

## Risk Summary

Where possible audit testing is linked directly to risks on the risk register, below is a summary of current assurance levels based on work completed to date.

ID	Risk	Assurance
C&A 1	Inability to contain placement costs for children looked after due to lack of sufficient in house placements	
C&A 10	The Deprivation of Liberty Safeguards Threshold changes significantly increases the amount of people deprived of their liberty resulting in potential for increased legal challenge	
C&A 14a	Failure to respond appropriately to safeguard vulnerable adults, in line with national legislation and safeguarding adults procedures	100%
C&A 14b	Failure to respond appropriately to safeguard vulnerable children, in line with national legislation and safeguarding children, thresholds and procedures.	
C&A 15	Working with other local commissioners to ensure their understanding of their responsibilities within the Childhood pathway.	
C&A 16	Risk of unsuccessful mobilisation of new service - Support, Recovery and Treatment In Darlington through Empowerment (STRIDE).	
C&A 17	Impact of NECA not retaining the Drug & Alcohol Contract on the Stop Smoking Service - Will the provider be able to manage the Stop Smoking staff if the Gate is no longer used by the Service.	
C&A 18	Impact of COVID-19 on team capacity.	
C&A 19	New Director of Public Health transition.	
C&A 3a	Inability to recruit and retain sufficient qualified suitably experienced social workers in Children's Services impacts on cost and quality of service	
C&A 3b	Inability to recruit and retain sufficient qualified suitably experienced social workers in Adult Services impacts on cost and quality of service	
C&A 5	Failure to identify vulnerable schools and broker appropriate support to address needs	
C&A 8a Adult	Increased demand for Adult Services impacts negatively on plans for budget efficiencies	
C&A 8b	Increased demand for Children's Services impacts negatively on budget	
C&A 9a	Market (Domiciliary Care Residential Care providers) failure following the Care Act/Living Wage	
C&A 9b	Market (Domiciliary Care Residential Care providers) for Vulnerable Families with Children (including SEND) experiences provider failure	
C1	Implementation of recommendations from the Capital Process Review is needed to improve effective capital project management	
C17	Brexit could result in changes to laws, regulations, government policy or funding when/if the UK leaves the EU which could impact on Darlington Borough Council's ability to achieve its objectives	
C18	COVID-19: 1. Health and safety of the Council workforce 2. Health and safety of the public of Darlington 3. The impact on the Economy of the Borough and its population 4. Financial impacts on the Council of increased costs and reduced income	
C3	Corporate Premises Risks	100%
C4	Business Continuity Plans not in place or tested for key critical services	97%
C5	Council unable to meet its obligations under the information governance agenda	92%
EG&NS 1	Investment in regeneration projects is not delivered	
EG&NS 12	Planning Performance at risk of Standards Authority intervention	
EG&NS 13	Significant impacts arising from the reduction in available cash/resources to the local economy, Council's GF and HRA and businesses due to the impacts of increased levels of unemployment and Universal Credit payments	
EG&NS 14	Regulatory risks associated with provision of services including Street Scene Environmental Services, Building Services (Gas, Legionella, etc.) and the Lifeline service	
EG&NS 16	Delay in delivering replacement cremators resulting in failure of existing equipment and therefore closure of the service	
EG&NS 17	Impact of COVID-19 on customers and audiences on confidence to return to leisure and cultural facilities	
EG&NS 18	Impacts arising from the ability to progress and complete schemes/projects in the event of further COVID- 19 lockdowns	
EG&NS 19	Potential impact on public transport networks if commercial services do not recover or continue to receive support from Government and routes are withdrawn	
EG&NS 20	Inability to cope with significant increase in homelessness cases due to new requirements by MHCLG to accommodate everyone irrespective of status in order to limit spread of COVID-19 and also increased levels of homelessness due to increased relationship breakdowns and financial difficulties	
EG&NS 7	Financial implications of Maintaining and conserving key capital assets within the borough	
EG&NS 8	Ability to adequately address the affordable housing requirement	
EG&NS 9	Delay to new Local Plan	50%
RE 1	VAT partial exemption breach due to exempt VAT being close to the 5% limit	
RE 2	Fraud in general	
RE 26	Joint Venture Arrangements impacted by a slow down in house building	
RE 3	ICT security arrangements inadequate	
RE 5	Increased sickness absence adversely affects service delivery	
RE 9	Instability within financial markets adversely impacts on finance costs and investments	100%

## Theme Summary

Theme	Assurance	Audit Findings (By Impact)					
			VL	L	M	H	VH
1. Accuracy of Decision Making	89%	R	0	0	0	0	0
		A	0	0	5	0	1
		G	1	11	14	9	4
2. Monitoring of Decisions	89%	R	0	0	0	0	0
		A	0	2	0	1	0
		G	0	6	7	0	0
3. Information Governance	94%	R	0	0	0	0	0
		A	0	2	4	0	0
		G	1	8	11	4	1
4. Finance	100%	R	0	0	0	0	0
		A	0	0	2	0	0
		G	1	2	6	6	2
5. HR - Payments	100%	R	0	0	0	0	0
		A	0	0	0	0	0
		G	0	2	1	1	0
6. HR - Health & Safety	100%	R	0	0	0	0	0
		A	0	0	0	0	0
		G	0	1	2	0	0
7. HR - Management	100%	R	0	1	0	0	0
		A	0	0	0	0	0
		G	1	5	1	1	0
8. Recruitment	88%	R	0	0	0	0	0
		A	0	0	0	0	0
		G	0	2	1	0	0
9. HR - Training/Qualifications/Clearances	81%	R	0	0	1	0	0
		A	0	0	4	0	0
		G	0	6	6	3	0
10. Accuracy of Payments	95%	R	0	0	0	0	0
		A	0	2	0	0	0
		G	3	8	3	0	0
11. Income - Charging	100%	R	0	0	0	0	0
		A	0	1	0	0	0
		G	0	4	0	1	0
12. Income - Payments	85%	R	0	0	0	0	0
		A	0	1	0	0	0
		G	0	4	1	1	0
13. Cash Handling	86%	R	0	0	0	0	0
		A	0	0	0	0	0
		G	0	1	0	0	0
14. Procurement/Sourcing	91%	R	0	0	0	0	0
		A	0	1	2	0	0
		G	0	6	3	2	1
15. Physical Assets/Locations	95%	R	0	0	0	0	0
		A	0	2	2	0	0
		G	0	4	8	4	1
16. Fraud	100%	R	0	0	0	0	0
		A	0	0	0	0	0
		G	0	1	0	0	0
17. Business Continuity	100%	R	0	0	0	0	0
		A	0	1	0	0	0
		G	0	2	6	5	0
18. Procedures	100%	R	0	0	0	0	0
		A	0	0	0	1	0
		G	0	6	3	1	1
19. Performance Management	93%	R	0	0	0	0	0
		A	0	1	1	0	0
		G	0	0	7	3	2
20. ICT Infrastructure	88%	R	0	0	0	0	0
		A	0	0	0	0	0
		G	1	4	6	3	1
21. Handling of Requests/Incident Response	85%	R	0	0	0	0	0
		A	0	0	2	0	0
		G	2	3	1	1	0

## Detailed Analysis by Service

This section of the report presents the current overall results by Service area.

		VL	L	M	H	VH
Finance	R	0	0	0	0	0
	A	0	1	0	0	0
	G	1	4	4	6	1
HR	R	0	0	0	0	0
	A	0	0	0	0	0
	G	1	6	3	1	0
Health & Safety	R	0	0	0	0	0
	A	0	0	0	0	0
	G	0	1	0	0	0
Strategy, Performance & Communications	R	0	0	0	0	0
	A	0	1	0	0	0
	G	3	3	1	0	0
Children's Services	R	0	0	0	0	0
	A	0	0	1	1	0
	G	0	1	10	8	2
Adults	R	0	0	0	0	1
	A	0	1	2	1	1
	G	0	1	6	6	3
Education	R	0	0	0	0	0
	A	0	0	2	0	0
	G	0	8	4	1	2
Public Health	R	0	0	0	1	0
	A	0	0	0	0	0
	G	0	0	0	3	0
Legal	R	0	0	0	0	0
	A	0	1	1	0	0
	G	1	2	3	0	0
Democratic Services & Registrars	R	0	1	0	0	0
	A	0	0	0	0	0
	G	0	4	1	0	0
Information Governance	R	0	0	0	0	0
	A	0	0	3	0	0
	G	0	1	3	0	1
Xentrall	R	0	0	0	0	0
	A	0	1	1	0	0
	G	1	23	23	9	1
Housing & Building Services	R	0	0	0	0	0
	A	0	0	1	0	0
	G	0	4	6	2	2
Community Services	R	0	0	0	0	0
	A	0	7	3	0	0
	G	2	17	10	1	0
Economic Growth	R	0	0	0	0	0
	A	0	0	3	0	0
	G	0	1	4	4	0
Transport & Capital Projects	R	0	0	0	0	0
	A	0	0	4	0	0
	G	0	3	5	3	0

## Detailed Analysis of Output and Planning by Service

This section of the report will present detail of work undertaken and work planned by Service area.

	Results				Planned Work		
	April 2021	to	June 2021		July 2021	to	September 2021
	Number	R	A	G	No	Time	Monitoring
Finance	1	0	0	1	14	13.25	0.6
HR	1	0	0	1	5	3	0.2
Health & Safety	0	0	0	0	4	3.5	0.2
Strategy, Performance & Communications	1	0	1	0	3	1.5	0.1
Children's Services	12	0	0	12	18	17.75	1.2
Adults	9	2	1	6	26	26	0.7
Education	3	0	1	2	14	23.5	0.2
Public Health	0	0	0	0	5	7.25	0
Legal	2	0	1	1	4	6	0.3
Democratic Services & Registrars	1	1	0	0	7	5.25	0.2
Information Governance	1	0	0	1	2	1.25	0.2
Xentrall	22	0	1	21	11	19.5	2.5
Housing & Building Services	8	0	0	8	6	10	0.8
Community Services	12	0	2	10	30	22.5	1.9
Economic Growth	2	0	0	2	13	11	0.4
Transport & Capital Projects	4	0	0	3	13	9.75	0.6
<b>Totals</b>	<b>79</b>	<b>3</b>	<b>7</b>	<b>68</b>	<b>175</b>	<b>181</b>	<b>10.1</b>

## Quality, Assurance & Improvement Process

Period	April 2021	to	June 2021
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Stewardship (Coverage)			Stakeholders		
Measure	Target	Performance	Measure	Target	Performance
Adequate Resources	15	15.7	Reports Issued	Qtrly	*
Portfolio Coverage	77	79	Fraud Strategy Review	31/03/2021	*
Presentation of Annual Report (Annual)	June	*	Client Satisfaction	TBC	*
Presentation of Activity Report	Qtrly	*	Recommendation Implementation	TBC	*

Process			People		
Measure	Target	Performance	Measure	Target	Performance
Self assessment against standards (Annual)	March	*	Productivity	75%	72.2%
External Assessment (Every 5 Years)	31/03/2023	*	Training (Per Financial Year)	20	15.1
Staff Meetings Held	7	9	Code of Conduct (Annual)	100%	*
Up to Date Audit Manual	31/03/2021	*	Appraisals (Annual)	100%	*

\* - to be reported as part of the annual report.

## Full Plan

ID	Control	Frequency
33	Education, Health & Care Plans are completed appropriately and in a timely fashion	3
35	Section 17 payments made in respect of children are appropriately managed.	3
36	Children's placements are monitored appropriately and opportunities for family reunification examined.	3
42	Sufficient school places are available to meet demand.	3
44	Children's Assessment procedures are comprehensive and up to date	3
49	Children's cases are appropriately supervised with regular discussion and appropriate recording.	3
54	Systems are updated with the relevant referral information	3
55	Accurate and timely assessment of children's referrals is undertaken.	3
68	Clear budget process and timetable is in place which could be followed by team members as and when required.	3
78	Focussed financial support to commercial ventures	3
88	An approved Council Plan is in place which sets out the priorities of the council.	3
105	Update and report the strategic corporate risk register.	3
112	Process council tax support claims	3
113	Process housing benefit claims	3
165	Adult Services have a service strategy in place and delivery is being monitored.	3
172	An up to date strategic plan is in place for the Safeguarding Adults Board.	3
174	Adult Social Care cases are allocated appropriately considering caseloads and qualification requirements.	3
176	An appropriate ICT system(s) is in place to manage and safeguard adult social care information held.	3
179	Appropriate service provision has been identified to meet an Adult Social Care users individual needs, which is accurately charged for as required.	3
182	Where the Authority has Deputyship/Appointeeship, appropriate authorisation/legal documentation is in place	3
250	There is a system of performance management in place for adult social care.	3
299	Adequate controls are in place to ensure data in the cloud is adequately protected.	3
348	DBS check renewals are undertaken for Adults and Health staff	3
380	The Supporting Families programme is managed effectively.	3
465	Public health research and local needs assessment.	3
478	An appropriate ICT system(s) is in place to manage and safeguard children's social care/education information held.	3
535	Children have been matched with appropriate adopters	3
577	The correct charges are raised for housing rents.	3
661	For Youth Employment Initiative (YEI) grants financial audits have been undertaken.	3
662	Youth Employment Initiative (YEI) outcomes are accurately recorded on the return to HBC	3
22	Adequate and effective after school, day care and residential short breaks provision is available for children with a care plan.	6
23	Appointment of suitable of in-house foster carers.	6
24	Appropriate arrangements are in place to assess the suitability of adopters	6
26	Attainment in schools is appropriately monitored.	6
28	In-House carers receive appropriate training.	6
32	Education, Health & Care Plans are appropriately monitored	6
45	Staff assessing children's cases have the relevant qualifications and clearances.	6
46	Business continuity arrangements are in place to continue to deal with referrals.	6
48	Hard-copy Children's case files are appropriately managed and safeguarded.	6
64	Clear acquisition, disposal and re-valuation process for land and buildings.	6
76	Ensure accurate monitoring of capital programme and schemes	6

79	Maintain formula and support for funding schools and high needs.	6
81	Operate clear arrangements for billing and collection of council tax and business rates	6
97	Prepare statement of accounts	6
108	Participate in appropriate safeguarding processes and provider serious concern protocol	6
114	Vehicles used in the provision of community transport services are suitable and meet requirements for servicing and road worthiness.	6
119	Client risk assessments are undertaken and appropriate arrangements in place for the provision of Passenger Transport (social care and education) service usage.	6
131	Planning and provision of school meals promotes healthy, nutritious eating in compliance with the School Food Standards.	6
132	Free school meals are provided to eligible pupils.	6
146	Bridge Inspections are undertaken in accordance with an appropriate specified programme.	6
163	Business continuity arrangements are in place in order to continue to receive adult referrals and undertake assessments.	6
168	Referral and Assessment Procedures (Adults) are comprehensive and up to date.	6
169	Appropriate financial monitoring is in place in respect of the Better Care Fund.	6
171	Non-financial targets as set out in the Better Care Fund plan are being met.	6
173	Appropriate reporting mechanisms are in place in respect of safeguarding activities and outcomes.	6
175	Adult Social Care case files are updated accurately and in a timely manner.	6
178	Staff working in settings for adults are suitably qualified and receive appropriate training.	6
181	Appropriate monitoring of residential placements is in place.	6
184	Accurate charges for contributions to care costs are made to service users.	6
190	Professionals employed to undertake DOLS assessments are procured and employed via correct processes.	6
200	The Council maintains an accurate and up to date land charges register.	6
203	Website and Intranet content is relevant and up to date.	6
218	Posts requiring a DBS check are identified and requirements are in line with legislation.	6
249	Timely and accurate financial assessments are undertaken for service users wishing to take up a service.	6
251	Adequate health & safety measures/risk assessments are in place/undertaken at individual adults establishments.	6
252	Arrangements are in place to ensure Day Services, Residential and Supported Living service provision continues if there was a loss of staff or premises.	6
255	All care packages are receiving appropriate approval, and include all relevant information.	6
256	Formal signed agreements in place between LA/CCG in accordance with relevant guidance	6
257	Appropriate arrangements are in place to continue managing clients finances in the event of disruption.	6
260	Food & Hygiene premises rating system is updated regularly and published.	6
272	Breaches of planning control are investigated and enforcement action initiated as necessary.	6
283	Disposals of ICT equipment are undertaken in an appropriate manner in line with an adequate and appropriate official disposal policy.	6
285	Progress towards the ICT strategy goals is monitored and reported on.	6
289	Appropriate disaster recovery plans and procedures are in place to support recovery from a partial or total loss of significant ICT systems/servers.	6
295	Appropriate formal documented ICT project management standards/policies have been established.	6
302	Anti-virus controls are in place for relevant elements of the ICT infrastructure including servers and individual machines.	6
303	An appropriate infrastructure is in place to facilitate the organisation's firewalls.	6
304	Appropriate periodic IT Health checks (or other equivalent exercises) are undertaken in order to identify and categorise significant security issues/vulnerabilities. Work is then undertaken to remediate these issues/vulnerabilities where appropriate.	6
309	Adequate and appropriate change controls are in place.	6
313	The computer system calculates all payments correctly.	6

363	The adoption process is adequately documented to ensure a suitable, safe placement is found within an adequate time period in the absence of key personnel.	6
365	Management and oversight of youth offending cases improve outcomes for young people involved in criminal justice system or at risk of becoming involved.	6
367	The Council has a strategy in place to deliver public health services to the community.	6
371	Information held about children, young people and their families is appropriate/up to date and sharing is in line with GDPR and IARs.	6
378	Pupil premium funding is used effectively.	6
393	Appropriate and timely response to a homelessness Duty to Refer request.	6
396	Accurate and timely returns are provided to support New Homes Bonus.	6
397	Economic Growth Strategy and Economic Growth Plan is monitored and milestones achieved.	6
399	Support is provided to new and existing businesses.	6
405	Effective management of grants received to support jobs and growth.	6
408	Monitor re-offending rates and target resources towards young people at risk of re-offending.	6
464	Effective commissioning and procurement of public health services and programmes.	6
466	Delivery of the Health and Wellbeing Strategy.	6
471	Achievement of completion rate targets for mandatory on-line information governance training.	6
484	Suitability of approved in-house foster carers is monitored.	6
499	Continued eligibility for a free school meal is monitored and appeals are handled appropriately.	6
536	Breakdowns in placements are handled effectively.	6
573	Where there is a shortfall in specialist housing facilities managed by the authority to meet demand external provision is effectively sourced.	6
576	Regular bank reconciliations are undertaken and are up to date with minimal amounts in suspense.	6
674	COVID DfE Exam Support	6
675	COVID Schools Workforce Fund	6
676	COVID Testing in Schools & Colleges	6
20	A child in care's story is documented	12
21	A robust training and support regime is in place for new teachers	12
25	Arrangements are in place to manage the breakdown of a placement	12
29	Hard copy information held in Children's Residential Homes is appropriately safeguarded.	12
34	Health & safety of children's placements is monitored	12
38	Plans are in place to manage the loss of a school and provide continuity of education.	12
39	School governors receive an appropriate level of support and training	12
40	School places have been allocated in accordance with admissions policies.	12
53	Procedures for managing referrals (Adult's) and undertaking initial assessments are comprehensive and up to date.	12
56	Agreements for early years provision are in place and being complied with and monitoring visits are being undertaken.	12
59	Allocation of school budgets in line with funding formula.	12
67	School investment plan in place to ensure appropriate number and quality of places available.	12
69	Clear contract procedure rules	12
72	Treasury Management Strategy and its implementation meets the Prudential Code and Treasury Management Code of Practice.	12
74	Delivery of tender management plan.	12
75	Ensure accurate in-year financial monitoring	12
77	Financial appraisal completed as part of business case/options appraisal	12
86	Undertake forward planning and projections of external factors in respect of income and expenditure and feed into MTFP.	12
89	Development of an appropriate risk assessed H&S audit programme.	12
91	Delivery of an effective Internal Audit Service in compliance with Accounts & Audit Regulations.	12



93	Requests for information are handled in line with requirements of the Freedom of Information Act.	12
96	Prepare annual governance statement	12
104	Update and report RAG tools to assist in risk management in all adults, public health and children's contracts.	12
107	Ensure specifications are clear and include all requirements for safe care	12
109	Crisis and emergency/settlement support	12
115	Appropriate business risk assessments are undertaken within the Passenger Transport service and measures are in place to ensure the health and safety of Council employees.	12
116	Council employed drivers and passenger assistants hold the necessary clearances, licences, qualifications and training.	12
117	Contractors & sub-contractors involved in the provision of passenger transport hold the necessary clearances, licences, qualifications and insurance.	12
130	Catering and cleaning staff have been subject to appropriate disclosure checks.	12
134	Arrangements are in place for inspection and maintenance of security and surveillance equipment.	12
135	Civic enforcement decisions are consistent, fair, proportionate and necessary; in line with legislation.	12
138	Community engagement and communication to highlight and reduce environmental crime.	12
139	Ensure the health and safety of enforcement officers.	12
141	Sensitive personal information in relation to Telecare clients is managed in line with GDPR requirements.	12
142	Telecare staff hold appropriate qualifications and DBS clearances, and receive regular training.	12
147	Highway inspections are undertaken in accordance with an appropriate specified programme.	12
148	Street Lighting inspections and associated electrical testing are undertaken in accordance with an appropriate specified programme and relevant legislation/guidance.	12
150	Car Parking Strategy in place which is up to date and considers resident, disabled and general parking requirements.	12
151	Road closures are undertaken following appropriate consultation and required notifications are undertaken within appropriate timescales.	12
152	The authority is committed to reducing it's carbon footprint and supporting residents and businesses to reduce theirs.	12
153	The highways network resilience to extreme events such as weather has been fully established and plans are in place to manage this.	12
158	Disabled Facilities Grants/Helping Hands recipients meet grant eligibility criteria, payments and contributions are correct.	12
159	HMO properties are licensed.	12
162	The authority has an adequate, appropriate and up-to-date Local Plan in place.	12
177	Adult Social Care staff are aware of Health & Safety requirements and have received appropriate H & S training.	12
183	Where legal charges have been placed on a service user's property, appropriate deferred payment/legal documentation is in place	12
188	A current Carers Strategy is in place.	12
189	Professionals are appropriately trained and qualified to undertake BIA/DoLS assessments.	12
194	Corporate initiatives are in place to help prevent sickness absence.	12
195	Procurement of contracts in place for provision of employee therapy is undertaken in line with contract procedure rules and appropriate monitoring undertaken.	12
206	Communication activities are aligned with corporate priorities and are delivered consistently and effectively.	12
214	Procurement by Legal Services is in line with contract procedure rules and value for money principles.	12
216	Land charge related searches are completed effectively and within a reasonable timescale.	12
220	Appropriate checks have been undertaken prior to placing someone on the Employee Protection Register.	12
221	Information security and sharing protocols in relation to occupational health and employee therapy provision is in line with data protection legislation.	12
227	Arts Council funding is used appropriately and conditions complied with.	12
228	Venues for events are appropriate.	12
234	Library stock is adequately recorded, managed and its condition is 'fit for purpose'.	12
235	Adequate emergency response plans are in place for events and venues.	12

236	Arts and museum assets are adequately safeguarded and insured.	12
245	Maintain an accurate and up to date electoral register, which conforms to Electoral Commission requirements.	12
261	Adequate performance information is maintained and is appropriately utilised within the Highways Department.	12
263	Appropriate controls are in place to identify, record and investigate significant flooding incidents.	12
264	The authority has an adequate, appropriate and up to date Highway Infrastructure Asset Management Strategy (HIAMS) in place.	12
265	Utility works are licensed, inspected and where applicable, appropriate charges are issued and collected for overruns/fines.	12
270	Building control decisions are appropriately authorised and made in line with Building Regulations.	12
271	Residential delegated planning applications are considered and determined in line with the local development plan, national planning framework, gives consideration to the provision of green spaces and is dealt with within the appropriate timescale.	12
274	Section 106 agreements utilised effectively and obligations are complied with.	12
279	High level Active Directory administration privileges/credentials are only assigned to appropriate individuals.	12
284	An appropriate current documented and approved ICT strategy is in place.	12
286	ICT equipment located in computer facilities is adequately and appropriately protected from significant environmental threats.	12
290	Where applicable, appropriate internal disaster recovery arrangements (including backup, replication and snapshot facilities) are in place to cover significant ICT system/servers.	12
292	Use of email facilities by users is adequately controlled.	12
296	Appropriate formal agreements are in place with any external parties involved in the management and operation of the networks.	12
297	Network infrastructure/equipment is appropriately managed and protected.	12
298	Adequate and appropriate arrangements are in place in respect of business continuity and disaster recovery for the network infrastructure (including backup arrangements and arrangements to ensure network resilience).	12
300	Appropriate security/usage policies for users are in place to provide important guidance to users of the ICT facilities.	12
301	Users of ICT facilities are appropriately controlled.	12
306	Adequate and appropriate patching of host and guest operating systems is undertaken.	12
307	Appropriate access controls are in place to secure the virtualised environment.	12
308	An appropriate inventory of all significant ICT equipment is maintained. Including servers, PCs, laptops, tablets, etc.	12
310	HMRC reporting requirements are being complied with.	12
311	Information on payslips meets statutory requirements and is correct.	12
320	Information held in systems relating to HR are accurate and up to date.	12
325	Invoice certification procedures should confirm that: goods and services have been received; prices have been checked; discounts have been taken and the invoice has not been paid before.	12
326	All invoices/requisitions are expenditure coded.	12
329	The authority complies with HMRC CIS scheme.	12
330	Invoices give details of what the debts relate to, the goods and services provided and dates of provision, and are coded to the correct service.	12
332	Arrears recovery procedures are clearly defined and implemented in all cases. Reminder and recovery action periods are suitable for the types of debtor involved. Like debtors are treated equally.	12
334	A master record of periodical income records the amount and due dates of all sums which become due under the terms of leases, rents, licences, and wayleaves etc., amendments may be made to the master record by nominated officers only (on standard forms controlled by the Finance department) and certified by authorised officers.	12
338	Pension deductions are taken each month from employee's pay at the appropriate rate.	12
341	The total contributions collected from both the employee and the employer are paid to the relevant pension fund in full.	12
342	There are clearly defined guidelines and procedures for the recruitment process.	12
346	The authority exercises powers to ensure safe, high quality standards in the private housing sector.	12
349	Safeguarding training in schools is up to date and a safeguarding lead is in place.	12
353	Suitability of emergency unsupported placements.	12

355	Up to date and accessible procedures available to support the management of children's case files.	12
356	Address patterns of absence and promote regular attendance at school.	12
358	Pathway plans support care leavers in managing the transition from school to higher education, training or employment.	12
359	Training, support and development is in place for foster carers/special guardians.	12
361	Training, support and development is in place for adoptive parents and families.	12
364	Effective recruitment and retention of foster carers, including ongoing campaigns promoting the role.	12
368	Advice, access to support and refuge accommodation for victims of domestic abuse.	12
370	Commercial delegated planning applications are considered and determined in line with the local development plan, national planning framework, gives consideration to the provision of green spaces and is dealt with in accordance of the appropriate timescale.	12
381	Prioritised support and provision to tackle fuel poverty and deliver the Affordable Warmth Strategy.	12
382	Monitor delivery of community partnership objectives and key priorities.	12
383	Strategic plans and framework are in place to tackle poverty.	12
390	Commitment to road safety and reducing road casualties.	12
392	Compliance with Department for Transport (DfT) funding terms and conditions for grant payments received.	12
402	Tackling town centre property vacancies	12
403	Promotion of the borough and town centres as a great place to invest, trade and visit.	12
412	An accurate and complete register of licences issued is maintained.	12
413	Licence applications are subject to appropriate review and approval, evidence of background and eligibility.	12
415	A programme of trading standards inspections and sample tests has been identified using a risk assessment process.	12
416	Trading standards investigations are recorded accurately either as a result of a programmed inspection or in response to a complaint and the results circulated as necessary including general guidance as necessary.	12
423	Appropriate and up to date emergency plans are in place to guide a coordinated response to a major incident.	12
428	Provide effective short-term support to individuals following a discharge from hospital or to prevent hospital admission.	12
449	Cemeteries and memorials are well maintained and health and safety risks managed.	12
450	Crematorium inspection and monitoring to reduce the impact of emissions.	12
455	Inspection and maintenance of Council owned play facilities and skate parks.	12
457	There is a register of land owned and a sustainable grounds maintenance/landscaping programme in place.	12
467	A Gypsy Traveller Accommodation Assessment (GTAA) is undertaken to identify pitch requirements.	12
470	Compliance with the Health and Social Care Information Centre (HSCIC) Information Governance Toolkit	12
472	A central record of Information Asset Registers is maintained and checked for completeness.	12
473	There is a corporate arrangement in place for the secure destruction of paper records.	12
474	Appropriate email encryption is in place for sharing sensitive information.	12
477	Information asset registers are in place for each service and are being complied with.	12
479	Up to date and accessible procedures available to support the management of Adult Social Care users files.	12
485	In-house foster carer details are accurately recorded and updated.	12
486	Information relating to adopters is accurately recorded and up to date.	12
487	Adopter suitability appeals are appropriately managed.	12
488	School admissions appeals are appropriately managed.	12
491	There is a system of performance management in place to establish the effectiveness of HR policies, procedures and initiatives.	12
494	Leisure provision requirements are understood and effectively sourced.	12
503	The programme of trading standards inspections and sample testing is being monitored for completion.	12
510	Monitoring is undertaken to ensure compliance with planning decisions and appeals are handled appropriately.	12
511	Inspections of building work are undertaken to ensure compliance.	12
513	Building control decisions are accurately recorded.	12

523	Where financial assistance has been provided to businesses these are being monitored for compliance.	12
526	Changes in circumstances for council tax support and housing benefit claimants are processed appropriately.	12
527	Records relating to Council Tax Support and Housing Benefits are accurate and up to date.	12
531	Exclusions/Pupils at risk of exclusion are reviewed and action taken to address issues.	12
532	Pathway plans are monitored	12
533	Pathway plans are accurate and up to date on the system	12
534	Any payments agreed as part of the Pathway Plan have been paid correctly.	12
537	Accurate and up to date information is recorded for adoption cases.	12
538	Monitoring of Adult's safeguarding partnership arrangements ensure effective multi agency working.	12
539	Monitoring is undertaken of care packages for continued suitability.	12
548	Payments made for discretionary housing payments are accurate.	12
552	Plans are in place to continue to deliver housing/council tax support during an emergency.	12
557	The community engagement and heritage crime grant has been spent in accordance with grant conditions.	12
559	COVID related business grants have been appropriately managed with eligibility confirmed.	12
570	Income Recompense Scheme is appropriately reported and claimed.	12
663	Effective sourcing of child placements.	12
30	Cash in Children's Services is appropriately safeguarded and reconciled.	24
58	Cash in children's centres is appropriately safeguarded	24
60	Headcount is being undertaken accurately and steps taken to verify figures for early years contracts.	24
62	Payments made to early years providers are accurate	24
63	Annual maintenance plans are in place for all buildings	24
66	Debt Management of commercial properties is effective.	24
70	Clear fraud prevention and detection arrangements	24
73	Delivery of contract management plans	24
83	Operate Stockton Collections arrangements and bad debt arrangements in compliance with relevant legislation.	24
87	Co-ordinate complaints process	24
90	Deliver health & safety training programme and provide advice and guidance materials.	24
92	Implement the counter fraud strategy	24
103	Undertake health & safety investigations	24
118	Transport provision is in line with client eligibility criteria.	24
120	Costs and demand for Passenger Transport services are monitored to ensure the best use of resources is applied.	24
121	Procurement of transport routes, goods and services ensures compliance with value for money principles and contract procedure rules.	24
122	Secure and effective arrangements for the collection, recording and recovery of income in respect of community transport.	24
123	Payments made to community transport staff are appropriate, accurate and authorised.	24
124	Strategies are in place to monitor and manage the demand for school meals in the short, medium and long term.	24
125	Charges for internal and external catering and cleaning provision are raised accurately and promptly, and income due has been received.	24
126	Assets and equipment owned by the catering and cleaning service are effectively maintained.	24
127	Protect the health and safety of catering and cleaning staff, service users and the public.	24
128	Operational procedures are in place and available to catering and cleaning staff.	24
129	Payments for cleaning supplies are accurate and in accordance with the contract.	24
133	Charges for internal and external security and surveillance services are raised accurately and promptly, and all income due has been received.	24
137	Accurate charging and effective income management in relation to civic enforcement activity.	24
140	Invoices and recharges in relation to telecare services are raised promptly and accurately and income due is received.	24

144	Appropriate measures are in place within the vehicle workshop environment to ensure the health and safety of council employees and the public.	24
145	Public Rights of Way Improvement Plan (RoWIP) is in place and progress against this monitored.	24
154	Appropriate controls and systems are in place to administer parking permits/waivers and the Blue Badge scheme.	24
155	The authority has undertaken appropriate consultation and produced an adequate, appropriate and up to date Local Transport Plan.	24
157	The authority has an adequate, appropriate and up to date Homeless Reduction and Prevention Strategy in place.	24
160	The authority has an adequate, appropriate and up to date Empty Homes Strategy in place.	24
166	Staff involved in adult referrals and assessments appropriately qualified and have appropriate clearances.	24
180	Adequate security measures are in place at each Day Service, Residential and Supported Living establishment to protect clients, guests and residents property and other assets.	24
186	The range of physical disability & sensory impairment equipment available is sufficient to meet service user need	24
191	Environmental Health cases are appropriately allocated to officers.	24
192	Environmental Health income is managed appropriately and all income due to the service is collected.	24
193	Payments made to providers of employee benefit schemes are accurate.	24
197	External communication and engagement contracts are procured in line with contract procedure rules, accounting instructions and value for money principles.	24
204	Effective internal communication and engagement with employees is achieved.	24
205	There is an appropriate documented HR, Legal and Communications business continuity plan in place that will enable service delivery in the event of short, medium and long term disruption.	24
207	The Council maintains positive and effective media relations.	24
210	Accurate and up to date records are maintained for all legal services provided.	24
212	Accurate and timely fee recovery for internal and external legal services provided.	24
215	Accurate charging is made in accordance with approved scale of land charges and fees.	24
219	Information stored on the employee protection register is accurate, up to date and used appropriately.	24
222	Appropriate employee benefit schemes are in place.	24
223	Effective procurement/commissioning of training and development providers ensures value for money and compliance with contract procedure rules.	24
224	Managers and staff are aware of their responsibilities in relation to personal development and training.	24
226	Successful delivery of a varied arts and events programme.	24
229	Ticket sales and admission charges are recorded and income received in full.	24
230	Procurement of events performers and suppliers is in line with contract procedure rules.	24
231	Payments to events performers and suppliers and performance are effectively managed	24
232	Learning and Skills Tutors are suitably qualified, trained and DBS checked.	24
233	Library income is securely held and effectively managed.	24
237	Payments to external leisure providers are effectively managed.	24
238	Learning and Skills course fees are set appropriately and income taken is held securely and adequately accounted for.	24
239	Staff and premises are available to enable delivery of adult education courses and qualifications by Learning & Skills to be maintained, in the event of unforeseen circumstances.	24
240	The range and quality of Learning & Skills provision meets local and national requirements.	24
242	Members inductions and training is adequate.	24
243	Sufficient and trained staff are available to support Elections held.	24
244	Maintain an up to date and accurate register of officers and Members business interests.	24
246	Maintain accurate and up to date gifts and hospitality register.	24
247	Officers and Members and aware of appropriate conduct in relation to gifts and hospitality.	24
248	Council meeting agendas and supporting documentation are available to support decision making.	24
258	Environmental Health inspectors have the appropriate qualifications.	24
259	Records relating to environmental health cases are appropriately recorded and managed.	24

266	Appropriate controls and system are in place to ensure all car parking income is accounted for in the authority's accounts.	24
267	PCN/FPN appeals are correctly and fairly processed.	24
277	The Travellers Site is secure and maintained effectively.	24
278	Financial assistance provided to businesses is subject to appropriate appraisal and approval.	24
280	Generic/built in Active Directory accounts are appropriately controlled.	24
281	The Active Directory domain structure is appropriate and supports good practice.	24
282	An appropriate staffing structure is in place for ICT.	24
287	An adequate and appropriate software asset and license register/inventory is maintained.	24
288	Sufficient appropriate policing/auditing of software installation/use and licensing compliance is undertaken.	24
293	Remote access to facilities is adequately controlled.	24
305	Significant changes to the virtualised infrastructure are adequately managed. Allocation of resources in the virtualised environment is adequately and appropriately controlled.	24
312	The organisation's establishment is authorised by the managing body.	24
314	All overtime payments are supported by appropriate paperwork and details are promptly and accurately entered onto the system	24
315	All variable payments other than overtime (control covered elsewhere) are supported by appropriate paperwork and details are promptly and accurately entered onto the system.	24
316	All fixed salary payments comply with policies and are supported by appropriate paperwork and details are promptly and accurately entered into the system.	24
317	All deductions other than pension deduction (control covered elsewhere) are supported by appropriate paperwork and details are promptly and accurately entered onto the system.	24
318	Financial information is updated in a timely manner and recorded accurately within Business World On!	24
319	Standard exception reports are produced for subsequent investigation and clearance.	24
321	Staff fit notes and self-certification forms covering the entire period of sickness absence are promptly received, accurately recorded and stored appropriately.	24
324	Creditors procedure manuals are held and all staff are aware of these manuals.	24
328	Secure procedures operate for immediate payments.	24
333	Standing orders/financial regulations require the reasons for all sundry debtor write-offs exceeding £x to be reported to committee. Write-offs below this amount may be authorised by a nominated officer when all recovery procedures have been unsuccessful.	24
335	A record is kept of all accounts which are not dispatched at the time the accounts are raised. This record indicates why this action was taken, and where appropriate, records the agreement of the budget holder.	24
336	Regular reconciliations are performed between the total credits in the debtor's system and the Main Accounting system.	24
337	Amendments and credits can only occur with the authorisation of the responsible officer for the cost centre whose account was originally credited in error.	24
339	The employer makes the correct % contribution payment to the relevant pension fund on behalf of each employee within that scheme.	24
340	Early retirement is only granted to an employee in accordance with Council policies and that associated calculations made based on this are accurate.	24
343	The appointment process is fair, robust and managed effectively.	24
344	All new employees have been appropriately vetted before being employed.	24
345	All newly appointed employees are subject to an appropriate induction.	24
347	Specialist housing facilities managed by the authority meet demand, provide good quality accommodation and comply with the needs of vulnerable residents.	24
350	Procedures ensure that staff are aware of the process for making a referral to children's social care.	24
351	Monitoring of Children's safeguarding partnership arrangements ensure effective multi agency working.	24
354	Information published by maintained schools is in compliance with regulations.	24
357	Effective oversight of education provided to children in the home/hospital or other setting outside school.	24
360	Payments to carers are accurate, appropriate and timely.	24
362	Financial support provided to adoptive families is paid accurately and timely.	24

366	Implementation of action plans that promote access to targeted resources, increase access to education, training and employment.	24
374	Effective management of payments and expenses associated with child contact visits.	24
375	Continuity of care workers for children and their families is a priority.	24
377	Effective resource management in schools to provide value for money and maximise outcomes for pupils.	24
379	Corporate privacy notices in place.	24
384	Delivery of Stockton Business Improvement District partnership objectives and key priorities.	24
385	Effective administration and management of community centres.	24
386	Effective administration and management of children's centres.	24
387	Effective community engagement and consultation.	24
389	Delivery of an effective careers advice and guidance service.	24
398	Local economic assessment provides an economic baseline to inform decision making.	24
400	Effective administration and management of business premises and specialist start-up business space.	24
404	Promotion of apprenticeship opportunities.	24
406	Appropriate allocation of town centre market pitches.	24
407	Monitor trends in crime and anti-social behaviour and respond to emerging issues.	24
409	Effective management and delivery of CCTV strategy.	24
411	An appropriate licence fee is established.	24
417	Compliance with licence conditions is monitored and appropriate sanctions taken when necessary.	24
420	Response to requests for the removal of needles and syringes within two hours.	24
430	Effective performance management systems are in place to monitor levels of take up of leisure and culture activities with remedial action taken as necessary.	24
431	Provide a broad selection of accessible leisure and outdoor activities, representing value for money to the public.	24
432	On-site concessions are managed and procured appropriately.	24
434	Safeguarding of assets and equipment used in the delivery of arts and events.	24
435	Kerbside collection routes provide an efficient and complete service.	24
438	Waste and recycling targets are achieved.	24
439	Effective management of trade waste contracts and collection of income.	24
440	Effective procurement of waste and recycling contracts.	24
441	Contingency plans are in place for the collection and disposal of waste.	24
443	Registration of births, deaths, marriages and civil partnerships is in line with statutory timescales.	24
444	Demand for burial space is monitored and plans are in place to meet current and future requirements.	24
445	Statutory records in relation to registrations and burials are accurate and complete.	24
446	Compliance with General Register Officer statistical reporting requirements.	24
448	Crematorium operational controls are effective and comply with Cremation Regulations.	24
451	Maintain a schedule of cremator inspection and maintenance.	24
452	Parks and green spaces are identified, mapped and promoted.	24
454	Health and safety standards are maintained within our parks and green spaces.	24
456	Management of allotment sites, waiting lists and rental income.	24
459	Staff utilising grounds maintenance equipment are appropriately trained and qualified.	24
460	Security and crime prevention measures are in place in relation to parks and green spaces.	24
461	Provision of green spaces is a consideration for new housing developments, regeneration schemes etc.	24
462	Provision and upkeep of outdoor public seating and street furniture.	24
463	National Fraud Initiative matches are promptly reviewed and investigations undertaken as necessary.	24
468	Effective marketing and promotion of the Council brand and services.	24
469	Monitoring and evaluation of social media content.	24

475	Records relating to housing and housing related developments are accurate, up to date and appropriately safeguarded.	24
480	Employee hard copy files are adequately safeguarded.	24
481	Up to date HR policies and procedures.	24
482	Effective working relationships with staff forums and other employee groups such as unions.	24
483	Payments to external providers of SEN day care, after school and residential short breaks are accurate and timely.	24
489	School admission records are accurate and up-to-date.	24
490	There is a process in place for managing appeals and monitoring continued placement on the employee protection register.	24
492	Payments made to external training providers are accurate.	24
495	Income/payments relating to on-site concessions are accurate.	24
496	Charges for security and surveillance have been set appropriately.	24
497	Civic enforcement actions are appropriately and accurately recorded.	24
498	Appeals against civic enforcement actions are managed appropriately.	24
500	Information held about pupils in receipt of a free school meal is accurate and update and managed appropriately.	24
501	Payments for catering supplies are accurate and in accordance with the contract.	24
502	Payments to transport providers are accurate.	24
504	Payments are made to waste contractors accurately.	24
505	Allocation of Markets pitches is monitored and feedback sought.	24
506	Details about market traders are accurate and up to date.	24
509	Systems are in place to report/identify potential planning breaches.	24
512	There is an appropriate system in place to manage building control appeals.	24
515	Fees for building control applications have been set appropriately.	24
516	The correct fee is received for planning applications/requests.	24
517	Fees for planning applications received have been set correctly.	24
518	Payment of disabled facilities/helping hand grants are accurate.	24
519	The outcome of the disabled facility/helping hand grant application has been appropriately recorded.	24
520	Monitoring of disabled facility/helping hand grant work is appropriate.	24
521	The disabled facilities/helping hand grant budget is appropriately monitored.	24
522	Financial assistance to businesses decisions are accurately recorded.	24
525	H&S audit work is recorded appropriately	24
528	Decisions to award discounts for Council Tax or Rate Relief for NNDR are appropriate	24
529	Council Tax/NNDR information is accurate and up to date.	24
530	Discounts/Rate Relief is monitored for continued eligibility and there is an appropriate appeals process in place.	24
540	Monitor and review use of personal budgets.	24
541	The decisions to allow a personal budget is appropriate.	24
542	Financial assessments are reviewed and updated for changes in circumstances.	24
544	Payment of personal budgets is accurate and timely.	24
545	There is an effective appeals process for transport eligibility decisions.	24
546	Community transport information is up to date and accurate.	24
547	The correct fee is received for licenses.	24
549	Feedback on cases of identified fraud are acted upon appropriately.	24
550	Council Tax support/housing benefit overpayments are managed effectively.	24
553	Adequate procedures exist to deliver Council Tax/Benefits/Business Rate services.	24
554	Decisions to write-off outstanding council tax and NNDR debts are appropriate and have been appropriately approved.	24
555	Decisions to write-off outstanding housing debts is appropriate and all steps taken to recover the amount.	24



556	Sundry debts are only written-off when all steps have been taken to recover the amounts and are appropriately authorised.	24
574	Effective management of external payments and expenses associated with independent DoLS assessors.	24
575	There is an effective financial process in place which ensures that all refunds, exchanges, and account credits are accounted for and appropriately authorised at the Hippodrome.	24
578	Results of the NFI Exercise, identifying instances where VAT may have been overpaid, are reviewed and outcomes recorded.	24
579	Local Authority Compliance and Enforcement Grant	24
582	All newly appointed employees have completed an appropriate probation.	24
659	The procurement of Catering Supplies is in line with Contract Procedure Rules.	24
660	The procurement of Building Cleaning supplies is in line with Contract Procedure Rules.	24
80	Operate clear and robust insurance claim management and processing uninsured loss recovery.	48
84	Provide insurance underwriting support to services	48
94	Prepare and submit accurate financial returns by deadlines - RA/RO/Capital	48
110	Early help and support provided by welfare support service	48
196	Payments made to external employee therapy providers are accurate.	48
208	Communication and marketing budgets are effectively monitored and controlled.	48
209	Staffing requirements and associated costs are understood and effectively managed in relation to communication and media related activities.	48
211	Payments made by legal services to external providers or claimants are accurate and timely.	48
253	Finance and assets located at stand alone facilities for adults are adequately managed.	48
276	Landlord Accreditation Scheme membership is subject to an effective review and renewal process.	48
291	An appropriate infrastructure is in place to facilitate Internet usage for the organisation.	48
322	Approved absence has been granted in-line with policy and promptly recorded and correctly authorised.	48
419	Prompt removal of graffiti from public land and street furniture.	48
425	Provision of a confidential animal collection and rehoming service.	48
426	Prompt and effective response to reports of stray or abandoned animals.	48
427	Receipt of appropriate fees prior to release of lost animals to their owner.	48
436	Facilities are in place for the public to report litter, fly-tipping or missed kerb side collections.	48
447	Registrars and bereavement services income is received and recorded.	48
493	Payments to external communication and engagement providers are accurate and timely.	48
507	Permits/Waivers and Blue Badges are monitored for continued eligibility and an appeal process is in place.	48
508	Information relating to car parking permits/waivers and Blue Badges is appropriately stored and kept up-to-date.	48
514	An appropriate fee has been received for building control applications.	48