

Audit & Risk Committee

Agenda Item 9 – Appendix 1

DRAFT 5-year plan – to be finalised ahead of March 2021 Audit & Risk Committee meeting

Document	Last Review	21/22	22/23	23/24	24/25	25/26
Governance						
Whistleblowing	17/18		X			
Complaints	18/19			X		
Data Protection	18/19		X			X
Freedom of Information and Environmental Information	17/18	X			X	
Digital preservation	Planned for development					
Unacceptable Behaviour	14/15	X				
Records Management Plan	17/18		X			
Staff Register of Interests	16/17	X				
Fraud, Bribery and Corruption	17/18	X			X	
Estates						
Room Hire & Booking	17/18		X			
Driving and Vehicle	20/21			X		
Electrical Compliance	19/20				X	
Business Continuity Plan	19/20	X	X	X	X	X
Control of Legionella	18/19			X		
ICT						
Information Security	20/21			X		
ICT	19/20				X	
Cyber incident response plan	Planned for development					
Finance & Performance						
Delegated Authority	19/20				X	
Accounting for Property, Plant and Equipment and Intangible Assets	18/19			X		
Asset Management (NEED UNDER REVIEW)	11/12					
Management Statement & Financial Memorandum	20/21 (tbc)					X
Procurement	18/19	X			X	
Internal Audit Charter	2018/19			X		
Health & Safety						
Accident and Near-Miss Reporting	20/21			X		
Control of Arm Vibration Syndrome	20/21			X		
Control of Noise at Work	20/21			X		
Control of Substance Hazardous to Health	20/21			X		
Display Screen Equipment (DSE)	20/21			X		
First-Aid	20/21			X		
Health and Safety	20/21	X	X	X	X	X

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Infection at Work	19/20		X			X
Smoking	19/20		X			
Personal Protective Equipment	20/21			X		
Risk Assessment	20/21 (tbc)			X		
Working at Height	19/20		X			
Young Persons	20/21			X		
Adverse Weather & Travel Disruption	19/20		X			
HR						
Alcohol, Drug and Substance Misuse	20/21					X
Code of Conduct for Employees	19/20				X	
Dignity at Work	19/20				X	
Equal Opportunities	19/20				X	
Flexitime	19/20				X	
Job Evaluation	17/18		X			
Learning and Development	17/18		X			
Leave	19/20				X	
My Performance Review	20/21					X
Recruitment and Selection	20/21					X
Organisational Change Procedure	18/19			X		
Retirement	17/18		X			
Shared Parental Leave	19/20				X	
Understanding and Managing Stress	18/19	X			X	
Work/Life Balance	19/20				X	
Communications						
Social Media	18/19	X			X	
Sponsorship	18/19					
Planning						
Internal Advice	20/21 (tbc)					X
Visitor Operations						
Fixed Penalty Notice	20/21 (tbc)				X	
Visitor Management Engagement & Enforcement	20/21 (tbc)				X	
Protecting Vulnerable Groups	18/19	X			X	
Volunteer	18/19			X		
Total		10	13	19	20	9

Risk ratings:

High risk – 1 year review

Medium risk – 3 year review

Low risk – 5 year review