

Strategic three-year plan by risk 2013-14 (Year 1) to 2015-16 (Year 3)

Risk Factor		Year	Auditor	Duration (Days)	Comments
1	Partnership Review / Annual Governance Statement	Annual	SJ	20	Review of Partnership arrangements. Is the partnership achieving what it set out to achieve. Allocation of cost and resources.
2	Annual Governance Evidence	Annual	SJ	10	To compile evidence to support the Annual Governance Statement.
3	Public Sector Internal Audit Standard	Annual	SJ	20	To evaluate the effectiveness of Internal Audit and that it complies with the standard.
4	International Auditing Standard	Annual	AK/JB	50	On behalf of the Audit Commission or their successors to undertake testing of the key controls on the main financial systems of the council.
5	Individual Service Risk Registers and Corporate Risk Register	Annual	SJ	10	To review the Risk Registers and individual Service Risk Registers to ascertain that all risks to the council have been identified and reported to the Corporate Governance & Audit Committee.
6	NFI	Annual	AK	20	To review the information from data matches which have been undertaken. And that appropriate action has been taken.
7	Internet & Email Monitoring	Annual	JB	5	Experience has shown by monitoring staff they are complying with the communications policy.
8	Performance Standards	Annual	AK/JB	13	Outturns with possible inclusion of targets and local indicators. Recent resource outlay due to incomplete information submitted by service areas. Testing the original source of the data for the original performance indicators.
9	Records Management/Data Quality	Annual	JB	10	That Data held is accurate and up to date and retention policy applied with.
10	Mileage	Annual	AK/JB	5	Mileage checks are undertaken on a quarterly basis. This is an area where the risk of error has decreased.
11	Quality Audits - Chichester Contract Services	Annual	SJ	20	To undertake Quality Audits across all services at the Depot in accordance with the ISO standard.
12	Service Reviews	Year 1	AK	15	To undertake an inspection of individual Service Reviews.
13	Reconciliations Review	Year 1	JB	10	To ensure that reconciliations are continued to be carried out.
14	Debt recovery Review	Year 1	AK	10	To ensure that debt is effectively managed.
15	S106 Review (Community Infrastructure Levy)	Year 1	SJ	10	To review S106 applications made in individual parishes and that a response has been sent to Development Management.
16	Security of Assets	Year 1	KM	15	Are assets protected and insurance adequate for the security. Security of council premises. Inspection regimes. Schedules and asset register list.
17	Safety Inspection - Allianz	Year 1	JB	20	That the council is maintaining its plant and machinery and that it accords with the requirement of the council's insurers.

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18	CDC Business Continuity	Year 1	KM	10	Services have business continuity plans in place and arrangements have been tested.
19	Emergency Planning	Year 1	KM	10	Verify that the appropriate plans are in place and tested where necessary for the district.
20	Data Protection/Freedom Of Information Review	Year 1	JB	15	Collating statistic and ensuring compliance with regulations including CoCo.
21	CPE/Car Parks	Year 1	KM	15	To ensure enforcement is being carried out in accordance with regulations.
22	Project Management	Year 1	AK	10	To check that PRINCE2 or similar methodologies are being employed to manage all projects.
23	Value for Money	Year 1	JB	10	To undertake a selection of Value for Money studies.
24	Rent Deposit Scheme Review	Year 1	KM	10	WRAP system. Review the system.
25	Housing Benefits and Council Tax Support	Year 1	JB	15	Benefits have a performance management risk and will be looked at on a regular basis.
26	Property/Estates and Shops	Year 1	KM	20	Industrial estates and shops, rent reviews, property portfolio managed effectively and inspection regimes. Review Income Management and Debt Recovery
27	Contracts	Year 1	AK	20	To review the contracts, and check whether the necessary paperwork is present, and that Standing Orders have been followed.
28	Pest Control	Year 2		20	Mileage, time management-rotas of work, record keeping-benchmarking, information given to public, security of chemicals, value for money, review contracts covering costs, lone working-chemicals in vans, notices of no value in vans. Performance related pay.
29	Budgetary Control	Year 2		15	To be reviewed under the new FMS system.
30	Trade Waste	Year 2		20	Key risks will be picked up as part of Reconciliation and Debt Recovery Reviews. Quality Audits carried out quarterly.
31	Members Services	Year 2		15	Appropriate records are held, that claims are made on time, the correct allowance is paid.
32	Customer Accounts (Debtors)	Year 2		15	Audit undertaken 2010/11.
33	Licensing	Year 2		15	Alcohol and Gambling.
34	Environmental Health (Food Safety) Review	Year 2		15	Audited externally by Food Safety Agency. Review procedures to ensure compliance with legislation
35	Economic Development	Year 2		15	Review governance arrangements
36	Community Wardens	Year 2		15	Health and Safety, lone working, safe guarding of assets, leased vans and vehicles, are they achieving their objectives, performance management? CRB Checks. Grant funding. Selsey Civic Warden Pilot currently undertaken.
37	Facilities Management/Caretaking	Year 2		20	Lone working, use of vehicles including drivers logs, out of hours-call outs. Track-It call analysis response times for requests. Security arrangements, are they responsible for escorting people out of the building. Reception, Caretakers, all buildings, fittings and fixtures.

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38	Private Hire and Taxis	Year 2		15	Public Safety, vehicle inspection regime and frequency and record keeping, identity checks. Costing and whether we are recovering costs.
39	Debt recovery	Year 2		20	All services follow the Councils Debt Recovery procedures.
40	Building Control	Year 2		15	Building Control to ensure that inspections are undertaken in a timely manner, that they are collecting the fees and that these are reconciled to the main accounting system, that revenue is being monitored.
41	Codes of Practice Members and Employees	Year 2		15	To ensure that staff and Councillors are complying with their codes of practice. Completing the Gifts and Hospitality registers in line with the Local Government Acts 1972 and 2000.
42	Disabled Facilities Grant	Year 2		15	To ensure that there are adequate controls in place for the allocation of Disabled Facilities Grants.
43	Fixed Asset System	Year 2		10	To review the Fixed Asset System and that it is accurate and up to date.
44	Council Tax	Year 2		15	Last audited 2011 - 2012
45	NNDR	Year 2		15	NNDR has been internally and externally audited on a regular basis.
46	Banking Arrangements	Year 3		20	Banking collection arrangements and procedures are in place.
47	Procurement	Year 2		10	That Contract Standing Orders are complied with
48	Land Charges	Year 2		15	Is the information accurate and reliable.
49	Museum	Year 2		25	To review the arrangement for income and visitor usage.
50	Public Relations/Complaints	Year 2		15	Corporate adherence to the complaints procedure, check that CRM are reporting them.
51	MOTs	Year 2		10	To verify DVLA procedures are complied with
52	Farmers Market	Year 2		15	Review governance arrangements
53	Sports Development	Year 2		15	Review governance arrangements
54	Payroll	Year 2		15	Review governance arrangements in light of new FMS
55	CCTV	Year 2		15	Data Protection. Freedom of information Coverage. Security.
56	CRB Checks	Year 2		10	To ensure compliance with employment regulations.
57	Westgate and Southbourne	Year 3		20	Review governance arrangements
58	Health & Safety Inspections	Year 3		10	Ensure inspection records are maintained for relevant services and that they are adequate.

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59	Income Management	Year 3		30	Review the income which is due to the Council. Are reconciliations undertaken. Need to ascertain the recovery arrangements.
60	Personnel	Year 3		15	To include recruitment and statistical data.
61	Community Careline	Year 3		15	A high staff turnover exists, and the system is becoming more electronically enabled with government targets. Review business plan.
62	Grants	Year 3		15	To review the Grants awarded by the Council and ensure respected paperwork been completed and is it reported to Committee
63	Investments	Year 3		15	To ensure governance arrangements are in place
64	Cemeteries	Year 3		10	Revenue, maintenance and health & safety are potential risks. The topple testing is a five year programme. Still not computerised and loss of key staff and knowledge, a risk.
65	Development Management	Year 3		15	To review the arrangements for the Development Management Team and arrangements with SDNP
66	Equalities	Year 3		10	Compliance with new legislation, impact assessment.
67	Customer Services Centre	Year 3		20	Review governance arrangements
68	Grounds Maintenance/Parks and Open Spaces	Year 3		15	Review governance arrangements
69	Westward House	Year 3		15	Review governance arrangements
70	Elections	Year 3		15	Review governance arrangements
71	Financial Systems	Year 2		20	Review governance arrangements
72	Business Improvement District	Year 3		10	Review governance arrangements
73	Energy Usage	Year 3		20	Review governance arrangements
74	Consultants Review	Year 3		10	Report due to CGAC. Review the use of Consultants within the council.
75	Choice based lettings	Year 3		25	Use of Locata system, Home Visits and Monthly Magazine
76	Planning Enforcement	Year 3		20	Fees and charges. Enforcement - consistency across the Council. Working relationship with South Downs National Park.
77	Reprographics	Year 3		15	Review governance arrangements