Council's internal audit team in March, April and May 2004. Initial discussions have already been undertaken with the principal audit manager.
5. Cabinet will be aware of the Council's existing Equal Opportunities Policy, which has been in place since 1998. Appendix 1 is an up-dated document. It should be noted that the changes within the document are mostly semantic in nature to clarify further the policy direction that will be taken in accordance with the Equality Standard. The EOP is intended to cover race, sex, disability, sexual orientation, religion and belief, age and access to services.
6. In order to implement the Equal Opportunities Policy, Herefordshire Council must commit to developing a Corporate Equalities Plan ('CEP') which will identify
  - Outcomes meaningful to sections of the community currently disadvantaged including multiple discrimination
  - Actions to be taken to achieve outcomes
  - Officers responsible for achievement of outcomes
  - Other resources necessary (include details of budget?)
  - Timescales for delivery
  - Specific targets and monitoring procedures
  - How the outcomes from the recently commenced programme of Equality Impact Assessments will be used to plan changes in service delivery
  - How progress will be internally assessed and scrutinised

It will be the responsibility of the Diversity Group to develop the CEP in accordance with these criteria.

8. In order to ensure that there is corporate ownership of the CEP, it should be developed in consultation with all Council departments and service areas. Furthermore, detailed consultation should be undertaken with various sectors of Herefordshire's community through constructive, two-way dialogue with groups such as (although not exclusively):
  - Disability Rights Groups
  - The Rainbow Forum (Lesbian, Gay, Bisexual and Transsexual Group)
  - Age specific organisations (eg: Age Concern)
  - Young People's Community Groups
  - Faith representatives
  - Herefordshire Council Staff Race Equality Group



- Communities Against Racism Groups
  - Herefordshire Race Equality Group
  - Trade Unions
9. It should be noted that the CEP and the EOP will be formulated in addition to the Council's Race Equality Scheme and Disability Scheme. Both of these documents detail how the Council is approaching its responsibilities to specific pieces of legislation and in the case of the Race Equality Scheme is a statutory document. The scale of work currently required to ensure compliance with legislation necessitates separate documents for these issues. The CEP will contain extremely close reference to both schemes. It is proposed that they are integrated into the CEP when both schemes are revised, whilst ensuring that they still fulfil their statutory imperatives.
10. In order to be effective, diversity considerations need to be related to service delivery interfaces which means that commitment towards the following will be required from individual service areas:
- To contribute towards the consultation and scrutiny elements of the CEP
  - To continue with the process of Equality Impact Assessments, act upon the outcomes through setting targets for change in service plans and to engage in internal equality audit and scrutiny
  - To allocate resources where necessary to improve practice

## **Alternative Option**

There are no alternative options.

## **Risk Management**

The above approach has been devised with close reference to requirements within the Equality Standard, which is widely recognised as the leading tool to measure a public authority's progress in setting and achieving diversity objectives. Attainment of levels is also a National Performance Indicator. To deviate from the approach advocated within this report would leave the Council with no recognised mechanism for measuring its achievement on diversity. This would leave the organisation vulnerable during the inspection process and with little comprehensive guide as to recommended policy directions.

## **Consultees**

None

## **Background Papers**

None identified.





HEREFORDSHIRE  
COUNCIL

# Equal Opportunities Policy

*“The Herefordshire Council believes that it is a fundamental right for everyone to be treated equally, with respect and dignity; it will act directly and use its influence to ensure that this right is promoted and upheld.”*

First issued – April 1999  
1st Revision – July 2002  
2nd Revision - May 2004

DRAFT

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## Some definitions...

<b>Direct Discrimination</b>	Treating a person, on grounds of race, gender, disability etc, less favourably than others are, or would be treated, in the same circumstances
<b>Indirect Discrimination</b>	Applying requirements or conditions, intentionally or not, which adversely affect a considerably larger proportion of one group than another, which cannot be justified
<b>Victimisation</b>	When a person is treated less favourably than others for having made, or supported, a complaint of discrimination
<b>Prejudice</b>	Literally, to prejudge; to have views about a group of people or an individual that is based on assumptions about them.
<b>Institutional Racism</b>	Situations where discriminatory policies or practices have become incorporated and absorbed into an organisation's structures, processes and procedures.
<b>Equal opportunities</b>	The promotion of policies and practices aimed at ensuring everyone in an organisation has the same chances and prospects. Equal opportunities promotes equal access to employment and services for everyone

## Statement of Intent

The Herefordshire Council believes that it is a fundamental right for everyone to be treated equally, with respect and dignity; it will act directly and use its influence to ensure that this right is promoted and upheld

As an organisation, the Council recognises and accepts that when it is

- ❖ providing services,
- ❖ purchasing services,
- ❖ employing staff; or
- ❖ working in partnership with other organisations,

it has a responsibility to promote and implement equality of opportunity.

People can be discriminated against on a number of grounds, including (but not exclusively):

- ❖ race;
- ❖ gender;
- ❖ disability;
- ❖ religious belief;
- ❖ age;
- ❖ marital status;
- ❖ a lesbian or gay lifestyle;
- ❖ HIV status; or
- ❖ any personal characteristic or circumstance

The Council has, therefore, adopted this equal opportunities policy to let its staff, customers, contractors and partners know about its aims and its commitment to act directly and use its influence to ensure that everyone is treated equally.

## Service Delivery Objectives

The Council is committed to equality of opportunity in allocating resources and providing services.

In carrying out this equal opportunities policy, the Council will actively seek to:-

- Ensure that all customers and users of the Council's services are aware of their right to be treated equally, with respect and dignity, and of their right to complain when they believe they have been unfairly treated.
- Understand customers' needs by reflecting the diversity of the local community (such as ethnic origin, gender, age, disability, etc) in the workforce.
- Eliminate barriers for anyone who needs or wishes to access services delivered by the Council, including barriers relating to affordability, language, accessibility, culture and attitude.
- Consult with the community, including its own employees, to ensure that people take part in identifying needs and allocating resources to meet those needs.
- Ensure that all Councillors, Council employees and those working with or for the Council are aware of its equal opportunities policy; that all understand their responsibility for implementing the policy, the standards of behaviour required by the Council and the consequences of unacceptable behaviour.

- Use whatever opportunities are allowed by law to ensure that those providing a service to, or on behalf of, the Council accept a commitment to equal opportunities and monitor their performance in this area.
- Ensure that all community groups are given fair and equal access to the information, advice and other forms of assistance they receive from the Council.
- Ensure that fair and equal consideration is given to the provision of Council grants and services to the voluntary and community sector.

The Council will achieve these objectives by:

- Providing clear and accessible information on the services provided by the Council
- Implementing and monitoring its formal comments and complaints procedure to ensure that it is effective and is fully accessible to all members of the community
- Training all employees having direct contact with the public, and their supervisors, so that they can deliver services consistent with the Council's equal opportunity policy.
- Investigate thoroughly, promptly and confidentially complaints of discrimination, victimisation or harassment by users of Council services.
- Monitoring the services it provides and which are provided on its behalf to measure progress toward full implementation of the equal opportunities policy, with corrective action being taken where targets are not being achieved.
- Include within each service's annual business plan its priorities in relation to equal opportunities and the actions which will be implemented to address those priorities.
- Developing and implementing a consultation strategy which makes creative use of all available means to enable people to provide

## Employment and Training Objectives

The Council is committed to fair and equal opportunity in all aspects of employment, including recruitment, retention, supervision, training, development, welfare and promotion of all its employees.

As part of its strategy of becoming an equal opportunity employer, the Council will:

- Ensure that everyone is treated fairly in recruitment to, and employment with, the Council.
- Promote awareness of, and monitor the effectiveness of, the Council's family friendly policies
- Eliminate barriers for anyone who wishes to access employment with the Council, including barriers relating to language, accessibility, culture and attitude.
- Ensure that all applicants for posts are aware of the policy and of their right to be treated equally.
- Ensure that all those involved in the recruitment and selection decision making receive training in the Council's recruitment and selection process.
- Ensure that all members of all recruitment and selection panels are fully trained in the Council's recruitment and selection process



- Give all employees the opportunity to acquire the skills, knowledge and understanding necessary to implement successfully the Council's equal opportunities policy across all its services.
- Ensure that all training delivered by, or on behalf of, the Council supports the aims of the equal opportunities policy in both delivery and content.

The Council will achieve these objectives by:

- Developing guidance which set out the Council procedures for recruitment, employment and training as required to implement the equal opportunities policy and comply with the Commission for Racial Equality, Equal Opportunities Commission and Disability Codes of Practice.
- Monitoring and reviewing employment levels throughout the Council.
- Monitoring the recruitment process.
- Supporting the development of all employees through appropriate training, counselling and guidance to enable them to achieve the highest level of employment consistent with their abilities and needs.
- Investigate thoroughly, promptly and confidentially complaints of discrimination, victimisation or harassment by employees on colleagues, other employees and users of Council services.
- Taking steps to address any under-representation within the workforce in order to reflect the diversity of the local community
- Formally monitoring the satisfaction, attitudes and opinions of its staff on a Council-wide basis on an annual basis.
- Seeking employees' views on their training needs at least annually through the Staff Review and Development discussion before training and development priorities and programmes are decided.

## Consultation

The Council needs to access a very wide range of opinions and views in order to plan and make decisions appropriately. Its consultation arrangements will ensure that people's different needs and requirements are properly represented before policies or specific proposals and actions are decided.

The Council recognises the need to have in place an appropriate, relevant and effective communications strategy to enable it to consult with its employees and ensure the full value of this consultation is reflected in its subsequent decision making. It will undertake a formal survey of employee satisfaction, opinion and attitudes on an annual basis.

The Council will develop a full range of consultation methods, including direct consultation with organisations, groups and particular sections of the community. It will use market surveys to find out what people feel and think about the Council and its services in order to improve those services. It will also use all available means to identify the opinions and needs of people in the community who are disadvantaged.

The Council will continue to encourage its employees to develop their relationship with customers and potential customers in order to make services as sensitive, accessible and relevant to local needs as possible.

The Council will help community groups, particularly those groups from disadvantaged sections of the community, to develop their knowledge of Council procedures and how they are able to influence the Council through the consultation process.

## Responsibility for the Policy

The Herefordshire Council accepts that it is accountable to the whole of the County's population for delivering equality of opportunity in all it does.

The Leader of the Council is responsible for providing overall direction and control of this policy. Each Executive Member is responsible for the direction and control of the policy in relation to services within his/her programme area.

The Chief Executive's Management Team and Heads of Service are responsible for implementing the policy and any action plans adopted by each programme area. An overview of the way in which the Council is meeting its obligations under this policy and the relevant equal opportunities legislation will be provided in the annual Performance Plan (required under Best Value legislation). Individual business plans will set out details of how these responsibilities will be carried out in relation to individual services over a given period. Each plan will include a number of targets to be reached covering both service delivery and employment. Achievement of these targets should change the way services are provided to meet the objectives of the equal opportunities policy and subsequent business plans will include an assessment of whether these targets have been reached.

Each Council employee is responsible for ensuring that his or her own behaviour is consistent with the policy and should:

- Co-operate fully with all measures introduced by the Council with regard to equal opportunities.
- Treat people equally.
- Not encourage or attempt to encourage other employees or trade union representatives or officers to practice unlawful discrimination.
- Not harass, abuse or intimidate individuals or incite others to do so.
- Not victimise or attempt to victimise individuals or incite others to do so.
- Use words or act in a way which may be offensive and which may result in victimisation
- Draw to the attention of line managers, Heads of Service or Directors any suspected acts or practices of discrimination, harassment or victimisation.

Line managers in particular should be aware of their obligation and responsibility to deal with complaints promptly and sensitively and, above all, confidentially.

## Enforcing the Policy

This policy is the Council's statement of its own objectives and expectations on equal opportunities. Its purpose is to lead to real changes in the content and style of Council services.

The Council-wide Performance Plan and individual service business plans will describe the positive and constructive ways in which the policy will be turned into action (by Councillors and employees).

The policy will be most effectively implemented by gaining the understanding and commitment of all the people involved in carrying it out; it will therefore be promoted and supported by every available means, including:

- providing training for Councillors and employees;
- adopting procedures that are effective and efficient but which are also equal opportunities based;
- publicising the policy and the part people can play in making it successful;
- consulting systematically with the people affected by services.

There will undoubtedly be occasions when the Council will have to take action to correct behaviour and reinforce its expectations of both its users and employees in supporting the policy. It will take necessary action within agreed procedures where the policy is being ignored or abused.

# Equal Opportunities and the Law

The main laws encompassing equality of opportunity are as follows.

## ***Equal Pay Act 1970 (amended 1983)***

The purpose of this Act is to remove discrimination between men and women in pay and other terms of their contracts of employment such as holidays, sick leave, hours of work.

An individual must always compare their job to that done by a member of the opposite sex. The Act was amended to provide grounds on which an individual can ask an Industrial Tribunal to award equal pay. These are:

- an individual is doing the same or broadly similar work to that of another (this is called "like work");
- an individual's job has been rated the same under a proper job evaluation study;
- an individual's work is of "equal value" to that of another's in terms of effort, skill, decision-making and other demands it makes but it has not been assessed under a job evaluation study.

## ***The Rehabilitation of Offenders Act 1974***

This Act provides that if a convicted person completes a specified period without being convicted of further offences, the conviction can be regarded as "spent". These sentences then do not have to be revealed and may not be used as grounds for exclusion from employment. Certain occupations are exempt from this Act and applicants for these positions will have to declare all convictions, including those which may otherwise be regarded as "spent".

## ***Sex Discrimination Act 1975 and Amendments 1986***

The Sex Discrimination Act 1975 makes it unlawful to discriminate directly or indirectly on the grounds of sex.

## ***Race Relations Act 1976/Race Relations (Amendment) Act 2000***

The Race Relations Act 1976 makes it unlawful to discriminate against a person, directly or indirectly, on the grounds of race in employment and training, the provision of goods, facilities and services, education, housing and certain other specified activities.

The Race Relations (Amendment) Act 2000 outlaws race discrimination (direct, indirect or victimisation) in all public authority functions not already covered by the 1976 Act. It also places a general duty on listed public authorities to be proactive in promoting race equality. This requires them to work to avoid unlawful discrimination before it occurs and to promote equality of opportunity and good relations between persons of different racial groups

## ***Criminal Justice and Public Order Act 1994***

Section 154 of this Act created the new offence of "intentional harassment, alarm or distress". Any intentional harassment in the workplace may now be a criminal offence.

### ***Disability Discrimination Act 1995***

The Act gives people with a disability rights in the areas of employment, access to goods, facilities and services and buying or renting land or property

The Act defines disability as "a physical or mental impairment which has a substantial and long term adverse effect on a person's ability to carry out normal day to day activities". People who have a disability or have had a disability but no longer have one are covered by the Act. It is unlawful for employers with 20 or more employees to discriminate against current or prospective employees with disabilities because of a reason relating to a disability.

Employers must not discriminate against a disabled person in recruitment and retention, promotion and transfers, training and development and the dismissal process

They must also make reasonable changes to their premises or employment arrangements if these substantially disadvantage a disabled employee or prospective employee, compared to a non-disabled person.

### ***Human Rights Act***

The Human Rights Act 1998 came into force on 2 October 2000. The key parts of the Act are called "convention rights" which guarantee a number of basic human rights, including the right to life (Article 2); torture or inhuman or degrading treatment or punishment (Article 3); slavery and forced labour (Article 4); liberty and security of person (Article 5); fair trial (Article 6); retrospective criminal laws (Article 7); respect for private and family life, home and correspondence (Article 8); freedom of thought, conscience and religion (Article 9); freedom of expression (Article 10); freedom of peaceful assembly and freedom of association, including the right to join a trade union (Article 11); the right to marry and to found a family (Article 12); and discrimination in the enjoyment of these rights and freedoms (Article 14).

As a result, the Council must not act in a way that is incompatible with a convention right .

## Equal opportunities and other relevant Council policies and procedures

The Council has a number of policies and procedures which support the equal opportunities policy. A brief outline of the contents of each is set out below.

### ***Job share***

Job sharing is an arrangement where more than one person, normally two, share a single job between them. Each sharer does a proportion of the work and receives pay, holidays and other benefits of the job on a pro rata basis. The Council fully supports the principle of job sharing where it is an efficient and effective way of carrying out the work and has no detrimental effect on service provision

### ***Career break scheme***

A career break is an extended period of unpaid leave granted to an employee. The employee's contract of employment is maintained throughout the period of leave, with the guarantee that, at the end of the period, the employee will be able to return to work for the employer in the same, or similar, post. A career break can be taken for care of dependants or other domestic circumstances, or to undertake education, study or voluntary work.

### ***Flexitime***

The flexible working hours scheme is intended to enable staff to work hours suited to their personal circumstance. Flexible working hours are subject to meeting service needs and operate at the discretion of the Director concerned

### ***Grievance Procedure***

In this procedure, a grievance is defined as arising from any act or omission of the Council or its officers, associated with the employment of the aggrieved employee. The aim is to ensure that issues connected with an employee's work can be dealt with fairly, simply and quickly as near as possible to their point of origin. It applies to all Council employees with the exception of teachers and employees based in schools for whom there is a procedure held by the head teacher.

### ***Harassment Procedure***

All complaints of harassment will be taken seriously and investigated swiftly and all parties involved will be treated with respect. Victimisation resulting from a complaint will not be tolerated and will be treated as harassment and subject to disciplinary action. Similarly, employees will be protected from victimisation or discrimination arising from assistance given to an investigation.

### ***Disciplinary Procedure***

This procedure is intended to provide a fair and effective method of dealing with disciplinary matters arising from breaches of the Council's disciplinary rules or where an employee fails to achieve or maintain a satisfactory standard of performance. It is designed to help and encourage all employees to maintain good standards of conduct, attendance and job performance. It applies to all Council employees with the exception of teachers and employees based in schools for whom there is a procedure held by the head teacher.

### ***Staff Review and Development Scheme***

This is a formal annual review of staff development and performance for all employees (not employed in a teaching capacity in schools). The discussion will be conducted between an appropriate manager/supervisor and the individual job holder and will review performance in the previous year, set objectives for the coming year, and identify and agree training and development needs both for the coming year and in the longer term.

### ***Comments and Complaints procedure***

Most comments and complaints about Council services can be dealt with on the spot. The Council's comments and complaints procedure is designed to deal with issues which cannot be resolved to the customer's satisfaction and which require formal investigation. The procedure offers three stages of investigation.





## LOCAL AREA FORUMS

### PROGRAMME AREA RESPONSIBILITY: CORPORATE STRATEGY AND FINANCE

CABINET

6TH MAY, 2004

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#### Wards Affected

County-wide

#### Purpose

To receive feedback on the first round of the Local Area Forums, and to note any issues raised by the community.

#### Key Decision

This is not a Key Decision

#### Recommendation

**THAT the report be noted and the recommendations set out in paragraph 4 be approved.**

#### Reasons

Cabinet agreed the principles for new arrangements for LAFs in October 2003. Since then the first round of meetings has taken place. An important principle was that issues raised at the meetings would be fed back in to Cabinet after every round of Local Area Forums.

#### Considerations

1. Background – This round of LAFs ran over a three-week period in March 2004. This initial round was arranged through the Policy Team prior to responsibility moving to County Secretary and Solicitors. All the meetings commenced at 7.30 pm and lasted approximately two hours at a variety of venues – village halls, schools, leisure centres. The agendas which for this round were set by the Council included a presentation on the budget and priorities of the Council, as well as background on the LAF review. Additional local items were included with the opportunity for attendees to ask questions. All questions were dealt with at the meeting or followed up directly afterwards. Numbers attending ranged from twenty to sixty. Problems highlighted included pre-LAF publicity and the accessibility of agendas.
2. General issues with the new arrangements:
  - i. Accessibility of agendas – Agendas were only available on the website and a week before the meeting. For the next round agendas will be available in libraries, info shops, and on the website;

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Further information on the subject of this report is available from  
Jane Jones, Director of Policy and Community on (01432) 260042

- ii. Advertising of the meetings to be improved – include Parish Councils in the process. The implication of the removal of membership of meetings and direct mailings of agendas requires further consideration.
  - iii. The public wanted clarity on the Council's key contact for LAFs
3. Issues raised at meetings:
- i. **Ross on Wye**
    - Herefordshire Jarvis Services (HJS) are not providing a good service
    - Older People's Services
    - The proposed location of a mobile phone mast in Brookmead, Ross on Wye

Round 2 Agenda items:

    - Herefordshire Jarvis Services
    - Changes in delivering home care in Herefordshire
  - ii. **North Herefordshire**
    - Council tax consultation (not enough notice was given)
    - What happened to the monies available from the transfer of housing stock? What was available for new capital projects?
    - Attendees would like more information on the Brierley village application
    - Agendas for the Council budget meeting were not available in the library

Round 2 Agenda items:

    - Wesleyan Chapel;
    - Waste Disposal at Kington
  - iii. **Golden Valley**
    - School transport catchment areas – this was raised at a previous LAF meeting and has been passed on to the relevant officer;
    - Leisure & Tourism are not statutory services and should not be provided by the Council. Roads should be seen as a priority;
    - People are unhappy with the services provided by HJS;
    - Is the Council monitoring use of the new bridge at Bridge Sollars;
    - Parish Councils and the radio should be used to advertise future meetings.

Round 2 agenda items:

- Herefordshire Jarvis Services
- One off LAF meeting to be held on the weight limit of Bridge Sollars Bridge

iv. **Central Herefordshire**

- Agendas need to be more widely distributed through Parish Council magazines;
- No updates were given between the last round of LAFs and the reintroduction;
- Meetings should be for the public to ask questions, not for officers to give presentations. No more than one presentation should be given at each meeting and they should be kept short;
- Should be advertised in advance who the Cabinet member is going to be;
- Dates should be advertised up to a year in advance of meetings;
- Council Tax consultation results should be presented to the public at LAFs;

Round 2 Agenda Items:

- Hereford Crematorium

v. **East Herefordshire**

- Recycling programmes should be extended across all villages;
- Opening hours of Colwall library should be extended.

vi. **Hereford City**

- Disability Access
- Paving in the city
- May Fair
- Public Toilets

Round 2 Agenda Items:

- Disability Discrimination Act

4. In view of the problems highlighted above it is recommended that the following actions are taken:

- Set out a timetable of meetings for the whole year. This does not preclude organising 'one off' LAFs for specific topics, (Appendix 1)
- Public Relations has been asked to undertake a publicity campaign targeting Parish Councils, the media, Public Libraries, community groups etc.

- The UDP Consultation will dominate the next round of LAFs. Dates have been set to accommodate this. Local items requested by community members at previous meetings will also be included.
- Cabinet Members attend each meeting and a member of Chief Executive's Management Team should also attend each LAF.

## **Alternative Options**

There are no alternative options

## **Risk Management**

None

## **Consultees**

Local Area Forums

## **Background Papers**

None identified

**Local Area Forum Meetings 2004/05, all to start at 7.30 p.m.**

**Round One:**

15th March – 30th March

- 15th March – City, Committee Room 1, Shirehall
- 16th March – Ross-on-Wye, John Kyrle High School
- 23rd March – North Herefordshire, Leominster Bridge Street
- 24th March – Golden Valley, Ewyas Harold Memorial Hall
- 29th March – Central Herefordshire, Withington Village Hall
- 30th March – East Herefordshire, Bromyard Leisure Centre

**Round Two:**

24th May – 9th June

- 24th May – East Herefordshire, John Masefield, Ledbury
- 26th May – Hereford City, Committee Room 1, Shirehall
- 1st June – Central Herefordshire, Fownhope Village Hall
- 2nd June – Golden Valley, Kingstone Village Hall
- 7th June – North Herefordshire, Lady Hawkins Community Centre, Kington
- 9th June – Ross-On-Wye, John Kyrle School

**Round Three:**

6th September – 24th September

- 7th September – North Herefordshire, Leominster Bridge Street
- 9th September – East Herefordshire, The Bromyard Centre
- 15th September – Ross-on-Wye, John Kyrle School
- 22nd September – Hereford City, Committee Room 1, Shirehall

Central & Golden Valley to be confirmed nearer the time, as venues will depend on agenda items. Meetings will be in the time period shown above.

**Round Four:**

10th January – 28th January

- 10th January – North Herefordshire, Lady Hawkins Community Centre, Kington
- 12th January – Ross-On-Wye, John Kyrle School
- 17th January – East Herefordshire, John Masefield School
- 19th January – Hereford City, Shirehall

Central & Golden Valley to be confirmed nearer the time, as venues will depend on agenda items. Meetings will be in the time period shown above.



## STRATEGIC AUDIT PLAN 2004/05 – 2007/08

### CABINET AREA RESPONSIBILITY: AUDIT AND PERFORMANCE MANAGEMENT

CABINET

6TH MAY 2004

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#### Wards Affected

County-wide.

#### Purpose

To note the process used to develop the Strategic Audit Plan for 2004/05 to 2007/08 and to endorse the Annual Plan for 2004/05.

#### Key Decision

This is not a Key Decision.

#### Recommendations

**That the Audit Plan for 2004/05-2007/08 be endorsed.**

#### Reasons

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

#### Considerations

1. The approach to preparing the Annual and Strategic Plan is fundamentally based upon a risk assessment methodology utilising 'Traffic Lights' signposting, 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.
2. 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.
3. Resources available have been reduced owing to a member of staff being on maternity leave for one year. In addition, there is currently a vacant post. However, some additional short-term resources have been brought in to help mitigate the shortage.
4. Following the risk assessment, the base plan identified 3,230 days of resources required (summarised in Appendix 2). Adjustments are then made to align the plan to available resources i.e. 2,810 days.

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

5. The reduction in the base plan was achieved in the main by reducing the:
  - Number of primary school visits from 24 to 10 saving 146 days.
  - Contingency days to zero saving 61 days.
  - Number of bank account high school visits from 10 to 5 saving 70 days.
  - Number of non bank account high schools from 4 to 2 saving 24 days.
  - Training within Audit Services by 14 days.
  - Number of establishment visits and small system audits across the Council.
6. Under the circumstances, it is important that Governors and managers are vigilant with regard to the risks within their service. They should, therefore, monitor related controls as an integrated part of their risk management process.
7. New developments for 2004/05 are the Anti Fraud and Corruption work required to improve performance on the Auditor's Scored Judgements as part of the CPA process and audit follow-up work has been made clearer in line with the CIPFA Code of Practice for Internal Audit. Both are shown within the Annual Plan.
8. The Plan also reflects continuing Audit Services involvement in supporting the Performance Management Framework and LPSA.
9. The Strategic Audit Plan is a rolling plan covering a period of four years. Year one represents the Annual Plan for 2004/05. The whole represents the Strategic Plan for the period to 2008. 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.
10. The revised plan for 2004/05 will be reported in October and will take into account any changes in resources and new audit work identified. Additional resources may be required to deliver emerging priority audits, particularly now that no contingency provision is available within the initial plan and that establishment audits have been reduced close to the minimum level acceptable.
11. 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.
12. 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.

## **Consultees**

None identified.

## **Background Papers**

None identified.



2004/05  
**HEREFORDSHIRE COUNCIL**  
**AUDIT SERVICES ANNUAL PLAN**  
**SUMMARY BY STRATEGIC AREAS**

<b>Strategic Area</b>	<b>Summary of Work Planned</b>	<b>Days</b>	<b>%</b>
<b>Audit Services</b>	Covers time allocated for the Administration and Management of Audit Services and includes annual and sick leave, vacancies, maternity leave and training days.	1043.00	37.00
<b>Chief Executive's Office</b>	The main areas of review relate to the Human Resource Division and cover verification of data on the Computerised Human Resources Information System (CHRIS), in addition to a review of the Control of ID cards and Certificates of Appointments System.	22.00	0.80
<b>Computer Audits</b>	Reviews of the Customer Relationship Management (CRM) System, a 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 back-up and recovery arrangements, disaster planning and network management.  Risk assessments of the Council's main computer systems including Cedar, creditors, Council Tax, NDR and Payroll, in addition to the Caldicot system within the Social Care and Strategic Housing Directorate.	126.50	4.50
<b>Corporate</b>	Work which covers projects cross the Council as a whole and includes Good Environmental Management Auditing, Performance Indicators, LPSA targets and the Council's Performance Management Framework.	328.00	11.70
<b>County Secretary and Solicitor's Department</b>	The main areas of work covers an establishment audit of Land Charges and verification work relating to Members' expenses.	28.00	1.00

2004/05  
**HEREFORDSHIRE COUNCIL**  
**AUDIT SERVICES ANNUAL PLAN**  
**SUMMARY BY STRATEGIC AREAS**

Strategic Area	Summary of Work Planned	Days	%
<b>County Treasurer's Department</b>	Relates to performance management framework associated work, follow-up work on the VAT and Insurance systems previously reviewed. A review of contract tendering and awarding within the department, in addition to some consultancy work on the Revenue and Benefits computer systems replacement.	84.00	3.00
<b>Education Directorate</b>	The main area of work relates to school audits at seven high and ten primary schools and three special schools as part of the rolling programme of school visits. Audit follow up work on recommendation previously made on past system reviews such as the Standard Fund and the Early Years Development Site visits. This is in addition to a review of contract tendering and awarding arrangements within the Directorate.	304.50	10.80
<b>Environment Directorate</b>	Audit follow-up work on recommendations previously made on past system audits. System reviews covering the waste management contract, Section 38 Orders, work programme - Herefordshire Jarvis, and fees and charges, in addition to contract tendering arrangements.	192.50	6.90
<b>Fundamental Systems</b>	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.	308.00	11.00
<b>Leisure Trust</b>	This relates to work carried out for the Halo Trust.	25.00	0.90

2004/05  
**HEREFORDSHIRE COUNCIL**  
**AUDIT SERVICES ANNUAL PLAN**  
**SUMMARY BY STRATEGIC AREAS**

Strategic Area	Summary of Work Planned	Days	%
<b>Policy and Community Directorate</b>	Audit work covers eight establishment visits across the directorate. Verification work with regard to grants and donations, diversity compliance and the SRB HIT programme. This is in addition to contract tendering and awarding across the Directorate.	132.00	4.70
<b>Social Care and Strategic Housing Directorate</b>	The main areas of review will concentrate on system reviews and will cover Pooled Budgets, Residential assessments/ Contribution Orders, in-house use Home Care, payments to Independent Providers and Government Grants. Also verification work relating to the Agency Agreement with Herefordshire Housing and Supporting People Contracts.	216.50	7.70
		<b>2810.00</b>	<b>100.00</b>



**2004/05  
HEREFORDSHIRE COUNCIL  
AUDIT SERVICES  
ANNUAL PLAN SUMMARY**

<b>Risk Level</b>		<b>Base Plan</b>	<b>Resources Available</b>
		<b>Days</b>	<b>Days</b>
	<b>Audit Services</b>		
N/a	Administration and Management	269.00	269.00
N/a	Non-Audit Work	20.00	20.00
N/a	Staff Development	10.00	10.00
N/a	Leave/Vacant Posts/Secondments	668.00	658.00
N/a	Training	100.00	86.00
	<b>Total Audit Services</b>	<b>1067.00</b>	<b>1043.00</b>
	<b>Chief Executive</b>		
Green	General Work/advice	1.25	1.00
Amber	Human Resources	10.00	21.00
	<b>Total Chief Executive</b>	<b>11.25</b>	<b>22.00</b>
	<b>Computer Audits</b>		
Red	Corporate	42.00	42.00
Red	IT Services	32.00	32.00
Red	Social Care and Strategic Housing	15.00	15.00
Red	County Treasurer	37.50	37.50
Red	Education	0.00	0.00
	<b>Total Computer Audits</b>	<b>126.50</b>	<b>126.50</b>

**2004/05  
HEREFORDSHIRE COUNCIL  
AUDIT SERVICES  
ANNUAL PLAN SUMMARY**

<b>Risk Level</b>		<b>Base Plan</b>	<b>Resources Available</b>
		<b>Days</b>	<b>Days</b>
	<b>Corporate</b>		
Red	Good Environment Management	30.00	35.00
N/a	Contingency	61.00	00.00
Red	Corporate Projects	260.00	278.00
N/a	Corporate Working Groups	25.00	15.00
	<b>Total Corporate</b>	<b>376.00</b>	<b>328.00</b>
	<b>County Secretary and Solicitor</b>		
Amber	Custodians	1.00	1.00
Red	Democratic and Public Services	5.00	5.50
Green	Emergency Planning	0.00	0.00
Green	Electoral Registration	0.50	0.50
Green	General	0.00	10.00
Amber	Land Charges	9.00	9.00
Green	Legal Services	1.50	1.50
Green	Registration Service	19.00	0.50
	<b>Total County Secretary and Solicitor</b>	<b>36.00</b>	<b>28.00</b>
	<b>County Treasurer</b>		
Amber	Financial Policy and Audit	16.00	11.00
Amber	Accountancy and Exchequer	19.50	19.50
Green	General	32.00	27.00



**2004/05  
HEREFORDSHIRE COUNCIL  
AUDIT SERVICES  
ANNUAL PLAN SUMMARY**

<b>Risk Level</b>		<b>Base Plan</b>	<b>Resources Available</b>
		<b>Days</b>	<b>Days</b>
Amber	Revenue and Benefits	29.00	20.50
N/a	Working Groups	6.00	6.00
	<b>Total County Treasurer</b>	<b>102.50</b>	<b>84.00</b>
	<b>Education</b>		
Green	General	12.00	12.00
Red	High Schools - Bank Account	145.00	75.00
Amber	High Schools – Non Bank Accounts	49.00	25.00
Amber	Inspection Curriculum and School Performance	16.50	5.50
Red	Primary Schools Bank Accounts	25.00	25.00
Red	Pre Primary Education	16.00	16.00
Amber	Policy and Resources Division	73.00	20.50
Amber	Primary Schools – Non Bank Accounts	245.00	99.00
Amber	Special Schools and Units – Non Bank Accounts	33.00	26.50
	<b>Total Education</b>	<b>614.50</b>	<b>304.50</b>
	<b>Environment</b>		
Red	Client Services	33.00	31.00
Red	Engineering Services	62.00	50.00
Amber	Engineering Services – Transport	0.00	15.00
Green	General	0.00	0.00

**2004/05  
HEREFORDSHIRE COUNCIL  
AUDIT SERVICES  
ANNUAL PLAN SUMMARY**

<b>Risk Level</b>		<b>Base Plan</b>	<b>Resources Available</b>
		<b>Days</b>	<b>Days</b>
Amber	Planning Services – Building Control	0.00	0.00
Amber	Planning Services	21.00	23.50
Amber	Property Services	37.00	26.00
Amber	EH Environmental Health	34.00	35.00
Green	EH Trading Standards	12.00	12.00
	<b>Total Environment</b>	<b>199.00</b>	<b>192.50</b>
	<b>Fundamental Systems</b>		
Red	Financial Policy	17.50	22.50
Red	Corporate	79.50	79.50
Red	Education	0.00	20.00
Red	Accountancy and Exchequer	81.50	81.50
Red	Revenues and Benefits	104.50	104.50
	<b>Total Fundamental Systems</b>	<b>283.00</b>	<b>308.00</b>
	<b>Leisure Trust</b>		
N/a	Leisure Services	<b>25.00</b>	<b>25.00</b>
	<b>Policy and Community</b>		
Green	Archives	0.00	0.00
Amber	Countryside Services	0.00	0.00
Amber	Community Liaison	5.00	10.00

**2004/05  
HEREFORDSHIRE COUNCIL  
AUDIT SERVICES  
ANNUAL PLAN SUMMARY**

<b>Risk Level</b>		<b>Base Plan</b>	<b>Resources Available</b>
		<b>Days</b>	<b>Days</b>
Green	Corporate Policy	0.00	12.00
Green	Cultural Services	0.00	0.00
Red	Economic Development	30.00	31.00
Green	Culture, Leisure, Education for Life	0.00	0.00
Amber	Heritage	12.00	5.00
Red	Info in Herefordshire	18.00	18.00
Amber	External Liaison	5.00	10.00
Green	Libraries	21.00	25.50
Amber	Life Long Learning	12.00	0.00
Green	Open Space	0.00	0.50
Green	Public Relations	0.50	0.50
Green	Recreation & Sport	0.50	0.50
Green	Tourism	9.00	9.50
Amber	Youth Service	9.00	9.50
	<b>Total Policy and Community</b>	<b>122.00</b>	<b>132.00</b>
	<b>Social Care and Strategic Housing</b>		
Green	Social Services holding code	0.00	0.00
Green	Asylum Seekers	0.00	0.00
Green	Children's Services	0.00	0.00
Amber	Supported Employment	12.00	0.00
Green	General	5.00	5.00

**2004/05  
HEREFORDSHIRE COUNCIL  
AUDIT SERVICES  
ANNUAL PLAN SUMMARY**

<b>Risk Level</b>		<b>Base Plan</b>	<b>Resources Available</b>
		<b>Days</b>	<b>Days</b>
Amber	Learning Disabilities	38.00	47.00
Green	Other Adult Services	0.00	0.00
Amber	Older People	47.00	52.00
Amber	Physical Disabilities	11.00	0.00
Amber	Finance and Administration	46.00	23.50
Amber	Strategic Housing	63.00	44.00
Red	Service Strategy	20.00	20.00
Amber	Young People	25.00	25.00
	<b>Total Social Care and Strategic Housing</b>	<b>267.00</b>	<b>216.50</b>
	<b>TOTAL</b>	<b>3230.00</b>	<b>2810.00</b>

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

**Herefordshire Council**  
**Audit Services**

**ANNUAL PLAN FOR 2004/2005**  
**and**  
**STRATEGIC PLAN 2004 to 2008**

<u>Ref:</u>	<u>Section and</u>	<u>Residual Risk?</u> * = Yes	<u>Inherent Risk Level</u> <u>Principal Activity</u>	<u>Days</u> <u>04/0</u>	<u>Strat.Plan</u>
<b>Audit Services</b>					
<b>AM</b>	<b><u>Administration and Management</u></b>		<b>N/A</b> Not Assessable for Risk		<b>4/5</b> 5/6 6/7 7/8 <b>G</b> H I J
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	100.0	Y Y Y Y
AMM07	General Office Duties		Audit Service Administration	70.00	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	20.00	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
AMM15	Audit Structure Review		Audit Service Administration	2.00	Y . . Y
			<b>Administration and Management</b>	<b>269.00</b>	
					<b>4/5</b> 5/6 6/7 7/8 <b>G</b> H I J
<b>ANA</b>	<b><u>Non-Audit Work</u></b>		<b>N/A</b> Not Assessable for Risk		
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
			<b>Non-Audit Work</b>	<b>20.00</b>	
					<b>4/5</b> 5/6 6/7 7/8 <b>G</b> H I J
<b>ARD</b>	<b><u>Staff Development</u></b>		<b>N/A</b> Not Assessable for Risk		
ARD06	Audit Staff Review and Development etc		Audit Service Administration	10.00	Y Y Y Y
			<b>Staff Development</b>	<b>10.00</b>	
					<b>4/5</b> 5/6 6/7 7/8 <b>G</b> H I J
<b>ASL</b>	<b><u>Leave</u></b>		<b>N/A</b> Not Assessable for Risk		
ALV06	Annual Leave		Leave	273.0	Y Y Y Y
ALV07	Sick Leave		Leave	55.00	Y Y Y Y
ALV08	Bank Holidays		Leave	100.0	Y Y Y Y
ALV09	Vacant Posts / Secondment		Vacant Posts	20.00	Y Y Y Y
ALV10	Maternity / Adoption Leave		Leave	200.0	Y . . .
ASL11	Special Leave		Leave	10.00	Y Y Y Y
			<b>Leave</b>	<b>658.00</b>	
					<b>4/5</b> 5/6 6/7 7/8 <b>G</b> H I J
<b>ATR</b>	<b><u>Training</u></b>		<b>N/A</b> Not Assessable for Risk		
ATR01	Post Entry Training		Training	40.00	Y Y Y Y
ATR07	Other Training		Development	36.00	Y Y Y Y
ATR09	Seminars etc		Development	10.00	Y Y Y Y
			<b>Training</b>	<b>86.00</b>	
			<b>Audit Services</b>	<b>1043.00</b>	

Ref:	Section and	Residual Risk? * = Yes	Inherent Risk Level Principal Activity	Days 04/05	Strat.Plan
<b>Chief Executive</b>					
<b>XGN</b>	<b><u>General Work / Advice</u></b>		<b>Green</b> Low Risk	<b>4/5</b>	<b>5/6 6/7 7/8</b>
XGN00	Non-specific		Other Chargeable	0.75	<b>G</b> H I J Y Y Y Y
XGN05	Chairman's Imprest Account		Cash-ups	0.25	Y Y Y Y
			<u>General Work / Advice</u>	1.00	
<b>XHR</b>	<b><u>Human Resources</u></b>		<b>Amber</b> Medium Risk	<b>4/5</b>	<b>5/6 6/7 7/8</b>
XHR00	General Audit Work/Advice		Other Chargeable	1.00	<b>G</b> H I J Y Y Y Y
XHR07	Personnel Review		Establishment	0.00	. Y . .
XHR08	Imprest Account		Cash-ups	0.00	. . . .
XHR09	Computerised Human Resources Info System	*	Verification/Probity	10.00	Y . Y .
XHR10	Control of ID Cards & Certificates of		Systems	10.00	. . . .
			<u>Human Resources</u>	21.00	
			<b>Chief Executive</b>	<b>22.00</b>	

Ref:	Section and	Residual Risk? * = Yes	Inherent Risk Level Principal Activity	Days 04/05	Strat.Plan
<b>Computer Audits</b>					
<b>ITC</b>	<b>Corporate</b>		<b>Red</b>	High Risk	<b>4/5</b> 5/6 6/7 7/8 <b>G H I J</b>
ITC08	Data Protection Legislation Compliance		Computer / IT	0.00	. Y . .
ITC09	Data Protection Caldicot		Computer / IT	0.00	. Y . .
ITC10	Implementation Internet & E-mail policy *		Computer / IT	0.00	. . Y .
ITC14	Implementing E- Government -Systems		Computer / IT	0.00	. . . .
ITC15	IT Gap Analysis BS 7799 follow up *		Computer / IT	10.00	Y Y Y Y
ITC16	Customer Relationship Management (CRM)		Computer / IT	10.00	Y . Y .
ITC17	IT Strategy		Computer / IT	0.00	. . . .
ITC18	E- Financials *		Computer / IT	0.00	. . . .
ITC19	E Gateway *		Computer / IT	0.00	. . . .
ITC20	E- Modernisation *		Computer / IT	0.00	. . . .
ITC21	Planning/Contingency *		Computer / IT	5.00	Y Y Y .
ITC22	Implementing E- Government (IEG3)		Computer / IT	5.00	. Y Y Y
ITC23	New Systems Controls		Computer / IT	12.00	Y Y Y Y
ITC24	Risk Assessment - Customer Relation		Computer / IT	0.00	. . . .
			<b>Corporate</b>	<b>42.00</b>	
<b>ITD</b>	<b>IT Services</b>		<b>Red</b>	High Risk	<b>4/5</b> 5/6 6/7 7/8 <b>G H I J</b>
ITD06	Development : Project Management & Reviews		Computer / IT	0.00	. Y . .
ITD07	Development : Controls in new systems		Computer / IT	0.00	. Y . .
ITD08	Development : Capacity Planning		Computer / IT	0.00	. 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	. Y . .
ITD12	Physical Security : Back- up and Recovery		Computer / IT	5.00	Y Y Y Y
ITD13	Physical Security : Disaster Planning *		Computer / IT	5.00	Y . . .
ITD14	Physical Security : Network Management		Computer / IT	5.00	Y . . .
ITD15	Physical Security : PC Management & Control		Computer / IT	0.00	. . Y .
ITD16	Physical Security : Contractors /3rd Party		Computer / IT	0.00	. . . .
ITD17	Technical Security : UNIX		Computer / IT	0.00	. . . .
ITD18	Technical Security : NT		Computer / IT	0.00	. Y . .
ITD19	Technical Security : Novell		Computer / IT	0.00	. . . .
ITD20	Technical Security : Data Base Management		Computer / IT	0.00	. Y . Y
ITD21	Technical Security : Firewall & Security Proced *		Computer / IT	0.00	. . Y .
ITD22	Technical Security : Telephones		F&C - Computer / IT	5.00	Y . . .
ITD23	ICT Service : Performance Monitoring		Computer / IT	0.00	. . . .
ITD24	ICT Service : Recharging		Computer / IT	0.00	. . . .
ITD25	Physical Security : Physical Security		Computer / IT	12.00	Y . . .
ITD26	Management of Software Licenses		Computer / IT	0.00	. Y . .
			<b>IT Services</b>	<b>32.00</b>	
<b>ITE</b>	<b>Education</b>		<b>Red</b>	High Risk	<b>4/5</b> 5/6 6/7 7/8 <b>G H I J</b>
ITE06	Systems Risk Assessment : Payroll		Computer / IT	0.00	Y . . .
			<b>Education</b>	<b>0.00</b>	

Herefordshire Council Audit Services

ANNUAL PLAN FOR 2004/2005 and STRATEGIC PLAN 2004 to 2008

Ref:	Section and	Residual Risk?	Inherent Risk Level	Days	Strat.Plan				
		* = Yes	Principal Activity	04/05	G	H	I	J	
<b>ITS Social Care and Strategic Housing</b>			<b>Red</b>	High Risk					<b>4/5</b> 5/6 6/7 7/8
ITS06	Supporting People *		Computer / IT		0.00	.	Y	.	Y
ITS07	Risk Assessment Caldicot		Computer / IT		15.00	.	.	Y	.
			<u>Social Care and Strategic Housing</u>		15.00				
<b>ITT County Treasurer's</b>			<b>Red</b>	High Risk					<b>4/5</b> 5/6 6/7 7/8
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
ITT10	Systems Risk Assessment : Doc. M. System *		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		3.00	Y	Y	Y	Y
ITT18	Data Protection Legislation Compliance		Computer / IT		0.00	.	.	.	.
ITT19	System Access - Payroll		Computer / IT		0.00	.	.	.	.
ITT20	System Risk Assessment : Creditors *		Computer / IT		2.00	Y	Y	Y	Y
ITT21	System Risk assessment : Accounting System		Computer / IT		3.00	Y	Y	Y	Y
			<u>County Treasurer's</u>		37.50				
			<b>Computer Audits</b>		<b>126.50</b>				



Ref:	Section and	Residual Risk? * = Yes	Inherent Risk Level Principal Activity	Days 04/05	Strat.Plan
<b>Corporate</b>					
<b>CGM <u>Good Environmental Management</u></b>			<b>Red</b>	High Risk	<b>4/5</b> 5/6 6/7 7/8 <b>G H I J</b>
CGM00	GEM General		Environmental Auditing	5.00	Y Y Y Y
CGM06	GEM 1 - Systems		Environmental Auditing	5.00	Y Y Y Y
CGM07	GEM 2 - Operational Controls		Environmental Auditing	5.00	Y Y Y Y
CGM08	GEM 3 - Service		Environmental Auditing	5.00	Y Y Y Y
CGM09	GEM 4 - Site Audits		Environmental Auditing	5.00	Y Y Y Y
CGM10	GEM 3&4 - Site and Service		Environmental Auditing	5.00	Y Y Y Y
CGM11	GEM 5 - Contracts		Environmental Auditing	5.00	Y Y Y Y
<u>Good Environmental Management</u>				35.00	
<b>CON <u>Contingency</u></b>			<b>N/A</b>	Not Assessable for Risk	<b>4/5</b> 5/6 6/7 7/8 <b>G H I J</b>
CON01	Audit contingency		Contingency	0.00	Y Y Y .
<u>Contingency</u>				0.00	
<b>CPJ <u>Corporate Projects</u></b>			<b>Red</b>	High Risk	<b>4/5</b> 5/6 6/7 7/8 <b>G H I J</b>
CPJ06	Economic Monetary Union Work		Ad-hoc Research / Reports	5.00	Y Y Y Y
CPJ07	Car loans		Systems	0.00	. Y . .
CPJ08	Lease cars		Systems	0.00	. Y . .
CPJ09	National Fraud Initiative		Verification/Probity	8.00	Y Y Y Y
CPJ10	Honorarium Payments		Systems	0.00	. Y . .
CPJ12	Audit Bulletins		Ad-hoc Research / Reports	2.00	Y Y Y Y
CPJ13	Internal control guide		Ad-hoc Research / Reports	2.00	Y Y Y Y
CPJ14	Quarterly Control Reports-CEMT Updates		Ad-hoc Research / Reports	20.00	Y Y Y Y
CPJ15	Annual Control report		Ad-hoc Research / Reports	15.00	Y Y Y Y
CPJ16	External Audit Liaison		District Audit	5.00	Y Y Y Y
CPJ17	Staff Review and Development		Verification/Probity	20.00	Y . Y .
CPJ19	Corporate Transfers		Verification/Probity	15.00	. Y Y Y
CPJ20	External Funding		Systems	15.00	Y . Y .
CPJ23	Car mileage/Travel and Subsistence		F&C - Systems	15.00	Y Y Y Y
CPJ24	Job Evaluation		Other Chargeable	10.00	Y . . .
CPJ26	Staff Exit Interviews		Ad-hoc Research / Reports	0.00	. Y . .
CPJ29	Performance Indicators		Performance Management	45.00	Y Y Y Y
CPJ30	Attend Elections		Other Chargeable	1.00	Y Y Y Y
CPJ31	Private Finance Initiative		Systems	15.00	Y Y Y Y
CPJ32	E modernisation Finance		Systems	15.00	Y Y Y Y
CPJ33	Recruitment and Selection		Systems	25.00	Y Y Y Y
CPJ34	LPSA Targets		Performance Management	15.00	Y Y Y Y
CPJ35	Data sharing with 3rd Parties		Systems	10.00	Y . . .
CPJ36	Section 106 Agreements		Recs FUA - Systems	5.00	Y . . .
CPJ37	Performance Management Framework		Verification/Probity	15.00	Y Y Y Y
<u>Corporate Projects</u>				278.00	

Herefordshire Council Audit Services

ANNUAL PLAN FOR 2004/2005 and STRATEGIC PLAN 2004 to 2008

<u>Ref:</u>	<u>Section and</u>	<u>Residual Risk?</u> * = Yes	<u>Inherent Risk Level</u> <u>Principal Activity</u>	<u>Days</u> <u>04/05</u>	<u>Strat.Plan</u>
					<b>4/5 5/6 6/7 7/8</b>
<b>CWG Corporate Working Groups</b>					<b>G H I J</b>
			<b>N/A</b> Not Assessable for Risk		
CWG07	Environmental Management Group		Working Groups	10.00	Y Y Y Y
CWG10	Procurement and Contracts		Working Groups	5.00	. Y Y Y
			<u>Corporate Working Groups</u>	15.00	
			<b>Corporate</b>	<b>328.00</b>	

Ref:	Section and	Residual Risk? * = Yes	Inherent Risk Level Principal Activity	Days 04/05	Strat.Plan
<b>County Secretary and Solicitor</b>					
<b>LAC</b>	<b><u>Custodians</u></b>		<b>Amber</b> Medium Risk	<b>4/5</b> 5/6 6/7 7/8	<b>G</b> H I J
LAC03	All Custodian Imprest Accounts		Cash-ups	1.00	Y Y Y Y
			<u>Custodians</u>	1.00	
<b>LDP</b>	<b><u>Democratic and Public Services</u></b>		<b>Red</b> High Risk	<b>4/5</b> 5/6 6/7 7/8	<b>G</b> H I J
LDP00	General Audit Work/Advice		Other Chargeable	0.50	Y Y Y Y
LDP06	Members Expenses		Verification/Probity	5.00	Y Y Y Y
			<u>Democratic and Public Services</u>	5.50	
<b>LEP</b>	<b><u>Emergency Planning</u></b>		<b>Green</b> Low Risk	<b>4/5</b> 5/6 6/7 7/8	<b>G</b> H I J
LEP07	Emergency Planning Activities		Establishment	0.00	. Y . .
			<u>Emergency Planning</u>	0.00	
<b>LER</b>	<b><u>Electoral Registration</u></b>		<b>Green</b> Low Risk	<b>4/5</b> 5/6 6/7 7/8	<b>G</b> H I J
LER00	General Audit Work/Advice		Other Chargeable	0.50	Y Y . Y
LER07	Registration Office visit		Establishment	0.00	. Y . .
			<u>Electoral Registration</u>	0.50	
<b>LGN</b>	<b><u>General</u></b>		<b>Green</b> Low Risk	<b>4/5</b> 5/6 6/7 7/8	<b>G</b> H I J
LGN06	Department Contract Letting		Contracts - Tenders / Awarding	0.00	. Y . .
LGN07	Special		Other Chargeable	10.00	Y . . .
			<u>General</u>	10.00	
<b>LLC</b>	<b><u>Land Charges</u></b>		<b>Amber</b> Medium Risk	<b>4/5</b> 5/6 6/7 7/8	<b>G</b> H I J
LLC06	Land Charges		Establishment	9.00	Y . . .
			<u>Land Charges</u>	9.00	
<b>LLS</b>	<b><u>Legal Services</u></b>		<b>Green</b> Low Risk	<b>4/5</b> 5/6 6/7 7/8	<b>G</b> H I J
LLS00	General Audit Work/Advice		Other Chargeable	0.50	Y Y Y Y
LSS05	Bank Account		Cash-ups	1.00	Y Y Y Y
			<u>Legal Services</u>	1.50	
<b>LRS</b>	<b><u>Registration Service</u></b>		<b>Green</b> Low Risk	<b>4/5</b> 5/6 6/7 7/8	<b>G</b> H I J
LRS00	General Audit Work/advice		Other Chargeable	0.50	Y Y Y Y
LRS06	Bromyard Registrar		Establishment	0.00	. . . Y
LRS07	Hereford Registrar		Establishment	0.00	. Y . .
LRS08	Kington Registrar		Establishment	0.00	. . . Y
LRS09	Ledbury Registrar		Establishment	0.00	. . Y .
LRS10	Leominster Registrar		Establishment	0.00	. . Y .
LRS11	Ross Registrar		Establishment	0.00	. Y . .
			<u>Registration Service</u>	0.50	
			<b>County Secretary and Solicitor</b>	<b>28.00</b>	

Ref:	Section and	Residual Risk? * = Yes	Inherent Risk Level Principal Activity	Days 04/05	Strat.Plan	4/5	5/6	6/7	7/8
<b>County Treasurer</b>									
<b>TAA</b>	<b><u>Financial Policy and Audit</u></b>		<b>Amber</b> Medium Risk			<b>G</b>	<b>H</b>	<b>I</b>	<b>J</b>
TAA00	General Audit Work/Advice		Other Chargeable	1.00	<b>Y</b>	<b>Y</b>	<b>Y</b>	<b>Y</b>	<b>Y</b>
TAA13	VAT		Full FUA - Systems	10.00	<b>Y</b>	.	<b>Y</b>	.	.
			<u>Financial Policy and Audit</u>	11.00					
<b>TEX</b>	<b><u>Accountancy and Exchequer</u></b>		<b>Amber</b> Medium Risk			<b>G</b>	<b>H</b>	<b>I</b>	<b>J</b>
TEX00	General Audit Work/Advice		Other Chargeable	1.00	<b>Y</b>	<b>Y</b>	<b>Y</b>	<b>Y</b>	<b>Y</b>
TEX06	Salaries and Wages EP Payments		Systems	0.00	.	<b>Y</b>	.	.	.
TEX07	Insurance		Recs FUA - Systems	10.00	<b>Y</b>	.	.	.	.
TEX08	Support Services Imprest Account		Cash-ups	0.50	<b>Y</b>	<b>Y</b>	<b>Y</b>	<b>Y</b>	<b>Y</b>
TEX09	Creditor E.P. Payments		Systems	8.00	<b>Y</b>	.	.	.	.
			<u>Accountancy and Exchequer</u>	19.50					
<b>TGN</b>	<b><u>General</u></b>		<b>Green</b> Low Risk			<b>G</b>	<b>H</b>	<b>I</b>	<b>J</b>
TGN00	General Audit Work Advice		Other Chargeable	2.00	<b>Y</b>	<b>Y</b>	<b>Y</b>	<b>Y</b>	<b>Y</b>
TGN07	Performance Management Framework		Performance Management	15.00	<b>Y</b>	<b>Y</b>	<b>Y</b>	<b>Y</b>	<b>Y</b>
TGN08	Department Health and Safety		Other Chargeable	2.00	<b>Y</b>	.	<b>Y</b>	<b>Y</b>	<b>Y</b>
TGN09	Department Contract Letting	*	Contracts - Tenders / Awarding	8.00	<b>Y</b>	.	.	.	.
			<u>General</u>	27.00					
<b>TRB</b>	<b><u>Revenues and Benefits</u></b>		<b>Amber</b> Medium Risk			<b>G</b>	<b>H</b>	<b>I</b>	<b>J</b>
TRB00	General Audit Work/Advice		Other Chargeable	1.00	<b>Y</b>	<b>Y</b>	<b>Y</b>	<b>Y</b>	<b>Y</b>
TRB05	Imprest Account & Bank Account		Cash-ups	0.50	<b>Y</b>	<b>Y</b>	<b>Y</b>	<b>Y</b>	<b>Y</b>
TRB07	Data Protection		Verification/Probity	6.00	<b>Y</b>	<b>Y</b>	<b>Y</b>	<b>Y</b>	<b>Y</b>
TRB08	Mortgages		Systems	0.00	.	<b>Y</b>	.	.	.
TRB10	Hereford Cash Office	*	Cash-ups	2.00	<b>Y</b>	<b>Y</b>	<b>Y</b>	<b>Y</b>	<b>Y</b>
TRB14	Credit Card Payment Introduction - Controls		Systems	6.00	<b>Y</b>	.	.	.	.
TRB15	Revenues and Benefits System Replacement		Ad-hoc Research / Reports	5.00	<b>Y</b>	.	.	.	.
			<u>Revenues and Benefits</u>	20.50					
<b>TWG</b>	<b><u>Working Groups</u></b>		<b>N/A</b> Not Assessable for Risk			<b>G</b>	<b>H</b>	<b>I</b>	<b>J</b>
TWG07	Performance Leads Group		Performance Management	6.00	<b>Y</b>	.	.	.	.
			<u>Working Groups</u>	6.00					
			<b>County Treasurer</b>	<b>84.00</b>					

Ref:	Section and	Residual Risk? * = Yes	Inherent Risk Level Principal Activity	Days 04/05	Strat.Plan
<b>Education</b>					
<b>EGN</b>	<b><u>General</u></b>		<b>N/A</b> Not Assessable for Risk	<b>4/5</b>	<b>5/6 6/7 7/8</b>
EGN00	Non-specific		Other Chargeable	0.00	<b>G</b> H I J
EGN06	Bank Mandates		Other Chargeable	0.00	<b>Y</b> Y Y .
EGN07	Directorate Contract Letting	*	F&C - Contracts - Tenders / <u>General</u>	12.00 12.00	<b>Y</b> . . .
<b>EHD</b>	<b><u>High Schools - Bank Accounts</u></b>		<b>Red</b> High Risk	<b>4/5</b>	<b>5/6 6/7 7/8</b>
EHD00	General Audit Work/Advice		Other Chargeable	5.00	<b>G</b> H I J
EHD06	John Masefield High - Ledbury		School Audit	14.00	<b>Y</b> . Y .
EHD07	Lady Hawkins - Kington		School Audit	0.00	. Y . Y
EHD08	Weobley High		School Audit	14.00	<b>Y</b> . Y .
EHD09	Fairfield High - Peterchurch		School Audit	0.00	. Y . Y
EHD10	The Minster College - Leominster		School Audit	14.00	<b>Y</b> . Y .
EHD11	St. Mary's High - Hereford		School Audit	14.00	<b>Y</b> . Y .
EHD12	Haywood High - Hereford		School Audit	0.00	. Y . Y
EHD13	Bishop of Hereford's Bluecoat - Hereford		School Audit	0.00	. Y . Y
EHD14	Queen Elizabeth High - Bromyard		School Audit	14.00	<b>Y</b> . Y .
EHD15	Kingstone High		School Audit	0.00	. Y . Y
			<u>High Schools - Bank Accounts</u>	75.00	
<b>EHS</b>	<b><u>High Schools - Non-Bank Accounts</u></b>		<b>Amber</b> Medium Risk	<b>4/5</b>	<b>5/6 6/7 7/8</b>
EHS00	General Audit Work/Advice		Other Chargeable	1.00	<b>G</b> H I J
EHS06	Aylestone High - Hereford		School Audit	0.00	. Y . Y
EHS07	Whitecross High - Hereford		School Audit	12.00	<b>Y</b> . Y .
EHS08	Ross-on-Wye, The John Kyrle High		School Audit	12.00	<b>Y</b> . Y .
EHS09	Wigmore High		School Audit	0.00	. Y . Y
			<u>High Schools - Non-Bank Accounts</u>	25.00	
<b>EIC</b>	<b><u>Inspection, Curriculum and School</u></b>		<b>Amber</b> Medium Risk	<b>4/5</b>	<b>5/6 6/7 7/8</b>
EIC00	General Audit Work/Advice		Ad-hoc Research / Reports	0.50	<b>G</b> H I J
EIC06	Instrumental Music Services		Recs FUA - Establishment	5.00	<b>Y</b> . . .
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>	5.50	
<b>EPD</b>	<b><u>Primary Schools - Bank Accounts</u></b>		<b>Red</b> High Risk	<b>4/5</b>	<b>5/6 6/7 7/8</b>
EPD00	General Audit Work/Advice		Other Chargeable	1.00	<b>G</b> H I J
EPD06	St. Paul's C. E. Primary - Hereford		Full FUA - School Audit	12.00	<b>Y</b> . Y .
EPD07	Broadlands Primary - Bank Hereford		School Audit	12.00	<b>Y</b> . Y .
			<u>Primary Schools - Bank Accounts</u>	25.00	

## Herefordshire Council Audit Services

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Ref:	Section and	Residual Risk?	Inherent Risk Level	Days	Strat.Plan				
		* = Yes	Principal Activity	04/05	G	H	I	J	
<b>EPP Pre-Primary Education</b>			<b>Red</b>	High Risk					<b>4/5</b> 5/6 6/7 7/8
EPP06	Early Years Development		Recs FUA - Systems		6.00	Y	.	.	.
EPP07	Early Years Development - Policy		Ad-hoc Research / Reports		0.00	.	.	.	.
EPP08	Early Years Development - Site visits		Recs FUA - Verification/Probity		10.00	Y	Y	Y	Y
			<u>Pre-Primary Education</u>		16.00				
<b>EPR Policy and Resources Division</b>			<b>Amber</b>	Medium Risk					<b>4/5</b> 5/6 6/7 7/8
EPR00	General Audit Work/Advice		Other Chargeable		0.50	Y	Y	Y	Y
EPR01	Free Meal Service		Systems		0.00	.	.	Y	.
EPR02	Education Personnel		Establishment		0.00	.	Y	.	.
EPR04	Governor Services		Establishment		0.00	.	.	Y	.
EPR05	Home to School/College(Pupil Entitlement)		Systems		0.00	.	Y	.	.
EPR06	LMS and Finance,		Establishment		0.00	.	Y	.	.
EPR07	Awards and Grants		Contracts - Payments / Final		0.00	.	.	.	.
EPR08	Milk Scheme		Systems		0.00	.	Y	.	.
EPR09	Pupil Admissions & Exclusions		Establishment		0.00	.	.	Y	.
EPR10	Community Use/duel Use/Sports Centres		Establishment		0.00	.	.	.	.
EPR11	Statistics and Information		Systems		0.00	.	Y	.	.
EPR12	Supply Cover - Central Administration		Systems		0.00	.	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	*	Recs FUA - Systems		5.00	Y	Y	Y	.
EPR20	Capital Grants	*	Systems		15.00	Y	.	Y	.
EPR21	Recruitment & Selection at Schools		Systems		0.00	.	Y	.	.
			<u>Policy and Resources Division</u>		20.50				

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Ref.	Section and	Residual Risk?	Inherent Risk Level	Days	Strat. Plan				
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<b>EPS</b>	<b>Primary Schools - Non-Bank Accounts</b>		<b>Amber</b>	Medium Risk	<b>4/5</b>	<b>G</b>	<b>H</b>	<b>I</b>	<b>J</b>
EPS00	General Audit Work/Advice		Other Chargeable		5.00	Y	Y	Y	Y
EPS06	Almeley Primary		School Audit		0.00	.	Y	.	.
EPS07	Ashperton Primary		School Audit		0.00	.	Y	.	.
EPS08	Bodenham, St. Michael's C. E. Primary		School Audit		10.00	Y	.	.	.
EPS09	Bosbury C. E. Primary		School Audit		10.00	Y	.	.	.
EPS10	Brampton Abbotts C. E. Primary		School Audit		0.00	.	Y	.	.
EPS11	Bredenbury Primary		School Audit		0.00	.	Y	.	.
EPS12	Bridstow C. E. Primary	*	Recs FUA - School Audit		4.00	Y	.	.	.
EPS13	Brilley Parochial Primary		School Audit		0.00	.	.	.	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		10.00	Y	Y	.	.
EPS21	Colwall C. E. Primary		School Audit		0.00	.	.	.	.
EPS22	Cradley C. E. Primary		School Audit		0.00	.	.	Y	.
EPS23	Credenhill C. E. Primary		School Audit		10.00	Y	.	.	.
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		0.00	.	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	.	.	.	.
EPS33	Hampton Dene Primary - Hereford		School Audit		0.00	.	.	.	Y
EPS34	Holmer C. E. Primary - Hereford		School Audit		0.00	.	.	.	Y
EPS35	Hunderton Infants' - Hereford		School Audit		0.00	.	.	.	Y
EPS36	Hunderton Junior - Hereford		School Audit		0.00	.	.	.	Y
EPS37	Lord Scudamore Primary - Hereford		School Audit		0.00	.	.	.	Y
EPS38	Marlbrook Primary - Hereford		School Audit		0.00	.	Y	.	.
EPS39	Our Lady's R. C. Primary - Hereford		School Audit		0.00	.	Y	.	.
EPS40	St. Francis Xavier's R. C. Primary - Hereford		School Audit		0.00	.	.	.	.
EPS41	St. James' C. E. Primary - Hereford		School Audit		10.00	Y	.	.	.
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	.	.	.	Y
EPS45	Holme Lacy Primary		School Audit		0.00	.	Y	.	.
EPS46	Hope-under-Dinmore C. E. Primary		School Audit		0.00	.	.	.	.
EPS47	Kimbolton, St. James' C. E. Primary		School Audit		0.00	.	Y	.	.
EPS48	Kings Cople Primary		School Audit		0.00	.	Y	.	.
EPS49	Kingsland C. E. Primary		School Audit		0.00	.	Y	.	.
EPS50	Kingstone & Thruxton Primary		School Audit		0.00	.	Y	.	.

## Herefordshire Council Audit Services

## ANNUAL PLAN FOR 2004/2005 and STRATEGIC PLAN 2004 to 2008

Ref:	Section and	Residual Risk?	Inherent Risk Level	Days	
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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	10.00	Y . . .
EPS55	Leominster Infants'		School Audit	0.00	. . . .
EPS56	Leominster Junior		School Audit	0.00	. . . Y
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	. . . Y
EPS61	Lugwardine Primary		School Audit	0.00	. . . .
EPS62	Luston Primary		School Audit	10.00	Y . . .
EPS63	Madley Primary		School Audit	0.00	. Y . .
EPS64	Marden Primary		School Audit	10.00	Y . . .
EPS65	Michaelchurch Escley Primary		School Audit	10.00	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	0.00	. . 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	. . . Y
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	. . . Y
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	0.00	. . 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	0.00	. . . 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
EPS89	Wormbridge C. E. Primary - Closed		School Audit	0.00	. . Y .
<u>Primary Schools - Non-Bank Accounts</u>				99.00	



## Herefordshire Council Audit Services

## ANNUAL PLAN FOR 2004/2005 and STRATEGIC PLAN 2004 to 2008

Ref:	Section and	Residual Risk?	Inherent Risk Level	Days	Strat. Plan			
		* = Yes	Principal Activity	04/05	G	H	I	J
<b>ESU</b>	<b>Special Schools and Units - Non Bank</b>		<b>Amber</b>	Medium Risk				
					<b>4/5</b>	<b>5/6</b>	<b>6/7</b>	<b>7/8</b>
ESU00	General Audit Work/Advice		Other Chargeable		0.50	Y	Y	Y
ESU06	Barrs Court - Hereford	*	Recs FUA - School Audit		6.00	Y	.	.
ESU07	Blackmarston - Hereford		School Audit		0.00	.	.	Y
ESU08	Westfield - Leominster		School Audit		0.00	.	.	Y
ESU09	Brookfield - Hereford		School Audit		10.00	Y	.	.
ESU10	Priory Centre - Leominster		School Audit		0.00	.	Y	.
ESU11	Aconbury Centre		School Audit		0.00	.	.	Y
ESU12	St. Davids - Hereford		School Audit		10.00	Y	.	.
			<u>Special Schools and Units - Non Bank Accounts</u>		26.50			
			<b>Education</b>		<b>304.50</b>			

Ref:	Section and	Residual Risk? * = Yes	Inherent Risk Level Principal Activity	Days 04/05	Strat.Plan
<b>Environment</b>					
<b>VCS</b>	<b>Client Services</b>		<b>Red</b> High Risk	<b>4/5</b>	<b>5/6 6/7 7/8</b>
				<b>G</b>	<b>H I J</b>
VCS00	General Audit Work/Advice		Other Chargeable	1.00	Y Y Y Y
VCS03	Waste Contract Management		Systems	15.00	Y Y Y Y
VCS04	Contracts Monitoring		Recs FUA - Systems	5.00	Y Y Y Y
VCS05	Imprest Account (2)		Cash-ups	0.00	. Y . Y
VCS06	Gypsy Sites		Systems	0.00	. . Y .
VCS07	Cemeteries and Crematoria		Establishment	0.00	. Y . .
VCS08	Markets - fees, charges and collection		Recs FUA - Systems	5.00	Y . Y .
VCS09	Cemeteries and Crematoria Imprest Account		Cash-ups	0.00	Y Y Y .
VCS10	Client Services Income		Recs FUA - Systems	5.00	Y . Y .
VCS11	Recycling Income		Recs FUA - Systems	0.00	. Y . .
VCS12	Street Cleansing		Contracts - Payments / Final	0.00	. Y . .
			<u>Client Services</u>	31.00	
<b>VES</b>	<b>Engineering Services</b>		<b>Red</b> High Risk	<b>4/5</b>	<b>5/6 6/7 7/8</b>
				<b>G</b>	<b>H I J</b>
VES00	General Audit Work/Advice		Other Chargeable	0.00	Y Y Y .
VES02	D.S.South Imprest Account		Cash-ups	0.00	Y Y . .
VES04	D.S. North Imprest Account		Cash-ups	0.00	Y Y Y .
VES06	NRSWA/Trench Inspection		Systems	0.00	. Y . .
VES07	Street Lighting		VFM	0.00	. Y Y .
VES10	Road Maintenance	*	Recs FUA - Systems	5.00	Y . . .
VES22	Engineers/Transportation		Establishment	15.00	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	10.00	Y . Y .
VES29	Penalty Charge Notice	*	Recs FUA - Systems	5.00	Y . . .
VES30	Work Programme -Herefordshire Jarvis	*	Systems	15.00	Y Y . .
			<u>Engineering Services</u>	50.00	
<b>VET</b>	<b>Transportation</b>		<b>Amber</b> Medium Risk	<b>4/5</b>	<b>5/6 6/7 7/8</b>
				<b>G</b>	<b>H I J</b>
VET00	General Audit Work/Advice		Other Chargeable	0.00	Y Y Y .
VET09	Section 38 Orders/Private Street Works		Systems	15.00	Y . . .
VET17	Public Transport- Payment to contractors		Systems	0.00	. . . Y
VET19	Imprest Account		Cash-ups	0.00	. Y . .
VET22	Concessionary Fares		Systems	0.00	. Y . .
			<u>Transportation</u>	15.00	
<b>VGN</b>	<b>General</b>		<b>Green</b> Low Risk	<b>4/5</b>	<b>5/6 6/7 7/8</b>
				<b>G</b>	<b>H I J</b>
VGN06	Directorate Contract Letting	*	Contracts - Tenders / Awarding	0.00	. Y . .
			<u>General</u>	0.00	

## Herefordshire Council Audit Services

## ANNUAL PLAN FOR 2004/2005 and STRATEGIC PLAN 2004 to 2008

Ref:	Section and	Residual Risk? * = Yes	Inherent Risk Level Principal Activity	Days 04/05	Strat.Plan
					<b>4/5</b> 5/6 6/7 7/8
<b>VPB</b>	<b><u>Planning Services - Building Control</u></b>		<b>Amber</b> Medium Risk		<b>G</b> H I J
VPB00	General Audit Work/Advice		Other Chargeable	0.00	Y Y Y .
VPB10	Application Management		Systems	0.00	. Y . .
<u>Planning Services - Building Control</u>					0.00
					<b>4/5</b> 5/6 6/7 7/8
<b>VPS</b>	<b><u>Planning Services</u></b>		<b>Amber</b> Medium Risk		<b>G</b> H I J
VPS00	General Audit Work/Advice		Other Chargeable	0.50	Y Y Y Y
VPS02	Hereford Area Office Imprest Account		Cash-ups	0.00	. Y . .
VPS03	Application management		Systems	0.00	. Y . .
VPS05	Leominster Area Office Imprest Account		Cash-ups	0.00	Y . . .
VPS06	Planning /Building Control Administration		Establishment	11.00	Y . . .
VPS08	Wyes Valley Cycle Project		Establishment	0.00	Y . . .
VPS09	Fees and Charges		Systems	12.00	Y . . .
<u>Planning Services</u>					23.50
					<b>4/5</b> 5/6 6/7 7/8
<b>VPT</b>	<b><u>Property Services</u></b>		<b>Amber</b> Medium Risk		<b>G</b> H I J
VPT00	General Audit Work/Advice		Other Chargeable	1.00	Y Y Y Y
VPT02	Rating Valuation		Systems	0.00	. . Y .
VPT04	Management of Select Tender list		Verification/Probity	0.00	. . Y .
VPT05	Imprest account		Cash-ups	0.00	. Y Y .
VPT06	Terrier Management		Systems	0.00	. Y . .
VPT07	Valuation and Land Agents		Systems	0.00	. Y Y .
VPT08	Tendering Procedures- External	*	Contracts - Tenders / Awarding	15.00	Y . Y .
VPT09	Contract Monitoring/Facilities Management		Contracts - Payments / Final	0.00	Y . . .
VPT10	Management Property Portfolio		Systems	10.00	Y . . .
VPT11	Property Maintenance Local orders		Systems	0.00	. . Y .
VPT13	School Catering		Systems	0.00	. Y . .
<u>Property Services</u>					26.00
					<b>4/5</b> 5/6 6/7 7/8
<b>VTH</b>	<b><u>EH.Environmental Health.</u></b>		<b>Amber</b> Medium Risk		<b>G</b> H I J
VTH00	General Audit Work/Advice		Other Chargeable	1.00	Y Y Y Y
VTH05	Imprest account		Cash-ups	0.00	. Y . .
VTH06	Fees and Charges		Systems	12.00	Y . Y .
VTH07	Licensing income		Recs FUA - Systems	5.00	Y . Y .
VTH08	Pest Control income		Systems	0.00	. Y . .
VTH09	Landfill Sites Expenditure		VFM	0.00	. . . Y
VTH10	Animal Health		Systems	0.00	. Y . .
VTH11	Dog Warden Income		Systems	0.00	. Y . .
VTH12	Authorised Process ( Air Pollution)		Systems	12.00	Y . . .
VTH13	Private water supply Income		Recs FUA - Systems	5.00	Y . Y .
<u>EH.Environmental Health.</u>					35.00

Herefordshire Council Audit Services

ANNUAL PLAN FOR 2004/2005 and STRATEGIC PLAN 2004 to 2008

Ref:	Section and	Residual Risk?	Inherent Risk Level	Days	Strat.Plan			
		* = Yes	Principal Activity	04/05	G	H	I	J
<b>VTS</b>	<b><u>EH.Trading Standards</u></b>		<b>Green</b>	Low Risk				
VTS00	General Audit Work/Advice		Other Chargeable	0.00	Y	Y	Y	.
VTS06	Trading Standards fees and Charges		Systems	12.00	Y	.	.	.
VTS07	Leominster Imprest Account		Cash-ups	0.00	.	Y	.	.
			<u>EH.Trading Standards</u>	12.00				
			<b>Environment</b>	<b>192.50</b>				

Ref:	Section and	Residual Risk? * = Yes	Inherent Risk Level Principal Activity	Days 04/05	Strat.Plan	4/5	5/6	6/7	7/8
<b>Fundamental Systems</b>									
<b>FAA</b>	<b><u>Financial Policy</u></b>		<b>Red</b>	High Risk		<b>G</b>	H	I	J
FAA07	Treasury Management		Systems		12.50	Y	Y	Y	Y
FAA09	Asset Register		Systems		10.00	Y	Y	Y	Y
			<u>Financial Policy</u>		22.50				
<b>FCP</b>	<b><u>Corporate</u></b>		<b>Red</b>	High Risk		<b>G</b>	H	I	J
FCP06	Anti Fraud and Corruption Arrangements		Full FUA - Verification/Probity		15.00	Y	Y	Y	Y
FCP07	Salaries and Wages		Systems		21.25	Y	Y	Y	Y
FCP09	Risk Management		Systems		20.00	Y	Y	Y	Y
FCP10	Salaries and Wages Education		Systems		21.25	Y	Y	Y	Y
FCP11	Contract Tendering Procedures/Standing Orders		Verification/Probity		0.00	.	Y	.	Y
FCP12	Corporate Statement of Internal Control		District Audit		2.00	Y	Y	Y	Y
			<u>Corporate</u>		79.50				
<b>FED</b>	<b><u>Education</u></b>		<b>White</b>	Not Assessed		<b>G</b>	H	I	J
FED07	Financial Management System		Systems		20.00	Y	Y	Y	Y
			<u>Education</u>		20.00				
<b>FEX</b>	<b><u>Accountancy and Exchequer</u></b>		<b>Red</b>	High Risk		<b>G</b>	H	I	J
FEX06	F. M. Systems Budget Setting & Reporting		Systems		17.75	Y	Y	Y	Y
FEX07	Creditors		Systems		25.50	Y	Y	Y	Y
FEX10	Bank Reconciliation		Systems		20.50	Y	Y	Y	Y
FEX11	F.M. System . Accounting Procedures &		Systems		17.75	Y	Y	Y	Y
			<u>Accountancy and Exchequer</u>		81.50				
<b>FRB</b>	<b><u>Revenues and Benefits</u></b>		<b>Red</b>	High Risk		<b>G</b>	H	I	J
FRB07	Sundry Debtors		Systems		20.50	Y	Y	Y	Y
FRB08	NDR		Systems		20.50	Y	Y	Y	Y
FRB09	Council Tax		Systems		22.50	Y	Y	Y	Y
FRB10	Housing Benefit		Systems		25.50	Y	Y	Y	Y
FRB11	Cash and Deposits		Systems		15.50	Y	Y	Y	Y
			<u>Revenues and Benefits</u>		104.50				
			<b>Fundamental Systems</b>		<b>308.00</b>				

<u>Ref:</u>	<u>Section and</u>	<u>Residual Risk?</u> * = Yes	<u>Inherent Risk Level</u> <u>Principal Activity</u>	<u>Days</u> <u>04/05</u>	<u>Strat.Plan</u>					
<b>Leisure Trust</b>										
<b>RGN</b>	<b><u>General</u></b>		<b>N/A</b>	Not Assessable for Risk		<b>4/5</b>	<b>G</b>	<b>H</b>	<b>I</b>	<b>J</b>
RGN00	Non-specific		Other Chargeable			25.00	<b>Y</b>	<b>Y</b>	<b>Y</b>	<b>Y</b>
			<u>General</u>			25.00				
			<b>Leisure Trust</b>			<b>25.00</b>				

Ref:	Section and	Residual Risk? * = Yes	Inherent Risk Level Principal Activity	Days 04/05	Strat.Plan
<b>Policy and Community</b>					
<b>PAR</b>	<b><u>Archives</u></b>		<b>Green</b>	Low Risk	<b>4/5</b> 5/6 6/7 7/8 <b>G</b> H I J
PAR06	Modern records		Establishment	0.00	. Y . .
			<b>Archives</b>	0.00	
<b>PCC</b>	<b><u>Countryside Services</u></b>		<b>Amber</b>	Medium Risk	<b>4/5</b> 5/6 6/7 7/8 <b>G</b> H I J
PCC00	General Audit Work/Advice		Other Chargeable	0.00	Y Y Y .
PCC06	Marches Woodland Initiative		Establishment	0.00	. Y . .
PCC07	Queenswood		Establishment	0.00	. . Y .
PCC09	Wye Valley AONB		Establishment	0.00	. Y . Y
			<b>Countryside Services</b>	0.00	
<b>PCL</b>	<b><u>Community Liaison</u></b>		<b>Amber</b>	Medium Risk	<b>4/5</b> 5/6 6/7 7/8 <b>G</b> H I J
PCL06	Grants and Donations		Advice	5.00	Y . Y .
PCL07	Lady Hawkins Community Centre Trust		Full FUA - Establishment	0.00	. . Y .
PCL08	Grants and Donations		Verification/Probity	5.00	Y . . .
			<b>Community Liaison</b>	10.00	
<b>PCP</b>	<b><u>Corporate Policy</u></b>		<b>Green</b>	Low Risk	<b>4/5</b> 5/6 6/7 7/8 <b>G</b> H I J
PCP00	General Audit Work/Advice		Other Chargeable	0.00	Y Y Y Y
PCP01	Administration- Brockington		Establishment	0.00	. Y . .
PCP06	Directorate Contract Letting	*	Contracts - Tenders / Awarding	12.00	Y . . .
			<b>Corporate Policy</b>	12.00	
<b>PCU</b>	<b><u>Cultural Services</u></b>		<b>Green</b>	Low Risk	<b>4/5</b> 5/6 6/7 7/8 <b>G</b> H I J
PCU06	Imprest Account		Cash-ups	0.00	. . Y .
PCU07	Rural Tourism		Systems	0.00	. . Y .
			<b>Cultural Services</b>	0.00	
<b>PED</b>	<b><u>Economic Development</u></b>		<b>Red</b>	High Risk	<b>4/5</b> 5/6 6/7 7/8 <b>G</b> H I J
PED00	General Audit Work/Advice		Other Chargeable	1.00	Y Y Y Y
PED06	SRB Leominster		Full FUA - Systems	0.00	. Y . .
PED07	Hereford Partnership ( Southern Marches)		Establishment	9.00	Y . . .
PED09	Policy & Commissioning		Establishment	0.00	. . . Y
PED10	Economic Investment Development		Establishment	9.00	Y . . .
PED12	SRB South Wye Regeneration		Full FUA - Systems	0.00	. Y Y .
PED13	Community Building Grants		System/Establishment	0.00	. Y . .
PED14	Business Grant Start up		System/Establishment	0.00	. Y . .
PED15	External Grant Applications Procedures		Systems	0.00	. Y . .
PED16	LEADER Project		System/Establishment	0.00	. . . Y
PED17	Market Towns Initiative Programme		System/Establishment	0.00	. . . Y
PED18	SRB HIT Programme		Verification/Probity	12.00	Y . . .
			<b>Economic Development</b>	31.00	

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## ANNUAL PLAN FOR 2004/2005 and STRATEGIC PLAN 2004 to 2008

<u>Ref:</u>	<u>Section and</u>	<u>Residual Risk?</u> * = Yes	<u>Inherent Risk Level</u> <u>Principal Activity</u>	<u>Days</u> <u>04/05</u>	<u>Strat.Plan</u>
					<b>4/5</b> 5/6 6/7 7/8
<b>PEL</b>	<b><u>Culture, Leisure, Education for Life</u></b>		<b>Green</b> Low Risk	<b>G</b>	H I J
PEL00	General Audit Work/Advice		Other Chargeable	0.00	Y Y Y Y
PEL06	Central Administration		Establishment	0.00	. Y . .
					0.00
					<b>4/5</b> 5/6 6/7 7/8
<b>PHT</b>	<b><u>Heritage</u></b>		<b>Amber</b> Medium Risk	<b>G</b>	H I J
PHT00	General Audit Work/Advice		Other Chargeable	0.00	Y Y Y Y
PHT06	The Old House		Cash-ups	0.00	. Y . .
PHT09	Hereford Museum Broad St.		Recs FUA - Establishment	5.00	Y . Y .
PHT11	Ledbury Heritage Centre		Cash-ups	0.00	. Y . .
PHT12	Heritage Centre Ross on Wye		Establishment	0.00	. Y . .
					5.00
					<b>4/5</b> 5/6 6/7 7/8
<b>PIH</b>	<b><u>Info In Herefordshire</u></b>		<b>Red</b> High Risk	<b>G</b>	H I J
PIH07	Bromyard		Establishment	9.00	Y . . .
PIH08	Ledbury		Establishment	9.00	Y . . .
PIH09	Leominster		Establishment	0.00	. . Y .
PIH10	Ross		Establishment	0.00	. . . Y
PIH11	Development		Systems	0.00	. . . .
PIH12	Town Hall		Establishment	0.00	. Y . .
					18.00
					<b>4/5</b> 5/6 6/7 7/8
<b>PLA</b>	<b><u>External Liaison</u></b>		<b>Amber</b> Medium Risk	<b>G</b>	H I J
PLA06	Community Safety		Ad-hoc Research / Reports	5.00	Y . . .
PLA07	Drugs Action Team (DAT)		Ad-hoc Research / Reports	0.00	. Y . .
PLA08	Sports Development		Ad-hoc Research / Reports	0.00	. . Y .
PLA09	Diversity Compliance	*	Verification/Probity	5.00	Y Y . .
					10.00



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Ref:	Section and	Residual Risk? * = Yes	Inherent Risk Level Principal Activity	Days 04/05	Strat.Plan
<b>PLB Libraries</b>			<b>Green</b> Low Risk	<b>4/5</b>	<b>5/6 6/7 7/8</b>
				<b>G</b>	<b>H I J</b>
PLB00	General Audit Work/Advice		Other Chargeable	0.50	Y Y Y Y
PLB06	Belmont		Establishment	0.00	. Y . .
PLB07	Bromyard		Establishment	0.00	. . Y .
PLB08	Colwall		Establishment	0.00	. Y . Y
PLB09	Hereford		Establishment	11.00	Y . . .
PLB10	Kington Library		Establishment	0.00	. . Y .
PLB11	Ledbury		Establishment	0.00	. . . .
PLB12	Lentwardine		Establishment	0.00	. . Y .
PLB13	Leominster		Establishment	11.00	Y . . .
PLB14	Ross		Establishment	0.00	. Y . .
PLB15	Weobley		Establishment	0.00	. . Y .
PLB16	Library Head Office Imprest Account		Cash-ups	0.00	. . . .
PLB17	Hereford Library Imprest Account		Cash-ups	0.00	. . Y .
PLB18	Central Administration		Recs FUA - Establishment	3.00	Y . . .
PLB19	School Library Service		Establishment	0.00	. Y . .
			<u>Libraries</u>	25.50	
				<b>4/5</b>	<b>5/6 6/7 7/8</b>
<b>PLL Life Long Learning</b>			<b>Amber</b> Medium Risk	<b>G</b>	<b>H I J</b>
PLL6	Life long Learning Partnerships		Systems	0.00	. Y . .
			<u>Life Long Learning</u>	0.00	
				<b>4/5</b>	<b>5/6 6/7 7/8</b>
<b>POS Open Spaces</b>			<b>Green</b> Low Risk	<b>G</b>	<b>H I J</b>
POS00	General Audit Work/Advice		Other Chargeable	0.50	Y Y Y Y
POS06	Grass cutting contract		Contracts - Tenders / Awarding	0.00	. Y . .
			<u>Open Spaces</u>	0.50	
				<b>4/5</b>	<b>5/6 6/7 7/8</b>
<b>PPR Public Relations</b>			<b>Green</b> Low Risk	<b>G</b>	<b>H I J</b>
PPR00	General Audit Work/Advice		Other Chargeable	0.50	Y Y Y .
			<u>Public Relations</u>	0.50	
				<b>4/5</b>	<b>5/6 6/7 7/8</b>
<b>PRS Recreation &amp; Sport</b>			<b>Green</b> Low Risk	<b>G</b>	<b>H I J</b>
PRS00	General Audit Work/Advice		Other Chargeable	0.50	Y Y Y .
			<u>Recreation &amp; Sport</u>	0.50	
				<b>4/5</b>	<b>5/6 6/7 7/8</b>
<b>PTM Tourism</b>			<b>Green</b> Low Risk	<b>G</b>	<b>H I J</b>
PTM00	General Audit Work/Advice		Other Chargeable	0.50	Y Y Y .
PTM07	TIC Hereford		Establishment	0.00	. . . Y
PTM08	TIC Ledbury		Establishment	0.00	. . Y .
PTM09	TIC Leominster		Establishment	0.00	. . . Y
PTM10	TIC Queenswood		Establishment	0.00	. . Y .
PTM11	TIC Ross On Wye		Establishment	9.00	Y . . .
PTM12	Imprest Account		Cash-ups	0.00	. Y . .
			<u>Tourism</u>	9.50	

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<b>PYS</b>	<b>Youth Service</b>		<b>Amber</b>	Medium Risk	<b>4/5</b>				
PYS00	General Audit Work/Advice		Other Chargeable		0.50	Y	Y	Y	Y
PYS12	Leominster and Wigmore Youth Service		Establishment		0.00	.	Y	.	.
PYS13	Ross on Wye Youth Service		Establishment		9.00	Y	.	.	.
PYS14	South Wye and Golden Valley Youth Service		Establishment		0.00	.	.	Y	.
PYS15	Bromyard and Ledbury Youth Service		Establishment		0.00	.	.	.	Y
PYS16	North City Youth Service		Establishment		0.00	.	Y	.	.
PYS17	Kington and Weobley Youth Service		Establishment		0.00	.	.	Y	.
PYS19	Imprest Account		Cash-ups		0.00	.	Y	.	.
PYS20	Central Administration		Establishment		0.00	.	Y	.	.
			<u>Youth Service</u>		9.50				
			<b>Policy and Community</b>		<b>132.00</b>				

Ref:	Section and	Residual Risk? * = Yes	Inherent Risk Level Principal Activity	Days 04/05	Strat.Plan
<b>Social Care and Strategic Housing</b>					
<b>SAC Social Services holding code</b>		<b>Green</b>	Low Risk	<b>4/5</b>	<b>G H I J</b>
SAC09	Court of Protection Management		Systems	0.00	. Y . .
SAC10	Criminal Injury Compensation		Systems	0.00	. . Y .
SAC18	Home Care Schemes		Systems	0.00	. Y . .
<u>Social Services holding code</u>				0.00	
<b>SAS Asylum seekers</b>		<b>Green</b>	Low Risk	<b>4/5</b>	<b>G H I J</b>
SAS01	Grants received		Systems	0.00	. Y . .
<u>Asylum seekers</u>				0.00	
<b>SCH Childrens Services</b>		<b>Green</b>	Low Risk	<b>4/5</b>	<b>G H I J</b>
SCH06	Prevention & Support - Sec 17 & 24		Systems	0.00	. . Y .
SCH07	Centre 18-After School club		Establishment	0.00	. Y . .
SCH08	Board Out, Cont Fam, Shared Care Child & TPP		Systems	0.00	. . Y .
SCH09	Hollybush		Establishment	0.00	. Y . .
<u>Childrens Services</u>				0.00	
<b>SEM Supported Employment</b>		<b>Amber</b>	Medium Risk	<b>4/5</b>	<b>G H I J</b>
SEM01	Transport and Vehicles		VFM	0.00	. Y . .
SEM02	Grants to Voluntary Bodies (SLA)		Systems	0.00	. Y . .
SEM03	Admin of Clients Estates, Receiverships &		Systems	0.00	. Y . .
SEM04	Seasonal 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	
<b>SGN General</b>		<b>Green</b>	Low Risk	<b>4/5</b>	<b>G H I J</b>
SGN06	Bank Mandates		Other Chargeable	5.00	Y Y Y Y
<u>General</u>				5.00	
<b>SLD Learning Disabilities</b>		<b>Amber</b>	Medium Risk	<b>4/5</b>	<b>G H I J</b>
SLD00	General Audit Work/Advice		Other Chargeable	1.00	Y Y Y Y
SLD07	Ivy Close - Hereford		Establishment	11.00	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 . . .
SLD12	Joint Finance- Single Agency - Section 28a		Ad-hoc Research / Reports	0.00	. Y . .
SLD13	Joint Finance- Health Authority Section 31		Systems	20.00	Y . . .
SLD14	Blackfriars Stableblock Workmatch		Establishment	0.00	. Y . .
<u>Learning Disabilities</u>				47.00	

## Herefordshire Council Audit Services

## ANNUAL PLAN FOR 2004/2005 and STRATEGIC PLAN 2004 to 2008

Ref:	Section and	Residual Risk? * = Yes	Inherent Risk Level Principal Activity	Days 04/05	Strat.Plan
					<b>4/5</b> 5/6 6/7 7/8
<b>SOA</b>	<b><u>Other Adult Services</u></b>		<b>Green</b> Low Risk	<b>G</b>	H I J
SOA00	General Audit Work/Advice		Other Chargeable	0.00	. . . .
SOA10	Meals on Wheels (WRVS)		Systems	0.00	. Y . .
					<b>4/5</b> 5/6 6/7 7/8
					<b>G</b> H I J
					<b>4/5</b> 5/6 6/7 7/8
<b>SOP</b>	<b><u>Older People</u></b>		<b>Amber</b> Medium Risk	<b>G</b>	H I J
SOP00	General Audit Work/Advice		Other Chargeable	0.00	Y Y Y .
SOP13	Transfer Arrangements		Verification/Probity	10.00	Y . . .
SOP15	Residential Assessments/Contribution Orders		Systems	15.00	Y . . .
SOP16	Inhouse Home Care inc. Cash Handling	*	Systems	15.00	Y . . .
SOP18	Payments to Independent Providers		Systems	12.00	Y . . .
SOP21	Golden Valley Day Centre		Establishment	0.00	. Y . .
					<b>52.00</b>
					<b>4/5</b> 5/6 6/7 7/8
<b>SPD</b>	<b><u>Physical Disabilities</u></b>		<b>Amber</b> Medium Risk	<b>G</b>	H I J
SPD06	Joint Equipment Store ( Adapt. & Handicapped		Establishment	0.00	. . Y .
SPD07	Direct Payment to Service Users		Systems	0.00	. Y . .
SPD08	Canal Road DC		Establishment	0.00	. . Y .
					<b>0.00</b>
					<b>4/5</b> 5/6 6/7 7/8
<b>SSF</b>	<b><u>Finance and Administration</u></b>		<b>Amber</b> Medium Risk	<b>G</b>	H I J
SSF00	General Audit Work/Advice		Other Chargeable	1.00	Y Y Y Y
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	0.00	. Y . .
SSF16	Home Care Charging		Systems	0.00	. Y . .
SSF19	Fairer Charging		Recs FUA - Systems	7.50	Y . . .
SSF20	Partnership Fund Scheme - Health Authority	*	Ad-hoc Research / Reports	0.00	. Y . .
SSF21	Financial Management inc Budgetary Control	*	Systems	0.00	. Y . .
					<b>23.50</b>
					<b>23.50</b>

## Herefordshire Council Audit Services

## ANNUAL PLAN FOR 2004/2005 and STRATEGIC PLAN 2004 to 2008

<u>Ref:</u>	<u>Section and</u>	<u>Residual Risk?</u> * = Yes	<u>Inherent Risk Level</u> <u>Principal Activity</u>	<u>Days</u> <u>04/05</u>	<u>Strat.Plan</u>			
					<b>4/5</b>	5/6	6/7	7/8
<b>SSH</b>	<b><u>Strategic Housing</u></b>		<b>Amber</b> Medium Risk		<b>G</b>	H	I	J
SSH00	Strategic Housing General		Other Chargeable	1.00	Y	Y	Y	Y
SSH07	Supporting People Scheme- Grant Claim		Verification/Probity	0.00	.	Y	.	.
SSH08	Imprest Account		Cash-ups	0.00	.	Y	.	Y
SSH09	Temp. Accommodation/Homelessness		VFM	0.00	.	.	Y	.
SSH10	Choice Based Lettings		Establishment	0.00	.	.	.	Y
SSH11	Division-Ordering and Payments of Invoices		Systems	0.00	.	.	Y	.
SSH13	Renovation Grants		F&C - Systems	15.00	Y	Y	Y	Y
SSH14	Agency Agreement with Housing Company		Verification/Probity	6.00	Y	Y	Y	Y
SSH15	Enabling & Housing Need Capital/Grants		Systems	12.00	Y	.	.	.
SSH16	HMO Registration Scheme		Systems	0.00	.	Y	.	.
SSH17	Financial Management inc Budgetary Control		Systems	0.00	.	Y	.	.
SSH18	Supporting People - Contracts	*	Verification/Probity	10.00	Y	.	.	.
						<u>Strategic Housing</u>		
					44.00			
					<b>4/5</b>	5/6	6/7	7/8
<b>SSS</b>	<b><u>Service Strategy</u></b>		<b>Red</b> High Risk		<b>G</b>	H	I	J
SSS10	Contracts/Contracts Monitoring		F&C - Systems	20.00	Y	.	.	Y
						<u>Service Strategy</u>		
					20.00			
					<b>4/5</b>	5/6	6/7	7/8
<b>SYJ</b>	<b><u>Young People</u></b>		<b>Amber</b> Medium Risk		<b>G</b>	H	I	J
SYJ02	Supported Living/After Care/Care Leavers	*	Systems	25.00	Y	.	.	.
						<u>Young People</u>		
					25.00			
						<u>Social Care and Strategic Housing</u>		
					216.50			

**PLAN TOTAL 2810.00**



# COUNTY SPORTS PARTNERSHIP

## PROGRAMME AREA RESPONSIBILITY: COMMUNITY AND SOCIAL DEVELOPMENT

CABINET

6TH MAY, 2004

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### Wards Affected

County-wide

### Purpose

To identify a suitable model for Herefordshire to enter a County Sports Partnership with Worcestershire to enable access to national and regional funding for sport.

### Key Decision

This is not a Key Decision

### Recommendation

**THAT Herefordshire Council work in partnership with the existing Worcestershire All Sports Partnership and Sport England to identify a suitable model for taking forward Herefordshire's inclusion in one of the 45, nationally identified, County Sports Partnerships.**

### Reasons

Sport England is committed to supporting the development of County Sports Partnerships, 45 of which have been identified across England. A certain amount of funding has already been identified to support work through the partnerships and further opportunities and funding are likely to be identified as the partnerships strengthen and begin operating at a more strategic level. Herefordshire, presently the only county in England not involved in a partnership, is likely to be excluded from accessing future funding opportunities if this situation remains.

### Considerations

1. At its meeting on 25th September, 2003 Cabinet agreed to Herefordshire's involvement in the County Sports Partnership. Further discussions have been held with Sport England and the Director of Policy and Community, Head of Inspection Advice and School Performance and Senior Sports Development Officer to review the position.
2. The targets set out in the National Framework for Sport in England, identify County Sports Partnerships as being one of the main mechanisms for the distribution of funding.

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Further information on the subject of this report is available from  
Jan Perridge, Senior Sports Development Officer on (01432) 260329

3. County Sports Partnerships will reflect the Regional Plans for Sports and will function as effective sub-regional partners supporting the Regional Sports Boards, National Governing Bodies of Sport and Sport England to achieve key targets and meet relevant key performance indicators.
4. Core funding has been identified from Sport England to support the central management of the 45 identified partnerships. This includes funding for a Partnership Manager post and several officer posts. This structure has already been put into place in the existing Worcestershire Partnership and the team are presently based at University College Worcester. New accommodation will need to be sourced as the partnership grows.
5. Funding available to local voluntary sport through the national and regional governing bodies, could have a significant effect on the progress of projects in the Education sector. School Sport Coordinator Programmes and Specialist Sports Colleges operating locally will have restricted access to a number of new initiatives (eg: Step into Sport).
6. Sports Coach UK have identified, through their Coaching Task Force report, a series of Coaching Development Officers who will be attached and work closely with each of the identified 45 County Sports Partnerships. This post would not be available to Herefordshire if not included in one of the Partnerships.

### **Implications for Herefordshire**

7. (a) Herefordshire would need to ensure appropriate representation on the Partnership Steering Group or Management Group in order to influence the strong links to the Local Strategic Partnership that Herefordshire would wish to maintain.
- (b) An 'umbrella' organisation (namely the newly formed Herefordshire and Worcestershire County Sports Partnership) would need to recognise the existing Worcestershire All Sports Partnership (WASP) and an identity for Sports and Physical Activity in Herefordshire.
- (c) Herefordshire would be expected to sign a 'Memorandum Of Understanding And Co-operation', which would provide the Mission Statement, Aims and Objects and financial arrangements for the partnership. The present steering group operates a policy whereby a project will only be taken forward on a unanimous vote; this would ensure that Herefordshire would not be 'out voted' by Worcestershire.
- (d) The Herefordshire and Worcestershire Partnership would have representation from each of the Districts within Worcestershire (six districts). Herefordshire would be seen as a seventh partner and would therefore have the same voting rights as each District.

## **Alternative Options**

### **Alternative Option 1**

To remain outside the partnership and only work with agencies who are willing to use alternative methods to distribute their funding. Recent consultation has identified reluctance by a majority of funding bodies to work directly with Herefordshire outside the County Sports Partnership arena. This could have significant impact on local strategic work with both the voluntary sector and the growth of work with the



education sector.

## **Risk Management**

Funding would need to be identified to support the partnership. The level for future years is unknown but for the present financial year is likely to be £7,000.

## **Consultees**

Herefordshire Council – Education Directorate

Herefordshire Sports Council (Voluntary Sector)

## **Background Papers**

None identified.



## CITIZENSHIP CEREMONIES

### PROGRAMME AREA RESPONSIBILITY: HUMAN RESOURCES AND CORPRATE SUPPORT SERVICES

CABINET

6TH MAY, 2004

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#### Wards Affected

County-wide

#### Purpose

To receive an update on proposed arrangements.

#### Key Decision

This is not a Key Decision.

#### Recommendation

**THAT the proposed approach outlined in the report be approved.**

#### Reasons

New regulations issued under the Nationality, Immigration and Asylum Act 2002 by the Home Office now require the Council to provide Citizenship Ceremonies.

#### Considerations

1. At its meeting on 18th March, 2004 Cabinet considered a comprehensive report in relation to a new statutory obligation on the Council to arrange civil ceremonies for those eligible for British Citizenship. At the meeting, Cabinet asked officers to consider arrangements for the launch event in Herefordshire to include the office of the Chairman of the Council, representatives from the Crown and local councillors as well as involvement from young people to welcome new citizens to the county. Cabinet were also keen to tailor the event to Herefordshire and involve local crafts and design in formulating a gift to commemorate the occasion from the county.

#### Involvement of Young People

2. Citizenship is now a mandatory aspect of the curriculum and there may be scope to involve school pupils in participating in these ceremonies as part of their studies. Proposals will be explored with primary and secondary head teachers over the summer term to decide how best to involve young people in the ceremonies.
3. It is not expected that the first ceremonies will be until September.

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Further information on the subject of this report is available from  
Marie Rosenthal, County Secretary and Solicitor on (01432) 260200

## **Gift**

4. The Home Office Guidance suggests that the Council should supply a gift and provide refreshments at each ceremony, the cost of which is to be included in the statutory fee of £68.
5. Initial proposals based on experience elsewhere suggested a passport cover. Cabinet were keen to commission a locally designed gift to commemorate the event. It may not be possible to contain the commission within the set fee limit. However, we are not expecting significant numbers and income from other sources within the Registration Service can fund a modest additional sum.
6. A number of design ideas have been suggested, including:
  - A Mounted print of Herefordshire scene.
  - A piece of ceramic, possibly small bowl, platter, mug, small jug with a design which relates to Herefordshire.
  - A small mounted textile piece incorporating poem by John Masefield.
  - A cast-iron paperweight which relates to the county, e.g. hop design, apple, face/form from Kilpeck church.

Cabinet are asked to support the commissioning of a locally designed gift.

## **Alternative Options**

There are no alternative options.

## **Risk Management**

Not applicable but the Council does have a statutory duty to provide Citizenship Ceremonies.

## **Consultees**

Not applicable.

## **Background Papers**

None identified.

# **ROTHERWAS ACCESS ROAD, COMPULSORY PURCHASE AND SIDE ROADS ORDERS**

## **PROGRAMME AREA RESPONSIBILITY : HIGHWAYS AND TRANSPORTATION**

**CABINET**

**6TH MAY, 2004**

### **Wards Affected**

Hollington

### **Purpose**

To approve the necessary Compulsory Purchase Orders (CPO) and Side Roads Orders (SRO) to facilitate the construction of the proposed Rotherwas Access Road.

### **Key Decision**

This is a Key Decision because it is significant in terms of its effect on communities living or working in an area comprising one or more wards. It was included in the Forward Plan.

### **Recommendation**

**THAT the County Secretary and Solicitor be authorised to make the Rotherwas Access Road CPO in respect of the land and rights in Schedule A (and any further land which may be identified) and SRO and to take all other necessary related action to facilitate the construction of the Rotherwas Access Road to improve access to the Rotherwas Industrial Estate and enable the release of additional employment land and to assist the development of the business currently located on the estate.**

### **Reasons**

To facilitate the construction of the proposed Rotherwas Access Road and to improve access to the Rotherwas Industrial Estate and enable the release of additional employment land and to assist the development of the business currently located on the estate.

### **Considerations**

1. Land Plans have been prepared detailing the extent of land required. These are detailed in the confidential Appendix. Negotiations have commenced with each landowner. There is a possibility that not all the required land will be acquired by agreement and there is a potential for delay if the SRO and CPO process is not commenced as soon as possible.

### **Alternative Options**

There are no alternative options.

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Further information on the subject of this report is available from  
Mairead Lane, Senior Project Engineer on 01432 260944

## **Risk Management**

The statutory timescales associated with the SRO and CPO processes are such that they need to commence as soon as possible. This should ensure no delay to the current programme which show works commencing on site in Autumn 2005.

## **Consultees**

The Council has entered into consultation with all affected landowners and statutory consultations were held as part of the planning process.

## **Background Papers**

None identified.

Document is Restricted





Document is Restricted

