



Report to: **Audit Sub Committee**

Subject: **Corporate Governance Arrangements**

Date: **12 June 2006**

Author: **Head of Finance**

1. PURPOSE OF REPORT

To update members on the Corporate Governance Arrangements at Gedling Borough Council as reported to Cabinet on 1 June 2006.

2. BACKGROUND

Attached at appendix 1 is the report that was recently considered by the Council's Cabinet on 1 June 2006. This sub committee is asked to debate and review the report.

3. RECOMMENDATIONS

Members are asked to note the report.

Appendix 1



Report to: Cabinet

Subject: Corporate Governance Arrangements at Gedling Borough Council

Date: 1st June 2006

Author: Head of Finance and Head of Legal & Democratic Services

1. POSE OF REPORT

To update members on the Corporate Governance Arrangements at Gedling Borough Council.

to apprise members of the level of Internal Control at Gedling and to confirm to members of Cabinet that controls are in the main operating satisfactory.

2. BACKGROUND

In January 2003 the Authority initiated a process of documenting its Corporate Governance processes in line with the CIPFA/SOLACE Framework guidance. This process demonstrates how Gedling complies with the underlying principals of good governance, which are:

- Openness and inclusivity
- Integrity
- Accountability

The Corporate Governance Framework for Gedling is built on five dimensions, which reflect the business areas to which governance standards can be applied. These areas are:

- Community Focus
- Service Delivery Arrangements
- Standards of Conduct
- Structures and Processes
- Risk Management and Internal Control

Since being initiated the Corporate Governance Framework has been reviewed and updated annually and reported to members.

1. GOVERNANCE AND ASSURANCE 2005/06

Governance

The Authority's Corporate Governance Framework for 2005/06 has been reviewed and is given in **Appendix A**. This document is a collection of statements of accountability and confirms that actions have been fulfilled by Officers. Members of the Audit Sub-Committee will review these statements at their next meeting.

There is a requirement by the Audit Commission for the Authority to be able to demonstrate Good Corporate Governance to comply with best professional practice. By undertaking this review and reporting the findings in this way the authority reduces the need for a full audit review by the Audit Commission.

Risk

As part of the Corporate Governance Review the Authority also reviews its Strategic Risk Register. The results of the Strategic Risk review are given in **Appendix B**.

The Risk Management Process has been developed and incorporates input from the Risk Management Group, Corporate Health & Safety Group and Corporate and Departmental Risk assessments.

During 2005 the departments also developed their Operational Risk Registers, the departments on an ongoing basis monitor these and a formal review is undertaken annually to inform the budget process. In addition Departments carry out quarterly risk reviews and these are reported to the Audit Sub-Committee

Assurance

For the Statement of Accounts the Authority is required to produce a Statement on Internal Control. This was achieved through assurances from the Heads of Service, Heads of Unit and Deputy Chief Executive in respect of their specific responsibilities within the Authority's Financial Regulations. In addition to this the Monitoring Officer, Chief Financial Officer (s151) and the Chief Executive have also provided statements, which specifically relate to their area of responsibility.

All of the assurance statements have been collated and together with the Internal Audit work undertaken during the year, enable the Deputy Chief Executive/Chief Finance Officer (in the absence of the Manager of resource Services) to provide an assurance statement in support of the Statement on Internal Control.

The Assurance Statement is a key document in giving the required evidence to the Chief Executive and Leader of the Council to enable

them to undertake signing the Statement on Internal Control, which is required as part of the final accounts publication.

2. RECOMMENDATIONS

Members are requested to note to work undertaken in relation to Corporate Governance, Risk and the Assurance Statement.

Members are also requested to note that points raised in the Assurance Statements will feed into the Statement on Internal Control and forms part of the Published Statement of Accounts.

Appendix A

FRAMEWORK FOR A CODE OF CORPORATE GOVERNANCE FOR GEDLING BOROUGH COUNCIL

Gedling Borough Council must be able to demonstrate that they are complying with the underlying principles of good governance, which are:

- Openness and inclusivity
- Integrity
- Accountability

If they are to do this, these principles need to be translated into a framework which seeks to ensure that they are fully integrated in the conduct of the authority's business and establishes a means of demonstrating compliance. Gedling Borough Council, therefore will need to demonstrate that their systems and processes are:

- Monitored for their effectiveness in practice
- Subject to review on a continuing basis to ensure that they are up to date.

The concept of leadership overarches the principles of corporate governance. The principles of good governance can only be adhered to if leadership is exercised through:

- Gedling Borough Council providing vision for its community and leading by example in its decision making and other processes and actions.
- Members and managers conducting themselves in accordance with high standards of conduct.

The fundamental principles of corporate governance, therefore, need to be reflected in the different dimensions of a local authority's business. It is important to recognise that the dimensions are not mutually exclusive – for example, standards of conduct are part of every dimension. The following five dimensions are designed to reflect the business areas to which governance standards can be applied:

- Community Focus
- Service Delivery Arrangements
- Standards of Conduct
- Structures and Processes
- Risk Management and Internal Control

Community Focus

Through carrying out their general and specific duties and responsibilities and their ability to exert wider influence, Gedling Borough Council should:

- **Work for and with their communities.**
- **Exercise leadership in their local communities and undertake an “ambassadorial” role to promote the well being of their area where appropriate.**

Gedling Borough Council should, therefore maintain effective arrangements:

- **For explicit accountability to stakeholders for the authority’s performance and its effectiveness in the delivery of services and sustainable use of resources.**
- **To demonstrate integrity in the authority’s dealings in building effective relationships and partnerships with other public agencies and the private/voluntary sectors.**
- **To demonstrate openness in all their dealings.**
- **To demonstrate inclusivity by communicating and engaging with all sections of the community to encourage active participation**
- **To develop and articulate a clear and up to date vision and corporate strategy in response to community needs.**

Community Focus

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
<p>a. Publish on a timely basis an annual report presenting an objective, understandable account of the authority's:</p> <ul style="list-style-type: none"> • Activities & achievements • Financial position and performance <p>The reports should include statements:</p> <ul style="list-style-type: none"> • Explaining the authority's responsibility for the financial statements. • Confirming that the Authority complies with relevant standards and codes of corporate governance. • On the effectiveness of the Authority's system for risk 	<p>Annual Financial Statements</p> <p>Budget and Service Plan</p> <p>Performance Digest</p> <p>Strategic Corporate Plan</p> <p>Council Tax Leaflet</p>	<p>25th July 2005</p> <p>Personnel & Resources Committee</p> <p>Publish 2006/07 version in March 2006</p> <p>Produce quarterly digests to Cabinet – May, Nov and Feb. Plus a year end version in July 2005</p> <p>Review & update for publication no later than 30.06.05, includes BVPP</p> <p>Joint publication with NCC, Police & Fire Rescue.</p>	<p>Achieved</p> <p>Achieved</p> <p>Achieved</p> <p>Achieved</p> <p>Produced 2006/07 in March 2006</p>	<p>26th June 2006</p> <p>Personnel & Resources Committee</p> <p>Publish 2007/08 version in March 2007</p> <p>Produce quarterly digests to Cabinet – Aug, Nov and Feb. Plus a year end version in June 2006.</p> <p>Review and update for publication no later than 30th June 2006 – includes BVPP</p> <p>Produce 2007/08 leaflet in March 2007</p>

Community Focus

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
	Member Allowances Scheme Members Allowances	Advertise scheme March 2006 Publish 2004/05 in May 2005	Advertised in Evening Post 29.03.06 Achieved	Advertise March 2007 Publish in May 2006
b. Publish on a timely basis a performance plan presenting an objective, balanced and understandable account and assessment of the authority's: <ul style="list-style-type: none"> • Current performance in service delivery • Plans to maintain and improve service quality 	Extract from Strategic Corporate Plan Budget & Service Plan Gedling Community Plan	Review & update for publication no later than 30.06.05, includes BVPP – will incorporate statutory Performance Plan. Digests will also be produced. Publish 2006/07 version in March 2006 Issue December 2005	Achieved Achieved Achieved. Published March 2006	Review & update for publication no later than 30.06.06, includes BVPP Publish 2007/08 version in March 2007 Keep under review and monitor progress

Community Focus

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
	<p>Gedling Contacts – Performance Plan</p> <p>Strategic Corporate Plan summary</p> <p>Summary Statement of Accounts</p>	<p>3 editions to be produced</p> <p>Publish July 2005</p>	<p>Achieved</p> <p>Published on schedule</p> <p>Issued in Contacts Magazine March 2006 together with questionnaire for the public.</p>	<p>3 editions to be produced</p> <p>plus a separate A-Z of Council Services</p> <p>Publish July 2006</p> <p>Analysing feedback and making adjustments to summary statement December 2006</p>
<p>c. Put in place proper arrangements for the independent review of the financial and operating reporting processes.</p>	<p>Annual Audit Letter and other audit reports.</p>	<p>2004/05 letter reported to committee</p>	<p>Achieved. Reported to Audit Sub-Committee 24th April 2006</p>	<p>2005/06 letter to be reported to committee</p>

Community Focus

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
	<p>Scrutiny Committee function</p> <p>Scrutiny Working Group - Consultants</p> <p>Audit sub-committee</p> <p>CPA Inspectorate reports.</p> <p>Use of resources value for money self assessment</p>	<p>Budget working group sub committee</p> <p>Regular questioning of portfolio holders</p> <p>Quarterly meetings planned.</p> <p>No inspections programmed by the Audit Commission.</p> <p>Complete Self assessment</p>	<p>Achieved. Scrutiny Group looked at each departmental budget and made recommendations</p> <p>portfolio holders attended meetings on six occasions.</p> <p>Regular meetings held</p> <p>No service inspections</p> <p>Self assessment completed December 2005</p>	<p>Follow up recommendations in budget formulation arrangements for the 2007-08 budget</p> <p>Complete review of value for money from consultants by December 2006.</p> <p>Further questioning sessions planned</p> <p>Ongoing. Meetings held on an ad hoc basis.</p> <p>No service inspections planned.</p> <p>Complete further self assessment</p>

Community Focus

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
<p>d. Put in place proper arrangements designed to encourage individuals and groups from all sections of the community to engage with, contribute to and participate in the work of the authority and put in place appropriate monitoring processes to ensure that they continue to work in practice.</p>	<p>Strategic partnership framework (LSP)</p>	<p>Board to meet 4 times in year. Executive to meet every 6 weeks</p>	<p>Achieved.</p>	<p>Board to meet 4 times in year. Executive to meet every 6 weeks</p>
	<p>Area Based Initiatives (ABI)</p>	<p>Target community engagement aimed at the Borough's more deprived neighbourhoods to develop community capacity and address local concerns focussed largely but not exclusively at the Borough Council and Gedling Partnership's priorities.</p>	<p>Two ABIs launched and a further two agreed to be launched in 2006/07.</p>	<p>Launch two ABIs-typically expected to be three-year programmes.</p>

Community Focus

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
	Housing Contractor Forum	Further development of partnering contract to be progressed to coincide with end of current contract.	Core working group established to review specifications and contractual arrangements. Decision taken to develop strategic framework agreement for planned capital investment, responsive maintenance and specialist mechanical and electrical (M&E) services. Key target to reduce overheads and streamline procurement methods to improve customer service and satisfaction.	OJEU tender in May 2006 with a decision on nominated partners to be taken in July 2006. Developing a phased implementation starting with planned investment in August 2006 working towards implementation of responsive and M&E contracts in April 2007.

Community Focus

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
	<p>Voids meeting</p> <p>Race Relations Monitoring reports</p>	<p>Continue to progress new working practices & quality standards to ensure new re-let targets are met.</p> <p>Minimum Level 1 in the Equalities Standard to be achieved.</p>	<p>Monitoring void performance on a weekly basis. Trialled alternative methods of operation.</p> <p>Recognition at Level 1 in the Equalities Standard achieved.</p>	<p>Continue third phase of trial and undertake best value appraisal subject to inclusion in new strategic framework. April 2007.</p> <p>Working towards Level 2.</p>
<p>d. Continued from previous section.</p>	<p>Process for carrying out Impact Needs Assessment agreed.</p>			<p>Training to be carried out May 2006 and programme of assessments ongoing.</p>

Community Focus

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
<p>d. Continued from previous section.</p>	<p>Tenants Participation Panel</p>	<p>Undertake training programme. Undertake full consultation on Stock Option Appraisal</p>	<p>Decision taken by Council on 26 April 2006 to pursue stock transfer following recommendation from Stock Option appraisal Working Party.</p> <p>Training Programme complete</p>	<p>Training for tenants on LSVT.</p> <p>Develop Shadow Board and train tenants representatives.</p>
	<p>Consultation Framework</p>	<p>To be reviewed</p>	<p>Review not yet undertaken.</p>	<p>To be reviewed.</p>
	<p>On-line Surveys</p>	<p>Implementation</p>	<p>Achieved</p>	<p>Ongoing</p>
	<p>Community Safety Partnership</p>	<p>Monitor performance against Strategy & plan. Develop 2006-07 Delivery plan. Links to Local Area Agreement (LAA).</p>	<p>Achieved</p>	<p>Monitor performance against Strategy and Action plans, ensuring links to LAA. Progress towards joint South Notts Partnership in shadow forum.</p>

Community Focus

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
	BME (Black Minority and Ethnic) Consultation Framework	Introduction planned.	Proposal presented to Cabinet in May 2004 has not proved to be effective.	Alternatives to be developed by March 2007.
	Race Awareness Forum			Proposal to be presented to LSP May 2006. Proposal to be developed and implemented with LSP.
	Friends of Gedling Wood	Enhanced delivery of the Woodland Management plan following successful grant bid of £500 – DEFRA and £14,000 Living Spaces.	Increased level of maintenance undertaken by volunteers through friends of Gedling Wood following successful grant bids.	Looking to secure further grants from external bodies such as the Forestry Commission using the Council's match funding of £10,000.
	Gedling Youth Council	In place	Ongoing	Ongoing

Community Focus

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
d. Continued from previous section.	Netherfield lagoons	Transfer of the site directly to the recently formed Gedling Conservation Trust (GCT). Capital grants and revenue support to be agreed by the Borough.	Transfer of site from UK Coal to GCT not achieved. The agreement between GCT and the Council providing grants for development and management was put in place.	Transfer from UK Coal Plc to GCT April/ May 2006. Appointment of member representation on to GCT, signing of agreement and release of funding May 2006.

Community Focus

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
<p>d. Continued from previous section.</p>	<p>Sport & Physical activity community group</p>	<p>Adoption of the Sport and Physical Activity Strategy by all partners – Gedling Borough, Sports Co-ordinator Partnership, Sports forum, Gedling Council for Voluntary Service.</p> <p>Sport England proposing to promote the partnership as good practice & considering grant aid to deliver the action plan.</p>	<p>Sport and Physical Activity Strategy adopted and signed by all partners. Action plan agreed to deliver strategy and a monitoring group established called “changing lifestyles” to assess and check progress.</p>	<p>Delivery of changing lifestyles group action plan. Delivery, monitoring and review of changing lifestyles action plan by all agencies.</p>

Community Focus

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
	Allotment Association			Merge Stoke Lane and Victoria Allotment Associations to develop a grant scheme for capital works on allotment sites where the Association will apply for external funding using capital from the Council for match funding.
	Friends of Arnot Hill Park			Establish the group through volunteers. Establish the constitution, agree its aims and objectives. Bring the park to Green Flag Standard and make an application for the award by March 2007.

Community Focus

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
<p>d. Continued from previous section.</p>	<p>Self management with local sports clubs</p>			<p>Agree a self management plan with Newstead Cricket Club for management of the square. Agreement to be completed by September 2007.</p> <p>Establish an agreement with Bestwood Youth teams for management of the pavilion and improvements to playing surfaces. Agreement to be completed by September 2007.</p>

Community Focus

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
<p>d. Continued from previous section.</p>	<p>Sports Forum</p>			<p>Continue establishment of Sports Forum and increase its membership. Use Sports Forum (comprising local voluntary organisations) as consultees for examination of reprogramming of the Borough's Leisure Centres.</p>
	<p>Scrutiny meetings in community locations</p>	<p>Further meetings at community locations planned</p>	<p>Meetings were held in Calverton, Newstead and Carlton.</p>	<p>Ongoing to meet statutory requirement.</p>
	<p>Scrutiny Review - Services for the Disabled</p>	<p>Carry out consultation with disabled in the Borough.</p>	<p>Face to face questionnaires completed by members of the working group.</p>	<p>Complete review and make recommendations to Cabinet.</p>

Community Focus

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
	Consultation with Industrial & Commercial representatives on the budget.	February 2006	Achieved	February 2007
	Statement of Community involvement as part of Local Development Framework.	Commence summer 2005/06. Completion summer 2006/07	Ongoing	To be adopted August 2006.
e. Make an explicit commitment to openness in all of their dealings, subject only to the need to preserve confidentiality in those specific circumstances where it is proper and appropriate to do so and by their actions and communications	Constitution Forward Plan	Ongoing Ongoing	Ongoing	Review of Standing Orders for Contracts. Ongoing

Community Focus

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
e. Continued from previous section.	Freedom of Information Publication scheme (original scheme 2003/04)	To be reviewed in 2005/06.	Reviewed	Publication Scheme to be revised following review and resubmitted for approval by the Information Commissioner in accordance with statutory requirement December 2006.
	Records Management Policy	To be reviewed	Reviewed	Ongoing
	Audit sub-committee	Quarterly meetings planned	Regular meetings held	Ongoing. Meetings held on an ad hoc basis.
	Open Committee meetings – public able to speak in Planning Committees	In place	Ongoing	Ongoing
	E-Government - Committee Admin System	Ongoing	Ongoing	Ongoing

Community Focus

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
<p>f. Establish clear channels of communications with all sections of their community and other stakeholders and put in place proper monitoring arrangements to ensure that they operate effectively.</p>	<p>Electronic Service Delivery (ESD) Toolkit</p>	<p>Achieve compliance with BV157 by December 2005</p>	<p>Achieved</p>	<p>Ongoing maintenance of ESD Toolkit</p>
	<p>ICT Strategy</p>	<p>Develop strategy</p>	<p>Strategy completed December 2005</p>	<p>Implement the strategy</p>
	<p>Gedling Contacts</p>	<p>3 editions to be produced</p>	<p>Achieved</p>	<p>3 editions to be produced plus a separate A-Z of Council Services.</p>
	<p>Website</p>	<p>Results of investigation in place September</p>	<p>On line planning applications live system running September 2006</p>	
	<p>Website Review</p>	<p>Review in 2005/06</p>	<p>Undertaken and new look website launched in Summer 2005.</p>	<p>Ongoing improvement.</p>
<p>f. Continued from previous section.</p>				

Community Focus

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
	<p>Access Strategy (services)</p> <p>Undertake a telephony trial for Gedling One Stop Service particularly focussing on Housing Benefit and Council Tax.</p> <p>Statement of Licensing Policy</p> <p>Civil Contingencies Act 2004 compliance</p>	<p>To be agreed by Cabinet</p> <p>Ongoing review</p> <p>Develop Business Continuity Plan (BCP) and test.</p> <p>Service Level Agreement (SLA) with County for Emergency Planning (EP).</p>	<p>Agreed by Cabinet August 2005.</p> <p>Ongoing</p> <p>BCP developed. No test carried out in 2005/06.</p> <p>SLA signed February 2006</p>	<p>Ongoing review of strategy</p> <p>Trial due to start July 2006.</p> <p>Ongoing review</p> <p>Develop and undertake test of BCP.</p> <p>EP compliance ongoing as a result of SLA and countywide risk assessments.</p>

Community Focus

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
f. Continued from previous section.	liP accreditation achieved September 2004.	Ongoing action plan for re-accreditation in 2006/07	Implementation of action plan continued.	Re-accreditation September 2006.
	CPA Improvement plan	Complete outstanding issues. External Strategy 2005-06	Substantially completed and delivered	Update based on Use of Resources Assessment and CPA Pilot Assessment
	Communication strategy	Under development	Ongoing	In place
	Consultation framework	To be reviewed	Review not yet undertaken.	To be reviewed.
	Employee consultation & information group	Ongoing as STEP2	Ongoing	Continuing as a forum for consultation.
	BME Consultation framework	Introduction planned	Proposal presented to Cabinet in May 2004 has not proved to be effective.	Alternatives to be developed.

Community Focus

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
<p>g. Ensure that a vision for their local communities and their strategic plans, priorities and targets are developed through robust mechanisms and in consultation with the local community and other key stakeholder and that they are clearly articulated and disseminated.</p>	<p>Gedling Community Plan</p>	<p>Issue December 2005</p>	<p>Achieved. Published March 2006</p>	<p>Keep under review and monitor progress</p>
	<p>Budget & Service Plan</p>	<p>Publish 2005/06 version in March 2005</p>	<p>Achieved</p>	<p>Publish 2006/07 version in March 2006</p>
	<p>Strategic Corporate Plan</p>	<p>Review & update for publication no later than 30.06.05, includes BVPP</p>	<p>Achieved</p>	<p>Review and update for publication no later than 30th June 2006 – includes BVPP</p>
<p>g. Continued from previous section.</p>	<p>Local Area Agreement</p>	<p>To be determined</p>	<p>Memorandum of understanding signed 1 April 2006.</p>	<p>Support ongoing review and updating to include Conurbation Area Agreement</p>

Community Focus

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
	<p>Greater Nottingham Partnership.</p> <p>“Drawing Together- Nottingham as a Core City”</p> <p>“The Story Unfolds – How we develop Greater Nottingham”</p> <p>Freedom of Information Act Record Management Policy</p>	<p>Complete in 2004/05</p>	<p>Commitment made by the Council.</p> <p>Adopted</p>	<p>Ongoing review</p>

Community Focus

Reference documents	Tools to assist local authorities for self assessment purposes
<ul style="list-style-type: none"> • Modern Local Government: Guidance on Enhancing Participation DETR (1998) • Statement of Recommended Practice on Local Authority Accounting (SORP) • Human Rights Act 1998 Guidance • Race Relations Act 1976 and Race Relations (Amendment) Act 2000 • Macpherson Report (1999) • Local Government Act 2003 • The Local Government (Access to Information)(Variation) Order 2006 • Freedom of Information Act 2000 • Civil Contingencies Act 2004 • The Children Act 2004 • Housing Act 2004 • Housing and Health Safety Rating System 2006 • Disability Discrimination Act 1995 • Disability Discrimination Act 2005 (Disability Equality Duty) • Accounts and Audit Regulations 2003 • ODPM Circular 03/2003 • ODPM Circular 04/2004 • Approved Local Development Statement (LDS) 	<ul style="list-style-type: none"> • Benchmark of the Ideal Authority I&DeA (1999)

Service Delivery Arrangements

Gedling Borough Council should ensure that continuous improvement is sought, agreed policies are implemented and decisions carried out by maintaining arrangements which:

- **Discharge their accountability for service delivery at a local level**
- **Ensure effectiveness through setting targets and measuring performance**
- **Demonstrate integrity in dealing with service users and developing partnerships to ensure the right provision of services locally**
- **Demonstrate openness and inclusivity through consulting with key stakeholders, including service users**
- **Are flexible so that they can be kept up to date and adapted to accommodate change and meet user wishes**

Service Delivery Arrangements

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
a. Set standards and targets for performance in delivery of services on a sustainable basis and with reference to equality policies	Strategic Corporate Plan including statement on Equalities.	Review & update for publication no later than 30.06.05, includes BVPP.	Achieved	Review and Update for publication no later than 30.06.06, includes BVPP

Service Delivery Arrangements

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
a. Continued from previous section.	Best Value reviews	Action Plan for Planning Best Value	Completed	Principles of Best Value applied to all services and reviews.
	Asset Management Plan	Update AMP by end of July 2005	Achieved	Update AMP by end of July 2006
	Waste Management Strategic Plan	Ongoing	Ongoing	Ongoing
	Equalities Standard	To achieve level 2	Level 2 not achieved but Corporate Equality Plan adopted April 2006.	Move towards Level 2 by March 2007.
b. Put in place a sound system for providing management information for performance measurement purposes	Customer Service Values		Developed values through Customer Focus Group.	Finalise values and publicise them.
	Performance Management and Information Systems	Integrate with service planning	Introduced Area Based Initiatives	Options for updating. Performance management system to be reviewed.

Service Delivery Arrangements

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
	Budget & Service Plan monitoring AMP – Project Mgt for larger projects	Monitoring of management of the Capital Programme Action plan agreed for implementation in 05/06	Reviewed in 2005 and new procedures introduced to monitor capital slippage. Achieved	Continue to monitor closely.
c. Monitor and report performance against agreed standards and targets and develop comprehensive and understandable performance plans c. Continued from previous section.	Performance Digest Budget & Service Plan Scrutiny Committee Reports Cabinet reports	Produce quarterly digests to Cabinet – May, Nov, Feb. Plus a year end version in July 2005 Publish 2006/07 version in March 2006 Ongoing.	Achieved Achieved Ongoing and regular	Produce quarterly digests to Cabinet – May, Nov, Feb. Plus a year end version in July 2006 Publish 2007/08 version in March 2007 Ongoing

Service Delivery Arrangements

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
	<p>CPA Improvement plan</p> <p>Parks & open Spaces Action Plan</p> <p>Waste Management Action Plan</p> <p>Planning Improvement Plan</p>	<p>Complete outstanding issues. External Strategy 2005-06</p> <p>Investigate private sector provision, including new burial ground</p> <p>Ongoing.</p> <p>Action Plan by September 2005</p>	<p>Substantially completed and delivered</p> <p>Undertook investigation of private sector provision. Met with private landowner on A60. Concluded not suitable for the Council's purposes. Looked at new burial ground and identified that land required to ensure continued burial at Redhill and Carlton.</p> <p>Targets achieved</p> <p>Achieved</p>	<p>Update based on Use of Resources Assessment and CPA Pilot Assessment</p> <p>Look at suitable land to replace Redhill, Carlton and Gedling Cemeteries. Request through capital funding money to purchase land.</p> <p>Ongoing</p>

Service Delivery Arrangements

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
c. Continued from previous section.	Planning delivery targets	To achieve national targets	National targets exceeded	Ongoing
	Procurement strategy (Procurement milestones)	Review procurement strategy	Review started	Revised strategy to be agreed September 2006.
	liP monitoring	Regularly through STEP2	Implementation of action plan continued.	Re-accreditation September 2006.
d. Put in place arrangements to allocate resources according to priorities	Community Plan, Service Plans, Budget, Capital Strategy	Review use of area based profiles in allocating methodology.	Reviewed	Review Capital Strategy
		Scrutiny working group	Established	Ongoing
	Risk management – operational and strategic risk registers	Strategic Risk register review quarterly	Reviewed half yearly	Review quarterly

Service Delivery Arrangements

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
		Operational Risk Register Review Aug-Sept.	Review completed October 2005.	Review quarterly through Audit Sub-Committee
e. Foster effective relationships and partnerships with other public sector agencies and the private voluntary sectors and consider outsourcing where it is efficient and effective to do so, in delivering services to meet the needs of the local community and put in place processes to ensure that they operate effectively in practice.	Local Strategic Partnership Rushcliffe partnering	Board to meet 4 times in year. Executive meet every 6 weeks Debtors by end of 2005/06. Also considering Clinical Waste, Vehicle maintenance, tree work & DLO procurement	Achieved Rushcliffe Borough Council (RBC) undertaking debtors services for the Council. Tree work being done for GBC August 2005	Board to meet 4 times in year. Executive meet every 6 weeks RBC undertaking Clinical Waste on behalf of GBC from 3rd June 2006
e. Continued from previous section.	Shared Procurement Officer with RBC Payroll Services for RBC	Make an appointment	Appointment made October 2005	Savings identified from improved procurement to offset costs of employment. Review potential for payroll services to be delivered to RBC by the Council.

Service Delivery Arrangements

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
e. Continued from previous section.	<p>Shared Services</p> <p>PCT partnering – positive moves (partnership with the PCT has all 15 GP practices referring patients)</p>	<p>Expansion of the service supported with grant aid totalling £20,000 from the PCT and GBC.</p>	<p>Achieved</p>	<p>Develop a strategy at the Council for shared services using external consultants</p> <p>Continue to develop</p>
	<p>Exercise promotion Officer funded jointly with PCT.</p>	<p>Develop additional pathways for referral including cardio vascular from City Hospital and secure funding from PCT and the Council for P/T Assistant post to enable delivery of enhanced action plan.</p>	<p>Secured assistant post to exercise promotion officer plus leisure centre based instructors to deliver the exercise programme and expand the range of referrals</p>	<p>Increase the number of referrals and the range of medical referrals</p>
	<p>Joint IT procurement</p>	<p>IBS Revenues and benefits – Complete</p>	<p>Ongoing</p>	<p>Ongoing</p>

Service Delivery Arrangements

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
	<p>Greater Nottingham Partnership</p> <p>Arts Officer joint funded with Arts Council England</p>	<p>Ongoing & working jointly on bids for the borough</p> <p>Adoption of the Arts Strategy and delivery of its action plan</p>	<p>Members of the Nottinghamshire Partnership which oversees the Local Area Agreement (LAA)</p> <p>Arts strategy adopted and Arts Officer appointed with grant funding from Arts Council England</p>	<p>Continued delivery of Action Plan for Arts Strategy and establishment of Arts Forum.</p>
<p>e. continued from previous section.</p>	<p>Examination of procurement options for the future delivery and management of the Council's five leisure centres.</p> <p>Adherence to good employment practice</p>	<p>liP implementation and assessment.</p>	<p>Implementation of Action Plan continued.</p>	<p>Work with consultants to produce an options document for consideration by Members for April 2007.</p> <p>Re-accreditation September 2006.</p>

Service Delivery Arrangements

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
	Partnership framework	<p>Sickness attendance incentive reward scheme continuing</p> <p>Consultation on new Community Strategy.</p> <p>IEG implementation plan</p> <p>ICT Strategy to meet national priorities.</p>	<p>Scheme continuing</p> <p>Undertaken</p> <p>Complete IEG6 and progress towards national priorities.</p> <p>ICT Strategy approved December 2005</p>	<p>Scheme continuing</p> <p>Ongoing</p>
	Procurement strategy	Ongoing	Ongoing	Ongoing
	Stock Transfer	Determine option for future management and maintenance of Housing Stock	Decision taken by Council on 26 April 2006 to pursue Stock Transfer	<p>Apply to DCLG for inclusion on the 2006 Annual Disposals programme for Stock Transfer.</p> <p>Tenant ballot to be undertaken in 2006/07</p>
e. Continued from previous section.				

Service Delivery Arrangements

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
	Voluntary Sector Compact	Explore SLA & agree local compact	Signed 2005	Include in procurement strategy commitment to working with Voluntary Community Organisations (VCOs)
	Community Safety Partnership (meets quarterly. Tactical group meets monthly)	Implement new Strategy	Achieved	Ongoing
	PCSO's joint funded	Integrate private security patrol with PCSOs & neighbourhood wardens.	Resolved at Council on 14th December 2005 to continue the currently agreed level; of PSCO funding for the coming financial year.	Ongoing
	Equalities	Achieve level 2	Level 2 not achieved but Corporate Equality Plan adopted April 2006	Move towards Level 2 by March 2007

Service Delivery Arrangements

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
e. Continued from previous section	Licensing policy	Ongoing review	Ongoing review	Ongoing review
	Gedling Community Plan	Issue December 2005	Achieved. Published March 2006	Keep under review and monitor progress
	Home Improvement Agency (HIA) 2005/06 HEAT Sure Start	Continue membership of steering group to monitor progress & delivery Annual review Killisick Community Centre - Completion of building works by June 2005 & implementation of delivery plan.	Partnership progressing. Performance monitoring in place. Promotional material sent to residents to encourage uptake of assistance towards energy efficient measures. Building works completed and delivery plan implemented.	Complete review to determine future funding and continuation of HIA. Review endorsement and monitoring of progress. Continuing full year implementation of delivery plan.

Service Delivery Arrangements

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
e. Continued from previous section	Joint working arrangements	<p>Joint Use</p> <p>Review of Calverton LC operation to be completed May 2005.</p> <p>Review of other centre operations to be completed by March 2006</p> <p>Bestwood Country Park.</p> <p>Bi-annual meetings to agree a capital & revenue development plan for the park.</p>	<p>Review of Calverton Leisure Centre undertaken and reduced operation and opening hours introduced.</p> <p>Review of other Leisure Centres completed March 2006.</p> <p>Bi-annual meetings established and capital and revenue agreed</p>	<p>Implement Action Plans formulated from 2005/06 Centre Reviews by March 2007.</p> <p>Continue with Action Plan for the Park.</p> <p>Support Heritage Lottery Development Grant for restoration of Bestwood Winding Engine House.</p>
	Joint working arrangements	<p>St George's Centre Netherfield.</p> <p>Concessionary Fares Ongoing</p>	Ongoing	<p>Funding of Intermediary Service £10,000</p> <p>Full fare concessions</p>

Service Delivery Arrangements

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
	<p>Nottinghamshire Public Service Agreement (PSA)</p> <p>Planning – Conservation advice</p> <p>Planning design advice</p>	<p>Gedling One Stop Service coordinates district council, county council and a range of other public service providers including Police and DWP.</p> <p>Final performance monitoring & report by NCC. Could explore potential for PSA2.</p> <p>Out-sourced</p> <p>Out-sourced</p>	<p>Ongoing</p> <p>Not yet completed. (PSA2 is now LAA)</p> <p>Continuing</p> <p>Continuing</p>	<p>Ongoing</p> <p>Final Reporting due May 2006</p> <p>Continuing</p> <p>Continuing</p>

Service Delivery Arrangements

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
e. Continued from previous section	Building Control	Ongoing investigation	Participation in a review held by RBC regarding establishing a Nottinghamshire Joint Building Control, Service	Consider implications of proposals put forward.
	Waste Management (MRF) Trade Recycling and bring sites	BFO review Joint arrangements by Autumn 2005	Progress delayed. Nottinghamshire County Council (NCC) and the successful bidder still negotiating with a view to an agreement being signed for 1st June 2006 commencement. Progress delayed due to above contractual issues. Districts need locations and acceptance criteria (contamination issues etc.) to be agreed prior to commencement of any new scheme	It is envisaged that the Districts will now enter into a partnering agreement with NCC in the Autumn of 2006 taking into consideration the arrangements agreed between NCC and the successful bidder. It is envisaged that the scheme will now be introduced in the Autumn of 2006.

Service Delivery Arrangements

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
f. Continued from previous section	Refuse Collection & Transport Service Joint working	Await outcome of bid & potential action plan	Bid was submitted in 2005/06 and was finally approved by EMCE in late April 2006.	It is envisaged that the project will commence in late summer and be completed by March 2007.
	Honeywood Gardens	Build the Community centre, youth and play facility. Sell surplus land. Put in place a SLA with the Residents Association to manage the centre.	Surplus land sold. SLA with Residents' Association agreed. Build programme deferred until 2006/07 by agreement with the Residents' Association	Build community centre youth and play facility and establish Residents' Association management of the facility September 2006.
	Nottingham for Tourism	Continued support to the organisation Experience Nottinghamshire and its action plan	Support provided and input into the organisation's delivery plan.	Continued support to Experience Nottinghamshire and its delivery plans.
New Deal (PSA)	Ongoing	Ongoing	Review recruitment policy in terms of how the Council wish to take New Deal forward.	

Service Delivery Arrangements

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
<p>e. Continued from previous section</p>	<p>Local Government East Midlands (LGEM) (formerly EMRLGA)</p> <p>N&S college Pt tutored Mgt development programmes</p> <p>Area based initiatives</p>	<p>Ongoing SLA</p> <p>Team Leader course & NVQs</p> <p>Develop methodology and roll out first two areas.</p>	<p>Ongoing SLA</p> <p>Further Team leader courses delivered</p> <p>Two ABIs launched and a further two agreed to be launched in 2006/07.</p>	<p>Review as contract terminates January 2007.</p> <p>Deliver Leadership Development Course at Level 3 and Level 5</p> <p>Launch two ABIs- typically expected to be three-year programmes.</p>

Service Delivery Arrangements

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
f. Respond positively to the findings and recommendations of external auditors and statutory inspectors and put in place arrangements for the effective implementation of agreed actions.	Annual Audit Letter and other audit reports. CPA Inspectorate reports.	Management of the Capital Programme to be monitored. Ongoing	Capital programme monitored by Property Management Group (PMG). New processes introduced for capital monitoring. Improved spending position expected to be reported in June 2006.	Review improvements required by Use of Resources Judgment. Taken any action required from annual Use of Resources assessment and Direction of Travel Statement included in Annual Audit Letter.
	Planning Inspectorate Reports	BVR Action plan for June 2005		

Reference documents	Tools to assist local authorities for self assessment purposes
<ul style="list-style-type: none"> • Local Government Act 1999: Best Value DETR Circular 10/99 • Race Relations Act 1976 and Race Relations (Amendment) Act 2000 • ODPM Circular 03/2003 • ODPM Circular 04/2004 • National Equalities Standards • Data Protection Act 1998 • Human Rights Act 1998 • Government targets for waste • National Procurement Strategy • The Public Contracts Regulations 2006 • Licensing Act 2003 • Benefit Fraud initiatives 	

Structures and Processes

Gedling Borough Council needs to establish effective political and managerial structures and processes to govern decision-making and the exercise of authority with organisation. Gedling Borough Council should maintain arrangements to:

- **Define roles and responsibilities of members and officers to ensure accountability, clarity and good ordering of the authority's business**
- **Ensure that there is a proper scrutiny and review of all aspects of performance and effectiveness**
- **Demonstrate integrity by ensuring a proper balance of power and authority**

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
Balance of Power and Authority				
a. Put in place clearly documented protocols governing relationships between members and officers.	Codes and Protocols (constitution)	Member Officer relations code to be reviewed	Reviewed by Standards Committee 29th March 2005	
c. Ensure that the relative roles and responsibilities of executive and other members, members generally and senior officers are clearly defined.	Constitution Record of decisions and supporting material	Ongoing amendment as required. Ongoing	Reviewed and changes implemented Ongoing	Ongoing amendment as required. Ongoing

Structures and Processes

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
Roles and Responsibilities of Members				
c. Ensure that members meet on a formal basis regularly to set the strategic direction of the authority and to monitor service delivery.	Schedule of Council meetings Performance and management systems Financial standards and regulations. Regular Cabinet meetings.	Approve by Council May 2005. Ongoing Ongoing To be agreed by Leader May 2005.	In place Ongoing Ongoing In place	To be approved by Council May 2006. Ongoing Ongoing To be agreed by Leader May 2006.
d. Develop and maintain a scheme of delegated or reserved powers, which should include a formal schedule of those matters specifically reserved for the collective decision of the authority.	Constitution	Ongoing amendment as required	Ongoing	Ongoing amendment as required

Structures and Processes

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
e. Put in place clearly documented and understood management processes for policy development, implementation and review for decision making monitoring and control and reporting; and formal procedural and financial regulations to govern the conduct of the authority's business.	Constitution	Ongoing amendment as required	Ongoing	Ongoing amendment as required
Roles and Responsibilities of Members				
f. Put in place arrangements to ensure that members are properly trained for their roles and have access to all relevant information, advise and resource as necessary to enable them to carry out their roles effectively.	Members induction scheme Regular update sessions and Training plan Cabinet Responsibilities Portfolio Holder responsibility Cabinet Observers	No new members anticipated. Ongoing Requirement for Member Information Officer post to be reviewed	No action required Establishment of Member training recording and monitoring system. Post requirement reviewed and added to the establishment	No new members anticipated. Recruit to post

Structures and Processes

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
<p>g. Ensure that the role of the executive member(s) is/are formally defined in writing, to include responsibility for providing effective strategic leadership to the authority and for ensuring that the authority successfully discharges its overall responsibilities for the activities of the organisation as a whole.</p>	<p>Constitution</p>	<p>Ongoing monitoring of attendance at training events and input to scrutiny through Scrutiny Chairs meeting</p>	<p>Licensing and Planning Committees considered mandatory training of Members.</p>	
<p>Roles and Responsibilities of Members</p>				
<p>h. Ensure that the roles and responsibilities of all members of the local authority, together with the terms of their remuneration and its review is defined clearly in writing.</p>	<p>Constitution</p>	<p>Ongoing amendment as required</p>	<p>Ongoing amendment as required</p>	<p>Ongoing amendment as required</p>

Structures and Processes

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
	Members Allowance Scheme	Remuneration panel to review scheme and make recommendations to Council. Implemented by April 2005.	Annual Review completed by March 2006 and implemented April 2006	Undertake Annual Review by March 2007.
i. Ensure that a chief executive or equivalent is made responsible to the authority for all aspects of operational management.	<p>Conditions of employment</p> <p>Chief executive appointed with effect from 01.10.04 as Head of Paid Service with overall management responsibility</p> <p>Scheme of delegation</p> <p>Job descriptions and specifications</p>	<p>Ongoing</p> <p>Ongoing</p> <p>Ongoing.</p>	<p>Ongoing</p> <p>Reviews undertaken as required</p> <p>Ongoing</p>	<p>Ongoing</p> <p>Ongoing</p> <p>Ongoing</p>

Structures and Processes

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
	Performance management system	Ongoing	Ongoing	Ongoing
Roles and responsibilities of Officers				
<p>j. Ensure that a senior officer is made responsible to the authority for ensuring that appropriate advice is given to it on all financial matters, for maintaining an effective system of internal financial control.</p>	<p>Sect. 151 responsibilities) Statutory provision) Statutory reports) Budget documentation Job Description/Specification Personal Development review</p>	<p>Same documentation Council approval anticipated 1st March 2006.</p> <p>Management Competencies ongoing</p>	<p>Deputy appointed</p> <p>Approved by Council March 2006</p> <p>Ongoing</p>	<p>Ongoing</p>

Structures and Processes

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
	Audit sub-committee	Ongoing to meet quarterly	Ongoing	Ongoing to meet quarterly
k. Ensure that a senior officer is made responsible to the authority for ensuring that agreed procedures are followed and that all applicable statutes, regulations and other relevant statements of good practice are complied with.	Monitoring officer provisions Statutory provision Job description/specification Personal development review	 See j above	Deputy appointed See j above	 Ongoing
Roles and responsibilities of Officers				
i. Ensure that the roles and responsibilities of all senior officers, together with the terms of their remuneration and its review are defined clearly in writing.	Job descriptions /specifications	Ongoing	Ongoing	Ongoing
	Pay and conditions of service	Ongoing	Ongoing	Ongoing
	Performance development review.	Ongoing	Ongoing	Ongoing

Structures and Processes

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
m. Adopt clear protocols and codes of conduct to ensure that the implications for supporting community political leadership for the whole council are acknowledged and resolved.	Protocols governing member/manager relations	Review in 2005/06	Protocols examined by Standards Committee.	

Reference documents	Tools to assist local authorities for self assessment purposes
<ul style="list-style-type: none"> • A statement on the role of the Finance Director in Local Government (CIPFA 1999) • Consultative draft of proposed guidance and regulations on New Constitutions for Councils DETR (2000) • New forms of Political Management Arrangement I&DEA (2000) • Local Government Act 2003 	Self Evaluation tool kit: New Forms of Political Management Arrangement I&DEA (2000)

Risk Management and Internal Control

Gedling Borough Council needs to establish and maintain a systematic strategy, framework and processes for managing risk. Together, these arrangements should:

- **Including making public statements to stakeholder on the authority's risk management strategy, framework and processes to demonstrate accountability.**
- **Including mechanisms for monitoring and reviewing effectiveness against agreed standards and targets and the operation of controls in practice.**
- **Demonstrate integrity by being based on robust systems for identifying, profiling, controlling and monitoring all significant strategic and operational risks.**
- **Display openness and inclusivity by involving all those associated with planning and delivering services, including partners.**
- **Include mechanisms to ensure that the risk management and control process is monitored for continuing compliance to ensure that the changes in circumstances are accommodated and that it remains up to date.**

Risk Management and Internal Control

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
<p>a. Develop and maintain robust systems for identifying and evaluating all significant risks which involve the proactive participation of all those associated with planning and delivering services.</p>	<p>Risk Management Strategy</p>	<p>Finalise early 2005/06</p>	<p>Task carried for ward to 2006/07</p>	<p>Finalise early 2006/07</p>
	<p>Authority Risk Profile</p>	<p>Quarterly updates to Strategic register to be implemented.</p> <p>Full review of Operational Risks to be undertaken Sept 2005</p>	<p>Implemented</p> <p>Review undertaken</p>	
	<p>Scrutiny Committee Role</p>	<p>Ongoing</p>	<p>Ongoing</p>	<p>Ongoing</p>
	<p>Budget & Performance Management System</p>	<p>In place</p>	<p>Ongoing</p>	<p>Ongoing</p>

Risk Management and Internal Control

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
a. Continued from previous section.	Risk Management Group Growth Budget bids evaluation process	Regular meetings to take place. Ongoing	No meetings took place Ongoing	Regular meetings to take place following review of strategy Ongoing
	Business continuity And Emergency Plan	Develop & test BCP and SLA with County for EP	BCP developed. No test carried out in 2005/06. SLA signed February 2006	Develop and undertake test of BCP. EP compliance ongoing as a result of SLA and countywide risk assessments.
b. Put in place effective risk management systems including systems of internal control and an internal audit function. These arrangements need to ensure compliance with all applicable statutes, regulations and relevant	Scheme of delegation Internal Audit protocol	Review Corporate Risks September and March. With quarterly additions Ongoing	Reviewed in September with further review planned 9th May 2006 Ongoing	Review Corporate Risks September and March. With quarterly additions Ongoing

Risk Management and Internal Control

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
<p>used economically, efficiently and effectively and in accordance with the statutory and other authorities that govern their use.</p> <p>b. Continued from previous section.</p>	<p>Performance management system</p>	<p>See previous</p>	<p>Ongoing</p>	<p>Ongoing</p>
	<p>Corporate Risk Register</p>	<p>See previous</p>	<p>Ongoing</p>	<p>Ongoing</p>
	<p>Operational Risk Register</p>	<p>See previous</p>	<p>Ongoing</p>	<p>Ongoing</p>
	<p>Risk Register of Violent Persons (electronically available)</p>	<p>Ongoing</p>	<p>Ongoing</p>	<p>Ongoing</p>
	<p>Statement on Internal Control</p>	<p>Included within statement of accounts</p>	<p>Ongoing</p>	<p>Ongoing</p>
	<p>Budget process</p>	<p>Ongoing</p>	<p>Introduced resource weightings based on super output area data</p>	<p>Ongoing</p>

Risk Management and Internal Control

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
	<p>Financial standards and regulations</p> <p>Policy for insurance cover arrangements</p>	<p>Ongoing</p> <p>Renewal March 2006.</p> <p>Broker contract subject to review by Sept 2004.</p>	<p>Ongoing</p> <p>Renewed Insurance policies March 2006.</p> <p>Ongoing</p>	<p>Ongoing</p> <p>Renewal March 2007</p> <p>Ongoing</p>
<p>c. Ensure that services are delivered by trained people.</p>	<p>Draft People Management Strategy</p>			<p>Refer to Committee on 26 June 2006 and if appropriate implement actions</p>

Risk Management and Internal Control

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
c. Continued from previous section.	Workforce Development Plan Job desc./specifications			Approved April 2006. Implementation of action in plan. Ongoing
	Training plan	Corporate Training Plan Ongoing	Ongoing	Ongoing
	PDR	Ongoing	Updated to include management competencies	Ongoing
liP	Accreditation	Implementation of action plan continued.	Re-accreditation September 2006.	
d. Put in place effective arrangements for an objective review of risk management and internal control, including internal audit.	Performance Management system	Ongoing	Ongoing	Ongoing

Risk Management and Internal Control

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
	<p>Annual Audit Plan</p> <p>Business Continuity Plans</p> <p>Emergency Plan</p>	<p>Ongoing</p> <p>Plan to be finalised and tested</p> <p>Consider Civil Contingencies Act SLA with County</p>	<p>Agreed April 2006.</p> <p>Plan finalised but not tested.</p> <p>EP compliance ongoing as a result of SLA and countywide risk assessments</p>	<p>Risk to be reviewed and plan updated incorporating new strategy and risk based assessments</p> <p>Develop and undertake test of BCP.</p> <p>Ongoing</p>
<p>d. Continued from previous section.</p>	<p>Statement on Internal Control</p>	<p>Develop further for 04/05 Statement of Accounts</p>	<p>Produced for 04/05 Statement of Accounts</p>	<p>Produce for 05/06 Statement of Accounts</p>
<p>e. Maintain an objective and professional relationship with their external auditors and statutory inspectors.</p>	<p>Inspectorate reports</p>	<p>Planning report received March 2005</p>	<p>Planning report received March 2005</p>	<p>Action plan</p>

Risk Management and Internal Control

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
e. Continued from previous section.	<p>Managed Audit Status</p> <p>Annual Audit Letter and other</p>	<p>Ongoing</p> <p>Received and reported to members</p>	<p>Ongoing</p> <p>Capital programme monitored by Property Management Group (PMG). New processes introduced for capital monitoring. Improved spending position expected to be reported in June 2006.</p>	<p>Ongoing including Audit Commission review of Internal Audit function</p> <p>Review improvements required by Use of Resources Judgment.</p>
	<p>Audit reports</p> <p>Finalised Internal and external Audit Reports taken to Audit Sub-committee</p>	<p>26 internal audit reports to be produced. Quarterly monitoring of performance against targets. Internal Audit follow-up of recommendations reported to committee.</p>	<p>Achieved and ongoing</p>	<p>27 internal audit reports to be produced. Quarterly monitoring of performance against targets. Internal Audit follow-up of recommendations reported to committee.</p>

Risk Management and Internal Control

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
	Audit protocol	Ongoing	Ongoing	Ongoing
f. Publish on a timely basis, with the annual report, an objective, balanced and understandable statement of the authority's risk management and internal control mechanisms and their effectiveness in practice.	Statement of Accounts incorporating the Statement on Internal Control. Strategic Corporate Plan Annual Internal Audit Report	June 2004 cabinet Review & update for publication no later than 30.06.05, includes BVPP Ongoing	June 2004 cabinet Achieved Ongoing	Ongoing Review and update for publication no later than 30th June 2006 – includes BVPP Ongoing

Risk Management and Internal Control

Reference documents	Tools to assist local authorities for self assessment purposes
<ul style="list-style-type: none">• Treasury Management in Local Authorities: Code of Practice and Guide of Chief Finance Officers CIPFA (2001)• Internal Control – Guidance for Directors on the Combined Code (Turnbull report 1999)• Effective Internal Control – A Framework for Public Service Bodies CIPFA (1994)• Accounts and Audit Regulations• Audit Code of Practice• Role of Finance Director	

Standards of Conduct

The openness, integrity and accountability of individuals within Gedling Borough Council forms the cornerstone of effective corporate governance. The reputation of the authority depends on the standards of behaviour of everyone in it, whether members, employees or agents contracted to it.

Member and Senior Officers of Gedling Borough Council, therefore, will need to:

- Exercise leadership by conducting themselves as role models for others within the authority to follow.
- Define the standards of personal behaviour that are expected from members and staff and all those involved in service delivery and put in place arrangements to ensure:
 - Accountability, through establishing systems for investigating breaches and disciplinary problems and taking action where appropriate, including arrangements for redress
 - Effectiveness in practice through monitoring their compliance
 - That objectivity and impartiality are maintained in all relationships to demonstrate integrity
 - That such standards are documented and clearly understood to display openness and inclusivity and are reviewed on a regular basis to ensure that they are kept up to date.

Standards of Conduct

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
Balance of Power and Authority				
<p>a. Develop and adopt codes of conduct defining the standards of personal behaviour to which individual members, officers and agents of the authority are required to subscribe and put in place appropriate systems and processes to ensure that they are complied with.</p>	<p>Members/officers code of conduct</p> <p>Anti-fraud and corruption policy</p> <p>Complaints procedures</p> <p>Performance Management System</p> <p>Performance appraisal</p>	<p>Review Whistle Blowing Arrangements</p> <p>New system being developed and trialled in Housing</p> <p>Ongoing</p> <p>Ongoing</p>	<p>Reviewed Whistle Blowing Policy. Policy updated and made available on the intranet.</p> <p>New system introduced during 2005/06</p> <p>Ongoing</p> <p>Ongoing</p>	

Standards of Conduct

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
Balance of Power and Authority				
	Confidentiality Policy Hospitality & Gifts Register Interdepartmental relations protocol – Employee handbook Customer Charter	To be developed Monitoring In place In place	Draft policy for Supporting People developed. Monitored In place In place	Policy to be accredited by Sheltered housing Services. Monitored In place In place
b. Put in place arrangements to ensure that members and employees of the authority are not influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders and put in place appropriate processes to ensure that they continue to operate in practice.	Standing orders Code of Conduct Financial Regulations Politically Restricted Posts	Monitoring Ongoing	Monitoring Ongoing	Monitoring Ongoing
c. Put in place arrangements to	Codes of conduct	Ongoing.	Ongoing	Ongoing

Standards of Conduct

The local code should reflect the requirements to:	Source Documents /Processes or other means that demonstrate compliance.	Proposed actions for 2005/06	Out-turn for 2005/06	Proposed actions for 2006/07
Balance of Power and Authority				
ensure that their procedures and operations are designed in conformity with appropriate ethical standards and to monitor their continuing compliance in practice.				
d. Put in place arrangements for whistle blowing to which staff and all those contracting with the council have access.	Whistle blowing policy	Review current documentation 2005/06	Reviewed Whistle Blowing Policy. Policy updated and made available on the intranet.	Ongoing

Standards of Conduct

Reference documents	Tools to assist local authorities for self assessment purposes
<ul style="list-style-type: none">• Standards Committees: Strengthening Conduct in Local Government – The University of Birmingham School of Public Policy (1999)• Local Government Act 2000 & 2003• Standards Board Issues)• Internal Audit Code of Practice	

STRATEGIC RISK REGISTER REVIEW

AND ACTION PLAN

1. INTRODUCTION

- 1.1 In response to the CIPFA/SOLACE good practice guidance on Corporate Governance, Gedling undertook a review of Strategic Risks in 2003/04 that could impact on the business of the Authority.
- 1.2 The report in 2003 identified the work undertaken by the Risk Management Group and the Senior Management Team, and how compliance with the Corporate Governance requirements in relation to Risk management and Internal Control, were going to be evidenced.
- 1.3 The links between Risk Management and other activities such as the Emergency Plan, Business Continuity, Internal Audit, Health & Safety and Property Management ensure a pro-active approach to Risk Management throughout the Authority at all levels.

2. BACKGROUND

- 2.1 Following on from the Risk Profiling exercise in 2003, the senior management team have continued to review the authority's strategic risks and those risks identified within the previous review as requiring an action plan have also been reviewed. This review was undertaken to ascertain whether the recommended action plan had been completed and whether this had any affect on the potential impact or likelihood of those risks identified as Actionable Risks.
- 2.2 In addition to this all of the other risks identified were reviewed to ascertain whether the impact or likelihood of those risks had altered during the year.
- 2.3 This year the departmental operational risks were reviewed. This was undertaken to ascertain whether any of the high or monitored risks on the operational risk register were significant enough to affect the authority strategically.
- 2.4 Finally, the review considered and identified new risks for the Authority.
- 2.5 This review was undertaken by Senior Management Team on 16th May 2006 and was facilitated by the Head of Finance. A previous review, completed by the Manager of Resource Services, had taken place in October 2005
- 2.6 It is intended that future reviews will take place in September and March each year thereby informing the budget process and providing an annual position statement.

3. RESULTS FROM THE REVIEW 2006

3.1 Actionable Risks 2005/06

3.1.1 Five risks were identified in 2005 as requiring action these were:

Profile number 1 – Human Rights Act, Equal opportunities, DPA and other legislation.

Profile number 29 - Insurance costs and consultants

Profile number 47 - Crime and Disorder

Profile number 76 - Regionalisation

3.1.2 Some work had been undertaken in relation to all of the actionable risks. However, this had not resulted in all of them moving from high or monitored risk to managed or low priority review risks.

3.1.3 In relation to Profile number 1, the nature of this risk is that it will always remain a high risk. Legislation is always being amended or new legislation introduced and this is in addition to the legislation that is already in existence. The authority will always be required to keep up with the changes brought about through legislation.

However, the authority does take proactive steps to ensure compliance. Some of the more recent initiatives include:

- The Equalities group is operational.
- Corporate Monitoring under the Freedom of Information Act has been instigated.
- Training had been undertaken and given in relation to legislative changes

The result is that there is no change to the risk profile for this high risk (Probable & Major).

3.1.4 In relation to Profile number 29, all areas of insurance were renewed within existing terms due to the insurance market continuing to be more settled.

The review of Operational Risks was undertaken in September 2004 and an Operational Risk Register has been compiled, which departments review and a formal review will take place annually to inform the budget process. However, the Risk Management Strategy review has not been completed. It is anticipated that this task will be completed within 2006.

The result is that there is no change to the risk profile for this monitored risk (Probable & Major).

3.1.5 In relation to Profile number 47, Crime and Disorder remains a monitored risk for the authority, although it has no control over and can only influence through initiatives such as the Anti-Social Behaviour Co-ordinator, Neighbourhood Wardens and PCSOs. This risk will continue to be a priority of the Authority.

The result is that there is no change to the risk profile for this monitored risk (Probable & Major).

3.1.6 In relation to profile number 76, this continues to be monitored and reviewed having regard to articles and updates in Local Government publications.

3.2 Review Risks 2005/06

3.2.1 In 2005 the Authority's Strategic Risk register had a total of 99 risks identified. The remaining 95 risks when profiled were considered to be either Managed Risks or Low Priority Risks or cancelled.

3.2.2 As part of the review in 2006 it was necessary to review these risks to ascertain whether they still remained a risk to the Authority or if their profile had been affected during the year.

3.2.3 For the majority of risks there had been no change to their profile and these will continue to be reviewed twice yearly.

3.2.4 However, some did change as follows:

Risk profile number 15 is unlikely to occur at Gedling as the Authority is too small to attract PFI deals. This profile changes from possible catastrophic to almost never and major.

Risk profile number 38 has increased due to increased costs, fuel shortages and targets that we will have to achieve in the future. Change from possible and minor to probable and minor.

Risk profile number 50 has an increased impact and moves from possible and minor to possible and major. This affects the increased costs that are having to be accounted for within budgets and the MTFP.

Risk profile number 70 has an increased impact and moves from possible and minor to possible and major. This reflects the increased Terrorist activity within the country as a whole.

Risk profile number 78 becomes possible rather than probable because implementation is going relatively well; internal audit is included to ensure controls are appropriate, adequate and effective; assurance on data conversion will be provided.

Risk profile number 81 is no longer actionable.

Risk profile number 82 is no longer actionable.

Risk profile number 85 has been cancelled.

Risk profile number 86 has reduced in impact to minor and outstanding issues relate to online access and this is being progressed.

Risk profile number 87 has been cancelled.

3.2.5 Whilst some of the risks no longer exist for the Authority they will remain on the register should they need re-instating in the future (e.g. Local elections).

3.3 New Risks 2006/07

3.3.1 It is important that the Authority is aware of all of the Strategic Risks that it has to consider in operating an effective and efficient service. Therefore, the review also assessed whether there were any additional Strategic Risks that could affect the Authority's business in 2006/07.

3.3.2 The review identified 9 new Strategic Risks these were:

Profile number 98 -	Local Area Agreements
Profile number 99 -	Avian Flu Pandemic
Profile number 100-	Failure Of Hummingbird (formerly Valid) EDRMS
Profile number 101 -	Conurbation Area Agreement CAA
Profile number 102 -	LSVT
Profile number 103 -	Shared Services
Profile number 104 -	Disaster Recovery for ICT
Profile number 105 -	Teal Close Land Deals
Profile number 106 -	Supporting People Review

3.3.3 All of the Strategic Risks identified are summarised in Appendix 1. Those shown above in bold are profiled as Monitored Risks and an action plan has been produced for profile number 100. This action plan is detailed in section 4 of this report.

3.4 Operational Risks

3.4.1 During 2005 the departments undertook a risk profiling exercise of all Operational Risks. The results of this exercise were reviewed by Senior Management Team.

3.4.2 The review needed to ascertain whether any of the high risks identified were significant enough to have an impact on the Authority's Strategic operations.

3.4.3 No Operational Risks were identified that warranted being recorded within the Strategic Risk register. Some were identified as being elements of Strategic risk already recorded.

3.5 Risks Profiled

3.5.1 All of the strategic risks identified were profiled dependent on how likely and how frequently they could potentially impact upon the Authority's business. The table below shows how the risks are assessed and identified. Those identified as High Risk or Monitored risk are regarded as needing an action plan.

	No Impact	Minor	Major	Catastrophic
Frequent	LOW PRIORITY	Managed Risk	HIGH RISK	
Probable			Monitored Risk	HIGH RISK
Possible			Managed Risk	
Almost Never		LOW PRIORITY		

3.5.2 Appendix 2 shows the results of the review for each Strategic Risk. The first table shows the risks as they are within the Authority with the controls that are already in place. For comparative purposes the second table shows how the risks could impact upon the authority if there were no controls in place.

3.5.3 There will always remain some risks where it is unlikely that they will ever be controlled or eliminated (e.g. Virus/hackers and fraud). For these risks the Authority will have to remain aware of and do all that it can to minimise the likelihood of occurring.

4 ACTION PLANS FOR 2006/07

The following section details the action plans for those risks identified as either High Risk or Monitored Risk in the profiling exercise.

RISK MANAGEMENT STATEMENT A – HIGH RISK

4.1 PROFILE NUMBER 100

Risk: Failure of Hummingbird (formerly Valid) EDRMS.
Likelihood: Probable
Impact: Major

4.1.1 Action taken to address this high risk and controls in place:

- Agree exit strategy with Hummingbird
- Seek financial settlement
- Legal advice being considered

4.1.2 Potential Result

Disruption to Revenues and Benefits whilst the new system is implemented. Lost project management time that will not be recouped.

RISK MANAGEMENT STATEMENT B – MONITORED RISKS

4.2 PROFILE NUMBER 29

Risk: Insurance costs and consultants
Likelihood: Probable
Impact: Major

4.2.1 Action taken to address this risk and controls in place:

- Insurance renewal negotiations ensured that the Long Term Agreement was maintained and costs kept within the budgeted figures.
- Review of the Authority's Risk Management Strategy has been started and will be completed in 2005.
- Operational Risks at departmental level have been profiled in 2004/05 and will continue to be monitored and updated.
- Ongoing review of policies to ascertain whether efficiencies could be made by bringing in-house.
- Good professional communication with our insurers and brokers.
- Knowledge and understanding of the issues affecting the external insurance market.

4.2.2 Potential Result

It is anticipated that this risk could become a managed risk (Possible & Major).

4.3 PROFILE NUMBER 47

Risk: Crime & Disorder
Likelihood: Probable
Impact: Major

4.3.1 Action taken to address this risk and controls in place:

- Role of the Neighbourhood wardens and Police Support Officers
- Role of the Anti-Social Behaviour Co-ordinator
- Cabinet focus on neighbourhood work

4.3.2 Potential Result

It is not likely that the profile of this risk will ever change. It is a risk that the authority gives priority to and is embedded within its mission statement. However, it is also a risk where the authority has limited control and can only influence through the initiatives it undertakes. As such this will remain a monitored risk.

4.4 PROFILE NUMBER 76

Risk: Regionalisation
Likelihood: Probable
Impact: Major

4.4.1 Action taken to address this risk and controls in place:

- No action proposed, will continue to monitor and review annually.

4.4.2 Potential Result

The risk has now increased in likelihood from possible to probable following statements in the LGC, but the impact has not changed from being major.

4.5 PROFILE NUMBER 100

Risk: Failure of Hummingbird (formerly Valid) EDRMS
Likelihood: Probable
Impact: Major

4.5.1 Action taken to address this risk and controls in place:

- Negotiations taking place with Hummingbird to include how the product will be supported, if a new product is implemented.
- Financial settlement to be sought that will mitigate the costs of a new product.
- Legal advice sought on Contractual arrangements.

4.5.2 Potential Result

Disruption to Revenues and Benefits whilst the new system is implemented.
Lost project management time that will not be recouped.

5. RECOMMENDATION

Members are asked to note the contents of the report and the outcomes of the review. Members are also asked to approve the action plans detailed within section 4 of the report.

Appendix 1
SIGNIFICANT AND STRATEGIC RISKS IDENTIFIED

Legal

1. Human Rights Act, Equal Opp.s, DDA, Fol, DPA and other legislation
 2. Management of Statutory Functions
 3. New political arrangements (setting of tax)
 4. Members' awareness of new code of conduct and consequences
 5. Maladministration
 6. Quality of advice
 7. Case management
92. Decriminalisation of Parking Enforcement

Contractual

8. Partnerships with community
9. Absence of clear contract (non compliance with contract law)
10. Choice of contractor including reputation (changes etc)
11. Cost overruns
- ~~12. Reputation of contractor (changes etc)~~
13. Contractor insolvency & vetting
14. Reliance on one or more contractors
15. PFI/PPP etc

94. Cultural Change Management/Industrial Relations

98. Local Area Agreements

101. Conurbation Area Agreements

Technological

16. IT obsolescence
17. ICT keeping up with developments and change

- 18. Breakdown of communications (website developments and failures)
- 19. Customer expectations of websites – loss of customer focus
- 20. Loss of customer info (implementing new software – can we afford not to? Delivery)
- 21. Technology on equipment eg refuse freighters
- 22. Virus/hackers
- 23. Total reliance on IT – malfunctions and accuracy (IT crashers) Security of information and access
- 78. IT upgrade/developments
- 100. Failure of Valid EDRMS**
- 104. Disaster Recovery for ICT**

Financial

- 24. TFS reviews and government intervention/changing the rules
- 25. “Whole of government accounts” – timescale change. (Gearing effect on Council Tax (New rules for capital)
- 26. Investment Strategy
- 27. Actuarial valuation of county pension fund
- 28. Communicating change of funding strategy and linking to aims/objectives
- 29. Insurance costs and consultants (Market movements – all)
- 30. Staffing and cost changes
- 31. Failure of funding and funding bodies
- 32. Recruitment and retention “could be in all categories”
- 33. Fraud and internal control
- 34. Recognising ongoing project commitments
- 35. Processing of bills
- 79. Highways Agency

- 80. Government RSG significantly lower than anticipated
- 81. Car Park Charging
- 93. Licensing (resource implications)
- 95. Freedom of Information (resource implications)
- 102. LSVT**
- 103. Shared Services**
- 106. Supporting People Review**

Environmental

- 36. Climate change
- 37. Pollution – poacher and gamekeeper (Contaminated land and costs)
- 38. Energy and fuel consumption – efforts to reduce (Resources eg water)
- 39. Flooding
- 40. Methane
- 41. Asbestos in buildings
- ~~42. Land deals~~
- 43. Health in community, increasing responsibilities
- ~~44. Refugees~~
- 45. Quality of Housing Stock
- 46. War
- 47. Crime and Disorder
- 48. Emergency plans
- ~~49. Congestion charging – Nottingham~~
- 50. Waste management strategy and litter
- 51. Abandoned Vehicles
- ~~82. Countywide Waste Management Strategy – Local Implementation~~

- 91. Arnold Master Plan redevelopment
- 96. Civil Contingencies – Business Continuity for local businesses

99 Avian Flu pandemic

105 Teal Close land deal.

Customer/ Citizen

(Impact on Initiatives)

- 52. Public expectation – management of (Community partnerships) Crime and Disorder (Customer choice)
- 53. Community Education
- 54. Training of contractors/visitors procedures
- 55. Increased rights – Neighbourhood involvement
- 56. Protection of vulnerable people
- 57. First aid requirements of staff
- 58. Regional Resilience
- 83 Housing Stock Options – Implementation
- 84 ~~One Stop Shop~~

Reputation

- 59. Media relations, management and press image
- 60. County Council and Taxes
- 61. Accessibility to buildings and services
- 62. CPA and other inspections/results (Race relations/Equal Opps)
- 63. Death in community – alleged involvement of GBC
- 64. Professionalism – eg e-mail controls etc
- 65. “Badging” charter marks ISO, liP etc – loss of

66. Burials and cemeteries

Professional

- 67. Personal liability eg H&S, Corporate manslaughter – professional liability. (Recruitment and retention) (Training and monitoring) (Job Specs) (Advice to third parties including reliance and others' advice).
- 68. Front line standards of behaviour monitoring. (Community leadership) quality of info and understandable to public) (Vires issues).
- 85. ~~Changes to Senior Management Structure~~
- 86. Planning – standards
- 87. ~~Domiciliary Care~~
- 90. Efficiency Agenda, including partnership working
- 97. Civil Contingencies – internal environment

Physical

- 69. Civic Centre destroyed/not accessible and major staff casualties
- 70. Terrorism – threat of
- 71. Loss of non – IT info
- 72. Failure of H&S Systems

Others

- 73. ~~Local Plan~~

Political

- 74. ~~Local Election,- risk removed 2004~~
- 75. ~~Cost of re-run and Returning Officer responsibilities. – risk removed 2004~~
- 76. Regionalisation/ Public Service Restructuring
- 77. ~~Cabinet structure~~
- 88. Political Alliance
- 89. Capping

Risks Profiled

This table shows how the Senior Management Team has categorised the strategic risks of the Authority after considering the controls and processes that already exist.

	No impact	Minor	Major	Catastrophic
Frequent		43,51	1	
Probable		11, 27, 30, 38, 79, 85, 87, 92,	29, 47, 76, 100	
Possible	39,70	8,10,13,14,16, 17, 19, 21, 24, 26,28, 37, 41, 42, 45, 49, 52, 53, 54, 57, 59, 60, 61, 63, 64, 65, 66, 67, 68, 77, 81, 83, 84, 86, 89, 90, 93, 95, 98, 101,102,105, 106	3, 4, 6, 7, 9, 20, 25, 32, 44, 50, 55, 56, 70, 71, 72, 73, 78, 80, 82, 88, 91, 94, 96, 97, 99, 103,104,	22, 23, 33
Almost Never	12	5, 34, 35, 58	2, 15, 31, 40, 62, 69	18, 36, 46, 48,

The table below shows the risks as they were identified considering how the risks would impact if there were no controls and processes in place.

	No impact	Minor	Major	Catastrophic
Frequent		43,51	1,3,4,7,9, 16, 25,30, 37, 45, 47, 50, 55, 62, 72, 77, 81, 99	22, 23, 26, 33, 82
Probable		5, 11, 14, 52, 54, 84, 106	10, 27, 29, 34, 40, 41, 57, 67, 68, 78, 79, 80, 85, 89, 93, 94, 95, 96, 97, 100,102	6, 87
Possible	39,70	8,13,19,21,28 38,42,49,59, 60, 61, 63,64, 65, 66, 98, 101,105	24, 32, 44, 53, 56, 71, 73, 76, 83, 86, 88, 90, 91, 92, 95, 103,	2, 15, 18, 20, 104
Almost Never	12	58	31	36, 46, 48, 69

Gedling Borough Councils

Risk Classification Table

	Low Impact	Minor	Major	Catastrophic
Frequent	LOW PRIORITY	Managed Risk	HIGH RISK	
Probable			Monitored Risk	HIGH RISK
Possible		Managed Risk		
Almost Never		LOW PRIORITY		