



**WATFORD
BOROUGH
COUNCIL**

AUDIT COMMITTEE

5 December 2019

7.00 pm

Town Hall, Watford

Contact

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

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Committee Membership

Councillor D Scudder (Chair)
Councillor I Stotesbury (Vice-Chair)
Councillors S Bashir, J Johnson and P Kloss

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 19 September 2019 to be submitted and signed.

4. Annual Risk Report (Pages 4 - 28)

Report of the Group Head of Democracy and Governance asking that the Committee note the Corporate Risk Register and Risk Management Strategy.

5. Freedom of Information Act Requests April to September 2019 (Pages 29 - 73)

Report of the Group Head of Democracy and Governance recommending that the Committee notes the half yearly report of Freedom of Information Act requests received between 1 April 2019 and 30 September 2019.

6. External Audit Update - verbal update on the Housing Benefit Claim Audit

The Committee to be provided with a verbal update on the Housing Benefit Claim Audit.

7. Treasury Management Mid-Year Report 2019/20 (Pages 74 - 78)

The report of the Head of Finance gives details of the 2019/20 mid-year review of the Treasury Management function.

8. Watford Borough Council draft Capital Strategy 2020/21 (Pages 79 - 88)

Watford Borough Council draft Capital Strategy 2020/21 for the information of the committee.

9. SIAS Internal Audit Progress Report (Pages 89 - 111)

Watford Borough Council Internal Audit Committee Progress Report for consideration by the committee.

Agenda Item 4

Part A

Report to: Audit Committee

Date of meeting: Thursday, 5 December 2019

Report author: Group Head of Democracy and Governance

Title: Annual Risk Report

1.0 Summary

1.1 Audit Committee is responsible for overseeing the management of risk within the council. This includes the corporate risk register and Risk Management Strategy.

1.2 Attached as appendix 1 is the Corporate Risk Register and appendix 2 has the Risk Management Strategy

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)
Risks are not adequately managed within the council	The Council takes decisions without having regard to risk and suffers loss.	Risks are regularly reviewed at both SLT for corporate risks and OLT for service risks and PMB for project related risks	treat	4

3.0 Recommendations

3.1 That the Corporate Risk register and Risk Management Strategy be noted.

Further information:

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4.0 Detailed proposal

- 4.1 Audit Committee is responsible for overseeing the management of risk, this includes looking at the corporate risk register and the Risk Management Strategy. These are attached as appendices 1 and 2.
- 4.2 Senior Leadership Team regularly reviews the Corporate Risk Register and Organisational Leadership Team is responsible for ensuring that service risk registers are kept up to date. Programme Management Board has oversight of risks in our major projects.
- 4.3 The Corporate Risk Register has been amended to remove 3 risks, two that were closed and one that was merged with another. There has been one new one added following the acquisition of Croxley Park.
- 4.4 The Risk Management Strategy has been amended to take account of the establishment of our new SLT/OLT arrangement.
- 4.5 Members are asked to note the Register and Strategy.

5.0 **Implications**

5.1 **Financial**

- 5.1.1 The Shared Director of Finance comments that there are no implications in the report.

5.2 **Legal Issues (Monitoring Officer)**

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

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

- 5.3.1 There are no implications in this report.

Appendices

- Appendix 1 Corporate Risk Register
- Appendix 2 Risk Management Strategy

Background papers

No papers were used in the preparation of this report.

Project	Corporate Risks
Risk Log Owner	Carol Chen
Date	22.11.19

[For Guidance Please Click Here](#)

Ref	Risk description	Cause	Consequence	Response	Action agreed to respond / mitigate / control	Status	Date raised	Raised by	Risk Owner	CURRENT RISK ASSESSMENT		
										Likelihood 1-4	Severity 1-4	Risk Score
1	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	06/09/2017		SLT	3	3	9
2	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	06/09/2017		SLT	2	3	6
3	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	06/09/2017		PMB	3	3	9

4	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	06/09/2017		SLT	3	4	12
5	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	06/09/2017		SLT	3	4	12
6	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	06/09/2017		PMB	2	3	6
7	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	06/09/2017		SLT	2	2	4
8	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	06/09/2017		SLT	3	4	12

9	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	06/09/2017		SLT	1	4	4
10	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	06/09/2017		Helen Fisher	3	4	12
11	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 developed. Resources being spent to upgrade hardware. Stronger contract management and governance arrangements around new projects. Staff structure implemented.	Open	06/09/2017		SLT	3	3	9
12	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	06/09/2017		Jane Walker	2	3	6

13	Impact on the Town as a result of the Metropolitan Line Extension not taking place	Failure of central government and the Mayor of London to agree finance	Potential slow down in interest and investment in Watford. Need to make careful assessments and judgements of future development applications on a piecemeal basis and a case by case basis in the short term.	Treat and Tolerate	Work under way to develop a medium term and longer term strategy/policies including exploring any other opportunities as an alternative to the fixed rail MLX.	open	02/03/2018	Manny Lewis	Helen Fisher	3	3	9
14	Failure to comply with the GDPR and Data Protection Act 2018	Lack of staff awareness, failure in IT system security, failure to manage Data Processors, failure to use safe methods of sending personal data	Loss, or misuse of personal data, causing complaints to ICO with potential for heavy fines and also loss of reputation to Council	Treat	Data Protection Officer post. Training to be ongoing with regular refreshers. Installation of e-mail encryption. Regular IT upgrades to maintain security of systems.	open	29/05/2018	Carol Chen	Carol Chen	3	4	12
15	Failure of investments or commercial ventures	Lack of understanding of the business investing in, lack of management capacity, recession or general economic downturn	Council does not have sufficient funds to undertake it's day to day activities, s151 officer constrains spending, intervention by central government	Treat	Ensure appoint appropriate advisers to consider any potential transaction. Have proper governance arrangements in place. Clear monitoring and reporting	open	02/08/2018	Manny Lewis	SLT	4	4	16
16	Community Asset Review disclosing major repairs needed to the councils assets let to the third sector	Failure of incumbent lessees to undertake repairs and failure by council to inspect premises regularly	Needing to find significant funds to undertake repairs	Treat	Take a planned approach to undertaking repairs. Use percentage of rental income to set up a sinking fund. Challenge lessees to undertake works.	open	02/08/2018	Manny Lewis	SLT	3	3	9
17	Commercial income may not materialise as identified in the MTFS	Services offered for sale may not be as high as anticipated and/or commercial properties may remain vacant for prolonged periods of time.	The income built into the budget may be less than the estimate. This may cause a budget pressure which will need to be managed.	Treat	Regular budget monitoring should highlight income levels and allow an early warning system and appropriate action to be taken.	open	11/09/2018	Joanne Wagst	SLT	2	4	8
18	Failure to appropriately manage safeguarding within the Council.	Lack of understanding of the correct processes and procedures for reporting concerns or complete failure to report concerns. Lack of training for staff to identify when safeguarding might apply	Children and vulnerable adults being left at risk and not being referred to the appropriate agencies. Damage to reputation of the Council.	Treat	Action plan in place following external safeguarding review. Regular monitoring to ensure actions in action plan are achieved.	open	06/11/2018	LT	Alan Gough	2	4	8

19	Cybersecurity attack renders ICT systems inoperable or inaccessible.	Lack of appropriate security controls, failure to report security breaches, lack of training for all staff to identify when a security incident has taken place, failure to remediate identified vulnerabilities, failure to patch systems appropriately, unsupported software in place.	ICT systems inaccessible, inoperable, or data loss is experienced. Business Continuity plans invoked.	Treat	Ongoing actions in place. Vulnerability management system in place, Qualysguard to monitor, remediation procedure in place. Staff security and awareness training module in place, security incident reporting mechanisms in place, Anti virus systems in place, annual IT health check, annual cybersecurity audit conducted. Patching policies and procedure in place, unsupported operating systems in segregated part of the network	Open	01/12/2018	Emma Tiernan	Emma Tiernan	3	4	12
20	Failure of major investment acquisition Croxley Park	Downturn in the market leading to business failures and inability to rent units.	Significant expenditure commitment to freeholder with inadequate resource to pay and significant losses to the council	Treat	Active management of the Park with appropriately qualified staff. Regular monitoring.	open	22.11.19	Carol Chen	SLT	2	4	8

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**WATFORD
BOROUGH
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RISK MANAGEMENT STRATEGY

November 2017

Reviewed November 2018 and 2019

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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	The council may tolerate a risk where: <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. These risks must be monitored and contingency plans should be put in place in case the risks occur.
Treat	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).
Terminate	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.
Transfer	Transferring some aspects of the risk to a third party, for example by insurance or paying a third party to take the risk.

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. OLT is responsible for oversight of service risk registers

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 (X: 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.

Group Head of Democracy & Governance	<ul style="list-style-type: none"> • Lead officer for risk management. • Owner of risk management strategy.
Cabinet / Senior 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.
Organisational Leadership Team	<ul style="list-style-type: none"> • Monitors service risk registers on a quarterly basis and makes recommendation to Senior Leadership Team for any risks to be elevated to the Corporate Risk Register
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.

	<ul style="list-style-type: none"> • 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 Senior 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: **Thursday, 5 December 2019**

Report author: **Group Head of Democracy and Governance**

Title: **Freedom of Information Act Requests April to September 2019**

1.0 Summary

1.1 This is the half yearly report of Freedom of Information Act requests received between 1 April 2019 and 30 September 2019.

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)
Requests are regularly not responded to	Complaint by requestors and investigation and potential sanction by the Information Commissioner	CLO's diarise response times and chase responders	treat	4

3.0 Recommendations

3.1 That the report be noted

Further information:

Carol Chen
 carol.chen@watford.gov.uk
 Tel: 01923 278350

4.0 Detailed proposal

4.1 Since January 2005 when the Freedom of Information Act came fully into force the council has been obliged to respond the requests for information. These requests should be responded to within 20 working days of receipt. The Act and public

bodies' compliance with it is overseen by the Information Commissioner who can investigate complaints and can compel the disclosure of information as well as impose fines for failure to meet deadlines.

- 4.2 This committee receives half yearly reports on the council's performance in replying to such requests.
- 4.3 For the period 1 April 2019 to 30 September 2019 the council received 330 requests for information, this was lower than the previous half year. Of those 49 were replied to outside the 20 working day time limit. Only 1 has not been replied to at all which is a significant improvement on the previous period. The requests are attached as appendix 1 and as usual they are wide ranging and varied.
- 4.4 Since the last report the council has also been investigated by the Information Commissioner as a result of a complaint made that the council was withholding information. This related to a planning pre-application matter. Following the investigation the Information Commissioners office was satisfied that the council did not have the information the complainant thought it had and no further action is to be taken.
- 4.5 There were no reported Environmental Information Regulation requests in this period.
- 4.6 The CSC continue to have oversight of FOI's and services are reminded to reply in a timely fashion.
- 5.0 **Implications**
- 5.1 **Financial**
- 5.1.1 The Shared Director of Finance comments that there are no financial implications. Services deal with FOI requests using existing resources.
- 5.2 **Legal Issues (Monitoring Officer)**
- 5.2.1 The Group 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 Information is suitably redacted when it contains personal information before responding to requests.
- 5.4 **Staffing**

5.4.1 FOI's are responded to within current staff resources

5.5 **Accommodation**

5.5.1 N/A

5.6 **Community Safety/Crime and Disorder**

5.6.1 N/A

5.7 **Sustainability**

5.7.1 N/A

Appendices

- FOI requests 1 April 2019 to 30 September 2019

Background papers

No papers were used in the preparation of this report.

FOI Report Data

Requests Received 1st April 2019 - 30th September 2019

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	What was the council's public relations and marketing budget for each of the following financial years 2014-2018	07.05.19	05.06.19	05.08.19	N	Y	N	N	Organisation
CORPORATE STRATEGY & COMMUNICATIONS	Advertising spend	12.06.19	10.07.19	01.08.19	N	Y	N	N	Organisation
CORPORATE STRATEGY & COMMUNICATIONS	LGBT Spending information	18.07.19	15.08.19	01.08.19	Y	Y	N	N	Media
CORPORATE STRATEGY & COMMUNICATIONS	Organisation's Spend/Transparency data, available on the following weblink: https://www.watford.gov.uk/downloads/download/38/list_of_expenditure_over_500	30.07.19	28.08.19	02.08.19	Y	Y	N	N	Organisation
CORPORATE STRATEGY &	Requesting information on how local authorities address antisemitism.	28.09.19	28.10.19	30.10.19	N	Y	N	N	Individual
TOTAL 5									

3 NOT ANSWERED WITHIN 20 WORKING DAYS

FOI Report Data

Requests Received 1st April 2019 - 30th September 2019

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	Requesting a list of up to date Taxi and Private Hire operators currently licensed by the council	04.04.19	07.05.19	01.05.19	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Please provide me with a list of landlords for licensed HMO's and Selective Licensing	09.04.19	10.05.19	08.05.19	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	Has the council or its contractors used any glyphosate-based herbicides in the year 2018/2019	08.04.19	09.05.19	11.07.19	N	Y	N	N	Media
COMMUNITY & ENVIRONMENTAL SERVICES	Motor Vehicles that were either renewed or first registered for public hire i.e. Hackney Carriage or Private Hire relating to the period 1st November 2018 to 28 February 2019.	10.04.19	11.05.19	01.05.19	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	I would like to request the following information regarding the fees charged for all football pitch hire in your jurisdiction for the years 2016, 2017 and 2018:	13.04.19	15.05.19	15.04.19	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	The number of skate parks built in Watford Borough Council in the last 20 years	16.04.19	17.05.19	24.04.19	Y	Y	N	N	Organisation

COMMUNITY & ENVIRONMENTAL SERVICES	I write to request the most recent 2 food hygiene inspection documentation for the following premises; Dairy Day, Unit 8 & 9, 15 / 19 Park House, Green Hill Crescent, Watford. WD18 8PH	17.04.19	20.05.19	30.04.19	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	I am writing to you under the Freedom of Information Act 2000 to request an up-to-date list of all Taxi and Private Hire Operators currently licensed by the council.	18.04.19	21.05.19	01.05.19	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Does your authority offer a large item rubbish removal Service to residents	18.04.19	21.05.19	23.04.19	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Please may I have a list of the licenced HMO's in Watford for 2019.	20.04.19	21.05.19	23.04.19	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	Request information on behalf of the Cats Protection Leagues	18.04.19	21.05.19	09.05.19	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Information regarding pitch hire and cost of swimming lessons	23.04.19	22.05.19	24.06.19	N	Y	Y	N	Media
COMMUNITY & ENVIRONMENTAL SERVICES	Complaints about encampments from 2014 - 2018	25.04.19	24.05.19	24.05.19	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Requesting information regarding name and email of Head of Parks and open spaces	24.04.19	23.05.19	25.04.19	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Wheelie Bin fines	30.04.19	30.05.19	10.05.19	Y	Y	N	N	Media
COMMUNITY & ENVIRONMENTAL SERVICES	Food related business in Watford Borough	04.05.19	04.06.19	22.05.19	Y	Y	N	requested clarification	Individual

COMMUNITY & ENVIRONMENTAL SERVICES	The address of operational paddling pools located in publicly maintained open space, and the number of operational drinking fountains located in publicly maintained open spaces	10.05.19	07.06.19	20.05.19	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	Could you please supply me with information in relation to any sports facilities with changing rooms which are owned or run by the council.	13.05.19	11.06.19	11.06.19	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	How many fines were given to people in the last three years for littering	13.05.19	11.06.19	17.06.19	N	Y	N	N	
COMMUNITY & ENVIRONMENTAL SERVICES	Food safety inspections carried out by the local authority.	15.05.19	13.06.19	14.06.19	N	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Hackney Carriage & Private Hire Vehicle information	17.05.19	17.06.19	23.05.19	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	does the council allow promotional and recruitment activities by the armed forces in public spaces/events. Does the council allow weapons and military vehicles to be part of these activities.	22.05.19	20.06.19	04.07.19	N	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Please could you provide me with a list of all licenced premises with the Council's jurisdiction.	31.05.19	26.06.19	05.06.19	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	FOI received as part of a complaint about littering	23.05.19	21.06.19	07.06.19	Y	Y	N	N	Individual

COMMUNITY & ENVIRONMENTAL SERVICES	Costs relating to special collections for the removal of electrical items.	31.05.19	25.06.19	19.06.19	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	FOI relating to Premises Licenses - Trading name and address associated with each premises and/or club license granted or issued since 1/1/08.	05.06.19	03.07.19	12.06.19	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	Public Health Funerals	05.06.19	04.07.19	12.06.19	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Food Standards Agency Inspection Reports	05.06.19	04.07.19	02.07.19	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	Enforcement of the Zoo Licensing Act 1981	09.06.19	05.07.19	11.06.19	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Disabled Facilities Grant	10.06.19	08.07.19	09.07.19	N	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	How many artworks have been purchased by the local authority since 2016-2-19, what is the estimated value of the artworks	19.06.19	17.07.19	16.07.19	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Please can you supply me with the latest Food Standards Agency Hygiene inspection report for Watford Football Club	19.06.19	17.07.19	23.07.19	N	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	How many fixed penalty notices has your council handed out in 2018 for the littering of cigarette butts.	19.06.19	17.07.19	18.07.19	N	Y	N	N	Individual

COMMUNITY & ENVIRONMENTAL SERVICES	How many statutory notices were served for Filthy and Verminous Properties for the years 2015 to 2018.	20.06.19	18.07.19	19.07.19	N	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	Collections of public refuse and recycling	21.06.19	19.07.19	01.07.19	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	How many times council officers have used pesticide on pavements in Watford over the past 12 months between June 2018 to June 2019	23.06.19	21.07.19	05.07.19	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	Carbon Neutral Goals	27.06.19	25.07.19	10.07.19	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	How large is your current waiting list for each allotment in your jurisdiction?	28.06.19	26.07.19	14.08.19	N	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	Plastic recycling - As far as the Council is aware, was any of the plastic collected in 2018 by the Council's Recycling Collection Services ultimately exported to be recycled outside the UK.	03.07.19	31.07.19	03.07.19	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	How many road vehicles does your local authority currently use either directly or via your contractors.	03.07.19	31.07.19	20.11.19	N	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	Please provide me with details of all the food businesses that have been newly registered with the Council under Regulation EC No 852/2004 between the 1st February and 20th June 2019.	07.07.19	04.08.19	26.07.19	Y	Y	N	N	Individual

COMMUNITY & ENVIRONMENTAL SERVICES	In the last financial year how many incidents did your authority record where refuse collectors were assaulted by members of the public while carrying out council duties?	05.07.19	02.08.19	29.07.09	Y	Y	N	N	Media
COMMUNITY & ENVIRONMENTAL SERVICES	The current number of burial plots available within the council sites, how many burial plots do you have in total across the councils sits, when do you estimate you will run out of available plots, are there any plans for new sites.	08.07.19	05.08.19	05.08.19	Y	Y	N	N	Media
COMMUNITY & ENVIRONMENTAL SERVICES	Public Health Funerals	15.07.19	12.08.19	17.07.19	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Premises Licence information relating to addresses in WD17 - WD25 postcodes	15.07.19	12.08.19	19.08.19	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Requesting information on how many tigers are held in captivity in your district council	17.07.19	14.08.19	23.07.19	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Information regarding Temporary Events Notices relating to 1881 Bunker at Watford Football Club Vicarage Road	17.07.019	14.08.19	06.08.19	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	Information regarding primate licensing 2019.	19.07.19	16.08.19	23.07.19	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	How many clothes recycling banks the council has in its area	24.07.19	21.08.19	29.07.19	Y	Y	N	N	Individual

COMMUNITY & ENVIRONMENTAL SERVICES	Requesting details of all Prohibition Orders served within the council area since 2013.	25.07.19	22.08.19	19.08.19	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	Requesting details of all improvement notices served within the council area since 2013.	25.07.19	22.08.19	19.08.19	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	Requesting details of all hazard awareness notices since 2013	25.07.19	22.08.19	19.08.19	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	Requesting details of all emergency action served since 2013	25.07.19	22.08.19	19.08.19	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	Request for information on planning/noise policy in Watford	25.07.19	22.08.19	12.08.19	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	What is the percentage of wastage recycled by your council broken down by year from 2016 - 2019	29.07.19	27.08.19	02.08.19	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	On behalf of Partner Engineering & Science, I'd like to submit a request for a records search regarding hazardous substance use, storage or releases, or the presence of USTs and AULs on particular property.	30.07.19	28.08.19	28.08.19	Y	Y	N	N	Organisation

COMMUNITY & ENVIRONMENTAL SERVICES	Watford's Budget Review states there is an outsourced contract for management of the Council's leisure facilities. Please provide details of how much the management company currently charges Watford Borough Council per annum, and for how long this contract has been in place.	02.08.19	02.09.19	02.09.19	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	How many trees within your Borough/city/Council area have been removed/chopped down in the past five years.	04.08.19	02.09.19	30.08.19	Y	Y	N	N	Media
COMMUNITY & ENVIRONMENTAL SERVICES	I would like to request the fleet list of vehicles operated by Watford Borough Council.	06.08.19	04.09.19	08.08.19	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	HGV fleet and Waste Collection Services	08.08.19	06.09.19	09.08.19	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Requesting a list of all currently licensed caravan and residential caravan sites under the Watford Borough Council Area.	12.08.19	10.09.19	06.09.19	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Licenses in force for operators to sell animals as pets	13.08.19	11.09.19	28.08.19	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Requesting details of the head of community & EHL	14.08.19	12.09.19	16.08.19	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	Public health funerals	15.08.19	13.09.19	29.08.19	Y	Y	N	N	Individual

COMMUNITY & ENVIRONMENTAL SERVICES	Cost of building works at North Watford Cemetery	19.08.19	17.09.19	20.08.19	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	HMO register information	20.08.19	18.09.19	20.08.19	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	Requesting information for any Environmental report of any defects relating to property in Watford (address redacted)	20.08.19	18.09.19	21.08.19	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Requesting the vehicles licensed as Taxi, Hackney Carriage or for Private Hire between 1/1/19 - 15.08.19	23.08.19	21.09.19	16.09.19	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	UK Councils – Freedom of Information Hate Crime Research 2019	25.08.19	23.09.19	23.09.19	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Information regarding local tree felling and planting	27.08.19	24.09.19	21.09.19	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	HMO list	28.08.19	25.09.19	30.08.19	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	Sunbed Regulation	30.08.19	27.09.19	12.09.19	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	Information on litter bin stickers	03.09.19	01.10.19	09.09.19	Y	Y	N	N	Individual

COMMUNITY & ENVIRONMENTAL SERVICES	Can you please provide me with a list of specified injuries reported to you under the Reporting of Injuries, Disease and Dangerous Occurrences Regulations (RIDDOR) as part of your responsibilities under the health and safety enforcing authority regulations 1998	11.09.19	09.10.19	12.09.19	Y	Y	N	N	Media
COMMUNITY & ENVIRONMENTAL SERVICES	How many fines did your authority issue for fly-tipping in the last financial year.	16.09.19	14.10.19	10.10.19	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	HMO enquiry relating to a property in Watford	18.09.19	16.10.19	25.09.19	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	I would like to request information on premises within your district	19.09.19	17.10.19	17.10.19	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Requesting a review of the response sent relating to Taxi Licensing vehicle registrations for vehicles as was unable to disclose	23.09.19	21.10.19	03.10.19	Y	Y	N	N	Individual
COMMUNITY & ENVIRONMENTAL SERVICES	Taxi Private Hire & Wheelchair Accessible Vehicles managed within your authority.	23.09.19	21.10.19	11.10.19	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Microchipping of dogs - how many times have you initiated court proceedings for breach of microchipping	20.09.19	18.10.19	24.09.19	Y	Y	N	N	Organisation
COMMUNITY & ENVIRONMENTAL SERVICES	Requesting a list of all licenced HMO properties	24.09.19	22.10.19	25.09.19	Y	Y	N	N	Organisation
TOTAL 81									

11 NOT ANSWERED WITHIN 20 WORKING DAYS

FOI Report Data

Requests Received 1st April 2019 - 30th September 2019

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	How many unpaid council tax reminders were sent to councillors elected in your authority between 2015/16 and 2017/18? Please break down by financial year	12.04.19	15.05.19	15.05.19	Y	Y	N	N	
DEMOCRACY & GOVERNANCE	Please could you provide me with the expenditures in each of the last five financial years on your in-house legal team	17.04.19	20.05.19	08.05.19	Y	Y	N	N	Media
DEMOCRACY & GOVERNANCE	I would like to request all internal correspondence and communications which mentions or refers to the Brexit	06.05.19	04.06.19	18.07.19	N	Y	N	N	Individual
DEMOCRACY & GOVERNANCE	Organisation's Spend/Transparency data, available on the following weblink: https://www.watford.gov.uk/downloads/download/38/list_of_expenditure_over_500	17.05.19	17.06.19	20.06.19	N	Y	Y	N	Organisation
DEMOCRACY & GOVERNANCE	Procurement system information	04.06.19	02.07.19	05.06.19	Y	Y	N	N	Organisation
DEMOCRACY & GOVERNANCE	Contract Register information	19.06.19	17.07.19	20.06.19	Y	Y	N	N	Individual
DEMOCRACY & GOVERNANCE	Freedom of Information Act Request Watford Borough Council - Burdens	01.07.19	29.07.19	03.07.19	Y	Y	N	N	Individual
DEMOCRACY & GOVERNANCE		03.07.19	31.07.19	03.07.19	Y	Y	N	N	Individual

DEMOCRACY & GOVERNANCE	Do you use national procurement frameworks to procure consultancy.	10.07.19	07.08.19	12.07.19	Y	Y	N	N	Individual
DEMOCRACY & GOVERNANCE	Information request about 2019 European Parliament Elections	10.07.19	07.08.19	07.08.19	Y	Y	N	N	Organisation
DEMOCRACY & GOVERNANCE	Requesting information regarding Subject Access Requests that have not been completed within the statutory time limit of one month.	17.07.19	14.08.19	01.08.19	Y	Y	N	N	Organisation
DEMOCRACY & GOVERNANCE	Procurement system information	22.07.19	19.08.19	23.07.19	Y	Y	N	N	Individual
DEMOCRACY & GOVERNANCE	Information on the Transport App Tender	26.07.19	23.08.19	26.07.19	Y	Y	N	N	Organisation
DEMOCRACY & GOVERNANCE	Requesting details of all compulsory purchase orders since 2013	25.07.19	22.08.19	26.07.19	Y	Y	N	N	Individual
DEMOCRACY & GOVERNANCE	Planning Committee Speaking Times	09.08.19	09.09.19	13.08.19	Y	Y	N	N	Individual
DEMOCRACY & GOVERNANCE	Please can you provide me with a breakdown of the frameworks you use to procure consultancy services as the register does not provide this.	12.08.19	10.09.19	14.08.19	Y	Y	N	Y	Individual
DEMOCRACY & GOVERNANCE	FOI request: abuse against councillors	29.08.19	26.09.19	05.09.19	Y	Y	N	N	Individual
DEMOCRACY & GOVERNANCE	SIRO/DPO details	04.09.19	02.10.19	05.09.19	Y	Y	N	N	Organisation
TOTAL 18									

2 NOT ANSWERED WITHIN 20 WORKING DAYS

FOI Report Data

Requests Received 1st April 2019 - 30th September 2019

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	Blue Badge fraud - the number of people found to have falsely used a disabled person's Blue Badge to park their car in a space reserved for Blue Badge Holders since 2014.	25.06.19	23.07.19	18.07.19	Y	Y	N	N	Media
FINANCE	Total Number of suppliers invoices paid	09.07.19	06.08.19	02.08.19	Y	Y	N	N	Individual
FINANCE	District Councils Blue Badge Fraud FOI request	19.07.19	16.08.19	01.08.19	Y	Y	N	N	Individual
FINANCE	Organisation's Spend/Transparency data, available on the following weblink: https://www.watford.gov.uk/downloads/download/38/list_of_expenditure_over_500	26.08.19	23.09.19	02.09.19	Y	Y	N	N	Organisation
FINANCE	How much has been spent per annum since 2016 on Preparations for Brexit	17.09.19	15.10.19	04.10.19	Y	Y	N	N	Media
FINANCE	Invoice payments from April 2015 - March 31 2019	26.09.19	24.10.19	15.11.19	N	Y	N	N	Organisation
TOTAL 6									

1 NOT ANSWERED WITHIN 20 WORKING DAYS

FOI Report Data

Requests Received 1st April 2019 - 30th September 2019

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	What Software products are you using to manage your IT Service and who is your current vendor	08.04.19	09.05.19	10.04.19	Y	Y	N	N	Organisation
SERVICE TRANSFORMATION	To obtain documents for the IT department strategy or plans that highlight their current and future objectives	18.04.19	20.05.19	15.07.19	N	Y	N	N	Individual
SERVICE TRANSFORMATION	What Software Systems are currently used by the Council for Planning, Land Charges, Building control and Public Protection/Licencing/Environmental Health	17.04.19	20.05.19	15.07.19	N	Y	N	N	Individual
SERVICE TRANSFORMATION	Contract information regarding Dedicated Hosting	07.05.19	05.06.19	15.07.19	N	Y	N	N	Individual
SERVICE TRANSFORMATION	Requesting a list of void residential properties that are not being properly maintained by their owners.	13.05.19	11.06.19	15.05.19	Y	Y	N	N	Organisation
SERVICE TRANSFORMATION	Street names	07.06.19	05.07.19	10.05.19	Y	Y	N	N	Organisation
SERVICE TRANSFORMATION	The usage of your www.watford.gov.uk website and any relevant sub-domains	14.06.19	12.07.19	11.07.19	Y	Y	N	N	Organisation

SERVICE TRANSFORMATION	The name of the Corporate health & safety officer	19.06.19	17.07.19	19.06.19	Y	Y	N	N	Organisation
SERVICE TRANSFORMATION	Has your authority implemented an EDRMS solution?	21.06.19	19.07.19	19.07.19	Y	Y	N	N	Organisation
SERVICE TRANSFORMATION	Staff guide to complaints	04.07.19	01.08.19	11.07.19	Y	Y	N	N	Individual
SERVICE TRANSFORMATION	Software contract information	10.07.19	07.08.19	07.08.19	Y	Y	N	N	Individual
SERVICE TRANSFORMATION	Cyber security incidents and ransomware attacks affecting your authority	11.07.19	08.08.19	07.08.19	Y	Y	N	N	Media
SERVICE TRANSFORMATION	Requesting information regarding the contract register.	29.07.19	27.08.19	01.08.19	Y	Y	N	N	Individual
SERVICE TRANSFORMATION	Requesting a copy of the Council's Emergency Planning Document	30.07.19	28.08.19	07.08.19	Y	Y	N	N	Individual
SERVICE TRANSFORMATION	I would like to request a complete up to date dataset of Tree Preservation Orders (TPO)s	30.07.19	28.08.19	23.08.19	Y	Y	N	N	Individual
SERVICE TRANSFORMATION	Could you tell me whether you have had a CHECK Test in 2016/17 to 2018/19	01.08.19	30.08.19	03.09.19	N	Y	N	N	Individual
SERVICE TRANSFORMATION	How many incidents of cyber-attacks you have recorded since the beginning of 2017	01.08.19	30.08.19	03.09.19	N	Y	N	N	Individual
SERVICE TRANSFORMATION	Freedom of information request regarding contact centres	01.08.19	30.08.19	12.08.19	Y	Y	N	N	Organisation
SERVICE TRANSFORMATION	Cyber attacks	14.08.19	12.09.19	03.09.19	Y	Y	N	N	Organisation

SERVICE TRANSFORMATION	Confidential Paper Files	21.08.19	19.09.19	19.09.19	Y	Y	N	N	Individual
SERVICE TRANSFORMATION	Land and property LP software supplier	22.08.19	20.09.19	20.09.19	Y	Y	N	N	Individual
SERVICE TRANSFORMATION	ICT contracts for Servicer Hardware Maintenance, Server Virtualisation Licenses and Maintenance and SAN	23.08.19	23.09.19	22.11.19	N	Y	N	N	Individual
SERVICE TRANSFORMATION	Facial recognition technology	04.09.19	02.10.19	16.09.19	Y	Y	N	N	Individual
SERVICE TRANSFORMATION	ICT Service Desk Management	24.09.19	22.10.19	22.11.19	N	Y	N	N	Organisation
SERVICE TRANSFORMATION	Digital Strategy & budget to invest in innovations. Digital innovation projects the council will be working on from 2020-2023	26.09.19	24.10.19	16.10.19	Y	Y	N	N	Individual
TOTAL 25									

7 NOT ANSWERED WITHIN 20 WORKING DAYS

FOI Report Data

Requests Received 1st April 2019 - 30th September 2019

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	Violence at work incidents and monitoring	30.04.19	30.05.19	22.05.19	Y	Y	N	N	Organisation
HUMAN RESOURCES	Can you provide me with the number of staff that were made redundant by the council from 2014 - 2018/19	27.05.19	25.06.19	24.06.19	Y	Y	N	N	Individual
HUMAN RESOURCES	Request for each of the names of the heads of each department at the council.	07.06.19	05.07.19	26.06.19	Y	Y	N	N	Organisation
HUMAN RESOURCES	HR data by ethnicity	11.06.19	09.07.19	03.07.19	Y	Y	N	N	Organisation
HUMAN RESOURCES	I am writing to obtain information about our organisation's spending on settlement agreements in 2016-2017 and 2018-2019	25.06.19	23.07.19	19.07.19	Y	Y	N	N	Organisation
HUMAN RESOURCES	NJC Pay Spine	01.07.19	29.07.19	24.07.19	Y	Y	N		Organisation
HUMAN RESOURCES	Internal guidance document that you have for council officers on how to draft replies to correspondence	02.07.19	30.07.19	26.07.19	Y	Y	N	N	Individual
HUMAN RESOURCES	How many business miles have been travelled by council employees using their own car in the last 12 months	09.07.19	06.08.19	02.08.19	Y	Y	N	N	Organisation

HUMAN RESOURCES	FOI regarding anonymous CVs	28.08.19	25.09.19	23.09.19	Y	Y	N	N	Individual
HUMAN RESOURCES	Greyfleet FOI Request	02.09.19	30.09.19	23.09.19	Y	Y	N	N	Organisation
HUMAN RESOURCES	Council employee questions relating to apprenticeships	20.09.19	18.10.19	16.10.19	Y	Y	N	N	Individual
HUMAN RESOURCES	Can I have the details of the name of the Organisations and the name of the Head of HR for those organisations that joined the framework over the whole duration of the contract	03.10.19	31.10.19	24.10.19	Y	Y	N	N	Individual
TOTAL 12									

ALL ANSWERED WITHIN 20 WORKING DAYS

FOI Report Data

Requests Received 1st April 2019 - 30th September 2019

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	I would like to make a request under the Freedom of Information Act regarding businesses applying to change the usage of retail spaces in under the Town and Country Planning (Use Classes) order of 1987. The request specifically applies to Class A, covering shops and other retail premises such as restaurants and bank branches.	01.04.19	01.05.19	24.05.19	N	Y	N	N	Organisation
PLACE SHAPING & CORPORATE PERFORMANCE	How many penalty charge notices were issued to drivers in 2017, 2018, and to date.	03.04.19	05.05.19	02.05.19	Y	Y	N	N	Organisation
PLACE SHAPING & CORPORATE PERFORMANCE	Pre Planning application meetings with developers from Fairview homes	06.04.09	08.05.19	08.04.19	Y	Y	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	How many fixed CCTV cameras do you have and who is the supplier of these cameras?	10.04.19	13.05.19	08.05.19	Y	Y	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	Does your Local Authority have a transit site intended to be used by the Traveller and Gypsy Community	11.04.19	14.05.19	16.04.19	Y	Y	N	N	Individual

PLACE SHAPING & CORPORATE PERFORMANCE	Information request for developments and transport schemes to be included in Heathrow Surface Access Model Version 2.1	04.04.19	07.05.19	12.04.19	Y	Y	N	N	Organisation
PLACE SHAPING & CORPORATE PERFORMANCE	FOI request for Domestic Abuse homeless figures with regards to Violent relationship breakdown with partner or associated persons Other violence or harassment	17.04.19	20.05.19	14.05.19	Y	Y	N	N	Organisation
PLACE SHAPING & CORPORATE PERFORMANCE	I would like to receive a list of the buildings which were converted from offices (Use Class B1) into residential Class C3.	26.04.19	27.05.19	10.06.19	N	Y	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	Requesting information regarding the Local plan and want access to the underlying spatial data within this.	29.04.19	29.05.19	30.08.19	N	Y	N	N	Organisation
PLACE SHAPING & CORPORATE PERFORMANCE	Housing staff assaults	30.04.19	30.05.19	01.05.19	Y	Y	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	Information request regarding SWEP provision during Winter 2018-2019	01.05.19	31.05.19	01.05.19	Y	Y	N	N	Organisation
PLACE SHAPING & CORPORATE PERFORMANCE	How many dwellings has the council purchased for the purpose of providing temporary accommodation for homeless people, how much has been spent on making those purchases, how many have disabled access.	14.05.19	12.06.19	10.06.19	Y	Y	N	N	Media
PLACE SHAPING & CORPORATE PERFORMANCE	The information I request is; all council planning permission rejections, spanning over a 5 year period (2014-2019).	20.05.19	18.06.19	10.06.19	Y	Y	N	N	Organisation

PLACE SHAPING & CORPORATE PERFORMANCE	We would like to know about any young people aged 16-24 who approached your council during the financial year 2018-2019 because they were homeless or at risk of homelessness.	21.05.19	19.06.19	05.07.19	N	Y	N	N	Organisation
PLACE SHAPING & CORPORATE PERFORMANCE	Requesting information with regards to the 5-year housing land supply position and local plan status.	31.05.19	28.06.19	12.07.19	N	Y	N	N	Organisation
PLACE SHAPING & CORPORATE PERFORMANCE	Judicial reviews of planning permission from 2016-2018	06.06.19	04.07.19	11.07.19	Y	Y	N	N	Organisation
PLACE SHAPING & CORPORATE PERFORMANCE	Up to date list of contractors, subcontractors and suppliers that have or will be involved with the construction of Watford Health Campus. Works include access, enabling, infrastructure, sewer system and landscaping.	06.06.19	03.07.19	07.06.16	Y	Y	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	Up to date list of contractors, subcontractors and suppliers that have or will be involved with the construction of Watford Health Campus. Works include access, enabling, infrastructure, sewer system and landscaping.	07.06.19	04.07.19	07.06.19	Y	Y	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	The number of planning applications received	10.06.19	08.07.19	08.07.19	Y	Y	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	Retail investments in town centre	12.06.19	10.07.19	13.06.19	Y	Y	N	Y	Individual

PLACE SHAPING & CORPORATE PERFORMANCE	Enforcement of PCN's	13.06.19	11.07.19	09.07.19	Y	Y	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	How many people in your borough were recorded living in tents on the street from 1st January 2018 to 1st January 2019.	17.06.19	15.07.19	12.07.19	Y	Y	N	N	Media
PLACE SHAPING & CORPORATE PERFORMANCE	Total number of residential private dwellings the council is Freeholder for and which have been sold on a leasehold basis.	19.06.19	17.07.19	20.06.19	Y	Y	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	What was the total expenditure on housing for military veterans who have been made homeless in each of the last 5 years	19.06.19	17.07.19	12.07.19	Y	Y	N	N	Organisation
PLACE SHAPING & CORPORATE PERFORMANCE	Section 106 payments expenditure and balances at March 2019	09.07.19	06.08.19	06.08.19	Y	Y	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	Have you socially housed any individual or group to a residence that is outside your area of authority since 2013	08.07.19	05.08.19	11.07.19	Y	Y	N	N	Organisation
PLACE SHAPING & CORPORATE PERFORMANCE	Social Housing trends and figures	12.07.19	09.08.19	08.08.19	Y	Y	N	N	Organisation
PLACE SHAPING & CORPORATE PERFORMANCE	How many homeless reconnection referrals have been made to your local authority in the last 3 years 2016, 2017, 2018.	16.07.19	13.08.19	08.08.19	Y	Y	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	The details of all Demolition Orders served within the council area since 2013.	25.07.19	22.08.19	08.08.19	Y	Y	N	N	Individual

PLACE SHAPING & CORPORATE PERFORMANCE	How many planning applications did you receive relating to residential properties since 2017	29.07.19	27.08.19	chase sent to Semeta	7.10.19 chased with	20.11.19 chased	Y 2 weeks		Organisation
PLACE SHAPING & CORPORATE PERFORMANCE	How many objections did you receive from residents relating to planning permission applications.	29.07.19	27.08.19	09.08.19	Y	Y	N	N	Organisation
PLACE SHAPING & CORPORATE PERFORMANCE	The total number of new homes of any tenure completed by the council in the past five years beginning 2014/15 to end of 2018/19	12.08.19	10.09.19	16.09.19	N	Y	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	Homelessness Temporary accommodation placements	13.08.19	11.09.18	16.09.19	N	Y	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	Drug related housing evictions	13.08.19	11.09.19	16.09.19	N	Y	N	N	Organisation
PLACE SHAPING & CORPORATE PERFORMANCE	Please provide details of all payments received under section 106 planning obligations for the years 2013/14 - 18/19	14.08.19	12.09.19	30.08.19	Y	Y	N	N	Organisation
PLACE SHAPING & CORPORATE PERFORMANCE	Community Asset Transfer	15.08.19	13.09.19	16.09.19	N	Y	N	N	Organisation
PLACE SHAPING & CORPORATE PERFORMANCE	Historical changes in council housing stock	15.08.19	13.09.19	16.09.19	N	Y	N	N	Organisation
PLACE SHAPING & CORPORATE PERFORMANCE	Has the local authority issued demolition orders under the building act 1984 - Section 80 (2).	19.08.19	17.09.19	10.09.19	Y	Y	N	N	Organisation
PLACE SHAPING & CORPORATE PERFORMANCE	Do you charge a fee to store possessions when someone becomes homeless?	21.08.19	19.09.19	17.09.19	Y	Y	N	N	Individual

PLACE SHAPING & CORPORATE PERFORMANCE	Retrospective Planning applications where the work has already been carried out.	22.08.19	20.09.19	07.10.19	Y	Y	N	N	Organisation
PLACE SHAPING & CORPORATE PERFORMANCE	Oxhey Ward Parking Survey (Part 1)	23.08.19	23.09.19	13.09.19	Y	Y	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	Oxhey Ward Parking Survey (Part 2)	23.08.19	23.09.19	13.09.19	Y	Y	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	Email Communication Retrieval - Pre App 20	03.09.19	01.10.19	06.09.19	Y	Y	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	CCTV	05.09.19	03.10.19	05.09.19	Y	Y	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	What is the number of people in temporary accommodation organised by the council in each of the years 2010-2018	20.09.19	18.10.19	14.10.19	Y	Y	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	The number of families living in studio flats and 1 bedroom flats in the Watford Borough Council & Specific benefit information	23.09.19	22.10.19	29.10.19	N	Y	N	N	Individual
PLACE SHAPING & CORPORATE PERFORMANCE	We write to request information from you authority's housing department which Shelter believes to be relevant to the Court's decision in homeless applicants and county court appeals against local authority decisions.	24.09.19	22.10.19	18.10.19	Y	Y	N	N	Organisation
PLACE SHAPING & CORPORATE PERFORMANCE	Controlled parking Zone information in Watford.	16.09.19	14.10.19	03.10.19	Y	Y	N	N	Individual

PLACE SHAPING & CORPORATE PERFORMANCE	Right to buy information	25.09.19	23.10.19	02.10.19	Y	Y	N	Y	Media
PLACE SHAPING & CORPORATE PERFORMANCE	Requesting figures on homelessness.	25.09.19	23.10.19	20.11.19	N	Y	N	N	Organisation
TOTAL 50									

13 NOT ANSWERED WITHIN 20 WORKING DAYS

FOI Report Data

Requests Received 1st April 2019 - 30th September 2019

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	I would like to know the total amount of money that the council has spent on IT services and IT software changes related to the introduction of Universal Credit. For example, IT changes carried out by the council due to alterations to Housing Benefit and Council Tax support. This includes money that has been provided by the DWP	02.04.19	02.05.19	30.04.19	Y	Y	N	N	Organisation
REVENUES & BENEFITS	Business Rates accounts that have become new liable for NNDR from 15th March 2019 to 31st March 2019.	03.04.19	05.05.19	30.04.19	Y	Y	N	N	Individual
REVENUES & BENEFITS	Total number of all assessments liable for non-domestic (business) rates in the local authority area during 2017/18 and 2018/19.	11.04.19	14.05.19	10.05.19	Y	Y	N	N	Individual
REVENUES & BENEFITS	Full list of businesses that have become liable for business rates between 1st April 2019 to 15th April 2019.	16.04.19	17.05.19	14.05.19	Y	Y	N	N	Individual
REVENUES & BENEFITS	A breakdown of the amount of unpaid or outstanding council tax from the year 2013/14 to present	16.04.19	17.05.19	10.05.19	Y	Y	N	N	Individual
REVENUES & BENEFITS	Council Tax arrears and Bailiff use	25.04.19	24.05.19	29.05.19	N	Y	N	N	Organisation

REVENUES & BENEFITS	I would like a full and up to date list of businesses/companies/charities that have become newly liable for business rates from 15.4.19 to 30.04.19	01.05.19	31.05.19	29.05.19	Y	Y	N	N	Organisation
REVENUES & BENEFITS	Business Rates Data Request	07.05.19	05.06.19	10.06.19	N	Y	N	N	Organisation
REVENUES & BENEFITS	Empty Property data for properties that are not being properly maintained by their owners.	13.05.19	11.06.19	15.05.19	Y	We do not hold this data	N	N	Organisation
REVENUES & BENEFITS	Information required Accrued NNDR credit balances & write on's	20.05.19	18.06.19	24.05.19	Y	Y	N	N	Organisation
REVENUES & BENEFITS	Council tax on empty homes and second homes in 2009-2018	17.05.19	17.06.19	14.06.19	Y	Y	N	N	Individual
REVENUES & BENEFITS	Revenue & Benefit Statistics - number of benefits (housing, rent) at 31st march , number of new claims processed, number of residential properties as 31st March for council tax.	21.05.19	19.06.19	10.07.19	N	Y	N	N	Individual
REVENUES & BENEFITS	I am looking to obtain a report of any business rates accounts, closed or open in the name of Henkel Ltd	21.05.19	19.06.19	14.06.19	Y	Y	N	N	Individual
REVENUES & BENEFITS	I would like to obtain information with regards to businesses that are newly liable for business rates between 20th April to 15th May 2019.	20.05.19	18.06.19	14.06.19	Y	Y	N	N	Individual
REVENUES & BENEFITS	Business Rates Liable Parties	22.05.19	20.06.19	14.06.19	Y	Y	N	N	Individual
REVENUES & BENEFITS	I would like to request an up to date and full list of businesses that have become liable for business rates from 15th May 2019 to 31st May 2019	04.06.19	02.07.19	24.06.19	Y	Y	N	N	Individual
REVENUES & BENEFITS	List of businesses who are not receiving small business rates relief	12.06.19	10.07.19	08.07.19	Y	Y	N	N	Organisation

REVENUES & BENEFITS	Please can you send a full list of businesses companies and charities that have become recently liable for business rates between 15th May 2019 - 31st May 2019	24.06.19	22.07.19	10.07.19	Y	Y	N	N	Individual
REVENUES & BENEFITS	Please could you provide me with a complete and up to date list of all business rebates data for your local authority.	25.06.19	23.07.19	10.07.19	Y	Y	N	N	Individual
REVENUES & BENEFITS	Please can you confirm business rates charges for properties in The INTU shopping centre	27.06.19	25.07.19	26.07.19	N	Y	N	N	Organisation
REVENUES & BENEFITS	Business and charities that have become responsible for business rates	02.07.19	30.07.19	26.07.19	Y	Y	N	N	Individual
REVENUES & BENEFITS	Numerically how many mandatory reliefs were applied to individual rateable non domestic properties by your local authority for the reason that the property was unoccupied during each financial year from 2014- 2018/19	08.07.19	05.08.19	26.07.19	Y	Y	N	N	Media
REVENUES & BENEFITS	Do you offer a discount if a resident pays their council tax in one lump sum	09.07.19	06.08.19	26.07.19	Y	Y	N	N	Individual
REVENUES & BENEFITS	A list of all Rateable Values between £12K and £51K where you have granted retail discount relief for the 2019/2020 rate year.	11.07.19	08.08.19	07.10.19	N	y	N	N	Organisation
REVENUES & BENEFITS	Requesting the most up to date list of all business property rates data.	11.07.19	08.08.19	22.07.19	Y	Y	N	N	Organisation
REVENUES & BENEFITS	I would like a full and up to date list of businesses/companies/charities that have become newly liable for business rates from 1.7.19 to 15.07.19	16.07.19	13.08.19	18.07.19	Y	Y	N	N	Individual
REVENUES & BENEFITS	The number of summons, liability orders that were paid in full before the hearing date.	18.07.19	15.07.19	26.07.19	Y	Y	N	N	Individual

REVENUES & BENEFITS	NNDR information relating to a site in INTU shopping centre number 154	19.07.19	16.08.19	19.08.19	N	Y	N	N	Organisation
REVENUES & BENEFITS	NNDR information relating to a site in INTU shopping centre number 129	19.07.19	16.08.19	19.08.19	N	Y	N	N	Organisation
REVENUES & BENEFITS	Business rates data that have had an empty rate charge levied at any time since 1st April 2012.	23.07.19	20.08.19	19.08.19	Y	Y	N	N	Organisation
REVENUES & BENEFITS	I would like to obtain information with regards to businesses that are newly liable for business rates within the last 12 months.	23.07.19	20.08.19	24.07.19	Y	Y	N	N	Organisation
REVENUES & BENEFITS	I would like to request the following - Newly liable business rates payers between and including the 15-31st July 2019	05.08.19	03.09.19	05.08.19	Y	Y	N	N	Individual
REVENUES & BENEFITS	Requesting a list of unclaimed council tax credit balances.	05.08.19	03.09.19	30.08.19	Y	Y	N	N	Organisation
REVENUES & BENEFITS	Requesting a list of new business rates accounts	16.08.19	16.09.19	19.08.19	Y	Y	N	N	
REVENUES & BENEFITS	Freedom of Information Request - SBR - England	19.08.19	17.09.19	30.08.19	Y	Y	N	N	Organisation
REVENUES & BENEFITS	BUSINESS RATES FOI - 42 THE HARLEQUIN, WATFORD, WD17 2GS (BA REF: 102016)	19.08.19	17.09.19	30.08.19	Y	Y	N	N	Organisation
REVENUES & BENEFITS	How many liability order proceedings for non-payment of council tax were commenced in 2018-19	21.08.19	19.09.19	19.09.19	Y	Y	N	N	Organisation
REVENUES & BENEFITS	Business Rates requests for properties in Intu	23.08.19	21.09.19	20.09.19	Y	Y	N	N	Organisation
REVENUES & BENEFITS	Business Rates Information for properties in Intu (possible duplicate)	23.08.19	21.09.19	20.09.19	Y	Y	N	N	Organisation
REVENUES & BENEFITS	Business Rate Credit balances	23.08.19	21.09.19	19.09.19	Y	Y	N	N	Organisation

REVENUES & BENEFITS	THE HARLEQUIN, WATFORD	29.08.19	26.09.19	20.09.19	Y	Y	N	N	Organisation
REVENUES & BENEFITS	Revenues and Benefits Freedom of Information Request	03.09.19	01.10.19	10.10.19	N	Y	N	N	Individual
REVENUES & BENEFITS	Businesses/charities/Ltd companies that have become newly liable for business rates	03.09.19	01.10.19	20.09.19	Y	Y	N	N	Individual
REVENUES & BENEFITS	Change of carriage Bankruptcy Proceedings	03.09.19	01.10.19	20.09.19	Y	Y	N	N	Organisation
REVENUES & BENEFITS	Business Rates new liabilities	04.09.19	02.10.19	20.09.019	Y	Y	N	Y	Organisation
REVENUES & BENEFITS	Business Rates	05.09.19	03.10.19	06.09.19	Y	Y	N	Y	Organisation
REVENUES & BENEFITS	Change of Address	06.09.19	04.10.19	06.09.19	Y	Y	N	N	Organisation
REVENUES & BENEFITS	Can I request a list detailing all current Rateable Hereditaments and which accounts are, and which are not, subject to some form of rate relief	07.09.19	05.10.19	30.09.19	Y	Y	N	N	Individual
REVENUES & BENEFITS	Housing Benefit for Specified Supported Accommodation 2018/19	09.09.19	07.10.19	23.09.19	Y	Y	N	N	
REVENUES & BENEFITS	Could you please provide me with the most up to date list of all empty commercial non residential property rates date for your local authority	10.09.19	08.10.19	02.10.19	Y	Y	N	N	Organisation
REVENUES & BENEFITS	Requesting a list of empty properties in your district.	13.09.19	11.10.19	04.10.19	Y	Y	N	N	Individual
REVENUES & BENEFITS	Do you hold NDR credit data, do you publish it online.	17.09.19	15.10.19	09.10.19	Y	Y	N	N	Organisation
REVENUES & BENEFITS	Requesting information relating to properties in the Intu shopping centre relating to Business rates	19.09.19	17.10.19	11.10.19	Y	Y	N	N	Organisation

REVENUES & BENEFITS	Requesting a full list of businesses and charities that have become liable for business rates within your council.	19.09.19	17.10.19	23.09.19	Y	Y	N	N	Individual
REVENUES & BENEFITS	Requesting specific information relating to business rates properties in the INTU shopping Centre	24.09.19	22.10.19	11.10.19	Y	Y	N	N	Organisation
REVENUES & BENEFITS	Business rates data relating to a full up to date list of all business property rates for your local authority	24.09.10	22.10.19	11.10.19	Y	Y	N	N	Organisation
REVENUES & BENEFITS	How many specified exempt supported accommodation cases are currently receiving housing benefit	25.09.19	23.10.19	11.10.19	Y	Y	N	N	Organisation
REVENUES & BENEFITS	Requesting specific information relating to business rates properties in the INTU shopping Centre	25.09.19	23.10.19	11.10.19	Y	Y	N	N	Organisation
REVENUES & BENEFITS	requesting a list of all NNDR properties within your authority	28.09.19	28.10.19	02.10.19	Y	Y	N	N	Organisation
TOTAL 59									

8 NOT ANSWERED WITHIN 20 DAYS

FOI Report Data

Requests Received 1st April 2019 - 30th September 2019

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									
ZERO REQUESTS									

FOI Report Data

Requests Received 1st April 2019 - 30th September 2019

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	Document management systems and FOI & SAR's received	29.03.09	29.04.19	08.05.19	N	Y	N	N	Organisation
MULTIPLE	How many cases were referred to bailiffs each year and how does this split between council tax, PCN and other debt recovery	10.04.19	13.05.19	20.05.19	N	Y	N	N	Organisation
MULTIPLE	The number of times between 1 st April 2018 and 31 st March 2019, or the nearest available twelve month period, that private bailiffs/enforcement agents have been instructed to enforce debts to the local authority relating to each of the following; Council Tax, Parking. Housing Benefit Overpayments, Business Rates Commercial Rents	16.04.19	17.05.19	20.05.19	N	Y	N	N	Organisation
MULTIPLE	Use of Single use plastics	25.04.19	24.05.19	24.05.19	Y	Y	N	N	Organisation
MULTIPLE	Bailiff Collection rates	25.04.19	24.05.19	24.05.19	Y	Y	N	N	Organisation
MULTIPLE	Long Term Empty Properties information - Temporary accommodation spend.	08.05.19	06.06.19	17.05.19	Y	Y	N	N	Individual
MULTIPLE	Commercial properties currently owned by the council & complete Non-Residential Business Property Rates Data	20.05.19	18.06.19	21.06.19	N	Y	N	N	Organisation

MULTIPLE	Would like to request copies of any documents from this year produced by your local authority outlining planning or preparations for the e upcoming exit of the United Kingdom from the EU.	28.05.19	25.06.19	25.06.19	Y	Y	N	N	Individual
MULTIPLE	Does the council have a policy /strategy with regards to the use of drones/UAV based Services.	03.06.19	01.07.19	01.07.19	Y	Y	N	N	Organisation
MULTIPLE	Research on the collection of Housing tenure Data by local authorities.	05.06.19	03.07.19	18.07.19	SURVEY WAS	Y	N	request sent as a survey.	Organisation
MULTIPLE	Regulation of public spaces - to restrict the distribution of free printed matter.	29.06.19	26.07.19	26.07.19	Y	Y	N	Y	Organisation
MULTIPLE	Disabled parking information - fines for misusing disabled parking bays, the number of dedicated blue badge parking spaces in your local authority.	28.06.19	26.07.019	12.07.19	Y	Y	N	Y	Organisation
MULTIPLE	In the calendar year since 2015 up to 2018 how much has the council spent cleaning up council owned land following the eviction of an illegal traveller camp.	30.07.19	28.08.19	28.08.19	Y	Y	N	N	Media
MULTIPLE	Payments to landlords can caseload	05.08.19	03.09.19	03.09.19	Y	Y	Y	N	Media
MULTIPLE	Visitor Management	15.08.19	13.09.19	13.09.19	Y	Y	N	N	Individual
MULTIPLE	Multiple request relating to Libraries, youth centres, trading standards, EHL, Refuse collections, public toilets, supported bus services,	19.08.19	17.09.19	17.09.19	Y	Y	N	N	Organisation
MULTIPLE	Council Funded Construction costing over £1million	20.08.19	18.09.19	18.09.19	Y	Y	N	N	Organisation

MULTIPLE	Council committee meetings spend on biscuits and type of tea that was supplied.	20.08.19	18.09.18	18.09.19	Y	Y	N	N	Individual
MULTIPLE	Freedom of Information Act 2000 and the Environmental Information Regulations 2004	01.09.19	27.09.19	21.09.19	Y	Y	N	N	Individual
MULTIPLE	Freedom of Information Act 2000 - Procurement/ICT	02.09.19	30.09.19	03.09.19	Y	Y	N	N	Organisation
MULTIPLE	Empty Derelict properties information	08.09.19	06.10.19	04.10.19	Y	Y	N	N	Individual
TOTAL 21									

4 NOT ANSWERED IN 20 DAYS

FOI Report Data

Requests Received 1st April - 30th September 2019

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 do you currently accommodate care leavers young people 16-18 within your borough	01.04.19	01.05.19	02.04.19	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	Requesting details for the Head of Trading Standards	02.04.19	02.05.19	02.04.19	Y	Y	N	Y	Individual
HERTFORDSHIRE COUNTY COUNCIL	IT systems used in relating to children & adult Social Care	12.04.19	15.05.19	12.04.19	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	I am writing to you to request information regarding the funding of treatment for alcohol and substance misuse in each local authority	15.04.19	16.05.19	18.04.19	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	The amount of money spent on sexual health postal testing kits.	16.04.19	17.05.19	18.04.19	Y	Y	N	Y	Media
HERTFORDSHIRE COUNTY COUNCIL	Supply Teacher information	25.04.19	24.05.19	25.04.19	Y	Y	N	Y	Individual
HERTFORDSHIRE COUNTY COUNCIL	Vulnerable child assessments	25.04.19	24.05.19	25.04.19	Y	Y	N	Y	Media
HERTFORDSHIRE COUNTY COUNCIL	List of Council nurseries and the number of staff and children in each nursery	02.05.19	03.06.19	02.05.19	Y	Y	N	Y	Individual
HERTFORDSHIRE COUNTY COUNCIL	Requesting the number of children you know to be home educated in your council in the last 10 years.	02.05.19	03.06.19	03.05.19	Y	Y	N	Y	Media
HERTFORDSHIRE COUNTY COUNCIL	Housing Older People Care Packages	02.05.19	03.06.19	03.05.19	Y	Y	N	Y	Organisation

HERTFORDSHIRE COUNTY COUNCIL	OT Assessment Waiting List Figures	02.05.19	03.06.19	03.05.19	Y	Y	N	Y	Individual
HERTFORDSHIRE COUNTY COUNCIL	School information for Watford	07.05.19	05.06.19	07.05.19	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	Request for 16+ support and accommodation	08.05.19	06.06.19	09.05.19	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	From the council's pension scheme, please detail the size and value of funds from Capital Group over the last 4 years.	13.05.19	11.06.19	14.05.19	Y	Y	N	Y	Individual
HERTFORDSHIRE COUNTY COUNCIL	Wishing to obtain information regarding school cluster groups and /or federations of schools within the local authority.	15.05.19	13.06.19	15.05.19	Y	Y	N	Y	Individual
HERTFORDSHIRE COUNTY COUNCIL	Drug and alcohol treatment spending & overall public health grant budget	21.05.19	19.06.19	21.05.19	Y	Y	N	Y	Media
HERTFORDSHIRE COUNTY COUNCIL	Length of home visits to older people	21.05.19	19.06.19	22.05.19	Y	Y	N	Y	Media
HERTFORDSHIRE COUNTY COUNCIL	Information regarding cover & supply teacher spending	22.05.19	20.06.19	24.05.19	Y	Y	N	Y	Individual
HERTFORDSHIRE COUNTY COUNCIL	How many road traffic accidents / were reported in your district in the calendar year 2008 and 2018.	24.05.19	24.06.19	24.05.19	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	How much money did the council spend on repairing roads in 2017/18 and 2018/19	24.05.19	24.06.19	28.05.19	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	The number of social workers employed by the council and how many children each social worker has on their caseload as of 23/05/19.	24.05.19	24.06.19	28.05.19	Y	Y	N	Y	Individual
HERTFORDSHIRE COUNTY COUNCIL	How many public buildings are compliant with the regulations with regards to Display Energy Certificates and Energy Performance Certificates.	15.05.19	13.06.19	31.05.19	Y	Y	N	Y	Organisation

HERTFORDSHIRE COUNTY COUNCIL	Public Health Workforce Information	05.06.19	03.07.19	05.06.19	Y	Y	N	Y	Organisation
WATFORD COMMUNITY HOUSING	Information on void properties and tenant satisfaction	03.06.19	01.07.19	19.06.19	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	Adoption policy information	20.06.19	18.07.19	21.06.19	Y	Y	N	Y	Individual
HERTFORDSHIRE COUNTY COUNCIL	Domestic homicide review	01.07.19	29.07.19	02.07.19	Y	Y	N	Y	Individual
HERTFORDSHIRE COUNTY COUNCIL	Care Home information	08.07.19	05.08.19	11.07.19	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	Information request regarding the prevention of cruelty to Children regarding assessments in cases of child abuse and neglect	15.07.19	12.08.19	17.07.19	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	Local authority road projects	15.07.19	12.08.19	17.07.19	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	Urban traffic Management & Control & Transport Data	16.07.19	13.08.19	17.07.19	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	Roadwork overruns	18.07.19	15.08.19	19.07.19	Y	Y	N	Y	Individual
HERTFORDSHIRE COUNTY COUNCIL	What is the largest amount paid for a single weekly placement at a children's home in the last 3 years.	25.07.19	22.08.19	26.07.19	Y	Y	N	Y	Media
WATFORD COMMUNITY HOUSING	The number of council property tenants who have been investigated for unauthorised short-term holiday lets (Airbnb)	30.07.19	28.08.19	02.08.19	Y	Y	N	Y	Media
HERTFORDSHIRE COUNTY COUNCIL	How many privately run children's homes have you cancelled contracts with in the last 3 calendar years 2017 - 2019 so far	30.07.19	28.08.19	02.08.19	Y	Y	N	Y	Media

HERTFORDSHIRE COUNTY COUNCIL	The number of dropped kerbs to be installed outside a house of business broken down into a total for each year for the past 10 years.	02.08.19	02.09.19	02.08.19	Y	Y	N	Y	Media
HERTFORDSHIRE COUNTY COUNCIL	How many grants were issued and what was the total amount spent on school uniform grants in the last year for which data is available.	07.08.19	05.09.19	08.08.19	Y	Y	N	Y	Individual
HERTFORDSHIRE COUNTY COUNCIL	How many children and young people under 18 who were living in independent supported or semi supported accommodation not subject to children's homes regulations provided by your authority pursuant to the housing act 1996 on 31st March in the in each of the past 3 years	07.08.19	05.09.19	08.08.19	Y	Y	N	Y	Individual
HERTFORDSHIRE COUNTY COUNCIL	How many look-after children have been placed into semi-indecent living accommodation not subject to children's homes regulations in each of the last 3 financial years.	07.08.19	05.09.19	08.08.19	Y	Y	N	Y	Individual
HERTFORDSHIRE COUNTY COUNCIL	In 2018 how many people contacted you for information on how to pay for care?	08.08.19	06.09.19	09.08.19	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	I would like to access any inspection reports carried out by your local authority social care commissioning team into care homes for adults.	08.08.19	06.09.19	09.08.19	Y	Y	N	Y	Individual
HERTFORDSHIRE COUNTY COUNCIL	FOI Public health regarding Naloxone Kits	08.08.19	06.09.19	09.08.19	Y	Y	N	Y	Media
HERTFORDSHIRE COUNTY COUNCIL	How many children Under 18 have presented as homeless and subsequently have been accommodated under Section 17 in the year 2018/2019	16.08.19	16.09.09	20.08.19	Y	Y	N	Y	Media

HERTFORDSHIRE COUNTY COUNCIL	Asbestos in schools	19.08.19	17.09.19	19.08.19	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	Who should be approached within the council to discuss spot purchase commissioning, service provision, rates and referrals for accommodating and/or supporting care leavers/uasc 16-17 years old.	19.08.19	17.09.19	21.08.19	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	Drug and alcohol treatment contract information	20.08.19	18.09.19	21.08.19	Y	Y	N	Y	Media
HERTFORDSHIRE COUNTY COUNCIL	Children Leaving care services	26.08.19	23.09.19	27.08.19	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	Telecare	27.08.19	24.09.19	27.09.19	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	BBC FOI - EU kids in care	28.08.19	25.09.19	28.08.19	Y	Y	N	Y	Media
HERTFORDSHIRE COUNTY COUNCIL	FOI regarding looked after children	12.09.19	10.10.19	13.09.19	Y	Y	N	Y	Media
HERTFORDSHIRE COUNTY COUNCIL	Please can you provide the current organisational structure for Children's Service and Early Years Teams	16.09.19	14.10.19	17.09.19	Y	Y	N	Y	Individual
HERTFORDSHIRE COUNTY COUNCIL	How many miles of road under your jurisdiction currently have double red lines/are classified as red routes?	17.09.19	15.10.19	17.09.19	Y	Y	N	Y	Organisation
HERTFORDSHIRE COUNTY COUNCIL	how many people with dementia diagnosis have been detained under the Mental Health Act 1983	17.09.19	15.10.19	17.09.19	Y	Y	N	Y	Individual
HERTFORDSHIRE COUNTY COUNCIL	Requesting information regarding potholes	27.09.19	25.10.19	01.10.19	Y	Y	N	Y	Organisation
TOTAL 53									

ALL ANSWERED IN 20 DAYS

FOI Report Data

Requests Received 1st April - 30th September 2019

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
EIR									
ZERO									

Agenda Item 7

Report to: Audit Committee

Date of meeting: 5 December 2019

Report of: Alison Scott – Head of Finance

Title: **Treasury Management mid-year report 2019/20**

1.0 **SUMMARY**

1.1 This report gives details of the 2019/20 mid-year review of the Treasury Management function.

2.0 **RISKS**

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

3.0 **RECOMMENDATIONS**

3.1 That the Committee notes the contents of the 2019/20 mid-year review of the Treasury Management function.

For further information on this report please contact: -
Alison Scott, Head of Finance
telephone extension: 7188
email: Alison.scott@threerivers.gov.uk

Report approved by: Alison Scott, Head of Finance

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 2019/20 Treasury Management Strategy (TMS) as approved by Council in January 2019 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 2019/20.
- 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 2019	0.75
March 2020	0.75
June 2020	0.75
September 2020	0.75
December 2020	0.75
March 2021	1.00
June 2020	1.00

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.

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

The CFR and Operational Boundary estimates are shown below:

Prudential Indicator	2019/20 Original Estimate	Current Borrowing Position	2019/20 Revised Estimate
Capital Financing Requirement	£87.7m	£0.0m	£71.8m
External Debt / the Operational Boundary			
Borrowing	£56m	£0.0m	£40m

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 2019/20 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	2019/20 Original Indicator	Current Borrowing Position	2019/20 Revised Estimate
Borrowing	£60m	£0.0m	£45m

4.9 Investment Portfolio 2019/20

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. 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. Given this risk environment, investment returns are likely to remain low.

As part of the acquisition of Croxley Park, the Council received £24M in respect of a rent guarantee and £68M in respect of future planned programme maintenance. The Council's treasury advisers, Link, are currently advising the Council on the investment of this sum in order to best match the drawdown profile under the financial model and to balance the inflation and property risks inherent in the underlying investment. This property is held within the Government's DMO on the advice of Link.

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.

During the period the counterparty limit for Lloyds was breached on one occasion due to difficulties in finding alternative investments as banks and building societies are no longer willing to accept overnight or short term investments. As a result the Council is now using the Government's Debt Management Office for overnight and short term deposits in order not to breach the Council's counterparty limit with its bankers, Lloyds.

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 approved benchmark measure of yield is a return of 0.12% above the average bank rate. The bank rate is 0.75%. The returns up to 31 October 2019 averaged 0.72%. 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 seek alternative investments. The yields below reflect the return on the investment of short term, highly liquid, cash required to meet working capital requirements.

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 As continued in the body of the report.

5.2 **Legal Issues** (Monitoring Officer)

5.2.1 There is no requirement to make any amendments to the Treasury Management Strategy at this stage.

5.3 **Equalities**

None Specific.

Watford Borough Council

Capital Strategy

2020/21



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.

Capital Investment Programme - Funding

- 2.8 The Capital Investment Programme can be funded from the following sources:
- 2.9 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.
- 2.10 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.
- 2.11 Capital Receipts: Capital receipts are derived when selling assets such as land.
- 2.12 Revenue Contributions: Revenue balances from the General Fund may be used to support capital expenditure.
- 2.13 Capital Expenditure Reserves: The Council has reserves which it has put aside for capital expenditure.
- 2.14 Borrowing: The Council is allowed to borrow to support its capital expenditure as long as this is prudent, sustainable, and affordable.
- 2.15 The capital programme includes an assessment of likely available resources to finance capital expenditure this is included at Appendix 2.

Property investment

- 2.16 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.
- 2.17 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.

- 2.18 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. The portfolio is currently being reviewed in the light of the Council's acquisition of Croxley Park.

Other investments

- 2.19 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.
- 2.20 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.
- 2.21 All investment activity in relation to other investments is managed through the capital programme and revenue budget process. 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.
- 3.3 As part of the acquisition of Croxley Park, the Council received £24M in respect of a rent guarantee and £68M in respect of future planned programme maintenance. The Council's treasury advisers, Link, are currently advising the Council on the investment of this sum in order to best match the drawdown profile under the financial model and to balance the inflation and property risks inherent in the underlying investment.

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

- 3.4 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).
- 3.5 The table below shows the estimate of the CFR for 2020/21 and 2021/22 along with an analysis of forecast resources for 2022/23 and beyond. **This is based on the latest 2019/20 monitoring and will be updated as part of budget setting.**

	2018/19 Actual	2019/20 Forecast	2020/21 Estimate	2021/22 Estimate	2022/23 Estimate
Total Proposed Capex		£57.5M	£66.5M	£32.4M	£11.0M
<u>Capital Financing -</u>					
Grants		(£3.8m)	(£7.0m)	(£1.0m)	0
Reserves		(£1.0m)	0	0	0
Capital Receipts		(£13.0m)	(£17.8m)	(£3.4m)	(£6.6m)
s.106 and CIL		(£0.3m)	0	(£3.0m)	0
Closing CFR	£32.4m	£71.8m	£113.5m	£138.5m	£142.9m

Minimum Revenue Provision (MRP) Strategy and Policy Statement

- 3.6 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.
- 3.7 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.
- 3.8 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.

- 3.9 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.
- 3.10 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.

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 (indicators to be updated as part of budget setting)

- 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	2019/20 Estimate	2020/21 Estimate	2021/22 Estimate	2022/23 Estimate
Borrowing	£56M	£95M	£120M	£120M

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	2019/20 Estimate	2020/21 Estimate	2021/22 Estimate	2022/23 Estimate
Borrowing	£60M	£100M	£125M	£125M

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 Council's 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 2019 was £2M. In a full year the Council will use £1.5M of resources generated from Croxley Park to support its revenue budget.

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 (per latest Monitoring)

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 2019/20	Forecast Outturn	Actual to date	Previously Reported Variances	Variances for Period 6 only	Cumulative Variance @ Period 6	Latest Budget 2020/21	Latest Budget 2021/22	Latest Budget 2022/23
		£	£	£	£	£	£	£	£	£
Service Transformation	Customer Services	47,741	47,741	0	0	0	0	0	0	0
	ICT Shared Services	240,715	516,000	291,666	240,000	35,285	275,285	185,000	45,000	45,000
	ICT Client Services	1,131,331	471,046	172,128	(240,000)	(420,285)	(660,285)	730,000	485,000	485,000
	Corporate Asset Management	13,950,907	1,683,435	315,328	0	(12,267,472)	(12,267,472)	13,049,472	400,000	400,000
Community & Environmental	Waste & Recycling (inc Veolia)	2,736,935	2,736,935	324,885	0	0	0	96,810	98,260	100,230
	Parks & Open Spaces	4,939,700	5,019,700	946,492	80,000	0	80,000	305,000	285,000	265,000
	Cemeteries	1,504,779	1,504,779	75,563	0	0	0	1,055,000	0	0
	Leisure & Play	1,587,614	1,587,614	615,409	0	0	0	6,675,000	2,405,000	0
	Culture & Heritage	1,118,948	1,118,948	8,747	0	0	0	400,000	300,000	0
	Environmental Health	300,000	125,000	2,070	0	(175,000)	(175,000)	400,000	300,000	100,000
	Community Projects	1,190,000	1,190,000	0	0	0	0	500,000	0	0
Place Shaping & Performance	Watford Business Park	4,982,506	4,982,506	118,493	0	0	0	7,800,000	300,000	0
	Watford Riverwell	15,403,000	15,403,000	833,984	0	0	0	8,392,000	2,855,003	8,878,000
	Housing	285,872	285,872	0	0	0	0	50,000	50,000	50,000
	Transport & Infrastructure	4,024,850	4,041,300	1,703,840	16,450	0	16,450	2,714,800	5,410,800	0
	Development Control	80,000	80,000	0	0	0	0	0	0	0
	Property Investment Board	66,230	66,230	13,655	0	0	0	50,000	50,000	0
	Property Management	14,973,982	15,703,982	572,028	480,000	250,000	730,000	23,435,000	18,730,000	0
Strategic Finance	Capital Support Services	979,470	979,470	70,174	0	0	0	679,470	680,740	682,020
TOTAL CURRENT CAPITAL PROGRAMME		69,544,580	57,543,558	6,064,459	576,450	(12,577,472)	(12,001,022)	66,517,552	32,394,803	11,005,250

Capital Funding 2018-2021 (per latest monitoring)

FUNDING TYPE	Forecast Outturn 2019/20 £	Budget 2020/21 £	Budget 2021/22 £	Budget 2022/23 £
Grants & Contributions	3,799,000	6,989,000	1,000,000	0
Reserves	1,022,317	33,000	0	0
Capital Receipts (PIB & non PIB)	13,007,073	17,800,612	3,402,000	6,643,000
Section 106 & CIL Contributions	333,361	0	3,000,000	0
Borrowing (Internal & External)	39,381,807	41,694,940	24,992,803	4,362,250
TOTAL CAPITAL FUNDING APPLIED	57,543,558	66,517,552	32,394,803	11,005,250



Watford Borough Council
Audit Committee Progress Report
5 December 2019

Recommendation

Members are recommended to:

- Note the Internal Audit Progress Report for the period to 22 November 2019
- Approve amendments to the Audit Plan as at 22 November 2019
- Agree the change to the implementation date for 3 recommendations (paragraph 2.5) for the reasons set out in Appendix C
- Agree removal of implemented audit recommendations (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
 - 2.8 Proposed Audit Plan amendments
 - 2.9 Performance Management

Appendices

- A Progress against the 2019/20 Audit Plan
- B 2019/20 Audit Plan Projected Start Dates
- C Progress against other 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 2019/20 as at 22 November 2019.
 - b) Proposed amendments to the approved 2019/20 Annual Audit Plan.
 - c) Implementation status of all outstanding previously agreed audit recommendations from 2016/17 onwards.
 - d) An update on performance management information as at 22 November 2019.

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 2019/20 Annual Audit Plan was approved by Audit Committee on 14 March 2019.
- 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 19 September 2019.

2. Audit Plan Update

Delivery of Audit Plan and Key Audit Findings

- 2.1 As at 22 November 2019, 55% of the 2019/20 Audit Plan days had been delivered for the combined WBC and Shared Services plans (calculation excludes 'To Be Allocated' days). Appendix A provides a status update on each individual deliverable within the audit plan.
- 2.2 Three 2019/20 audit reports have been finalised since September Audit Committee as follows:

Audit Title	Date of Issue	Assurance Level	Number and Priority of Recommendations
Development Management (pre-app process)	Oct '19	Satisfactory	Two medium

NDR (shared services plan)	Oct '19	Good	None
Project Management	Nov '19	Good	One low

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 2019, with full details given in Appendix C:

Year	Recommendations made No.	Implemented	Not yet due	Outstanding & request made for extended time*	Percentage implemented %
2016/17	35	34	0	1	97%
2017/18	29	29	0	0	100%
2018/19	28	24	1	3* (see note below)	86%
2019/20	2	0	2	0	0%

*or no update provided.

2.5 Since September 2019 Audit Committee, extension to implementation dates have been requested by action owners for 3 recommendations as follows:

- a) One from the 2016/17 Tree Management audit,
- b) One from the 2018/19 Cyber Security audit, and
- c) One from the 2018/19 Benefits audit.

2.6 In respect of one of the outstanding recommendations from the 2018/19 Benefits audit, no update was provided by management. The target date for this recommendation was 31 October 2019.

2.7 County Council lead on the implementation of the Hertfordshire Home Improvement Agency audit recommendations and as a contributing partner, an update on the status of the outstanding recommendations will be available for the March meeting of this Audit Committee if required.

Proposed Audit Plan Amendments

2.8 The Safeguarding audit has been cancelled from the 2019/20 Audit Plan at the request of management. Given the current level of scrutiny

with the improvement plan updates, the self-assessment for HCC (this year it is a group peer review type approach), the transfer to the new reporting and recording system being designed through W2020 and due to go live in Q3 or Q4 and the increased resources being utilised, it is considered that an audit at this time would not be beneficial. The position will be reviewed as part of audit planning for 2020/21.

The service in conjunction with the Mayor has proposed a replacement audit. This will focus on the work the Town Centre Action Group has been undertaking and will specifically look at the community safety issues faced in the town centre dealt with by the Council and partners, and assess whether there are gaps in service provision.

Performance Management

Reporting of Audit Plan Delivery Progress

- 2.9 To help the Committee assess the current situation in terms of progress against the projects in the 2019/20 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.
- 2.10 Annual performance indicators and associated targets were approved by the SIAS Board in March 2019. Actual performance for Watford Borough Council against the targets that can be monitored for 2019/20 is shown in the table below.

Performance Indicator	Annual Target	Profiled Target to 22 November 2019	Actual to 22 November 2019
1. Planned Days – percentage of actual billable days against planned chargeable days completed (excluding unused contingency).	95%	57% (160/279 days)	55% (152.5/279 days)
2. Planned Projects – percentage of actual completed projects to draft report stage against planned completed projects (excludes 2017/18 completion and ‘on-going’ pieces).	95%	43% (10/23 projects to draft)	30% (7/23 projects to draft)
3. Client Satisfaction – percentage of client satisfaction questionnaires returned at ‘satisfactory’ level.	100%	100%	86% (7 received)

4. Number of Critical / High Priority Audit Recommendations agreed	95%	95%	100% (7 made)

2.11 In addition, the performance targets listed below are annual in nature. Performance against these targets will be reported on in the 2019/20 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 2019/20 AUDIT PLAN AT 22 NOVEMBER 2019

2019/20 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									
Revenues and Benefits System Parameter Testing (shared plan)	Good	0	0	0	0	2	Yes	2	Final Report Issued
Benefits (shared plan)						12	Yes	2	Terms of Reference Issued
Council Tax (shared plan)						12	Yes	8	In Fieldwork
Creditors (shared plan)						10	Yes	2	Terms of Reference Issued
Debtors (shared plan)						10	Yes	9.5	Draft Report Issued
Main Accounting (shared plan)						10	Yes	3	In Fieldwork
NDR (shared plan)	Good	0	0	0	0	11	Yes	11	Final Report Issued
Payroll (shared plan)						12	Yes	4	In Fieldwork
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									
Financial Account Reconciliations (shared plan)						10	Yes	9	In Fieldwork
Commercial Strategy						12	BDO	0	Allocated
Temporary Accommodation						10	Yes	9.5	Draft Report Issued
Project Management	Good	0	0	0	1	10	Yes	10	Final Report Issued
Customer Services - Digitalisation						6	BDO	0.5	In Planning

APPENDIX A - PROGRESS AGAINST THE 2019/20 AUDIT PLAN AT 22 NOVEMBER 2019

AUDITABLE AREA	LEVEL OF ASSURANCE	RECS				AUDIT PLAN DAYS	LEAD AUDITOR ASSIGNED	BILLABLE DAYS COMPLETED	STATUS/COMMENT
		C	H	M	L				
Play Safety Inspections						8	Yes	7	In Fieldwork
Safeguarding						0	N/A	0	Cancelled
Sports Development						8	Yes	0	Allocated
Herts Home Improvement Agency - Follow Up						2	Yes	0	Allocated
Development Management (pre-application process)	Satisfactory	0	0	2	0	6	Yes	6	Final Report Issued
Community Safety						10	BDO	0	Allocated
Contract Management									
Contract Management						12	Yes	11	In Fieldwork
Counter Fraud									
No audits						0		0	
Risk Management and Governance									
Corporate Governance						1	N/A	1	Cancelled
IT Audits									
Cyber Security (shared plan)						12	BDO	11.5	Draft Report Issued
IT Policies and Procedures (shared plan)						18	BDO	0	Allocated
SIAS Joint Work									
Shared Learning and Joint Reviews						5	N/A	2.5	Through Year

APPENDIX A - PROGRESS AGAINST THE 2019/20 AUDIT PLAN AT 22 NOVEMBER 2019

AUDITABLE AREA	LEVEL OF ASSURANCE	RECS				AUDIT PLAN DAYS	LEAD AUDITOR ASSIGNED	BILLABLE DAYS COMPLETED	STATUS/COMMENT
		C	H	M	L				
Ad Hoc Advice									
Ad Hoc Advice						2	N/A	1	Through Year
To Be Allocated									
Unused contingency (shared plan)						1		0	
Strategic Support									
Head of Internal Audit Opinion 2018/19						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	7.5	Through Year
2020/21 Audit Planning						7	N/A	0	Due quarter 4
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 2018/19 audits									
Time required to complete work commenced in 2018/19 (6 days shared plan; 5 days WBC)						11	N/A	10.5	Complete
WBC TOTAL						144		84	

APPENDIX A - PROGRESS AGAINST THE 2019/20 AUDIT PLAN AT 22 NOVEMBER 2019

AUDITABLE AREA	LEVEL OF ASSURANCE	RECS				AUDIT PLAN DAYS	LEAD AUDITOR ASSIGNED	BILLABLE DAYS COMPLETED	STATUS/COMMENT
		C	H	M	L				
SHARED SERVICES TOTAL						136		68.5	
COMBINED TOTAL						280		152.5	

Key to recommendation priority levels:

C = Critical; H = High; M = Medium; L = Low / Advisory; N/A = Not applicable

APPENDIX B – 2019/20 AUDIT PLAN PROJECTED START DATES

Apr	May	June	July	August	September
Revenues & Benefits System Parameter Testing (shared services plan)* Final Report Issued			Temporary Accommodation Draft Report Issued	Customer Services – Digitalisation In Planning	Financial Account Reconciliations (shared services plan)** In Fieldwork
			Project Management Final Report Issued	Contract Management In Fieldwork	Play Safety Inspections In Fieldwork
			Development Management (pre-application process) Final Report Issued		

***Notes:**

* Revenues & Benefits System Parameter Testing completed in May - remainder of Benefits and NDR work due quarter 3 of 2019/20

** Financial Account Reconciliations – start of audit moved from May to September to allow for completion of external audit work.

APPENDIX B – 2019/20 AUDIT PLAN PROJECTED START DATES

October	November	December	January	February	March
NDR (shared services plan) Final Report Issued	Council Tax (shared services plan) In Fieldwork	Benefits (shared services plan) Terms of Reference Issued	Creditors (shared services plan) Terms of Reference Issued	Budget Monitoring (shared services plan) Terms of Reference Issued	Herts Home Improvement Agency (follow up)
Debtors (shared services plan) Draft Report Issued	Payroll (shared services plan) In Fieldwork	Treasury Management (shared services plan) Terms of Reference Issued	Commercial Strategy	Community Safety	
Cyber Security (shared services plan) Draft Report Issued		Main Accounting (shared services plan) In Fieldwork	IT Policies and Procures (shared services plan)		
			Sports Development		

Audit Plan 2016/17

Tree Surveying 2016/17							
Final report issued April 2017							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * 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.	*	<p>31 December 2017</p> <p>31 May 2018</p> <p>31 July 2019</p> <p>30 Sept 2019</p> <p>31 January 2020</p>

Tree Surveying 2016/17							
Final report issued April 2017							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * 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> <p>Position – February 2019 In progress.</p> <p>Position – July 2019 The Tree and Woodland Strategy has been completed and is due at Cabinet in September 2019 and highlights a number of actions within.</p> <p>Position – September 2019 As above.</p> <p>Position – November 2019 The strategy is out for consultation and will go to Cabinet when that is completed. This may be either December or January.</p>				

**WBC Internal Audit Recommendations Follow Up – November 2019
Audit Plan 2018/19**

Cyber Security 2018/19							
Final report issued January 2019							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	<p>Management should put a defined plan in place to address all existing critical and high priority vulnerabilities in a timely manner.</p> <p>There should be a defined procedure in place to resolve vulnerabilities as and when they are encountered.</p>	Medium	<p>Update existing procedures to review and remediate vulnerabilities (other than MS patches).</p> <p>If required, implement additional system e.g. SCCM to manage deployment of “other” vulnerabilities.</p> <p>Position – February 2019 Review of products such as SCCM to manage 3rd party patching across the estate.</p> <p>Position – July 2019 The following management update was received on 30 July: “In progress. Currently managed on a ¼ basis, using Qualys vulnerability software to assess and scan with manual remediation via patching. System will be put in place to automate where possible.”</p> <p>Position – September 2019 As above.</p> <p>Position – November 2019 Procedure in place for 6 monthly vulnerability checking for third party software. Remediation within 4 weeks for critical, remediation within 8 weeks for high.</p>	ICT Section Head	30 November 2019	✓	

Cyber Security 2018/19							
Final report issued January 2019							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
02	<p>There should be a mechanism to restrict any non-complying devices to connect to the Council's IT network.</p> <p>Additionally, there should be continuous monitoring in place for all devices connected on the network to be fully antivirus protected.</p>	Medium	<p>Review current AV and VPN solution and viability to restrict devices with no up to date protection from connecting to the network fully.</p> <p>Ensure that daily reports for AV protection are monitored against asset register and this is reported to the ICT Section Head.</p> <p>Position – February 2019 Reporting mechanism from Infrastructure monitoring through to desktop services is in place. Mechanism to ensure that desktop services remediate the gaps sufficiently is currently underway.</p> <p>Replacement VPN, for all homeworking, is within scope for replacement Wide Area Network. New VPN solution will review ability to ensure that all connected devices have up to date AV.</p> <p>Position – July 2019 The following management update was received on 30 July:</p> <p>“Continuous AV monitoring in place. Daily reports reviewed to ensure all connected devices have the most recent signatures. Where the signature has not been applied this is flagged and remediated by an engineer.</p> <p>New remote working solution has AV checker within Enterprise Management module.</p> <p>Request to extend the new remote working</p>	ICT Section Head	30 September 2019	<p>* Part resolved.</p> <p>Extension requested to deploy new remote working solution.</p>	<p>31 December 2019</p> <p>31 January 2020</p>

Cyber Security 2018/19							
Final report issued January 2019							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			solution roll out to December 2019. The rollout will have commenced in August 2019 but needs to be deployed to all users across all sites, in line with the deployment of new personal IT kit and Unified Communications.” Position – September 2019 As above Position – November 2019 This is in progress, and a key issue/dependency resolved. Slight delay in roll out means that this is likely to be completed mid-end of January 2020.				
03	A training needs assessment should be performed for all members of staff that have responsibility for Cyber security so as to determine their training needs.	Medium	Review current skills against role to assess gap, recommending appropriate training as an outcome. Note funding will have to be approved. HR Manager Monitor and report against all staff who have not completed the annual requirement to refresh knowledge via the Security awareness programme. Position – February 2019 New Learning Management system will be ready approximately April 2019. This is led by the HR service. Once in place more accurate reporting mechanisms can be used to ensure staff are completing the required mandatory training. Position – July 2019 The following management update was	ICT Section Head	30 September 2019	✓	

Cyber Security 2018/19							
Final report issued January 2019							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			received on 30 July: “Monitoring regarding mandatory training completed now in place via new Learning Management system. Skills gap assessment ongoing.” Position – September 2019 As above Position – November 2019 Completed. Training needs included within staff development plan.				

Benefits 2018/19							
Final report issued April 2019							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	We recommend that declaration of interests forms are completed by all staff annually. A process for new staff should be put in place to form part of the induction programme to complete a declaration of interests form.	Medium	Declarations of interests will be completed by all Revs and Bens staff for 19/20. A prompt for this form to be signed will be added to our corporate wide new starter form so that we pick up new starters as and when required. Position – July 2019 No management update received.	Head of Revenues and Benefits	30 April 2019	*	30 Sept 2019 31 December 2019

Benefits 2018/19							
Final report issued April 2019							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>Position – 21 August 2019 All officers with access to the Revenues and Benefits systems need to sign a declaration annually. This work is underway. We amended our internal Revs and Bens Information Security Policy in May of this year. We are now making some amendments to the declaration itself before it is sent out to all staff for signing. All signed declarations will be held on the Revs and Bens drive electronically for internal and external audit to view whenever necessary. We anticipate this work being completed by 31.08.19. The form will also form part of the new starter process being developed within Firmstep so that we capture new starts as and when.</p> <p>Position – September 2019 (Based on conversation with the Head of Revenues & Benefits) Revised declaration of interest form to be reviewed by SIAS before issue to staff.</p> <p>Position – November 2019 There are some amendments that need to be made to the declarations of interest form and I anticipate having all of the forms signed by 31.12.19.</p>				
02	We recommend that testing of the module is carried out to reinstate the ability to delete obsolete data.	Medium	<p>The Retention and Destruction module is currently suspended from use as it has been destroying documents incorrectly that we are still relying on to support 'live' housing benefit claims.</p> <p>We have reported this to the system supplier</p>	Benefits Manager	31 May 2019	*	31 October 2019

Benefits 2018/19							
Final report issued April 2019							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			<p>(Northgate) and have requested their assistance with correcting the issue so that we can start using the module again and remain GDPR compliant.</p> <p>During a meeting with Northgate on 21.03.19 we agreed we needed a Retention & Destruction refresher training day during which they would help us set up the system so that the system does not destroy documents we still need. We are now awaiting a date for the training to take place.</p> <p>Position – July 2019 No management update received.</p> <p>Position – 21 August 2019 The system is designed to destroy all documents that are older than 6 years plus current. We discovered that the system was not working properly and has destroyed some documents that are still required to support live Benefit claims and therefore we need to retain. Clearly we could not allow that to continue so the system was been suspended. We have sought advice on how to fix this issue from the system provider and are awaiting their response. I have chased this today and have also now asked if it's possible to use the system in part so that we can carry on destroying old documents that we no longer require for Council Tax and Business Rates and unsuspend the Benefits part of the system once we have fixed the problem. I will escalate this issue in a week if I have not had a response.</p>				

Benefits 2018/19							
Final report issued April 2019							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			Position – September 2019 (Based on conversation with the Head of Revenues & Benefits) Issue has now been escalated with Northgate. Position – November 2019 No update provided by management.				

IT Contract Management 2018/19							
Final report issued July 2019							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
02	A review of retention systems should be undertaken to ensure IT contracts are held in a central location.	Low	Action will be undertaken to ensure that soft copies of all current contracts are stored in the appropriate folders on the service drives. Position (September 2019) In progress. Position (November 2019) In progress	Head of ICT	31 March 2020	*	

Audit Plan 2019/20

Development Management (pre-app process) 2019/20							
Final report issued October 2019							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	<p>Management should produce written guidance to inform the minimum acceptable retention requirements for major and minor pre-application enquiries. This should make to clear to planning officers if meetings, telephone conversations and emails with potential applicants during the advisory period need to be documented and stored on case files for information request and auditing purposes.</p> <p>Management should periodically spot check a sample of case files for major pre-applications as a way to ensure that the minimum acceptable retention requirements are being adhered to in practice.</p>	Medium	<p>Agreed. The whole pre-application process will be reviewed so that there is clear guidance.</p> <p>Position – November 2019 In progress in accordance with original timescale.</p>	Interim Head of Development Management	31 December 2019	*	
02	<p>The pre-application guidance for should advise that meetings are not minuted by the Council, and if a record of what is discussed and agreed by the parties during a meeting is required then the onus is on potential applicants rather than the lead planning officer to provide the administrative support for this.</p> <p>Planning officers should attach a copy</p>	Medium	<p>Agreed. The whole pre-application process will be reviewed so that there is clear guidance.</p> <p>Position – November 2019 In progress in accordance with original timescale.</p>	Interim Head of Development Management	31 December 2019	*	

Development Management (pre-app process) 2019/20							
Final report issued October 2019							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
	<p>of any minutes provided by potential applicants to the relevant case file for information request and audit purposes.</p> <p>Planning officers should ensure that after each meeting with a potential applicant (for a major project proposal) the relevant case file is updated with the date and main outcomes for information request and auditing purposes.</p>						