

**BRISTOL CITY COUNCIL
MINUTES OF THE MEETING OF
THE AUDIT COMMITTEE
HELD ON 9TH NOVEMBER 2012 AT 2.00 PM**

- P Councillor Sean Emmett
- P Councillor Patrick Hassell
- P Councillor John Kiely
- P Councillor Mark Brain
- P Councillor Peter Hammond
- P Councillor Mark Weston
- P Ken Guy – Independent Member
- A Brenda McLennan – Independent Member

**AC
40.11/12 APOLOGIES FOR ABSENCE, SUBSTITUTIONS AND
INTRODUCTIONS**

Apologies were received from Independent Member, Brenda McLennan.

**AC
41.11/12 PUBLIC FORUM**

None.

**AC
42.11/12 DECLARATIONS OF INTEREST**

None.

**AC
43.11/12 MINUTES OF THE AUDIT COMMITTEE – 28TH SEPTEMBER
2012**

Cllr Kiely thanked the Committee for changing the meeting start time to 2 pm as this now allowed him to attend meetings.

**RESOLVED - that the Minutes of the meeting of
the Audit Committee held on 28th
September 2012 be confirmed as a**

**correct record and signed by the
Chair.**

**AC
44.11/12 WHIPPING**

None.

**AC
45.11/12 CHAIR'S BUSINESS**

The Committee Members agreed that six monthly meetings of the Core Cities Audit Committee Chairs' Group should be recommended to the Core Cities Audit Group.

RESOLVED- that the Audit Committee Members support six monthly Core Cities Audit Committee Chairs' Group meetings.

**AC
46.11/12 ACTION SHEET**

Internal Audit – Anti Fraud Bribery Corruption Strategy & Policy

Melanie Henchy-McCarthy (MHM), Interim Chief Internal Auditor confirmed an update would be brought to the January 2013 meeting. All organisations were currently struggling and tackling similar issues.

Audit Fee Letter

Peter Robinson, Service Director, Finance confirmed that money saved from a reduction in the Audit Fee would not be reinvested into the existing Internal Audit Structure.

Programme and Project Gateway Reviews Update

Cllr Hassell noted that information on the Intelligent Council Programme was provided in agenda item 20. The Gateway Review resulted in an overall amber/ red rating, which indicated specific concerns. The Chair would meet with MHM to discuss programming the item into the work programme for further discussion.

AC

47.11/12 WORK PROGRAMME

The Committee considered a report of the Strategic Director Corporate Services (agenda item no.7) inviting members to agree the draft work programme for 2012/13.

MHM referred to an additional report *Follow-up of recommendations from External Reviews*, which would be added to the work programme.

The Chair would meet with the Chief Internal Auditors to discuss the work programme. Members agreed that if work programme required it, an additional meeting on 15th March 2013 at 2pm would be arranged.

RESOLVED - that the draft work programme for 2012/13 be agreed.

AC

48.11/12 NEIGHBOURHOODS AND CITY DEVELOPMENT (EXCLUDING HRA) DIRECTORATE RISK REGISTER

The Committee considered a report of the Interim Strategic Director Neighbourhoods and City Development (agenda item 9) relating to the directorate risk register.

An updated Appendix 1, *2012/13 Q2 Risk Report, Neighbourhoods and City Development (excluding HRA) Version 6*, was circulated (appendix A to the minutes).

Mike Harding (MH), Finance Business Partner introduced the report, highlighting that recent work had focused on mitigations and ensuring the action plan was up to date, whilst assessing possible risks.

The Committee were invited to ask questions and the following comments were made;

- i. MH confirmed that the review process was based on a three-month cycle, which allowed each of the relevant Executive Members to input. Executive Members briefings on risks would be carefully scheduled in advance, fitting in with the timetabled Executive briefing sessions. The briefings would focus on the areas specific to the Executive Member

concerned and joint briefings would not be an advantage.

ii. Cllr Hassell suggested that in future, tables showing the current and previous status could also include the specific time periods refer to.

iii. MH confirmed that there were many infrastructure projects running concurrently. A risk register would be created for each and discussed at project and programme boards. Should an individual project be elevated to the Corporate Risk Register, i.e. Rapid Transit, the project would receive wider exposure. Officers responsible for risk management would need the ability to manage and own the mitigations attached; correct administration would be essential. A number of processes inform the risk register, i.e. Cabinet Reports, Audit Reports etc.

iv. Karen Rollinson (KR), Finance Team Manager confirmed that delays association with the testing of the Civic Emergency resource plans had been due to a specific issue and no other delays were expected. The Chair noted concerns that the exercise had been twice delayed and requested a report back to the Audit Committee should a further delay occur.

v. KR noted that salt storage would move from Hartcliffe to Avonmouth following commencement of Household Waste and Recycling Centres (HWRC) operations. Future options and funding would be investigated and reported in quarter 3.

vi. Cllr Brain referred to weather warning emails received which often provided incorrect or contradictory information. Environment Agency emails could be tailored to specific areas and MH would investigate options.

vii. MH agreed to circulate the final report related to the Flood Risk Assessment Low Defences and hydraulic modelling.

RESOLVED - (1) that when describing the *Current* and *Previous* risk status, future reports should include the date or period referred to;

- (2) that should the testing of the Civic Emergency Resource Plans be further delayed, a explanation report be brought back to the Audit Committee for consideration;**
- (3) that the final report related to the Flood Risk Assessment Low Defences and hydraulic modelling be circulated to Audit Committee Members;**
- (4) that the Audit Committee note the Neighbourhoods and City Development (excluding HRA) Directorate Risk Register.**

AC

**49.11/12 CHILDREN AND YOUNG PEOPLES SERVICES (CYPS)
RISK REGISTER**

The Committee considered a report of Craig Bolt (CB) Service Director, Resource Planning and Performance (agenda item 10) relating to the directorate risk register.

The process involved consultation with the Executive Member for Children and Young People Services.

The Committee were invited to ask questions and the following comments were made;

- i. Cllr Hassell suggested that in future, tables showing the current and previous status could also include the specific time periods refer to.
- ii. The Chair requested that future reports included an explanation of why risks were removed. CB provided an explanation on risks listed in the report;

Resilience, health and well being

This linked to business continuity arrangements; the risk was removed following implementation of these.

Community Cohesion

This related to specific incidents earlier in the year; issues were time limited. Services were commissioned and would need to be embedded, i.e. supporting young people.

Response to emergency situations and mitigation on business risks

Linked to business continuity arrangements; the risk was removed following implementation of these.

Partnership Development

The risk was deleted following creation of the Children's Outcomes Board.

Extension of new Primary Education Facility – Bishopston

Cabinet approval agreed and approved additional funding to meeting planning requirements. The School agreed to take additional form of entry in existing building, the risk related to the expansion of the school so soon after it opened. This was a high profile and costly scheme.

iii. Cllr Kiely noted the graphs were difficult to read and requested a larger font in future.

iv) In response to a question from Cllr Kiely, CB referred to a number of vulnerability factors related to the grounds on which children could be taken into care. Although actions have been taken as a result of the Munro Review, the risk score would not be expected to change; the risks would always be relatively high. There had been a general rise in the population and a change in the demographic in recent years. Monitoring would take place through the Local Safeguarding Board, with the focus on mitigating risks.

vi. Cllr Kiely referred to concerns local to his Ward related to the shortages of primary school places. CB confirmed that the number of school places allocated on preference had risen and was currently at its highest level for a number of years. Processes were in place to mitigate against future risks and the revised School Organisational Strategy considered the next five year period. Bristol would continue to

apply for additional funding and capital investment would be required for building investment. CYPS would continue to look forward and Cabinet reports had sought specific financial contingencies. The Government's Policy position related to free schools did not have regard to whether or not there were surplus school places in an area.

vii. CB confirmed that an £2million had been allocated in the current financial year in recognition of the significant pressures on placement budgets. The number of children in care was expected to increase given the general increase in population. Other savings areas had been brought forward and one-off funding opportunities were also being used to mitigate pressures in the current year. The Children's Scrutiny Commission would continue to monitor the CYPS budget.

- RESOLVED -**
- (1) that when describing the *Current and Previous* risk status, future reports should include the date or period referred to;**
 - (2) that future reports should provide explanations on risk removal;**
 - (3) that the Committee note the updated CYPS Directorate Risk Register.**

AC

50.11/12 UPDATE ON INFORMATION SECURITY

The Committee considered a report of the Strategic Director, Corporate Services (agenda item no. 11) updating the committee on information security.

Bernadette Keen (BK), Information Security Manager presented the report, noting that the current level of risk remained at Amber, a rating of green could not be achieved without additional resources. The take up of annual refresher training had increased compared to previous years; 60% over a two month period. The names of people and teams who had not completed the training could be provided. A Security

Strategy focused on the next 3 to 5 years would be developed and a briefing note explaining the broad principles had been provided to the Executive Member, Cllr Rogers (appendix b to the minutes). Individuals would need to take personal responsibility for security following increased flexible and mobile working.

The Committee were invited to ask questions and the following comments were made;

- i. BK explained that 100% take up of IT security training would be difficult to achieve due to the numbers of staff starting and leaving but the responsible Officers were confident that the majority of staff had participated. CYPS included a requirement to complete the training as part of the staff Performance Management and Development Scheme (PMDS). The Members agreed that this approach should be Council wide and a recommendation would be made the Strategic Leadership Team (SLT).
- ii. Members agreed training should be mandatory for Councillors and a recommendation to Group Leaders would be made. Liaison would take place with Rachel Boast, Councillor Development Officer.
- iii. BK confirmed a leavers process dictated the procedures to be followed when staff leave employment. Temporary staff accounts would require authorisation every three months and IT complete monthly reports to capture all leavers. The biggest risk, which involved the highest number of incidents, related to people and paper, i.e. posting items to the incorrect person, theft from cars etc. The human factor posed a larger risk than technical issues. BK would circulate the process followed to ensure accounts closed and equipment returned when staff leave employment (appendix c to the minutes).
- iv. Members requested that future reports provide more detail and requested that the risk register be circulated as an information item. It was noted that the majority of information would be public; a balance would be required so as not to be overly cautious. BK noted that confidential information could be released if made anonymous.

v. At the request of the Audit Committee, the Information Security Strategy would be added to the work programme to be reviewed when completed.

vi. BK highlighted that the forthcoming new systems would increase security. Full disk encryption would take place and a programme arranged to recall each lap top.

- RESOLVED -**
- (1) that the Audit Committee recommend to the Strategic Leadership Team (SLT) that the Information Security Training be integrated into all staff Performance Management and Development Scheme (PMDS);**
 - (2) that the Audit Committee recommend to Group Leaders that the Information Security Training should be mandatory for Councillors;**
 - (3) that information be circulated to the Audit Committee on the processes followed to ensure accounts closed and equipment returned when staff leave employment;**
 - (4) that the Information Security Risk Register be circulated to the Committee Members;**
 - (5) that the Information Security Strategy be added to the Audit Committee Work Programme;**
 - (6) that the Committee notes the information in the report.**

AC

**51.11/12 CODE OF CONDUCT FOR MEMBERS AND OFFICERS –
PLANNING MATTERS**

The Committee considered a report of the Head of Legal Services (agenda item no. 12) noting Grant Thornton's Interim Report for 2011-12.

Shahzia Daya (SD), Principal Solicitor and Gary Collins (GC) Service Manager, Development Services presented the revised Code of Conduct prepared in accordance with the Localism Act 2011.

The Audit Committees were asked to consider removal of the requirement, which stipulated Development Control (DC) Member should be in attendance for Public Forum statements in order to be permitted to take part in the final vote. Public Forum Statements were circulated to Members 24 hours before Development Control meetings and Members were expected to have read all the papers prior to the meeting. Potentially iniquitous situations could occur should Members be disallowed from voting if late to a meeting. Members discussed and the following points were noted;

- Cllr Brian highlighted that Members would often struggle to read all public forum statements before meetings. Statements read at the meeting provide a good refresher of the issues involved;
- Members agreed that public perception would be a concern. If DC Members were able to vote on applications without being present for presentation of public forum statements this could devalue the process;
- Should a Member arrive late, a DC Chair could use their discretion and request that the public forum item be re-started, which would allow the Member to participate in the discussion and the subsequent vote.

Members discussed other aspects of the Code of Conduct and the following comments were made;

i. Independent Member, Ken Guy queried the advise that allowed Members to remain in a meeting following a declaration of a Disclosable Precuniary Interests (DPI). SD noted that the change was in response to the Localism Act 2011. Members requested that the Code be amended so that

following a declaration of a DPI a Member would be required to sit in the public gallery for the duration of the item. This would ensure the public were clear that Members could not participate in the discussion or the vote.

ii. Cllr Kiely referred to concerns related to Neighbourhood Partnership Members negotiating Section 106 agreement with developers making planning application in the area, especially when public levels of opposition were high. GC referred to the formulaic Section 106 approach, site specific mitigations would continue with Section 106 agreements. NP Members taking part in discussions should not sit on a DC Committee considering the same application.

- RESOLVED -**
- (1) that the Code of Conduct for Members and Officers – planning Matters should be amended to include the requirement for Members to sit in the public gallery following a declaration of a Disclosable Precuniary Interest;**
 - (2) the revised Code of Conduct for Members and Officers – Planning Matters in the model form as set out in Appendix “A” to the report be adopted.**

AC

52.11/12 GRANT THORNTON – 2011/12 ANNUAL AUDIT LETTER

The Committee considered a report of the Strategic Director, Corporate Services (agenda item no. 13).

- RESOLVED -**
- (1) that the Grant Thornton’s Annual Audit Letter for 2011-12 be noted.**

AC

53.11/12 GRANT THORNTON – FINAL REPORT CHANGE PORTFOLIO

The Committee considered a report of the Strategic Director, Corporate Services (agenda item no. 14) requesting comments on Grant Thornton's Final Report Change Portfolio.

Ginette Beal (GB), Grant Thornton presented the report and noted the updated Executive Summary which now stated;

“The Council is fully aware that cashable savings must be delivered through the change portfolio. Although it has yet to demonstrate that significant savings can be delivered through the change portfolio, achievement to date is in line with plan and should increase year on year. In 2011-12 the change portfolio delivered 18% of the total planned savings.”

The Committee were invited to ask questions and the following comments were made;

i. Peter Robinson, Service Director, Finance confirmed the Portfolio Management Group (PMG) would sit below the Strategic Options Delivery Board (SODB) in the structure chart. Exhibit 1 would be amended to include this.

RESOLVED - (1) that Grant Thornton's Review of Bristol's Change Portfolio be noted.

AC

54.11/12 BENEFIT FRAUD INVESTIGATION TEAM – HALF YEARLY REPORT

The Committee considered a report of the Strategic Director, Corporate Services (agenda item no.15) updating the Committee on the Benefit Fraud Investigation Team (BFIT) activity and performance for the period 1st April 2012 – 30th September 2012.

Teresa Marston (TM), Fraud Team Manager presented the report and invited the Committee to ask questions;

- i. TM confirmed that when BCC identified an overpayment the amount of subsidy paid by the Department of Work and Pensions (DWP) reduced. However, should BCC fully recover the overpayment they would keep the subsidy and the recovered amount.
- ii. Peter Robinson, Service Director, Finance confirmed that funding comes from an overall general grant. BCC spend significantly more than the Government provide; it would be impossible to predict how funding levels would change following the transfer of the Benefit Fraud Team to the DWP.
- iii. TM noted that the Single Fraud Investigation Service start date had been delayed and would not be fully implemented until approximately 2017. Many factors would be dependent on the success of Universal Credits.
- iv. Reference was made to the current financial pressures and the potential impact on the number of staff. Cllr Emmett referred to previous Committee discussions, which noted the deterrent impact of Internal Audit fraud work.
- v. Independent Member, Ken Guy requested information on the financial benefits associated with fraud prevention. PR confirmed that the Government fully funded Housing Benefit and any money recovered from fraudulent activity would go back to Central Government. Although previous Audit Committees had requested Central Government to review this process, no changes had been forthcoming.

The Chair requested that approval be sought from the other Core Cities Groups to lobby the Government to review this approach. The Audit Committee Lead Members would co-sign a letter to the local Members of Parliament (MPs) and the to-be elected Police Commissioner, to request support.

- vii. The Chair noted that the total number of sanctions had significantly increased since 2000. TM confirmed that the course of action depended on the amount of money overpaid. The value of the fraudulent activity and the number of prosecutions had increased.
- viii. Fraudulent activity would be reported in a number of ways i.e. phone hotline, data matching, internal referrals etc. Future reports would provide statistical information related to

this.

- RESOLVED -**
- (1) that the Audit Committee seek support from the other Core Cities, local Members of Parliament and the to-be elected Police Commissioner prior to lobbying Central Government to review how money recovered from fraudulent housing payments is allocated;**
 - (2) that future reports on Benefit Fraud includes statistical information on how fraud is reported;**
 - (3) that the Benefit Fraud Investigation Team half yearly report be noted.**

AC

55.11/12 INTERNAL AUDIT – RISK MANAGEMENT ANNUAL REPORT 2011/12

The Committee considered the report of the Strategic Director – Corporate Services (agenda item no.16) on the future development regarding risk management arrangements in the City Council.

Melanie Henchy-McCarthy (MHM) and Alison Mullis (AM), Chief Internal Auditors presented the report and the following comments were made;

- i. AM confirmed that BCC insurance policies were through third parties and also self insurance. Independent Member, Ken Guy noted that lower insurance premiums could be negotiated when good quality risk management could be demonstrated. AM would gather information on current types on insurance and circulate to Members.
- ii. The areas requiring development were similar in North Somerset and BCC. Elected Members in North Somerset were more involved in risk management groups but BCC were

better structured. Internal Audit's report on North Somerset Risk Management would be circulated to the Audit Committee Members.

iii. The Committee discussed peer reviews and acknowledged the gains achieved from working with neighbouring authorities. Members agreed that it would be preferable for future reviews to be conducted with authorities more similar to BCC, i.e. other cities or another core city. John Golding (JG), Grant Thornton noted the benefits of the peer review and offered to liaise between BCC and other Core Cities with good risk management arrangements.

- RESOLVED -**
- (1) that information on the current BCC insurance policies be circulated to the Audit Committee Members;**
 - (2) that the Internal Audit report on North Somerset Risk Management be circulated to the Audit Committee Members;**
 - (3) that future peer reviews be conducted with Cities comparable with Bristol, i.e. a Core City;**
 - (4) that the Audit Committee note the Annual Report on Risk Management.**

AC

56.11/12 EXCLUSION OF PRESS AND PUBLIC

- RESOLVED -**
- that under Section 100A(4) of the Local Government Act, the public be excluded from the meeting for the consideration of the following item, on the grounds that it involves the likely disclosure of exempt information as defined in Part I of Schedule 12A to the Act as amended by the Local Government**

**(Access to Information) (Variation)
Order 2006.**

AC

**57.11/12 INTERNAL AUDIT: INTERNAL AUDIT HALF YEARLY
REPORT**

The Committee considered an exempt report of the Strategic Director, Corporate Services (agenda item no. 18) noting the activities carried out by Internal Audit during the period.

Melanie Henchy-McCarthy (MHM) and Alison Mullis (AM), Chief Internal Auditors presented the report and the following comments were made;

- i. Members agreed that detailed information would be necessary to have a full and informed discussion. The appendix of future reports would contain detailed information and therefore be exempt. The main report would be accessible to the press and public. The Audit Committee meetings would still be required to move to exempt session when considering the item. MHM referred to a number of Freedom of Information requests received related to previous Internal Audit reports.
- ii. The Committee would be updated on key areas within the report on a quarterly basis along with the Strategic Leadership Team (SLT).
- iii. The Follow – up programme continued to improve and resources had been directed to key areas.
- iv. Cllr Kiely requested that the appendix of future reports should be written in a larger font.
- v. Processes had been altered and Officers predicted that performance figures would increase. Bench marking figures would be circulated to Audit Committee Members.
- vi. MHM would circulate a summary report on landlord services, which would provide details on problems and mitigations. Member concerns should be highlighted to the Chair and the item would be added to the work programme if necessary.

vii. Members agreed that Internal Audit remained a very important service and resources should be maintained. Members acknowledged that budget for 2013/14 had yet to be agreed and the elected Mayor could make dramatic changes.

- RESOLVED -**
- (1) that information related to bench marking figures be circulated to Audit Committee Members;**
 - (2) that a Landlord Services report detailing problems and mitigations be circulated to the Audit Committee Members;**
 - (3) that future Internal Audit Progress reports be non-exempt. All confidential information would be contained in the appendix to the report;**
 - (4) that the Internal Audit half yearly report be noted.**

THE MEETING WAS THEN OPENED TO THE PUBLIC AGAIN

AC

57.11/12 ROLE OF EXECUTIVE MEMBERS AND OFFICERS IN PROPERTY PROJECTS

The Committee considered a report of the Corporate Complaints Manager (agenda item no. 19) setting out a response to Grant Thornton's recommendation for a new developer selection policy to include protocols for decision making responsibilities at each stage of the process.

- RESOLVED - that the proposed Protocol be noted.**

AC

58.11/12 SUMMARY OF GATEWAY REVIEWS

The committee received the information item related to establishing Gateway Reviews for high risk/spend programmes and projects within the Changing Bristol Portfolio in accordance to the requirement as set out by the Audit Committee.

The Chair would discuss areas of concern with MHM and add items to the Work Programme when necessary.

RESOLVED - that the report be noted.

AC

59.11/12 DATE OF NEXT MEETING

RESOLVED - that the next meeting of the Audit Committee be held on Friday 18th January 2013 at 2. 00pm.

(The meeting ended at 5.10 pm)

CHAIR

APPENDIX A

2012/13 Q2 Risk Report Neighbourhoods & City Development (excluding HRA) Version 6

2012/13 Reviews					
Version No.	Reviewed By:	Review Date	Version No.	Reviewed By:	Review Date
3	N&CD Leadership Team	22 nd Feb 12	4	Cllr Poultney (Report circulated, but no briefing attendance required)	22 nd June 12
3	Cllr Poultney (Report circulated, but no briefing attendance required)	14 th Mar 12	4	Cllr Negus (Report circulated, but no briefing attendance required)	22 nd June 12
3	Cllr Kent	21 st Mar 12	5	N&CD Leadership Team	22 nd Sept 12
3	Cllr Cook	19 th Mar 12	5	Cllr Kent	26 th Sept 12
3	Cllr Hopkins	14 th Mar 12	5	Cllr Rogers	17 th Sept 12
3	Cllr Negus	21 st Mar 12	5	Cllr Hopkins	26 th Sept 12
4	N&CD Leadership Team	23 rd May 12	5	Cllr Negus	25 th Sept 12
4	Cllr Kent	20 th June 12	5	Cllr Poultney (Report circulated, but no briefing attendance required)	20 th Sept 12
4	Cllr Hopkins	27 th June 12	6	N&CD Leadership Team	31 st Oct 12
4	Cllr Rogers	25 th June 12	6	Audit Committee	9 th Nov 12

SIGNIFICANT CHANGES

Risk No.	RISK Brief risk narrative	Current Risk Ranking	VARIATION TO RISK																											
			Previous Risk Ranking	Direction of travel																										
				Current Status	Previous Status																									
CRR042 - Corporate Risk	Flood risk	1	1	6	6	<table border="1" style="width: 100%; border-collapse: collapse; margin-bottom: 10px;"> <thead> <tr> <th style="text-align: left;">Impact</th> <th colspan="3"></th> </tr> </thead> <tbody> <tr> <td>High</td> <td>HL 3</td> <td>HM 6</td> <td>HH 9</td> </tr> <tr> <td>Medium</td> <td>ML 2</td> <td>MM 4</td> <td>MH 6</td> </tr> <tr> <td>Low</td> <td>LL 1</td> <td>LM 2</td> <td>LH 3</td> </tr> <tr> <td></td> <td>Low</td> <td>Medium</td> <td>High</td> </tr> <tr> <td></td> <td colspan="3" style="text-align: center;">Probability</td> </tr> </tbody> </table> <p>1) Flood management study for open spaces is to be completed in the Spring 2013; liaising with Bristol University as assistance may be obtained from potential 4th year engineering students.</p> <p>2) Property protection mitigating action for housing stock is to highlight properties in flood risk areas using indicators on the “Keystone” asset management database; consideration of flood measures will be part of the rolling maintenance programme.</p>	Impact				High	HL 3	HM 6	HH 9	Medium	ML 2	MM 4	MH 6	Low	LL 1	LM 2	LH 3		Low	Medium	High		Probability		
Impact																														
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Low	LL 1	LM 2	LH 3																											
	Low	Medium	High																											
	Probability																													

SIGNIFICANT CHANGES

						<p>3) Two mitigations continue to be behind schedule:-</p> <ul style="list-style-type: none"> ➤ Flood barrier mobile equipment training is nearly complete; a training site has now been identified. ➤ Recovery Plan although fit for purpose needs updating with organisational and procedural changes; delayed until Local Resilience Forum strategic recovery plan review is completed.
CRR004 - Corporate Risk	Management and delivery of major infrastructure projects	2	2	4	4	All mitigations on schedule.
CRR013 - Corporate Risk	Civil emergency	3	3	4	4	The testing of resource plans is still behind schedule; Exercise "Laveer" planned for October 2012 was cancelled but is rescheduled for December 2012 to test Business continuity, incident management and flood plan.
CD004	Failure to meet our S58 obligations	4	4	4	4	All mitigations on schedule.
CD003	Inability to cope with severe winter weather	5	5	4	4	Salt storage at Hartcliffe will no longer be available once the new HWRC is operational; Future options and funding requirements are currently being investigated and will be reported in the Q3 period.
NH001	Strategic financial risk	6	6	4	4	All mitigations on schedule.
NH005	Risk of increased homelessness	7	7	4	4	All mitigations on schedule.
CD006	Risk of not meeting parking income targets	8	8	3	3	All mitigations are still behind schedule but action plans have been identified to bring the programmes back on track. A small shortfall on 2012/13 parking is being forecast, it is currently being off set by staff savings and a reduction of repairs and maintenance spend.
CD007	Risk of loss of paper records from 1948 to 2005	9	9	3	3	No further progression of the Council wide storage project (part of the Bristol Workplace programme).
CD001	Risk to street lighting budget from increase in energy prices	10	10	2	2	All mitigations on schedule.
NH004	Failure to Procure Correctly or Monitor Performance of Major Parks Contracts	11	11	2	2	Corrective actions are taking longer than expected although good progress has been made to date; a further follow-up Audit review is scheduled early next year.

Briefing note & discussion paper: Information Security Strategic Action Plan

Summary:

In July we briefed you on our intention to produce an information security strategy to respond to changes in working practices and technology over the coming years.

This paper proposes draft principles, high-level objectives and programme of work which will be adopted to balance security with the need for business change and agility.

We intend to agree a new strategy by March 2013. It will have a 3-year timescale and be reviewed annually.

Current situation

The corporate information security risk remains at AMBER. Operational security incidents are at low-normal levels and information security is now routinely considered in both operational management and change planning.

Principles

We will adopt a number of key principles:

- Actively balance security risk against business risk
- Acknowledge that information security breaches may occur (there is never zero risk), and plan to minimise their impact
- Make individual responsibilities clear, and hold people to account
- Build information security into our culture
- Support suppliers and partners to meet our security needs

Strategic Objectives

- The council is able to take advantage of new technologies and working methods while keeping personal and confidential data safe and maintaining legal compliance
- A balanced approach to overall risk is reflected by an information security risk at AMBER or below
- Numbers of information security incidents are held at an agreed levels
- External suppliers and delivery partners understand and can deliver on the council's security requirements
- Council managers and staff understand their security responsibilities, can meet them and are held to account for doing so

Action plan

Risk Management:

Develop our capacity to manage risk, and establish an agreed appetite for risk:

- Work with strategic managers and the risk management group to establish coherent methods of managing risk and an agreed overall risk appetite
- Work with all change programmes to assess information security risk as part of their overall planning

Policies & Culture:

Establish individual responsibility:

- Update and simplify the existing security policy
- Make information security planning and assurance an inherent part of all change
- Work with the Bristol Workplace programme to develop staff security guidelines alongside changes to working practices
- Identify and clearly label confidential information
- Establish owners with clearly defined responsibilities for all council information
- Educate and engage with staff so that good practice becomes part of normal working practice

Suppliers and delivery partners:

Ensure that suppliers understand and deliver the council's security requirements:

- Work with the emerging Strategic Commissioning programme to include information security in commissioned service specifications and contracts
- Work with local economic and market development initiatives to ensure that our requirements are clear and deliverable
- Work with commissioners to establish the right security requirements for the services they commission

Information Sharing:

Establish an effective and comprehensive set of information sharing agreements with our partners and suppliers:

- Agree standards for sharing agreements and their management
- Establish and make available a supply of expertise in writing sharing agreements
- Establish formal ownership of all sharing agreements

Technology:

Use technology to secure information where cost effective:

- Provide easy-to-use facilities for council staff to handle information safely
- Implement technical standards for council-managed IT in areas such as encryption, separation of data etc
- Establish testable technical and management standards for technology suppliers and partners
- Embed security testing of both internal and external systems and services

Role of the Executive Member

It's important that members contribute to and fully endorse our approach. We would like you to:

- Give us your views on the approach outlined and how you want to be involved
- Help us understand the views of other members
- Promote and champion the agreed approach with members and senior managers

Rob Scott

October 2012

**INFORMATION SECURITY UPDATE:
Management of Leavers:**

Leavers Process & Procedures:

1. Leavers Checklist: Available on the Source for all managers. This includes instructions around reclaiming any assets such as mobile phones, laptops, ID badges etc.
2. ICT Leavers Form: Available on the Source for all managers. It is a requirement upon all managers to notify ICT when a member of staff leaves the authority.
3. Contractors and other temporary staff are granted access via accounts which are specifically configured to automatically expire after 3 months. These accounts must be re-authorised by the relevant manager in order to maintain access to our systems. This process uses a standard form available on the Source.
4. As an additional security measure, a report is produced using names only from the HR database and cross referencing enables ICT to highlight any staff which are no longer in our employ but which have live accounts.

LEAVER CHECKLIST

(Note: 'leavers' can include contractors, secondees and internal transfers)

1. Inform HR

Complete Leaver Form:

[Leaver form Star Office version](#)

[Leaver form Word version](#)

2. Inform ICT

Complete Account Deletion Form:

[Account deletion form Star Office version](#)

[Account deletion form Word version](#)

3. Inform Finance and Procurement (COPS) if leaver was authorised to use COPS

Complete COPS Leavers Form:

[COPS leavers form Word version](#)

4. Inform Security Services

Return ID card via internal mail to [Gemma Hewett](#) (if card can't be returned, inform Gemma of leaver's details so she can remove them from the Council ID system)

Note: If you believe the person leaving is a possible threat to Council property or our information systems please contact Security Services and ICT immediately

5. Accounts Services

Line manager to retrieve mobile phone from leaver and return to STS and advise ICT if a leaver's mobile phone is to be discontinued so that any future calls are not coded with the previous user's cost centre. [Further information](#)

6. Line Manager

The line manager must check that;

- budget responsibilities are transferred – ie that where orders have been raised by the leaver the necessary hand-over has taken place to ensure that the transaction can be completed successfully by another officer
- Change access codes on doors where necessary

The line manager must check that where applicable the leaver;

- Returns Blackberries / remote working devices
- Returns home working equipment and / or remote access token
- Returns laptop
- Returns all BCC logo / badge clothing

Contacts

HR

Email: [STS HR Employee Life Cycle](#)

Tel: 0117 35 21400

Post: STS HR Employee Life Cycle c/o The Council House, College Green, Bristol, BS1 5TR

[Website](#)

ICT

Email: [ICT Service](#)

Tel: 0117 92 23456

[Website](#)

Finance and Procurement (COPS)

Email: [STS Systems & Data Management](#) (for [COPS](#) & [CFS](#) enquiries)

Tel: 0117 35 21404

Post: STS F&P Systems and Data Management c/o The Council House, College Green, Bristol, BS1 5TR

[Website](#)

Security Services

Email: [Gemma Hewett](#)

Tel: 0117 90 31553

Fax: 0117 90 31551

Post: Gemma Hewett, Security Access Services, Unit 5, Brunel Lock, Cumberland Basin, Bristol, BS1 6SE

[Website](#)