



**WATFORD
BOROUGH
COUNCIL**

AUDIT COMMITTEE

6 December 2018

7.00 pm

Town Hall, Watford

Contact

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For information about attending meetings please visit the [council's website](#).

Publication date: 28 November 2018

Committee Membership

Councillor D Scudder (Chair)
Councillor J Johnson (Vice-Chair)
Councillors A Khan, P Kloss and G Saffery

Agenda

Part A - Open to the Public

1. **Apologies for Absence/Committee Membership**
2. **Disclosure of Interests (if any)**
3. **Minutes**

The [minutes](#) of the meeting held on 20 September 2018 to be submitted and signed.

4. **Training/briefing: Statement of Accounts and Audit Committee's role**
5. **Corporate Risk Register and Corporate Risk Strategy (Pages 4 - 26)**

Report of the Head of Democracy and Governance

This report provides the latest Corporate Risk Register and Risk Strategy.

6. **Freedom of Information Act Requests 1 April 2018 to 30 September 2018**
(Pages 27 - 90)

Report of the Head of Democracy and Governance

This report provides details of the Freedom of Information requests received for the first half of 2018/19.

7. **Shared Internal Audit Service - Internal Audit Progress report (Pages 91 - 112)**

Report of the Shared Internal Audit Service (SIAS)

The report provides an update on SIAS's work and outstanding audit plan recommendations.

8. Internal Audit Recommendations update: Safeguarding 2015/16
(Pages 113 - 115)

Report of the Environmental Health and Licensing Section Head

This report provides an update on the progress in implementing the outstanding recommendations for the Safeguarding report.

9. Internal Audit Recommendations update: Tree Surveying 2016/17
(Pages 116 - 120)

Report of the Section Head of Parks, Open Spaces and Projects

This report provides an update on the progress in implementing the outstanding recommendations for the Tree Surveying report.

10. Internal Audit Recommendations update: Cyber Security 2017/18
(Pages 121 - 124)

Report of the ICT Section Head

This report provides an update on the progress in implementing the outstanding recommendations for the Cyber Security report.

11. Treasury Management mid-year report 2018/19 (Pages 125 - 130)

Report of the Head of Finance

This report gives details of the 2018/19 mid-year review of the Treasury Management function

12. Draft Capital Strategy 2019/20 (Pages 131 - 145)

Report of the Head of Finance

This report seeks comments from the Audit Committee on the draft capital strategy for 2019/20.

13. Audit Work Programme 2018/19 and 2019/20 (Pages 146 - 149)

Report of the Head of Finance

This report provides the committee with an update on the work programme.

Agenda Item 5

PART A

Report to: Audit Committee
Date of meeting: 6 December 2018
Report of: Head of Democracy and Governance
Title: Corporate Risk Register and Corporate Risk Strategy

1.0 Summary

- 1.1 Audit Committee is responsible for overseeing the management of risk within the Council. This includes oversight of the Corporate Risk Register
- 1.2 Following training at the last meeting the Committee asked for the Register and the Risk Strategy to be brought to this meeting.
- 1.3 The Corporate Risk Register is attached at appendix 1. Members will note that the Register shows the risk after mitigation measures. The Strategy is attached at appendix 2.

2.0 Risks

2.1

Nature of Risk	Consequence	Suggested Control Measures	Response <i>(Treat, tolerate, terminate, transfer)</i>	Risk Rating (the combination of severity and likelihood)
Leadership Team do not keep the Register under regular review	Important corporate risks are missed	The risk register is a standing item on Leadership Team on a quarterly basis	Treat	4

3.0 Recommendations

To note the Corporate Risk Register and Risk Strategy

Contact Officer:

For further information on this report please contact: Carol Chen, Head of Democracy and Governance
telephone extension: 8350 email: carol.chen@watford.gov.uk

4.0 Detailed proposal

- 4.1 In September 2017 Leadership Team revamped the Councils Corporate Risk Register. The register was simplified to encourage risk owners to monitor and fill it in and it now includes what Leadership Team considers to be the most serious risks/opportunities that the Council faces.
- 4.2 The register is now monitored quarterly by Leadership Team. It is attached at appendix 1. Members should note that appendix 1 shows a risk score after mitigation measures have been put in place.
- 4.3 Attached at appendix 2 is the risk strategy. The register reflects the amended risk categories in that strategy.
- 4.4 Members are asked to note the register and the strategy.

5.0 Implications**5.1 Financial**

- 5.1.1 The Shared Director of Finance comments that whilst there are no implications in this report there are implications within the various identified risks

5.2 Legal Issues (Monitoring Officer)

- 5.2.1 The Head of Democracy and Governance comments that it is part of demonstrating good governance to have a robust risk register and strategy.

Appendices

- Appendix 1 Corporate Risk Register
- Appendix 2 Risk Strategy

Background Papers

No papers were used in the preparation of this report.

File Reference

- None

Project	Corporate Risks
Risk Log Owner	Carol Chen

Ref	Risk description	Cause	Consequence	Response	Action agreed to respond / mitigate / control	Status	Date raised	Raised by	Risk Owner	CURRENT RISK ASSESSMENT			Action Taken
										Likelihood 1-4	Severity 1-4	Risk Score	
1	Election of a new mayor in 2018	Manifestos of mayoral candidates not yet published, therefore unclear what their objectives for the next 4 years are and whether they reflect the current direction of travel and financial constraints of the council. Establishing new working relations with a new mayor, future of the mayors office, future relations between the mayor and the rest of council. Potential for affecting relationships with partners and stakeholders.	Officers are unprepared when change takes effect in May. Relations between mayor and officers get off to a bad start and council business is stalled. Budget has to be adjusted and corporate plan revised. Mayor unable to deliver manifesto commitments.	Treat	Obtain mayoral manifestos as soon as published and begin to develop potential implementation plans. Meet all mayoral candidates to discuss how they would wish to operate their office and explain nature of responsibility of the role vis a vis the law and constitution. Have communication plan for staff and partners/stakeholders to prepare for the change, including understanding legal powers of the mayor.	closed	06/09/17		Carol Chen	3	2	6	Meetings taken place with all announced candidates. Keeping powder dry. Manifestos now published and on radar.
2	Brexit and Government failure to progress its other legislative programme whilst Brexit negotiations are taking place	The Council is left without certainty on a number of key potential government programmes such as NNDR retention, Welfare Benefit reforms and planning and is unable to have a robust MTFS and be confident that its Local Plan review will be passed by PINs. In addition any changes to the current free travel arrangements within the EU may see a change in the population, demographic and economic prosperity of the Town	Long term future funding from central government is unclear and worst case scenario assumptions may be required that could result in unnecessary service reduction. Developers take advantage of delays in implementing the Local Plan by seeking developments that are not in accordance with the councils policy aspirations. Town loses a percentage of its workforce, businesses unable to recruit and inward investment stops.	Treat	Already planning MTFS on assumption of not having full NNDR retention. Actively seeking ways to be more self sufficient by increasing income opportunities. Engagement with business on a regular basis to pick up employment trends. Work with partners like the College to skill up young people to be able to step into the jobs market.	Open	06/09/17		LT	3	3	9	
3	A breakdown in community cohesion within the Town and the ability to ensure our objectives meet the needs of our residents and businesses.	The census data tells us that the population of the borough continues to expand and we have a high proportion of migrants in the both from eastern Europe and the Asian sub continent. We are also receiving an influx of people displaced from London due to high house prices which is having a knock on effect on house prices in the Borough. A shortage of affordable homes, a diverse population and a constrained boundary may lead to civil unrest and a breakdown of community relations. The council may not be able to deliver the services the expanding population requires leading to a loss of satisfaction in council services.	Higher rates of hate crime and anti social behaviour, communities not engaging with the council or each other. Sections of communities leave the Borough. Borough gets bad reputation in the press that then discourages businesses from investing in the Town.	Treat	Good engagement by mayor and local politicians with communities. Working with LSP to understand our varied communities. Looking at reviewing our local plan policies and looking at partnerships to create more affordable homes.	Open	06/09/17		LT	2	3	6	

4	our major projects not being delivered on time and in budget	The Council has a number of major projects, some of which are directly within its control and some of which it has to rely on third parties. Failure to deliver these projects would affect the finances of the council and its ability to provide its statutory services, will affect the economic prosperity and well being of the Borough, this would have a knock on effect for the reputation of the council	The council will not have sufficient resources to provide statutory services. The council will not meet its 5 year land supply of housing. The council will not be able to engage with its customers in the way they would prefer. The Borough is not seen as a place for businesses to invest and the economic prosperity of the Town declines, leading to increased unemployment and homelessness and higher reliance on welfare benefits.	Treat / Transfer	Projects within the control of the council have good governance arrangements. Risks are regularly assessed by project boards and reported to PMB Watford 2020 has own programme board. Projects outside of the Councils control the council through its politicians and senior officers seek to lobby and influence decision makers. Regular engagement with businesses and the LSP. Making use of external funding opportunities where ever possible such as the LEP, HLF or other similar funding streams to help make projects viable and achievable.	Open	06/09/17		PMB	3	3	9	
5	Failure to have a suitably skilled workforce and the capacity to deliver the councils services and objectives	The council is unable to retain and recruit staff with the appropriate skills to deliver the councils objectives and that it does not have the correct number of staff to undertake and manage the work	Services are not delivered. Contracts are not managed more resources are spent on using external providers without appropriate management and oversight.	Treat	Robust people strategy in place with clear reward and recognition. Robust job evaluation scheme. Employee well being and work life balance understood. Regular PDR process. Robust recruitment process. Good prioritisation of corporate objectives.	Open	06/09/17		LT	3	4	12	Progress implementation of people strategy. Due to a particular pressue in project management capacity look at recruitment of graduates to 'grow our own' and to that end having a recruitment open day initiative.
6	unable to provide our statutory services at all times	The council is unable to fulfil its statutory responsibilities to its residents and businesses due to catastrophic service failure or as a result of a civil emergency	The council is unable to perform its statutory obligations, it fails its citizens and the government intervenes to run the services in its place. National media and government criticism. Major reputational damage and loss of trust and confidence in the council	Tolerate	Belong to Herts Resilience Partnership which supports the county response to civil emergencies. Keep emergency plan up to date. Encourage staff to volunteer to assist/look to change employment contracts to compel assistance. Developed relationships with partner agencies to also provide assistance.Undertake regular EP exercises. Keep Business Continuity Plans up to date and regularly tested. Statutory Service KPI's regularly monitored by LT.	Open	06/09/17		LT	3	4	12	
7	Decline in economic prosperity and vibrance of the borough	The council is unable to deliver an up to date and workable local plan due to the inability of the council and its neighbouring districts to cooperate on major planning policy requirements. There is insufficient funds to provide the necessary infrastructure to promote growth	Piecemeal inappropriate development in the Borough. Resident dissatisfaction, increased legal challenges to planning decisions with resultant expense. Businesses do not locate in the Borough, rise in house prices and unemployment, more homelessness, more congestion.	Treat	Good working relationships at officer level with neighbouring authorities and joint working already taking place. Good dialogue with the County Council and input into SW Herts Transport Strategy. Making use of external funds like the LEP to bring forward infrastructure projects, robust use of s106 for site specific infrastructure, like schools. MARF, Developers Forum. Core strategy in place	Open	06/09/17		PMB	2	3	6	

8	Having an insufficient supply of affordable homes to meet demand	The council is unable to fulfil its statutory duty towards homeless households by offering a sufficient supply of suitable affordable accommodation within the Borough. Unable to secure sufficient suitable affordable accommodation on private ly developed sites due to viability issues. Unable to source sufficient affordable accommodation in the private rented sector due to the difference between local housing allowance rates and private rental income.	More families are required to move considerable distances away from the Borough to resolve their housing needs, breaking their links with family, schools and work. Insufficient land supply to meet demand. More legal challenges against unfavourable decisions. Increased costs for finding temporary accommodation and legal fees.	Treat / Transfer	The council has set up a joint venture with WCHT to utilise both parties land to build affordable housing. Looking at underused garage sites to build temporary accommodation. Looking at existing assets and disposing of them to then use the funds to purchase better suited temporary accommodation. Working with selected private providers on a call off framework. Testing rigorously viability assessments from developers and using s106 for overage. Robust processes in place to ensure decision making is challenge proof.	closed	06/09/17		LT	3	3	9	Merged with risk 12 following review by LT 5.12.17
9	Failure to provide an optimum service for our residents by not looking proactively at all service delivery models.	Fail to make the most of opportunities to provide better more cost effective service delivery	Customer dissatisfaction with level of service provided. Increasing financial burden for the cost of services may result in cuts.	Treat	Already operate a number of different delivery models, from shared services to outsourcing, to supporting self service (third sector). Officers continue to look at best practice	Open	06/09/17		LT	2	2	4	
10	Failure to maintain our ambitious programme of delivery	Our ambitious programme exceeds our funding capacity. We do not receive external funding support for example from HCC and or the LEP to support infrastructure improvements to the Town	The Town will not benefit from improved facilities and infrastructure	Treat	Undertake a rigorous review of all our projects and funding streams and make appropriate adjustments	Open	06/09/17		LT	3	4	12	Will be reviewing all core funding and continuing dialogue with funding partners such as HCC and the LEP
11	Failure of Contract Management of Outsourced Services/Contractor insolvency and failure of management capacity	Failure of contracting partner to deliver required service to agreed specification. Contractor going into administration/liquidation. Failure of adequate contract monitoring. Failure of having appropriate contractual terms in place to remedy problems	Service delivery inadequate, loss of income, reputation affected, step in to deliver services directly.	Terminate	Robust procurement processes. External consultancy support used. Clear specifications and conditions. Contract monitoring officers and client teams and regular monitoring meetings in place. Legal conditions in contract. Full monitoring regime in place, and regular real time reporting procedures. Weekly / Monthly updates to review progress. Contract Management Forum established in Nov 2013. Developing corporate wide "Centre of Excellence" approach in contract management and Toolkit development. EU Directives complied with.	Open	06/09/17		LT	1	4	4	Contract and relationship Forum in place. Early instructions to legal to prepare contracts. PMB to monitor contract pipeline. Also regularly monitor financial health of companies we partner with or outsource to via Dunn and Bradstreet alerts and sharing intelligence via networks.

12	Lack of affordable housing in the Borough to meet demand, homelessness Increases, placing pressures upon temporary accommodation & bed and breakfast	homeless / vulnerable families and individuals have no accommodation or unsuitable accommodation creating health, wellbeing and safety issues The council is unable to fulfil its statutory duty towards homeless households by offering a sufficient supply of suitable affordable accommodation within the Borough. Unable to secure sufficient suitable affordable accommodation on private ly developed sites due to viability issues. Unable to source sufficient affordable accommodation in the private rented sector due to the difference between local housing allowance rates and private rental income.	Increased cost to the council in finding temporary accommodation. Increased legal challenges as homeless families placed outside of the Borough. Families split up and disconnected from their support networks, schools work	Treat	Joint venture with Watford Community Housing to increase amount of both temporary and affordable housing. Use of redundant garage sites to build temporary accommodation. Framework contract with accommodation providers to get better rates. Making better use of property assets to lever more affordable housing. Make use of commuted sums from developers for affordable housing and the councils own capital receipts	open	06/09/17		Nick Fenwick	3	4	12	Risk 8 merged following review by LT 5.12.17 Joint venture with WCH and WBC to provide 50 social rented properties. Report to cabinet September 2018 and then to Council. Grant funding to Homes England applied for and decision expected late Sept 2018. Latest position as at end of Aug is that TA accommodation needs reduced to 158. This is significant in the past year at 220+. WBC seem to be bucking the national trend.
13	Failure to ensure our ICT systems remain fit for purpose and services can maintain service delivery	Inadequate resources secured both in-house and external leading to a skill set gaps. Inadequate contract management, poor process & lack of procedures, poor governance. Service not fit for purpose. Failure of hardware and software.	Services unable to operate business as usual due to service interruption and down time. Security breaches leading to loss of information and reputation. Loss of income. High resident and customer dissatisfaction	Treat	ICT strategy being developed. Resources being spent to upgrade hardware. Stronger contract management and governance arrangements around new projects. Staff structure being implemented.	Open	06/09/17		LT	3	3	9	11/9/18 - Significant progress made in delivery of Core Infrastructure Transformation programme. New staff structure in place. ICT Strategy actions being delivered as planned (new WAN and Unified Communications on track for delivery in FY 18/19).
14	Revenues and Benefits Service remains fit for purpose	Productivity of the service slips, leading to delays in processing claims and recovering income. Loss of subsidy from DWP due to LA error; Failure to keep IT systems up to date: Relocating offices without a clear management plan	Claimants do not receive their benefits in a timely manner leading to arrears, evictions and more homelessness. Council experiences issues of cash flow due to income not being collected. Reputation of the Council damaged. Government intervention.	Treat	Monitoring of workload being constantly reviewed. External resource engaged to process routine change of circumstances.	Open	06/09/17		Jane Walker	2	3	6	
15	Failure to find a suitable site for a new cemetery	Insufficient space in the medium to long term to cope with the demand for burials.	Residents unable to bury their loved ones in the Borough.	Tolerate	Project brief being scoped for approval, including budget and timescale. Further details to follow, including project risk mitigation measures.	Open	06/09/17		Alan Gough	2	4	8	A task and finish group has been initiated to look at the options for delivery

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**WATFORD
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RISK MANAGEMENT STRATEGY

November 2017

Reviewed November 2018

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Risk Management Strategy

1.0 PURPOSE OF THE STRATEGY

- 1.1 Watford Borough Council is a complex organisation, delivering a range of priorities against a backdrop of financial constraint and the need to demonstrate continuous improvement, efficiency and customer focus. The management of risk, including opportunity risk, is essential to ensure the achievement of our objectives.
- 1.2 The effective management of risk is a key component to demonstrating good corporate governance.
- 1.3 A planned approach to the identification, analysis and mitigation of risk helps the council to plan and achieve a balance between being bold and progressive on the one hand and overly risk averse on the other.
- 1.4 The purpose of this strategy is to provide a framework for the effective management of risk within the council. By improving the management of risk, we will be better able to achieve our objectives and ensure best value in the services we provide.

2.0 OUR VISION AND PRIORITIES

- 2.1 To create a bold and progressive future for Watford.
- 2.2 **Priority 1** Identify ways to manage the Borough's housing needs
Priority 2 Champion smart growth and economic prosperity
Priority 3 Provide for our vulnerable and disadvantaged communities
Priority 4 Deliver a digital Watford to empower our community
Priority 5 Securing our own financial future

3.0 BACKGROUND

- 3.1 Risk management is essentially about good management practice and effective decision-making.
- 3.2 Risk management is embedded within both the council's project management and decision making processes.
- 3.3 This strategy shows how the council will continue to develop its risk management practices as part of its overall aim to demonstrate effective corporate governance and sound corporate management.

3.4 DEFINITIONS

Risk The effect of uncertainty on objectives. Effect can be positive as well as negative. Put simply, it is the combination of the likelihood of an event occurring and its consequences.

Risk Management The process that is used to manage risk.

Risk Appetite The amount and type of risk that an organisation is prepared to pursue, retain or take. This is not just concentrating on the negatives, but also the benefits that taking calculated risks can bring to achieving our priorities. Our risk appetite sets our attitude to risk taking.

Risk Tolerance The level of risk the council is prepared to expose itself to.

Control Measures The actions taken to mitigate the likelihood and impact of a risk.

4.0 RISK MANAGEMENT STRATEGY OBJECTIVES

4.1 The objectives of the council's risk management strategy are to:

- Embed risk management into the culture of the council.
- Maintain a robust and responsive risk management process as part of its governance arrangements. Anticipate and respond to changing social, environmental, economic and legislative requirements.
- Prevent injury, damage and losses and reduce the cost of risk.
- Raise awareness of and seek to continuously improve the capacity and capability of staff and partner organisations to manage risk.
- Encourage an open dialogue about risks that may affect outcomes and objectives.
- Encourage responsible risk taking in response to opportunities and challenges, based around a clearly articulated statement of risk appetite.

4.2 Good risk management is the key to the council achieving all of its objectives.

4.3 It is also a legislative requirement. The Accounts and Audit Regulations 2006 require the council to publish an Annual Governance Statement with the Annual Accounts. This includes its arrangements for the management of risk.

4.4 The objectives of the Risk Management Strategy will be achieved by:

- Establishing clear roles, responsibilities and reporting lines within the council for risk management.
- Enabling managers to demonstrate that risk assessment and management is taking place.

- Providing opportunities for shared learning on risk management across the council.
- Providing a means for identifying and prioritising risk areas.
- Reinforcing the importance of effective risk management as part of the everyday work of employees.
- Incorporating risk management considerations into reviews.
- Incorporating risk management into the council's corporate, financial and service planning processes.
- Reinforcing the importance of risk management as part of the council's project management, performance management and procurement processes.
- Monitoring arrangements on an ongoing basis.

5.0 KEY FEATURES OF THE RISK MANAGEMENT FRAMEWORK

- 5.1 The risk management process requires the identification, evaluation and ongoing management of risks with the aim of reducing them to an acceptable level where possible. Not all risks can be mitigated to an acceptable level, in which case the aim is to ensure that controls are as robust as possible and that regular monitoring takes place. It is also important to ensure any control measures are proportionate to the risk they are intending to mitigate.
- 5.2 Service and project managers are responsible for identifying risk on an ongoing basis and for maintaining and reviewing Service and Project Risk Registers. The requirement to consider risk is also included in reports to committees, portfolio holders and officers taking delegated decisions.
- 5.3 The council has a corporate risk register that reflects the high level strategic and operational risks that affect the council as a whole.
- 5.4 The cycle of risk management involves a number of key stages which are outlined below. The scoring and recording of risk is shown in more detail in Appendix A.

5.5 Stage 1: Identify the Risks

Identification of the risks or barriers to achieving the objectives through:

- Specifying the strategic risks to which the authority is exposed in meeting its corporate objectives.
- Creating and maintaining a corporate risk register, including a list of key strategic and operational risks to the organisation.
- Identifying and recording operational risks in service plans.
- Identifying and recording project risks within project risk registers.
- Identifying and recording partnership risks within partnership risk registers.

- Including risks affecting the achievement of objectives in the risk management section of all committee reports.

5.6 Stage 2: Assess and Score the Risks

Original Score

Having identified areas of potential risk, these are then analysed with the use of a risk matrix to give an assessment of impact and likelihood and an overall score for the risk without any mitigating controls, i.e. the **inherent risk** score.

Likelihood Very Likely ----- Remote	Low 4	High 8	Very High 12	Unacceptable 16
	Low 3	Medium 6	High 9	Very High 12
	Low 2	Low 4	Medium 6	High 8
	Low 1	Low 2	Low 3	Low 4
	Impact Low -----> Unacceptable			

Current Score

Having evaluated the risk without controls in place, list the key controls / actions that will reduce the risk of non-achievement. Re-evaluate using the risk matrix to arrive at the '**mitigated**' risk score.

This whole risk process records the controls that are required to be put in place, including time scales, in order to reduce the likelihood of the risk occurring and the impact upon council objectives and will include such actions as:

Tolerate	<p>The council may tolerate a risk where:</p> <ul style="list-style-type: none"> • The risk is effectively mitigated by internal controls, even if it is high • The risk cannot be mitigated cost effectively • The risk opens up greater benefits. <p>These risks must be monitored and contingency plans should be put in place in case the risks occur.</p>
Treat	<p>The purpose of treating a risk is to continue with the activity which gives rise to the risk, but to bring the risk to an acceptable level by taking action to control it through either containment actions (these lessen the likelihood or consequence of a risk and are applied before the risk materialises) or, contingency actions (these are put into action after the risk has happened, thus reducing the impact. These must be pre-planned).</p>
Terminate	<p>Doing things differently and therefore removing the risk. This is particularly important in terms of project risk. This may be difficult to achieve with the council's strategic risks.</p>
Transfer	<p>Transferring some aspects of the risk to a third party, for example by insurance or paying a third party to take the risk.</p>

For positive risks

The suggested actions for opportunities, in contrast to the ones for negative risks, are:

Enhance	Take actions to increase the likelihood and / or impact of the opportunity
Exploit	Take actions to ensure the opportunity will happen and the impact will be realised
Share	With a partner, supplier, etc and in so doing, share the use of resources, technology, etc.
Reject	Take no action

5.7 Stage 3: Recording the Risks

Each risk needs to be allocated an accountable risk owner to take responsibility for managing the risk, ensuring controls remain effective and actions are taken.

5.8 Stage 4: Monitoring and reporting

Depending on the risk score, a risk is ascribed the status of red, amber or green. Risks scoring 9 or above after mitigation must be recorded and actively monitored either in the project risk register, service register if related to a service specific operational risk or in the corporate risk register if strategic. Any risks of 12-16 should be brought to the attention of Leadership Team for quarterly monitoring.

All service departmental management teams should review their service risk registers at least quarterly. All project managers should review their project risk registers at every project board meeting.

The corporate risk register will be reported at least annually to [Audit Committee](#).

A Portfolio Holder will take specific responsibility to act as risk champion. The template for recording corporate, service and project risks is on the corporate drive (R: Drive).

6.0 RISK APPETITE AND TOLERANCE

- 6.1 Risk management is not entirely focussed on risk avoidance. The Council recognises that calculated, responsible and informed risk is necessary if it is to innovate and ensure value for money. The risk management process therefore concentrates on the management of an acceptable level of risk.
- 6.2 Risk appetite is defined within BS31100 as 'the amount of risk that an organisation is prepared to seek, accept or tolerate'.
- 6.3 Risk is inherent in every decision we make and we need to recognise that in taking such decisions we need to have articulated a level of risk that we are willing to take in order to reap positive benefits, whilst not over-exposing the council to negative consequences.
- 6.4 Risk appetites exist on a scale of risk averse at one end, to risk hungry at the other. In the former position, risk is actively avoided and this may be appropriate for activities where safe options are required, but equally it may stifle innovation. In the latter position, the organisation will adopt more innovative approaches, which may offer greater long term benefits, but which have a higher level of inherent risk to them.
- 6.5 Risk appetite is not a 'one size fits all' statement. The Council's risk appetite will vary between types of risk and also between services.
- 6.6 The matrix below is designed as a tool for managers to use as part of their project evaluation and decision-making processes so that they may be clearer as to the levels of risk the council is prepared to take, accept or tolerate.
- 6.7 Having a clear risk appetite process has several benefits:
 - It can be seen where a risk might be being over managed or an opportunity under exploited.
 - Differences between risk appetite and the level of control in place can be addressed by refocussing control in priority areas.

- The council is clear in its communications about the levels of risk it is prepared to retain after having applied control and risk mitigation actions.
- Decisions can be more focussed.

The table below sets out the council's risk appetite.

Likelihood	4 Very likely (>90%)	4	8	12	16
	3 Likely (21-89%)	3	6	9	12
	2 Unlikely (6-20%)	2	4	6	8
	1 Remote (<5%)	1	2	3	4
		1 Low	2 Medium	3 High	4 Unacceptable
	Impact				

The aim of risk management should be to bring risks as close beneath the risk appetite line (shown as a thick black line above) as possible, in other words applying enough control to manage the risk down to an acceptable level, without either over or under controlling it.

Risk Appetite Matrix

	1 Averse	2 Cautious	3 Open	4 Hungry
	Avoidance of risk and uncertainty is a key driver in decision making	There is a general preference for safe options that have a low degree of inherent risk and may only have limited potential for reward	All potential options are considered and the decision will be the course of action that is likely to result in successful delivery and an acceptable level of reward – which will include value for money	Eager to innovate and explore novel options that offer a potentially higher level of reward, but with a higher level of inherent risk
Risk category	Examples of behaviours when taking decisions			
Reputation	Minimal tolerance of any activity that could lead to press scrutiny of the council	Tolerance is limited to decisions where there is little chance of significant reputational repercussions for the council should there be a failure	Appetite to take decisions where there is a potential to expose the council to scrutiny but only if appropriate measures have been taken to minimise exposure	Appetite to take decisions that are likely to bring scrutiny of the council but the potential benefits outweigh the risks
Operational & Policy Delivery	Defensive approach which aims to defend or protect rather than create or innovate. Tight management controls and oversight with limited devolved decision. General avoidance of system or technological developments	Tendency to stick to the status quo with innovation avoided unless necessary. Decision making generally with senior management. Systems/technology developments are limited to protection of current operations.	Innovation is supported, with demonstrable improvements in management control. Systems and technological developments are considered to enable operational delivery. Responsibility for non-critical decisions may be devolved.	Innovation is pursued – there is a desire to challenge current working practices. New technologies are viewed as a means of improving operational delivery. Management is by trust rather than tight control and authority is devolved.

7.0 TYPES OF RISK

7.1 Categories of risk identified by the council are as follows:

- Reputation
- Operational and Policy Delivery
- Financial
- Legal and Regulatory Compliance

8.0 IDENTIFICATION OF RISKS WITHIN COMMITTEE REPORTS

8.1 Decisions should be recorded by the author of the report in the section “Potential Risks” as follows:

Nature of Risk	Consequence	Suggested Control Measures	Response (<i>treat, tolerate, terminate, transfer</i>)	Risk Rating (<i>combination of severity and likelihood</i>)

- If any of the risks after control measures have been put in place score 9, 12 or 16, explain in the body of the report why you are recommending to the decision maker that the risk should be tolerated, or how it is intended to transfer the risk.
- For all risks, explain what you will be doing to keep the risks under review and at what point you might be suggesting termination.
- For risks with scores of 9 or more after control measures are in place, ensure they are either recorded in your service risk register or project risk register and flag them for consideration by leadership team to be placed in the corporate risk register.

9.0 ROLES AND RESPONSIBILITIES

9.1 The roles and responsibilities of all those involved in the risk management process can be summarised as follows:

	Role
Managing Director / Elected Mayor	<ul style="list-style-type: none">• Leads on the wider corporate governance agenda, of which risk management is a part.• Signs off the annual Governance and Assurance Statements.• Ensures that risks are fully considered in all strategic decision making and that the risk management strategy helps the council to achieve its objectives and protection of its assets.

Head of Democracy & Governance	<ul style="list-style-type: none"> • Lead officer for risk management. • Owner of risk management strategy. • Chairs Corporate Risk Management and Business Continuity Steering Group.
Cabinet / Leadership Team	<ul style="list-style-type: none"> • Ensures the council manages risk effectively through the development of a comprehensive risk management strategy. • Monitors progress against strategic and cross-cutting risk action plans. • Attends risk management training as appropriate. • Portfolio Holder acts as Risk Champion.
Audit Committee	<ul style="list-style-type: none"> • Considers and approves the council's corporate risk management strategy. • Reviews annually the council's corporate risk register. • Attends risk management training as appropriate. • Collective responsibility to understand the strategic risks that the authority faces and to oversee the effective management of these risks by officers. • Monitors the effectiveness of the authority's risk management arrangements. • Seeks assurances that action is being taken on risk related issues identified by auditors and inspectors. • Be satisfied that the authority's Annual Governance Statement including the assurance statement properly reflect the risk environment and any actions required to improve it.
All members	<ul style="list-style-type: none"> • Responsibility to understand the strategic risks the authority faces, to oversee the effective management of these risks by officers • Ensure that all identified risks have been considered in decision-making • Seek clarification from Portfolio Holders if risks are not specifically shown in report • Use the corporate risk register to help select items for scrutiny reviews.
Service Managers	<ul style="list-style-type: none"> • Ensure the council manages risk effectively in each service within the agreed corporate strategy. • Attend risk management training as appropriate. • Cascade the principles of good risk management to their sections, report potential strategic risks to their management team and manage all the risks associated with their service. • Ensure that risks are fully considered in the decision making process. • Ensure that risks are reviewed on a regular basis but quarterly as a minimum. • Ensure that risks are managed appropriately in any projects and partnerships that they are responsible for or are involved with. • Ensure that any policies or procedures for which they are

	responsible make the appropriate linkages to risk management.
Insurance Officer	<ul style="list-style-type: none"> • Day to day management of the insurance function, including administration of claims. • Monitors claims experience and provides relevant data to service managers in order to reduce risk and ensure that claims experience levels are minimised.
Project managers and managers of Partnerships	<ul style="list-style-type: none"> • Use the project risk register template to identify and manage their risks. • Report their risks to the appropriate partnership/project board on a regular basis. • Ensure that their risks are included in the appropriate risk register.
Employees and volunteers	<ul style="list-style-type: none"> • Manage risk effectively in their job. • Attend risk management training as appropriate.

10.0 BUSINESS CONTINUITY PLANNING

10.1 Business Continuity Planning is integral to risk management and is a process to ensure continuity of service delivery following an unplanned disruption to normal working. To ensure that the organisation is prepared, a Business Continuity Plan (BCP) is prepared.

10.2 A BCP will include the following elements:

- Identification of business critical systems, e.g. payment of benefits, housing the homeless.
- Details of alternative arrangements for short-term, medium and long-term continuity of service.
- Details of key contacts.
- Details of alternative accommodation and offsite ICT arrangements.

10.3 Information on Business Continuity Planning is contained on the intranet under the risk management section.

10.4 Business Continuity Plans should be tested periodically and a simulated exercise to test awareness should be held annually.

11.0 FURTHER ADVICE AND GUIDANCE

11.1 Further advice on risk management can be obtained from:

- Any member of Leadership Team.
- By attendance at risk management training sessions (contact Learning and Development to express your interest).
- By reference to the risk management e-learning training module on the intranet under “management competencies”.

SCORING RISK

The impact and likelihood of any risk is evaluated on a scale of 1 – 4, with the product of the two representing the risk score.

Likelihood Very Likely ----- Remote	Low 4	High 8	Very High 12	Unacceptable 16
	Low 3	Medium 6	High 9	Very High 12
	Low 2	Low 4	Medium 6	High 8
	Low 1	Low 2	Low 3	Low 4
	Impact Low -----> Unacceptable			

The interpretation of the scores is as follows:

Impact: Rated 1 – 4

1. Low / Negligible Impact e.g.
 - Minor service disruption/short term inconvenience
 - Financial loss under £25,000
 - Isolated service user complaints
 - Failure to achieve full objective is of minor consequence
2. Medium Impact e.g.
 - Service disruption
 - Minimal risk of injury to providers/customers
 - Financial loss between £25,000 and £100,000
 - Adverse local media coverage/lots of service user complaints
 - Failure to achieve full objective is significant

3. High Impact e.g.

- Significant service disruption
- Major injury or ill health epidemic
- Financial loss in excess of £100,000
- Adverse national media coverage
- Failure to achieve objective is unacceptable

4. Extreme / Catastrophic Impact e.g.

- Total service loss for a significant period
- Fatality to customers/employees or any other person
- Financial loss in excess of £500,000
- Adverse local media coverage/lots of service user complaints
- Objective has unanticipated catastrophic consequences

Likelihood: Rated 1 – 4

1. Unlikely/rarely happens
2. Moderate chance/could happen
3. Likely
4. Almost certain

Overall Risk Score

The overall risk score can be interpreted as follows:

Overall Risk Score	
16	Unacceptable – if risk cannot be mitigated, consider stopping project
12	Very High – risk must be reduced through planned actions
8 – 9	High risk – take further action to manage the risk and reduce its impact and likelihood
6	Medium risk – consider further action
1 – 4	Low risk – monitor to ensure it remains low

PART A

Report to: Audit Committee
Date of meeting: 6 December 2018
Report of: Head of Democracy and Governance
Title: Freedom of Information Act Requests 1 April 2018 to 30 September 2018

1.0 Summary

- 1.1 Between 1 April 2018 and 30 September 2018 the Council received 391 Freedom of Information Act requests. A spreadsheet detailing the requests received is attached as Appendix 1.

2.0 Risks

2.1

Nature of Risk	Consequence	Suggested Control Measures	Response <i>(Treat, tolerate, terminate, transfer)</i>	Risk Rating (the combination of severity and likelihood)
That the request is not replied to within 20 working days of receipt	The council is in breach of the provisions of the Act and a complaint could be made to the Information Commissioner by the requestor	The requests are centrally monitored	Treat	4

3.0 **Recommendations**

That the report be noted.

Contact Officer:

For further information on this report please contact: Carol Chen, Head of Democracy and Governance
telephone extension:8350 email: carol.chen@watford.gov.uk

4.0 **Detailed proposal**

- 4.1 The Freedom of Information Act 2000 came fully into force on 1st January 2005. As a public authority we are obliged to answer written requests for information under the Act within 20 working days
- 4.2 This report covers the periods 1 April 2018 to 30 September 2018.
- 4.3 In this period the Council recorded receiving 391 requests for information under the Act of those 61 were replied to outside of the statutory 20 working days and 30 were not replied to at all. The number of requests is 45 higher than October 2017 to March 2018 figures. Also the number of those not replied to is double that of the last half year.
- 4.4 The requests have been varied. Appendix 1 gives a brief summary of each request. The spreadsheet also shows requests where the information is held by others rather than the Council. Following a recommendation from internal audit Environmental Information Act requests are now shown on the attached Appendix separately.
- 4.5 In view of the high number of non replies services have been reminded of their obligations under the Act.

5.0 **Implications**

5.1 **Financial**

- 5.1.1 The Shared Director of Finance comments that that this report indicates that information is found using existing staff resources. If, in the future, the requests increase in number and/or complexity then it may become necessary to review this situation.

5.2 **Legal Issues** (Monitoring Officer)

5.2.1 The Head of Democracy and Governance comments that there are no legal implications in this report

5.3 **Equalities/Human Rights**

5.3.1 No implications

5.4 **Staffing Issues**

5.4.1 Replies are dealt with by individual services and monitored by customer services.

Appendices

- Appendix 1 FOI requests 1 April 2018 to 30 September 2018

Background Papers

No papers were used in the preparation of this report.

File Reference

None

FOI Report Data

Requests Received 1st April 2018 - 30th September 2018

Total 3

SERVICE	REASON FOR REQUEST	DATE RECEIVED	DUE DATE	DATE RESPONDED	WITHIN 20 DAYS (Y/N)	Information sent Yes/No/Partial	Request Extension Y/N	Customer Advised on Alternative Location of Information? (Yes/No)	Individual Organisation Media
CORPORATE STRATEGY & COMMUNICATIONS	I would like information on the plans for Watford Indoor Bowls club at Woodside, which I believe you want to close to open a new family facility.	15.04.18	14.05.18	N	N	N	N	N	Individual
CORPORATE STRATEGY & COMMUNICATIONS	What was the total cost of award ceremonies from 2015/16 to 2017/18	06.06.18	04.07.18	N	N	N	N	N	Organisation
CORPORATE STRATEGY & COMMUNICATIONS	Financial information relating to Interpreting services	26.07.18	23.08.18	02.08.18	Y	Y	N	N	Individual
Total 3									

FOI Report Data

Requests Received 1st April 2018 - 30th September 2018

Total 90

SERVICE	REASON FOR REQUEST	DATE RECEIVED	DUE DATE	DATE RESPONDED	WITHIN 20 DAYS (Y/N)	Information sent Yes/No/Partial	Request Extension Y/N	Customer Advised on Alternative Location of Information? (Yes/No)	Individual Organisation Media
COMMUNITY & ENVIRONMENTAL SERVICES	Please provide the estimated number or range of shisha cafes known as of January 2017&2018. How many prosecutions have been made for violations of the smoke free law since its implementation on 1/7/07	05.04.18	03.05.18	N	N	N	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Please provide make/model/licence to and from of all vehicles registered as a hackney carriage or for private hire from 21/11/17 to 31/03/18	06.04.18	04.05.18	20.04.18	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	For the last 12 month period (please indicate dates) company names and where possible levels of monies spent (on each supplier) for the provision of logistics/transport/fleet services rendered to the council	06.04.18	04.05.18	06.04.18	Y	Y	N	N	Individual

COMMUNITY & ENVIRONMENTAL SERVICES	If we have a licensing scheme in place for private sector landlords, please list the types of licence you issue e.g. mandatory, additional or selective.	11.04.18	09.05.18	03.05.18	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Please provide me with the number of cases brought in your local authority for offences in relation to licensing of HMO's, overcrowding.	12.04.18	11.05.18	02.05.18	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	In each of the following periods how many private landlord licensing offences did you record and how much did you raise in fines from Private landlord licensing offences. From 2015/16 - 2017/18	12.04.18	11.05.18	03.05.18	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	How many requests to remove syringes has your council received in the last 3 years.	12.04.18	11.05.18	25.04.18	Y	Y	N	N	Media
COMMUNITY & ENVIRONMENTAL SERVICES	Please tell me the average cost for a public health burial funeral in the financial years of 2015/16 - 2017/18	12.04.18	11.05.18	20.04.18	Y	Y	N	N	Media
COMMUNITY & ENVIRONMENTAL SERVICES	Public Health Funeral Information	16.04.18	15.05.18	16.04.18	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	Can I request the latest and full health/hygiene inspection reports carried out by the council at Watford FC Stadium	17.04.18	16.05.18	15.05.18	Y	Y	N	N	Media

COMMUNITY & ENVIRONMENTAL SERVICES	How often is household waste collected in your authority.	25.04.18	24.05.18	27.04.18	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	Freedom of information request regarding Zoo Licencing Act	27.04.18	29.05.18	02.05.18	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Public Health Funeral Information	27.04.18	29.05.18	01.05.18	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	Do you charge residents to dispose of garden waste as part of the regular doorstep collection of household waste and recyclables.	27.04.18	29.05.18	09.05.18	Y	Y	N	N	Media
COMMUNITY & ENVIRONMENTAL SERVICES	For each of the council's public leisure centres, sports centres, swimming pools or lidos could you please state for the number of users in that year, whether the changing facilities are single-sex or unisex, number of complaints of sexual misconduct where police were involved	30.04.18	30.05.18	10.05.18	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	Public Health Funeral Information	30.04.18	30.05.18	01.05.18	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Freedom of information request - Primate Licensing 2018	01.05.18	31.05.18	08.05.18	Y	Y	N	N	

COMMUNITY & ENVIRONMENTAL SERVICES	What are the terms of the contract between WBC and SLM in relation to fire safety.	02.05.18	01.06.18	30.05.18	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	FOI request in relation to your council's compliance or otherwise with the government's statutory guidance on implementation of S165-167 of the equality act relating to Taxi Services for wheelchair users	03.05.18	04.06.18	18.05.18	Y	Y	N		Individual
COMMUNITY & ENVIRONMENTAL SERVICES	Level of enforcement action taken against private landlords between 2012 and 2017. Number of complaints received, HHSRS inspections, hazard awareness notices issued.	03.05.18	04.06.18/THEY DON'T NEED A RESPONSE UNTIL 3/7/18	25.06.18	N/A	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Public Spaces Protection orders - a list of the type of PSPO currently active at the council	07.05.18	05.06.18	N	N	N	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	Public Health Funeral Information	08.05.18	06.06.18	09.05.18	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	Public Spaces Protection orders relating to dog ownership does your council currently have in place	10.05.18	08.06.18	24.05.18	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	The number of applications to the council for pest control in each postcode area since 2016.	14.05.18	12.06.18	12.06.18	Y	Y	N	N	Media

COMMUNITY & ENVIRONMENTAL SERVICES	Public Health Funeral Information	15.05.18	13.06.18	16.05.18	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	Public Space Protection Orders	15.05.18	13.06.18	12.06.18	Y	Y	N	N	Media
COMMUNITY & ENVIRONMENTAL SERVICES	Please can you provide the number of unauthorised encampments that have occurred in your administrative area since 2016.	25.05.18	25.06.18	25.06.18	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Requesting information on Animal Rescue Centres	29.05.18	26.06.18	26.06.18	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	How many museums does your council run, how many items are there in your museums' collections & what is their combined value	30.05.18	27.06.18	20.06.18	Y	Y	N	N	Media
COMMUNITY & ENVIRONMENTAL SERVICES	How many HMO licences were active within your local authority area from 2013 to present	30.05.18	27.06.18	25.06.18	Y	Y	N	N	Media
COMMUNITY & ENVIRONMENTAL SERVICES	Public Health Funeral Information	30.05.18	27.06.18	31.05.18	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	Does your authority have any jurisdiction regarding HMO's. Do we charge for the provision of a licence?	04.06.18	02.07.18	25.06.18	Y	Y	N	N	Individual

COMMUNITY & ENVIRONMENTAL SERVICES	I would like to request a copy of registered landlords including landlords with houses of multiple occupation within Watford Borough Council.	04.06.18	02.07.18	18.06.18	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	Cassiobury Park car park - filming - how many times they have hired out the public car park and what funds they have received from this. Where is the money going.	06.06.18	04.07.18	06.06.18	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	How many reports have you received in relation to the suspected illegal importation of puppies.	06.06.18	04.07.18	15.06.18	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Has your authority issued any Dangerous Wild Animal Act Licenses during the last 10 years.	08.06.18	06.07.18	12.06.18	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Do you offer a pest control service to the public and if so is the service delivered in-house.	12.06.18	10.07.18	03.07.18	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Public Health Funeral Information	15.06.18	13.07.18	21.06.18	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Does your council collect domestic food waste separately or with other waste e.g. garden	19.06.18	17.06.18	22.06.18	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	from 2012 to 2017 how many FPN,s were issued for littering, of these how many paid the fine, and how many went to court?	22.06.18	20.07.18	requested again on 29.8.18 and responded on 30.08.18	N	Y	N	N	Media

COMMUNITY & ENVIRONMENTAL SERVICES	Please send me information on The House in Multiple Occupancy Owners/Licence Holders and their managers in the Watford Council	28.06.18	26.07.18	16.07.18	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Does the council undertake gully cleaning with direct labour or through a contractor?	29.06.18	27.07.18	16.07.18	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	What prevent projects have been confirmed to deliver in your district borough between 2018 and 19 as part of the government's counter-terrorism strategy	29.06.18	27.07.18	09.07.18	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Public Health Funeral Information	29.06.18	27.07.18	04.07.18	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	Could you please provide the name address and contact details for any and all community centres within your authority's area	01.07.18	27.07.18	10.07.18	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	The amount of Waste local authorities collected in tonnes, broken down by recycling and non-recycling. If the local authority exported waste to China from 2015 to 2017.	02.07.18	30.07.18	18.07.18	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	The number of civil penalties served to private landlords in 2017/18	02.07.18	30.07.18	05.07.18	Y	Y	N	N	Organisation

COMMUNITY & ENVIRONMENTAL SERVICES	In the last financial year how many incidents did your local authority record where refuse collectors were assaulted by members of the public	03.07.18	01.08.18	13.07.18	Y	Y	N	N	Media
COMMUNITY & ENVIRONMENTAL SERVICES	Do you have any rules or regulations regarding maximum coffin size for burial (width and length and if so what are they?	06.07.18	03.08.18	17.07.18	Y	Y	N	N	Media
COMMUNITY & ENVIRONMENTAL SERVICES	Please can you provide the number of unauthorised encampments that have occurred in your administrative area since 2016.	08.07.18	03.08.18	08.08.18	N	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Please provide data on how many Community Protection Notices (CPNs) - contained in the Anti-Social Behaviour, Crime and Policing Act 2014 have been issued by your council between 1.07.17 to 30.06.18	11.07.18	08.08.18	07.08.18	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	What was the expenditure on the museums and galleries in each year since 2009-10	12.07.18	09.08.18	24.07.18	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	Public Health Funeral Information	16.07.18	13.08.18	18.07.18	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	What was the total number of football pitches which were sold by the council for redevelopment into a non sports related purpose.	25.07.18	22.08.18	31.07.18	Y	Y	N	N	Individual

COMMUNITY & ENVIRONMENTAL SERVICES	Appliance Recycling in Watford	26.07.18	23.07.18	30.07.18	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	What are the days and times of the various collections of rubbish bin collections, recycling bin collections and / or garden waste bin collections as stated above	26.07.18	23.08.18	31.07.18	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	Bulk Item Collection Service	26.07.18	23.08.18	30.07.18	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	Public Health Funeral Information	27.07.18	24.08.18	31.07.18	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Please can you send me any information you may hold relating to persons who have died with no known next of kin since 1/6/18.	31.07.18	28.08.18	01.08.18	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	How many funerals over the last 5 years has the council had to arrange where no known next of kin has been located.	02.08.18	31.08.18	08.08.18	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	Please can you send me any information you may hold relating to persons who have died with no known next of kin since 1/5/18.	02.08.18	31.08.18	03.08.18	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	For the past 10 years how much has the council been spending on clearing up graffiti	02.08.18	31.08.18	31.08.18	Y	Y	N	N	Media

COMMUNITY & ENVIRONMENTAL SERVICES	Please can I have a list of all vehicles registered as a taxi from 31.03.18 to 31.07.18	06.08.18	04.09.18	29.08.18	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	Taxi licence FOI	13.08.18	11.09.18	14.09.18	N	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Information on people dying with no next of kin being known.	16.08.18	14.09.18	28.08.18	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	Complaints about strip clubs in Hertfordshire.	20.08.18	18.09.18	14.09.18	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Public play facilities - How many public play facilities are currently available to the public, budget for the public play facilities, etc.	21.08.2018	19.09.18	30.08.18	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Mini cab licences - How many active licenses are there in the borough.	09.08.18	07.09.18	03.09.18	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	Noise complaints- How many noise complaint does the council receive and how many investigations are carried out.	22.08.18	20.09.18	26.09.18	N DELAYED BY CSC	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Public Health Funeral Information	28.08.18	25.09.18	28.08.18	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	The number of times that smoke control area rules were breached each year.	30.08.18	27.09.18	26.09.18	Y	Y	N	N	Individual

COMMUNITY & ENVIRONMENTAL SERVICES	How many Houses of Multiple Occupations were registered in 2013 & 2018	31.08.19	28.09.18	27.09.18	Y	Y	N	N	Media
COMMUNITY & ENVIRONMENTAL SERVICES	Total number of works of art owned by the local authority and their value	31.08.18	28.09.18	26.09.18	Y	Y	N	N	Media
COMMUNITY & ENVIRONMENTAL SERVICES	Council spending on street cleaning in Watford from 2016 to 2018.	02.09.18	28.09.18	28.09.18	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	I would like to know the current number of street traders you have approved and licenced to operate in your area.	03.09.18	01.10.18	20.09.18	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	I would like to know if your local authority has conducted research to establish how many properties within its area fall into this category and are owned by landlords who now require to obtain an HMO Licence	04.09.18	02.10.18	01.10.18	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Public Health Funeral Information	05.09.18	03.10.18	12.09.18	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	Action against Landlords : Please can you provide a list of individuals and companies you have successfully prosecuted for offences under the Housing Act 2004	06.09.18	04.10.18	02.10.18	Y	Y	N	N	Media

COMMUNITY & ENVIRONMENTAL SERVICES	How many public litter/waste bins do the council own.	10.09.18	08.10.18	08.10.18	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	Motor vehicles registered for public hire i.e. Taxi or chauffeur hire relating to the period January 1st 2012 to current date.	10.09.18	08.10.18	20.09.18	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Could you please let me know the licensing department's budget in 2017-2018	11.09.18	09.10.18	N	N	N	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	The number of HMO's or multi-lets in your authority under the mandatory licensing schemes in 2018, 2017, 2016.	13.09.18	11.10.18	10.10.18	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Public Health Funeral Information	14.09.18	12.10.18	18.09.18	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	Does the council use any garden/environmental products that contain glyphosate/Roundup or Ranger Pro weed killer from the company Mansanto.	16.09.18	14.10.18	18.10.18	N	Y	N	N	Media
COMMUNITY & ENVIRONMENTAL SERVICES	Please can you provide a breakdown of the current £1143 HMO licensing fee in terms of processing the application and enforcing the license conditions	19.09.18	17.10.18	16.10.18	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	What food premises are registered at army bases registered within your authority's area.	19.09.18	19.10.18	20.09.18	Y	Y	N	N	Organisation

FOI Report Data

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DEMOCRACY & GOVERNANCE 34

SERVICE	REASON FOR REQUEST	DATE RECEIVED	DUE DATE	DATE RESPONDED	WITHIN 20 DAYS (Y/N)	Information sent Yes/No/Partial	Request Extension Y/N	Customer Advised on Alternative Location of Information? (Yes/No)	Individual Organisation Media
DEMOCRACY & GOVERNANCE	Do we hold any record of evidence that the 23rd June 2016 UK EU membership referendum was illegal.	06.04.18	04.05.18	22.05.18	N	Y	N	N	Organisation
DEMOCRACY & GOVERNANCE	Please confirm whether the council is classed as a person. Provide all information and data held that confirms under what circumstances the council can be treated as if it's a person	08.04.18	09.05.18	09.04.18	Y	Y	N	N	Individual
DEMOCRACY & GOVERNANCE	How many public toilets were maintained by our council from 2010 -2018	10.04.18	09.05.18	11.06.18	N	Y	N	N	Media
DEMOCRACY & GOVERNANCE	I would like to know the value of any deductions made over each of the past two years under PFI and PF2 contracts	17.04.18	16.05.18	18.04.18	Y	Y	N	N	Organisation
DEMOCRACY & GOVERNANCE	Are you aware that the document commissioned by HM treasury states "The Government" should consider working with local government to adopt Fintech	23.04.18	22.05.18	24.04.18	Y	Y	N	N	Individual

DEMOCRACY & GOVERNANCE	Please send to me any record of evidence that shows electoral fraud will be committed at the 3rd May 2018, United Kingdom local elections	29.04.18	29.05.18	22.05.18	Y	Y	N	N	Individual
DEMOCRACY & GOVERNANCE	How many people are registered to vote in the local elections on 3rd May 2018.	01.05.18	31.05.18	06.06.18	N	Y	N	N	Individual
DEMOCRACY & GOVERNANCE	Please send to me any record of information that shows the United States of America Department of Defense committed electoral fraud at any of the elections	03.05.18	04.06.18	10.05.18	Y	Y	N	N	Individual
DEMOCRACY & GOVERNANCE	Please provide the number of individuals across Watford polling stations who could not vote in the local elections of 3.5.18 as they did not have the required identification documents	04.05.18	05.06.18	05.06.18	Y	Y	N	N	Media
DEMOCRACY & GOVERNANCE	Do your council meetings begin with a prayer, whether formally and on the minutes of the meeting or informally before the meeting has officially begun	07.05.18	05.06.18	11.05.18	Y	Y	N	N	Individual
DEMOCRACY & GOVERNANCE	I am looking for information regarding the advertising budget and expenditure for the voter ID scheme trialled in Watford for the local elections on May 3rd 2018.	09.05.18	07.06.18	07.06.18	Y	Y	N	N	Individual

DEMOCRACY & GOVERNANCE	Please send to me any record of information that shows the United States of America Department of Defense committed electoral fraud at any of the elections	09.05.18	07.06.18	18.05.18	Y	Y	N	N	Individual
DEMOCRACY & GOVERNANCE	Please send to me any record of evidence which alleges the Conservative Party won an outright majority of MPs at the 8th June 2018 United Kingdom General Election.	19.05.18	19.06.18	22.05.18	Y	Y	N	N	Individual
DEMOCRACY & GOVERNANCE	What number and value of procurement contracts/tenders with a value of over 10,000 have been issued by the council but not listed on the contracts finder website since 2015/16	23.05.18	21.06.18	24.05.18	Y	Y	N	N	Organisation
DEMOCRACY & GOVERNANCE	How many tendered ballot papers in total were issued by the council's electoral staff at polling stations on 8th June 2018 for the General Election.	23.05.18	21.06.18	18.06.18	Y	Y	N	N	Organisation
DEMOCRACY & GOVERNANCE	Do you currently order snacks for the office, how do you get your snacks, is there an interest in obtaining healthier or a broader variety of snacks	23.05.18	21.06.18	29.05.18	Y	Y	N	N	Individual
DEMOCRACY & GOVERNANCE	Recording of meeting of the Development Management Committee 25.04.18	31.05.18	28.06.18	21.06.18	Y	Y	N	N	Individual

DEMOCRACY & GOVERNANCE	Requesting information on cost of purchasing Mayoral cars from 2015/16 to 2017/18.	06.06.18	04.07.18	18.06.18	Y	Y	N	N	Organisation
DEMOCRACY & GOVERNANCE	What additional costs were associated with running and promoting awareness of the Voter ID pilots conducted on 3rd May 2018	06.06.18	04.07.18	18.06.18	Y	Y	N	N	Organisation
DEMOCRACY & GOVERNANCE	Number of public toilets currently available in your local council including toilets in public buildings, libraries, sports centres etc.	18.06.18	16.07.18	N	N	N	N	N	Organisation
DEMOCRACY & GOVERNANCE	The number of council executive, committee and sub-committee meetings held in private	25.06.18	23.07.18	16.07.18	Y	Y	N	N	Media
DEMOCRACY & GOVERNANCE	I would like to know if you could please tell us what software system your legal teams use for case management, matter management time recording and court bundling.	26.06.18	24.07.18	27.06.18	Y	Y	N	N	Organisation
DEMOCRACY & GOVERNANCE	Please send me information which alleges, or proves that the US Department of State / Defense committed electoral fraud at the 8th June 2017 UK General Election / June 23rd 2016 UK EU Membership Referendum	09.07.18	06.08.18	06.09.18	N	Y	N	N	Individual

DEMOCRACY & GOVERNANCE	The total amount of money, if any, paid by your council to Kenyon International Emergency Services on Retainer under a contract or agreement from 2015 to present	11.07.18	08.08.18	12.07.18	Y	Y	N	N	Individual
DEMOCRACY & GOVERNANCE	I would like to see Mr Peter Taylor, Elected Mayor of Watford's "personal and prejudicial" interests which by law he is required to declare within 28 days of being elected.	15.07.18	10.08.18	19.07.18	Y	Y	N	N	Individual
DEMOCRACY & GOVERNANCE	Executive Arrangements and Committee System	30.07.18	28.08.18	30.07.18	Y	Y	N	N	Individual
DEMOCRACY & GOVERNANCE	I would like to know the amount of money the council spent on the services of external law firms and barristers in the last year ending 31.03.18	30.07.18	28.08.18	01.08.18	Y	Y	N	N	Individual
DEMOCRACY & GOVERNANCE	Please send to me all records of information on United Kingdom General elections which allege Electoral Fraud	07.08.18	05.09.18	06.09.018	N	Y	N	N	Individual
DEMOCRACY & GOVERNANCE	Fire extinguisher maintenance	10.08.18	10.09.18	16.08.18	N	Y	N	N	individual
DEMOCRACY & GOVERNANCE	Requesting all documentation of communication between Watford council and staff, officials, or representatives of the Cabinet Office about the Voter ID pilot since May 3rd 2018	13.08.18	11.09.18	07.09.18	Y	N	N	N	Individual

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TOTAL 10

SERVICE	REASON FOR REQUEST	DATE RECEIVED	DUE DATE	DATE RESPONDED	WITHIN 20 DAYS (Y/N)	Information sent Yes/No/Partial	Request Extension Y/N	Customer Advised on Alternative Location of Information? (Yes/No)	Individual Organisation Media
FINANCE	I would like to see the budget/spending plan Watford Borough Council for this year and the future, a detailed summary of exactly where funding is going, how it is being raised and why.	10.04.18	09.05.18	08.05.18	Y	Y	N	N	Individual
FINANCE	Treasury management advisors for Watford from 1997-2014	27.04.18	29.05.18	31.05.18	N	Y	N	N	Individual
FINANCE	Can you please provide me with a copy of your current Zurich Municipal Specification a sheet which relate to the property Module - Part K "all risks".	28.05.18	25.06.18	08.06.18	Y	Y	N	N	Individual
FINANCE	Could you please send me the amount the council paid to Now medical Ltd since 2011.	25.06.18	23.07.18	10.07.18	Y	Y	N	N	Individual
FINANCE	My understanding of the agreement in the stock transfer from the council to Watford Community Housing detailed that 75% of the revenue from houses sold under the right to buy scheme would be held by Watford Borough Council.	26.06.18	24.07.18	10.07.18	Y	Y	N	N	Individual

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SERVICE TRANSFORMATION 23

SERVICE	REASON FOR REQUEST	DATE RECEIVED	DUE DATE	DATE RESPONDED	WITHIN 20 DAYS (Y/N)	Information sent Yes/No/Partial	Request Extension Y/N	Customer Advised on Alternative Location of Information? (Yes/No)	Individual Organisation Media
SERVICE TRANSFORMATION	How many mobile phone users do you have, which networks are these currently with, when does the contracts expire	23.05.18	21.06.18	18.06.18	Y	Y	N	N	Organisation
SERVICE TRANSFORMATION	I would like contact details of people and details of their properties who have in the last 30 days filed for or have been issued divorce, bankruptcy or loss of relatives	15.05.18	13.06.18	30.05.18	Y	Y	N	N	Individual
SERVICE TRANSFORMATION	Requesting to see a copy of the Staff guide to Complaints and Procedures.	23.05.18	21.06.18	11.06.18	Y	Y	N	N	Individual
SERVICE TRANSFORMATION	Is your organisation using any algorithms and/or artificial intelligence software	24.05.18	22.06.18	30.05.18	Y	Y	N	N	Organisation
SERVICE TRANSFORMATION	Number of applicants(companies) to build full fibre networks in your area/ population density statistics.	04.06.18	02.06.18	04.06.18	Y	P	N	Y HCC	Organisation
SERVICE TRANSFORMATION	Requesting to see a copy of the Customers guide to Complaints and Procedures.	20.06.18	18.07.18	21.06.18	Y	Y	N	N	Individual

SERVICE TRANSFORMATION	How many people are employed to deal with FOI, what is the budget do you use case management software?	26.06.18	24.07.18	25.07.18	N	Y	N	N	Individual
SERVICE TRANSFORMATION	What period do you record FOI statistics in Financial Year/Calendar Year/Other. How many FOI requests have you received.	26.06.18	24.07.18	27.07.18	N	Y	N	N	Individual
SERVICE TRANSFORMATION	Does your local authority have an online customer account.	06.07.18	03.08.18	10.07.18	Y	Y	N	N	Organisation
SERVICE TRANSFORMATION	In which months of the year do you generally receive the penetration testing requirement of the annual IT Health Check (ITHC)	17.07.18	14.08.18	04.09.18	N	Y	N	N	Individual
SERVICE TRANSFORMATION	We seek to learn if and how robotic process automation and artificial intelligence is used within your organisation	19.07.18	16.08.18	08.08.18	Y	Y	N	N	Organisation
SERVICE TRANSFORMATION	Data Analytics Usage	20.07.18	17.08.18	01.08.18	Y	Y	N	N	Organisation
SERVICE TRANSFORMATION	What GIS software do you use	30.07.18	28.08.18	23.08.18	Y	Y	N	N	Individual
SERVICE TRANSFORMATION	Please could you provide me with information about your organisation's ICT expenditure	03.08.18	03.09.18	N	N	N	N	N	Organisation
SERVICE TRANSFORMATION	Software licence review	10.08.18	10.09.18	14.08.18	Y	Y	N	N	Organisation

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HUMAN RESOURCES 5

SERVICE	REASON FOR REQUEST	DATE RECEIVED	DUE DATE	DATE RESPONDED	WITHIN 20 DAYS (Y/N)	Information sent Yes/No/Partial	Request Extension Y/N	Customer Advised on Alternative Location of Information? (Yes/No)	Individual Organisation Media
HUMAN RESOURCES	How many non-disclosure agreements has the authority agreed in each of the calendar years of 2014-2017.	10.04.18	09.05.18	08.05.18	Y	Y	N	N	Individual
HUMAN RESOURCES	HR Workforce FOI	16.04.18	15.05.18	14.05.18	Y	Y	N	N	Individual
HUMAN RESOURCES	Agency Staffing Contract	24.04.18	23.05.18	21.05.18	Y	Y	N	N	Individual
HUMAN RESOURCES	Total number of staff who are union representatives	29.06.18	27.07.18	20.07.18	Y	Y	N	N	Organisation
HUMAN RESOURCES	How many non-disclosure agreements has the authority agreed in each year over the past 10 years	18.07.18	15.08.18	14.08.18	Y	Y	N	N	Individual
Total 5									

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PLACE SHAPING & CORPORATE PERFORMANCE 64

SERVICE	REASON FOR REQUEST	DATE RECEIVED	DUE DATE	DATE RESPONDED	WITHIN 20 DAYS (Y/N)	Information sent Yes/No/Partial	Request Extension Y/N	Customer Advised on Alternative Location of Information? (Yes/No)	Individual Organisation Media
PLACE SHAPING & CORPORATE PERFORMANCE	Please provide a breakdown since 2008 the number of deaths where the person who died was sleeping rough or recorded as having NFA	03.04.18	01.05.18	02.05.18	N	Y	N	N	Media
PLACE SHAPING & CORPORATE PERFORMANCE	Number of people known to the authority as statutory homeless who died from 2009-2018. How much was spent on Temporary accommodation/hostel accommodation/private sector for each year.	05.04.18	03.05.18	02.05.18	Y	Y	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	3.8 Contravention of building regulations, has the local authority authorised in relation to the property any proceedings for the contravention of any provision contained in building regulations	11.04.18	10.05.18	24.06.18	N	Y	N	N	Organisation
PLACE SHAPING & CORPORATE PERFORMANCE	Could you provide me with a breakdown of WBC housing register by ethnicity and the relative length of time being spent on the register by ethnicity.	13.04.18	14.05.18	15.05.18	N	Y	N	N	Individual

PLACE SHAPING & CORPORATE PERFORMANCE	How many parking fines issued by the council to foreign registered vehicles from 2016 to date that remain unpaid and written off.	17.04.18	16.05.18	27.04.18	Y	Y	N	N	Media
PLACE SHAPING & CORPORATE PERFORMANCE	A lost of high-rise tower blocks within your authority. A copy of the altest fire safety assessment for each high-rise tower block.	18.04.18	17.05.18	15.05.18	Y	Y	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	How many people have approached the council for homelessness help because they have not passed the Right to Rent checks with a private landlord since February 2016.	20.04.18	21.05.18	03.05.18	Y	Y	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	How many rough sleepers have died in your authority in each of the last 5 years.	24.04.18	23.05.18	21.05.18	Y	Y	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	Requesting copies of all your authority's documents currently in use relating to how housing officers assess whether a household's last settled accommodation was affordable for them, when they present in need of housing advice and assistance.	27.04.18	29.05.18	27.04.18	Y	Y	N	N	Organisation
PLACE SHAPING & CORPORATE PERFORMANCE	The total amount of funding your council provided for all domestic abuse services in the financial year 2009/10 & 2017/18	28.04.18	29.05.18	30.05.18	N	Y	N	N	Individual

PLACE SHAPING & CORPORATE PERFORMANCE	What was your Disabled Facilities Grant budget for the period from 1/4/16 to 31/3/17	27.04.18	29.05.18	19.06.18	N	Y	N	N	Organisation
PLACE SHAPING & CORPORATE PERFORMANCE	Requesting a list of high rise buildings including ownership	02.05.18	01.06.18	01.06.18	Y	Y	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	Youth homelessness data	02.05.18	01.06.18	21.06.18	N	Y	N	N	Organisation
PLACE SHAPING & CORPORATE PERFORMANCE	Information about temporary accommodation placement from 2008/9 then from 2015 to 2018	03.05.18	04.06.18	29.06.18	N	Y	N	N	Media
PLACE SHAPING & CORPORATE PERFORMANCE	Could you please provide me a complete and up to date list of all addresses (commercial & residential) in your area which in the last 3 months have been completed as New Builds or are near completion	03.05.18	04.06.18	11.05.18	Y	Y	N	N	Organisation
PLACE SHAPING & CORPORATE PERFORMANCE	Is the council planning to take any action against private block owners who have not had the cladding tested or who have no plans to remove the cladding .	08.05.18	06.06.18	15.06.18	N	Y	N	N	Media
PLACE SHAPING & CORPORATE PERFORMANCE	The total number of applicants on the council's housing register. The total number of applicants that are on the housing register that are in full/part time employment	09.05.18	05.06.18	04.06.18	Y	Y	N	N	Individual

PLACE SHAPING & CORPORATE PERFORMANCE	Requesting copies of correspondence between us and previous landowner of 451 St Albans Road	11.05.18	11.06.18	06.06.18	Y	Y	N	N	Organisation
PLACE SHAPING & CORPORATE PERFORMANCE	I would like to know the number of planning permissions received in each of the last 5 years broken down year by year.	18.05.18	18.06.18	19.06.18	N	Y	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	When a household becomes homeless do you charge them a fee for storing their possessions?	21.05.18	19.06.18	N	N	N	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	The number of homeless people in receipt of emergency or temporary accommodation because they were vulnerable by reason physical disability.	02.06.18	29.06.18	N	N	N	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	Please send us your list of all high-rise buildings in your area so we can confirm that there are no discrepancies between the information you hold.	05.06.18	03.07.18	29.06.18	Y	Y	N	N	Organisation
PLACE SHAPING & CORPORATE PERFORMANCE	Complaints about neighbours fence of hedge.	12.06.18	10.07.18	25.06.18	Y	Y	N	N	Organisation
PLACE SHAPING & CORPORATE PERFORMANCE	Total amount of land in acres currently owned by your council.	13.06.18	11.07.18	N	N	N	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	The number of council owned buildings occupied by live in property guardians annually	21.06.18	19.07.18	26.06.18	Y	Y	N	N	Media

PLACE SHAPING & CORPORATE PERFORMANCE	Please can you provide data for all residential properties within your respective district	02.07.18	30.07.18	14.08.18	N	Y	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	Information regarding invoices that you had since 2013 when the contract started with RingGo	04.07.18	01.08.18	06.07.18	Y	Y	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	Does your council collect Community Infrastructure levy? How much CIL was received/collected from 2015 to 2017	05.07.18	02.08.18	06.07.18	Y	Y	N	N	Organisation
PLACE SHAPING & CORPORATE PERFORMANCE	Total amount spent by the council on temporary accommodation from 2013 to 2017/18	06.07.18	03.08.18	10.07.18	Y	Y	N	N	Media
PLACE SHAPING & CORPORATE PERFORMANCE	Would you be able to provide the following - A definition of Affordable Housing, required percentage of all new builds that are required to be affordable.	10.07.18	07.08.18	01.08.18	Y	Y	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	If you would supply me with data on the local authority's transfer of each public building or land which provides or has done so in the recent past, community, cultural or leisure amenity	11.07.18	08.08.18	30.07.18	Y	Y	N	N	Organisation
PLACE SHAPING & CORPORATE PERFORMANCE	Parking Permit limit information	16.07.18	13.08.18	19.07.18	Y	Y	N	N	Individual

PLACE SHAPING & CORPORATE PERFORMANCE	Do you charge for resident parking permits in Controlled Parking Zones	17.07.18	14.08.18	30.07.18	Y	Y	N	N	Media
PLACE SHAPING & CORPORATE PERFORMANCE	Has the council outsourced its planning department (responsible for town and country planning)? If so who is responsible for providing these services.	19.07.18	16.08.18	31.07.18	Y	Y	N	N	Organisation
PLACE SHAPING & CORPORATE PERFORMANCE	I would like to request the following information : the name of the person who is responsible for purchasing of parking meter or parking machine batteries for the council	20.07.18	17.08.18	30.07.18	Y	Y	N	N	Organisation
PLACE SHAPING & CORPORATE PERFORMANCE	Please provide information related to section 106 planning obligations/agreements of the Town and Country Planning Act 1990 for each year from 2012 to 2018.	25.07.18	24.08.18	10.09.18	Y	Y	N	N	Media
PLACE SHAPING & CORPORATE PERFORMANCE	How much money has been spent on regeneration within this council area for 2017 and 2007	29.07.18	24.08.18	N	N	N	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	Building Regulation Inspection Records	29.07.18	24.08.18	06.08.18	Y	Y	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	Freedom of Information Request-Air Quality/Electric Vehicle Infrastructure	31.07.18	28.08.18	08.08.18	Y	Y	N	N	Organisation

PLACE SHAPING & CORPORATE PERFORMANCE	Council Assets - A list of building, land and heritage assets disposed of by the council from 2014 to date	31.07.18	28.08.18	08.08.18	Y	Y	N	N	Organisation
PLACE SHAPING & CORPORATE PERFORMANCE	Has your council applied for funding from the government's On Street Residential Chargepoint Scheme.	31.07.18	28.08.18	08.08.18	Y	Y	N	N	Media
PLACE SHAPING & CORPORATE PERFORMANCE	The number of families you have placed in temporary accommodation within the boundaries of Essex County from 2015 to date.	02.08.18	31.08.18	16.08.18	Y	Y	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	Please can you provide a list of the names of LPS blocks the organisation owns.	03.08.18	03.09.18	16.08.18	Y	Y	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	I would like to know a full list of vacant properties held by your organisation and any of its subsidiaries	06.08.18	04.08.18	08.08.18	Y	Y	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	Please can you detail how many fire doors have been installed in properties under your management that have been supplied by Manse Masterdor, Masterdor Ltd, Specialist Building Products Ltd, Solar Windows Ltd, Birtley Group Limited	06.08.18	04.08.18	16.08.18	Y	Y	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	Care leavers and homelessness	10.08.18	10.09.18	N	N	N	N	N	Organisation

PLACE SHAPING & CORPORATE PERFORMANCE	Accommodation in hotels total amount spent on Temporary Accommodation.	13.08.18	11.09.18	17.08.18	Y	Y	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	Request for a reply to CON29 3.8 under EIR for property 4a Local Board Road, Watford, WD17 2JP	10.08.18	10.09.18	16.08.18	Y	Y	N	N	Organisation
PLACE SHAPING & CORPORATE PERFORMANCE	Requesting information about D1 property.	15.08.18	13.09.18	N	N	N	N	N	Organisation
PLACE SHAPING & CORPORATE PERFORMANCE	Modular construction in social and affordable housing	14.08.18	12.09.18	16.08.18	Y	Y	N	N	Organisation
PLACE SHAPING & CORPORATE PERFORMANCE	Parking systems enquiry - What software is used for parking enforcement and for fixed penalty notice enforcement etc.	22.08.18	20.09.18	12.09.18	Y	Y	N	N	Organisation
PLACE SHAPING & CORPORATE PERFORMANCE	How many families from any London borough have been housed in your local authority in each year since 2012	22.08.18	20.09.18	25.09.18	N	Y	N	N	Media
PLACE SHAPING & CORPORATE PERFORMANCE	How many local authority owned residential blocks over 30m 10 stories are in your authority area.	29.08.18	26.09.18	10.09.18	Y	Y	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	Please can you list all the planning applications that have been received by the council for major residential sites 100 homes or more over the past 5 years.	03.09.18	01.10.18	05.09.18	Y	Y	N	N	Individual

PLACE SHAPING & CORPORATE PERFORMANCE	How many applications for planning permission did you received from 2015 to 2017/18 for the construction of a new external building at a property for residential purposes	07.09.18	05.10.18	N	N	N	N	N	Organisation
PLACE SHAPING & CORPORATE PERFORMANCE	I would like to request all documentation related to the plans for redevelopment of Watford Business Park.	09.09.18	05.10.18	N	N	N	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	The number of households without children placed into temporary accommodation outside of your council area for the last 3 calendar years.	11.09.18	09.10.18	10.10.18	Y	Y	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	PCN'S issued in the Crescent Watford for the last 6 years	12.09.19	10.10.18	09.10.18	Y	Y	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	What is the total number of social housing units in Hertfordshire that your organisation manages	17.09.18	15.10.18	19.09.18	Y	Y	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	Do you use the services of a design review panel for any of your planning applications.	18.09.18	16.10.18	N	N	N	N	N	Organisation
PLACE SHAPING & CORPORATE PERFORMANCE	Please can you provide details of all solar farms and rooftop solar schemes over 100kw which are owned by Watford Council. Please could you include the coordinates and capacity for each one	18.09.18	16.10.18	N	N	N	N	N	Organisation

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REVENUES & BENEFITS 62

SERVICE	REASON FOR REQUEST	DATE RECEIVED	DUE DATE	DATE RESPONDED	WITHIN 20 DAYS (Y/N)	Information sent Yes/No/Partial	Request Extension Y/N	Customer Advised on Alternative Location of Information? (Yes/No)	Individual Organisation Media
REVENUES & BENEFITS	Requesting a list of businesses that have become liable for business rates from 15.3.18 to 31.03.18	05.04.18	03.05.18	13.04.18	Y	Y	N	N	Individual
REVENUES & BENEFITS	Total number of hereditaments liable for NNDR for 2016/17 & 2017/18	05.04.18	03.05.18	30.04.18	Y	Y	N	N	Organisation
REVENUES & BENEFITS	Please provide a copy of the summons sent out by the council for non-payment of council tax and the title and address of the court that issues it.	05.04.18	03.05.18	01.05.18	Y	Y	N	N	Individual
REVENUES & BENEFITS	A list of credit balances for both current and closed NNDR accounts.	09.04.18	08.05.18	13.04.18	Y	Y	N	N	Organisation
REVENUES & BENEFITS	Local discretionary relief scheme, NNDR and Revaluation relief scheme.	09.04.18	08.05.18	01.05.18	Y	Y	N	N	Organisation
REVENUES & BENEFITS	How many private rented sector landlords in the council area refuse to house families in receipt of benefits.	11.04.18	10.05.18	13.04.18	Y	Y	N	N	Individual

REVENUES & BENEFITS	Unclaimed Business rate credit balances.	17.04.18	16.05.18	01.05.18	Y	Y	N	N	Organisation
REVENUES & BENEFITS	New business rates accounts in the last 12 months.	17.04.18	16.05.18	08.05.18	Y	Y	N	N	Organisation
REVENUES & BENEFITS	Accounts that have become liable for business rates from 1.4.18 to 15.04.18	18.04.18	17.05.18	09.05.18	Y	Y	N	N	Individual
REVENUES & BENEFITS	All CTAX Domestic Rate Accounts with a credit balance.	25.04.18	24.05.18	09.05.18	Y	Y	N	N	Individual
REVENUES & BENEFITS	How many court summonses did you issue or were issued on your authority's behalf for late or non-payment of council tax in 2016/17 & 2017/18	25.04.18	24.05.18	14.05.18	Y	Y	N	N	Individual
REVENUES & BENEFITS	Watford Council's difference of opinion on Council Tax Summons Costs	01.05.18	31.05.18	09.05.18	Y	Y	N	N	Individual
REVENUES & BENEFITS	requesting information to unclaimed live business rates credit balances	02.05.18	01.06.18	09.05.18	Y	Y	N	N	Organisation
REVENUES & BENEFITS	A full list of businesses that have become newly responsible for business rates between 14th April 18 - 2nd May 18	03.05.18	04.06.18	04.06.18	Y	Y	N	N	Individual
REVENUES & BENEFITS	Requesting a list of all empty residential derelict properties in the Watford council Area	09.05.18	07.06.18	04.06.18	Y	Y	N	N	Individual

REVENUES & BENEFITS	Can you supply me a list of all properties receiving public house rate relief.	10.05.18	08.06.18	04.06.18	Y	Y	N	N	Individual
REVENUES & BENEFITS	How much money has the council spent on Discretionary Housing Payments for each of the last 3 financial years	14.05.18	12.06.18	11.06.18	Y	Y	N	N	Media
REVENUES & BENEFITS	The number of empty properties in the council's jurisdiction with extra Council Tax rates.	14.05.18	12.06.18	11.06.18	Y	Y	N	N	Individual
REVENUES & BENEFITS	Council Tax Support Schemes in 2018/19	23.05.18	21.06.18	11.06.18	Y	Y	N	N	Organisation
REVENUES & BENEFITS	Requesting information to unclaimed live business rates credit balances	29.05.18	25.06.18	25.06.18	Y	Y	N	N	Organisation
REVENUES & BENEFITS	Requesting a full list of businesses that have become responsible for business rates between 3.5.18 - 31.5.18	31.05.18	27.06.18	25.06.18	Y	Y	N	N	Individual
REVENUES & BENEFITS	I would like to obtain recent information from the council relating to unclaimed business rate credit balances.	05.06.18	03.07.18	25.06.18	Y	Y	N	N	Organisation
REVENUES & BENEFITS	Requesting a list of write ons for business rates	07.06.18	05.07.18	25.06.18	Y	Y	N	N	Organisation
REVENUES & BENEFITS	I would like to obtain recent information from the council relating to unclaimed business rate credit balances.	19.06.18	17.06.18	10.07.18	Y	Y	N	N	Organisation

REVENUES & BENEFITS	The most up to date list you can obtain with all commercial property addresses in a list format with their rateable values	21.06.18	19.07.18	16.07.18	Y	Y	N	N	Individual
REVENUES & BENEFITS	Requesting to obtain an up to date list of current properties liable for business rates in this borough	24.06.18	20.07.18	16.07.18	Y	Y	N	N	Individual
REVENUES & BENEFITS	Requesting to obtain an up to date list of current properties liable for business rates in this borough	25.06.18	23.07.18	16.07.18	Y	Y	N	N	Individual
REVENUES & BENEFITS	Please send me the following information for the years 2014 to the current day, relating to the number of invoice reminders (providing 7 days before debt recovery takes place) relating to housing benefit claims	26.06.18	24.07.18	23.07.18	Y	Y	N	N	Individual
REVENUES & BENEFITS	Please can you send me an up to date and full list of businesses, companies and charities that have become newly responsible for business rates from 20.6.18 to 5.7.18	06.07.08	03.08.18	06.08.18	N	Y	N	N	Individual
REVENUES & BENEFITS	Could you please reply to me with the following report attached: Unclaimed business rate credit balances	09.07.18	06.08.18	06.08.18	Y	Y	N	N	Organisation
REVENUES & BENEFITS	Risk Based Verification Software applied to Housing Benefit Claims in the year 2017/18	16.07.18	13.08.18	24.07.18	Y	Y	N	N	Media

REVENUES & BENEFITS	I would like to obtain recent information from the council relating to unclaimed business rate credit balances.	25.07.08	22.08.18	06.08.18	Y	Y	N	N	Organisation
REVENUES & BENEFITS	The number of applications for Discretionary Housing Payments that were rejected by the council during 2017/18	27.07.18	24.08.18	22.08.0.18	Y	Y	N	N	Media
REVENUES & BENEFITS	I require a full and up to date list of businesses/companies/charities that have become newly liable for NNDR between 6.7.18 and 31.07.08	30.07.18	29.08.18	23.08.18	Y	Y	N	N	Individual
REVENUES & BENEFITS	I would like to request Ratepayer account information for 58 Clarendon Road Watford	31.07.18	28.08.18	23.08.18	Y	Y	N	N	Organisation
REVENUES & BENEFITS	Please could you please provide me with a complete up-to-date list of all business property rates data for your local authority.	05.08.18	03.09.18	24.08.18	Y	Y	N	N	Individual
REVENUES & BENEFITS	Business Rates data request	13.08.18	11.09.17	28.08.18	Y	Y	N	N	Organisation
REVENUES & BENEFITS	Provide data for non-domestic tax ratepayers	10.08.18	10.09.18	28.08.18	Y	Y	N	N	Organisation
REVENUES & BENEFITS	Supply list of organisations currently providing accommodation classified as specific accommodation.	15.08.18	13.09.18	29.08.18	Y	Y	N	N	Individual
REVENUES & BENEFITS	Recent information relating to unclaimed business rate credit balances.	16.08.18	14.09.18	28.08.18	Y	Y	N	N	Individual

REVENUES & BENEFITS	Numbers of claims from white, black asian, mixed-race and other applicants which were flagged by the system as being low, medium and high risk .	21.08.18	19.09.18	28.08.18	Y	Y	N	N	Organisation
REVENUES & BENEFITS	Request list of companies that have just started paying business rates between 01.08.2018 - 15.08.2018.	22.08.18	20.09.18	28.08.18	Y	Y	N	N	Individual
REVENUES & BENEFITS	I hereby request under the freedom of information act the following information specifically in relation to Council Tax and a deceased person	24.08.18	24.09.18	24.09.18	Y	Y	N	N	Individual
REVENUES & BENEFITS	Could you please provide me with some information relating to all business rates properties in respect of the 2018/19 financial year	28.08.18	25.09.18	17.09.18	Y	Y	N	N	Organisation
REVENUES & BENEFITS	Business Rates data request	29.08.18	26.09.18	17.09.18	Y	Y	N	N	Organisation
REVENUES & BENEFITS	Business Rates data request	29.08.18	26.09.18	17.09.18	Y	Y	N	N	Organisation
REVENUES & BENEFITS	Please can you send a current list of all empty residential and derelict properties in the Watford Council area	30.08.18	27.09.18	17.09.18	Y	Y	N	N	Individual
REVENUES & BENEFITS	Full list of every business company charity that have become responsible for business rates from 15/8/18 to 31/8/18	04.09.18	02.10.18	24.09.18	Y	Y	N	N	Individual

REVENUES & BENEFITS	The total number of summons issued to council tax defaulters from 2015/2016 to 2018/2018	05.09.18	03.10.18	02.10.18	Y	Y	N	N	Organisation
REVENUES & BENEFITS	Requesting information on Unclaimed Business rate credit balances.	06.09.18	04.10.18	24.09.18	Y	Y	N	N	Organisation
REVENUES & BENEFITS	Freedom of information request relating to small business rate relief	12.09.18	10.10.18	02.10.18	Y	Y	N	N	Organisation
REVENUES & BENEFITS	I would like to request some information regarding any change of tenancy or change of business name within the last 60 days. Also any new business operating in a food premises.	10.09.18	08.10.18	19.09.18	Y	N	N	N	Organisation
REVENUES & BENEFITS	The value of business rates written off by the authority from 2014 - 2015 until 2017 - 2018	12.09.18	10.10.18	24.09.18	Y	NO REQUESTED CLARIFICATION	N	N	Organisation
REVENUES & BENEFITS	We would like to obtain a list of businesses who are paying business rates who have created a new account within the last 12 months.	12.09.18	10.10.18	24.09.18	Y	Y	N	N	Organisation
REVENUES & BENEFITS	I would like to obtain recent information from the council relating to unclaimed business rate credit balances.	14.09.18	12.10.18	12.10.18	Y	Y	N	N	Organisation

FOI Report Data

Requests Received 1st April 2018 - 30th September 2018

CORPORATE SERVICES 1

SERVICE	REASON FOR REQUEST	DATE RECEIVED	DUE DATE	DATE RESPONDED	WITHIN 20 DAYS (Y/N)	Information sent Yes/No/Partial	Request Extension Y/N	Customer Advised on Alternative Location of Information? (Yes/No)	Individual Organisation Media
CORPORATE SERVICES	I would like to see in relation to the voter ID Pilot in the 2018 local election any council decision or council committee decision which related to and authorised the council submitting a proposal to undertake a local election pilot.	05.05.18	05.06.18	11.05.18	Y	Y	Y	N	Organisation
Total 1									

FOI Report Data

Requests Received 1st April 2018 - 30th September 2018

MULTIPLE 24

SERVICE	REASON FOR REQUEST	DATE RECEIVED	DUE DATE	DATE RESPONDED	WITHIN 20 DAYS (Y/N)	Information sent Yes/No/Partial	Request Extension Y/N	Customer Advised on Alternative Location of Information? (Yes/No)	Individual Organisation Media
MULTIPLE	Do you use outcomes based commissioning, otherwise known as payment by results? As an employer are you currently accredited with living wage foundation, London Living Wage or other regional variation.	16.04.18	15.05.18	18.04.18	Y	Y	N	N	Organisation
MULTIPLE	What byelaws exist in your council area concerning public urination?	10.04.18	09.05.18	24.04.18	Y	Y	N	N	Media
MULTIPLE	Finance & HR Key Stakeholders Information regarding audit reviewing to recover monies paid in error in the last 5 years.	20.04.18	21.05.18	30.05.18	N	Y	N	N	Organisation
MULTIPLE	Headcount of FTE Staff operating within the Procurement Commercial Function	23.04.18	22.05.18	27.04.18	Y	Y	N	N	Individual
MULTIPLE	Requesting information on Planning legal Services.	27.04.18	29.05.18	24.05.18	Y	Y	N	N	Individual
MULTIPLE	Housing inspections private, housing association and council for the purposes of inspecting the house for it's state	02.05.18	01.06.18	01.06.18	Y	Y	N	N	Organisation

MULTIPLE	The use of the enforcement by way of taking control of goods for council tax, NNDR and decriminalised parking	08.05.18	06.06.18	REQUEST WITHDRAWN	N/A	N/A	N/A	N/A	Organisation
MULTIPLE	The current number of registered voters for general election purposes broken down by parliamentary constituency. How many households received working age council tax support during each financial year from 2013/14 to 2017/18	01.06.18	29.06.18	29.06.18	Y	Y	N	N	Media
MULTIPLE	What was the total cost of paper used for printing from 2015/16 to 2017/18. What was the total cost of buying tablets in each of 2015/16 to 2017/18.	05.06.18	03.07.18	no response from IT	N	N	N	N	Organisation
MULTIPLE	Does your council manage public outdoor play spaces/does your council have a play development maintenance and management strategy.	24.06.18	20.07.18	09.07.18	Y	Y	N	N	Organisation
MULTIPLE	Does your council have an online customer account	06.07.18	03.08.18	10.07.18	Y	Y	N	N	Organisation

MULTIPLE	Tobacco Companies FOI request - I would like to request all correspondence between the council and Philip Morris International, British American Tobacco, Japan Tobacco Imperial Brands, Tobacco Manufactures Association, Tobacco retailers Alliance	11.07.18	08.08.18	01.08.18	Y	Y	N	N	Organisation
MULTIPLE	Does the local authority have a procurement plan for Electric of other low emission vehicles with a view to replace its current fleet with low emission alternatives	29.06.18	27.07.18	30.07.18	Y	Y	N	N	Organisation
MULTIPLE	The total number of capital receipts received by the council following the disposal of any type of asset. The number of redundancies made by the local authority in each financial year broken down by the service they relate to.	27.07.18	24.08.18	23.08.18	Y	Y	N	N	Individual
MULTIPLE	Please could you disclose any documents produced by your local authority relating to planning for the following scenarios for Britain's post Brexit relationship with the European Union.	01.08.18	30.08.18	22.08.18	Y	Y	N	N	Individual
MULTIPLE	Please provide any Brexit impact assessments conducted by your council or other forms of Brexit Planning	03.08.18	03.09.18	22.08.18	Y	Y	N	N	Organisation

FOI Report Data

Requests Received 1st April 2018 - 30th September 2018

Other 75

SERVICE	REASON FOR REQUEST	DATE RECEIVED	DUE DATE	DATE RESPONDED	WITHIN 20 DAYS (Y/N)	Information sent Yes/No/Partial	Request Extension Y/N	Customer Advised on Alternative Location of Information? (Yes/No)	Individual Organisation Media
HERTFORDSHIRE COUNTY COUNCIL	How many children did the child and social services department have contact with in 2017 who was at risk of child or forced marriage, honour based violence, female genital mutilation.	03.04.18	01.05.18	04.04.18	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	How much the council spent on a meals-on-wheels service over the last 10 years.	06.04.18	04.05.18	06.04.18	Y	Y	N	Y	Media
HERTFORDSHIRE COUNTY COUNCIL	Do you provide of commission social care and how many people in your area are in receipt of services relating to social care.	06.04.18	04.05.18	06.04.18	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	How many personal injury reports you have had in the last 10 years where people have been injured as a result of dangerous low and hazardous road signs on	06.04.18	04.05.18	09.04.18	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	The number of people receiving carers allowance. The number of carers assessments carried out by your local authority	09.04.18	08.04.18	11.04.18	Y	Y	N	Y	Individual

HERTFORDSHIRE COUNTY COUNCIL	The combined total number of speed humps, bumps, cushions and tables currently installed in your local authority area.	10.04.18	09.05.18	11.04.18	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL (pensions team)	What is the most recent available value of the local authority's pension fund. What is the value of the fund's directly-held investment of share or bonds of the following companies: British American Tobacco, Imperial Brands, Japan Tobacco International, Altria Group Inc, Philip Morris International, Universal Corp & Alliance One International	17.04.18	16.05.18	19.04.18	Y	Y	N	Y	Individual
INTU WATFORD	Requesting a list of subcontractors, suppliers and consultants involved in the redevelopment of Charter Place Shopping Centre	18.04.18	17.05.18	19.04.18	Y	Y	N	Y	Individual
HERTFORDSHIRE COUNTY COUNCIL	Information relating to Adult Care Services	25.04.18	24.05.18	26.04.18	Y	Y	N	Y	Individual
HERTFORDSHIRE COUNTY COUNCIL	School exclusions	27.04.18	29.05.18	30.04.18	Y	Y	N	Y	Individual
HERTFORDSHIRE COUNTY COUNCIL	Information relating to Adult Care Services	01.05.18	31.05.18	01.05.18	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	Does your council run a Local Welfare Assistance Scheme	05.05.18	05.06.18	08.05.18	Y	Y	N	Y	Organisation

HERTFORDSHIRE COUNTY COUNCIL	What was Watford Borough Council's annual expenditure on residential parenting assessments in the last 10 years	08.05.18	06.06.18	08.05.18	Y	Y	N	Y	Individual
HERTFORDSHIRE COUNTY COUNCIL	How many unaccompanied asylum-seeking children are looked after by your local authority aged 16-18	08.05.18	06.06.18	08.05.18	Y	Y	N	Y	Individual
HERTFORDSHIRE COUNTY COUNCIL	Adult Safeguarding - The number of social care services which the local authority safeguarding team has monitored in every year since 2010	10.05.18	08.06.18	15.05.18	Y	Y	N	Y	Individual
HERTFORDSHIRE COUNTY COUNCIL	How many council tenants in households containing one or more child under 18 and receiving Universal Credit, are in rent arrears	14.05.18	12.06.18	15.05.18	Y	Y	N	Y	Media
HERTFORDSHIRE COUNTY COUNCIL	What percentage of the total LA Home Applications for Primary School Reception for September 2018 received an offer for their first preference.	16.05.18	14.06.18	17.05.18	Y	Y	N	Y	Individual
HERTFORDSHIRE COUNTY COUNCIL	Number of complaints made against retailers about faulty or inadequate plumbing fittings for boilers, water pipes, toilets, showers in 2016 & 2017	21.05.18	19.06.18	21.05.18	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	What is the name of the system the council operates for both the adults and children's social care case management systems?	21.05.18	19.06.18	21.05.18	Y	Y	N	Y	Organisation

HERTFORDSHIRE COUNTY COUNCIL	How many looked after children who are in the care of the local authority are EU (non-UK) citizens.	27.05.18	25.06.18	30.05.18	Y	Y	N	Y	Individual
HERTFORDSHIRE COUNTY COUNCIL	Pavement Hazards	07.06.18	05.07.18	11.06.18	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	What was the total cost to your council in the 2016/17 academic year of transporting children registered as living in your council's area by taxi to schools outside your council area.	12.06.18	10.07.18	12.06.18	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	In the last three years how many children classed as SEND were placed in their first choice secondary school	14.06.18	12.07.18	14.06.18	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	How many of your libraries operate a "self-service" opening system where people are not allowed to access the library building unless they have registered in advance.	14.06.18	12.07.18	14.06.18	Y	Y	N	Y	Individual
HERTFORDSHIRE COUNTY COUNCIL	How many packages of 24 hour care did the Local Authority commission between 1st July 2017 - 21st June 2018?	21.06.18	19.07.18	21.06.18	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	Religious vs Civil Weddings.	22.06.18	20.07.18	25.06.18	Y	Y	N	Y	Organisation

HERTFORDSHIRE COUNTY COUNCIL	How many deferred payment agreements do you currently have in place. In 2017 how many people contacted you for information on how to pay for care.	26.06.18	24.07.18	26.06.18	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	What budget has your local authority set aside for the costs associated with Commissioning Violence Against Women and Girls?	22.06.18	20.07.18	02.07.18	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	FOI Request - Potholes	26.06.18	24.07.18	26.06.18	Y	Y	N	Y	Individual
HERTFORDSHIRE COUNTY COUNCIL	Which software applications do you use for children's social care.	28.06.18	26.07.18	02.07.18	Y	Y	N	Y	Individual
HERTFORDSHIRE COUNTY COUNCIL	Fees for older peoples placements (Nursing and Residential)	29.06.18	27.07.18	02.07.18	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	Does your authority currently provide or commission a local Healthy Schools Programme.	03.07.18	30.07.18	03.07.18	Y	Y	N	Y	Organisation
WATFORD COMMUNITY HOUSING	Universal Credit - What were the total rent arrears from council housing from 2015/16 to 2017/18	27.06.18	25.07.18	04.07.18	Y	Y	N	Y	Media
HERTFORDSHIRE COUNTY COUNCIL	Does the council undertake gully cleaning with direct labour or through a contractor?	29.06.18	27.07.18	16.07.18	Y	Y	N	Y	Individual
HERTFORDSHIRE COUNTY COUNCIL	The name and email address of your director of social services	04.07.18	01.08.18	04.07.18	Y	Y	N	Y	Individual

HERTFORDSHIRE COUNTY COUNCIL	How many maintained early education and childcare setting your LA runs and have registered on the Ofsted EYR since 2015	09.07.18	06.08.18	10.07.18	Y	Y	N	Y	Organisation
WATFORD COMMUNITY HOUSING	I would like to request the following information regarding the Parking lot at Orwell Court in Watford	09.07.18	06.08.18	10.07.18	Y	Y	N	Y	Individual
WATFORD COMMUNITY HOUSING/HCC	How many residential properties owned by the council are over four floors high. How many people currently living in a council property four floors and above do you identify as having a disability	10.07.18	07.08.18	10.07.18	Y	Y	N	Y	Media
HERTFORDSHIRE COUNTY COUNCIL	Foster Care Placements	17.07.18	14.07.18	17.07.18	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	How many Asylum Seeking children were put into in your care in 2018?	17.07.18	14.07.18	19.07.18	Y	Y	N	Y	Media
HERTFORDSHIRE COUNTY COUNCIL	Freedom of Information Request - Pharmacy payment date for locally commissioned NHS or Private Services.	20.07.18	17.08.18	25.07.18	Y	Y	N	Y	Individual
HERTFORDSHIRE COUNTY COUNCIL	How many children have been identified by the council as witnessing or suffering from domestic abuse in each year over the past 5 years.	23.07.18	20.08.18	30.07.18	Y	Y	N	Y	Individual

HERTFORDSHIRE COUNTY COUNCIL	I am writing to request a list of the non-registered providers of supported living for individuals with learning Disabilities in your area.	23.07.18	20.08.18	25.07.108	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	How many applications for child work permits have you received so far in 2018?	24.07.18	21.08.18	25.07.15	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	The number of fines issued to motorists for driving in a bus lane since 2016.	24.07.18	21.08.18	25.07.18	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	How many potholes are you currently aware of in your area	24.07.18	21.08.18	25.07.18	Y	Y	N	Y	Media
HERTFORDSHIRE COUNTY COUNCIL	I would like to request data on the number of teachers on long-term stress leave during the last year.	25.07.18	22.08.18	25.07.18	Y	Y	N	Y	Individual
HERTFORDSHIRE COUNTY COUNCIL	How many partially or fully local authority funded day centres were open at the end of each of the following years from 2010 to 2017.	25.07.18	22.08.18	25.07.18	Y	Y	N	Y	Media
HERTFORDSHIRE COUNTY COUNCIL	What is the name and email address for the Occupational Health Officer. My interest in this information is that I represent a long established company who provide Drug Education Services.	25.07.18	22.08.18	26.07.18	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	Books and library information	26.07.18	23.08.18	30.07.18	Y	Y	N	Y	Organisation

HERTFORDSHIRE COUNTY COUNCIL	Children missing Education and the number of home tutors provided by the local authority to children who are not currently enrolled at a school.	27.07.18	24.08.18	30.07.18	Y	Y	N	Y	Individual
HERTFORDSHIRE COUNTY COUNCIL	Requesting copies of all correspondence relating to social care and student loan.	28.07.18	24.08.18	30.07.18	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	The total of pupil referral unit places funded in Watford Borough Council for the academic year 2016-17	30.07.18	28.08.18	30.07.18	Y	Y	N	Y	Individual
HERTFORDSHIRE COUNTY COUNCIL	I am asking for annual data from 2013 onwards about the number of minors referred to your authority under the National referral mechanism and how many of these children have been reported missing after entering your care	03.08.18	03.09.18	03.08.18	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	I would like you to provide stats on the average wait times for an Adult Social Work needs assessment over the last 3 years	04.08.18	03.09.18	06.08.18	Y	Y	N	Y	Individual
HERTFORDSHIRE COUNTY COUNCIL	The number of installations of speed bumps and associated traffic calming measures on roads in the local authority	06.08.18	04.09.18	06.08.18	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	Does the local authority impose any restrictions on the sale, possession and use of fireworks.	06.08.18	04.09.18	13.08.18	Y	Y	N	Y	Organisation

HERTFORDSHIRE COUNTY COUNCIL	Tips (colliery spoil Mounds) in proximity to Network Rail infrastructure	10.08.18	10.09.18	13.08.18	y	y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	Rails Services- Examining the case for a substantial programme of rail line and station re-openings	11.08.18	10.09.18	13.08.18	Y	Y	N	Y	Individual
HERTFORDSHIRE COUNTY COUNCIL	Information on the number of properties - that are managed by the local authority and further information late payments, rent arrears and tenants being evicted.	16.08.18	14.09.18	17.08.18	Y	Y	N	Y	Individual
HERTFORDSHIRE COUNTY COUNCIL	Children in care- Children taken into care by local authority as a result of detention of a parent by the home office and who have gone missing in the last 5 years.	19.08.18	17.09.18	20.08.18	Y	Y	N	Y	Individual
HERTFORDSHIRE COUNTY COUNCIL	Library Loan Statistics	30.08.18	27.09.18	30.08.18	Y	Y	N	Y	Individual
HERTFORDSHIRE COUNTY COUNCIL	Street lighting FOI	31.08.18	28.09.18	31.08.18	Y	Y	N	Y	Organisation
WATFORD COMMUNITY HOUSING	Council properties bought under the right to buy	31.08.18	28.09.18	04.09.18	Y	Y	N	Y	Individual
HERTFORDSHIRE COUNTY COUNCIL	Pupil numbers & Funding in 2015/2016 academic year at each school	03.09.18	01.10.18	07.09.18	Y	Y	N	Y	Media
HERTFORDSHIRE COUNTY COUNCIL	What is the name of the individual who manages both your older and younger persons team.	04.09.18	02.10.18	05.09.18	Y	Y	N	Y	Organisation

HERTFORDSHIRE COUNTY COUNCIL	A list of every care provider who operates in your local authority who is either on the framework or provides services under the auspices of spot contracts.	04.09.18	02.10.18	05.09.18	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	How many daily living aids such as commodes, bed raisers, tables or hoists were issued to patients by the Adult Social Care.	11.09.18	09.10.18	11.09.18	Y	Y	N	Y	Media
HERTFORDSHIRE COUNTY COUNCIL	How many children up to 18 years in the 2017/18 financial year did you provide services to where the primary support needs was due to a child exhibiting (HSB)	11.09.18	09.10.18	13.09.18	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	Requesting information regarding the budget for children and young people's services	19.09.18	19.10.18	19.09.18	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	The number of potholes reported to the council	20.09.18	18.10.18	20.09.18	Y	Y	N	Y	Individual
HERTFORDSHIRE COUNTY COUNCIL	FOI - Community Equipment Services	20.09.18	18.10.18	21.09.18	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	Social Care top up fees	28.09.18	26.10.18	01.10.18	Y	Y	N	Y	Individual
HERTFORDSHIRE COUNTY COUNCIL	Please confirm which of the following Service's Public Health in your authority currently commissions Schoold entry vision & hearing screening.	28.09.18	26.10.18	01.10.18	Y	Y	N	Y	Individual

HERTFORDSHIRE CONSTABULARY	Pop up Brothels - How many properties has this local authority investigated in relation to complaints of alleged sex work in the past 3 years.	13.09.18	11.09.18	03.10.18	N	Y	N	Y	Individual
Total 75									

FOI Report Data

Requests Received 1st April 2018 - 30th September 2018

ENVIROMENTAL REQUESTS 0

SERVICE	REASON FOR REQUEST	DATE RECEIVED	DUE DATE	DATE RESPONDED	WITHIN 20 DAYS (Y/N)	Information sent Yes/No/Partial	Request Extension Y/N	Customer Advised on Alternative Location of Information? (Yes/No)	Individual Organisation Media
0									



Watford Borough Council
Audit Committee Progress Report
6 December 2018

Recommendation

Members are recommended to:

- Note the Internal Audit Progress Report for the period to 23 November 2018
- Agree removal of implemented recommendations (see Appendix C)

Contents

1 Introduction and Background

1.1 Purpose

1.2 Background

2 Audit Plan Update

2.1 Delivery of Audit Plan and Key Audit Findings

2.3 Status of Audit Recommendations

2.6 Proposed Audit Plan amendments

2.7 Performance Management

Appendices

A Progress against the 2018/19 Audit Plan

B 2018/19 Audit Plan Projected Start Dates

C Progress against Outstanding Internal Audit Recommendations

1. Introduction and Background

Purpose of Report

1.1 This report details:

- a) Progress made by the Shared Internal Audit Service (SIAS) in delivering the Council's Annual Audit Plan for 2018/19 as at 23 November 2018.
- b) Proposed amendments to the approved 2018/19 Annual Audit Plan.
- c) Implementation status of all outstanding previously agreed audit recommendations from 2015/16 onwards.
- d) An update on performance management information as at 23 November 2018.

Background

- 1.2 The work of internal audit is required to be reported to a Member Body so that the Council has an opportunity to review and monitor an essential component of corporate governance and gain assurance that its internal audit provision is fulfilling its statutory obligations. It is considered good practice that progress reports also include proposed amendments to the agreed annual audit plan.
- 1.3 The 2018/19 Annual Audit Plan was approved by Audit Committee on 15 March 2018.
- 1.4 The Audit Committee receives periodic updates on progress against the Annual Audit Plan from SIAS, the most recent of which was brought to this Committee on 20 September 2018.

2. Audit Plan Update

Delivery of Audit Plan and Key Audit Findings

- 2.1 As at 23 November 2018, 57% of the 2018/19 Audit Plan days had been delivered for the combined WBC and Shared Services plans (calculation excludes 'To Be Allocated'). Appendix A provides a status update on each individual deliverable within the audit plan.
- 2.2 One 2018/19 report has been finalised since the date of the last committee:

Audit Title	Date of Issue	Assurance Level	Number and Priority of Recommendations
Debtors	Nov '18	Good	None

Status of Audit Recommendations

- 2.3 Members will be aware that a Final Audit Report is issued when it has been agreed by management and includes an agreement to implement the recommendations made. It is SIAS's responsibility to bring to Members' attention the implementation status of all audit recommendations. It is the responsibility of officers to implement recommendations by the agreed date.
- 2.4 The table below summarises progress in implementation of all outstanding internal audit recommendations as at November 2018, with full details given in Appendix D:

Year	Recommendations made No.	Implemented	Not yet due	Outstanding & request made for extended time*	Percentage implemented %
2015/16	56	56	0	0	100%
2016/17	35	32	3	0	91%
2017/18	24	23	1	0	96%
2018/19	6	6	0	0	100%

*or no update provided.

- 2.5 Since September 2018 Audit Committee, no date extensions have been requested by action owners.

Proposed Audit Plan Amendments

- 2.6 There are no changes to the 2018/19 Audit Plan to bring to the attention of the Committee.

Performance Management

Reporting of Audit Plan Delivery Progress

- 2.7 To help the Committee assess the current situation in terms of progress against the projects in the 2018/19 Audit Plan, we have provided an analysis of agreed start dates at Appendix B. These dates have been agreed with management and resources allocated accordingly. This is designed to facilitate smoother delivery of the audit plan through the year.
- 2.8 Annual performance indicators and associated targets were approved by the SIAS Board in March 2018. Actual performance for Watford Borough Council against the targets that can be monitored for 2018/19 is shown in the table below.

Performance Indicator	Annual Target	Profiled Target to 23 November 2018	Actual to 23 November 2018
1. Planned Days – percentage of actual billable days against planned chargeable days completed (excluding unused contingency).	95%	60% (160 / 268 days)	57% (152 / 268 days)
2. Planned Projects – percentage of actual completed projects to draft report stage against planned completed projects (excludes 2015/16 completion and 'on-going' pieces).	95%	39% (9 out of 23 projects to draft)	35% (8 out of 23 projects to draft)
3. Client Satisfaction – percentage of client satisfaction questionnaires returned at 'satisfactory' level.	100%	100%	100%
4. Number of Critical / High Priority Audit Recommendations agreed	95%	95%	N/A – none yet made in 2018/19

2.9 In addition, the performance targets listed below are annual in nature. Performance against these targets will be reported on in the 2018/19 Head of Assurance's Annual Report:

- **5. External Auditors' Satisfaction** – the Annual Audit Letter should formally record whether or not the External Auditors are able to rely upon the range and the quality of SIAS' work.
- **6. Annual Plan** – prepared in time to present to the March meeting of each Audit Committee. If there is no March meeting then the plan should be prepared for the first meeting of the civic year.
- **7. Head of Assurance's Annual Report** – presented at the Audit Committee's first meeting of the civic year.

APPENDIX A PROGRESS AGAINST THE 2018/19 AUDIT PLAN AT 23 NOVEMBER 2018

2018/19 SIAS Audit Plan

AUDITABLE AREA	LEVEL OF ASSURANCE	RECS				AUDIT PLAN DAYS	LEAD AUDITOR ASSIGNED	BILLABLE DAYS COMPLETED	STATUS/COMMENT
		C	H	M	L				
Key Financial Systems									
Benefits (shared plan)						13	Yes	4	In Fieldwork
Council Tax (shared plan)						12	Yes	11	In Quality Review
Creditors (shared plan)						9	Yes	1	Terms of Reference Issued
Debtors (shared plan)	Good	0	0	0	0	9	Yes	9	Final Report Issued
Main Accounting (shared plan)						10	Yes	7	In Fieldwork
NDR (shared plan)						12	Yes	11.5	Draft Report Issued
Payroll (shared plan)						10	Yes	1	Terms of Reference Issued
Treasury Management (shared plan)						5	Yes	0.5	Terms of Reference Issued
Budget Monitoring (shared plan)						5	Yes	0.5	Terms of Reference Issued
Operational Audits									
Agency Spend (shared plan)						10	Yes	9.5	Draft Report Issued
GDPR Preparedness	Satisfactory	0	0	2	2	12	Yes	12	Final Report Issued
GDPR Post implementation review						8	Yes	0.5	In Planning
Parking						10	Yes	7	In Fieldwork
Temporary Accommodation						1	N/A	1	Cancelled
Commercial Strategy						10	BDO	0	Allocated
Grants	Good	0	0	0	1	6	Yes	6	Final Report Issued

APPENDIX A PROGRESS AGAINST THE 2018/19 AUDIT PLAN AT 23 NOVEMBER 2018

AUDITABLE AREA	LEVEL OF ASSURANCE	RECS				AUDIT PLAN DAYS	LEAD AUDITOR ASSIGNED	BILLABLE DAYS COMPLETED	STATUS/COMMENT
		C	H	M	L				
Equality Impact Assessments	Satisfactory	0	0	1	0	5	Yes	5	Final Report Issued
Home Improvement Agency						3	Yes	2.5	In Quality Review
DFG Capital Grant Certification	N/A		-	-	-	1	Yes	1	Complete
Procurement									
No audits									
Counter Fraud									
No audits									
Risk Management and Governance									
Risk Management						5	Yes	0	In Planning
IT Audits									
Cyber Security (shared plan)						12	BDO	11	In Quality Review
IT Operations (shared plan)						20	BDO	2	Terms of Reference Issued
IT Contract Management (shared plan)						15	BDO	5	In Fieldwork
SIAS Joint Work									
Shared Learning Newsletters						3	N/A	2	Through year
Joint Reviews– topics to be determined						2	Yes	0	Allocated
Ad Hoc Advice									

APPENDIX A PROGRESS AGAINST THE 2018/19 AUDIT PLAN AT 23 NOVEMBER 2018

AUDITABLE AREA	LEVEL OF ASSURANCE	RECS				AUDIT PLAN DAYS	LEAD AUDITOR ASSIGNED	BILLABLE DAYS COMPLETED	STATUS/COMMENT
		C	H	M	L				
Ad Hoc Advice						2		1.5	Through year
To Be Allocated									
Unused contingency (shared plan)						7		0	
Strategic Support									
Head of Internal Audit Opinion 2017/18						2	N/A	2	Complete
External Audit Liaison						1	N/A	0.5	Through year
Audit Committee						10	N/A	7	Through year
Monitoring & Client Liaison						11	N/A	8	Through year
2019/20 Audit Planning						7	N/A	0.5	In Progress
SIAS Development						3	N/A	3	Complete
AGS						3	N/A	3	Complete
Follow-up of recommendations						10	N/A	7.5	Through year
Completion of 2017/18 audits									
Time required to complete work commenced in 2017/18 (6 days shared plan; 5 days WBC)						11	N/A	11	Complete
WBC TOTAL						120		75	
SHARED SERVICES TOTAL						155		79	

APPENDIX A PROGRESS AGAINST THE 2018/19 AUDIT PLAN AT 23 NOVEMBER 2018

AUDITABLE AREA	LEVEL OF ASSURANCE	RECS				AUDIT PLAN DAYS	LEAD AUDITOR ASSIGNED	BILLABLE DAYS COMPLETED	STATUS/COMMENT
		C	H	M	L				
COMBINED TOTAL						275		154	

Key to recommendation priority levels:

C - Critical

H = High

M = Medium

L = Low / Advisory

N/A = Not applicable

APPENDIX B – 2018/19 AUDIT PLAN PROJECTED START DATES

Apr	May	June	July	August	September
Revenues & Benefits System Parameter Testing (shared plan)* Complete	Grants Final Report Issued	Equality Impact Assessments Final Report Issued	Agency Staffing (shared plan) Draft Report Issued		Parking In Fieldwork
GDPR Preparedness Final Report Issued					Home Improvement Agency In Fieldwork
					DFG Capital Grant Certification Complete
					Cyber Security (shared plan) In Quality Review

*Notes:

- Revenues & Benefits System Parameter Testing completed in May 2018 - remainder of Benefits and NDR work due Q3.

APPENDIX B – 2018/19 AUDIT PLAN PROJECTED START DATES

October	November	December	January	February	March
Council Tax (shared plan) In Quality Review	NDR (shared plan) Draft Report Issued	Treasury Management (shared plan) Terms of Reference Issued	Creditors (shared plan) Terms of Reference Issued	Budget Monitoring (shared plan) Terms of Reference Issued	
Debtors (shared plan) Final Report Issued	Benefits (shared plan) In Fieldwork		Main Accounting (shared plan) In Fieldwork		
Risk Management In Planning	Payroll (shared plan) Terms of Reference Issued		Commercial Strategy		
	IT Contract Management (shared plan) Terms of Reference Issued		IT Operations (shared plan) Terms of Reference Issued		
			GDPR - PIR In Planning		

*Notes:

- GDPR – Post Implementation Review moved from August to January as original audit was only concluded in July 2018

Audit Plan 2015/16

Safeguarding 2015/16							
Final report issued November 2015							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	We recommend that the next review be approved by Leadership Team and Members.	Medium	<p>Agreed, will take next review to Leadership Team and Cabinet.</p> <p>Position – February 2016 Leadership Team report re- scheduled for March 2016.</p> <p>Position – June 2016 Due to recent structure changes, a report to Cabinet to be moved till the Autumn to allow time to have a review of Safeguarding roles and responsibilities. The current structure remains and CSE has been included in the policy and procedures.</p> <p>Position – September 2016 LT report scheduled for October.</p> <p>Position – November 2016 Due to changes in service provision e.g. recent cessation of direct provision of Play Services, it has been agreed to conduct a full and comprehensive review of safeguarding roles, procedures, policy and resources between April – July 2017. In the interim the Section Head for Culture and Play will provide the lead, conduct a self-assessment and make any relevant recommendations to LT for the review team to team to consider.</p> <p>Position – February 2017</p>	<p>Culture and Play Section Head</p> <p>Head of Environmental Health & Licensing</p>	31 January 2016 (Leadership Team)	✓	<p>31 March 2016</p> <p>31 October 2016</p> <p>31 July 2017</p> <p>31 October 2017</p> <p>31 January 2018</p> <p>30 June 2018</p> <p>30 Sept 2018</p> <p>31 October 2018</p>

Safeguarding 2015/16

Final report issued November 2015

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
			<p>In progress</p> <p>Position – June 2017 The lead for the review has been allocated to the Head of Environmental Services and Licensing. This allows the Head of Culture and Events to manage the existing day to day matters of safeguarding whilst the review takes place. The Head of Culture and Events has developed a brief for the review which is being developed. The Review is set to be completed in October 2017 with implementation now scheduled for April 2018.</p> <p>Position – September 2017 Review scope being approved ready for implementation. Completion date should be revised as whilst the review will be complete the report to leadership team will require an implementation plan so this will be ready in January to enable implementation by April as previously reported.</p> <p>Position – November 2017 Review in progress, project team agreed, brief agreed and PID being developed for final approval.</p> <p>Position – February 2018 PID approved and procurement completed for external consultant to undertake review. Timescales to allow proper review mean a revised date of June 2018 for report to leadership team that will include action/improvement plan. In addition this will be timed to incorporate any outcomes from the self-assessment and feedback from Herts</p>				

Safeguarding 2015/16

Final report issued November 2015

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
			<p>County Council who are meeting with the Managing Director and Safeguarding Lead in March 2018.</p> <p>Position – July 2018 Difficulty in finding a suitable consultant led to delays. A contract was finally awarded in April and the review will be complete in July. Informal feedback has already been provided. The leadership team report will therefore be taken in September 2018.</p> <p>Position – September 2018 Review and report being finalised by mid-September. Leadership Team approval being sought on 23/10/18 – delayed due to consultants availability to attend Leadership Team.</p> <p>Position – November 2018 Leadership team report taken with safeguarding review October 2018. Action plan approved for progress. Members update at Portfolio holder meeting 17/12/18.</p>				

Audit Plan 2016/17

Tree Surveying 2016/17							
Final report issued April 2017							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
01	<p>We recommend that during the review process to finalise the Woodland and Tree Strategy, the Council ensures that the strategy addresses the following:</p> <p>a) Measurement of the aims and objectives contained within the strategy;</p> <p>b) Frequency of inspections to be completed, both routine and high risk trees; and</p> <p>Detail of the maintenance programmes to be adopted.</p>	Merits Attention	<p>The strategy is meant to be an overview of trees and woodlands and intended to take a more strategic overview of tree and woodland management in the Borough. However, what this has raised is that the specification in the Parks and Open Spaces contract documentation, detailing what is required of Veolia does not cover enough detail in relation to planned maintenance and there is a clear emphasis on reactive management rather than proactive management. A review of the specification needs to be undertaken and ensure that the Strategy is aligned with this.</p> <p>Position – June 2017 As above.</p> <p>Position – September 2017 As above but delayed due to Cassiobury Park operational issues.</p> <p>Position – November 2017 No update received.</p> <p>Position – February 2018 The overarching Green Spaces Strategy is currently being reviewed as part of the Local Plan 2 work and this has the wider view of Trees and Woodlands. An action plan will be updated within this to ensure trees, woodlands and biodiversity are included and the need to</p>	Section Head Parks, Open Spaces and Projects	30 September 2017 and to be presented to Strategic Partnership Board.	x	<p>31 December 2017</p> <p>31 May 2018</p> <p>31 July 2019</p>

Tree Surveying 2016/17

Final report issued April 2017

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
			<p>update the Tree and Woodland Strategy. This will eventually be approved by PFH or Cabinet.</p> <p>Position – July 2018 The review of the Green Spaces Strategy is still underway and is tied up with the Local Plan 2 amends. The extension for the Veolia Contract is now currently being negotiated and this will be an opportune time to a) amend and agree the strategy and b) update the specification.</p> <p>Position – September 2019 In progress.</p> <p>Position – November 2018 In progress.</p>				
04	<p>We recommend that a maintenance programme is developed and implemented.</p> <p>The maintenance programme should consider the works that have been identified from inspections completed, the priority level given and the risk indicator of the tree.</p> <p>The maintenance programme should be fully costed to provide the Council with a tool for setting the budget for tree related works.</p>	Medium	<p>A proactive maintenance programme does need to be developed and costed – additional funding may be required to carry out an updated survey. The figure of 5,150 trees requiring work includes all work both safety and what could be described as desirable and not essential therefore gives a higher weighted figure.</p> <p>Position – June 2017 As above.</p> <p>Position – September 2017 As above but delayed due to Cassiobury Park operational issues.</p> <p>Position – November 2017</p>	Section Head Parks, Open Spaces and Projects	30 September 2017 and to be presented to Strategic Partnership Board.	x	<p>31 December 2017</p> <p>31 May 2018</p> <p>31 July 2019</p>

Tree Surveying 2016/17

Final report issued April 2017

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
			<p>No update received.</p> <p>Position – February 2018 The overarching Green Spaces Strategy is currently being reviewed as part of the Local Plan 2 work and this has the wider view of Trees and Woodlands. An action plan will be updated within this to ensure trees, woodlands and biodiversity are included and the need to update the Tree and Woodland Strategy. This will eventually be approved by PFH or Cabinet.</p> <p>Position – July 2018 The review of the Green Spaces Strategy is still underway and is tied up with the Local Plan 2 amends. The extension for the Veolia Contract is now currently being negotiated and this will be an opportune time to a) amend and agree the strategy and b) update the specification.</p> <p>Position – September 2018 In progress.</p> <p>Position – November 2018 In progress.</p>				
05	We recommend that, in order to ensure continuity of service, that policies and procedures relating to tree inspections, maintenance and works are developed.	Medium	<p>As above, this needs to be re-visited and assessed by the WBC client team as was not in the original specification. A report will be presented to Strategic Partnership Board as this will impact on the current contract and will result in a contract variation.</p> <p>Position – June 2017</p>	Section Head Parks, Open Spaces and Projects	30 September 2017 and to be presented to Strategic Partnership Board.	x	<p>31 December 2017</p> <p>31 May 2018</p> <p>31 July</p>

Tree Surveying 2016/17

Final report issued April 2017

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
			<p>As above.</p> <p>Position – September 2017 As above but delayed due to Cassiobury Park operational issues.</p> <p>Position – November 2017 No update received.</p> <p>Position – February 2018 The overarching Green Spaces Strategy is currently being reviewed as part of the Local Plan 2 work and this has the wider view of Trees and Woodlands. An action plan will be updated within this to ensure trees, woodlands and biodiversity are included and the need to update the Tree and Woodland Strategy. This will eventually be approved by PFH or Cabinet.</p> <p>Position – July 2018 The review of the Green Spaces Strategy is still underway and is tied up with the Local Plan 2 amends. The extension for the Veolia Contract is now currently being negotiated and this will be an opportune time to a) amend and agree the strategy and b) update the specification.</p> <p>Position – September 2018 In progress.</p> <p>Position – November 2018 In progress.</p>				2019

Audit Plan 2017/18

Cyber Security 2017/18							
Final report issued September 2017							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
02	<p>All devices that are running unsupported operating systems should be upgraded to run operating systems that are supported by the developer.</p> <p>Where it is not possible to upgrade the operating system of a device, it must be isolated from the Councils' IT network and appropriate security controls implemented.</p>	High	<p>Agreed – This will be discussed with the relevant IT system owners in order to agree the best way forward to migrate off of legacy operating systems.</p> <p>TRDC XP machines – down to: 2</p> <p>WBC XP machines – down to: 0</p> <p>Decommissioning is part of the core infrastructure programme. Since Jan 2017 67 servers have been decommissioned.</p> <p>Position - September 2017 As above – final report only recently issued.</p> <p>Position – November 2017 Significant progress. 96 servers have now been decommissioned. There are 45 remaining with an unsupported operating system installed. All servers have been reviewed and there is an associated plan in place to upgrade and/or decommission. The majority of these services have associated services or impact line of business applications, and need to be upgraded in line with services.</p> <p>TRDC XP machine: 1. This is a system that provides telephone reports. The hardware and OS has been further secured, reducing the</p>	ICT Section Head	30 June 2018	x	<p>31 August 2018</p> <p>31 December 2018</p>

Cyber Security 2017/18

Final report issued September 2017

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
			<p>risk, by removing all Internet and Email access.</p> <p>Position – February 2018 On track. Further decommissioning / upgrades of servers completed.</p> <p>Position – July 2018 Through the life of the core infrastructure programme over 150 out of support servers have been decommissioned or upgraded.</p> <p>36 servers has been identified that will remain on an unsupported operating system for the next 6 months to a year, whilst the applications are replaced, upgraded.</p> <p>Plan to move 36 servers to a “walled garden” in place and specifics dependencies identified.</p> <p>PSN (Public Services Network) submission due end of August 2018.</p> <p>Position – September 2018 PSN public services submission completed on time. Awaiting outcome from Cabinet Office. Walled Garden migration underway. Delay to movement of servers has been down to legacy systems with little to no documentation. Internally we have therefore had to map all dependencies across these systems, which has taken additional time and resources.</p> <p>Position – November 2018 Separate report from the ICT Section Head to be presented to Audit Committee on this</p>				

Cyber Security 2017/18							
Final report issued September 2017							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✖ or ✓	Revised Deadline
			recommendation.				

Audit Plan 2018/19

Equality Impact Assessments 2018/19							
Final report issued August 2018							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
01	<p>We recommend that Senior Officers are reminded that EIAs need to be approved (signed and dated).</p> <p>We recommend that the Head of Corporate Strategy and Communications should receive all EIAs for review and evidence this control procedure (signed and dated).</p>	Medium	<p>The EIA process will be strengthened through the enforcement of the sign off process. This will be raised at Leadership Team and at the Corporate Equalities Working Group for dissemination to DMTs.</p> <p>Position – September 2018 In progress.</p> <p>Position – November 2018 The requirement for EIAs to be developed alongside new policies, strategies or key decisions has been raised to Leadership Team and guidance developed, including that they need to be approved.</p> <p>EIAs are regularly submitted to the Head of Corporate Strategy and Communications for review, including sign off.</p>	Head of Corporate Strategy and Comms	31 October 2018	✓	

Part A

Report to: Audit Committee

Date of meeting: 6 December 2018

Report author: Environmental Health & Licensing Section Head

Title: Safeguarding

1.0 Summary

1.1 At the September 2018 Audit Committee, the Environmental Health and Licensing Section Head made a request for a further extension for the one outstanding audit recommendation:

- We recommend that the next review be approved by Leadership Team and Members.

1.2 This extension was requested to enable an external review and action plan to be presented to Leadership team by the consultant employed to undertake the review. This has now been undertaken and will be presented to Portfolio Holders on 17th December 2018.

2.0 Risks

2.1

Nature of risk	Consequence	Suggested Control Measures	Response (treat, tolerate, terminate or transfer)	Risk Rating (combination of severity and likelihood)
Failure to deliver safeguarding functions to an acceptable level	Impact on individuals and the wider community. Reputational impact	Implement the action plan identified as part of the review and regularly monitor performance	Treat	4

3.0 Recommendations

3.1 Committee notes the contents of this report.

Further information:

Justine Hoy, Environmental Health and Licensing Section Head

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Report approved by: Alan Gough, Head of Community and Environmental Services

4.0 Current situation

- 4.1 Further to the audit of safeguarding functions by SIAS in 2015/16, which gave a moderate assurance, the actions identified and agreed were implemented. These focussed around recognition that safeguarding had evolved and the new areas such as modern slavery, child sexual exploitation and female genital mutilation needed to be reflected in policies and procedures.
- 4.2 In recognition of this increasing remit and the synergies with community safety functions it was decided to amalgamate the safeguarding and community safety functions together within one Section. This was planned for 2017/18 and it was agreed that a full review of safeguarding would take place to inform this alignment.
- 4.3 The audit requirement outstanding referred to updating Leadership Team and Members at the next review point. Perhaps mistakenly, over time this has been read by officers to be the external review planned as part of the transfer of functions between Sections. Annual audits as required by the Hertfordshire Children's and Adult's Safeguarding Boards have continued to be undertaken with the last one reported to Leadership Team in 2017 and the next one already booked in with HSAB for January 2019. This is what the original audit requirement referred to but Officers haven't recognised these as a "review" and therefore this audit requirement could actually have been progressed some time ago.
- 4.4 However, notwithstanding point 4.3 the external review has taken longer than anticipated as has been reported to Audit Committee. This has primarily been due to the difficulty in procuring a suitable consultant. The initial procurement exercise was unsuccessful and once we found someone suitable their availability dictated the process. Work hasn't ceased during this time however, services continue to develop, training be undertaken and referrals have been made.
- 4.5 In October 2018 Leadership approved the review and associated action plan. This is being presented to Portfolio holders on 15th December 2018 and therefore fully satisfies the outstanding audit requirement. In recognition of the importance of safeguarding an annual update will be presented to Members going forward.

5.0 Implications

5.1 Financial

5.1.1 The Head of Finance comments that there are no financial implications of this report.

5.2 Legal Issues (Monitoring Officer)

5.2.1 Legal & Democratic Services Section Head comments that there are no legal implications of this report.

5.3 Equalities, Human Rights and Data Protection

5.3.1 No proposed service change or new policy.

5.4 Staffing

5.4.1 None

5.5 Accommodation

5.5.1 None

5.6 Community Safety/Crime and Disorder

5.6.1 None, the action plan is approved for implementation.

5.7 Sustainability

5.7.1 None

Appendices

None

Background papers

No papers were used in the preparation of this report.

Agenda Item 9

Part A

Report to: Audit Committee

Date of meeting: 6 December 2018

Report author: Section Head of Parks, Open Spaces & Projects

Title: Update on Tree Surveying Report 2016/2017

1.0 Summary

- 1.1 In 2016/17, a detailed audit was carried out on the Tree Surveying aspect of the Veolia Contract with 5 recommendations made. A number of these are still outstanding and this report is an update on these and proposed actions to follow.

2.0 Risks

2.1

Nature of risk	Consequence	Suggested Control Measures	Response (treat, tolerate, terminate or transfer)	Risk Rating (combination of severity and likelihood)
Tree strategy not completed on time	Recommendations not actioned – status remains same	Timeline developed with programme and time limited to Cabinet Feb 2019	Treat	4
Increase in costs as a result of actions	Budget pressure within existing cost envelope – increase in tree works costs	To be treated as part of Veolia new contract negotiations	Treat	4

3.0 Recommendations

- 3.1 To note the report and progress made in line with ongoing work.

Further information:

Name: Paul Rabbitts

Email: paul.rabbitts@watford.gov.uk

Phone: X8250

Report approved by: Alan Gough, Head of Community and Environmental Services

4.0 Detailed proposal

4.1 In April 2017, the Shared Internal Audit Service (SIAS) completed an internal audit of the tree surveying aspect of the Veolia contract.

There are approximately 11,000 trees under the Council's management and the majority were planted in a relatively short period of time, as the town rapidly expanded. Subsequently many of these trees have reached maturity at the same time. The Council's parks and open spaces include 105.31 hectares of woodland throughout the town, spread over nine different sites.

Trees along public access routes are surveyed on a rolling three year basis. The service is also responsible for looking after protected trees and giving landscape input into the planning process. Tree records are maintained on the Ezytreev system, introduced during 2014.

Around Hertfordshire, there have been several high profile cases of death, injury or near misses from fallen trees, as well as property damage resulting in insurance claims. A coroner's report ruled 'accidental death' in one such case, but it was also noted that there had been no inspection of the tree (since departmental responsibility for the land and trees thereon had not been established).

In terms of assigning legal liability, where a tree is hazardous because of decay or structural weakness and shows external signs of being in such a condition, the occupier of the land on which it stands is normally liable under UK law for any personal injury or damage that it causes. This liability arises from provisions by which the occupier has a common duty of care to others who enter their land or its vicinity. The occupier is defined as the person 'occupying or having control of the premises'.

The Courts expect occupiers to make regular inspections of trees that, by reason of their position, could place people or property at risk. It is also expected that they should, if necessary, obtain specialist guidance on the interpretation of symptoms and assessment of tree safety and to take reasonable steps to reduce risk where appropriate. If specialist advice is sought, it should be followed; failure to do so may be interpreted as negligence.

Based on the work performed during this audit, an overall **moderate assurance** was given that there are effective controls in operation for those elements of the risk management processes covered by the review.

The audit work focused on a high level review of the governance of tree management. In managing the Council's potential liability and fulfilling its duty of care, it needed to be able to demonstrate and evidence that it has appropriate tree management policies, structures and practices in place.

- 4.2 A number of recommendations were made and some progress has been made but the carrying out of some of the recommendations has been delayed. The 3 remaining recommendations are highlighted as follows:-

SIAS Recommendation ONE

We recommend that during the review process to finalise the Woodland and Tree Strategy, the Council ensures that the strategy addresses the following:

- a) Measurement of the aims and objectives contained within the strategy;*
- b) Frequency of inspections to be completed, both routine and high risk trees; and*

Detail of the maintenance programmes to be adopted.

NOVEMBER 2018 UPDATE

The proposed Tree and Woodland strategy is meant to be an overview of trees and woodlands and intended to take a more strategic overview of tree and woodland management in the Borough. However, what this initially raised is that the specification in the Parks and Open Spaces contract documentation, detailing what is required of Veolia does not cover enough detail in relation to planned maintenance and there is a clear emphasis on reactive management rather than proactive management. A review of the specification needs to be undertaken and ensure that the Strategy is aligned with this.

At the same time the overarching Green Spaces Strategy has been reviewed as part of the Local Plan 2 work and this has the wider view of Trees and Woodlands across the borough.

Finally, the extension for the Veolia Contract is now currently being negotiated (Cabinet approved on 12/11/18) and this is an opportune time to a) finalise the Tree and Woodland strategy and b) update the tree specification as part of a contract renegotiation.

ACTION – Finalise the Tree and Woodland Strategy, currently being amended by the Section Head for Parks, Open Spaces & Projects, the Cassiobury Park Manager who is also a Chartered Forester, and the Tree Officer from Veolia. This will be completed by the end of December and will be presented to Cabinet in February. The Veolia contract tree specification will be amended over the next 12 months as part of the renegotiations with Veolia and will come into force in 2020.

SIAS Recommendation FOUR

We recommend that a maintenance programme is developed and implemented. The maintenance programme should consider the works that have been identified from inspections completed, the priority level given and the risk indicator of the tree. The maintenance programme should be fully costed to provide the Council with a tool for setting the budget for tree related works.

NOVEMBER 2018 UPDATE

A proactive maintenance programme does need to be developed and costed.

The review of the Green Spaces Strategy is still underway and is tied up with the Local Plan 2 amendments. The extension for the Veolia Contract is now currently being negotiated and this will be an opportune time to update the specification. In November 2018, Veolia have once again commenced the re-surveying of all our tree stock, the cost for Highway Trees will be £8099.34, plus £8434.97 for the Parks trees. All survey results will be added to the EzyTreev Tree Management System and a plan of works will emanate from this based on priority level and risk. This will be completed in March 2019.

ACTION – ensure the tree survey is completed efficiently and by March 2019 leading to a detailed plan of works. An annual budget of £90,000 has now been allocated within the Veolia contract for parks and highways tree management works. This was confirmed in 2018.

SIAS Recommendation FIVE

We recommend that, in order to ensure continuity of service, that policies and procedures relating to tree inspections, maintenance and works are developed.

NOVEMBER 2018 UPDATE

This will be incorporated into the Tree and Woodland Strategy and will also form part of the contract negotiations with Veolia.

The extension for the Veolia Contract is now currently being negotiated and this will be an opportune time to update the specification.

ACTION - The Tree specification will be amended over the next 12 months as part of the renegotiations with Veolia and will come into force in 2020.

4.3 REASONS FOR DELAYS

There are a number of reasons for the delays in completing these recommendations including:-

- Staff resource and impact of Cassiobury Park HLF completion
- Retirement of former tree officer, Bob Clarke from Veolia, now replaced
- Revisions to the Green Spaces Strategy required as part of the Local Plan 2 process
- The need to align the proposed Tree and Woodland Strategy with an updated specification and renewal of the Veolia contract in 2020. Any changes to the contract specification need to be costed and approved by the Strategic Partnership Board.

5.0 Implications

5.1 Financial

- 5.1.1 The Shared Director of Finance comments that all works in connection with the tree survey will initially be met from the existing budget. Any increase will be reported as a budget pressure through the budget monitoring process.

5.2 Legal Issues (Monitoring Officer)

- 5.2.1 The Head of Democracy and Governance comments that the Council has legal responsibility for trees within areas that it has ownership of. It also has an agency arrangement with Hertfordshire County Council to maintain trees on the public highway on all roads where the speed limit is 40 miles per hour or less.

5.3 Equalities, Human Rights and Data Protection

- 5.3.1 Having had regard to the council's obligations under s149, it is considered that there are no issues related to equalities, human rights or data protection.
Having had regard to the council's obligations under the General Data Protection Regulation (GDPR) 2018, it is considered that officers are not required to undertake a Data Processing Impact Assessment (DPIA) for this report.

5.4 Staffing

- 5.4.1 Not applicable

5.5 Accommodation

- 5.5.1 Not applicable

5.6 Community Safety/Crime and Disorder

- 5.6.1 Not applicable

5.7 Sustainability

- 5.7.1 Not applicable

Appendices

None

Background papers

No papers were used in the preparation of this report.

Part A

Report to: Audit Committee

Date of meeting: 6 December 2018

Report author: ICT Section Head

Title: Cyber Security: Aged Server Estate

1.0 Summary

1.1 At the September 2018 Audit Committee, the ICT Section Head, made a request for a further extension for the following outstanding Cyber Security audit recommendation:

- All devices that are running unsupported operating systems should be upgraded to run operating systems that are supported by the developer.
- Where it is not possible to upgrade the operating system of a device, it must be isolated from the Councils' IT network and appropriate security controls implemented.

1.2 As part of a wider Core Infrastructure Transformation programme, this workstream had several stages; server review, dependency identification, agree plan and deliver.

1.3 Each of the out of support servers followed either a decommission path, upgrade path or migration into a more secure part of the network, termed "Walled Garden". The current position of the 29 unsupported servers as of mid-November 2018:

- 5 have been migrated to the "Walled Garden"
- 15 have been decommissioned
- 9 servers require further action and have a scheduled decommission or migration date prior to the end of December 2018

2.0 Risks

2.1

Nature of risk	Consequence	Suggested Control Measures	Response (treat, tolerate, terminate or transfer)	Risk Rating (combination of severity and likelihood)
Failure to identify all server related dependencies	Loss of service	Investigation of all servers in detail to identify individual dependencies.	Treat	4

3.0 Recommendations

- 3.1 Committee notes the contents of this report.

Further information:

Emma Tiernan, ICT Section Head

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Emma.tiernan@watford.gov.uk

Report approved by: Andrew Cox, Head of Service Transformation

4.0 Securing Unsupported Operating Systems

- 4.1 All Operating systems require updates, through the form of patching, in order to secure the devices from emerging threats. In addition to this, as with other software, vendors have software cycles and upgrade paths where required in order improve performance, security, provide additional features etc.
- 4.2 At the start of the Core Infrastructure Transformation the W3R estate had a number of unsupported Microsoft operating systems. This meant that Microsoft stopped providing those essential security updates those servers needed, therefore making those devices more vulnerable to attacks from the outside world.
- 4.3 Through the Core Infrastructure Transformation programme, we have decommissioned over 160 servers across the estate. Several months ago we identified 29 servers, with an unsupported operating system that could not be easily decommissioned as there were dependencies on other infrastructure projects. For example the Exchange (Email servers), which were unsupported can only be decommissioned upon the successful completion of the W3R Active Directory and Exchange user migration project.
- 4.4 In order to secure the network the “Walled Garden” was created and the migration programme was initiated.
- 4.5 The “Walled Garden” is a term given to the part of a network that has additional security layers, thereby securing devices that are more prone to attack. Network access is enabled through a firewall, meaning that internal network traffic restricted from both sides. The “Walled Garden” segregates traffic from our internal network, where our other supported servers reside.

4.6 **Current Position**

4.7 Migration of services and servers to the “Walled Garden” or to be decommissioning requires extensive investigation and understanding of dependencies, else the risk is loss of services to business users. The need for the extension to resolve this project is as a result of some of those investigations taking longer than expected.

4.8 To date 5 servers have been migrated to the “Walled Garden”. A further 15 were decommissioned as a result of other projects concluding and resources focussed in this area.

4.9 Our current position is there are 9 servers awaiting migration and/or decommission which we are confident will be resolved by 31 December 2018

5.0 **Implications**

5.1 **Financial**

5.1.1 The Shared Director of Finance comments that there are no financial implications.

5.2 **Legal Issues** (Monitoring Officer)

5.2.1 The Head of Democracy and Governance comments that there are no legal implications in this report.

5.3 **Equalities, Human Rights and Data Protection**

5.3.1 No proposed service change or new policy.

5.4 **Staffing**

5.4.1 None

5.5 **Accommodation**

5.5.1 None

5.6 **Community Safety/Crime and Disorder**

5.6.1 None

5.7 **Sustainability**

5.7.1 None

Appendices

None

Background papers

No papers were used in the preparation of this report.

PART A

Report to: Audit Committee
Date of meeting: 6 December 2018
Report of: Head of Finance
Title: Treasury Management mid-year report 2018/19

1.0 Summary

1.1 This report gives details of the 2018/19 mid-year review of the Treasury Management function.

2.0 Risks

2.1	Nature of Risk	Consequence	Suggested Control Measures	Response <i>(Treat, tolerate, terminate, transfer)</i>	Risk Rating (the combination of severity and likelihood)
	This report provides an update report to show compliance with the Council's Treasury Management Strategy designed to manage the risks associated with the Council's investment and borrowing activities.	Failure to adequately manage these risks could result in financial and reputational loss to the council.	Compliance with the Treasury Management Strategy.	Treat	4

3.0 Recommendations

That the Committee notes the contents of the 2018/19 mid-year review of the Treasury Management function.

Contact Officer:

For further information on this report please contact: Alison Scott, Head of Finance
telephone extension:8070 email: Alison.scott@watford.gov.uk

4.0 Details

- 4.1 The Chartered Institute of Public Finance and Accountancy (CIPFA) defines treasury management as: “the management of the local authority’s investments and cash flows, its banking, money market and capital market transactions; the effective control of the risks associated with those activities; and the pursuit of optimum performance consistent with those risks”.
- 4.2 The Council’s 2018/19 Treasury Management Strategy (TMS) as approved by Council on 30 January 2018 has the primary objectives of safeguarding the repayment of the principal and interest of its investments on time, and then ensuring adequate liquidity, with the investment return being the final objective.
- 4.3 This report updates the Committee with the progress on whether the Council is meeting the TMS and its policies for the first six months of 2018/19.
- 4.4 The Council has appointed treasury advisors to assist with our treasury management, Link Asset Services. The advisors have provided the following forecast:

Interest rate forecasts

Month & Year	Bank Rate %
Dec 2018	0.75
Mar 2019	0.75
Jun 2019	1.00
Sep 2019	1.00
Dec 2019	1.00
Mar 2020	1.25
Jun 2020	1.25

In August this year the Bank of England raised interest rates to 0.75%. The Bank has repeatedly stated that any further increases in Bank Rate will be at a gradual pace and to a limited extent. In November 2018 the Bank’s Monetary Policy Committee (MPC) central projection identified a gently rising path of bank rate implied by market yields and a smooth adjustment to the average of a range of possible outcomes for the UK’s eventual trading relationship with the European Union.

4.5 The Council's Capital Position (Prudential Indicators)

The Council's capital expenditure plans are one of the key drivers of treasury management activity. The outputs of the capital expenditure plans are reflected in prudential indicators, which are designed to assist members' overview and confirm capital expenditure plans.

The capital expenditure plans are financed in full by capital receipts, grants or capital reserves. When the Treasury Management Statement was prepared in December 2017 there were no planned shortfalls of resources over the next three years which would result in a funding need (borrowing).

4.6 Capital Financing Requirement (CFR), External Debt and Operational Boundary

The CFR and Operational Boundary estimates are shown below:

Prudential Indicator	2018/19 Original Estimate	Current Borrowing Position	2018/19 Revised Estimate
Capital Financing Requirement	£57.2m	£7.5m	£57.2m
External Debt / the Operational Boundary			
Borrowing	£25m	£7.5m	£25m

4.7 Limits to Borrowing Activity

The first key control over the treasury activity is a Performance Indicator (PI) to ensure that over the medium term, net borrowing (borrowings less investments) will only be for a capital purpose. Gross external borrowing should not, except in the short term, exceed the total of CFR in the preceding year plus the estimates of any additional CFR for 2018/19 and next two financial years. This allows some flexibility for limited early borrowing for future years. The Council has approved a policy for borrowing in advance of need which will be adhered to if this proves prudent.

4.8 The Authorised Limit

This PI, which is required to be set and revised by Members, controls the overall level of borrowing and represents the limit beyond which borrowing is prohibited. It reflects the level of borrowing which, while not desired, could be afforded in the short term, but is not sustainable in the longer term. It is the expected maximum borrowing need with some headroom for unexpected movements. This is the statutory limit determined under section 3 (1) of the Local Government Act 2003.

Authorised Limit For External Debt	2018/19 Original Indicator	Current Borrowing Position	2018/19 Revised Indicator
Borrowing	£30m	£7.5m	£30m

4.9 Investment Portfolio 2017/18

In accordance with the CIPFA Prudential Code, it is the Council's priority to ensure security of capital and liquidity, and to obtain an appropriate level of return which is consistent with the Council's risk appetite. As set out in Section 2 of the Code, it is a very difficult investment market in terms of earning the level of interest rates commonly seen in previous decades as rates are very low and in line with the 0.75% Bank Rate. Indeed, the Funding for Lending scheme has reduced market investment rates even further. The potential for a prolonging of the Eurozone sovereign debt crisis, and its impact on banks, prompts a low risk and short term strategy. Given this risk environment, investment returns are likely to remain low.

The Council held £4m of investments as at 30 September 2018 (see table below). This information is reported in the monthly Members Information Bulletin

PLEASE UPDATE THIS TABLE

Institution	Principal (£)
Lloyds Bank plc	16,694,483
Nationwide Building Society	-
Principality Building Society	4,000,000
Skipton Building Society	-
Total Building Societies	4,000,000
Total	20,694,483

The approved limits within the Annual Investment Strategy were not breached during the first six months of 2018/19.

4.10 Security

The Council uses benchmarks as simple guides to maximum risk, and these may be breached from time to time, depending on movements in interest rates and counterparty criteria. Any breach of the benchmarks will be reported, with supporting

reasons, in this report. There were no breaches to report in the first six months of 2018/19.

In line with the TMS, the Council has managed to invest with those institutions who offered the best rate and the investment portfolio is above the overall benchmark during the year to date.

4.11 **Liquidity**

The Council set liquidity facilities/benchmarks to maintain:

- Authorised bank overdraft of £nil.
- Liquid short term deposits of at least £5m available with a week's notice.
- Weighted Average Life benchmark is expected to be 0.5 years, with a maximum of 10 years for an individual loan with a public body (excluding loans to institutions the Council has an interest in).

The liquidity arrangements were adequate during the year to date.

4.12 **Yield**

The budget for interest earned on investments for 2018/19 is £70,000; interest received and accrued up to the end of September was £41,113. On current trends it is expected that the budget will be exceeded.

The approved benchmark measure of yield is a return of 0.12% above the average bank rate. The bank rate was 0.5% until 1 August 2018, when it rose to 0.75%. The returns up to 30 September 2018 averaged 0.63%, against a benchmark rate of 0.70%.

The average yield return was lower than the benchmark for the year to date. In order to mitigate the low yields received on cash investments the Council has continued to invest in property to improve yield on longer term surplus cash. The yields below reflect the return on the investment of short term, highly liquid, cash required to meet working capital requirements.

Table of Monthly Interest Rates to Date:

Month	Rate Achieved
April 2018	0.42%
May 2018	0.46%
June 2018	0.50%
July 2018	0.52%
August 2018	0.41%
September 2018	0.72%

The Council keeps all investments short term. There are no sums within the TMS invested for greater than 364 days. Counterparties have been downgraded over the

past few years; most investments have been limited to a 6 months period. This has resulted in lower interest rates being achieved.

The current investment counterparty criteria selection approved in the TMS is being met.

4.13 **Credit Ratings**

Credit rating information is supplied by our treasury consultants, Link Asset Services, on all counterparties that comply with the Council's criteria. Any counterparty failing to meet the criteria would be omitted from the counterparty (dealing) list. Any rating changes, rating watches (notification of a likely change), rating outlooks (notification of a possible longer term change) are provided to officers almost immediately after they occur and this information is considered before dealing.

5.0 **Implications**

5.1 **Financial**

- 5.1.1 The Shared Director of Finance comments that that this report indicates that the report is within current budget and policies.

5.2 **Legal Issues** (Monitoring Officer)

- 5.2.1 The Head of Democracy and Governance comments that there are no legal implications in this report.

5.3 **Equalities/Human Rights**

- 5.3.1 No implications

5.4 **Staffing Issues**

- 5.4.1 No implications.

Appendices

None

Background Papers

None

File Reference

None

PART A

Report to: Audit Committee
Date of meeting: 6 December 2018
Report of: Head of Finance
Title: Draft Capital Strategy

1.0 Summary

1.1 This report seeks comments from the Audit Committee on the draft capital strategy for 2019/20.

2.0 Risks

2.1	Nature of Risk	Consequence	Suggested Control Measures	Response <i>(Treat, tolerate, terminate, transfer)</i>	Risk Rating (the combination of severity and likelihood)
	The Capital Strategy seeks to manage the risks associated with the Council's investment and borrowing activities.	Failure to adequately manage these risks could result in financial and reputational loss to the council.	An approved capital strategy and treasury management policy is in place and adhered to.	Treat	4

3.0 Recommendations

That the Committee review the draft strategy and make any comments it wishes to make.

Contact Officer:

For further information on this report please contact: Alison Scott, Head of Finance
 telephone extension:8070 email: Alison.scott@watford.gov.uk

4.0 Detailed proposal

4.1 The Capital Strategy is a new requirement introduced under the revisions made to the Prudential Code in 2018. It replaces the requirement to report on a detailed Treasury Management Strategy as part of the budget setting process.

4.2 The purpose of the capital strategy (the Strategy) is to tell a story that gives a clear and concise view of how the council determines its priorities for capital investment, decides how much it can afford to borrow and sets its risk appetite. It is intended to give a high level overview of how capital expenditure, capital financing and treasury management activity contribute to the provision of services along with an overview of how associated risk is managed and the implications for future financial sustainability.

4.3 The detailed Treasury Management Strategy, in support of the approved Capital Strategy, will be brought to the Audit Committee immediately following the approval of the Capital Strategy by the Council.

4.4 The draft strategy is appended to this report and is at this point very much a work in progress as the figures contained within will be updated in parallel to the budget process.

4.5 The Capital Strategy is a new requirement introduced under the revisions made to the Prudential Code in 2018. It replaces the requirement to report on a detailed Treasury Management Strategy as part of the budget setting process.

4.6 The Committee are asked to provide any comments on the draft strategy appended to this report in order that these can be taken to consideration in the finalisation of the strategy for agreement by council as part of the budget setting process.

5.0 Implications

5.1 Financial

5.1.1 The Shared Director of Finance comments that that this report indicates that the report is within current budget and policies.

5.2 Legal Issues (Monitoring Officer)

5.2.1 The Head of Democracy and Governance comments that there are no legal implications in this report

5.3 **Equalities/Human Rights**

5.3.1 No implications

5.4 **Staffing Issues**

5.4.1 No implications.

Appendices

- Draft Capital Strategy

Background Papers

CIPFA's Prudential Code and Treasury Management Code.

File Reference

None

CAPITAL STRATEGY

2nd Draft November 2018

1. Introduction

- 1.1 The purpose of the capital strategy (the Strategy) is to tell a story that gives a clear and concise view of how the council determines its priorities for capital investment, decides how much it can afford to borrow and sets its risk appetite. It is intended to give a high level overview of how capital expenditure, capital financing and treasury management activity contribute to the provision of services along with an overview of how associated risk is managed and the implications for future financial sustainability.
- 1.2 The framework the government uses to control how much councils can afford to spend on capital investment is known as the Prudential Framework. The objectives of the Prudential Code, which sets out how this framework is to be applied, are to ensure that local authorities' capital investment plans are:
- affordable, prudent and sustainable;
 - that treasury management decisions are taken in accordance with good professional practice; and
 - that local strategic planning, asset management planning and proper option appraisal are supported.
- 1.3 This capital strategy sets out how Watford Borough Council will achieve the objectives set out above.

2. CAPITAL INVESTMENT PROGRAMME

Capital Investment Programme - Expenditure

- 2.1 Capital Investment is the term used to cover all expenditure by the council that can be classified as capital under legislation and proper accounting practice. This includes expenditure on:
- property, plant and equipment
 - heritage assets, and
 - investment properties.
- 2.2 Property plant and equipment includes assets that have physical substance and are held for use in the production or supply of goods and services, for rental to others, or for administrative purposes. They are expected to be used during more than one financial year. Expenditure on the acquisition, creation or enhancement of these assets is capitalised on an accruals basis, provided that the Council is likely to benefit from the future economic benefits or service potential and the cost of the item can be measured reliably. Expenditure on repairs and maintenance is charged to the revenue account when it is incurred.
- 2.3 Heritage Assets are held with the objective of increasing knowledge, understanding and the appreciation of the Council's history and local area.
- 2.4 Investment properties are those that are used solely to earn rentals and/or for increases in value. The definition is not met if the property is used in any way for the delivery of services or production of goods or is held for sale.
- 2.5 The Council is currently has no external debt, with the exception of a loan from the Local Enterprise Partnership, so does not capitalise borrowing costs incurred whilst assets are under construction.

- 2.6 Detailed accounting policies in relation to assets and capital expenditure may be found in the annual statement of accounts.
- 2.7 Appendix 1 shows the latest MTFS position on the capital programme along with a description of the individual schemes.

Capital Investment Programme - Funding

- 2.12 The Capital Investment Programme can be funded from the following sources:
- 2.13 Government Grants & Other Contributions: These are grants for specific purposes which may be available from the Government, e.g. Disabled Facility Grants. The Council can also attract partnership funding from other local authorities and agencies e.g. Local Enterprise Partnership (LEP). The Council has also benefited in the past from other funding such as lottery grants.
- 2.14 Section 106 Contributions: These are contributions from developers to the public services and amenities required for the development. These have been in part replaced by the Community Infrastructure Levy.
- 2.15 Capital Receipts: Capital receipts are derived when selling assets such as land. The main receipt relates to the arrangements made when the Council sold its housing stock to Watford Community Housing; the Transfer Agreement included a Right to Buy (RTB) Sharing Agreement whereby the Council is entitled to a share of the post-transfer receipts from RTB sales and a 'VAT Shelter Agreement' whereby the Council benefits from the recovery of VAT on continuing works carried out by Watford Community Housing.
- 2.16 Revenue Contributions: Revenue balances from the General Fund may be used to support capital expenditure.
- 2.17 Capital Expenditure Reserves: The Council has reserves which it has put aside for capital expenditure.
- 2.19 Borrowing: The Council is allowed to borrow to support its capital expenditure as long as this is prudent, sustainable, and affordable. Whilst the Council does not currently borrow, with the exception of LEP funding, it is likely that borrowing will be required to finance the future capital programme.
- 2.20 The capital programme includes an assessment of likely available resources to finance capital expenditure this is included at Appendix 3.

Property investment

- 2.8 Lambert Smith Hampton (LSH) were commissioned by the Council in 2014 to undertake a strategic property review. The outcome of this process was reported to the March 2015 Cabinet which resulted in a number of decisions on the general aims of the Council, including establishing a Property Investment Board. The terms of reference include authority to agree a reinvestment programme and to determine the level of receipts to be recycled into new investments to support the Council's capital or revenue programme.
- 2.9 The Portfolio Holder for Property and Housing has delegated powers to agree to acquisitions and disposals up to £5,000,000 and the Deputy Managing Director/ Property Section Head have delegated powers to agree to acquisitions and disposals

up to £3,000,000. Both of these subject to a full written business case being prepared and signed off by Finance and Legal and the acquisition/disposal being in line with the Property Investment Board Investment Strategy.

- 2.10 The LSH review identified that the property investment portfolio is unbalanced with an overloading of retail property. Re-profiling of the portfolio over time in accordance with a property investment strategy has been agreed by the Property Investment Board with some non-conforming properties being replaced by higher yielding conforming properties.

Other investments

- 2.12 Watford Borough has established a commercial trading company Watford Commercial Services Ltd, of which it has 100% ownership. At present the only activity carried out through the company is Watford's investment in Hart Homes Development LLP, of which it has a 50% share. This is a joint venture with Watford Community Housing set up to deliver housing development within the area. In addition Watford Borough Council has a direct 50% share in Hart Homes (Watford) Ltd which was set up for the ongoing management of rental properties developed by Hart Homes Development LLP.
- 2.13 Watford Borough Council has set up a Local Asset Backed Vehicle (LABV) with Kier to develop Watford Health Campus. Under the LABV model, the public sector transfers land into to the partnership and the private sector matches the value of the asset to deliver the joint venture's objectives. Empowering the joint venture (by way of land and money) to deliver the regeneration and transformation activities agreed between the parties.
- 2.14 All investment activity in relation to other investments is managed through the capital programme and revenue budget process. Because of the longer term nature of these investments, a longer term forecast has been produced at Appendix 4 which separately identifies the impact of the major projects. The activity of the joint venture and investments in partnerships and companies is included within the Group Accounts which are prepared as part of the Annual Statement of Accounts.

Future Investment

- 2.22 Future Investment Schemes will be assessed on the basis of a full business case which will include full resourcing for the project and an assessment of affordability. Priority areas for future capital investment are:
- Schemes through the joint ventures that generate a surplus and increase the supply of housing locally.
 - Schemes that generate revenue budget savings or income.
 - Schemes that allow the council to benefit from future economic regeneration potential within the local area.

3. TREASURY MANAGEMENT

- 3.1 The Council is required to operate a balanced budget over the medium term which, after allowing for contributions to and from reserves, broadly means that cash raised during the year will meet cash expenditure. Part of the treasury management operation is to ensure that this cash flow is adequately planned, with cash being available when it is needed. Surplus monies are invested in low risk counterparties or instruments commensurate with the Council's low risk appetite, providing the requisite

liquidity before considering investment return. The Council has purchased investment properties to improve the yield on its longer term surplus cash.

- 3.2 The Treasury Management Policy Statement, details the policies, practices, objectives and approaches to risk management of its treasury management activities, which is to be monitored by the Audit Committee. The Council's investment strategy's primary objectives are safeguarding the repayment of the principal and interest of its investments on time, and then ensuring adequate liquidity, with the investment return being the final objective. The strategy allows the Director of Finance, in consultation with the Portfolio Holder, the delegated authority to approve any variation to the Treasury Management Strategy during the year which may be brought about by investigating the opportunity to invest for greater than one year and also to invest in other investment instruments i.e. Government bonds, Gilts and investment property with a view of maximising the Council's returns without significantly increasing risk.

The Council's Borrowing Need - The Capital Financing Requirement (CFR)

- 3.3 The CFR is simply the total historic outstanding capital expenditure which has not yet been paid for from either revenue or capital resources. It is essentially a measure of the Council's underlying borrowing need. Any capital expenditure, which has not immediately been paid for, will increase the CFR. An increase in the CFR does not necessarily mean that the council will borrow externally to fund the increase. The Council manages its cash balances as a whole and may choose to use internal cash (generated by holding reserves and through timing differences between income and expenditure).
- 3.4 The table below shows the estimate of the CFR for 2019/20 and 2020/21 along with an analysis of forecast resources for 2021/22 and beyond. The forecast beyond 2020/21 include no use of reserves:

Minimum Revenue Provision (MRP) Strategy and Policy Statement

- 3.5 The Minimum Revenue Provision (MRP) is designed to pay off an element of the capital spend which has not already been financed from existing revenue or capital resources. The Council is required to make prudent provision, by way of a charge to the revenue account, which means that the repayment of debt is enabled over a period that is reasonably commensurate with that over which the capital expenditure provides benefits.
- 3.6 The Council is also able to increase the rate it reduces its CFR by undertaking additional voluntary payments (voluntary revenue provision - VRP) in addition to any MRP; this is not currently the Council's policy.
- 3.7 Government Regulations require the Council to approve a MRP Statement in advance of each year. The following is Watford's MRP statement:

For all unsupported borrowing (including PFI and finance leases) the MRP policy will be:

- **Asset life method** – MRP will be based on the estimated life of the assets, in accordance with the regulations (this option must be applied for any expenditure capitalised under a Capitalisation Direction) (option 3)

This option provides for a reduction in the borrowing need over the asset's estimated life.

Repayments of PFI or Finance Leases are allowable to use as a proxy for the above methods.

- 3.8 Watford Borough Council's process is to produce for approval by the Director of Finance, in consultation with the Portfolio Holder, a business case for each scheme intended to be unfunded from other resources. This will clearly show the level of MRP which is proposed to ensure that the repayment of any debt can be made in a period commensurate with the period over which the expenditure provides benefits or makes returns.
- 3.9 No MRP provision is made in respect of investments or payments in to Watford Commercial Services or the joint ventures as such investments are intended to be time-limited and allow for the repayment of debt. For finance leases the council will charge MRP to its General Fund each year dependant on the life of the underlying asset and whether there is a reasonable expectation that the Council will exercise any option to purchase at the end of the lease.

Cash Flow

- 3.10 Appendix 5 contains the forecast cash flow.

Revenue Cost of Borrowing

- 3.11 Where the council decides to borrow to fund capital expenditure the annual cost of borrowing is included within the revenue budget.

Prudential Indicators

- 3.12 There are two limits on external debt: the 'Operational Boundary' and the 'Authorised Limit'. Both are consistent with existing plans and the proposals in the budget report for capital expenditure and financing, and with approved treasury management policy statement and practices.
- 3.13 The first key control over the treasury activity is a Performance Indicator (PI) to ensure that over the medium term, net borrowing (borrowings less investments) will only be for a capital purpose. Gross external borrowing should not, except in the short term, exceed the total of CFR in the preceding year plus the estimates of any additional CFR for 2018/19 and next two financial years. This allows some flexibility for limited early borrowing for future years, but ensures that borrowing is not undertaken for revenue purposes.

Treasury Management Indicator - The Operational Boundary

- 3.14 This is the limit beyond which external borrowing is not normally expected to exceed. In most cases this would link directly to the authority's plans for capital expenditure, its estimates for CFR and its estimate of cashflow requirements for the year for all purposes. The Council may need to borrow, this limit represents a contingency should the need arise.

Operational Boundary	2018/19 Estimate	2019/20 Estimate	2020/21 Estimate	2021/22 Estimate
Borrowing	£10M	£15M	£10M	£10M

{to be updated for proposed capital programme}

Treasury Management Indicator - The Authorised Limit for External Borrowing

- 3.15 This PI, which is required to be set and revised by Members, controls the overall level of borrowing and represents the limit beyond which external long and short term borrowing is prohibited, and this limit needs to be set or revised by the Council. It reflects the level of borrowing which, while not desired, could be afforded in the short term, but is not sustainable in the longer term. It is the expected maximum borrowing need with some headroom for unexpected movements. This is the statutory limit determined under section 3 (2) of the Local Government Act 2003.

Authorised Limit	2018/19 Estimate	2019/20 Estimate	2020/21 Estimate	2021/22 Estimate
Borrowing	£12M	£12M	£12M	£12M

{to be updated for proposed capital programme}

4. Future Investments

- 4.1 The Council will continue to seek opportunities to work in partnership with others to promote economic development and the provision of housing within Watford's wider economic area. Current partners include Kier for the Watford Health Campus, along with Watford Community Housing as the main local registered social provider.
- 4.2 The council has established Watford Commercial Services to allow it to work more closely with providers and exploit future commercial opportunities. The Council currently has a joint venture with Watford Community Housing through Hart Homes Development LLP and Hart Homes Ltd.

5. Skills and Knowledge and Professional Advice

- 5.1 The Council has a shared service with Three Rivers District Council for the provision of the finance function allowing access to a greater range of professional skills than would otherwise be available if each council had a separate team.
- 5.2 Watford Borough Council uses Lambert Smith Hampton (LSH) to provide advice on and management of its investment property portfolio. LSH also provide ad-hoc advice where required on other projects. The Council has framework agreements in place with Grant Thornton to provide finance and accountancy advice and Trowers for legal advice. The council uses external advisers on all major projects.
- 5.3 The Council contracts with Link Asset Services for the provision of Treasury advice. Link Asset Services provide non-regulated advice on the management of the council's cash flows, investments and borrowings and a markets information service. The Councils VAT advisers are PSTax.

6. Risk

- 6.1 Financial risks are closely monitored as a separately identifiable part of the corporate risk management framework. The Council's risk appetite is evolving as it becomes involved in a wider range of major property lead investments both within its economic area linked to regeneration and more widely for income generation purposes.

- 6.2 The Council takes advice from its professional advisers to both identify and mitigate the key risks it faces and ensures that all decisions are made with an understanding of the risks involved. The ongoing management of risk is a key function of the Council's Property Investment Board which routinely takes advice from LSH.
- 6.3 The council currently has an income target of £7.3M pa from its commercial investment activities. This is equivalent to 28% of its total gross income (excluding housing benefit reimbursements from government) of £26.3M in 2018/19. The Council does not receive RSG and is entirely dependent upon locally raised taxes and locally generated income to fund services. The general fund balance as at 1st April 2018 was £2M.
- 6.4 Whilst recognising the importance of generating income to support services, the Council will ensure that its external income is actively managed to safeguard the future financial sustainability of the council. In this respect it will continue to seek to balance income from its commercial investment activities against its overall level of risk and the amount of reserves available to mitigate this risk.
- 6.5 In assessing the risk of its commercial investments the Council will consider the level of risk inherent in the income stream, the security held, its ability to realise assets or other security should the need arise and the level of income received from commercial investments compared to the total income of the council.

Capital Forecast

The capital forecast shows the forecast for the period of the current MTFS. New major schemes will be subject to individual business cases, including identification of resources and an assessment of affordability.

Service Area	Service Provision	Latest Budget 2018/19	Forecast Outturn	Actual to date	Latest Budget 2019/20	Latest Budget 2020/21	Latest Budget 2021/22
		£	£	£	£	£	£
Service Transformation	Customer Services	134,711	86,711	(7,400)	0	0	0
	ICT Shared Services	45,000	45,000	78,742	45,000	45,000	45,000
	ICT Client Services	925,796	925,796	(46,228)	485,000	485,000	485,000
Community & Environmental	Waste & Recycling (Inc Veolia)	435,505	435,505	0	2,396,810	96,810	98,260
	Parks & Open Spaces	5,484,315	5,809,315	327,902	340,000	290,000	265,000
	Cemeteries	450,000	450,000	8,576	100,000	50,000	0
	Leisure & Play	1,445,851	1,445,851	20,000	20,000	250,000	0
	Culture & Heritage	562,244	562,244	47,724	0	0	0
	Environmental Health	208,204	208,204	28,717	100,000	100,000	100,000
Democracy & Governance	Community Projects	0	32,053	32,053	0	0	0
	Buildings & Projects	3,220,959	3,220,959	88,139	11,536,000	782,000	400,000
Place Shaping & Performance	Watford Business Park	5,064,042	5,064,042	514,182	0	0	0
	Watford Riverwell	13,737,053	13,737,053	768,722	3,281,000	14,159,000	100,000
	Housing	266,224	266,224	1,352	50,000	50,000	50,000
	Transport & Infrastructure	2,465,253	3,606,253	511,008	415,000	315,000	0
	Development Control	80,000	80,000	0	0	0	0
	Property Investment Board	0	125,000	(750)	0	0	0
Strategic Finance	Property Management	5,110,529	5,110,529	705,440	2,000,000	0	0
	Capital Support Services	677,470	677,470	5,114	679,470	679,470	680,740
	Business Systems	0	0	0	0	0	0
TOTAL CAPITAL PROGRAMME		40,313,156	41,888,209	3,083,295	21,448,280	17,302,280	2,224,000

{per Budget Panel Q1 2019/20, the table will reflect budget proposals in final version along with explanations of key schemes}

SCHEME FOR PRIORITISING CAPITAL BIDS

Criteria	Capital Bids	
	Score	Description
Measure of Quality of Service	3	Maintaining Current Service
	6	Improved Internal Service
	9	Improved External Service
Customer Impact / Quantity of Service	3	Affects < 10% of residents
	6	Affects < 50% of residents
	9	Affects all residents
Links to Strategic Plan	2	Contributes to General Theme
	4	Contributes to General Aim
	6	Contributes to Specific Objective
Impact on Partners (as defined in the Community Strategy)	1	No impact on partner agencies or joint priorities
	2	Impacts on 1 partner agency / priority
	3	Impacts several partners / priorities
Partnership Funding	1	No Partnership Funding
	2	Partly Funded by Partners
	3	Fully Funded by Partners
Equalities	1	No impact on vulnerable groups
	2	Impacts on one vulnerable group
	3	Impacts on several vulnerable groups
Asset Management	1	Not related to asset maintenance
	2	Allowing asset to continue in use
	3	Expenditure required to bring asset up to standard enabling service to continue (i.e. an element of 'backlog' repair exists)
Statutory/Discretionary Service	1	Entirely Discretionary
	2	Partly Statutory
	3	Entirely Statutory
Contractually Committed	1	No Commitment
	2	Moral Obligation (e.g. SLA)
	3	Contractually Committed
Financial Implications	1	Revenue Cost
	2	Revenue Neutral
	3	Revenue Saving
Invest to Save Will the original capital investment be repaid?	6	Return on Investment in 1 Yr
	4	Return on Investment in 3 Yr
	2	Return on Investment in 5 Yr

Capital Funding 2018-2021

FUNDING THE APPROVED CAPITAL PROGRAMME				
FUNDING TYPE	Forecast Outturn 2018/19 £	Budget 2019/20 £	Budget 2020/21 £	Budget 2021/22 £
Grants & Contributions	1,741,435	18,000	18,000	18,000
Reserves	1,482,744	0	0	0
Capital Receipts (PIB & non PIB)	23,481,755	10,569,280	16,902,280	2,206,000
Section 106 & CIL Contributions	322,362	0	0	0
Borrowing (internal / external)	14,859,913	10,861,000	382,000	0
TOTAL CAPITAL FUNDING APPLIED	41,888,209	21,448,280	17,302,280	2,224,000

N.B. The Council applied for a loan from the Local Enterprise Partnership of £1.5m which it intends to use on the redevelopment of Watford Business Park. This loan was received in December 2015 and is expected to be repaid during financial year 2019/20

CAPITAL BALANCES AFTER FUNDING THE APPROVED CAPITAL PROGRAMME				
FUNDING TYPE	Forecast Outturn 2018/19 £	Budget 2019/20 £	Budget 2020/21 £	Budget 2021/22 £
Grants & Contributions	73,814	73,814	73,814	73,814
Reserves	376,137	376,137	376,137	376,137
Capital Receipts (PIB & Non PIB)	1,990,186	1,208,231	2,579,773	1,373,773
Section 106 & CIL Contributions	4,383,266	4,998,266	5,613,266	6,228,266
Sub Total	6,823,403	6,656,448	8,642,990	8,051,990
Borrowing (internal / external)	(40,978,834)	(51,839,834)	(52,221,834)	(52,221,834)
TOTAL CAPITAL FUNDING AVAILABLE	(34,155,431)	(45,183,386)	(43,578,844)	(44,169,844)

{per Budget Panel Q1 2019/20, the table will reflect budget proposals in final version}

Appendix 4

Longer Term Forecast

{to be updated for proposed capital programme}

Appendix 5

Cash Flow

{to be updated for proposed capital programme}

Agenda Item 13

Part A

Report to: Audit Committee
Date of meeting: 6 December 2018
Report of: Head of Finance (shared services)
Title: Committee Work Programme

1.0 **Summary**

- 1.1 To review and make necessary changes to the Audit Committee's Work Programme

2.0 **Recommendations**

- 2.1 That the Committee considers and makes necessary changes to its Work Programme.

Contact Officer:

For further information on this report please contact: -
Alison Scott, Head of Finance (Shared Services)
Telephone extension: 7188
email: alison.scott@threerivers.gov.uk

Report approved by: Joanne Wagstaffe, Director of Finance

3.0 Details

- 3.1 The work programme is presented at each meeting of the Committee to enable any changes to be made and to provide Members with updated information on future meetings. The programme of reports scheduled to be presented to this Committee in financial year 2018/19 and 2019/20 are shown below;

Date	Reports
<u>Financial Year 2018/19</u>	
March 2019	<ul style="list-style-type: none"> ▪ External Audit Certification Work Report 2018/19 ▪ Accounting Policies 2018/19 ▪ SIAS Internal Audit Plans 2019/20 ▪ External Auditor Audit Plan 2019/20 ▪ Standing items
<u>Financial Year 2019/20</u>	
July 2019	<ul style="list-style-type: none"> ▪ External Auditors Report and Approval of the 2018/19 Statement of Accounts ▪ SIAS Internal Audit Annual Report 2018/19 ▪ Fraud Annual Report 2018/19 ▪ Annual Governance Statement 2018/19 ▪ Treasury Management Annual Report 2018/19 ▪ Freedom of Information 2018/19 ▪ Ombudsman report? ▪ Standing items
September 2019	<ul style="list-style-type: none"> ▪ External Auditors Annual Audit Letter 2018/19 ▪ SIAS Board Annual Report 2018/19 ▪ Ombudsman report? ▪ Standing items
December 2019	<ul style="list-style-type: none"> ▪ Treasury Management Mid-Year Report 2019/20 ▪ Risk Management Strategy ▪ Draft Treasury Management Strategy 2020/21 ▪ Freedom of Information 2019/20 ▪ Standing items
March 2020	<ul style="list-style-type: none"> ▪ External Audit Certification Work Report 2019/20 ▪ Accounting Policies 2019/20 ▪ SIAS Internal Audit Plans 2020/21 ▪ External Auditor Audit Plan 2019/20 ▪ RIPA ▪ Standing items

Standing items are: -

- SIAS Internal Audit Progress Report
- External Audit Progress Report – Recommendations
- Annual Governance Statement – Action Plan update
- Committee’s Work Programme

3.2 The annual statement accounts are to be produced and signed by the council's Chief Financial Officer by 31 May for the preceding financial year. The audited accounts need to be agreed and signed by Committee by 31 July.

4.0 **Implications**

4.1 **Financial**

4.1.1 None Specific.

4.2 **Legal Issues** (Monitoring Officer)

4.2.1 None Specific.

4.3 **Equalities**

4.3.1 None Specific.

4.4 **Potential Risks**

4.4.1 There are no risks associated with the decisions members are being asked to make.

The table below contains a list of proposed discussion topics for the Audit Committee and offers the opportunity to express an interest in each topic.

Topic	Led by
Audit Committee effectiveness	SIAS
Navigating SIAS audit reports	SIAS
The role of the Audit Committee in corporate governance	Governance Officer / SIAS
The role of the Audit Committee in risk management	Risk Manager / SIAS
The role of the Audit Committee with the work of external audit	External Audit
Statement of Accounts for Audit Committees	Finance
Anti-Fraud and Corruption	Anti-Fraud Team
Emerging Risks	SIAS
Oversight of Freedom of Information (where relevant)	FOI Officer
About SIAS	SIAS

Each of the above topics could be covered as a high level 'lite bite' (15 to 30 minutes) or as an extended session (45minutes to 1 hour max) prior to the commencement of each Audit Committee. The latter may involve merging some of the proposed topics.

Shorter sessions are a popular choice for Members pressed for time and not wishing to be overwhelmed by detail.