

To: Deputy Leader and Members of the Resources Board

Councillors Symonds, Barnett, Chapman, Clews, Davey, Guilmant, Humphreys, Jackson, Osborne, Melia, Parsons, Simpson, Singh, and M Watson

For the information of other Members of the Council

For general enquiries please contact Democratic Services on 01827 719221 or via email – democraticservices@northwarks.gov.

For enquiries about specific reports please contact the Officer named in the reports.

This document can be made available in large print and electronic accessible formats if requested.

RESOURCES BOARD AGENDA

20 OCTOBER 2025

The Resources Board will meet on Monday 20 October 2025 at 7.00pm in the Council Chamber at The Council House, South Street, Atherstone, Warwickshire.

The day after the meeting a recording will be available to be viewed on the Council's YouTube channel at [NorthWarks - YouTube](#).

AGENDA

- 1 Evacuation Procedure.**
- 2 Apologies for Absence / Members away on official Council business.**
- 3 Disclosable Pecuniary and Non-Pecuniary Interests.**

4 **Public Participation**

Up to twenty minutes will be set aside for members of the public to put questions to elected Members.

Members of the public wishing to address the Board must register their intention to do so by 9:30am two working days prior to the meeting. Participants are restricted to five minutes each.

If you wish to put a question to the meeting, please register by email to democraticservices@northwarks.gov.uk or telephone 01827 719221 / 719226 / 719237.

Once registered to speak, the person asking the question has the option to either:

- (a) attend the meeting in person at the Council Chamber.
- (b) attend remotely via Teams; or
- (c) request that the Chair reads out their written question.

The Council Chamber has level access via a lift to assist those with limited mobility who attend in person however, it may be more convenient to attend remotely.

If attending remotely an invitation will be sent to join the Teams video conferencing for this meeting. Those registered to speak should dial the telephone number and ID number (provided on their invitation) when joining the meeting to ask their question. However, whilst waiting they will be able to hear what is being said at the meeting.

- 5 **Minutes of the Resources Board held on 24 July 2025** – copy herewith, to be approved as a correct record and signed by the Chairman.

ITEMS FOR DISCUSSION AND DECISION (WHITE PAPERS)

- 6 **Landlord Service – Handling Complaints of Anti-Social Behaviour** - Report of the Director of Housing

Summary

This report provides the Board with an updated policy to address complaints of anti-social behaviour in its Council properties for its approval.

The Contact Officer for this report is Angela Coates (719369).

- 7 **Housing Revenue Account Development Opportunities** - Report of the Director of Housing

Summary

This report provides the Board with information about garage sites that could be used for the development of housing and other land holdings in the Housing Revenue Account and asks for decisions about their future use.

The Contact Officer for this report is Angela Coates (719369).

- 8 **Internal Audit Progress Report** - Report of the Interim Corporate Director – Resources (Section 151 Officer)

Summary

The purpose of this report is to present the Internal Audit Progress Report.

The Contact Officer for this report is Paul Sutton (719374).

- 9 **CMAF Internal Audit Charter Report** - Report of the Interim Corporate Director – Resources (Section 151 Officer)

Summary

The purpose of this report is to present the CMAF Internal Audit Charter Report.

The Contact Officer for this report is Paul Sutton (719374).

STEVE MAXEY
Chief Executive

NORTH WARWICKSHIRE BOROUGH COUNCIL

MINUTES OF THE RESOURCES BOARD

24 July 2025

Present: Councillor Symonds in the Chair

Councillors Barnett, Chapman, Davey, Guilmant, Hayfield, Humphreys, Jackson, Melia, Parsons, Simpson, Singh and M Watson

Apologies for absence were received from Councillors Clews (Substitute Councillor Hayfield)

Martin Shipley (CMAP) was in attendance to answer questions on Minute Nos 6, 7 and 8 (Internal Audit) and Matt Humphrey (RSM) was in attendance to answer questions on Minute No 9 (Risk Management).

1 **Disclosable Pecuniary and Non-Pecuniary Interests**

None were declared at the meeting.

2 **Minutes of the Resources Board held on 10 March 2025**

The minutes of the Resources Board held on 10 March 2025, copies having been previously circulated, were approved as a correct record and signed by the Chairman.

3 **Provision of Adaptations for Council Tenants**

The Director of Housing asked the Board to consider a policy statement to support the provision of adaptations to meet the needs of its tenants.

Resolved:

- a **That the draft policy statement be adopted; and**
- b **That the cost of providing adaptations for tenants and also the positive impact on those tenants receiving them be noted.**

4 **Landlord Service – Complaints Handling**

The Director of Housing provided the Board with an update on complaints received about its landlord services during 2024-2025.

Resolved:

- a **That the contents of the report be noted;**

- b That the importance of meeting terms of the Ombudsman's Code be acknowledged;**
- c That the necessity to complete a self assessment about how we manage complaints and submit it to the Housing Ombudsman and share it publicly are noted;**
- d That the importance of learning from complaints is supported; and**
- e That the annual report attached at Appendix B to the report of the Director of Housing be agreed.**

5 Members' Allowances 2024/25

The Interim Corporate Director – Resources (Section 151 Officer) advised Members of the allowances paid for 2024/25, which the Council had a duty to publish under the Members' Allowance Scheme.

Resolved:

That the report be noted.

6 Internal Audit Annual Report 2024/25

The Interim Corporate Director – Resources (Section 151 Officer) presented the Internal Audit Annual Report 2024/25.

Resolved:

- a That the Internal Audit Annual Report 2024/25, attached at Appendix A to the report of the Interim Corporate Director – Resources (Section 151 Officer) be noted;**
- b That the work to address the limited assurance outcome be noted; and**
- c That when a less than satisfactory assurance outcome is received this be communicated straightaway to the Resources Board through the Chairman.**

7 Internal Audit Progress Report

The Interim Corporate Director – Resources (Section 151 Officer) presented the Internal Audit Progress Report.

Resolved:

That the Internal Audit Progress Report, attached at Appendix A to the report of the Interim Corporate Director – Resources (Section 151 Officer) be noted.

8 Global Internal Audit Standards Report

The Interim Corporate Director – Resources (Section 151 Officer) presented the Global Internal Audit Standards Report to Members.

Resolved:

That the Global Internal Audit Standards Report, attached at Appendix A to the report of the Interim Corporate Director – Resources (Section 151 Officer) be noted.

9 Strategic Risk Management Summary Report

The Interim Corporate Director – Resources (Section 151 Officer) presented the Strategic Risk Management Summary report to Members.

Resolved:

- a That the Strategic Risk Management Summary Report, attached at Appendix A to the report of the Interim Corporate Director – Resources (Section 151 Officer) be noted; and**
- b That the approach to Risk Management outlined is endorsed including the Policy & Strategy and Strategic Risk Register attached at Appendix B and Appendix D to the report of the Interim Corporate Director – Resources (Section 151 Officer).**

10 Provisional Capital Outturn and Carry Forwards 2024/25

The Interim Corporate Director of Resources (Section 151 Officer) set out the Provisional Capital Outturn for 2024/25 and proposed carry forwards to 2025/26 for Council approval.

Resolved:

- a That the HRA Capital Outturn for 2024/25, as set out in Appendix A to the report of the Interim Corporate Director – Resources (Section 151 Officer) be noted;**
- b That the General Fund Capital Outturn for 2024/25 as set out in Appendix B to the report of the Interim Corporate Director – Resources (Section 151 Officer) be noted; and**

Recommended:

- c That the proposed Carry Forwards for General Fund as set out in paragraph 3.6 to 3.22 of Appendix B to the report of the Interim Corporate Director – Resources (Section 151 Officer be approved.**

Councillor Symonds
Chair

Agenda Item No 6

Resources Board

20 October 2025

**Report of the
Director of Housing**

**Landlord Service – Handling
Complaints of Anti-Social
Behaviour**

1 Summary

- 1.1 This report provides the Board with an updated policy to address complaints of anti social behaviour in its Council properties for its approval.

Recommendation to the Resources Board

- a That the recommendations from the review be noted; and**
- b That the revised policy attached at Appendix 1 to address complaints of anti social behaviour related to the Council's housing stock be approved.**

2 Consultation

- 2.1 The Housing Working Group has considered the review that was undertaken of how the Housing Division responds to allegations of anti social behaviour and approved a plan to address the issues raised.
- 2.2 The Borough Wide Tenants Forum were engaged with the consultant who undertook the review and have considered the revised policy and given their feedback on the leaflet that will be published when the policy is approved.

3 Background

- 3.1 The Social Housing Regulator's Consumer Standards require social landlords to provide services which are appropriate to the needs of their tenants and which can be tailored to meet specific needs. There is a specific standard about 'Safer Neighbourhoods' which states:

Providers must work in partnership with appropriate local authority departments, the Police and other relevant organisations to deter and tackle ASB in the neighbourhoods where they provide social housing

- 1 Providers must have a policy about ASB
- 2 Providers must set out how they will tackle and deter hate incidents
- 3 Providers must enable ASB to be reported easily

- 4 Providers must take prompt action in response to ASB
- 5 Providers must support tenants affected by ASB.

3.2 The Housing Division is intent on improving satisfaction rates for the service which responds to complaints about anti social behaviour and nuisance. To understand what action needs to be taken the Forum Scrutiny Panel undertook undertaken a telephone survey of tenants to discover where we need to focus improvements. A review of the service has been undertaken by Housemark, who provide our benchmarking information, to help the Division direct the improvements based on clear recommendations. The review took into consideration the report provided by the Scrutiny Panel as well as feedback from Panel members at a workshop.

4 **Recommendations**

4.1 The review report found that the team delivering the service are 'dedicated, hardworking and knowledgeable' and that they demonstrated a strong commitment to resolving antisocial behaviour. Nonetheless it also indicated that systems of work, policies and procedures could be changed to improve effectiveness and to deliver better customer care. The recommendations from the review are attached at Appendix A of this report.

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4.2 In summary they include recommendations to rewrite and streamline the policies and procedures which underpin the service; ensure the service is victim-centred; provide timely and positive case resolution; consider how low level nuisance issues can be resolved proactively; provide a holistic service that considers individuals and communities and estates; promote robust partnership working that is consistent; ensure staff receive training.

4.3 The post of Housing Services Manager is currently vacant. The Director of Housing appointed a consultant to support her to review the policies and procedures which underpin the anti social behaviour service. The outcomes of the consultancy were agreed as:

- a review and restatement of our policy statement to provide a clear direction for staff who deliver the service and complainants seeking redress;
- review and restatement of our procedures that inform practice & establish targets for action;
- provide a draft leaflet which we can publish as a guide for tenants/ complainants;
- training for staff on the new policies and to direct a consistent approach

5 **Revised Policy Statement**

5.1 The revised policy is attached at Appendix B for consideration and approval.

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6 Case Management and Capacity

- 6.1 The Housemark Review indicated the same finding as the Borough Wide Tenant Forum Scrutiny Panel. That there is an inconsistent approach to managing reported cases of nuisance. Members will recall that the Resources Board agreed to fund a new case management system – REACT – to provide better case management for the service. This system has now been implemented and is proving productive in ensuring there is a consistent case management through the operation of workflows and closer monitoring by the Manager of the service because it provides better reporting facilities. The Housemark reviewer commends the Council for introducing this software solution.

7 Report Implications

7.1 Finance and Value for Money Implications

- 7.1.1 There is a cost for the new case management software that has been agreed by the Resources Board. If anti social behaviour escalates there is a cost for legal action. Any salary costs from changing the staff structure will be reported to the Resources Board.

The Contact Officer for this report is Angela Coates (719369).

Background Papers

Local Government Act 1972 Section 100D, as substituted by the Local Government Act, 2000 Section 97

Background Paper No	Author	Nature of Background Paper	Date
Social Housing (Regulation) Act 2023	Government	Legislation	2023

Diane Thompson – Principal Consultant in Service
Improvement & Transformation

DBS No.C2787357361

Housemark

ASB Review North Warwickshire Borough Council

12th March 2025

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Overall, the partnership framework is strong, but enhancing collaboration on specific issues like drug-related incidents could further strengthen the council's response. By celebrating current successes while refining targeted areas of engagement, North Warwickshire Borough Council can continue to evolve its partnership strategies, ensuring a safe and vibrant community for all residents.

Recommendations for Improvement

Based on the findings, the following recommendations are proffered with the aim of enhancing ASB management and improving overall service delivery in North Warwickshire Borough Council.

1. **Enhanced Data Presentation and Reporting:** The current ASB data should be presented in a more structured and accessible format. A clear, regular report that highlights trends, key issues, and actionable insights will allow for more effective decision-making and allow all stakeholders, including senior management and partners, to identify areas needing attention. Improved data visualization could also help highlight priority areas, such as noise and rubbish-related nuisances, for quicker interventions.
2. **Targeted Action on Low-Level Nuisance:** Based on the data trends, low-level nuisance cases, particularly related to noise and rubbish dumping, should be prioritised for resolution. These cases significantly impact residents' quality of life and should be tackled more swiftly. By streamlining case management processes for these issues, the council can significantly reduce the backlog and improve satisfaction among residents.
3. **Strengthened Police Collaboration:** While the partnership between the council and the police is generally strong, targeted improvements in areas such as drug-related ASB could make a significant difference. Establishing more strategic discussions and joint task forces specifically for drug-related incidents will ensure a faster, more coordinated approach, addressing the root causes more effectively.
4. **Improved Victim-Centred Approach:** Residents consistently highlighted the need for better communication and a stronger victim-focus in the ASB process. Implementing a more victim-centred approach, which ensures that residents are kept informed about case progress, would alleviate feelings of frustration and vulnerability. Regular updates and a dedicated point of contact would help reinforce the service's commitment to supporting victims and keeping them involved in the resolution process.
5. **Increased Capacity for Housing Staff:** Given the significant demands on Tenancy Services Officers, especially those handling ASB cases, it is crucial to review staffing levels and workload distribution. A clearer understanding of staff responsibilities and, where possible, additional

support could help prevent staff burnout and ensure that ASB cases receive the attention they deserve without impacting other housing management functions.

6. **Ongoing Partner Engagement and Scrutiny:** Continue to foster strong, collaborative partnerships with external agencies, such as the police and other support services, while exploring more formalised frameworks for engagement. Regularly engaging with the Scrutiny Panel and ensuring their feedback is incorporated into decision-making will strengthen the community-focused approach. The partnership framework should be reviewed periodically to assess its effectiveness and identify areas for further improvement.
7. **Timely Interventions and Case Resolution:** The council should aim to reduce the time taken to resolve cases, particularly low-level nuisance issues, by streamlining processes, reducing case backlogs, and ensuring quicker responses. This will improve the overall performance and demonstrate the council's commitment to responding to ASB in a timely and effective manner.
8. **Holistic Approach to ASB Prevention:** In addition to reactive responses, there is an opportunity to develop more preventative strategies, particularly around community education and early intervention. By providing residents with the tools and knowledge to handle minor issues before they escalate, the council can reduce the overall volume of ASB cases and promote a more proactive approach to community cohesion.
9. **Review and Integration of Support Services:** To ensure that all available resources are used efficiently, further integration between housing services and external support services (such as mental health and drug support services) should be explored. Developing clear referral pathways and strengthening inter-agency collaboration will ensure a more coordinated and holistic approach to tackling ASB, particularly in cases involving complex needs.
10. **Regular Training and Development for Staff:** Ongoing training on best practices for ASB management, as well as an understanding of the roles of external partners and support services, will help staff deliver more effective interventions. Training should also address the latest regulatory changes and provide guidance on how to engage with residents in a more empathetic and solution-focused manner.
11. The data strongly suggests that the council should take a targeted approach over the next few months, prioritising hotspot action on noise nuisance and rubbish dumping. These are the issues having the biggest impact on residents, and they should be top priorities for resolution. To support more effective decision-making, I also recommend that ASB figures and case trends be presented in a structured format similar to this report on a regular basis. This will allow for deeper discussions on service performance and improvement. It may also be valuable to bring this data to the Scrutiny Panel—their insights could help refine solutions and ensure that any interventions align with residents' needs. By enhancing data presentation, pinpointing key problem areas, and taking decisive action on the most common ASB issues, North Warwickshire Borough Council has an opportunity to significantly improve ASB service delivery. These changes would not only improve performance but also build
12. trust and confidence among residents.

Conclusion

By focusing on these key areas, North Warwickshire Borough Council can make considerable progress in enhancing the management of ASB and improving resident satisfaction. A more aligned and efficient approach to policy implementation, better communication with residents, and streamlined case management processes will create a more cohesive and effective service. These changes will foster a safer, more harmonious environment for both residents and staff.

My experience conducting this comprehensive review and collaborating with all those involved has been incredibly enriching and fulfilling. I would like to express my thanks to everyone—from the dedicated residents and hardworking staff to the supportive senior management team and valued partners. Each person's contribution has been crucial in deepening our understanding of the challenges and opportunities within the antisocial behaviour (ASB) service. Working alongside such a committed team has highlighted not only the positive steps already in motion, such as the introduction of ReACT, but also paved the way for future improvements. The insights shared by residents, the tireless efforts of staff, and the strategic direction from senior management, combined with the proactive support from partners, have created a collaborative environment that is poised for continued success.

I look forward to the ongoing work and wish everyone involved the very best in future collaborations, as we continue to transform and enhance the ASB service for the benefit of our community.

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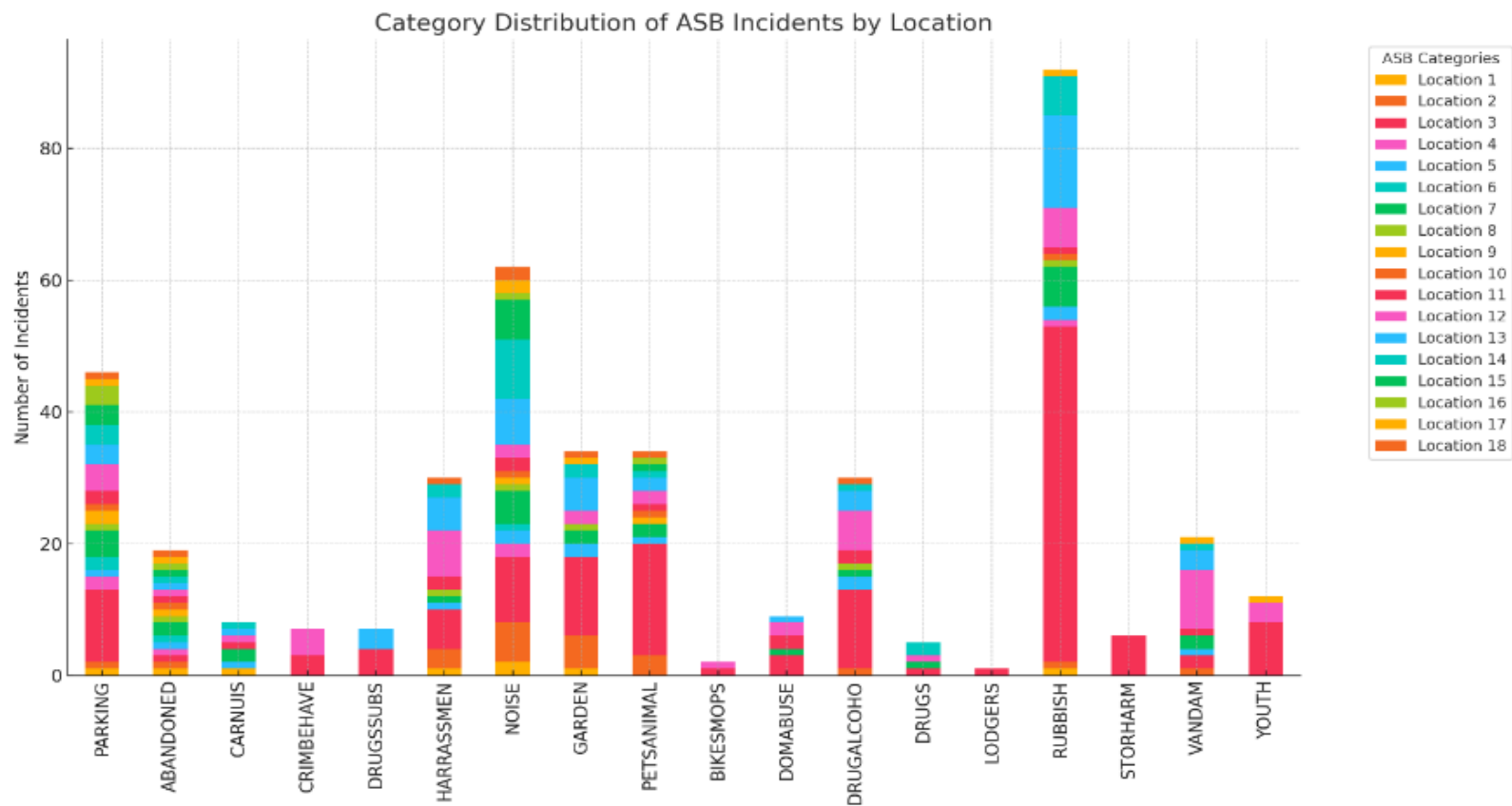


Unit A1 Viscount Centre, Millburn Hill Road, Coventry CV4 7HS

Housemark

Data Review

This section provides a detailed analysis of the ASB data trends over the last 12 months. It includes insights into incident frequency, resolution times, and resident satisfaction levels. The data review also identifies patterns in ASB occurrences and suggests data-driven interventions that could improve service delivery and resource allocation. (below is North Warwickshire Data)



Key Observations:

Noise and Rubbish: These two categories show the highest frequency across locations, which suggests that issues related to noise and waste may be widespread across multiple areas.

Parking and Abandoned Vehicles: These issues are more concentrated in specific locations, indicating that areas might struggle more with car-related issues.

Less Frequent Categories: Categories like "Lodgers" and "Youth" have far fewer incidents overall, which may suggest these issues are less common or less reported.

Common Trends:

Rubbish and Noise tend to be the most frequent issues across most locations, potentially pointing to a need for better waste management and noise control policies.

Drug and Anti-social behaviours, such as "Drugs/Alcohol" and "Harassment", appear to be prevalent in certain areas which reinforces the importance of targeted interventions.



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North Warwickshire Borough Council

DRAFT

Housing Anti-Social Behaviour Policy

1. Policy Statement

North Warwickshire Borough Council is committed to supporting residents experiencing Anti-Social Behaviour (ASB).

This policy sets out how we aim to manage and address ASB in a fair, reasonable, proportionate, and transparent way, that puts residents at the heart of what we do. This policy also ensures our approach to ASB is in line with measures set out in the Anti social Behaviour, Crime and Policing Act 2014, and provides a framework for how we tackle ASB through prevention, early intervention, enforcement action, partnership working, and support for residents.

We know that ASB from a few people can have a severe effect on the wellbeing of many others, and we have a duty to act where appropriate. We firmly support the rights of our citizens and residents to live free from fear or risk of intimidation, harassment, and abuse: We take all reports of ASB, domestic abuse and gender-based violence, and hate crime very seriously.

2. Contents

1. Introduction
2. Policy Statement
3. Definition of anti-social behaviour
4. Tolerance between neighbours
5. Conditions of Tenancy
6. Preventing anti-social behaviour
7. Tackling anti-social behaviour
8. Support for customers, their families and any witnesses experiencing anti-social behaviour
9. Supporting perpetrators
10. Multi-agency working
11. Using Professional Witnesses
12. Training our colleagues
13. Protecting our colleagues
14. Confidentiality and information sharing
15. Safeguarding
16. Making a complaint and the ASB case review
17. Equality and Diversity
18. Roles and responsibilities
19. Monitoring and Review

3. Scope

This policy applies to North Warwickshire Borough Council Housing Division. It applies to how the Council manages its housing stock and how we deal with anti-social behaviour in our neighbourhoods. There is a separate Council Wide Policy in respect of Crime Prevention and Anti-Social behaviour within the Borough of North Warwickshire.

4. Legislative Requirements and links

North Warwickshire Borough Council's policy is to comply with Section 218A of the Housing Act 1996 which places a duty on social landlords to publish anti-social behaviour policies and procedures. Other relevant legislation includes, but is not limited to:

- The Housing Act 1996
- Civil Evidence Act 1995
- Crime and Disorder Act 1998
- Data Protection Act (GDPR) 2018
- Housing Act 1988
- Children's Act 1989
- Anti-social Behaviour Act 2003
- Anti-social Behaviour, Crime and Policing Act 2014
- Equality Act 2010
- Human Rights Act 1998

5. Links to other Policies and Documents

- NWBC Lettings Scheme
- NWBC Introductory Tenancy Scheme
- NWBC Introductory and Secure Tenancy Agreement
- NWBC Asset Management Policy
- Safeguarding Adults Protocol
- Safeguarding Children Protocol
- Equality & Diversity Policy
- Warwickshire ASB review Process
- Hate Crime Policy
- Domestic Abuse policy
- Persistent or Vexatious Complaints Policy

1. Introduction

North Warwickshire Borough Council is committed to tackling anti-social behaviour as we know that it can have a devastating impact on the lives of our customers in the communities that we work. Anti-social behaviour covers a range of behaviours from low-level nuisance to serious harassment, which can damage the quality of life and interfere with the ability of people to use and enjoy their home and/or community.

North Warwickshire Borough Council recognise that by providing a strong housing management service a real difference can be made to the quality of lives of local residents. The Council's Community Safety Team and Housing Management Team work closely with the local Police and other agencies to provide a coordinated and victim centred service.

2. Policy Statement

The Council will not tolerate nuisance or anti-social behaviour directed towards our tenants, their visitors or any others engaged in a lawful activity in the locality of our homes, including Council staff, contractors and other acting on our behalf. This policy sets out:

- Our commitment to tackling anti-social behaviour;
- Our overall approach in relation to anti-social behaviour;
- The methods we will use to tackle anti-social behaviour;
- Responsibilities for dealing with anti-social behaviour;
- How we will monitor anti-social behaviour

We will thoroughly investigate all complaints of nuisance/anti-social behaviour and we will do this by:

- Putting victims at the heart of our response to anti-social behaviour by understanding their needs and dealing flexibly with any given situation
- Taking appropriate and proportionate action against those perpetrators (those causing the nuisance) of nuisance or anti-social behaviour whether it is being caused by them their visitors and / or their family.
- Providing as much support as possible to victims / reporters (those who the nuisance / anti- social behaviour is affecting) and / or witnesses.
- Recognising that prevention is better than cure, by adopting a multi-agency approach to tackling nuisance or anti-social behaviour, encouraging the use of an independent mediation service and promoting early intervention, we aim to resolve the majority of nuisance or anti-social behaviour complaints through voluntary means.

3. Definition of Anti-Social Behaviour

The Anti-Social Behaviour, Crime and Policing Act 2014 defines anti-social behaviour (ASB) as:

“Conduct that has caused, or is likely to cause, harassment, alarm or distress to any person; nuisance or annoyance to a person in relation to that person’s occupation of residential premises or causing housing-related nuisance or annoyance to any person.”

Nuisance is the interference with the right of specific people and signifies that the “right of quiet enjoyment” is being disrupted. Nuisance is an activity or condition that is harmful or annoying to others (e.g., music being played too loudly, kitchen doors being slammed, individuals arguing loudly).

Some examples of anti-social behaviour are:

- Harassment/intimation/verbal abuse/threatening behaviour
- Domestic abuse
- Physical violence
- Hate crime
- Vandalism
- Alcohol and Drug related nuisance
- Unreasonable noise
- Pet and animal nuisance
- Garden related nuisance
- Litter/rubbish/fly tipping
- Graffiti

This is not an exhaustive list of behaviours that fall within the definition of anti-social behaviour.

4. Hate Crime

Hate crime is a serious form of ASB. Where a report of ASB appears to represent a hate crime, this policy should be read in conjunction with our hate crime policy.

The Police and Criminal Prosecution Service have defined hate crime as: -

‘Any criminal offence which is perceived by the victim or any other person, to be motivated by hostility or prejudice based on a person’s disability or perceived disability; race or perceived race; religion or perceived religion; sexual orientation or perceived sexual orientation or transgender identity or perceived transgender identity’.

We will make a distinction between report of general anti-social behaviour and hate crime. Incidents believed to be motivated by hate or prejudice directed

against any person or group of people will be dealt with as a hate crime and given a high priority for investigation purposes.

5. Domestic Abuse (DA)

North Warwickshire Borough Council has zero tolerance for violence and abuse. There is a separate Housing Domestic abuse Policy which should be used in conjunction with this Anti Social Behaviour Policy.

North Warwickshire Borough Housing Services team adopts the Government's definition of domestic abuse in the Domestic Abuse Act (2021).

The definition can be summarised as:

Behaviour of one person towards another person is "domestic abuse" if:

both are each aged 16 or over and are "personally connected" to each other, and the behaviour is abusive. Behaviour is "abusive" if it consists of any of the following

- physical or sexual abuse
- violent or threatening behaviour
- controlling or coercive behaviour
- economic abuse
- psychological, emotional or other abuse

It does not matter whether the behaviour consists of a single incident or a course of conduct.

Economic abuse means any behaviour that has a substantial adverse effect on the victim's ability to acquire, use or maintain money or other property, or obtain goods or services.

6. Tolerance between neighbours

The Council is committed to developing and maintaining sustainable communities. We expect a reasonable level of tolerance between neighbours and will seek to make a fair evaluation on whether complaints that are made are reasonable. An important factor in sustaining communities is the recognition and acceptance by our customers that the initial responsibility to resolve disputes with each other lies with them. Therefore, the Council will make an evaluation based on the information provided taking into account any history associated with the case and the vulnerability of the person/s involved. In certain circumstances we may not progress the investigation further, some examples are below:

- Actions which amount to no more than people going about their normal everyday activities, for example children playing in their own home and garden, mowing of lawn or other garden maintenance at reasonable

times, carrying out DIY at reasonable times or noise from domestic appliances at a reasonable time.

- Complaints which are not a breach of the terms of tenancy, for example, complaints of people staring
- Actions which amount to people not being pleasant to each other but are not sufficiently serious to justify our involvement
- Complaints about people being inconsiderate or thoughtless where there is no breach of tenancy, for example parking in a place that causes difficulties for others
- Complaints about other people having lifestyles that offend others, for example issues about differences in parenting, who people socialise with, how people dress, what they do in their own homes unless the behaviour is a breach of tenancy.

North Warwickshire Borough Council has a policy in relation to vexatious complaints and complainants. The definition adopted by the council is:

“unreasonable and unreasonably persistent complainants are those complainants who, because of the nature or frequency of their contacts with an organisation, hinder the organisation’s consideration of their, or other people’s, complaints”.

If an ASB complaint falls within this definition then the provisions of the Vexatious Complaints Policy will be applied.

7. Conditions of Tenancy

Tenants will be expected not to breach the terms of their Tenancy Agreement. We will go through the terms of the tenancy with the tenant when they sign it. Any breaches of the tenancy will be investigated by the Tenancy Services Team. The Tenancy Agreement for both Introductory and Secure tenants at Section 5 – Anti-Social Behaviour states:

“You are responsible for your own behaviour and for that of anyone, including children, living in or visiting the property, whether permanently or temporarily.

You must make sure that you and anyone living with or visiting you:

- (a) Do not cause or act in a way, which is likely to cause annoyance, disturbance or be a nuisance to people living, visiting or working in the locality. Examples of annoyance, disturbance or nuisance include: loud music, arguing, door slamming, dog barking and fouling, offensive drunkenness
- (b) Do not harass; abuse or threaten people living, visiting or working in the locality

Harassment” includes but is not limited to:

- Violence or threats of violence towards any person including all our employees, our agents or our contractors;
 - Abusive or insulting words or behaviour;
 - Damage or threats of damage to another person's property or home;
 - Writing threatening, abusive or insulting graffiti;
 - Any interference with the peace or comfort of any other person;
 - Hate crimes including racial harassment;
 - Sexual harassment;
 - Harassment because of a persons: sexuality, gender, gender reassignment, colour, race, age, nationality, ethnic or racial origins, disability, religion, marital status, HIV/AIDS status
- (c) Do not damage, misuse or dump rubbish on: communal areas, corridors, stairwells, shared entrances, play areas, anywhere else in the locality including any other property or land owned by us

You must make sure that you do not allow or encourage other people living with you or visiting your home to engage in behaviour described above.

You or anyone living with you must not make false or malicious complaints about the behaviour of another person.

You or anyone living at or visiting the property must not:

- Use the property for any criminal, immoral or illegal purpose which includes dealing in any illegal drugs, storing or handling stolen goods or prostitution; Possess keep or cultivate any illegal drugs in the property;
- Commit an arrestable offence in or within the locality;
- Use or threaten to use violence against any person living with you"

8. Preventing Anti-Social Behaviour

We aim to prevent anti-social behaviour from happening by adopting a number of approaches including:

- In some cases applicants will be excluded from joining the Council's Housing Register or their reasonable preference will be reduced as detailed in the Council's Lettings Scheme. Applicants who have a history of anti-social behaviour or other unacceptable behaviour serious enough to make them unsuitable to be a tenant may be excluded;
- A local lettings policy may be instigated for specific areas or developments to reflect local circumstances. Any such policy will be

- clearly stated and may have regard to considerations such as the social mix, strong local demand, density, age and community stability;
- All new customers will be made aware of their rights and responsibilities in relation to anti-social behaviour harassment and intimidation. Using interpreters and interpreted material in other formats if required;
- Introductory tenancies will be used and any tenancy breaches including perpetrating anti-social behaviour will be treated seriously and may result in an introductory tenancy being terminated or extended;
- Where possible ensuring 'safe by design' standards on new and regeneration schemes;
- Carrying out estate environmental improvements and asset replacement programs to existing schemes working with the Police to achieve improved levels of safety and security;
- Taking an active role in local crime and disorder partnerships and other local multi-agency groups and initiatives.

9. Tackling Anti-Social Behaviour

ASB can be reported to us in different ways, including in person, in writing, over the phone, by email and on our website. We offer anonymous reporting and facilitate the reporting of ASB by non-residents.

How each case is dealt with will depend on the specific circumstances of the complainant/victims and the perpetrators. Our aims are to:

- Make sure staff are trained and supported to deal confidently with anti-social behaviour complaints and are able to prioritise complaints based on the seriousness of the case and risk of harm;
- Ensure incidents of anti-social behaviour can be easily reported, for example during a home visit or interview with a member of our team, observations made by partner agencies alerting us to problems, by face to face visit to the Council's One Stop Shop, letter, telephone, email, via the website as well as via an out of hours emergency service;
- Ensure cases are logged on the Council's system for managing ASB (REACT), a record of incidents and action taken is retained and kept up to date;
- Ensure all incidents received are categorised, prioritised and responded to within the prescribed timescales below;

Case Severity	Examples of behaviour	Initial Response Times
High Risk (including matters where there is a genuine risk of physical or psychological harm)	Threats of violence Actual Violence Hate Crime Victim has high levels of vulnerability	Within 24 working hours

Medium risk	Drug related issues Criminal Activity	Within 3 working days
Standard Risk	Noise Pets and Animal Nuisance Garden Nuisance Litter/rubbish/fly tipping	Within 5 working days

- Deal with incidents sensitively and appropriately taking into account the impact the behaviour is having. The possible vulnerability of both victims and perpetrators of ASB should be taken into account when deciding the intervention actions appropriate to dealing with each case
- Investigate complaints fairly and impartially;
- Ask at the outset what the complainant is expecting and what would be a satisfactory outcome for them, giving us the opportunity to be honest with them about what can and cannot be achieved;
- Develop an action plan with the complainant and keep complainants informed of progress;
- Maintain appropriate confidentiality and act in accordance with Data Protection legislation;
- Ensure actual or potential perpetrators of anti-social behaviour are fully aware of the consequence of their actions. Where appropriate, identify any support needs and engage the appropriate support services to assist the perpetrator in modifying their behaviour;
- Where appropriate and relevant undertake case work in partnership with the Police and other agencies to find possible solutions;
- Consider the most appropriate tools to use, including non-legal and legal remedies to resolve the problem according to the available evidence;
- Where appropriate work with the Police and other Council departments in relation to securing other legal tools that are available for example,
 - Community Protection Notices
 - Criminal Behaviour Orders
 - Public Space Protection Orders
 - Closure Notices and Orders
 - Dispersal Powers
- On a case by case basis tailor the support to victims, their families and any witnesses and identify any external support/witness services provided by other agencies e.g. the Police, victim support or community support schemes and help them to access these;
- Take swift and effective action against perpetrators where necessary;
- In very serious cases and where this is the most appropriate solution attempt to facilitate a move for the victim. A management move may be instigated in line with the Lettings Scheme;
- Inform the complainant if the case is to be closed and explain why;
- Ensure incidents of anti-social behaviour are accurately recorded and monitored on the REACT system.

- Use a range of methods including publicity to ensure a clear message that anti-social behaviour will not be tolerated is communicated to our customers, the wider community and housing applicants;
- Monitor performance on how we deal with anti-social behaviour and regularly report achievement against targets to the relevant performance meetings

10. Support for complainants, victims, their family and witnesses

In all anti-social behaviour cases we shall take into account the wishes of complainants, victims and witnesses. We shall keep in touch and review the case with them on a regular basis. We will consider at an early stage and on an on-going basis what we can do to support them considering each case individually. We will undertake a vulnerability assessment and have regard to this when we develop the action plan. We shall consider how we can work with other agencies, if available in their community, to ensure the appropriate support is available.

If the anti-social behaviour is caused by a customer of another landlord or is a home owner but one of our customers is the victim, we will work to share information and support our customer. The Council will work with the Police, partner agencies and other divisions within the Council to take appropriate actions to support our customer and seek resolution to their complaint.

Where we identify a threat to a complainant's health and safety we will work with partner agencies and other divisions to provide them with additional safety features and ensure that they are aware of who to contact in the event of an emergency.

If the complainant has a family member who is supporting them or a support worker, we will liaise with them if we have permission to do so from the complainant.

A management move may be considered in serious cases where there are no other options in accordance with the Council's Lettings Scheme.

We will support witnesses if they are required to give evidence at court for example, by letting them know what to expect, helping them to prepare and assisting them with transport.

11. Support for Perpetrators

We appreciate that some perpetrators may be vulnerable and will need help and support to enable them to sustain their tenancy and reduce the risk of losing their home. Where appropriate, we will work with both internal and external support services and external specialist agencies.

Where the complainant has agreed, we will ensure the alleged perpetrator is made fully aware of the allegations that have been made and understand what their responsibilities are to given them opportunity to rectify their behaviour.

In accordance with the Equality Act 2010 we will ensure that any legal action that we take against a perpetrator does not discriminate against them because of a disability that they have or for any other reason.

Where an alleged perpetrator's behaviour poses an immediate threat to others health and safety we will take immediate enforcement action against them regardless of their support needs.

12. Multi Agency Working

We see effective multi-agency working as vital to a successful response to anti-social behaviour. We are members of the North Warwickshire Community Safety Partnership which is represented by organisations such as the Police, Local Authorities, Health, Probation, the Youth Offending Service, Social Services, Education, Fire Brigades and other social housing providers working in the Borough. Housing attends regular Case Management Meetings with the Police to discuss current cases and agree any joint work.

Housing also works closely with the Council's Community Development Team who has a corporate responsibility for addressing anti-social behaviour in the Borough.

In all cases of anti-social behaviour we will make contact with any appropriate partner agencies at the earliest opportunity.

Any requests for information will be made in accordance with Section 29 of the Data Protection Act 1998 and Section 115 of the Crime and Disorder Act 1998 – Disclosure of Relevant Information.

13. Using Professional Witnesses

The term "professional witness" is used to describe anyone who is working in a formal capacity by observing, recording incidents, making witness statements and giving evidence in court when required. Professional witnesses are widely used in proceedings to combat anti-social behaviour. These can range from council officers, police officers, health authority employees or professional surveillance personnel.

Council Officers may be required to act as professional witnesses in order to give evidence to support a case of anti-social behaviour. The Council will consider using a professional witness to support a case. This includes internal

or external contractors that provide and install CCTV surveillance equipment, whose evidence and findings may be used in legal proceedings.

14. Training our Colleagues

North Warwickshire Borough Council provides a range of training and development activities to ensure that all relevant colleagues are:

- Aware of and can use effectively the anti-social behaviour policy and procedures;
- Trained in all aspects of dealing with anti-social behaviour, domestic abuse, hate crime, harassment and intimidation;
- Able to apply good practice

15. Protecting our colleagues

We will not tolerate abuse or threats towards our colleagues and/or contractors. Legal action may be taken against customers and/or other members of the community, who assault, threaten to harm or who verbally abuse our internal or external colleagues.

16. Confidentiality and Information Sharing

As members of the Community Safety Partnership we will share relevant and required information as and when appropriate which helps all members tackle crime and anti-social behaviour effectively. Information will only be exchanged in accordance with Data Protection Act.

The type of information shared can vary on a case by case basis. Before we share any personalised information an assessment will be carried out to ensure the public interest outweighs the rights an individual has to privacy.

We will maintain appropriate records of anti-social behaviour, harassment and intimidation. All information is confidential and will not be released to a third party unless either agreed by the complainant or victim or under the terms of the data exchange/sharing protocols and agreements.

We may publish case resolutions in the media where information has already been made available in the public domain. We may do this to encourage other witnesses and victims to come forward in other cases and also where it may act as a deterrent.

17. Safeguarding

Where Case Officers identify safeguarding concerns, in cases involving children or adults with care and support needs they will make a safeguarding referral in line with the Safeguarding Adults and Safeguarding Children policies in liaison with our designated Safeguarding Officer.

[Add link to policy on website](#)

18. Making a complaint and the ASB Case Review

If customers are not happy with the way we are handling cases they can be referred to our complaints policy and procedure. If a complaint is received under the ASB Case Review provisions this will be dealt with in accordance with the Warwickshire ASB Case Review process and not the Council's complaints procedure.

The Warwickshire ASB Case Review has been determined as being when:

An individual has reported three separate incidents relating to the same problem in the past six months to the Council, Police or their landlord, and feel that insufficient action has been taken to resolve the matter.

OR

At least three people have made reports about the same problem in the past six months to the Council, Police or their landlord and feel that insufficient action has been taken to resolve the matter

When a request for an ASB case review is received and the threshold has been met a review of the case will be undertaken by a Senior Officer not involved in the case. The review will consider if further information is needed and what previous actions have been taken. Information about the case will be shared with other relevant bodies and where further action can be taken; a plan will be agreed and actively monitored with regular updates provided to the victim.

If applicants are not satisfied with the outcome of the review into their case or the decision that they did not meet the threshold, they have a right of appeal. Appeals should be made to the relevant body within 28 days of an applicant being provided with the outcome of the request.

If the complaint is a NWBC Council tenant, the Housing Services Manager will review the case and provide any required information for any review being undertaken as part of the process.

19. Equality and Diversity

We value diversity and promote equality, ensuring people are treated accordingly to their individual needs. This ensures that no person or other organisation is discriminated against on the grounds of race, colour, nationality, ethnic origins, sex, disability, sexual orientation, gender reassignment, marital or civil partner status, pregnancy, unrelated criminal activities, illness or any other matter that may cause a person to be treated with prejudice. We will endeavour to ensure that services are delivered fairly and equally to all and to the highest possible standard. We provide all customers, prospective customers and other stakeholders with the information they require, in a format to meet their individual needs, using clear language which is easy to understand. This policy may have an impact on our most vulnerable customers, many who will have protected characteristics under the Equality Act 2010. Therefore, we have completed an Equality Impact Assessment to ensure that any action we take does not discriminate, is the least restrictive and enables the person as much choice and control over decisions as is possible.

20. Roles and Responsibilities

The Director of Housing will have the overall responsibility for the implementation of this policy.

The Housing Services Manager is responsible for the operational delivery of this policy and the associated procedures in conjunction with the Tenancy and Neighbourhood Services Manager.

Housing Management Staff are responsible for implementing the operational delivery of this policy and the associated procedures appropriate to their level of authority.

Any cases requiring legal action will be overseen by the Tenancy & Neighbourhood Services Manager in conjunction with the Council's Legal Team.

Cases will be escalated in accordance with the agreed escalation procedures.

21. Monitoring and Review

We will routinely monitor our performance in implementing this policy and report these results to the relevant performance meetings. Results against the key performance indicators will be reported in the Tenants Annual Report.

Customer feedback will be sought via the Tenants Annual Survey and other tenant feedback mechanisms.

We will carry out a full review of this policy and associated procedures every 3 years to ensure they are effective and comply with current legislation and good practice unless there is a major change in legislation.

Policy approval date: July 2025
Policy Review date: July 2028

Agenda Item No 7

Resources Board

20 October 2025

Report of the Director of Housing

Housing Revenue Account Development Opportunities

1 Summary

- 1.1 This report provides the Board with information about garage sites that could be used for the development of housing and other land holdings in the Housing Revenue Account and asks for decisions about their future use.

Recommendation to the Resources Board

- a That the garage sites listed in Appendix A are considered for developing housing and feasibility designs are obtained;**
- b That consideration is given to the future of the cleared garage site at Church Lane, Middleton;**
- c That the development options at section 6 of the report be considered;**
- d That when the feasibility designs are available they will be discussed with local Ward Members; and**
- e A further report will be made to the Resources Board to propose firm plans for development options which will set out resource requirements – including funding.**

2 Consultation

- 2.1 Local Ward Members have been sent a copy of this report in advance of the meeting. Their comments will be shared at the Resources Board meeting.
- 2.2 When options for each site have been considered with Local Members there will be a need to consult with local residents before the development options are finalised.

3 Background

- 3.1 The Housing Working Group has discussed the condition and future of the Housing Revenue Account garage sites over the last 12 months. In taking account of these discussions the Resources Board agreed to provide funding to demolish some sites on which the garages are beyond reasonable repair to provide for additional parking. The Working Group has also considered which sites could be used for small housing developments.

- 3.2 At their meeting on 10 September 2025 the Housing Working Group considered a report about developments that have been completed in the Housing Revenue Account and about future opportunities. The opportunities discussed are presented in this report for the Resources Board to consider.

4 Developments to Date

- 4.1 Since 2010 the Housing Division has been asked by Councillors to take opportunities to develop homes for social housing rents to meet the housing needs in the Borough. The development of homes in the Housing Revenue Account helps to prevent the reduction of the Council's stock. Reduction in stock compromises our rent income and ability to invest in our property assets and pay for services. The Council had a stock of 2739 properties at 31 March 2012. As at the 31 March 2025 our stock is 2583.
- 4.2 The Housing Division has taken the opportunity to bid for Homes England subsidy grant for developments as well as on sites with planning Section 106 requirements. After we tackled garage sites in 2010 our focus fell on regeneration – removing buildings past their useful value and building new properties on the cleared site however Section 106 Agreements have also provided properties in popular areas to meet housing need.
- 4.3 The table below sets out the new build properties developed by the Council since 2010 and indicates the subsidy enabling method. The subsidy is used in combination with the Housing Revenue Account capital programme to provide the full funding required.

Subsidy	Development	Number and types of property
Homes England Grant	Beavons Close, Water Orton	9 x 2 bed bungalows
Homes England Grant	Eastlang Road, Fillongley	2 x 2 bed houses and 2 x 3 bed houses
Homes England Grant	Laurel Close, New Arley	2 x 2 bed houses and 4 x 3 bed houses
Homes England Grant	Stanyers Close, Kingsbury	3 x 2 bed houses and 3 x 3 bed houses
Homes England Grant	Dragons Court, Atherstone	9 x 2 bed bungalows
Homes England Grant	Jenners Court, Atherstone	9 x 2 bed bungalows, 4 x 2 bed houses and 3 x 3 bed houses
Homes England Grant	Lister Road, Atherstone	3 x 2 bed flats, 1 x 1 bed flat, 4 x 3 bed houses
Homes England Grant	Princess Road, Atherstone	2 x 2 bed bungalows
Section 106 development	Chetwynd Drive, Grendon	4 x 2 bed houses, 1 x 3 bed house and 4 x 4 bed houses
Section 106 development	Hastings Road, Grendon	2 x 2 bed houses and 2 x 3 bed houses
Section 106 development	Wood View, Grendon	2 x 2 bed houses and 1 x 3 bed house
Homes England Grant	Cadman Close, Mancetter	4 X 2 bed houses and 2 x 3 bed houses
Homes England Grant	Joseph Cadman Court, Mancetter	6 x 1 bed flats and 8 x 2 bed flats
Section 106 development	Byford Drive, Polesworth	1 x 2 bed bungalow
Section 106 development	Grinham Avenue, Polesworth	4 x 3 bed houses

Section 106 development	Little Jims Close, Polesworth	5 x 2 bed houses and 5 x 2 bed bungalows
Section 106 development	Thompson Way, Polesworth	2 x 4 bed houses, 10 x 2 bed houses, 8 x 1 bed houses
Homes England Grant	Hatters Close, Warton	4 X 1 bed flats, 16 X 2 bed houses
Homes England Grant	Long Street Atherstone	4 X 3 bed houses
Right to Buy Receipts	New Street, Dordon	2X 2 bed houses
Homes England Grant	Coleshill Road Atherstone	6 X 2 bed flats

- 4.4 Most recently the Council has used its Right to Buy receipts to purchase 22 properties following a Section 106 Agreement at Old Holly Lane, Atherstone. A further 50 properties are available under the same Section 106 Agreement over the next 2 – 3 years. We are also working in partnership with a local Social Enterprise to convert office premises in Atherstone into 14 flats and provide 6 mews houses at the rear to be completed in 2026. Both of these schemes utilise a mix of Right to Buy receipts and Housing Revenue Account capital funding.
- 4.5 Future opportunities to purchase homes presented through Section 106 Agreements have been proposed by Bloor Homes and Cartwright Homes because Private Registered Landlords are not interested in these purchases as Homes England Grant cannot be used to cover the costs.
- 4.6 The Housing Division's technical team has the acumen and competence to manage new build developments. Nonetheless it should be noted that the team is small, directed towards capital programmes that maintain our stock and developing new homes on our own sites is resource intensive. There is a compromise with developments offered as part of Section 106 agreements because we have little or no influence over what is built but, whilst oversight is still required, the process to get to the end product is less resource intensive.
- 4.7 The Government is asking Local Authorities to be ambitious in their plans to develop new Council properties. In July 2025 they published a prospectus – Delivering a decade of renewal for social and affordable housing'. Homes England will open a bidding round for grant subsidy in October 2025. The Council may wish to consider the opportunities offered and to do so will need to consider its resources to deliver schemes and how it wishes to bid for grant – to date we have always worked in partnership with a developing Private Registered Provider.

5 Garage Sites

- 5.1 The Housing Working Group has considered reports about Council owned garage sites over the last 12 months.
- 5.2 At their meeting agreed that some garage sites should be considered for development and others for demolition as they are beyond reasonable costs for repair. Consideration of specific garage sites for development was

subsequently considered by the Resources Board and there have been site meetings with the Chair of this Group and local Councillors.

- ...
- 5.3 The list of potential development sites is attached at **Appendix 1**. If the Resources Board endorses consideration of these sites for development the next step will be to engage an Architect to provide feasibility plans. This will give us a firm position on the future of some sites and the sites that fall out of those considerations can be considered for demolition or repair.
- ...
- 5.4 The garage site at Church Road Middleton is listed in the table in **Appendix 1**. Reports on this site have been considered by the Board previously. A summary of previous reports to the Resources Board about this site is included at **Appendix 2** to assist with consideration.

6 Other development opportunities

- 6.1 The land available as a Housing Revenue Account clear site was mainly provided to Housing Associations for development when the Council's role was an enabling one only and direct development was prevented. There remain a few sites which have been considered by the Resources Board in the past and are included in this report for completeness.
- 6.2 In March 2024 the Interim Corporate Director Streetscape submitted a report to the Board seeking a decision on a parcel of land adjacent to 81 Main Road Austrey. The land is currently rented as garden land. The report asked for consideration for either development by the Council as a landlord or disposal. It is particularly noted that this land could be a gateway to land at the rear and, whilst it is Greenbelt, care needs to be taken if the land is disposed of not to open up that gateway. If the Council decides to provide homes on this site our feasibility plans indicate that it will accommodate two 2 bedroom bungalows or two 1 bedroom maisonettes.
- 6.3 In the same report the Interim Corporate Director Streetscape set out the position for the land the Council owns of Watling Street/ Witherley Road Mancetter. The Director of Housing continues to consider whether the Council can develop homes on this land. This has been subject to extensive discussions with National Highways. This is because concerns remain about the proximity of the site to the major roundabout off the A5 towards Hinckley and Mancetter. It is proposed that the discussions continue until we receive a formal response about access from National Highways. If the Council decides to provide homes on this site our feasibility plans indicate that it will accommodate five 2 bedroom bungalows.
- 6.4 The Council has a cleared site in Ansley Common, just as you come out of Chapel End, which would accommodate 2 houses. Feasibility plans were provided for this site some years ago however at that time County Highways would not allow parking spaces to be provided for the new homes. It is proposed that new feasibility plans be drafted for this site and that the County Council is contacted again to seek authority to provide parking for the new properties.
- 6.5 The social enterprise, Cornerstone, that is developing the building on 102 Long Street, Atherstone, has asked whether the Council wishes to consider a development of 18 rented homes off Carts Lane, Baddesley. They are only at

a feasibility stage. No costs have been shared and a subsidy option would be required. The land under consideration is off an unadopted road off Boot Hill.

7 Meeting Housing Need

- 7.1 The Council's stock plays a critical role in the local housing market to meet the need for affordable homes. Whilst owner occupation remains a clear aspiration for many and the Government has provided for schemes to assist first time buyers, affordability is still an issue for some households. The private rented sector remains relatively small in this area with rent levels and the need to provide a deposit being prohibitive for some. Housing Associations do provide homes in the Borough but their vacancy rates are less than those of the Council. Access can be restricted due to welfare benefit criteria. Universal Credit criteria mean that rent payments are paid direct to the tenant and not the landlord and Local Housing Allowance rates have not been reviewed for some years and there are bedroom restrictions in accordance with household size.
- 7.2 Our recently published Homeless Strategy states that there is an increase in the number of households owed a duty, both due to homelessness and those who are threatened with homelessness. Those households owed a duty due to homelessness has increased by two thirds over the past two years. The need for households to use temporary accommodation has also increased.

8 Report Implications

8.1 Financial and Value for Money Implications

- 8.1.1 Funding for new developments is provided from the Housing Revenue capital budgets and Right to Buy receipts. The latter is a form of subsidy. Other forms of subsidy are provided by Homes England Grant for which we have to bid and from planning approvals which provide for Section 106 Agreement.
- 8.1.2 Funding of around £1.3m annually is made available for new build/regeneration schemes as part of the capital programme. Funding is committed for the financial year 2025/2026. How future schemes are funded would require case by case consideration. Combinations of HRA capital funding, borrowing, Right to Buy receipts and grant would all be part of those considerations.
- 8.1.3 For procurement purposes we will need to group small sites together to ensure we have contractor interest and to provide value for money.

8.2 Environment and Sustainability Implications

- 8.2.1 Some of the Council's garage sites are in poor condition. Decisions made in this report will help to address this.
- 8.2.2 New homes are built to a standard that meets current requirements for energy efficiency.

8.3 Legal, Data Protection and Human Rights Implications

- 8.3.1 The Council is required to set out in a Strategy how it will meet the housing needs of its residents – particularly to prevent homelessness.

The Contact Officer for this report is Angela Coates (719369).

Background Papers

Local Government Act 1972 Section 100D, as substituted by the Local Government Act, 2000 Section 97

Background Paper No	Author	Nature of Background Paper	Date

Garage Sites – Summary of Considerations

Subject to Resources Board approval it is proposed that feasibility designs be obtained for the following sites:

Atherstone – Leicester Crescent; York Avenue; Royal Meadow Drive; Friary Road Atherstone
Tamworth Road & Pear Tree Avenue, Kingsbury
Glenville Avenue, Wood End
Piccadilly Crescent, Kingsbury
Manor Road, Mancetter
Springfields; Stonebridge Road Coleshill
George Road/Maud Road, Water Orton
Church Road, Middleton – please see previous reports on this site at Appendix 2

Garage Site Middleton

Background

The Resources Board received reports about the Council's garage site on Church Lane Middleton at its meetings in May and September 2017. At that time the Parish Council were considering occupying the land and offering it to local residents as additional parking for the village. The Resources Board agreed to support this proposal but the Parish Council decided not to proceed. The matter was reconsidered by the Resources Board at its meeting in September 2019 and it was agreed that Middleton Parish Council would be offered a lease to occupy the garage site after the garages had been demolished by the Borough Council.

The 9 garages on Church Lane Middleton were demolished by the Borough Council in 2021 to allow the Parish Council to use the land parking provision for villagers.

In April 2024 the Parish Council informed the Director of Housing that they no longer intended to take up a lease to provide additional parking amenity for villagers.

Options for the Garage Site

In previous reports the Board has been asked to consider what the Council should do with the cleared site. To assist in the decision making a Valuer has given valuations on a number of options.

The site could be put up for sale. The independent valuation gives a market value of £125,000 assuming planning approval for 2 X 2 bed or 1 X 4 bed property to be built on the site. The site is within the development boundary of the village.

The site could be developed by the Council or sold to a Registered Provider. There is some demand from the Housing Register for additional rented homes in Middleton. Housing Register data indicates that none of the applicants live in Middleton but 70% of those with Middleton as an area of choice live in the Borough. It is unlikely that a Registered Provider would be interested in the site because homes England funding is focussed on larger developments in conurbations. Nonetheless if the site was sold for affordable housing the valuation would be £40,000.

A neighbouring owner has asked if they can purchase the site to extend their garden. If the land is sold for use as a garden only a restrictive covenant would be required and the Valuer has given a value of £25,000.

Agenda Item No 8

Resources Board

20 October 2025

**Report of the Interim Corporate Director
of Resources (Section 151 Officer)**

**North Warwickshire BC – Internal
Audit Progress Report**

1 Summary

- 1.1 The purpose of this report is to present the Internal Audit Progress Report.

Recommendation to the Board

That the Internal Audit Progress Report (Appendix A) is noted;

2 Background

- 2.1 In July 2023 the Section 151 Officer presented a report to members of the Staff Sub Committee with options for providing the Internal Audit function for this Council as it has been operating below capacity for some time. Members approved a six-month trial with CMAP providing an audit service to supplement the in-house audit function.
- 2.2 The pilot commenced at the end of October 2023 and continued during 2024/25. The arrangement was reviewed, and findings reported to members in November 2024 with a recommendation due to the success of the pilot to request to join CMAP as a partner from 1 April 2025. This was accepted and North Warwickshire BC will join as a partner with a place on the officer and member boards.

3 Report

- 3.1 CMAP's latest Progress Report is set out at Appendix A outlining the completed Audit since the last report. The report also contains the outstanding recommendations tracker.
- 3.2 CMAP will present the report at the meeting, the audit reports highlighted are all included in the outcome of the Annual Report 2024/25 considered earlier on the agenda. The responses and mitigations are therefore not repeated.
- 3.3 Members will see that whilst there is only one completed Audit this period there has been significant progress on the outstanding recommendations. In addition to those addressed within CMAP's report there is an update related

to the 9 recommendations related to Business Continuity, which was completed after CMAP's report was finalised.

- 3.4 The Council is working with the Coventry, Solihull and Warwickshire Resilience (CSWR) team to refresh our emergency planning and business continuity arrangements. It was agreed as part of that work that the priority should be the Major Emergency Plan before moving to Business Continuity Management (BCM). The CSWR team is now fully staffed again and the Major Emergency Plan has been reviewed, and will be reported to Executive Board in November for approval.
- 3.5 The CSWR team are in the process of developing new BCM templates and policy and then workshops will be arranged, on a priority services basis, to update the BCM plans. The aim is to have those priority services area plans signed off by March.
- 3.6 The tracker will be updated, and new timescales added to the 9 recommendations.

4 Report Implications

4.1 Finance and Value for Money Implications

- 4.1.1 There are no direct financial implications arising from this report.

4.2 Legal, Data Protection and Human Rights Implications

- 4.2.1 There are no direct legal implications arising from this report.

The Contact Officer for this report is Paul Sutton (719374).

Background Paper No	Author	Nature of Background Paper	Date
N/A			



North Warwickshire Borough Council – Internal Audit Progress Report

Resources Board: 20th October 2025

Date Report Produced: 06th October 2025



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HIGHLIGHTED RECOMMENDATIONS **Error! Bookmark not defined.**

Our Vision

To bring about improvements in the control, governance and risk management arrangements of our Partners by providing cost effective, high quality internal audit services.

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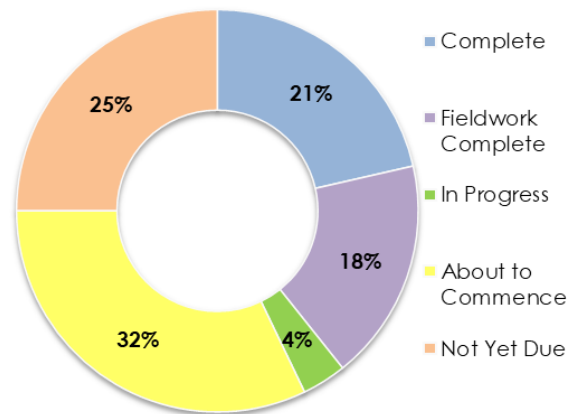
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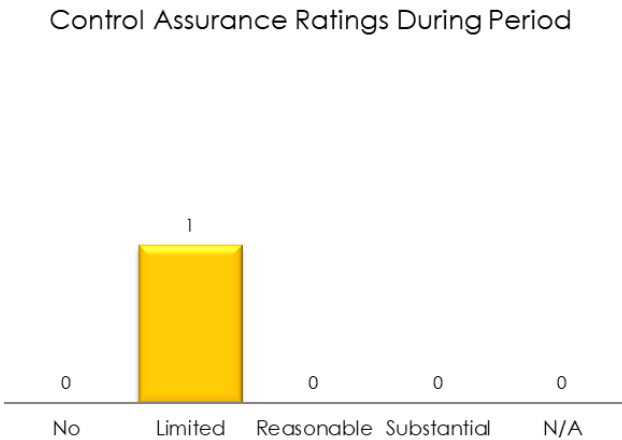
North Warwickshire Borough Council – Audit Progress Report

AUDIT DASHBOARD

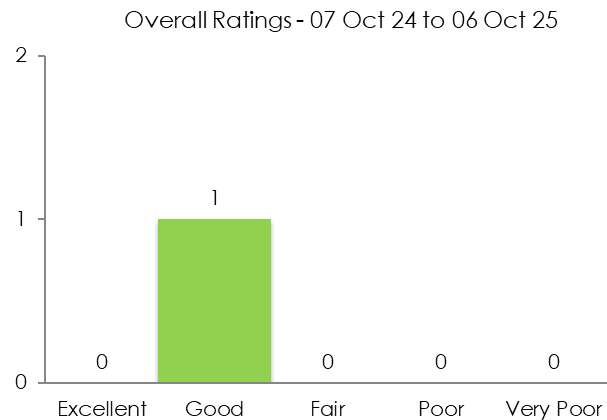
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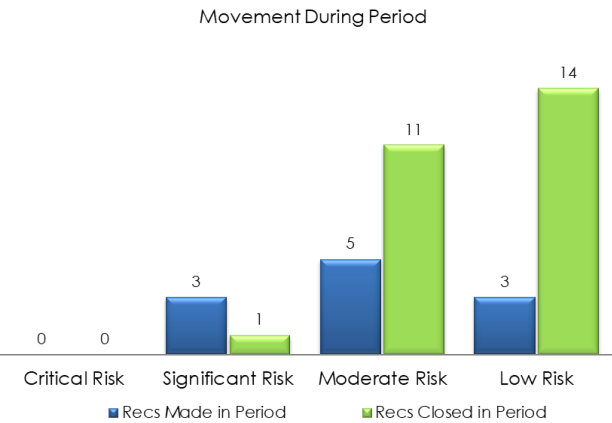
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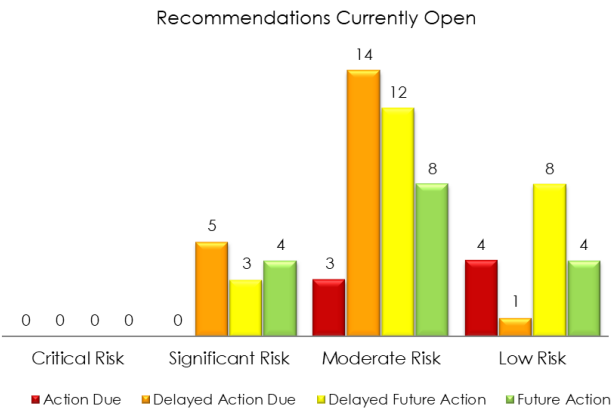
Customer Satisfaction



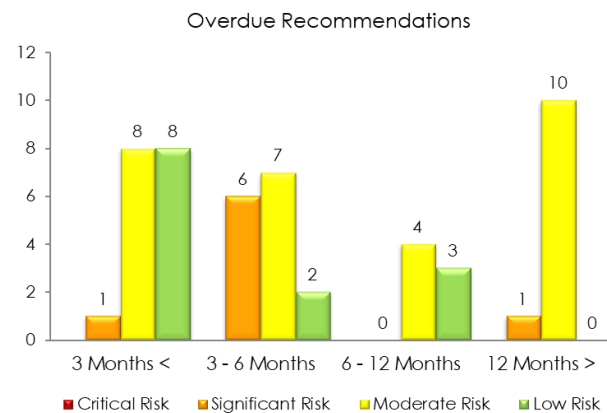
Recommendations Movement



Recommendations Open



Recommendations Overdue



North Warwickshire Borough Council – Internal Audit Progress Report

AUDIT PLAN

Progress on Audit Assignments

The following tables provide Resources Board with information on how audit assignments were progressing as at 6th October 2025.

2025-26 Assignments	Status	% Complete	Assurance Rating
Corporate Plan	Allocated	5%	
Partnership Working	Not Allocated	0%	
Data Quality	Not Allocated	0%	
Transformation Programme	Not Allocated	0%	
Civic Assets – “Civic Silver”	Reviewed	90%	
Procurement	Not Allocated	0%	
Contract Management	Allocated	10%	
Management of Assets	Allocated	0%	
Cyber Security	Not Allocated	0%	
Income/Charging	Not Allocated	0%	
Attendance Management	Allocated	5%	
People Strategy & Recruitment/Retention Management	Allocated	5%	
Climate Change	Not Allocated	0%	
Freedom of Information	Allocated	10%	
Subject Access Requests	Allocated	10%	
Records Management	Allocated	10%	
Member/Officer Protocols	Allocated	30%	
Treasury Management	Fieldwork Complete	80%	
Data Protection	In Progress	60%	

B/Fwd Assignments	Status	% Complete	Assurance Rating
Hackney Carriages & Private Hire Vehicles 2024-25	Final Report	100%	Reasonable
Information Security 2024-25	Fieldwork Complete	80%	
Key Financial Controls, including Unit 4 System 2024-25	Final Report	100%	Limited
Equalities, Diversity & Inclusion 2024-25	Memo Issued	95%	
Corporate Health & Safety 2024-25	Final Report	100%	Limited
Privacy Notices 2024-25	Draft Report	95%	
Capital Programme 2024-25	Final Report	100%	Reasonable
Counter Fraud Arrangements 2023-24	Final Report	100%	Limited
Risk Management 2023-24	Final Report	100%	No

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Plan Changes

There are no plan changes presently to report to this committee.

Although an interim Memo has been issued on the Equalities, Diversity & Inclusion audit, the Chief Executive has requested that we review this area again later in the plan year before formally reporting.

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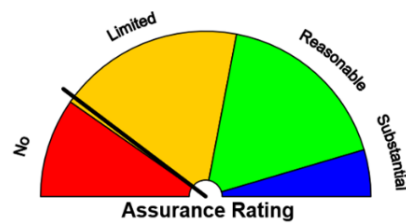
AUDIT COVERAGE

Completed Audit Assignments

Between 1st July 2025 and 6th October 2025, the following audit assignment has been finalised.

Audit Assignments Completed in Period	Assurance Rating	Recommendations Made				% Recs Closed
		Critical Risk	Significant Risk	Moderate Risk	Low Risk	
Key Financial Controls, including Unit 4 System	Limited	0	3	5	3	9%

Details of the completed audit assignment are given below:

Key Financial Controls, including Unit 4 System						
Control Objectives Examined	Controls Evaluated	Adequate Controls	Partial Controls	Weak Controls	Assurance Rating	
There were robust governance arrangements in place that are defined by policies, procedures and guidance that are reviewed and reaffirmed regularly.	4	1	1	2		
Adequate controls were in place to ensure that the new financial system was populated with accurate and reliable financial data and will be maintained with accurate and reliable financial data.	6	2	1	3		
Key control account reconciliations were carried out on a regular basis and reconciling items are cleared promptly.	6	1	1	4		
There were appropriate controls over journals input to the general ledger.	6	3	1	2		
Suspense accounts were monitored and cleared on a regular basis, with prompt supervisory review.	3	1	2	0		
TOTALS	25	8	6	11		

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Rec No.	Summary of Weakness	Risk Rating	Original Action Date	Action Status	Revised Action Date
1	We were unable to locate a policy that stipulates the periods after which the Council's Constitution, policies and procedures must be reviewed to ensure continued relevance and currency.	Low Risk	31/03/2026	Future Action	
2	The General Ledger opening balances for the financial year 2024/25 had not been entered into the new system. Verification of alignment of values with the previous financial year's closing balances and statements was not possible and had not been completed. It follows that a check to ensure that the opening trial balance netted to zero was not possible.	Significant Risk	N/A	Implemented	
3	Implementation of the new Finance system did not include parallel running of the new and old systems. An opportunity to gain assurance that the new system processes transactions accurately has been foregone.	Moderate Risk	31/03/2026	Future Action	
4	Go-live of the new system was authorised although known issues relating to bank reconciliations had not been resolved and remained evident. Minutes of Development Group meetings were not available to verify that go-live of the new system was agreed despite issues remaining evident. An absence of development group minutes or notes renders it unclear whether the officers completing the sign-off were aware of those known issues at the time of sign-off.	Significant Risk	31/03/2026	Future Action	
5	Several month end tasks were overdue for completion, in some cases by several months, including the senior finance officer's overall review of the month end process.	Moderate Risk	31/03/2026	Future Action	
6	Reconciliations of Bank, Cash and Investments Balances were not included in the month end timetable of tasks or the month end reconciliations timetable. There is no evidence that these reconciliations have been completed since the new Finance system was introduced.	Significant Risk	31/03/2026	Future Action	
7	Some control account reconciliations were not completed regularly or completed at all, since inception of the new Finance system.	Moderate Risk	31/03/2026	Future Action	
8	Supporting documentation has not been provided for the control account reconciliations, which were noted on the month end timetables to have been completed.	Low Risk	31/03/2026	Future Action	
9	Confirmation of a manager review and authorisation of completed control account reconciliations was not always recorded on the month end reconciliations timetable. In the absence of any documentation, we have to assume that manager reviews had not been completed.	Moderate Risk	31/03/2026	Future Action	
10	Financial limits were not imposed on Council officers when posting journals to the General Ledger and separation of duties was not practiced over journal entries.	Moderate Risk	31/03/2026	Future Action	
11	Regular clearance of the Collection Fund suspense account had lapsed. There was no evidence of clearance or senior officer review, for a period of six months before the year end date.	Low Risk	31/03/2026	Future Action	

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RECOMMENDATION TRACKING

Final Report Date	Audit Assignments with Open Recommendations	Assurance Rating	Recommendations Open			
			Action Due	Delayed Action Due	Delayed Future Action	Future Action
18-Jun-25	Risk Management	No			1	1
18-Jun-25	Counter Fraud Arrangements	Limited			6	
18-Jun-25	Corporate Health & Safety	Limited			5	2
18-Jun-25	Capital Programme	Reasonable				2
30-May-25	Hackney Carriages & Private Hire Vehicles	Reasonable	2			1
25-Oct-24	Governance	Limited	4	1	5	
02-Jul-24	Key Financial Controls 2023/24	Reasonable			2	
19-Aug-24	Leisure Centres - Income Collection	Limited			1	
23-Oct-24	Business Continuity & Disaster Recovery	Limited		9		
13-Jan-25	Fly Tipping	Reasonable	1	1	2	
25-Aug-23	Electoral Registration & Elections	Substantial		1		
22-Sep-23	Civil Parking Enforcement (Off-Street Parking)	Substantial		1		
11-Sep-23	Commercial Properties & Industrial Units	Reasonable		4		
26-Jan-24	Health & Safety - Waste & Transport	No			1	
05-Dec-23	Emergency Planning	Limited		3		
02-Oct-25	Key Financial Controls, including Unit 4 System	Limited				10
		TOTALS	7	20	23	16

Action Due = The agreed actions are due, but Internal Audit has been unable to ascertain any progress information from the responsible officer.

Delayed Action Due = The original action date has now passed and Internal Audit has obtained status update comments from the responsible officer and a revised action date. This revised action date has now passed, but Internal Audit has been unable to ascertain any progress information from the responsible officer.

Delayed Future Action = The original action date has now passed and Internal Audit has obtained status update comments from the responsible officer and a revised action date which is in the future.

Future Action = The agreed actions are not yet due, so Internal Audit has not followed the matter up.

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Audit Assignments with Open Recommendations	Action Due				Delayed Action Due				Delayed Future Action			
	Critical Risk	Significant Risk	Moderate Risk	Low Risk	Critical Risk	Significant Risk	Moderate Risk	Low Risk	Critical Risk	Significant Risk	Moderate Risk	Low Risk
Risk Management											1	
Counter Fraud Arrangements											6	
Corporate Health & Safety											1	4
Hackney Carriages & Private Hire Vehicles				2								
Governance			3	1			1			2	3	
Key Financial Controls 2023/24										1		1
Leisure Centres - Income Collection												1
Business Continuity & Disaster Recovery						5	4					
Fly Tipping				1				1				2
Electoral Registration & Elections							1					
Civil Parking Enforcement (Off-Street Parking)							1					
Commercial Properties & Industrial Units							4					
Health & Safety - Waste & Transport											1	
Emergency Planning							3					
TOTALS			3	4		5	14	1		3	12	8

Assessment & Ranking of Recommendations

We have noted that the method of assessing and ranking recommendations does not presently align to CMAP's processes, an exercise will be undertaken in due course to align recommendation ratings accordingly.

This will be undertaken in conjunction with the eventual rollout of the K10 audit management system within the authority, which is used for actively tracking recommendations with responsible officers to secure updates in real time. The committee will be kept fully informed of any developments in this area.

North Warwickshire Borough Council – Internal Audit Progress Report

HIGHLIGHTED RECOMMENDATIONS

Critical, Significant or Moderate Risk Recommendations Past Their Original Action Date

The following significant and moderate risk rated recommendations, that have passed their original action date and not yet been implemented, are detailed for the Board's scrutiny.

Job Name	Business Continuity	Original Action Date	30/06/2025
Risk Rating	Significant Risk	Revised Action Date	09/09/2025
Recommendation Number	1	Recommendation Status	Delayed Action Due
Summary of Weakness	Recommendation	Management Response/Action Details	Status Update Comments
No evidence of review and update of the Council's Corporate Business Continuity Plan [CBCP] since January 2019 (albeit, planning for and co-ordinating the Council's response to the Covid-19 pandemic disruption during 2020 to 2021 to some extent, could be interpreted as a form of 'live' test in terms of the Council continuing to provide critical services to local borough residents and businesses at a time of national lockdown and recovery).	Consideration be given to priority review and update of the Council's Corporate Business Continuity Plan [CBCP], considering the Warwickshire Local Resilience Forum [WLRf] webpage guidance on business continuity planning. The updated CBCP should reflect the latest senior management structure. The Distribution List within the CBCP should be completed to evidence circulation amongst key senior managers and officers expected to play a key role in responding to business interruption incidents as and when they may arise. The 'Call-out Cascade' section requires updating to reflect current staffing and nomination of key roles and responsibilities and their contact details. Also, a system of version control should be adopted to keep a record of the latest CBCP.	As discussed, support has been commissioned from CSW Resilience and the first piece of work is a draft revised Emergency Management Plan. I will be discussing with the new support officers the idea of including CBCP within this.	

Job Name	Business Continuity	Original Action Date	30/06/2025
Risk Rating	Significant Risk	Revised Action Date	09/09/2025
Recommendation Number	5	Recommendation Status	Delayed Action Due
Summary of Weakness	Recommendation	Management Response/Action Details	Status Update Comments
Lack of awareness training / re-fresher training for key officers responsible for carrying out business continuity and disaster recovery duties, potentially undermining the recovery phase after a business interruption / emergency incident.	That all key senior managers, Council divisional lead officers, and relevant officers expected to carry out business continuity and disaster recovery duties as part of the Council's Corporate & Divisional Business Continuity Plans be provided with training on the necessity for and the importance of Business Impact Analysis [BIA], BCP, and disaster recovery to raise awareness, knowledge and understanding. Also, that adequate training records be held to keep a track of who has attended what training courses / events and when, to cater for any further retirements / turnover of key officers and any gaps in training.	A request will be made to add this to the Corporate Training Plan and training via CSWR can be arranged.	

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Job Name	Business Continuity	Original Action Date	30/06/2025
Risk Rating	Significant Risk	Revised Action Date	09/09/2025
Recommendation Number	2	Recommendation Status	Delayed Action Due
Summary of Weakness	Recommendation	Management Response/Action Details	Status Update Comments
Business continuity [BC] planning in general has lacked adequate attention at the Council in the last five years, contrary to S9.3 of the Council's Financial Regulations. Considerable retirements / turnover in senior managers in recent years means that expected roles and responsibilities in relation to BC may not be clearly understood, especially amongst the replacement officers.	That senior management: ▪ appoint or nominate an individual at management board level to be accountable for Business Continuity Management. ▪ appoint one or more individuals with responsibility for taking business continuity planning forward, including keeping the Corporate BCP up to date, cascading its importance to Divisional lead officers expected to take ownership for maintaining up to date Business Impact Analysis [BIAs] and Divisional Business Continuity Plans [BCPs]. ▪ notify all officers and staff with key roles and responsibilities assigned to them within the Corporate and Divisional BCPs, so that they aware of these plans and the expectations placed upon them in the event of an emergency or business interruption incident necessitating activation of the BCPs.	The Senior Management restructure will resolve this.	

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Job Name	Business Continuity	Original Action Date	30/06/2025
Risk Rating	Significant Risk	Revised Action Date	09/09/2025
Recommendation Number	6	Recommendation Status	Delayed Action Due
Summary of Weakness	Recommendation	Management Response/Action Details	Status Update Comments
Given that no full Divisional Business Impact Analysis has been carried out for several years, the Council are not able to demonstrate that adequate and up to date consideration has been given to identifying the priority restoration of its business-critical systems / applications.	Consideration be given to all Council divisional lead officers being instructed to carry out a full Divisional Business Impact Analysis [BIA] as a matter of priority, to re-affirm or re-evaluate business-critical functions / services / systems in priority order of restoration, with the Management Team monitoring to ensure these are completed. Ideally, the full BIA template available on the Warwickshire Resilience Forum webpage (as attached), which incorporates a risk assessment tool, should be used for this purpose. Any fresh BIA would need to be aligned with the Council's Information Services - Major Incident Procedure. A system of version control should be adopted to keep a record of the latest Divisional BIAs and they should be held centrally for ease of access should a disruptive incident occur. The 'fresh' set of Divisional BIAs should then be used to inform that the Divisional BCPs incorporate realistic: ▪ recovery time objectives (i.e. the maximum desired length of time between an unexpected failure and the resumption of normal operations) ▪ recovery point objectives (i.e. the most recent prior state to which the business needs to restore its systems / applications to recover from an interruption and resume operations, thus considering the most recent backup of systems data available) ▪ failover premises sites (for back-up data storage, server location and resumption of business-critical services / systems) ▪ staffing resource: – optimum number of staff required to carry out business-critical activities; minimum staff level to provide some sort of service; the skills / level of expertise required to undertake the critical services ▪ Technology: - what IT and communication equipment is essential to carry out business-critical services; remote / hybrid working. ▪ Information / Data: - what information / data is essential to carry out business-critical services and how this information / data is stored, retrievable and backed-up.	Once the CBCP has been updated, a work programme using the CSWR support officers can be drawn up to facilitate the update of Divisional plans.	

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Job Name	Business Continuity	Original Action Date	30/04/2025
Risk Rating	Significant Risk	Revised Action Date	09/09/2025
Recommendation Number	8	Recommendation Status	Delayed Action Due
Summary of Weakness	Recommendation	Management Response/Action Details	Status Update Comments
The Information Services - Major Incident Procedure (IS-MIP) was deemed to be considerably out of date, last reviewed and updated in December 2018 and due to the audit observations set out in s4.5.1 of this audit report. This could seriously hinder the Council's overall disaster recovery should a major business interruption incident occur without notice. It is unclear as to whether: - the tests outlined in the 'Disaster Recovery Testing Checklists' set out in Appendix I of the IS-MIP, completed during annual tests from 2009 through to November 2018, continue to be conducted annually - the backup arrangements set out in Appendix II of the IS-MIP continue to be applied in practice. Furthermore, the IS-MIP does not capture the recent transformation measures to make certain software applications more resilient.	That consideration be given to: - priority review and update of the Council's Information Services – Major Incident Procedure [IS-MIP]. The audit observations with regards to the current IS-MIP (set out in s4.5.1 above) have already been shared with the Head of Corporate Services to consider. - training being provided to all relevant Information Services [IS] staff with key roles and responsibilities assigned to them in the IS-MIP, so that they understand what is expected of them during any activation of the IS-MIP, including disaster recovery / system restoration processes. - reassigning roles and responsibilities set out in the IS-MIP to replacement officers given the level of staff turnover in Information Services since 2018 - the contact details of current IS staff being checked for accuracy and updated. - Appendix I and Appendix II of the IS-MIP being reviewed and updated to reflect current working practices and staffing. Also, the recent proactive transformation measures put in place to make certain software applications more resilient by way of their being remotely hosted via the cloud, may warrant inclusion in an updated IS-MIP.	The Information Services – Major Incident Plan [IS-MIP] is being reviewed and updated by the Head of Corporate Services as a work-in-progress.	

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Job Name	Key Financial Controls 2023/24	Original Action Date	01/09/2024
Risk Rating	Significant Risk	Revised Action Date	01/07/2026
Recommendation Number	1	Recommendation Status	Delayed Future Action
Summary of Weakness	Recommendation	Management Response/Action Details	Status Update Comments
Reconciliations had not been completed for Council Tax and NDR and the Finance Team did not have a central list or control log of the Council's Balance Sheet control accounts which should be subject to regular reconciliation.	We recommend that reconciliations between the Council's revenue system for Council Tax and NDR and the general ledger are carried out as a priority and continue to be subject to regular reconciliation going forward. To ensure these and other key accounts are subject to regular reconciliation, we recommend the Finance Team consider establishing a Reconciliation Control Log that lists all the Council's Balance Sheet control accounts. The control log should identify the frequency with which the reconciliation should be completed, those officers responsible for each reconciliations completion and review and should allow the dates to be recorded when these stages of the process have been completed along with any variance that may be highlighted, each month or quarter. A Senior Officer should be allocated the responsibility of overseeing the process to ensure that all reconciliations were completed and duly authorised and to activate the escalation process in the event of any unexplained or persistent non-completion.	Agreed (reconciliation of Civica to the Collection fund bank account). This will be done daily from 1st April 2024. The next step is: Phase 2 which would be bank to the general ledger (this will be complete when Unit 4 is linked with Civica which is part of the Unit 4 phase 2 plan. The Financial Services Manager will be responsible for delivery of this and we have estimated this being November 2024.	Whilst a historical issue it is compounded by issues with the implementation of the new Finance System. We will implement from 2026/27.

Job Name	Governance	Original Action Date	31/07/2025
Risk Rating	Significant Risk	Revised Action Date	31/07/2026
Recommendation Number	7	Recommendation Status	Delayed Future Action
Summary of Weakness	Recommendation	Management Response/Action Details	Status Update Comments
No formal governance training had been provided to the members' sitting on the Resources Board and Executive Board.	We recommend that the Council's elected members are provided with the relevant CIPFA Audit Committee guidance.	Member induction following the May 23 elections included probity & Ethics and the decision-making process so included the TOR for each Board but was not detailed. Therefore, further specific audit committee training would be useful.	Would normally provide specific training at the start of a Committee term.

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Job Name	Governance	Original Action Date	30/06/2025
Risk Rating	Significant Risk	Revised Action Date	01/04/2026
Recommendation Number	8	Recommendation Status	Delayed Future Action
Summary of Weakness	Recommendation	Management Response/Action Details	Status Update Comments
It's not clear which Board is responsible for Governance.	We recommend that the Council's constitution provides clarity on which board has overall responsibility for governance or alternatively constitute a separate Audit Committee to discharge the governance duties.	Constitution being completely reviewed.	This is incorporated into the Peer Review Action Plan, with the intention of changing the Resources Board to Audit, Governance and Resources Board. This will be done from the next Municipal Year.

Job Name	Governance	Original Action Date	30/06/2025
Risk Rating	Moderate Risk	Revised Action Date	
Recommendation Number	3	Recommendation Status	Action Due
Summary of Weakness	Recommendation	Management Response/Action Details	Status Update Comments
The latest version of the Council's constitution posted on the NWBC is out of date and contains a number of errors.	We recommend that the Council's Constitution be reviewed and updated as soon as is practicable.	A complete review of the Council's Constitution.	

Job Name	Governance	Original Action Date	31/03/2025
Risk Rating	Moderate Risk	Revised Action Date	
Recommendation Number	6	Recommendation Status	Action Due
Summary of Weakness	Recommendation	Management Response/Action Details	Status Update Comments
The Policy and Procedure concerning gifts and hospitality are out of date and not reflecting best practice.	We recommend that Policy and Procedure concerning gifts and hospitality are updated and brought in line with good practice and made publicly available.	Review and update the policy and procedures.	

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Job Name	Governance	Original Action Date	31/03/2025
Risk Rating	Moderate Risk	Revised Action Date	
Recommendation Number	15	Recommendation Status	Action Due
Summary of Weakness	Recommendation	Management Response/Action Details	Status Update Comments
NWBC's FOI guidance was out of date.	We would recommend that The FOI guidance is reviewed and updated as soon as practicable.	To be reviewed and updated.	

Job Name	Governance	Original Action Date	31/03/2025
Risk Rating	Moderate Risk	Revised Action Date	30/04/2025
Recommendation Number	9	Recommendation Status	Delayed Action Due
Summary of Weakness	Recommendation	Management Response/Action Details	Status Update Comments
The Confidential Reporting policy is not subject to regular review and revision and contains obsolete information.	We recommend that the policy is reviewed and brought in line with current structure and requirements and then subject to regular review and revision.	To be reviewed and updated.	This has been drafted and is with HR and the Unions. It was sent on 21 January 2025; I am waiting for comments.

Job Name	Governance	Original Action Date	30/06/2025
Risk Rating	Moderate Risk	Revised Action Date	01/02/2026
Recommendation Number	1	Recommendation Status	Delayed Future Action
Summary of Weakness	Recommendation	Management Response/Action Details	Status Update Comments
The Local Code of Corporate Governance was out of date.	We would recommend that the Local Code of Governance is updated and published.	The Local Code of Governance is to be updated and published.	This will be updated as part of the completion of the 2024/25 Accounts and in particular the Annual Governance Statement. This has been delayed.

Job Name	Governance	Original Action Date	30/06/2025
Risk Rating	Moderate Risk	Revised Action Date	31/03/2026
Recommendation Number	10	Recommendation Status	Delayed Future Action
Summary of Weakness	Recommendation	Management Response/Action Details	Status Update Comments
The Disciplinary Policy is not subject to regular review and revision and contains obsolete information.	We recommend that the policy is reviewed and brought in line with current structure and requirements and then subject to regular review and revision.	The policy is to be reviewed and updated.	Obsolete (ie. job titles) information will be updated by 31/10/2025 and full review by new action date.

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Job Name	Governance	Original Action Date	31/03/2025
Risk Rating	Moderate Risk	Revised Action Date	01/09/2026
Recommendation Number	11	Recommendation Status	Delayed Future Action
Summary of Weakness	Recommendation	Management Response/Action Details	Status Update Comments
The NWBC Financial Regulations were not subject to regular review and revision and contains obsolete information.	We recommend that the policy is reviewed and brought in line with current structure and requirements and then subject to regular review and revision.	Agreed this is already an audit action from the Financial Controls audit.	There was a partial update in 2021, but a full update is needed which will take the time and space to deliver. Realistically this will be in 2026/27.

Job Name	Business Continuity	Original Action Date	30/06/2025
Risk Rating	Moderate Risk	Revised Action Date	09/09/2025
Recommendation Number	3	Recommendation Status	Delayed Action Due
Summary of Weakness	Recommendation	Management Response/Action Details	Status Update Comments
The Corporate Business Continuity Plan was not held centrally in a shared facility (e.g. TRIM), so may not be readily available to officers expected to form a 'Corporate Business Continuity Management Team'. Assurances cannot be given that the Corporate Business Continuity Plan would be readily accessible to all senior management, especially those expected to form the Council's 'Corporate Business Continuity Management Team', in the event of a business interruption incident / emergency event.	Consideration be given to the Corporate Business Continuity Plan [CBCP] being held centrally in a shared facility (for example on TRIM) to ensure it is readily accessible to all senior managers, especially those expected to form the Council's 'Corporate Business Continuity Management Team, should a disruptive incident occur requiring the CBCP to be activated.	Once updated this can be done.	

Job Name	Business Continuity	Original Action Date	30/06/2025
Risk Rating	Moderate Risk	Revised Action Date	09/09/2025
Recommendation Number	4	Recommendation Status	Delayed Action Due
Summary of Weakness	Recommendation	Management Response/Action Details	Status Update Comments
Limited evidence was available to demonstrate adequate testing of the operation of the Council's Corporate Business Continuity Plan or Divisional Business Continuity Plans in the last five years.	Consideration be given to a testing plan / exercise programme involving a series of exercises and simulation tests to mimic the effects of a crisis scenario – which could involve walkthrough exercises, desktop / table-top scenarios or simulations, and the rehearsing undertaken by key officers and staff to validate the Council's Corporate Business Continuity Plan [CBCP], supported by the Divisional BCPs. Ideally, that the CBCP should incorporate an 'Incident, Training & Exercising Record' providing a timeline history of all business interruption incidents that have occurred, and tests / exercises undertaken to help validate the Council's CBCP, supported by the Divisional BCPs.	Once the Emergency Plan/CBCP has been updated, training and testing will be a key next step.	

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Job Name	Business Continuity	Original Action Date	30/06/2025
Risk Rating	Moderate Risk	Revised Action Date	09/09/2025
Recommendation Number	7	Recommendation Status	Delayed Action Due
Summary of Weakness	Recommendation	Management Response/Action Details	Status Update Comments
The current set of Divisional Business Continuity Plans [DBCP] held on TRIM were out of date since they were last reviewed some 5 to 9 years ago, whilst for certain Council Divisions, there is no evidence held of the BIAs having been carried out, prior to producing the DBCPs.	That consideration be given to review and update of all Divisional Business Continuity Plans, based on updated Divisional Business Impact Analysis [BIAs] (as per recommended no. 6 above), using the BCP template available on the Warwickshire Resilience Forum webpage (as per that attached). Each Divisional BCP supported by updated Divisional Business Impact Analysis should, as a minimum, set out the: - business-critical services / systems to be recovered, and the timescale in which they are to be prioritised for recovery - current resources available to deliver the business-critical services - process for mobilising these resources, and - detail responsibilities, actions and tasks needed to ensure the continuity and recovery of the business-critical services.	Once the CBCP has been updated, a work programme using the CSWR support officers can be drawn up to facilitate the update of Divisional plans.	

Job Name	Business Continuity	Original Action Date	30/06/2025
Risk Rating	Moderate Risk	Revised Action Date	09/09/2025
Recommendation Number	9	Recommendation Status	Delayed Action Due
Summary of Weakness	Recommendation	Management Response/Action Details	Status Update Comments
Lack of evidence to support the net risk score for risk for Strategic Risk S06 "ineffective response to an incident (or business continuity plan fails", casting doubt as to the risk being properly addressed / mitigated.	That consideration be given to revisiting the 2024/25 net risk score of 8 assigned to strategic risk assessment S06, given that reliance cannot be placed on certain of the documented existing control measures at this time, due to the lack of evidence of their operating in practice in recent years.	This can be picked up during the annual Strategic Risk Assessment [SRA] scoring.	

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Job Name	Electoral Registration & Elections	Original Action Date	31/10/2023
Risk Rating	Moderate Risk	Revised Action Date	31/07/2025
Recommendation Number	1	Recommendation Status	Delayed Action Due
Summary of Weakness	Recommendation	Management Response/Action Details	Status Update Comments
Lack of supporting documentation to evidence the Council's consideration, on a case-by-case basis, to requests for disclosure of personal / sensitive electoral registration data from third-party organisations such as the Police, HMRC or other local authorities that have a crime prevention, law enforcement or tax collection function, under the DPA 2018, exemptions, (such as a Schedule 2: Part 1, Section 2 request for the disclosure of personal information).	That consideration be given to whether, under the Data Protection Act [DPA] 2018, there is a need to implement a 'formal request form' for all 'third-party organisations seeking disclosure of personal information held by Democratic Services; (and other Council departments) to complete, for example, from the Police, HMRC or other local authorities that have a crime prevention, law enforcement or tax collection function, under the DPA 2018, exemptions, (such as a Schedule 2: Part 1, Section 2 request for the disclosure of personal information). It is understood the decision to disclose personal / sensitive data (including any personal / sensitive electoral registration data) should be considered on a case-by-case basis. Appendix A shows a 'DPA 2018 Schedule 2 Request Form', template adopted by North Lincolnshire Council, to consider as an example of best practice.	The Head of Elections has agreed to consider adopting the Data Protection Act 2018 Schedule 2 Request Form', template used by North Lincolnshire Council.	This action has not been completed to date. A number of other priorities have taken precedence in the last few months, including Police & Crime Commissioner Elections in May 2024, the snap Parliamentary Election in July 2024, Parish by-elections and Neighbourhood Planning referendum work. The Head of Elections has met with the Council's Head of Legal Services in her role as Data Protection Officer to discuss this and wider DP/electoral registration issues and failing this being implemented, he has asked the Team to forward any DPA requests to be sent to him, so he can have sight of any requests in the interim. Given that the risk relating to the outstanding agreed action is essentially a Data Protection issue, it will be picked up with the new Head of Legal Services as part of the planned 2024/25 Data Protection Audit.

Job Name	Civil Parking Enforcement (Off-Street Parking)	Original Action Date	30/11/2023
Risk Rating	Moderate Risk	Revised Action Date	30/09/2024
Recommendation Number	1	Recommendation Status	Delayed Action Due
Summary of Weakness	Recommendation	Management Response/Action Details	Status Update Comments
The Council could be left exposed to the potential loss of its external civil parking enforcement officer service and thereby being unable to effectively patrol its off-street parking facilities in the Borough. This could, in turn, result in the Council's inability to issue Penalty Charge Notices for the contravention of parking enforcement restrictions at off-street parking facilities to offending vehicles and thereby result in loss of income from Penalty Charge Notice fines.	To safeguard service provision and formalise relevant terms and conditions, consideration be given to agreeing and putting in place a formal contract / Service Level Agreement with Euro Car Parks Ltd, as soon as is practicable, which includes the following detail: a) the contract start, review and end dates of the contract / SLA; b) the standard weekly working hours of the Civil Enforcement Officer [CEO]; c) the main duties the Council can expect to be covered by the CEO; and d) who at the Council, the CEO will report to.	As per recommendation.	This has not been implemented due to the Head of Legal Services leaving his employment in January 2024, and two replacement Interim Head of Legal Services leaving their post in April and June 2024, respectively. A new permanent Head of Legal Services has been appointed and tasked with implementing the agreed action. We are waiting for a new revised action date to be supplied.

North Warwickshire Borough Council – Internal Audit Progress Report

Job Name	Commercial Properties & Industrial Units	Original Action Date	31/03/2024
Risk Rating	Moderate Risk	Revised Action Date	30/06/2025
Recommendation Number	1	Recommendation Status	Delayed Action Due
Summary of Weakness	Recommendation	Management Response/Action Details	Status Update Comments
The Council lacks a formal documented Corporate Asset Management Plan / Strategy to provide a corporate integrated framework and strategic governance regime to monitor how the Council's CP portfolio is performing and identify where improvements can be made in the most economic, effective, and efficient manner to achieve value for money within the constraints of manpower resources and budget	That consideration be given to compiling a formal documented Corporate Asset Management Plan / Strategy [CAMPS], incorporating the suggested parameters / control measures highlighted in s2.2 of the main body audit report , (with particular emphasis to a 'Property Investment Strategy' which is balanced, realistic and affordable), to provide a corporate integrated framework and strategic governance regime to monitor how the Council's CP portfolio is performing and identify where improvements can be made in the most economic, effective and efficient manner to achieve value for money within the constraints of manpower resources and budget, in an economic climate of increasing borrowing costs	Agreed – as per the audit recommendation - To be the key focus of a newly formed Corporate Asset Management Group [CAMG] to be chaired by the – Interim Corporate Director (Streetscape as the Corporate Property Officer), - membership to comprise key relevant officers across Council functions. The terms of reference for this CAMG are being drafted. The Group will compile a CAMPs for NWBC based on best practice determined from considering the CAMPs of other local authorities to incorporate best practice.	To create a Corporate Asset Management Plan for the Council's commercial property portfolio, including leisure properties, to incorporate: - A centralised spreadsheet of all the main lease terms for each property - To scan all property legal documents (including leases) and to store them electronically with suitably restricted access and back-up arrangements and consider linking these to the GIS system. - Creation of Property Management Plans for each commercial property - Cross check tenancy details information (including annual rents due £) with Legal, Facilities Management and Financial Services. Work-In-Progress - To Re-assess progress as of 31st December 2024. Awaiting outcome of the re-assessment.

Job Name	Commercial Properties & Industrial Units	Original Action Date	31/03/2024
Risk Rating	Moderate Risk	Revised Action Date	30/06/2025
Recommendation Number	2	Recommendation Status	Delayed Action Due
Summary of Weakness	Recommendation	Management Response/Action Details	Status Update Comments
Lack of up-to-date Property Management Plans for each commercial property. Therefore, the Council lacks key up to date information about each building, such as: age, location, condition of building and roof structure, assessment of their useful economic lifespans, safety risk assessment, energy efficiency, environmental performance, Equality Act compliance and net controllable expenditure.	That consideration be given to reviewing the 'Property Management Plans' for each of the Council General fund building assets to provide up to date management information about each building, such as: age, location, condition of building and roof structure, assessment of their useful economic lifespans, safety risk assessment, energy efficiency, environmental performance, Equality Act compliance and net controllable expenditure.	Agreed – as per the audit recommendation – to update 'Property Management Plans' for the General Fund commercial property portfolio – comprising mainly industrial units.	Ideally to create a Property Management Plan [PMP] for each commercial property - by prioritising each property in the worse condition and working towards the properties in better condition systematically, that can be kept up to date by the Facilities Management team working in conjunction with the Property and Legal teams, as required. - Each PMP will be stored centrally and be updated by our FM team. Work-In-Progress - To Re-assess progress as of 31st March 2025

North Warwickshire Borough Council – Internal Audit Progress Report

Job Name	Commercial Properties & Industrial Units	Original Action Date	31/03/2024
Risk Rating	Moderate Risk	Revised Action Date	30/06/2025
Recommendation Number	6	Recommendation Status	Delayed Action Due
Summary of Weakness	Recommendation	Management Response/Action Details	Status Update Comments
In recent years only very limited cyclical stock condition surveys to assess the physical condition of the external building structure and fabric / roofs of its General Fund CP portfolio have been undertaken. Thus, oversight to help determine the useful economic lifespan and planned preventative maintenance of the majority of the Council's CP portfolio is essentially lacking. This is primarily put down to disruption from the Covid-19 pandemic over recent years, as well as capacity issues as to who is ultimately responsible for this activity and how it is resourced	That ideally, consideration be given undertaking cyclical stock condition surveys of the Council's General Fund and HRA commercial property [CP] assets, ensuring that responsibility for this is clearly defined and that this important role is adequately resourced. Findings from cyclical stock condition surveys should be used to determine priorities for: - bidding for capital funding from the Capital Programme for essential planned preventative maintenance and repairs to the Council's commercial properties portfolio - assessing the useful economic lifespans of the CP buildings - informing the Council's overall Property Investment Strategy (as is referred to in s2.2 of the main body audit report above, (as part of an overall Corporate Asset Management Plan / Strategy).	Agreed – as per the audit recommendation - Cyclical Stock condition surveys of the General Fund commercial properties to be undertaken as part of a rolling programme, to give priority to the higher value properties first and then cascade down to the lower value properties. The surveys will be used to inform the Council's Capital Programme and Property Investment Strategy. The Director of Housing has agreed to stock condition surveys to be undertaken in 2023 for the HRA shops.	Cyclical Stock condition surveys of the General Fund commercial properties - "a more detailed understanding of a properties repair condition is required, to inform the decision on how to proceed. In this instance, it may be necessary to instruct a condition survey of a property: - It is proposed that for each property that the Council has repair concerns about, it be, in the first instance, inspected by our Facilities Management team to identify areas of concern. - If it is clear, a letter identifying the works required to remedy the repairing breach be sent to the tenant. Then to be followed up by actions required to see the breach remedied. - If, however, after initial inspection, condition surveys are required to inform the remedial action, it will be ordered. - The intention is to systematically work through the commercial property portfolio, prioritising the worse cases and working towards the better cases last until all properties have been assessed." Work-In-Progress - To Re-assess progress as of 31st December 2024. Awaiting outcome of the re-assessment.

North Warwickshire Borough Council – Internal Audit Progress Report

Job Name	Commercial Properties & Industrial Units	Original Action Date	31/03/2024
Risk Rating	Moderate Risk	Revised Action Date	30/06/2025
Recommendation Number	7	Recommendation Status	Delayed Action Due
Summary of Weakness	Recommendation	Management Response/Action Details	Status Update Comments
Potential for uncertainty and confusion as to legal responsibilities for important aspects of Health & Safety at the Council's leasehold commercial property buildings i.e., which aspects rest with the Council as the landlord, and which aspects rests with the leaseholder (tenant).	That consideration be given to discussion between the Facilities Manager, Head of Legal Services and the Council's Management Team with regards to determining legal responsibilities for important aspects of Health & Safety at the Council's leasehold commercial property buildings and for communicating to all leaseholders / tenants, those aspects which the Council (as the landlord and knowledgeable owner') is legally responsible for and those which the leaseholders / tenants of the CPs are responsible for themselves. Also refer to s2.8 of the main body audit report.	Agreed – First stage is for the Corporate Asset Management Group to review the lease templates to ensure that going forward they are 'fit for purpose' for all lease renewals and new leases. Furthermore, consideration will be given to providing written clarity to current leaseholders with regards to responsibility for health & safety matters, i.e. which aspects the Council (as the landlord) is responsible for and which aspects the leaseholders are responsible for themselves.	Legal responsibilities for important aspects of Health & Safety at the Council's leasehold commercial property buildings - "Initial considerations suggest that the Council is mainly acting in line with their statutory obligations in this regard. - However, this information is not currently summarised centrally, nor stored centrally. Our intention is to summarise and store centrally this information. Work-In-Progress- To Re-assess progress as of 31st December 2024. Awaiting outcome of the re-assessment.

Job Name	Emergency Planning	Original Action Date	30/09/2024
Risk Rating	Moderate Risk	Revised Action Date	31/05/2025
Recommendation Number	9	Recommendation Status	Delayed Action Due
Summary of Weakness	Recommendation	Management Response/Action Details	Status Update Comments
In recent years, there is no evidence of a staged practice scenario requiring the setting-up, exercising and rehearsal of an ECC facility at the Council to test its suitability, preparedness and robustness, either in isolation, or as part of any WLRP or multi-agency led exercise / test. To all intents and purposes, this may not have happened due to disruption from the Covid-19 pandemic.	To consider taking expert advice from the CSWRT JEPO on staging a rehearsal, to test and validate the Council's Major Emergency Plan provision and procedures for setting-up an Emergency Control Centre, as a category 1 responder whereby a level 2 emergency response may need to be activated. Ideally, tests / rehearsal should include the specific parameters outlined in s2.9 of this main body audit report.	As per the audit recommendation.	Action delayed due to the prolonged sickness absence of the external advisor from advisor from the CSWRT JEPO.

North Warwickshire Borough Council – Internal Audit Progress Report

Job Name	Emergency Planning	Original Action Date	30/06/2024
Risk Rating	Moderate Risk	Revised Action Date	31/05/2025
Recommendation Number	13	Recommendation Status	Delayed Action Due
Summary of Weakness	Recommendation	Management Response/Action Details	Status Update Comments
The Council last attained Cyber Essentials [CE] Plus certified accreditation (assessment against the CE Scheme Test Specification) from NTA Monitor Ltd, on 6th June 2019 (Certificate No. 3059751026212848). The assessment was incorporated into the Council's Public Service Network [PSN] CoCo health check. However, mainly due to Covid-19 disruption, it is understood from the former Head of Corporate Services and Technical Support Manager, that the Cyber Essentials Plus accreditation attained in June 2019 is now well out of date.	That consideration be given, as a matter of priority, to seeking an up-to-date independent assessment of the Council's cyber security protection measures, via striving for attainment of the Cyber Essentials Plus accreditation (a government-backed scheme).	We have resumed our annual 'pen test', which is a simulated cyber-attack against our systems to check for exploitable vulnerabilities. There are a number of actions for the small Technical Support Team to complete. Note that it's impossible to achieve Cyber Essentials Plus with any on premises systems and applications that are beyond their end of life.	Implementation of agreed action yet to be confirmed, albeit noting that it's impossible to achieve Cyber Essentials Plus with any on premises systems and applications that are beyond their end of life.

North Warwickshire Borough Council – Internal Audit Progress Report

Job Name	Emergency Planning	Original Action Date	30/06/2024
Risk Rating	Moderate Risk	Revised Action Date	31/05/2025
Recommendation Number	10	Recommendation Status	Delayed Action Due
Summary of Weakness	Recommendation	Management Response/Action Details	Status Update Comments
The Council Cyber Security Plan is incorporated within the 'Information Services Major Incident Procedure [ISMIP] - Issue 19' – last reviewed by the former Head of Corporate Services on 15/09/22. A specific section on CS was added to version 16 (pages 32-24) of the ISMIP on 10/03/17, which outlines "proposals of actions to be taken to both reduce the likelihood of a cyber-attack being effective and the process that would take place if an attack was discovered". In compiling this, it is understood from the TSM that the Council did <u>not</u> specifically seek the assistance of the WLRF and/or other specialist / accredited bodies in the field of cyber security (e.g. the Information Commissioners Office, the National Cyber Security Centre, the National Crime Agency's – National Cyber Crime Unit, the West Midlands Warning Advice & Reporting Point [WARP] etc), although the Council does liaise with these organisations	That consideration be given to review and update of the Council's section on 'cyber security' incorporated within its Information Services Major Incident Procedure, seeking the latest best practice guidance from the Warwickshire Local Resilience Forum and/or other specialist / accredited bodies in the field of cyber security (e.g. the Information Commissioners Office, the National Cyber Security Centre, the National Crime Agency's – National Cyber Crime Unit, the West Midlands Warning Advice & Reporting Point [WARP] etc), as a means to acquire more up to date technical expertise / organisational measures / solutions / guidance / toolkits that may strengthen the Council's preparedness for potential cyber security threats / attacks . That consideration also be given to using Brent Council's Cyber Security Strategy as good practice guide to assist in review and update of NWBC's Information Services 'Major Incident Procedure' [ISMIP] section with regards to cyber security. Alternatively, consideration be given to possibly compiling a separate more comprehensive standalone Cyber Security Strategy for NWBC, to complement its ISMIP along the lines of Brent Council, given the scaling up of digital systems across the public sector and ever evolving cyber security threats and vulnerabilities, nationally. In any review / update of the Council's Information Services Major Incident Procedure [ISMIP], that consideration be given to incorporating best practice as is outlined in: - the 'Government Cyber Security Strategy – Building a Cyber Resilient Public Sector 2022 to 2030 - (refer to Appendix B). - the National Cyber Security Centre's [NCSC] dedicated webpage guide for the public sector, conceived to help protect public sector bodies protect their networks, data and services. https://www.ncsc.gov.uk/section/information-for/public-sector	Agreed, as per the audit recommendation. Need to look into more before committing to a Cyber Security Strategy, but agree ISMIP needs updating.	Implementation of agreed action yet to be confirmed

North Warwickshire Borough Council – Internal Audit Progress Report

Job Name	Counter Fraud	Original Action Date	30/09/2025
Risk Rating	Moderate Risk	Revised Action Date	01/04/2026
Recommendation Number	1	Recommendation Status	Delayed Future Action
Summary of Weakness	Recommendation	Management Response/Action Details	Status Update Comments
The Anti-Fraud Bribery and Corruption Policy was not subject to regular review and revision and contains obsolete information.	We recommend that the policy is reviewed and brought in line with current structure and requirements and then subject to regular review and revision.	The Policy will be reviewed and an annual review process implemented.	Not complete so rescheduled with a realistic timescale, which will also cover 2026/27 refresh.

Job Name	Counter Fraud	Original Action Date	30/09/2025
Risk Rating	Moderate Risk	Revised Action Date	01/04/2026
Recommendation Number	2	Recommendation Status	Delayed Future Action
Summary of Weakness	Recommendation	Management Response/Action Details	Status Update Comments
The Council has no defined Anti-Fraud Bribery and Corruption Strategy.	We recommend that an Anti-Fraud Bribery and Corruption Strategy is created in line with the Council's corporate direction.	A Strategy will be prepared and an annual review process implemented.	Not complete so rescheduled with a realistic timescale, which will also cover 2026/27 refresh.

Job Name	Counter Fraud	Original Action Date	30/09/2025
Risk Rating	Moderate Risk	Revised Action Date	01/04/2026
Recommendation Number	3	Recommendation Status	Delayed Future Action
Summary of Weakness	Recommendation	Management Response/Action Details	Status Update Comments
The Anti-Money Laundering Policy was not subject to regular review and revision and contains obsolete information.	We recommend that the policy is reviewed and brought in line with current structure and requirements and then subject to regular review and revision.	The Policy will be reviewed, and an annual review process implemented.	Not complete so rescheduled with a realistic timescale, which will also cover 2026/27 refresh.

Job Name	Counter Fraud	Original Action Date	30/09/2025
Risk Rating	Moderate Risk	Revised Action Date	01/12/2025
Recommendation Number	4	Recommendation Status	Delayed Future Action
Summary of Weakness	Recommendation	Management Response/Action Details	Status Update Comments
Fraud risks were not adequately recorded.	We would recommend that fraud risk is considered on a strategic level and recorded on the Strategic Risk Register.	This has already been discussed with RSM and will form part of the new SRR.	Whilst the overarching risk is incorporated in the Risk Register the mitigations need strengthening as part of the Risk Register refresh.

North Warwickshire Borough Council – Internal Audit Progress Report

Job Name	Counter Fraud	Original Action Date	30/09/2025
Risk Rating	Moderate Risk	Revised Action Date	01/12/2025
Recommendation Number	5	Recommendation Status	Delayed Future Action
Summary of Weakness	Recommendation	Management Response/Action Details	Status Update Comments
Without proper fraud risk management, the likelihood and impact of fraud incidents increases.	We recommend that a Counter Fraud Work Strategy is put in place.	This will be discussed with Derby City with a view to adopting their approach.	The refresh of the Risk Register will highlight fraud risk management and link back to the relevant policies and strategies.

Job Name	Counter Fraud	Original Action Date	30/09/2025
Risk Rating	Moderate Risk	Revised Action Date	01/03/2026
Recommendation Number	7	Recommendation Status	Delayed Future Action
Summary of Weakness	Recommendation	Management Response/Action Details	Status Update Comments
No substantive training provided in recent years to officers and members.	We recommend that a mandatory system of regular periodic training is introduced.	This will be reviewed with DCC with a view to adopting the same approach.	Training will be scheduled once all of the policies and procedures have been brought up to date.

Job Name	Risk Management	Original Action Date	30/09/2025
Risk Rating	Moderate Risk	Revised Action Date	01/04/2026
Recommendation Number	16	Recommendation Status	Delayed Future Action
Summary of Weakness	Recommendation	Management Response/Action Details	Status Update Comments
No risk management training had been provided to staff.	We recommend that the Council's staff are provided with a basic risk management awareness course.	This will be provided by RSM as part of their risk management support.	As can be seen the main focus has been on producing and approving key documents, which are now in place. Training will be scheduled after the first refresh of the Risk Register i.e. early 2026.

Job Name	Corporate Health & Safety	Original Action Date	30/09/2025
Risk Rating	Moderate Risk	Revised Action Date	31/03/2026
Recommendation Number	3	Recommendation Status	Delayed Future Action
Summary of Weakness	Recommendation	Management Response/Action Details	Status Update Comments
Insufficient centralised records of training for Health & Safety.	We recommend that training records are reviewed and revised to monitor attendance / non-attendance as well as being able to alert those due to take a refresher course	Training records should be maintained centrally as part of the mandatory training process. Review of uptake should be included as part of the Appraisal process.	This has been delayed.

North Warwickshire Borough Council – Internal Audit Progress Report

Job Name	Health & Safety - Waste & Transport Audit	Original Action Date	30/06/2024
Risk Rating	Moderate Risk	Revised Action Date	31/03/2026
Recommendation Number	8	Recommendation Status	Delayed Future Action
Summary of Weakness	Recommendation	Management Response/Action Details	Status Update Comments
The Assistant Manager – Transport currently uses a yearly paper wallchart, held in the Council's Vehicle Workshop (Garage) to keep a schedule of six weekly periodic planned safety inspection for the Waste Services HGV / LGV vehicles. This is not a secure method of storing information as there is a risk that the paper wall-planner could be easily damaged/destroyed, and all the information lost.	To consider introducing an electronic spreadsheet to record the schedule for planned preventative maintenance / periodic safety inspections of the Council's Waste Services - HGVs / LGVs and other fleet vehicles to complement or replace the manual wall-planner currently used by the Assistant Manager Transport in the Vehicle Workshop. The spreadsheet could then be saved either onto TRIM, or other 'electronic document storage and retrieval system', introduced through the assistance of the [Head of Corporate Services. In this way, it will be possible to maintain a permanent management / audit trail of scheduled planned periodic safety inspections of the Waste Services vehicles, including a field on the spreadsheet to record: - the date each vehicle has been safety inspected / serviced, - notes of any Vehicle Workshop observations about any vehicle / safety-critical equipment faults identified and remedial action taken to resolve these. This should serve to electronically preserve the vehicle maintenance record-keeping of Waste Services vehicles, necessary to ensure compliance with Operator 'O' Licence requirements and also DVSA requirements. Ideally, the 'electronic document storage and retrieval system' should also be linked to the Council's routine systems back-up arrangements / servers to help protect against human error, hardware failure, virus attacks and power failure and to preserve the permanent management / audit trail of such records. (The advice of the Head of Corporate Services should be sought in this regard).	As per the audit recommendation. The new Interim Head of Streetscape will aim to replace the manual wall-planner currently used by the Assistant Manager Transport in the Vehicle Workshop with an electronic spreadsheet, if it transpires that introducing a 'Transport Compliance – Vehicle Management System' is not feasible. The advice of the Head of Corporate Services as to adequate back-up arrangements for any electronic system / solution introduced will be sought as part of any implementation.	There was insufficient resources available to scan fleet vehicle maintenance documents. So, a request was put forward as part of the Streetscape Services Plan 2024/25 for a new Transport System' with an incorporated fleet vehicle 'maintenance module'. Implementation was subject to funding for a new Transport system being made available. UPDATE AS AT 9/01/25: The Interim Head of Streetscape [IHofS] has informed Internal Audit that the timeframe for a 'new Transport System' with an incorporated vehicle maintenance module, has had to be pushed back to 2025/26, as part of Streetscape Service Plan for 2025/26, working in conjunction with the Council's Transformation Team. Thus, any introduction of a new Transport system is likely to be implemented towards the end of 2025/26. In the meantime, the IHofS provided verbal assurances that he has implemented a compensatory control with the Vehicle Workshop, so that there is an 'electronic' management/audit trail of vehicle servicing /inspections. UPDATE AS AT 3/7/25: The replacement of the Transport System is included in the 25/26 Streetscape Business Plan.

Low Risk Recommendations Over 12 Months Past Their Original Action Date

There are currently 13 low risk recommendations that are overdue for implementation. At the time of writing this report, no low risk recommendation/actions were more than 12 months past their original action date.

Agenda Item No 9

Resources Board

20 October 2025

**Report of the Interim Corporate Director
of Resources (Section 151 Officer)**

**North Warwickshire BC – CMAP
Internal Audit Charter Report**

1 Summary

- 1.1 The purpose of this report is to present the CMAP Internal Audit Charter Report.

Recommendation to the Board

That the Internal Audit Charter Report (Appendix A) is noted.

2 Background

- 2.1 In July 2023 the Section 151 Officer presented a report to members of the Staff Sub Committee with options for providing the Internal Audit function for this Council as it has been operating below capacity for some time. Members approved a six-month trial with CMAP providing an audit service to supplement the in-house audit function.
- 2.2 The pilot commenced at the end of October 2023 and continued during 2024/25. The arrangement was reviewed, and findings reported to members in November 2024 with a recommendation due to the success of the pilot to request to join CMAP as a partner from 1 April 2025. This was accepted and North Warwickshire BC will join as a partner with a place on the officer and member boards.

3 Report

- 3.1 The Global Internal Audit Charter Report is set out at Appendix A and will be presented by CMAP at the meeting.

4 Report Implications

4.1 Finance and Value for Money Implications

- 4.1.1 There are no direct financial implications arising from this report.

4.2 Legal, Data Protection and Human Rights Implications

4.2.1 There are no direct legal implications arising from this report.

The Contact Officer for this report is Paul Sutton (719374).

Background Paper No	Author	Nature of Background Paper	Date
N/A			

North Warwickshire Borough Council – CMAP Internal Audit Charter

Resources Board: 20th October 2025



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Internal Audit Charter

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Our Vision

To bring about improvements in the control, governance and risk management arrangements of our Partners by providing cost effective, high quality internal audit services.

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Introduction

Purpose of Report

This report is presented to the Resources Board to inform Members of the requirement to update the Council's Internal Audit Charter in response to the recently issued Global Internal Audit Standards, published by the Institute of Internal Auditors (IIA).

The purpose of this report is to outline the key change necessitating revision (specifically, the introduction of a formal Mandate) and to seek the Committee's endorsement of the updated Internal Audit Charter to ensure continued alignment with professional standards and good practice.

Recommendation

That the Resources Board notes the changes introduced by the Global Internal Audit Standards and approves the revised Internal Audit Charter, including the inclusion of a clearly defined Mandate, as required by the new Standards.

Background

The Global Internal Audit Standards, which took effect from 1st April 2025, represent a significant evolution in the professional framework for internal auditing. They supersede the International Professional Practices Framework (IPPF) and the UK's Public Sector Internal Audit Standards and are now the authoritative global benchmark for the internal audit profession. One of the core structural changes is the explicit requirement for internal audit functions to operate under a formal Mandate, which defines the authority, purpose, and responsibility of internal audit within the organisation.

To maintain compliance with these standards, and to demonstrate the Council's ongoing commitment to effective governance and robust internal control, it is necessary to update the Internal Audit Charter accordingly. The revised Charter has been drafted to incorporate this requirement and is appended to this report for the Committee's review and approval.

This revised Charter has already been submitted to the Partnership's Operational Group for review and approval on 4th June 2025.

Internal Audit Charter

Purpose & Mission

The purpose of North Warwickshire Borough Council's internal audit service is to provide independent, objective assurance and consulting services designed to add value and improve the Council's operations. The mission of internal audit is to enhance and protect organisational value by providing risk-based and objective assurance, advice, and insight. The internal audit service helps the Council accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of governance, risk management, and control processes.

Role of Internal Audit

The role of the Internal Audit Service includes:

- Supporting the delivery of the Council's strategic objectives by providing risk-based and objective assurance on the adequacy and effectiveness of governance, risk management and internal controls.
- Championing good practice in governance through assurance, advice and contributing to the Council's annual governance review.
- Advising on governance, risk management and internal control arrangements for major projects, programmes and system changes.
- Governance oversight of the Council's collaborative and arm's-length arrangements.

The management of North Warwickshire Borough Council's Internal Audit Service is provided by the Central Midlands Audit Partnership (CMAP). Derby City Council acts as the host authority for CMAP.

CMAP's Internal Audit Service is most effective when:

- a) Internal auditing is performed by competent professionals in conformance with Internal Audit Standards, which are set in the public interest.
- b) The Internal Audit Service is independently positioned with direct accountability to the Council's Leadership Team and its Resources Board.
- c) Internal auditors are free from undue influence and committed to making objective assessments.

Commitment to Adhering to the Global Internal Audit Standards in the UK Public Sector

CMAP will adhere to the mandatory elements of The Institute of Internal Auditors' International Professional Practices Framework, which are the Global Internal Audit Standards. This will take into account:

- a) the CIPFA Application Note, which provides a framework for the practice of internal audit in the UK public sector when taken together with the Global Internal Audit Standards;

CMAP Internal Audit Charter

and

- b) the CIPFA Code of Practice for the Governance of Internal Audit in UK Local Government, which complements the Global Internal Audit Standards from the perspective of the “Head of Internal Audit”. Overall, this means that the Internal Audit Service will adhere to the “Global Internal Audit Standards in the UK Public Sector”.

The Chief Audit Executive will report periodically to Leadership Team and the Resources Board regarding CMAP's conformance with the Standards, Application Note, and CIPFA Code, which will be assessed through a quality assurance and improvement programme.

Authority – Internal Audit Mandate

The mandate for CMAP's provision of the internal audit service is found in two pieces of legislation:

[Section 151 of the Local Government Act 1972](#)

Requires that authorities ‘make arrangements for the proper administration of their financial affairs and shall secure that one of their officers has responsibility for the administration of those affairs’.

The Council's Constitution (Part 4 – Financial Regulations) states that [Reg. 1] ‘The Deputy Chief Executive has statutory duties in relation to the financial administration and stewardship of the Authority. This statutory responsibility cannot be over-ridden. The statutory duties arise from:

- Section 151 of the Local Government Act 1972
- The Local Government Finance Act 1988
- The Local Government and Housing Act 1989
- The Accounts and Audit Regulations 1996

In his/her absence, the Assistant Director (Finance and Human Resources) is the named officer who will carry out the duties required under Section 114 (2) and (3) of the Local Government Finance Act 1988 and S 151 of the Local Government Act 1972.’

The Financial Regulations further stipulate that [Reg. 3(3.1)] ‘The Deputy Chief Executive will provide an independent, continuous, adequate and effective internal audit of accounting, financial and other operations of the Council, in accordance with the CIPFA Code of Practice for Internal Audit in Local Government’.

[The Accounts and Audit Regulations 2015](#)

Part 2: Internal Control, Section 5: Internal Audit requires that a relevant authority must undertake an effective internal audit to evaluate the effectiveness of its risk management, control and governance processes, taking into account public sector internal auditing standards or guidance.

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Any officer or member of a relevant body must, if required to do so for the purposes of internal audit –

- a) make available such documents and records; and
- b) supply such information and explanation.

as are considered necessary by those conducting the internal audit.

In this regulation “documents and records” includes information recorded in an electronic form.

The Internal Audit Service's authority is created by its direct reporting relationship to the Leadership Team and the Resources Board. Such authority allows for unrestricted access.

The Leadership Team and Resources Board authorises the Internal Audit Service to:

- a) Have full and unrestricted access to all functions, data, records, information, physical property, and personnel that it considers necessary to fulfil its responsibilities. Internal auditors are accountable for confidentiality and safeguarding records and information.
- b) Allocate resources, set frequencies, select subjects, determine scopes of work, apply techniques, and issue communications to accomplish the function's objectives.
- c) Obtain assistance from specialised services from within or outside North Warwickshire Borough Council to complete internal audit services.

Internal Audit will be appropriately staffed in terms of numbers, qualification levels and experience. The Chief Audit Executive will report on the adequacy of resources to the Council's s151 Officer and to the Resources Board.

Independence, Organisational Position, and Reporting Relationships

The Chief Audit Executive will ensure that the internal audit service remains free from all conditions that threaten the ability of internal auditors to carry out their responsibilities in an unbiased manner, including matters of audit selection, scope, procedures, frequency, timing, and report content. If the Chief Audit Executive determines that independence or objectivity may be impaired in fact or appearance, the details of impairment will be disclosed to appropriate parties.

The Resources Board authorises the internal audit service to:

- Have full, free, and unrestricted access to all functions, records, property, and personnel pertinent to carrying out any engagement, subject to accountability for confidentiality and safeguarding of records and information.
- Allocate resources, set frequencies, select subjects, determine scopes of work, apply techniques required to accomplish audit objectives, and issue reports.
- Obtain assistance from the necessary personnel of the Council, as well as other specialised services from within or outside the Council, in order to complete the engagement.

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Independence & Objectivity

Internal auditors will maintain an unbiased mental attitude that allows them to perform engagements objectively and in such a manner that they believe in their work product, that no quality compromises are made, and that they do not subordinate their judgment on audit matters to others.

Internal auditors will have no direct operational responsibility or authority over any of the activities audited. Accordingly, internal auditors will not implement internal controls, develop procedures, install systems, prepare records, or engage in any other activity that may impair their judgment, including:

- Assessing specific operations for which they had responsibility within the previous year.
- Performing any operational duties for the organisation or its affiliates.
- Initiating or approving transactions external to the internal audit service.
- Directing the activities of any organisation employee not employed by the internal audit service, except to the extent that such employees have been appropriately assigned to auditing teams or to otherwise assist internal auditors.

Where the Chief Audit Executive has or is expected to have roles and/or responsibilities that fall outside of internal auditing, safeguards will be established to limit impairments to independence or objectivity.

Internal auditors will:

- Disclose any impairment of independence or objectivity, in fact or appearance, to appropriate parties.
- Exhibit professional objectivity in gathering, evaluating, and communicating information about the activity or process being examined.
- Make balanced assessments of all available and relevant facts and circumstances.
- Take necessary precautions to avoid being unduly influenced by their own interests or by others in forming judgments.

The Chief Audit Executive will confirm to the Resources Board, at least annually, the organisational independence of the internal audit service.

The Chief Audit Executive will disclose to the Resources Board any interference and related implications in determining the scope of internal auditing, performing work, and/or communicating results.

Organisational Position and Reporting Relationships

The Chief Audit Executive will report functionally to the Resources Board and administratively (i.e., day-to-day operations) to the Council's s151 Officer.

In order to establish, maintain, and assure that the Council's internal audit service has sufficient authority to fulfil its duties, the Resources Board will:

- Approve the internal audit service's charter and mandate.
- Approve the risk-based internal audit plan.

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- Receive communications from the Chief Audit Executive on the internal audit service's performance relative to its plan and other matters.
- Make appropriate inquiries of management and the Chief Audit Executive to determine whether there is inappropriate scope or resource limitations.
- The Chief Audit Executive will have unrestricted access to, and communicate and interact directly with, the Resources Board, including in private meetings without management present.

The Chief Audit Executive will report periodically to senior management and the Resources Board regarding:

- The internal audit service's purpose, authority, and responsibility.
- The internal audit service's plan and performance relative to its plan.
- The internal audit service's conformance with The Institute of Internal Auditors' (IIA) Code of Ethics and Standards, and action plans to address any significant conformance issues.
- Significant risk exposures and control issues, including fraud risks, governance issues, and other matters requiring the attention of, or requested by, the Resources Board.
- Results of audit engagements or other activities.
- Resource requirements.
- Any response to risk by management that may be unacceptable to the organisation.

Scope of Internal Audit Activities

The scope of internal audit activities encompasses, but is not limited to, objective examinations of evidence for the purpose of providing independent assessments to the Resources Board, management, and outside parties on the adequacy and effectiveness of governance, risk management, and control processes at the Council. Internal audit assessments include evaluating whether:

- Risks relating to the achievement of the Council's strategic objectives are appropriately identified and managed.
- The actions of the Council's employees and contractors are in compliance with its policies, procedures, and applicable laws, regulations, and governance standards.
- The results of operations or programs are consistent with established goals and objectives.
- Operations or programs are being carried out effectively and efficiently.
- Established processes and systems enable compliance with the policies, procedures, laws, and regulations that could significantly impact the organisation.
- Information and the means used to identify, measure, analyse, classify, and report such information are reliable and have integrity.

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- Resources and assets are acquired economically, used efficiently, and protected adequately.

The Chief Audit Executive coordinates activities, where possible, and considers relying upon the work of other internal and external assurance and consulting service providers as needed. The internal audit service may perform advisory and related client service activities, the nature and scope of which will be agreed with the client, provided the internal audit service does not assume management responsibility.

Opportunities for improving the efficiency of governance, risk management, and control processes may be identified during engagements. These opportunities will be communicated to the appropriate level of management.

Responsibility of Chief Audit Executive

The Chief Audit Executive has the responsibility to:

- Submit to the Resources Board, a risk-based internal audit plan for review and approval.
- Communicate to senior management and the Resources Board the impact of resource limitations on the internal audit plan.
- Review and adjust the internal audit plan, as necessary, in response to changes in the organisation's business, risks, operations, programmes, systems, and controls.
- Communicate to senior management and the Resources Board any significant interim changes to the internal audit plan.
- Ensure each engagement of the internal audit plan is executed, including the establishment of objectives and scope, the assignment of appropriate and adequately supervised resources, the documentation of work programs and testing results, and the communication of engagement results with applicable conclusions and recommendations to appropriate parties.
- Follow up on engagement findings and corrective actions, and report periodically to senior management and the Resources Board any corrective actions not effectively implemented.
- Ensure the principles of integrity, objectivity, confidentiality, and competency are applied and upheld.
- Ensure the internal audit service collectively possesses or obtains the knowledge, skills, and other competencies needed to meet the requirements of the internal audit charter.
- Ensure trends and emerging issues that could impact the organisation are considered and communicated to senior management and the Resources Board as appropriate.
- Ensure emerging trends and successful practices in internal auditing are considered.
- Establish and ensure adherence to policies and procedures designed to guide the internal audit service.

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- Ensure adherence to the organisation's relevant policies and procedures, unless such policies and procedures conflict with the internal audit charter. Any such conflicts will be resolved or otherwise communicated to senior management and the Resources Board.
- Ensure conformance of the internal audit service with the Standards, with the following qualifications:
 - If the internal audit service is prohibited by law or regulation from conformance with certain parts of the Standards, the Chief Audit Executive will ensure appropriate disclosures and will ensure conformance with all other parts of the Standards.
 - When the Standards are used in conjunction with requirements issued by the Chartered Institute of Public Finance and Accountancy (CIPFA), the Chief Audit Executive will ensure that the internal audit service conforms with the Standards, even if the internal audit service also conforms with the additional requirements of CIPFA.

Quality Assurance & Improvement Programme (QAIP)

The internal audit service will maintain a quality assurance and improvement programme that covers all aspects of the internal audit service. The program will include an evaluation of the internal audit service's conformance with the Standards and an evaluation of whether internal auditors apply The IIA's Code of Ethics. The program will also assess the efficiency and effectiveness of the internal audit service and identify opportunities for improvement.

The Chief Audit Executive will communicate to senior management and the Resources Board on the internal audit service's quality assurance and improvement programme, including results of internal assessments (both on-going and periodic) and external assessments conducted at least once every five years by a qualified, independent assessor or assessment team from outside the organisation.



Central Midlands
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