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TO THE CHAIRMAN AND MEMBERS OF THE STANDARDS AND AUDIT COMMITTEE

You are hereby summoned to attend a meeting of the Standards and Audit Committee to be held on Thursday, 23 July 2020 at 7.00 pm. The meeting will be held virtually and webcast live through the Council's website in accordance with the Coronavirus Act 2020 and The Local Authorities and Police and Crime Panels (Coronavirus) (Flexibility of Local Authority and Police and Crime Panel Meetings) (England and Wales) Regulations 2020 (S.I.2020 No. 392).

The agenda for the meeting is set out below.

RAY MORGAN
Chief Executive

NOTE: Filming Council Meetings

Please note the meeting will be filmed and will be broadcast live and subsequently as an archive on the Council's website (www.woking.gov.uk). The images and sound recording will also be used for training purposes within the Council. By joining the meeting remotely you are consenting to being filmed.

AGENDA

PART I - PRESS AND PUBLIC PRESENT

1. Minutes

To approve the minutes of the meeting of the Standards and Audit Committee held on 5 March 2020 as published.

2. Apologies for Absence

To receive any apologies for absence.

3. Declarations of Interest (Pages 5 - 6)

To receive declarations of interest from Members and Officers in respect of any item to be considered at the meeting.

In accordance with the Officer Employment Procedure Rules, the Director of Legal and Democratic Services, Peter Bryant, declares a disclosable personal interest (non-pecuniary) interest in any items concerning the companies of which he is a Council-appointed director. The companies are listed in the attached schedule. The interests are such that Mr Bryant may advise the Committee on those items.

In accordance with the Officer Employment Procedure Rules, the Director of Finance, Leigh

Clarke, declares a disclosable personal interest (non-pecuniary) interest in any items concerning the companies of which she is a Council-appointed director. The companies are listed in the attached schedule. The interests are such that Mrs Clarke may advise the Committee on those items.

4. Urgent Business

To consider any business that the Chairman rules may be dealt with under Section 100B(4) of the Local Government Act 1972.

Matters for Determination

5. Update on External Audit 2018/19

Reporting Persons – Leigh Clarke / BDO

6. Annual Governance Statement 2019/20 STA20-006 (Pages 7 - 44)

Reporting Person – Leigh Clarke

7. Internal Audit Annual Report STA20-009 (Pages 45 - 50)

Reporting Persons – Graeme Clarke and Juan Fosco, Internal Audit

8. Health and Safety Annual Report STA20-007 (Pages 51 - 68)

Reporting Person – Peter Bryant

9. Consultation on Draft Model Members' Code of Conduct STA20-008 (Pages 69 - 106)

Reporting Person – Peter Bryant

10. Standards and Audit Committee - Work Programme STA20-004 (Pages 107 - 110)

Reporting Person – Peter Bryant

AGENDA ENDS

Date Published - 15 July 2020

For further information regarding this agenda and arrangements for the meeting, please contact Doug Davern on 01483 743018 or email doug.davern@woking.gov.uk



Mixed Sources

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Schedule Referred to in Declaration of Interests

Council-appointed directorships

Peter Bryant, Director of Legal and Democratic Services

Thameswey Limited
Thameswey Developments Limited
Thameswey Housing Limited
Thameswey Energy Limited
Thameswey Central Milton Keynes Limited
Thameswey Guest Houses Limited
Thameswey Solar Limited
Thameswey Maintenance Services Limited
Thameswey Sustainable Communities Limited
Energy Centre for Sustainable Communities Limited
Rutland (Woking) Limited (alternate for Ray Morgan)
Rutland Woking (Carthouse Lane) Limited (alternate for Ray Morgan)
Woking Necropolis and Mausoleum Limited
Brookwood Cemetery Limited
Brookwood Park Limited
Kingfield Community Sports Centre Limited

Leigh Clarke, Director of Finance

Kingfield Community Sports Centre Limited

STANDARDS AND AUDIT COMMITTEE – 23 JULY 2020

ANNUAL GOVERNANCE STATEMENT 2019-20

Executive Summary

The Annual Governance Statement demonstrates the effectiveness of the Council's corporate governance environment and incorporates the statement on internal control (SIC) requirements to demonstrate the Council has appropriate internal control mechanisms in place.

The evaluation of governance arrangements is based around the CIPFA/SOLACE governance framework 'Delivering Good Governance in Local Government' which brings together an underlying set of legislative requirements, governance principles and management processes relating to the whole organisation.

The framework has seven core principles of governance focusing on the arrangements, systems and processes for the direction and control of the organisation and its activities through which it accounts to, engages with and, where applicable, leads the community.

To assist in the assessment process CIPFA has produced a detailed matrix of questions for the statement in accordance with the framework's governance principles. This matrix has been used as the basis for the governance analysis attached at Appendix 2.

Arising from the assessment is a requirement to produce a Governance Statement and action plan to correct any identified problems in the governance arrangements. The Governance Statement is attached at Appendix 1. The statement will be published separately on the internet as well as forming part of the Statement of Accounts.

Recommendations

The Committee is requested to:

RESOLVE That the Annual Governance Statement be received.

The Committee has the authority to determine the recommendation(s) set out above.

Background Papers: None.

Reporting Person: Leigh Clarke, Finance Director
Email: leigh.clarke@woking.gov.uk, Extn: 3277

Contact Person: Leigh Clarke, Finance Director
Email: leigh.clarke@woking.gov.uk, Extn: 3277

Date Published: 15 July 2020

STA20-006

1.0 Introduction

- 1.1 The Council conducts its business within a governance framework. It is an interrelated system that brings together an underlying set of legislative requirements, governance principles and management processes.
- 1.2 Documents and processes that provide some of the boundaries to this governance framework include:
- The Constitution;
 - Local and statutory Codes of practice, Policies and Strategies;
 - Management Arrangements and Scheme of Delegations;
 - Service and Performance Plans;
 - Performance Management Systems; and
 - Internal Control Processes.
- 1.3 In essence, the Annual Governance Statement is a formal statement that recognises, records and publishes an authority's governance arrangements as defined in the framework.
- 1.4 The Annual Governance Statement documents the corporate governance environment.
- 1.5 The CIPFA/SOLACE governance framework 'Delivering Good Governance in Local Government' brings together an underlying set of legislative requirements, governance principles and management processes relating to the whole organisation and sets out the fundamental principles of corporate governance. These are contained in 7 core principles.
- 1.6 To assist in the assessment process CIPFA has produced a detailed matrix of questions for the statement in accordance with the framework's governance principles. This matrix has been used as the basis for the governance assessment attached at Appendix 2.

2.0 Implications

Financial

- 2.1 There are no financial implications of this work.

Human Resource/Training and Development

- 2.2 Ongoing training will be provided in order to ensure compliance with the governance and assurance framework.

Community Safety

- 2.3 There are no implications for community safety.

Risk Management

- 2.4 The development of risk management and business continuity is an ongoing improvement for the Council.

Sustainability

- 2.5 There are no implications for sustainability.

Equalities

2.6 There are no implications for equalities.

3.0 Conclusions

3.1 The assessment demonstrates that the Council has the documentation and procedures in place that provide a strong environment of governance and assurance.

REPORT ENDS

ANNUAL GOVERNANCE STATEMENT 2019/20**1. Scope of Responsibility**

Woking Borough Council (The Authority) is responsible for ensuring that its business is conducted in accordance with the law and proper standards, and that public money is safeguarded and properly accounted for, and used economically, efficiently and effectively.

The Authority also has a duty under the Local Government Act 1999 to make arrangements to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness.

In discharging this overall responsibility, the Authority is responsible for putting in place proper arrangements for the governance of its affairs and facilitating the effective exercise of its functions, which includes arrangements for the management of risk and the system of internal control.

The Authority has approved and adopted arrangements for corporate governance, which are consistent with the principles of the CIPFA/SOLACE Framework *Delivering Good Governance in Local Government*. The framework consists of 7 core principles each with sub principles. These are considered in more detail in section 3.

This statement explains how the Authority meets the requirements of Accounts and Audit (England) Regulations 2015, regulation 6(1)(a), which requires all relevant bodies to conduct a review at least once in a year of the effectiveness of its system of internal control and include a statement reporting on the review with any published Statement of Accounts. This Statement is prepared in accordance with proper practices in relation to accounts.

2. The purpose of the governance framework

Governance comprises the arrangements put in place to ensure that the intended outcomes for stakeholders are defined and achieved. To deliver good governance in the public sector, governing bodies and individuals working for public sector entities must try to achieve their entity's objectives while acting in the public interest at all times.

The governance framework comprises the systems and processes, culture and values, by which the Authority is directed and controlled and its activities through which it accounts to, engages with and leads the community. It enables the Authority to monitor the achievement of its strategic objectives and to consider whether those objectives have led to the delivery of appropriate, cost effective services.

The quality of governance arrangements underpins the levels of trust in public services and is therefore fundamental to the Authority's relationship to customers and residents. Trust in public services is also influenced by the quality of services received and also by how open and honest an Authority is about its activities.

A framework for the implementation of good governance allows the Authority to be clear about its approach to discharging its responsibilities and to promote this internally, to officers and members and externally to partners, stakeholders and residents.

The arrangements required for gathering assurances for the preparation of the Annual Governance Statement provide an opportunity for the Authority to consider the robustness of the governance arrangements in place and to consider this as a corporate issue that affects all parts of the Authority. It also helps to highlight those areas where improvement is required which are contained in the improvement plan.

The governance framework has been in place at the Authority for the year ended 31 March 2020 and up to the date of approval of the annual report and statement of accounts.

The key elements of the systems and processes that comprise the Authority's governance arrangements are documented in a detailed supporting analysis. The Authority has responsibility for conducting, at least annually, a review of the effectiveness of its governance framework.

The review of effectiveness is informed by the work of the Corporate Management Group and Senior Managers within the Authority who have responsibility for the development and maintenance of the governance environment, the Head of Internal Audit's Annual Report, and by comments made by the external auditors and other review agencies and inspectorates. The Corporate Management Group review the arrangements and provide an assurance that the Authority is operating within local and statutory frameworks. The group has approved this statement.

3. Covid-19

The national lockdown as a result of the Coronavirus pandemic in March 2020 has required the Council to review the governance framework in particular in the context of remote working and virtual meetings.

During this period there has been a weekly virtual meeting of the political Group Leaders and the Corporate Management Group. This enabled the Groups to be updated on the response to the crisis and to be consulted on changes.

The government enacted the Coronavirus Act 2020 and issued two regulations relevant to the Council; one to cancel elections until May 2021 and the other to change meetings arrangements to enable virtual meetings.

In April 2020 an Addendum to the Constitution was agreed by the Group Leaders. This covered the arrangements for virtual meetings including:

- Papers for meetings published electronically;
- Speaking arrangements and time limits;
- Voting;
- Timescales for Questions to Council and Answers; and
- Public Speaking at Planning Committee

As a result of the cancellation of elections, all appointments remain in place for a further year, this applies to membership and roles of the Executive, Committees, Task Groups and Working Groups, as well as all appointments to external bodies. The Mayor and Deputy Mayor also remain in place for another year.

An informal Council meeting was held on 7 May using Zoom where the detail of these changes was reported.

The Borough Emergency Control Centre was set up on 23rd March 2020 to manage the Council's response to the pandemic. This ensured efficiency communications with members

of CMG and other colleagues in a fast moving environment. The Centre was operated by 2 separate officer teams providing resilience to the 24 hours a day 7 days a week coverage.

4. The Governance Framework

Principle A – Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law

There is a comprehensive staff handbook and Behaviour and Skills Framework setting out the Authority's expectations regarding behaviour and the procedures for non compliance. Staff are made aware, through induction and the performance management framework, of the Authority's expectations in terms of standards of behaviour and compliance with agreed policies and codes of conduct.

There is also a Members' Code of Conduct which sets out the standards of behaviour to be followed by Members. Both codes take into account 'The Seven Principles of Public Life' which are included in the Localism Act 2011. The principles are: selflessness, integrity, objectivity, accountability, openness, honesty and leadership.

The Authority is clear about its leadership responsibilities for services, whether provided directly, through partners or third parties. We work closely with partners and influence third parties to make sure they deliver to agreed levels of quality and are accountable for what they do.

We have a clear commitment to ensure services deliver an appropriate combination of quality, value and choice to the community.

There is a complaints procedure which provides for a response from the service manager and allows for the complainant to appeal. Complainants are advised of their right to refer the matter to the Local Government Ombudsman, Housing Ombudsman or Information Commissioner as appropriate. This is publicised in the offices and on our website.

Complaints submitted under the Members Code of Conduct are reported to the Standards and Audit Committee which also receives regular reports on complaints which have been referred to the Ombudsman. The Arrangements for dealing with complaints made by Members against other Members were reviewed during the year and a new protocol was agreed by Council in April 2019.

A report on complaints received by the Council is received by the Overview and Scrutiny Committee.

The Scheme of Delegation within the Constitution requires Members and Officers to ensure that all decisions are compliant with policies, procedures, laws and regulations. The key documents within the Governance and Policy Framework are maintained and regularly reviewed including the Constitution itself.

Principle B – Ensuring openness and comprehensive stakeholder engagement

The Council's Vision and Values have been developed with the three pillars of People Place and Us to provide clarity on the role and priorities of the Authority in relation to its residents and partners/stakeholders.

The Constitution clearly defines the purpose of community leadership, effective scrutiny, and public accountability in terms of roles and responsibilities and functions. The Authority is committed to openness and acting in the public interest.

Woking Joint Committee is a committee between Woking Borough Council and Surrey County Council and makes decisions on certain services, monitors the effectiveness of public services, partnerships and joint initiatives. Local people are encouraged to take part. Members represent the Authority working formally and informally with voluntary groups.

The Council is the ultimate decision-making body and the principal forum for political debate. The Council sets the Policies and Strategies for the Authority and appoints the Leader of the Council, who then determines the appointment of the Deputy Leader and the members of the Executive.

The Executive acts within the approved policy framework and budget and leads preparation of new policies and budget. Each member of the Executive has a portfolio of work for which they take responsibility. The Authority also has an Overview and Scrutiny Committee reviewing Executive decisions, Council Services and other services in the Borough that affect the community of Woking. The other responsibilities of the Authority are discharged through its non-executive committees and the Standards and Audit Committee.

Meetings are webcast and recordings are available afterwards to view through the website.

The Constitution provides for members of the public to ask questions of the Executive at the Executive meeting. Petitions may also be put to the Council with the Constitution setting out how these are considered depending on the number of signatures. Members of the public may also ask questions at the Joint Committee.

The Council undertakes public consultations on specific matters affecting the community.

In July 2019 the Council established the Governance Review Task Group. This group will be reviewing the governance and committee structure at the Council and whether it would be beneficial to change the existing governance structure.

Principle C – Defining outcomes in terms of sustainable economic, social and environmental benefits

Historically the Authority's main priorities have been established and agreed. These continue to be priorities for the Authority in the current year:

1. Health and Wellbeing
2. Affordable Housing
3. The Environment
4. Economic Development

The Authority has developed a Vision – 'Towards Tomorrow Today' and a comprehensive set of values. The three pillars of People, Place and Us clarify the Authority's approach and the Service and Performance Plans reflect this structure.

The Council's Vision, Values and the Service and Performance Plans are available on the internet in the Annual Service and Performance Plan. Together these form the 'umbrella' under which the services, and individual plans sit.

The Core Strategy, adopted in October 2012, sets out the vision for Woking to 2027. The strategy has been communicated widely internally to local partners and to the wider community through interest groups. It is also available on our website.

The Authority's Climate Change Strategy, Woking 2050, balances our environmental aspirations with the Borough's needs for development and economic prosperity. The aim of the strategy is to coordinate a wide range of objectives which can be used by the Council and Woking's residents, businesses, community groups and others to reduce the Borough's impact on the environment.

The Authority has also prepared Natural Woking, a biodiversity and green infrastructure strategy for the area. This seeks positive outcomes for habitats and people, by enhancing provision and accessibility to green spaces; conserving appropriate existing biodiversity and habitats; and creating opportunities for species to return to the Borough.

The Economic Development Strategy was approved by Council in April 2017 and covers the period to 2022 while considering the vision to 2050. The Strategy's objectives are to encourage business development growth and inward investment in the Borough. Additionally, the Strategy supports the creation of jobs, stimulating the economy, as well as generating income for the Council (to support service provision).

New Capital and Investment Strategies were first approved by Council in February 2019, and updated in February 2020. Presented with the Treasury Management Strategy these provide further details on the overall approach to the capital programme including explaining the purpose of the Council investment.

Following the appointment of the new Director of Housing early in 2019/20, the Council's Housing Strategies are being reviewed and updated to reflect the direction and priorities for the future.

Collectively these key documents form the Council's Corporate Strategy and show how the Vision and Values translate into Council action through the detailed plans, budgets and Investment Programme. It is recognised that the links between these policies could be communicated more clearly and an overarching summary document will be prepared during 2020/21. The Council will then undertake a programme of communications with residents and stakeholders outlining the policy approach of the Council.

The Authority has a general approach to protect services seeking instead to achieve efficiencies and increase income generation where there are budget pressures. In the post-lockdown economic environment it will be necessary to revisit this strategy and explore operational efficiencies through automation and use of digital services.

The Performance Framework is owned by Members and officers. The content is communicated to a wide audience in order to ensure that these key priorities are understood and translated into operational outcomes, and it is available via the Authority's website.

Principle D – Determining the interventions necessary to optimise the achievement of the intended outcomes

A Medium Term Financial Strategy (MTFS) is prepared on at least an annual basis and updated as circumstances change. It is linked to the annual budget and service strategies. The MTFS was due to be updated in March 2020, however the Covid-19 crisis has delayed this and has caused significant financial uncertainty. An updated MTFS, clearly setting out

the financial challenges facing the Authority will be prepared in the autumn of 2020 based on the known information at that time. This will enable the identification of resource requirements to set the budget for 2021/22, continue the Authority's activities and secure a sustainable future.

Service planning is closely aligned to the budgeting process and identifies service developments and the associated financial impacts. Key performance indicators are set and monitored during the year.

The Authority is proactive in working together with partners and considering the most effective way for services to be provided within the community, whether that be by the Council direct or through third parties.

Principle E – Developing the entity's capacity, including the capability of its leadership and the individuals within it

The Performance and Development Review process is fully embedded in the Authority with annual assessments completed by all officers. The process incorporates the Council's Behaviour and Skills framework and helps to determine the Learning and Development programme.

The Authority was reassessed by Investors in People during 2019/20. The Authority retained an accreditation at the 'Silver' level and also received the Health and Wellbeing Good Practice Award.

Following the recommendation of the 2015 Peer Review, a programme of management development has been introduced to support future leaders and succession planning. The programme has been extended to further staff during 2019/20.

There is a comprehensive training programme for Members. The Council's commitment to Member development was first comprehensively assessed by South East Employers in 2008. Since then Woking has successfully maintained Charter status for Elected Member Development, achieving reaccreditation every three years. The Council was assessed for reaccreditation in 2018 and was again awarded the Charter.

The Council reviews its programme for Member Development annually and has developed a comprehensive learning and Development Framework together with the Roles and Responsibilities of Elected Members. A programme of Mandatory Member training was introduced in May 2018.

Principle F – Managing risks and performance through robust internal control and strong public financial management

The system of internal control is a part of the governance framework and is designed to manage risk to a reasonable level. It cannot eliminate all risk of failure to achieve policies, aims and objectives and can therefore only provide reasonable and not absolute assurance of effectiveness. The system of internal control is based on an ongoing process designed to identify and prioritise the risks to the achievement of the Authority's policies, aims and objectives, to evaluate the likelihood of those risks being realised and the impact should they be realised, and to manage them efficiently, effectively and economically.

Formal Risk Management arrangements provide for risk identification, analysis, ownership and mitigating actions. An annual risk report is provided to the Executive. The Corporate Management Group review the Strategic Risk Register. Committee reports identify and

quantify risks associated with a proposal. The system of internal financial control is based upon a framework of comprehensive financial regulations and procedures (within the Constitution), which comply with the CIPFA “Good Practice Guide for Financial Regulations in a modern English Council”. Control is maintained through regular management information, management supervision, and a structure of delegation and accountability. The Council has an anti-fraud and corruption policy and whistle blowing policy which are updated and promoted internally regularly.

Principle G – Implementing good practices in transparency, reporting, and audit to deliver effective accountability

The Authority annually reviews the effectiveness of its governance framework including the system of internal control. The review is informed by the managers who have responsibility for the development and maintenance of the governance processes, Internal Audit reviews and by comments made by the external auditor and other review agencies and inspectorates.

The Council has been working to address the recommendations of the Local Government Association (LGA) Corporate Peer Review in 2015. In November 2019 the Council invited the LGA to undertake another Peer Challenge to assess progress. The LGA made a series of recommendations and the Council’s proposals to address these have been considered by the Overview and Scrutiny Committee and the Executive in July 2020.

The Council’s Internal Audit Service carries out a programme of independent reviews. Their work is based around the core risks faced by the Council and includes work on financial and non-financial systems, corporate programmes and partnerships. This includes adherence to established policies, procedures, laws and regulations.

These findings are brought together within this Annual Governance Statement and are reported annually to the Standards and Audit Committee which undertakes the functions of an audit committee, as identified in CIPFA’s *Audit Committee – Practical Guidance for Local Authorities* and has responsibility for receipt of the Annual Governance Statement.

The Overview and Scrutiny function provides the scope to focus on issues that have the widest impact on the community and not just services directly provided by the Authority.

Monthly performance and financial monitoring information is published, including details on treasury management and group company activities.

Accessible data is available online, where detailed information is published in accordance with transparency requirements.

5. Roles and Responsibilities

The Authority has approved a Constitution which defines and documents the roles and responsibilities of the Authority, Executive, Overview and Scrutiny and officer functions, with clear delegation arrangements and protocols for decision making and communication and codes of conduct defining the standards of behaviour for Members and staff. Delegations are recorded in accordance with the relevant Regulations.

The Thamesway Group of companies has been established by the Authority to assist in the delivery of the Council's strategic objectives with a view to securing benefits for the residents of the Borough. The Council, and the Boards of the Thamesway group of companies, have approved a set of protocols designed to make the activities of the companies open and transparent in the context of the commercial environment in which the companies operate.

During 2020 it is proposed that the Council will adopt a Standards Protocol which would enable all Members to receive detailed monthly information produced by the Thamesway Group.

The Group Business Plans are approved by the Council annually. Group Company information is included in the monthly performance and financial monitoring information (Green Book).

The senior management of the Authority is structured to provide clear responsibility and accountability at both strategic (Corporate Management Group, CMG) and operational (Senior Manager) levels. The structure reflects the Authority's values and approach with management and services grouped by 'People', 'Place' and 'Us'.

The CMG during 2019/20 comprised the Chief Executive, Deputy Chief Executive, Director of Housing, Finance Director (nominated in accordance with Section 151 of the Local Government Act 1972) and the Director of Democratic and Legal Services. In May 2020 the CMG was expanded to include a Director of Neighbourhood Services and Director of Community Services. Each has allocated responsibilities to ensure that there is a clear chain for decision-making and actions to implement those responsibilities. The Chief Executive is the Head of Paid Service under the terms of the Local Government & Housing Act 1989. The Director of Democratic and Legal Services is the designated Monitoring Officer and is responsible for ensuring that the Authority acts in accordance with the Constitution.

The Head of Internal Audit, provided through a framework contract with Mazars, has direct access to the Finance Director, to the Chief Executive, other CMG members and reports to Members through the Standards and Audit Committee. These arrangements are in accordance with CIPFA guidance in their publications 'Role of the Chief Financial Officer' and 'Role of the Head of Internal Audit'.

6. Significant Governance Issues

In formulating this year's Governance Statement a range of evidence has been reviewed including Statements from senior managers and Internal Audit reviews. To avoid duplication such findings are not noted in this statement other than where their implications could affect the overall effectiveness of the Authority's governance procedures and require action under the Governance Plan.

There has been a continued focus on addressing Internal Audit recommendations during the year. The position is considered by CMG and the Standards and Audit Committee quarterly where action progress can be monitored and resources redirected if necessary.

The following areas have been identified as areas for improvement in the Governance Plan and need further action in order to ensure governance arrangements remain robust for the future:

- (i) Peer Review
Work on the areas of improvement identified by the November 2019 Peer Review.
- (ii) Council Constitution
The Council's Constitution will be formally reviewed for the new Municipal Year 2021/22.

- (iii) **Organisational Strategy**
Prepare a summary strategy document based on existing approved strategies to be approved as part of the Business Plan process for 2021/22.
- (iv) **Action tracking**
Embed new processes for the management of Internal Audit recommendations and Committee decisions, developed during 2019/20, to improve the efficiency and effectiveness of the system.
- (v) **CIPFA Financial Management Code**
Ensure that the Council's governance arrangements comply with the new Financial Management Code which has been published by The Chartered Institute of Public Finance Accountants (CIPFA).

7. Conclusion

We are satisfied that the Authority has in place the necessary practices and procedures for a comprehensive governance framework, the governance arrangements provide assurance that intended outcomes will be achieved, and remain fit for purpose. The actions above will deliver further improvements and we will continue to monitor, evaluate and report on progress as part of our next annual review.

Leader of the Council
Cllr D Bittleston
Date

Chief Executive
R N Morgan OBE
Date

The Council should demonstrate the following requirements		Position at Woking
A	Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law	
A1	Ensuring members and officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the organisation	There are Codes of Conduct for both Employees and Members. The culture and behaviours required are covered in new Member briefings. The Council has a complaints procedure details of which are on the Council's website. Staff briefings visibly set the tone for staff and consistently demonstrate the public service ethos. Copies of staff briefings are available to view for anyone who has missed them.
A2	Ensuring members take the lead in establishing specific standard operating principles or values for the organisation and its staff and that they are communicated and understood. These should build on the Seven Principles of Public Life (the Nolan Principles)	The Council has both Employee and Member Code of Conducts which reflect the 'Seven Principles of Public Life'. Staff and Member inductions cover these Codes. Training is provided as considered necessary.
A3	Leading by example and using the above standard operating principles or values as a framework for decision making and other actions	The Council has a written constitution which sets out, amongst other things, the organisational structure of the Council, the responsibilities of committees and members as individuals, a scheme of delegation to officers and codes of conduct. The Constitution was last reviewed in 2015/16. A formal review is planned to be in place for the Municipal year commencing May 2021.. The Constitution reflects the strong leader approach, and the Council has identified Portfolio holders and shadow portfolio holders. In July 2019 the Council established the Governance Review Task Group to review the governance and committee structure at the Council and whether it would be beneficial to change the existing governance structure.
A4	Demonstrating, communicating and embedding the standard operating principles or values through appropriate policies and processes which are reviewed on a regular basis to ensure that they are operating effectively	Policies are reviewed on a regular basis. The Behaviour & Skills Framework for staff is part of the Performance Development Review process. Internal Audit review for appropriate and regularly updated policies, and undertake specific work in areas such as gifts and hospitality.
A5	Seeking to establish, monitor and maintain the organisation's ethical standards and performance	Induction training for all staff incorporates the organisational and operational framework of the Council. A comprehensive training programme is provided for members. The Standards and Audit Committee is responsible for: (i) promoting and maintaining high standards of conduct by councillors and co-opted members in accordance with the Members' Code of Conduct;; (ii) assisting councillors and co-opted members to observe the Members' Code of Conduct;

The Council should demonstrate the following requirements		Position at Woking
		<p>(iii) advising the Council on the adoption or revision of the Members' Code of Conduct;</p> <p>(iv) monitoring the operation of the Members' Code of Conduct;</p> <p>(v) advising, training or arranging to train councillors and co-opted members on matters relating to the Members' Code of Conduct;</p> <p>(vi) determining allegations that there has been a breach of the Members' Code of Conduct in accordance with arrangements adopted by Council;</p> <p>(vii) act as the Council's Audit Committee. In performing this task the Standards and Audit Committee will:</p> <ul style="list-style-type: none"> · approve the plans of Internal Audit and consider the External Audit plan, · receive the Annual Audit and Inspection letter from External Audit; · receive Internal Audit recommendations for improvements and assurance that action has been taken where necessary; · review summary Internal Audit reports (located on the intranet); · receive a half yearly and annual report from the Chief Internal Auditor on the work of Internal Audit; · receive appropriate matters of concern raised by either External or Internal Audit or other agencies; and · ensure that there are effective relationships between Internal and External Audit and promote the value of the audit process; <p>(viii) overseeing the Council's Risk Management, Anti Fraud and Whistleblowing strategies, and Health and Safety policies and practices;</p> <p>(ix) the receipt of the Annual Governance Statement; and</p> <p>(x) oversight of payments in cases of maladministration which are neither disputed nor significant (which are dealt with by the Monitoring Officer)</p>
A6	Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the organisation's culture and operation	<p>The constitution contains a member code of conduct together with a number of statements and protocols covering registration of interests, anti fraud and corruption policy.</p> <p>The Council has a code of conduct for officers.</p> <p>The Council has a Customer code of conduct together with an equalities and diversity policy designed to define the relationship with customers and to remove any bias in dealing with the community.</p> <p>We also have a number of HR policies such as Anti bullying and Whistleblowing that relate to conduct and personal behaviour.</p>

	The Council should demonstrate the following requirements	Position at Woking
A7	Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values	<p>The Council operates within a framework which includes codes of conduct, customer service policies, equality and diversity policies, vision and values all of which serve to provide an environment promoting ethical standards and equality of treatment.</p> <p>The Member code of conduct and the constitution require the declaration of interests of officers and members to be made at meetings where matters require such a declaration including meetings of the Thameswey Group boards. Other declarations and registrations include related party transactions for members and senior officers, members and senior officers recording when a relative is employed by the council, interests of officers in contracts involving relatives, and declarations of gifts and hospitality by all in a register maintained by the Director of Democratic and Legal Services. Members interests are published on the Council website.</p> <p>The Council has a confidential reporting 'whistleblowing' policy which is accessible via the intranet and internet.</p>
A8	Ensuring that external providers of services on behalf of the organisation are required to act with integrity and in compliance with ethical standards expected by the organisation	<p>The council clearly understands its role as a leader within the local community and has set out within its values the way in which the authority should operate - e.g. openness, honesty, transparency - when dealing with all elements of the community and the expectation that others associated with the Council will operate similarly to engender a positive and trusting relationship.</p> <p>Expectations are incorporated into contractual arrangements where appropriate and addressed at contract meetings.</p>
A9	Ensuring members and staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations	<p>The Director of Democratic and Legal Services is the Council's Monitoring Officer, responsible for ensuring the Council acts in accordance with the Constitution.</p> <p>Committee reports consider legal implications. External legal advice is taken where appropriate.</p> <p>Legislative matters are dealt with at local level where changes are evaluated by suitably qualified staff supported by legal services.</p> <p>Major legislative change will require the Legal service to assess, evaluate and advise on the impact of legislative changes.</p> <p>The constitution sets out the limits of activity. Legislation around the power of general competence means the Council has wide legislative powers to undertake activities for the benefit of its community and seeks to make full use of these.</p>

	The Council should demonstrate the following requirements	Position at Woking
A10	Creating the conditions to ensure that the statutory officers, other key post holders, and members, are able to fulfil their responsibilities in accordance with legislative and regulatory requirements	The Constitution sets out the responsibilities of the statutory officers. The 3 statutory officers (Chief Executive – Head of Paid Service, Director of Democratic and Legal Services – Monitoring Officer, and Finance Director – Chief Finance Officer/Section 151 Officer) are members of the Council's Corporate Management Group (CMG). CMG meets weekly, there are regular meetings between the Chief Executive and Council Leader and with portfolio holders to discuss and challenge proposals.
A11	Striving to optimize the use of the full powers available for the benefit of citizens, communities and other stakeholders	It is the responsibility of the relevant CMG member to identify opportunities to benefit local citizens, prioritising those considered most beneficial to the community and meeting the locally identified needs. Through the Personal Development Review process, and the Behaviour and Skills framework, the Council encourages staff to be challenging and innovative and improvements are brought in by senior managers and their staff.
A12	Dealing with breaches of legal and regulatory provisions effectively	The Council has effective processes in place in the event of any breaches. It is the responsibility of the Monitoring Officer to assess the appropriate actions.
A13	Ensuring corruption and misuse of power are dealt with effectively	<p>There are procedures for reporting any suspected issues, and for dealing with any identified instances. This may include the involvement of the police.</p> <p>There is a formal complaints procedure which was revised in August 2018 and provides for a response from a manager and allows for an appeal to be considered if the complainant is not satisfied. The Legal section monitors corrective action taken in response to upheld Ombudsman complaints against the authority. The Standards and Audit Committee reviews the outcome of Ombudsman complaints.</p> <p>The process for dealing with Member complaints about other Members was reviewed during 2018/19 and a new protocol adopted.</p> <p>Officers and members are required to declare interests in issues being determined by the Council and generally with regard to any business of the Council. Standing orders and financial regulations have similar requirements governing operational decisions made by officers.</p> <p>The register of interests is a public document and is available on the Council's website.</p>

The Council should demonstrate the following requirements		Position at Woking
		<p>The council has a confidential reporting policy for staff available through ewokplus. Members of the public normally write to one of the three Statutory Officers.</p> <p>The Vision and Values statement requires members and officers to demonstrate these behaviours</p>
B	Ensuring openness and comprehensive stakeholder engagement	
B1	Ensuring an open culture through demonstrating, documenting and communicating the organisation’s commitment to openness	<p>The Council is committed to openness, support and respect. Procedural rules make detailed provision for rights of access for public and members. The council complies with statutory requirements regarding access e.g. to financial information and responses to Freedom of Information requests. The sharepoint based system has is used to manage the Council’s response to Freedom of Information requests. Performance and breaches are reported to CMG monthly.</p> <p>There is also extensive information published on the internet. This continues to be developed in accordance with the Local Government Transparency Code. The Council uses the datashare software and continues to add more information here to enable easy access for members of the public.</p> <p>There is an internal and external communications strategy</p> <p>The Council issues regular press releases to the local media. Committee reports are available on the Council’s website and meetings are webcast with the recording also available afterwards to view.</p> <p>The Green Book performance monitoring and financial information is published monthly and also available on the Council website.</p> <p>There is a Marketing and Communications strategy and action plan.</p> <p>The November 2019 LGA Peer Review recommended that the Council communicate the rationale for the Council’s vision and priorities to all stakeholders. A summary document will be prepared that brings together existing approved strategies. The Council will use this to undertake a programme of communications with residents and stakeholders to explain the vision and priorities.</p>
B2	Making decisions that are open about actions, plans, resource use, forecasts, outputs and outcomes. The presumption is for	<p>Decisions only made confidentially with specific reasons provided. Items held in part 2 of the agenda are kept to a minimum where there is</p>

	The Council should demonstrate the following requirements	Position at Woking
	<p>openness. If that is not the case, a justification for the reasoning for keeping a decision confidential should be provided.</p>	<p>information of a confidential, commercial third party or personal nature. Wherever possible decisions and discussion is public and broadcast on webcasts also available to view afterwards on the Council’s website. If necessary supporting confidential details are provided in a separate report, with the discussion in Part 1 unless it is necessary to refer to the confidential data. Delegated decisions are published on the Council’s website.</p>
<p>B3</p>	<p>Providing clear reasoning and evidence for decision in both public records and explanations to stakeholders and being explicit about the criteria, rationale and considerations used. In due course, ensuring that the impact and consequences of those decisions are clear</p>	<p>In 2018/19 the Council introduced Modern gov, an application which serves to make reports available to officers members and the public. This replaced the previous system, Shikari, and provides increasing transparency across WBC and other partners (eg SCC) which aids partnership working.. Relevant officers can add their appropriate comments during the report preparation process. Portfolio holders and the Executive are briefed on reports prior to publication. The Council is developing a Sharepoint based solution to monitor progress on decisions made at meetings</p> <p>Reports are drafted using a standard, logical structure which supports decision making and assists clear reasoning and the provision of evidence. Impact assessments are completed for each committee report.</p>
<p>B4</p>	<p>Using formal and informal consultation and engagement to determine the most appropriate and effective intervention/courses of action</p>	<p>The Leader of the Council and Chief Executive are part of the management arrangements of Enterprise M3, the Local Enterprise Partnership. The Leader is part of the wider Surrey Local Authorities ‘Leader Group’ and senior officers engage in County wide professional groups.</p> <p>A Business Breakfast meeting is held each year which provides an opportunity to update the business community on the Council’s plans and receive feedback.</p> <p>Officers engage widely with community and resident association groups.</p> <p>Members are represented on various community groups. The Council provides approximately £1.2m of funding for voluntary groups and senior officers regularly meet with representatives.</p> <p>There is an active Youth Council supported financially by the Council.</p>

	The Council should demonstrate the following requirements	Position at Woking
B5	Effectively engaging with institutional stakeholders to ensure that the purpose, objectives and intended outcomes for each stakeholder relationship are clear so that outcomes are achieved successfully and sustainably	<p><i>Institutional stakeholders are the other organisations that local government needs to work with to improve services and outcomes (commercial partners, suppliers, other public and third sector organisations) or organisations to which they are accountable.</i></p> <p>The Council has well developed relationships with other local authorities through joint working groups, health service, voluntary and community groups. There is a Woking Joint Committee which has responsibility for decision making across range of services.</p> <p>Members of CMG take the lead on key relationships and feed back through CMG meetings and team meetings as appropriate. The Council’s approach is to be supportive of others and engage in discussions and work programmes.</p>
B6	Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively	<p>The Council has outsourced a number of services where outcomes can be achieved more efficiently and effectively. Close relationships have been developed with those providers of the outsourced provision: Leisure, Housing, Asset and Facilities Management..</p> <p>The Council has a joint waste contract with 3 other Surrey Districts, which became operational for Woking in September 2017 and generated savings across the partners. The joint team continue to work to ensure the contract is effective.</p> <p>Where there are areas of expertise/capacity officers work with colleagues across Surrey to make good use of resource – examples include on street parking, fraud, environmental health, home improvement agency and health and safety.</p> <p>The Council supports Community Groups and local partners - £1.2m funded in year – to achieve local outcomes.</p> <p>The Thamesway group of companies, wholly owned by the Council, was set up to effectively seek local outcomes in a more commercial environment. The group includes joint venture companies with a development partner.</p> <p>The Joint Committee (SCC/WBC) was established in June 2014. Its primary focus is to improve outcomes and value for money for citizens and businesses of Woking by strengthening local democracy and improving partnership working in the Borough. Both Councils have delegated decision-making powers to the Joint Committee across a wide range of</p>

The Council should demonstrate the following requirements		Position at Woking
		<p>activities and it makes joint decisions on various strands of work including Community Safety, Health and Safety, Youth, Highways, On-Street Parking, Infrastructure and Early Help.</p> <p>There are regular meetings with the Woking Chamber of Commerce.</p>
B7	Ensuring that partnerships are based on: trust, a shared commitment to change, a culture that promotes and accepts challenge among partners, and that the added value of partnership working is explicit.	<p>The Council's key partners are the group of companies set up to deliver the Council key priorities of affordable housing and energy/environment matters and developments.</p> <p>A set of protocols has been developed and approved by the Council and the Thamesway Group to improve the governance and transparency of the Thamesway Group activities. There are briefings for Members on Group activities and Members can attend Board meetings. It is proposed that the Council adopts a Standards Protocol during 2020 which will enable Members to receive more detailed monthly information produced by Thamesway</p> <p>Other objectives are being progressed through joint ventures with other organisations most notably the Victoria Square regeneration. Appropriate arrangements are in place to support these joint ventures. To make efficiency savings the Council has worked with other local authorities and organisations to transform the way services are delivered. This includes joint procurement, sharing accommodation or outsourcing such as has happened with Leisure, HRA and Asset/Facilities Management. All joint arrangements are monitored appropriately.</p>
B8	Establishing a clear policy on the type of issues that the organisation will meaningfully consult with or involve communities, individual citizens, service users and other stakeholders to ensure that service provision is contributing towards the achievement of intended outcomes	<p>Consultation takes place on a wide variety of issues where the community can influence the outcome whether they be by whole Borough, geographical areas or service/interest specific. The arrangements for consultation are published on the Council's website.</p>
B9	Ensuring that communication methods are effective and that members and officers are clear about their roles with regard to community engagement	<p>Formal arrangements exist with a number of stakeholder bodies – Business Breakfast (NNDR consultation), Tenant representatives, user organisations for various services such as Leisure and parking.</p>
B10	Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs.	<p>The Council has an external communications policy and utilises a number of communication channels - self serve via internet; consultation with the citizen's panel; appropriate consultation as required for specific issues. Alternative arrangements will be made for hard to reach sections of the community.</p> <p>It is recognized that in recent years the general approach to citizen engagement has lapsed as the groups had contributed to a number of key</p>

The Council should demonstrate the following requirements		Position at Woking
		<p>policies which are now being implemented. It is proposed to re-establish the Citizens Panel and establish a programme of issues upon which to consult it with an initial focus on health and well-being in partnership with the Integrated Care Partnership.</p> <p>The council has adopted a principles of consulting document, published on the internet providing guidance on the arrangements for engaging with all sections of the community recognising their different needs. The Council participates in and actively supports and consults with disabled groups to help frame policy and services. Resources are in place to ensure community engagement is managed strategically and some 30 staff are trained facilitators offering a range of skills to engage appropriately with different groups and sections of the community. Where necessary appropriate use is made of specialist resources to engage with particular cultures, languages, disabilities, etc. Work with and use partners' expertise to engage with different groups, e.g. Connect to Innovation and Surrey Chamber of Commerce to engage with businesses and the commercial sector</p>
B11	Implementing effective feedback mechanisms in order to demonstrate how views have been taken into account	<p>Any complaints received are used to improve service delivery at a local level. The Council advises on responses to consultations either individually or by way of committee reporting as appropriate.</p>
B12	Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity	The Council seeks to use objective data sources to balance special interest group representations with wider community interest.
B13	Taking account of the impact of decision on future generations of tax payers and service users	The Council takes a long term view through preparation of long term plans and strategies – Woking 2027, Core Strategy, Woking 2050, Medium Term Financial Strategy.
C	Defining outcomes in terms of sustainable economic, social, and environmental benefits	
C1	Having a clear vision, which is an agreed formal statement of the organisation's purpose and intended outcomes containing appropriate performance indicators, which provide the basis for the organisation's overall strategy, planning and other decisions	<p>The Woking 2050, Woking 2027 and Natural Woking strategies set out priorities.</p> <p>The Joint Committee makes decisions across a range of services.</p> <p>The Council actively pursues priorities agreed with partner organisations and the wider community through on-going consultation</p> <p>The 2019 Peer Review recommended that an overarching organizational strategy be prepared. This would bring together the</p>

The Council should demonstrate the following requirements		Position at Woking
		<p>existing strategies and provide a summary level strategy for stakeholders. It is proposed that this will be developed as part of the business planning process for 2021/22.</p> <p>The Council's priorities have been agreed and are approved annually through the service planning process and manifesto pledges. The service planning process is supported by a corporate team. The structure of the plan emphasises the way service plans contribute to the development of People, Place and Us. The Service and Performance Plan is available via the Council's website. Service plans feed into PDR objective setting following the 'golden thread'</p>
C2	Specifying the intended impact on, or changes for, stakeholders including citizens and service users. It could be immediately or over the course of a year or longer	Impact assessments for each committee report. The report format supports the provision of impact summary, reasons for and implications of decisions.
C3	Delivering defined outcomes on a sustainable basis within the resources that will be available	<p>Performance management is well imbedded at the Council with detailed reporting published and publicly available each month. The Medium Term Financial Strategy (MTFS) sets out the resources that are available and the actions required to ensure a sustainable future. The MTFS is formally updated annually, with updates during the year through budget and other finance papers.</p> <p>Other decisions are made in the context of the MTFS.</p>
C4	Identifying and managing risks to the achievement of outcomes	Comprehensive Service and Corporate Risk Registers are regularly reviewed.
C5	Managing service users' expectations effectively with regard to determining priorities and making the best use of the resources available	Service Users expectations are 'managed' by advising of the Council's priorities through the Service Planning process. There are ongoing dialogues with groups regarding the best uses of the resources available.
C6	Considering and balancing the combined economic, social and environmental impact of policies and plans when taking decisions about service provision	The balancing of economic, social and environmental factors is extensively considered as part of the Place Making role led by the Council.
C7	Taking a longer-term view with regard to decision making, taking account of risk and acting transparently where there are potential conflicts between the organisation's intended outcomes and short-term factors such as the political cycle or financial constraints	<p>The Council has a Medium Term Financial Strategy which sets out the challenges over the next 3-5 years, together with long term planning, climate change and sustainability strategies.</p> <p>The Capital Strategy and Investment Programme demonstrate the Council's longer term view.</p> <p>Many of the decisions currently being made are long term in nature with Members considering the long term benefits and future need – eg Infrastructure investment, Victoria Square, Hoe Valley School and Community facilities, Sheerwater Regeneration, protection of employment space and Brookwood Cemetery</p>

The Council should demonstrate the following requirements		Position at Woking
C8	Determining the wider public interest associated with balancing conflicting interests between achieving the various economic, social and environmental benefits, through consultation where possible, in order to ensure appropriate trade-offs	The wider public interest is assessed through public consultation on particular issues. Ultimately the public direction is set through the annual election cycle.
C9	Ensuring fair access to services	<p>Equalities reporting, officer, portfolio holders, considered in all decision reports, considered in fees and charges</p> <p>An Annual Equalities Report is provided to the Executive and an external assessment of the Council by the LGA found that we are at the 'Achieving' level on the Equalities Framework.</p>
D	Determining the interventions necessary to optimize the achievement of the intended outcomes	
D1	Ensuring decision makers receive objective and rigorous analysis of a variety of options indicating how intended outcomes would be achieved and associated risk. Therefore ensuring best value is achieved however services are provided	<p>Executive and Council reports contain detailed information to support decision making and provide options on the course of action. Members of the Executive have portfolio responsibilities and strong relationships with lead officers enabling rigorous challenge of the information and analysis provided.</p> <p>Matters requiring decisions are reported to the Executive or appropriate committee for approval. The report format is standard providing information in a consistent and comprehensive way.</p> <p>All reports include a section for financial implications of reports. The process for approving reports includes publishing a forward programme of reports, a timetable for the preparation of reports that specifically provides for the involvement of portfolio holder, CMG and Executive prior to publication. CMG review draft agendas and reports as part of the weekly meeting.</p>
D2	Considering feedback from citizens and service users when making decisions about service improvements or where services are no longer required in order to prioritise competing demands within limited resources available including people, skills, land and assets and bearing in mind future impacts	Reviews of service needs inform strategies. A complete review of all Housing strategies and policies is underway.
D3	Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets	Service planning is well embedded at the Council. The plans provide more focused information and link the strategic objectives and operational plans. Targets are agreed and performance monitored through the monthly Green Book publication.
D4	Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered	Internal consultation is through staff briefings and team meetings. CMG minutes and decisions are available and there are regular meetings between CMG and Unison. External consultations are undertaken on

The Council should demonstrate the following requirements		Position at Woking
		specific issues. The Woking Joint Committee is a joint committee of Woking Borough Council and Surrey County Council.
D5	Considering and monitoring risks facing each partner when working collaboratively including shared risks	The Council is experienced in working closely with partners and will identify and monitor risks through an appropriate review mechanism. There are detailed contract management processes for the Council's major contracts (Freedom, NVH, Skanska etc plus joint waste) where risk is considered.
D6	Ensuring arrangements are flexible and agile so that the mechanisms for delivering goods and services can be adapted to changing circumstances	The Council, where appropriate, builds flexibility into contractual (or other) arrangements with third party providers of goods and services. Larger contracts will have formal change control clauses, with smaller contracts allowing more informal change management through dialogue. The Council has a responsive management style and will make appropriate changes as circumstances dictate building strong relationships with providers which enable flexibility.
D7	Establishing appropriate key performance indicators as part of the planning process in order to identify how the performance of services and projects is to be measured	Key performance indicators are set to improve performance over time usually to achieve top quartile performance. Performance Indicators are reviewed to ensure they remain the most appropriate and relevant for the Council. Efficiency improvements and income generating assets have been identified to enable the maintenance of service delivery. External Audit continues to assess and report on the Council's value for money approach.
D8	Ensuring capacity exists to generate the information required to review service quality regularly	CMG regularly considers the adequacy of resources and redirects as required. All requests to recruit staff are considered by CMG which enables capacity to be used flexibly depending on priorities.
D9	Preparing budgets in accordance with objectives strategies and the medium term financial plan	The Council's planning and budgeting processes are closely aligned in the Business planning process. Service plans and budgets are prepared together. The financial strategy makes provision for known changes to services including legislative changes, growth, efficiency savings and the impact of the investment programme. The budget papers provide a summary of the MTFS and high level update. The budget reflects the overarching strategy set in the MTFS and links to the latest plan. The MTFS is subsequently updated to reflect the new base and actions required.
D10	Informing medium and long term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy	The March 2020 update of the MTFS has been delayed due to the Covid-19 pandemic. A detailed review of the impact of the crisis and the longer term financial implications will be prepared for the autumn 2020. It is likely that a considerable level of uncertainty will remain.

The Council should demonstrate the following requirements		Position at Woking
		Historically a cautious view on government funding has been taken which has required additional savings to be identified and achieved. Uncertainties and flexibilities are identified within the forecasts. There was an Internal Audit review of the MTFS during 2018 which included comparison with other councils. The Investment Programme is based on best estimated timing and costings for projects which are being worked up. Where it is not possible to include an estimated figure, the narrative report notes the exclusion.
D11	Ensuring the medium term financial strategy integrates and balances service priorities, affordability and other resource constraints	The MTFS works from the Council's Service Plans with the latest approved budgets used as a base. Future enhancements and changes to services as well as Council responsibilities are identified and brought into the summary position to establish the medium term challenges. The mitigations to the identified pressures, and the supporting narrative, balance the need to scale back plans and developments and costs with the desire to find a way to be able to further priority areas.
D12	Ensuring the budgeting process is all-inclusive, taking into account the full cost of operations over the medium and longer term	Budgets cover all services areas, project and Investment Programme spend, together with treasury implications. In setting the annual budget a view on the implications for reserves is provided together with reserves forecasts. Capital spend decisions are subject to consideration of the medium term position including servicing and repayment of any debt. Strategic Properties acquired using borrowing are written down on an annuity basis ensuring that the debt is paid over the long term.
D13	Ensuring the medium term financial strategy sets the context for ongoing decisions on significant delivery issues or responses to changes in the external environment that may arise during the budgetary period in order for outcomes to be achieved while optimizing resource usage	The MTFS is subject to at least annual review and is the subject of staff briefings. It is referred to/updated in each budget report. All committee reports include a financial implications section where any impacts are highlighted and many refer directly to the MTFS.
D14	Ensuring the achievement of 'social value' through service planning and commissioning	Service planning takes into consideration 'social value' including working with partners and voluntary groups across the community.
E	Developing the entity's capacity, including the capability of its leadership and the individuals within it	
E1	Reviewing operations, performance and use of assets on a regular basis to ensure their continuing effectiveness	Performance information is reported on a monthly basis to members and senior officers and is available to the public on line. The reporting includes exceptional variations from expected service - both good and bad - together with the action being taken to correct poor service. Complaints are monitored and used to inform the performance of a service.
E2	Improving resource use through appropriate application of techniques such as benchmarking and other options in order to determine how resources are allocated so that defined outcomes are achieved effectively and efficiently	Benchmarking is used on particular service reviews and where decisions regarding changes to services are being considered. The Council has relationships, and regularly meets with, other local Authorities and shares/learns from the work they are undertaking. Officers meet at a

The Council should demonstrate the following requirements		Position at Woking
		professional level and provide advice and experience to each other. Joint work is completed – eg waste contract – where the opportunities arise. All service options are considered eg on withdrawal of SCC funding, WBC operation of the Childrens Centres.
E3	Recognising the benefits of partnerships and collaborative working where added value can be achieved	The Council actively looks for opportunities to collaborate and achieve better value for money. The Joint Waste contract with 3 other local Districts started September 2017. Other joint working includes Environmental Health, On-Street Parking, Home Improvement Agency and Health and Safety. The Council works closely with community groups, SCC and Health services
E4	Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources	The management structure has been reviewed in recent years and revised to better meet the strategic needs and focus of the Council. Directors of Neighbourhood Services and Community Services have joined the Corporate Management Group in 2020. In the autumn of 2020 the Council will consider its longer term management arrangements as part of its 2021/22 business planning process.
E5	Developing protocols to ensure that elected and appointed leaders negotiate with each other regarding their respective roles early on in the relationship and that a shared understanding of roles and objectives is maintained	The Constitution sets out roles and responsibilities. Long term plans/objectives set out the Council's vision and direction. Members and officers have good working relationships and regular communications.
E6	Publishing a statement that specifies the types of decision that are delegated and those reserved for the collective decision making of the governing body	The Constitution sets out the responsibilities and delegations.
E7	Ensuring the leader and the chief executive have clearly defined and distinctive leadership roles within a structure whereby the chief executive leads in implementing strategy and managing the delivery of services and other outputs set by members and each provides a check and a balance for each other's authority	The Constitution schedules the responsibilities that are reserved for full meetings of Council and those that are delegated to the Executive or other committees and officers. The delegations are reviewed annually. The Constitution was reviewed and simplified during 2015/16 with the next review scheduled for the Municipal year commencing May 2021. For the time being the Leader of the Council has delegated the functions of a strong leader to the Executive. The Constitution contains schemes of delegation for those activities which are delegated to officers. Those officers have prepared schemes of sub delegations to other officers to enable business to be conducted. Following the introduction of Regulations each time a formal delegated decision is made it is recorded and made available via the internet.

	The Council should demonstrate the following requirements	Position at Woking
		<p>The Chief Executive, Leader and Deputy Leader of the Council have frequent meetings concerning the business and operation of the Council.</p> <p>CMG meet the Executive on a regular basis to discuss formal Executive business and future plans</p> <p>Portfolio and shadow portfolio holders are nominated for each of the Council’s activities. It is the responsibility of Senior Managers and CMG to keep their respective portfolio holder informed of developments in their areas and wider issues. Other members are briefed as appropriate.</p> <p>During the response to the Covid-19 pandemic, weekly meetings have been held between the Group Leaders of all political parties and CMG.</p>
E8	<p>Developing the capabilities of members and senior management to achieve effective leadership and to enable the organisation to respond successfully to changing legal and policy demands as well as economic, political and environmental changes and risks by:</p> <ul style="list-style-type: none"> • Ensuring members and staff have access to appropriate induction tailored to their role and that ongoing training and development matching individual and organisational requirements is available and encouraged • Ensuring members and officers have the appropriate skills, knowledge, resources and support to fulfil their roles and responsibilities and ensuring that they are able to update their knowledge on a continuing basis • Ensuring personal, organisational and system-wide development through shared learning, including lessons learnt from governance weaknesses both internal and external 	<p>Senior Management are developed through the current Leadership programme, together with Corporate training programmes. There is support through the PDR process and Peer groupings. There is a comprehensive training programme for Members. The Council’s commitment to Member development was first comprehensively assessed by South East Employers in March 2011. Since then Woking has successfully maintained Charter status for Elected Member Development, achieving reaccreditation every three years. The Council was successfully assessed for reaccreditation in 2018/19.</p> <p>The Members Training policy is adopted annually by the Council. In April 2018 it was extended to include mandatory training on specific topics. More on-line training has also been introduced to make sessions more accessible to Members.</p> <p>The Council reviews its programme for Member Development annually and has developed a comprehensive learning and Development Framework together with the Roles and Responsibilities of Elected Members. This covers a wide range of issues of interest to new and existing members.</p>

The Council should demonstrate the following requirements		Position at Woking
		<p>Members receive comprehensive briefings and training in overview and scrutiny and a 'Toolkit for successful scrutiny' has been developed and is provided to all Members.</p> <p>Membership of committees is reviewed annually to assist in member development.</p> <p>A range of vocational and non vocational training is available to officers. Officer training is managed by the HR section against a Learning and Development plan.</p> <p>Over the last 3 years the Council has implemented a Management Training Programme. Senior Managers and the Council's Executive have taken part in this training including personality and behavior assessments which has then been progressed to the next tier of management.</p> <p>The organisational structure of the Council provides opportunities for succession planning and internal progression. This is further strengthened by the Behaviour and Skills framework where each post has scored competencies accessible by all so career progression will be easier to identify.</p>
E9	Ensuring that there are structures in place to encourage public participation	Members of the public can ask questions of Executive Members at the Executive meetings. They can also ask questions at the Joint Committee. The Constitution sets out the processes for consideration of petitions depending on the number of signatures.
E10	Taking steps to consider the leadership's own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections	The LGA Peer review was completed in November 2019, this followed on from aa review in October 2015, and sought to assess progress made against the recommendations. The Peer review report and Council responses have been considered by the Overview and Scrutiny Committee and Executive (July 2020)
E11	Holding staff to account through regular performance reviews which take account of training or development needs	There is a formal annual Performance Development Review process.
E12	Ensuring arrangements are in place to maintain the health and wellbeing of the workforce and support individuals in maintaining their own physical and mental wellbeing	<p>Sickness levels are monitored by managers and HR and reported in the Green Book.</p> <p>The HR team provide support where issues have been identified. There are active Health and Wellbeing programmes for staff.</p> <p>The Council received the Health and Wellbeing Good Practice Award following the 2019 Investors in People assessment.</p>
F	Managing risks and performance through robust internal control and strong public financial management	

The Council should demonstrate the following requirements		Position at Woking
F1	Recognising that risk management is an integral part of all activities and must be considered in all aspects of decision making	<p>The Council has adopted a risk management strategy. Risk is covered in all committee reports and embedded in Service Planning.</p>
F2	Implementing robust and integrated risk management arrangements and ensuring that they are working effectively	<p>The Strategic risk register is considered by CMG Operational risk registers</p> <p>Risk registers have been prepared. The risks associated with a course of action are required as part of all committee reports and a risk log is a requirement of all projects recorded on the project monitoring system within sharepoint.</p> <p>Work on developing business continuity particularly for ICT has been ongoing with the development of the Council’s own data centre. There have been tests of business continuity in times of bad weather and in the Council’s response to the Covid-19 crisis..</p> <p>The Council's approach to insurance has been to insure all risks with limited or no excesses or self insurance unless it is possible to demonstrate vfm for this approach. Excesses were increased as part of the insurance retender in 2015 based on analysis and advice of the broker. Insurance provision is reviewed annually as part of the renewal programme. Claims are handled within the necessary time limits Other risks are identified in the budget and a risk contingency provided. Reserves have been set up to address specific financial risks.</p> <p>The risk management information assists in the operational aspects of service delivery. A relatively simple approach is taken to assessing likelihood and severity of risk to determine high, medium, low risks.</p> <p>Major Project dashboards (eg. Victoria Square and Sheerwater projects) report on risks.</p> <p>Key risks are identified and monitored e.g. key budget risks and performance are monitored in the green book. Key risks in projects are monitored as part of the project management methodology. Corrective action is taken to avoid or mitigate the risks.</p>

The Council should demonstrate the following requirements		Position at Woking
F3	Ensuring that responsibilities for managing individual risks are clearly allocated	<p>All risk registers allocate risk to individual managers as risk owners.</p> <p>The Deputy Chief Executive is the nominated champion for risk management and business continuity. Risk management is embedded into the processes of the organisation. All committee reports require the risks associated with the matter of the report to be included in the report.</p> <p>The project management arrangements of the Council require a risk log to be prepared identifying the risks and the mitigating action to be taken. The financial strategy and budget reports indicate risks within the budget and provide a risk contingency.</p> <p>The Executive is the committee responsible for risk management and business continuity with overview by the Standards and Audit Committee</p>
F4	Monitoring service delivery effectively including planning, specification, execution and independent post implementation review	<p>There is monthly reporting of key performance measures, financial performance against budgets, Treasury Management information and Group company information in the monthly 'Performance and Financial Monitoring Information' booklet - the green book. This also includes information on the Sheerwater Regeneration and Strategic Properties – areas identified during 2017 as requiring close monitoring. The Green Book provides information on current performance and describes any corrective action to be taken. It is considered by Corporate Management Group (CMG) and at each Executive and Overview and Scrutiny Committee and is published on the internet.</p> <p>In the future decision/action tracking will be through a Sharepoint based application currently under development. This will replace the previous Shikari system.</p> <p>The Executive receives a quarterly report on all projects This summary report is drawn from the sharepoint application used to manage projects.</p>
F5	Making decisions based on relevant, clear objective analysis and advice pointing out the implication and risks inherent in the organisation's financial, social and environmental position and outlook	<p>The report structures support decision making, prompting comment on the key considerations. Impact assessments are prepared for committee reports. Delegations to officers are included in the Constitution.</p>
F6	Ensuring an effective scrutiny or oversight function is in place which provides constructive challenge and debate on policies and objectives before, during and after decisions are made thereby enhancing the organisation's performance and that of any organisation for which it is responsible	<p>The Council has an O&S committee. The committee is supported by task groups including two standing task groups for Finance and Housing.</p> <p>There are project specific oversight groups for the most significant developments – Victoria Square and Sheerwater.</p>

	The Council should demonstrate the following requirements	Position at Woking
		<p>Members have the opportunity to raise topics for consideration and the public can raise topics for review via the internet.</p> <p>The overview and Scrutiny Committee prepares an annual report on the activities of the committee and task groups reporting to it. The report is available on the internet (part of committee reports).</p> <p>The November 2019 Peer Review recommended that the Council review the effectiveness and resourcing of Overview and Scrutiny. It is proposed that Internal Audit conduct a review of the O&S function during 2020 to ensure its effectiveness.</p>
F7	Providing members and senior management with regular reports on service delivery plans and on progress towards outcome achievement	The 'Green Book' performance and monitoring report is produced and published on line each month. It is considered at each Executive meeting. Project reporting is prepared for management and Members quarterly.
F8	Ensuring there is consistency between specification stages (such as budgets) and post implementation reporting (eg. Financial statements)	Budgets and Financial Statements are reconciled and analysis provided in the foreword to the Statement of Accounts which links the Statutory Accounts to the Green Book monthly management reporting.
F9	Aligning the risk management strategy and policies on internal control with achieving objectives	The internal audit plan is a risk based plan taking into account risks identified through risk register as well as other factors such as audit knowledge of service delivery enabling the allocation of audit resources. An annual risk management report is provided to the Executive.
F10	Evaluating and monitoring risk management and internal control on a regular basis	<p>Risk management and internal control processes are regularly considered by Internal Audit as part of the annual programme of work. The Corporate Risk Register is reviewed by CMG 6 monthly. The Standards and Audit Committee receive reports on risk management and internal control from Internal Audit.</p> <p>Internal audit reports are used to provide assurance and improve the internal control framework. Internal Audit provide their opinion on the overall arrangements. Under the PSIAS internal audit is required to give assurance annually. The Internal Audit work programme is prepared using a risk based approach. Senior managers complete an assurance statement</p>
F11	Ensuring effective counter fraud and anti-corruption arrangements are in place	The Council has an anti fraud policy which is reviewed regularly. The register of Member's interests and register of gifts and hospitality may be reviewed by the Standards and Audit committee.

The Council should demonstrate the following requirements		Position at Woking
		<p>Members interests, gifts and hospitality, are available on the Council's website.</p> <p>The Council has a flexible fraud resource for follow up and investigations where appropriate.</p> <p>An internal audit review during 2019 made recommendations in relation to the Council's management of Fraud and Corruption work, which will be implemented during 2020.</p>
F12	Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor	<p>The internal audit service is provided by Mazars through a framework contract with Croydon Council. The Head of Internal Audit (HIA) role is performed by Mazars. An annual report by the HIA on the overall adequacy of the control environment is considered by Standards and Audit committee.</p> <p>Internal Audit provide updates at each Standards and Audit meeting and attend CMG on a quarterly basis or as required. Summary Internal Audit reports are reviewed by CMG and made available to Members through their Ipads.</p>
F13	Ensuring an audit committee which is independent of the executive and accountable to the governing body: <ul style="list-style-type: none"> Provides a further source of effective assurance regarding arrangements for managing risk and maintaining an effective control environment That its recommendations are listened to and acted upon 	<p>The Standards and Audit Committee performs the functions of an Audit Committee. It is independent of the Executive and reports to Council. It receives regular reports and seeks assurances from Internal Audit and External Audit.</p>
F14	Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data	<p>The Council has existing data protection and security policies to ensure the proper collection, use, storage and control of its assets including data and information. Since the introduction of GDPR in May 2018 there has been monthly reporting of GDPR and cybersecurity issues to CMG. The Director of Democratic and Legal Services undertakes the role of Data Protection Officer at the Council</p>
F15	Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies	<p>Sharing data with other bodies is subject to oversight by the Director of Democratic and Legal Services. The Council has a number of Information Sharing Protocols with 3rd parties which incorporate appropriate safeguards to protect data.</p>
F16	Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring	<p>Performance data is reported regularly to senior management and Members and published publicly. Any issues arising or anomalies are investigated.</p>

The Council should demonstrate the following requirements		Position at Woking
F17	Ensuring financial management supports both long term achievement of outcomes and short-term financial and operational performance	<p>The Finance team monitors and reports on in-year performance and long term risks/financial pressures and trends.</p> <p>The Treasury management system tracks long term investments, and borrowing.</p> <p>Annual budget setting reports also refer to the MTFs, considering the long term implications of the budget to be approved.</p>
F18	Ensuring well-developed financial management is integrated at all levels of planning and control including management of financial risks and controls	<p>Services are supported by specified contacts in the finance team.</p> <p>The finance system provides accessibility to financial information and integrated, electronic processes.</p> <p>Finance monitoring reports are used from the finance system.</p> <p>Finance reporting monthly is included in the Green book with high-risk areas covered in detail and other variances reported by exception.</p> <p>Financial regulations and other operational instructions are reviewed to ensure they remain up to date with regard to structures, limits and operating practices. The Financial Regulations and Contract Standing will be updated as part of the review of the Constitution to be effective May 2021. .</p> <p>Induction training for all new staff signposts them to these regulations which can be found on the intranet.</p> <p>An update on audit reports and the recommendations in reports is reported to the Standards and Audit at each meeting and summary reports are available to all members.</p> <p>A Treasury Management strategy is agreed by the Executive in February prior to the operational year and a review of activity and performance is published in July of the following year after the year has ended. The Council complies with CIPFA guidance on Treasury Management. Monitoring takes place monthly with information in the green book and the O&S Committee has responsibility for the scrutiny of the function and receives a mid-year report.</p> <p>Capital and Investment Strategies, complying with new guidance, were approved by the Council in February 2019.</p> <p>During 2020 the Council will consider any changes required as a result of the new CIPFA Financial Management Code.</p>
G	Implementing good practices in transparency, reporting, and audit to deliver effective accountability	
G1	Writing and communicating reports for the public and other stakeholders in a fair, balanced and understandable style appropriate to the intended audience and ensuring that they are easy to access and interrogate	<p>Reports are written using plain language, in a standard format which assists with reviewing and ensures key information is covered. The Marketing and Communications team review language where appropriate</p>

The Council should demonstrate the following requirements		Position at Woking
		and some communications are reviewed independently to provide confidence that they are easily understood and accessible. There is Marketing and Communications strategy which incorporates an action plan. The Council website was modernised in 2018/19 making information easier to access.
G2	Striking a balance between providing the right amount of information to satisfy transparency demands and enhance public scrutiny while not being too onerous to provide and for users to understand	The requirements of the Local Government Transparency Code 2014 are addressed by a 'View our data' section on the internet. The Council uses datashare to make data accessible. Committee documents and webcasts are available online. Reports include an Executive Summary and sections on key implications. Detailed supporting information is included in Appendices. There are corporate processes in place for FOI requests which were improved during 2018/19 and now include monthly performance reporting to CMG.
G3	Reporting at least annually on performance, value for money and stewardship of resources to stakeholders in a timely and understandable way	The Green Book is published monthly reporting performance issues and variances by exception so focused and understandable.
G4	Ensuring members and senior management own the results reported	CMG members and all portfolio holders are accountable for the Green Book – performance and financial monitoring/outturn.
G5	Ensuring robust arrangements for assessing the extent to which the principles contained in this Framework have been applied and publishing the results on this assessment, including an action plan for improvement and evidence to demonstrate good governance (the annual governance statement)	The assessment is led by the Finance Director and Monitoring Officer, supported by CMG. Evidence is compiled from IA and all Senior managers. The draft statement is reviewed by the Standards and Audit Committee. Published in draft in Statement of Accounts. Final version published with final accounts. Improvement Plan is updated and new actions added if appropriate as a result of each review.
G6	Ensuring that this Framework is applied to jointly managed or shared service organisations as appropriate	Where the Council is party to joint arrangements appropriate governance arrangements are put in place.
G7	Ensuring the performance information that accompanies the financial statements is prepared on a consistent and timely basis and the statements allow for comparison with other, similar organisations	The annual statutory accounts are prepared following accounting guidelines and standards in accordance with the Code of Practice and to statutory timescales. Reconciliations are prepared to demonstrate consistency with management reporting. The foreword provides a narrative link from the monthly management reporting to the statutory outturn.
G8	Ensuring that recommendations for corrective action made by external audit are acted upon	Standards and Audit committee receive reports from External Audit with status of any outstanding recommendations.
G9	Ensuring an effective internal audit service with direct access to members is in place, providing assurance with regard to	Internal Audit reports to each meeting of the Standards and Audit Committee including all reports and all recommendations made in the

The Council should demonstrate the following requirements		Position at Woking
	governance arrangement and that recommendations are acted upon	<p>period. Summary reports are also available to members and independent members via their iPads.</p> <p>A new system to monitor the implementation of audit recommendations will be in place for 2020/21. Outstanding recommendations are reported to CMG and the Standards and Audit Committee.</p> <p>External Audit reports are presented to the Standards and Audit Committee as appropriate.</p> <p>The Standards and Audit committee has representation from across the council and is chaired by the Council's independent member during the year. The committee has clear terms of reference for their responsibilities.</p> <p>An independent person (although not a member of the Standards Committee) has been appointed following the adoption of the standards framework.</p>
G12	Ensuring that when working in partnership arrangements for accountability are clear and the need for wider public accountability has been recognized and met	<p>The Joint Committee, which incorporates the 'statutory' Crime & Disorder Reduction Partnership (Safer Woking Partnership), has agreed Terms of Reference and governance arrangements, that set out collective roles and responsibilities for participating organisations, including the Council.</p> <p>Services which are outsourced and operated by contractors are monitored.</p>

STANDARDS AND AUDIT COMMITTEE – 23 JULY 2020

INTERNAL AUDIT ANNUAL REPORT 2019/20

Executive Summary

This report contains the Head of Internal Audit (HOIA) annual assurance opinion on the control environment of Woking Council (Council) based on internal audit work undertaken during the 2019/20 financial year.

This opinion forms one of the key sources of assurances within the Council and used to inform the compilation of the Council's Annual Governance Statement which is included in the Financial Statements. The Internal Audit function of the Council, incorporating the HOIA is outsourced to Mazars LLP.

Towards the latter end of the 2019/20 financial year, with the Coronavirus pandemic (Covid-19), government's advice and lockdown restrictions, some service areas within the Council were unable to accommodate scheduled audits and these were deferred. In addition, a number of audits which were completed, had to be conducted remotely and in four cases, affected access to systems with the result that testing could not be carried out as planned.

These limitations in our coverage are not considered to be of high risk and will be picked up in due course and/or, by extending the period covered in any upcoming audits. The impact of these limitations in coverage is not considered to have a material impact on our ability to provide an annual opinion.

Overall controls are deemed to be adequate and effective within the Council. Where weaknesses have been identified, management have either implemented or agreed timescales for implementing Internal Audit recommendations in order to improve the control environment.

Recommendations

The Committee is requested to:

RESOLVE That

- (i) the annual assurance opinion of the Head of Internal Audit over the control environment be noted.

The Committee has authority to determine the above recommendations.
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Background Papers: None.

Reporting Person(s): Graeme Clarke, Director, Mazars LLP
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Date Published: 15 July 2020

1.0 Introduction

- 1.1 The purpose of internal audit is to provide the Council, through the Standards and Audit, Committee (Committee) and the Finance Director (as the Chief Finance Officer) with an independent and objective opinion on risk management, control and governance and their effectiveness.
- 1.2 This annual report forms part of the framework of assurances that is received by the Council and should be used to help inform the Annual Governance Statement within the Financial Statements. Internal Audit also has an independent and objective consultancy role to help line managers improve risk management, governance and control.
- 1.3 Our professional responsibilities as internal auditors are set out within UK Public Sector Internal Audit Standards (PSIAS).
- 1.4 The report summarises the internal audit activity for 2019/20 and, therefore, does not include all matters which came to our attention during the year. Such matters have been included within our summary reports to Committee during the course of the year.

2.0 Internal Audit Opinion 2019/20

- 2.1 Based on the audit work performed, overall we consider the control framework operated within the Council to be generally adequate and effective. Whilst there are some areas of activity where the expected levels of control have not been fully achieved, where this is the case actions have been taken, or are in progress, in response to internal audit recommendations made.

3.0 Delivery of the 2019/20 Internal Audit Plan

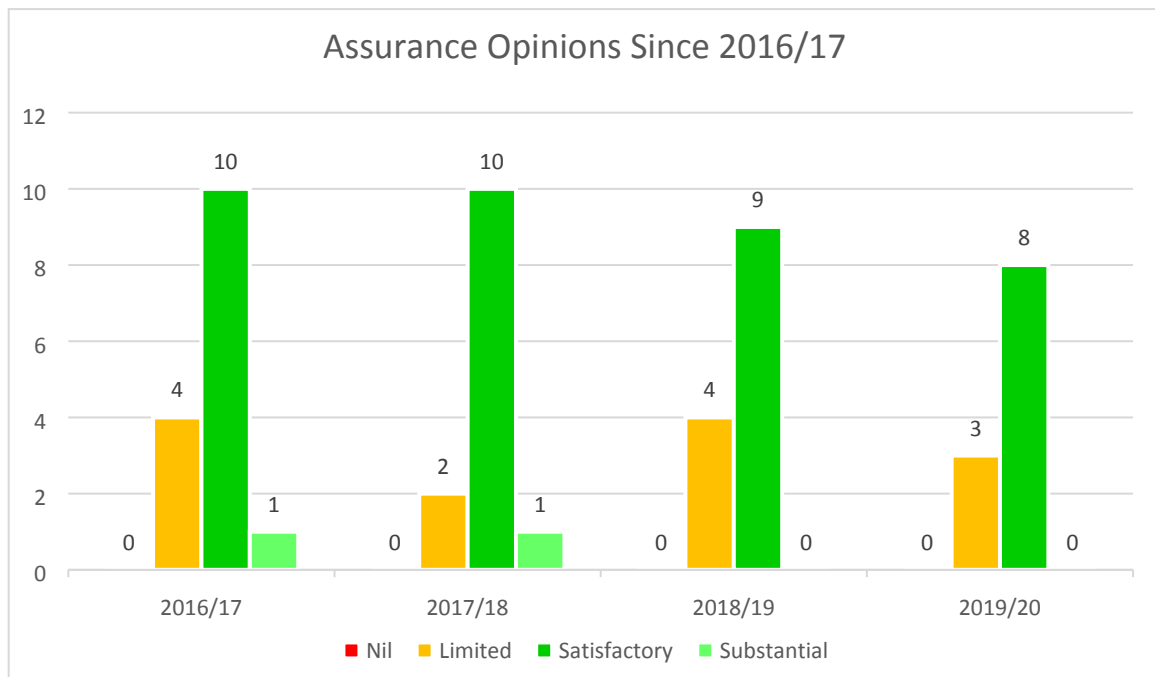
- 3.1 The 2019/20 Internal Audit Plan (Plan) was agreed by the Committee in March 2019, with 305 audit days allocated. The audits in the Plan, comprised a mixture of, key financial systems, service specific (operational and financial), corporate wide and IT reviews.
- 3.2 Out of 23 reviews planned for the year, 14 are finalised, four are at draft report stage awaiting management comments, and five were carried forward into the 2020/21 year (Community Infrastructure Levy (CIL), Victoria Square Development, Risk Management, Capita Open Housing and Office 365).
- 3.3 Of the four draft reports, at the time of our annual report two were deemed to have Limited assurance and included a total of seven High Priority recommendations between the two. However, it should be noted that we are waiting for management comments from the report as well as validation and agreement of recommendations raised.
- 3.4 From the 14 finalised reviews, 11 were on an assurance basis, where we provide an opinion based on our assessment of the control environment. Of these 11 finalised reports, eight (72%) received a satisfactory assurance opinion and three (27%) received a Limited assurance opinion. The remaining three final reviews, are related to advisory work and the continuous monitoring of key financial systems where no opinion is given due to the nature of the work.

- 3.5 There were two IT reviews undertaken during the 2019/20 financial year, IT Strategy and FlexiRoute Application. Although these two audits were part of the 2018/19 Plan, these were considered in forming our opinion for this year. The 2019/20 IT reviews were defined in the latter end of the financial year and, due to Covid-19, were agreed to be included in the 2020/21 Plan.
- 3.6 Details of the issues raised in audit reports are included in summary reports that have been made available to the Committee.
- 3.7 In addition to the above assurance based reviews carried out from the Plan, Internal Audit have also given advice/assistance to business areas as appropriate. For example, the Council Risk Management framework.

4.0 Benchmarking

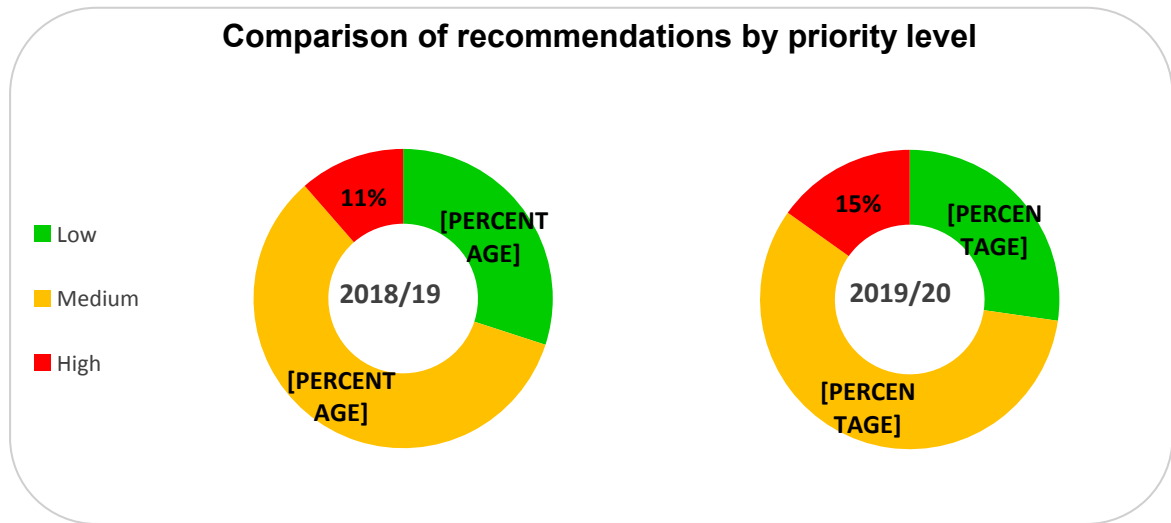
Assurance Levels

- 4.1 The chart below shows the distribution of assurance over the past four years. Overall, levels have largely remained consistent over this time. The reduction in opinions in 2019/20 is due to three reviews being advisory and therefore not included in this chart.



Recommendations

- 4.2 During 2019/20, we have made a total of 66 new recommendations. Ten of these recommendations were High Priority, 38 were Medium Priority and 18 categorised as Low Priority. Details are shown in Appendix 1 which also includes seven recommendations from a 2018/19 audit.
- 4.3 Details of the total and categorisation of recommendations in 2018/19 are also provided in the table below.



Compared to 2018/19, whilst the total number of recommendations has decreased (70 recommendations made in 2018/19), the distribution of priorities has remained similar with a small increment of High Priority recommendations raised in 2019/20.

5.0 Follow Up

- 5.1 Internal audit recommendations are categorised according to priority (High, Medium and Low). This gives management an indication on the urgency of implementing the suggested control.
- 5.2 Historically the Council's improvement tracking tool, Shikari, was used to record all recommendations made in Internal Audit reports and to monitor their implementation status. The Shikari system was decommissioned in 2018 and a spreadsheet tracking system had been adopted until the new SharePoint based system went live at the end of June 2020.
- 5.3 Internal Audit request updates from management to monitor levels of implementation. This is supplemented by spot checks in the business area concerned to confirm that the recommendation is being implemented in practice. A procedure is in place to escalate recommendations that have not been implemented to CMG and finally to this Committee where necessary.
- 5.4 As at June 2020, there are seven high priority recommendations outstanding. Five of which are due for implementation within the year and were followed up to confirm that they had been implemented. Of the five recommendations raised and due, one of these, related to Homelessness, was fully implemented. It is worth mentioning that the implementation date in three recommendations was impacted by the Covid-19 pandemic.
- 5.5 All outstanding internal audit recommendations will be uploaded to the new SharePoint based system in July 2020 by Internal Audit and monitored throughout the year.

6.0 Implications

Financial

- 6.1 There are minimal financial implications around the implementation of internal audit recommendations. Some audit recommendations are designed to improve value for money and financial control.

Human Resource/Training and Development

- 6.2 Some audit recommendations need resource to put in place.

Community Safety

- 6.3 None.

Risk Management

- 6.4 Internal Audit identifies weaknesses in the control environment. Implementation of recommendations therefore improves the control environment and hence the management of risk.

Sustainability

- 6.5 There is minimal impact on sustainability issues.

Equalities

- 6.6 There is minimal impact of equalities issues.

REPORT ENDS

APPENDIX 1

Audit	Progress	Assurance Opinion	Recommendations		
			High	Medium	Low
People					
Community Centres	Final	Satisfactory	0	5	0
Homelink – Handyman Service	Final	Satisfactory	0	0	1
Housing Allocations	Final	Satisfactory	0	3	0
HMO and Selective Housing Licensing	Final	Satisfactory	0	4	1
Right to Buy	Final	Satisfactory	0	2	1
Place					
Street Cleansing and Ground Maintenance Contract (Serco)	Final	Limited	0	5	1
Managing Agents Health & Safety	Draft	Limited	3	5	4
Community Infrastructure Levy (CIL)	Deferred	-	-	-	-
Brookwood Cemetery	Final	Satisfactory	0	2	2
Us					
Data Breaches	Draft	Satisfactory	0	3	2
Corporate					
Key Financial Control Testing	Final	N/A - Compliance	0	0	2
NNDR	Final	Satisfactory	0	2	0
Cash Receipting/Collection Systems	Final	Limited	1	1	0
Fraud Service	Final	Limited	2	3	1
Risk Management	Deferred	-	-	-	-
Risk Management – Strategy Review	Final	N/A - Advisory	-	-	-
Victoria Square Development	Deferred	-	-	-	-
Group Companies – Thamesway H&S and Housing	Final	Satisfactory	0	2	2
Off-Payroll Engagement (IR35)	Draft	Limited	4	1	1
IT					
Capita Open Housing	Deferred	-	-	-	-
Office 365	Deferred	-	-	-	-
IT Strategy (2018/19 Plan)	Final	N/A - Advisory	-	-	-
FlexiRoute Application (2018/19 Plan)	Draft	Satisfactory	0	4	3
Total			10	42	21

STANDARDS AND AUDIT COMMITTEE - 23 JULY 2020

HEALTH AND SAFETY ANNUAL REPORT

Executive Summary

The Health and Safety at Work etc. Act 1974 and subsequent legislation places a general duty on the Council to ensure, so far as is reasonably practicable, the health, safety and welfare at work of their employees and others such as the general public who use the Council's facilities and may be affected by the carrying out of the work the Council does.

This report provides the Standards and Audit Committee with a review of health and safety activity during 2019/2020.

This report demonstrates that there are no matters of concern.

Recommendations

The Committee is requested to:

RESOLVE That the Health and Safety Annual Report be received with no matters of concern.

The Committee has the authority to determine the recommendation(s) set out above.

Background Papers: None.

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Date Published: 15 July 2020

REPORT ENDS

HEALTH AND SAFETY ANNUAL REPORT

1.0 Introduction

1.1 The annual Health and Safety report to Standards and Audit is based on quarterly reports to CMG, with the 4th quarterly report – i.e. the report for the whole of the financial year - being submitted to Standards and Audit. This is the report for quarter 4 of the 2019/20 financial year covering the whole year.

2.0 Health and Safety Audits

2.1 The Health and Safety audits and risk assessment reviews being undertaken by external consultants RSK Environmental have been completed. When reports are received they are sent to the relevant senior manager for action and comment, and also to CMG.

2.2 RSK Environmental are now auditing partners and have so far completed an audit on New Vision Homes. RSK have made initial contact with Serco and Skanska about auditing them, but meetings are on hold at the moment due to the COVID-19 issues. However the RSK consultant will be attempting to set up some Microsoft Teams video meetings with SERCO, in the coming weeks, to try to complete the SERCO audit by the end of May unless face to face meetings are required. The same approach will be taken with Skanska with the aim to complete this audit by the end of June.

3.0 Health and Safety Activities 2019/20

3.1 The Senior Health and Safety Officer has been seconded to Elmbridge BC with effect from 1 March 2019 and currently spends two days per week working at Elmbridge.

3.2 Health and Safety activities this year include:

- publishing the updated Work Related Stress Policy
- publishing the updated Fire Safety Policy
- publishing the updated Electrical Safety Policy

3.3 Evacuation procedures were tested at the Civic Offices on 28 May and 25 October 2019 and observed by the Senior Health and Safety Officer. Training needs were identified during the fire drill and a message was put on ewokplus after each reminding staff of the correct procedure.

3.4 A genuine fire alarm activation took place at the Civic Offices on 10 June 2019.

3.5 Evacuation procedures at other buildings have been tested but not observed by the Senior Health & Safety Officer: The Vyne 27th June 2019 and 13 January 2020, Moorcroft 10 August 2019, St Marys 15th Nov 2019 and Parkview on 18 February 2020.

3.6 Risk assessments have been reviewed and updated this financial year for:

Brockhill;	Building Control;	Car Park Control Room
Christmas Tree;	Civic Offices car park;	Civic Offices first aid provision;
Community Meals;	Council-wide office work;	Development Management, Planning

		Enforcement and Business Support;
Estate Management;	Family Support Programme;	Financial Services;
Green Infrastructure (plus Green Infrastructure – Balsam);	Health & Safety and Insurance;	HG Wells (general, kitchen and work at heights);
Home Independence;	Homelink Handyperson;	Housing Needs;
Housing Standards;	ICT and ICT sites;	Moorcroft;
Neighbourhood Team;	Parking Voucher Officer;	Planning Policy;
Revenues, Benefits and Customer Services;	The Vyne;	use of evacuation chair;
use of lifts to evacuate the Civic Offices;		

3.7 It has not been possible to find risk assessments in the Risk Assessment library on SharePoint that have been updated in the 2019/20 financial year for the following activities:

Building Services;	Building Services – Engineering and Housestaff/Security	Family Centres;
Parking CEOs;		

The relevant senior managers have been contacted and asked to move their risk assessments into the correct library on SharePoint.

3.8 All current Health and Safety documents are available on the Health and Safety pages on ewokplus.

4.0 Accidents

4.1 Detailed accident statistics for the period 1 April 2019 to 31 March 2020 are attached in Appendix 1.

4.2 There were nine accidents to staff, one of which required to be reported to the Health and Safety Executive (HSE) in accordance with the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (RIDDOR). Appendix 1 also lists one accident report for an instance of ill health experienced by an employee. In the whole of last year there were five accidents, and none were reported to the HSE.

4.3 There were sixteen accident reports relating to non-employees, none of which were reported to the HSE under RIDDOR. These are detailed in Appendix 1 where it can be seen that thirteen of them are not work related. The Council were advised of five further accidents by way of a claim for compensation where no accident form was received. Appendix 1 also lists two accident reports for instances of ill health experienced by non-employees and one accident that occurred in an area that is leased to the DWP and not under WBC control. In

the whole of last year there were 21 accidents to non-employees and none were reported to the HSE under RIDDOR.

Freedom Leisure

- 4.4 Accident statistics for Freedom Leisure are shown in Appendix 2. There were six employee accidents at the Leisure Centre, eight at the Pool in the Park and four employee accidents at the Sportsbox. One accident to an employee at the Pool in the Park was required to be reported under RIDDOR.
- 4.5 At the Leisure Centre there were 193 accidents to non-employees. Amongst these were 131 accidents where the cause is listed as a sporting injury. No accidents to non-employees were required to be reported under RIDDOR.
- 4.6 At the Pool in the Park, there were 81 accidents to non-employees. Amongst these were 63 accidents where the cause is listed as sport related. No accidents to non-employees were required to be reported under RIDDOR.
- 4.7 One of the four employee accidents at the Sportsbox occurred outside of Freedom's premises. There were 15 accidents to non-employees. None were required to be reported under RIDDOR.
- 4.8 Of these accidents, 22 (11 reported at the Leisure Centre, 10 at the Pool and one at the Sportsbox) were reported as having occurred outside of Freedom's premises, which may include accidents in Woking Park, the slope up to the Pool, the skate park, the children's play area and the car parks. Freedom Leisure are not responsible for these areas, but the public sometimes go to the Pool, Leisure Centre and the Sportsbox seeking first aid treatment. Disregarding the accidents that occurred outside of Freedom's premises, there were 182 accidents to non-employees at the Leisure Centre, and 71 accidents to non-employees at the Pool and 14 accidents to non-employees at the Sportsbox.
- 4.9 To put these figures in context, in this period of time there were 333,365 visitors to the Leisure Centre, 282,970 visitors to the Pool and 66,008 visitors to the SportsBox.

New Vision Homes

- 4.10 There were four accidents to staff, none of which were RIDDOR reportable. There were eighteen accidents to non-employees, one of which was RIDDOR reportable.

Amey

- 4.11 There were 18 accidents to staff, none of which was RIDDOR reportable. There were no accidents to non-employees.

Brookwood Cemetery

- 4.12 There were three accidents to staff members and one accident to a non-employee, none of which were RIDDOR reportable.

Serco

- 4.13 There were 15 accidents to staff, two of which were RIDDOR reportable. There were no accidents to non-employees.

Thameswey Group

4.14 There were no accidents to staff members or non-employees.

Table 1	Employee		Non-employee		RIDDOR Reportable	
	This year	Last year total	This year	Last year total	This year	Last year total
Summary Accident Statistics						
Woking Borough Council	9	5	16	21	1	0
Amey	18	17	0	0	0	1
Brookwood Cemetery	3	2	1	0	0	0
Freedom Leisure - Leisure Centre	6	2	182	256	0	0
- Pool in the Park	8	9	71	53	1	0
- Sportsbox	4	1	15	13	0	0
Woking Park/Skate Park etc. (reported to Freedom Leisure)	1	0	21	23	0	0
New Vision Homes	4	2	18	8	1	0
SERCO	15	19	0	1	2	0
Thameswey Group	0	1	0	0	0	0

5.0 Incidents

5.1 No near miss reports were received.

5.2 There were seventeen aggressive incident reports received, relating to fourteen incidents. In the whole of last year there were 26 aggressive incident reports completed during the year for 15 incidents.

5.3 Three of the incidents took place in the One Stop Shop, seven on the phone (six verbal and one by text message) and the remaining four took place outside of WBC premises. One incident in the One Stop Shop and one of the on street incidents were assaults.

5.4 Following the fourteen incidents reported, eight people were sent a letter advising that their behaviour was not acceptable and that a marker had been placed against their records. Whilst the name of the aggressors was not known in one of the on street incidents, they were in a liveried vehicle and a letter was sent to the firm who own the vehicle. Seven incidents were reported to the Police.

6.0 Health & Safety Training

6.1 All Council staff plus staff from other organisations that are based in the Civic Offices or who visit regularly and require a photo ID card receive a Health and Safety induction before

a photo ID card is issued. Once a photo ID card is issued, the holder can move around the Civic Offices without needed to be escorted by a member of Council staff.

- 6.2 Inductions are held every Monday morning (although inductions for Street Angels are usually held outside office hours) and take approximately 45 minutes.
- 6.3 Training undertaken this financial year includes:
- Induction training for all staff on their first day - 135 staff and work experience students.
 - Induction training for all staff from other organisations who are based in the Civic Offices including:
 - Brookwood Cemetery – 1 person
 - DWP – 2 people
 - New Vision Homes – 12 people
 - Skanska and their contractors - 19 people
 - Street Angels – 7 people
 - Surrey County Council - 21 people
 - Surrey Police front counter staff – 14 people
 - Thameswey Group – 2 people
 - Others - 23 people
 - First Aid training courses including:
 - Emergency First Aid at Work course (1 day) – 4 people
 - First Aid at Work (3 day initial training or 2 day requalification) – 4 people
 - Fire safety training:
 - initial Fire Warden training for 5 new Fire Wardens at the Civic Offices
 - Fire safety training for 2 staff at Centres.
 - Practical fire extinguisher training for 9 people
- 6.4 The Assessrite (Display Screen Equipment) online course and self-assessment should be completed annually by all staff who use a computer for more than 20% of the time. A total of 251 current staff have completed this during the past 12 months (it should be repeated every 12 months) and 209 people had not completed this in 2019/20. However, 74 people have completed it between the end of quarter 3 and the time of writing.
- 6.5 All staff have been sent email notification to start the following online training courses: “Firerite” (fire safety) , “OHSa” Office Health and Safety Awareness, which should be completed annually. In addition, all staff are required to complete “Handlerite” (manual handling) and “Slips Trips and Falls” every three years.
- 6.6 Managers and senior managers have been notified to complete the Office Health and Safety Awareness for Line Managers (OHSALM) course annually instead of “OHSa” Office Health and Safety Awareness. They are also required to complete “Risk Assessment” annually.
- 6.7 Relevant staff have been notified to start other courses including “Homeworkers”, “Asbestos Awareness”, “Work at Height”, “Driver Awareness”, “Food Safety 1 and Food Safety 2”, “First Aid”, “COSHH” (chemical substances) and “Conflict Resolution”.
- 6.8 “Firerite” online fire safety training – in this current cycle, 309 current staff have completed it and 153 people had not completed this by 31 March.
- 6.9 Office Health and Safety Awareness (OHSa) online training – in the 2019/20 financial year, 216 current staff have completed it and 158 people who were assigned it had not completed

it by 31 March. Managers and Senior Managers are assigned the “Office Health and Safety Awareness for Line Managers” (OHSALM) variant and do not need to do both.

- 6.10 Office Health and Safety Awareness for Line Managers (OHSALM) online training – Senior Managers who had attended the IOSH “Managing Safely” course in January 2019 were excused from the online OHSALM training for 2018/2019. The annual reminder was sent out at the beginning of October 2019. In the 2019/20 financial year, 43 current staff have completed it and 34 people who were assigned this course had not completed it by 31 March.
- 6.11 Handlerite manual handling online training - since November 2017 when this course was released, 349 current staff have completed it and 123 people who were assigned this course had not completed it by 31 March.
- 6.12 Slips, trips and falls online training - since July when this course was released, 337 current staff have completed it and 130 people who were assigned this course had not completed it by 31 March.
- 6.13 Homeworkers online training – in the current cycle, 94 current staff had completed this course by the end of March. However, due to the Covid-19 pandemic causing many staff to work from home, all staff were then allocated this course. The WorkRite system shows all staff currently allocated the course and cannot show just those who were allocated the course before the pandemic.
- 6.14 Asbestos Awareness online training – in the current cycle, 48 current staff had completed it and 11 people who were assigned this course had not completed this by 31 March.
- 6.15 Work at Height online training – in the current cycle 55 people have completed it and 4 people who were assigned this course had not completed this by 31 March.
- 6.16 COSHH online training – in the current cycle, 35 current staff had completed it and 5 people who were assigned this course had not completed this by 31 March.
- 6.17 Food Safety 1 online training is undertaken by relevant people in the Meals Service and in Centres. In the current cycle, 38 current staff have completed it and 4 staff who had been assigned it had not completed it by 31 March.
- 6.18 Food Safety 2 online training is undertaken by relevant people in the Meals Service and in Centres. In the current cycle, 33 current staff have completed it and 8 staff who had been assigned it had not completed it by 31 March.
- 6.19 First Aid online training was sent to people who hold either the three day “First Aid at Work” or the one day “Emergency First Aid at Work” qualifications in January – 54 current staff have completed it and 4 staff who had been assigned this course had not completed it by 31 March.
- 6.20 Driver Awareness online training is undertaken by relevant staff – in the current cycle, 90 current staff have completed it and 129 staff who had been assigned this course had not completed it by 31 March..
- 6.21 A Legionella online training course was released this year and was made available to relevant staff - 13 current staff have completed it and 13 staff who had been assigned this course had not completed it by 31 March.
- 6.22 Three reminders are sent automatically to all those with an outstanding online course.

- 6.23 After the quarter 2 report, the Chief Executive asked for more information about the WorkRite courses to be given to himself and the Head of Legal and Democratic Services. This was emailed to the Chief Executive and the Head of Legal and Democratic Services on 2 January 2020.
- 6.24 These e-learning courses help the Council to ensure that staff receive refresher health and safety training. It would be greatly welcomed if CMG would support this by making it clear that this training is mandatory and advising Senior Managers that their staff are required to complete the training when it is scheduled.

7.0 Planned Work for 2020/21

7.1 The Health and Safety work in 2020/21 will include the following:

- Finalising the updating of the Handling Aggression at Work Policy.
- Reviewing and updating:
 - Driving On Council Business Policy
 - First Aid Policy
 - Work at Height Policy
 - Manual Handling Policy
 - Gas Safety Policy
 - Asbestos Policy
- reviewing all remaining policies to see if they require updating (as per previous Internal Audit requirement)
- continuing to add, update and improve health and safety information available on ewokplus;

8.0 Implications

Financial

- 8.1 Costs associated with training and maintaining a safe working environment are provided for within existing funds.

Human Resource/Training and Development

- 8.2 Training is crucial to maintaining a good health and safety record and avoiding accidents. As well as the training matters referred to in this report there remains a significant commitment to continuing this in the future and health and safety, particularly maintaining awareness, is a key part of the Corporate Learning and Development Plan.

Community Safety

- 8.3 This aspect of Health and Safety specifically relates to the Council's duties as an organisation, an employer and with the safety of the community using Council premises. Other aspects of community health and safety, including food hygiene are dealt with in Environmental Health.

Risk Management

- 8.4 The steps taken to identify and mitigate against health and safety risks are contained within the report.

Sustainability

8.5 No impact.

Equalities

8.6 Equalities information is not recorded on accident statistics. However, none of the reported accidents are considered to be a result of equality issues.

REPORT ENDS

ACCIDENT ANALYSIS SUMMARY TABLE

Number of accidents to **EMPLOYEES** in the period 1 April 2019 to 31 March 2020

LOCATION	Brockhill	Car Parks	Civic Offices	Centres	Centre grounds/ car park	Comm Meals Kitchens	H G Wells	Paths & roads	Sheltered schemes	Non-WBC premises	Other	TOTAL
CAUSES												
Slips, trips & falls on the level			1		1	1						3
Falls up/down stairs												0
Falls from height												0
Walked into something												0
Driving												0
Falling/dropped objects				1								1
Loading/unloading vehicles												0
Handling objects										1		1
Lifting/carrying/pushing/pulling			1									1
Tools/ machinery/ hand tools							1					1
Cooking/kitchen work												0
Cleaning												0
Other			2									2
TOTAL	0	0	4	1	1	1	1	0	0	1	0	9
INJURIES												
No injury												0
Minor bump or knock			1									1
Minor cuts & grazes			1			1						2
Bruising				1								1
Larger cuts / puncture wounds					1		1					2
Burns & scalds										1		1
Strains, sprains & pains			2									2
Back pain												0
Fractures												0
Eye injuries												0
Other injury												0
TOTAL	0	0	4	1	1	1	1	0	0	1	0	9
A. Major												0
B. Serious				1								1
C. Minor	0	0	4	0	1	1	1	0	0	1	0	8

A. Treatment at hospital (24 hours) or major injury (RIDDOR reportable - Reporting of Injuries Diseases and Dangerous Occurrences Regulations 1995)

B. More than 3 days absence from work (RIDDOR reportable)

C. No absence or return to work within 3 days (not reportable) **Page 59**

Summary of Accident Report Forms Completed For Employees

Serious accidents reported to HSE under RIDDOR:

The following accidents were reported under RIDDOR:

<u>Building</u>	<u>Location</u>	<u>What happened</u>	<u>Injury</u>
The Vyne	main hall	IP was moving an extendable ladder and the top half fell at hit IP on the head.	bruising to top of head

Accident details

<u>Building</u>	<u>Location</u>	<u>What happened</u>	<u>Injury</u>
Private dwelling		IP had taken off his gloves to use the keysafe and as he picked up the meal the pudding spilled onto his hand	Burn to little finger on right hand
Civic Offices	4th floor south	The archiving box was full so IP took some files out of the box. When IP was replacing those files she felt pain. IP has had a herniated disc and sometimes simple movements results in back injuries. Aggravated pre-existing condition	back pain
Civic Offices	1st floor south	IP was kneeling on the floor reaching into the back of a cupboard. As she went to move backwards her head caught the metal plate that hangs down from the top of the cupboard (secures lock)	cut to head
Civic Offices	ground floor west	chair broke and IP fell to the floor	jarred shoulder, back and knee
Moorcroft	meals office	IP stood up from desk and tripped over a stool. Fell face forward, hit forehead, chipped glasses, knee and arm. Felt better and sat in a chair but then came over hot and started vomiting. Phoned for an ambulance as it was a head injury, they spoke to the IP and it was decided that her husband would take her to hospital as he had arrived. Later released to go home.	banged forehead, abrasion on arm, knee swollen
Brockhill	car park	IP's foot gave way after recent muscular injury. IP tripped and fell, breaking their fall with their left arm	deep cut to top of middle finger, bruising to elbow
HG Wells	Wells Room	IP was using scissors to open a ballot box and the scissors slipped.	deep cut at base of left thumb
Civic Offices	1st floor	As IP was about to sit down, the chair rolled back and she landed on the floor	pain in lower back/hip

Other accident forms

One accident form was received for illness.

<u>Building</u>	<u>Location</u>	<u>What happened</u>	<u>Injury</u>
Civic Offices	1st floor west wing	IP taken ill with severe stomach ache.	none

* Note – IP is an abbreviation for “injured person”. This avoids the use of their name, for privacy.

ACCIDENT ANALYSIS SUMMARY TABLE

Number of accidents to **NON-EMPLOYEES** in the period 1 April 2019 to 31 March 2020

LOCATION	Brockhill	Car Parks	Civic Offices	Centres	Centre grounds/ car park	Comm Meals Kitchens	H G Wells	Paths & roads	Sheltered schemes	Non-WBC premises	Other	TOTAL
CAUSES												
Slips, trips & falls on the level		2		11	1		1					15
Falls up/down stairs											1	1
Falls From height												0
Walked into something												0
Driving												0
Falling/dropped objects												0
Loading/unloading vehicles												0
Handling objects												0
Lifting/carrying/pushing/pulling												0
Tools/ machinery/ hand tools												0
Cooking/kitchen work												0
Cleaning												0
Other												0
TOTAL	0	2	0	11	1	0	1	0	0	0	1	16
INJURIES												
No injury				6								6
Minor bump or knock				2								2
Minor cuts & grazes		1		1	1		1					4
Bruising				1								1
Larger cuts / puncture wounds											1	1
Burns & scalds												0
Strains, sprains & pains		1		1								2
Back pain												0
Fractures												0
Eye injuries												0
Other injury												0
TOTAL	0	2	0	11	1	0	1	0	0	0	1	16
INJURY SEVERITY												
A. Major												0
B. Serious												0
C. Minor		2		11	1		1				1	16

A. Major injury as defined by RIDDOR (*Reporting of Injuries Diseases and Dangerous Occurrences Regulations 1995*)

B. RIDDOR reportable because injured party taken directly to hospital

C. Not RIDDOR-reportable

Summary of Accident Report Forms Completed For Non-Employees

Serious accidents reported to HSE under RIDDOR:

No accidents were reported under RIDDOR.

Accident details

<u>Building</u>	<u>Location</u>	<u>What happened</u>	<u>Injury</u>
Woodlands House	outside	IP fell going up the steps of the Bustler Bus and cut her leg.	Leg was bleeding and sore.
	Sheer House car park	Fell over tree root in Sheer House Car Park . Notified by claim for compensation, no accident form received.	Soft tissue damage to knee
The Vyne	café	IP fell whilst walking with Zimmer frame	none
The Vyne	café	IP fell whilst moving at table, hit head on leg of chair	cut to back of head
HG Wells	Wells Room	IP was playing on and around the temporary stage of the Welcome Church when she tripped over. IP grounded her right hand onto a glass ornament attached to her bracelet. The shape of the ornament caused a cut in the fleshy part of IP's right palm.	small cut approx 10mm
Moorcroft	car park	IP slipped whilst getting into his car and landed on the ground	small cut on elbow
Civic Offices	car park	IP tripped over raised paviour in rear car park	graze/cut and bruising to knee, grazed hand
St Marys	coffee shop	IP was saying goodbye to another client, giving her a hug when they lost balance and fell over. IP hit her head on a table.	None
St Marys	coffee shop	IP was saying goodbye to another client, giving her a hug when they lost balance and fell over. IP hit her head on a table.	felt dizzy, bruise on arm, left wrist hurts
Moorcroft	Main Hall	IP fell in Main Hall. She has reduced mobility and uses a walking aid which she had left by the table. No defects found	bump to head
Moorcroft	back lounge room	IP (child) was sitting on a chair, rocking it back and forth then the chair tipped right back and she fell to the floor and bumper her head.	no injury
Civic Offices	reception area	IP felt unwell so came into the Civic Offices to sit down. He was unsteady on his feet and fell to floor.	no injury
Moorcroft	Main Hall	IP is unstable on her feet and got up too quickly form a chair and lost her balance.	soreness to lower back
Moorcroft	hallway from toilet to coffe bar	IP came from the disabled toilet and tripped on her feet. She had not taken her stick with her and was very unsteady.	none
Moorcroft	coffee bar area	IP uses a wheeled trolley. Whilst standing he lost balance backwards and fell.	none
Parkview	Main hall	IP felt dizzy when she stood up after yoga and fell, hitting her forehead.	bump on head, glasses pushed into side of face

Other accident forms

Two accident forms were received for illness.

<u>Building</u>	<u>Location</u>	<u>What happened</u>	<u>Injury</u>
Moorcroft	Main Hall	IP was calling bingo on the stage in the hall and started to feel unwell. He had a pain in his chest and was sweating profusely, he then vomited. Ambulance called - arrived 30 mins later. He was sick a few more times and looked as if he would pass out.	none

HG Wells	Wells Room	As IP was leaving the tea dance she felt dizzy and felt pain in chest.	chest pain and dizziness
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Accidents to non-employees not on our premises

One accident to an non-employee that was notified to us occurred in the DWP office which is not under the control of WBC.

<u>Building</u>	<u>Location</u>	<u>What happened</u>	<u>Injury</u>
Civic Offices	DWP office	IP has mobility issues and struggles to raise his foot. He caught his foot on the floor in the DWP customer area and lost his balance. He managed to brace his falls with his hands.	bruised elbow and knee

Five accidents were notified to us by way of claims for compensation, but the accidents did not occur on WBC premises

Injury to arm and temple caused by an attack at Brookwood Cemetery - notified by claim for compensation but not WBC premises
Fall in Wolsey Place Shopping Centre - notified by claim for compensation but not WBC premises
Fall in Wolsey Place Shopping Centre - lifts - notified by claim for compensation but not WBC premises
Fall at the back of 83 Walton Road - notified by claim for compensation but not WBC responsibility
Fall in the underpass of the train station due to wet floor - notified by claim for compensation but not WBC premises

* Note – IP is an abbreviation for “injured person”. This avoids the use of their name, for privacy.

Freedom Leisure

Accident stats 01/04/19- 31/03/20

Woking LC

Total visitors 333365

Percentage of accidents 0.05%

	Total accidents	RIDDOR reportable	Non RIDDOR reportable	Sport related	Outside (Playground/ skate park/ car park)
Customer	193	0	193	131	11
Staff	6	0	6	0	0
Total	199	0	199	131	11

PITP

Total visitors 282970

Percentage of accidents 0.03%

	Total accidents	RIDDOR reportable	Non RIDDOR reportable	Sport related	Outside (Playground/ skate park/ car park)
Customer	81	0	81	63	10
Staff	8	1	8	0	0
Total	89	1	89	63	10

Sportsbox

Total visitors 66008

Percentage of accidents 0.02%

	Total accidents	RIDDOR reportable	Non RIDDOR reportable	Sport related	Outside (Playground/ skate park/ car park)
Customer	15	0	15	14	0
Staff	4	0	4	0	1
Total	19	0	19	14	1

STANDARDS AND AUDIT COMMITTEE – 23 JULY 2020

CONSULTATION ON DRAFT MODEL MEMBERS' CODE OF CONDUCT

Executive Summary

The Localism Act 2011 requires Councils to publish a Members' Code of Conduct that sets out the standards of behaviour expected of Members when acting as a Member of their Council. The Code of Conduct also deals with the registration of pecuniary and non-pecuniary interests.

The LGA is consulting on a draft Model Members' Code of Conduct. This report gives details of the consultation exercise.

Recommendations

The Committee is requested to:

RESOLVE That the position on the LGA's Draft Model Members' Code of Conduct be noted.

The Committee has the authority to determine the recommendation(s) set out above.

Background Papers: LGA consultation documents

Reporting Person: Peter Bryant, Director of Legal and Democratic Services/Monitoring Officer
Email: peter.bryant@woking.gov.uk, Extn: 3030

Contact Person: Peter Bryant, Director of Legal and Democratic Services/Monitoring Officer
Email: peter.bryant@woking.gov.uk, Extn: 3030

Date Published: 15 July 2020

STA20-008

1.0 Introduction

- 1.1 The Localism Act 2011 requires Councils to publish a Members' Code of Conduct that sets out the standards of behaviour expected of a Member when acting as a Member of their Council. The Code of Conduct also deals with the registration of pecuniary and non-pecuniary interests.
- 1.2 The Members' Code of Conduct adopted by the Council is appended at Appendix 1.
- 1.3 The LGA is consulting on a new Model Members' Code of Conduct that could be adopted by Councils. This report gives details of the consultation

2.0 LGA Consultation

- 2.1 The LGA is providing the Model Members' Code of Conduct for consultation as part of its work on supporting the local government sector to continue to aspire to high standards of leadership and performance.
- 2.2 The LGA states:-

"The role of councillor in all tiers of local government is a vital part of our country's system of democracy. In voting for a local councillor, the public is imbuing that person and position with their trust. As such, it is important that as councillors we can be held accountable and all adopt the behaviours and responsibilities associated with the role. The conduct of an individual councillor affects the reputation of all councillors. We want the role of councillor to be one that people aspire to and want to participate with. We want to continue to attract individuals from a range of backgrounds and circumstances who understand the responsibility they take on and are motivated to make a positive difference to their local communities.

All councils are required to have a local Member Code of Conduct. This Model Member Code of Conduct is now out for consultation. It has been developed in collaboration with the sector and will be offered as a template for councils to adopt in whole and/or with local amendments. The LGA will undertake an annual review of the Code to ensure it continues to be fit-for-purpose, particularly with respect to advances in technology, social media and any relevant changes in legislation."

- 2.3 A copy of the draft Model Code of Conduct is attached as Appendix 2. This is broadly in line with the Council's existing Members' Code of Conduct (both are based on the seven principles of public life, i.e. Selflessness, Integrity, Objectivity, Accountability, Openness, Honesty and Leadership).
- 2.4 The LGA consultation runs until Monday 17 August 2020. The primary means of responding is through an online consultation questionnaire, accessible through the following link:-

https://research.local.gov.uk/jfe/form/SV_blupYNXmiJ0xECV

The LGA has issued a pdf copy of the questions contained in the online consultation questionnaire (attached as Appendix 3).

- 2.5 The consultation process allows Councillors to respond to the LGA on an individual basis. As the Members' Code of Conduct impacts on Members in a similar way, this approach to the consultation is supported. Member Services will be able to assist if any Member has difficulty in accessing the on-line questionnaire through the link in paragraph 2.4 above.
- 2.6 The LGA has arranged a series of webinars designed to provide attendees with the opportunity to find out about the background and reasoning behind the drafting of the draft Model Code. These are being held on 29 July 2020, Thursday 30 July and Wednesday 5 August, on all

Consultation on Draft Members' Code of Conduct

occasions at 1.00 am – 12.00 pm. Members who may wish to participate in a webinar are asked to contact Member Services.

- 2.7 Feedback from the consultation will be reviewed by the LGA's Executive Advisory Board before being presented to the next LGA General Assembly, most likely in the Autumn of 2020.

3.0 Implications

Financial

- 3.1 None.

Human Resource/Training and Development

- 3.2 None.

Community Safety

- 3.3 None.

Risk Management

- 3.4 None.

Sustainability

- 3.5 None.

Equalities

- 3.6 None.

Safeguarding

- 3.7 None.

4.0 Conclusions

- 4.1 The opportunity to comment on the draft LGA Model Member Code of Conduct is welcomed. Subject to the outcome of that consultation and the publication of a final draft Code, the Council would need to consider whether it wished to adopt that Code (with or without amendments).
- 4.2 A copy of this report has been sent to all Members so that they are aware of the position and have the opportunity to comment to the LGA.

REPORT ENDS

Members' Code Of Conduct

1. Introduction and Interpretation

1.1 This Code applies to you as a Member of Woking Borough Council ("the Council") when you act in your role as a Member.

1.2 This Code is based on, and is consistent with, the principles of public life set out in Section 28 of the Localism Act 2011: -

Selflessness

Integrity

Objectivity

Accountability

Openness

Honesty

Leadership

1.3 These principles define the standards that Members should uphold, and serve as a reminder of the purpose of the Code of Conduct. The principles can be defined as follows:

- Selflessness: Members should serve only the public interest and should never improperly confer an advantage or disadvantage on any person.
- Integrity: Members should not place themselves in situations where their integrity may be questioned, should not behave improperly, and should on all occasions avoid the appearance of such behaviour.
- Objectivity: Members should take decisions on merit, including when making appointments, awarding contracts, or recommending individuals for rewards or benefits.
- Accountability: Members should be accountable to the public for their actions and the manner in which they carry out their responsibilities, and should cooperate fully and honestly with any scrutiny appropriate to their particular office.
- Openness: Members should be as open as possible about their actions and those of the Council, and should be prepared to give reasons for those actions.
- Honesty: Members should not place themselves in situations where their honesty may be questioned.
- Leadership: Members should promote and support these principles by leadership and by example, and should act in a way that secures or preserves public confidence.

1.4 It is your responsibility to comply with the provisions of this Code.

1.5 In this Code –

"meeting" means any meeting of

- (a) the Council;
- (b) the Executive;
- (c) any of the Council's or the Executive's committees, sub-committees, joint committees, joint sub-committees, or area committees;

"Member" includes a co-opted member.

2. General Obligations

- 2.1 Do treat others with respect. In particular, you should promote equality by not discriminating unlawfully against any person, and by treating people with respect regardless of their race, age, religion, gender, sexual orientation or disability. You should also respect the impartiality and integrity of the Council's statutory officers and its other employees.
- 2.2 Do not conduct yourself in a manner which is contrary to the Council's duty to promote and maintain high standards of conduct by Members or the principles contained in Section 28 of the Localism Act 2011 (see paragraphs 1.2 and 1.3 above).
- 2.3 Do not disclose information given to you in confidence by anyone, or information acquired by you which you believe, or ought reasonably to be aware, is of a confidential nature, except where:
 - (i) you have the consent of a person authorised to give it;
 - (ii) you are required by law to do so;
 - (iii) the disclosure is made to a third party for the purpose of obtaining professional legal advice provided that the third party agrees not to disclose the information to any other person; or
 - (iv) the disclosure is:
 - (a) reasonable and in the public interest;
 - (b) made in good faith and in compliance with the reasonable requirements of the Council; and
 - (c) you have consulted the Monitoring Officer or taken other independent legal advice prior to its release.
- 2.4 Do not prevent another person from gaining access to information to which that person is entitled by law.
- 2.5 Do not use or attempt to use your position as a Member improperly to confer on or secure for yourself or any other person an advantage or disadvantage.
- 2.6 Do comply with any Member Protocols that the Council has resolved should be the subject of this paragraph.

3 Gifts and Hospitality

- 3.1 Do exercise caution in accepting any gifts or hospitality which are (or which you reasonably believe to be) offered to you because you are a Member.

3.2 **Do not** accept significant gifts or hospitality from persons seeking to acquire, develop or do business with the Council or from persons who may apply to the Council for any permission, licence or other significant advantage.

3.3 **Do** register with the Monitoring Officer any gift or hospitality with an estimated value of at least £25 within 28 days of its receipt.

4 Registration of Interests

4.1 **Do** notify the Monitoring Officer of your disclosable pecuniary interests, or other interests which the Council has decided are appropriate for registration, within 28 days of being elected or appointed to office.

4.2 **Do** notify the Monitoring Officer of any change in your disclosable pecuniary interests, or other interests which the Council has decided are appropriate for registration, within 28 days of the change taking effect.

4.3 **Do** notify the Monitoring Officer of any disclosable pecuniary interests, or other interests which the Council has decided are appropriate for registration, not already registered within 28 days of your re-election or re-appointment to office.

4.4 **Do** be aware that disclosable pecuniary interests include not only your interests but also the interests of your spouse or civil partner, a person with whom you are living as husband or wife or a person with whom you are living as if they were a civil partner, so far as you are aware of the interests of that person.

4.5 **Do** be aware that the Council has decided that it is appropriate for you to register and disclose non-pecuniary interests that arise from your membership of, or your occupation of a position of general control or management in, the following bodies:

- (i) bodies to which you have been appointed or nominated by the Council;
- (ii) bodies exercising functions of a public nature;
- (iii) bodies directed to charitable purposes;
- (iv) bodies one of whose principal purposes includes the influence of public opinion or policy.

Note: "Disclosable pecuniary interests" means interests defined as such in The Relevant Authorities (Disclosable Pecuniary Interests) Regulations 2012 (copy attached).

5 Disclosure of Interests and Participation

5.1 **Do** disclose to a meeting at which you are present any disclosable pecuniary interest, or (save for membership of another local authority) other interest which the Council has decided is appropriate for registration.

5.2 **Do** notify the Monitoring Officer of any disclosable pecuniary interest, or other interest which the Council has decided is appropriate for registration, not already registered that is disclosed to a meeting under paragraph 6(1) above within 28 days of the disclosure.

5.3 **Do not** participate in any discussion, or vote, where you have a disclosable pecuniary interest in a matter. **Do** withdraw from the meeting during the consideration of the matter.

- 5.4 Applications for a dispensation under Section 33 of the Localism Act 2011 (allowing a Member to participate in an item in which he/she has a disclosable pecuniary interest) shall be made to, and determined by, the Monitoring Officer.

Adopted by Woking Borough Council on 28 June 2012 with effect from 1 July 2012.

Amended by Woking Borough Council on 24 October 2013.

2012 No. 1464

LOCAL GOVERNMENT, ENGLAND

The Relevant Authorities (Disclosable Pecuniary Interests) Regulations 2012

<i>Made</i> - - - -	<i>6th June 2012</i>
<i>Laid before Parliament</i>	<i>8th June 2012</i>
<i>Coming into force</i> - -	<i>1st July 2012</i>

The Secretary of State, in exercise of the powers conferred by sections 30(3) and 235(2) of the Localism Act 2011(1), makes the following Regulations.

Citation, commencement and interpretation

1.— (1) These Regulations may be cited as the Relevant Authorities (Disclosable Pecuniary Interests) Regulations 2012 and shall come into force on 1st July 2012.

(2) In these regulations—

“the Act” means the Localism Act 2011;

“body in which the relevant person has a beneficial interest” means a firm in which the relevant person is a partner or a body corporate of which the relevant person is a director, or in the securities of which the relevant person has a beneficial interest;

“director” includes a member of the committee of management of an industrial and provident society;

“land” excludes an easement, servitude, interest or right in or over land which does not carry with it a right for the relevant person (alone or jointly with another) to occupy the land or to receive income;

“M” means a member of a relevant authority;

“member” includes a co-opted member;

“relevant authority” means the authority of which M is a member;

“relevant period” means the period of 12 months ending with the day on which M gives a notification for the purposes of section 30(1) or section 31(7), as the case may be, of the Act;

“relevant person” means M or any other person referred to in section 30(3)(b) of the Act;

“securities” means shares, debentures, debenture stock, loan stock, bonds, units of a collective investment scheme within the meaning of the Financial Services and Markets Act 2000(2) and other securities of any description, other than money deposited with a building society.

(1) 2011 c.20.
(2) 2000 c. 8.

Specified pecuniary interests

2. The pecuniary interests which are specified for the purposes of Chapter 7 of Part 1 of the Act are the interests specified in the second column of the Schedule to these Regulations.

Signed by authority of the Secretary of State for Communities and Local Government

Grant Shapps
Minister of State

6th June 2012

Department for Communities and Local Government

SCHEDULE

Regulation 2

<i>Subject</i>	<i>Prescribed description</i>
Employment, office, trade, profession or vacation	Any employment, office, trade, profession or vocation carried on for profit or gain.
Sponsorship	<p>Any payment or provision of any other financial benefit (other than from the relevant authority) made or provided within the relevant period in respect of any expenses incurred by M in carrying out duties as a member, or towards the election expenses of M.</p> <p>This includes any payment or financial benefit from a trade union within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992(3).</p>
Contracts	<p>Any contract which is made between the relevant person (or a body in which the relevant person has a beneficial interest) and the relevant authority—</p> <p>(a) under which goods or services are to be provided or works are to be executed; and</p> <p>(b) which has not been fully discharged.</p>
Land	Any beneficial interest in land which is within the area of the relevant authority.
Licences	Any licence (alone or jointly with others) to occupy land in the area of the relevant authority for a month or longer.
Corporate tenancies	<p>Any tenancy where (to M's knowledge)—</p> <p>(a) the landlord is the relevant authority; and</p> <p>(b) the tenant is a body in which the relevant person has a beneficial interest.</p>
Securities	<p>Any beneficial interest in securities of a body where—</p> <p>(a) that body (to M's knowledge) has a place of business or land in the area of the relevant authority; and</p> <p>(b) either—</p> <p>(i) the total nominal value of the securities exceeds £25,000 or one</p>

(3) 1992 c. 52.

- hundredth of the total issued share capital of that body; or
- (ii) if the share capital of that body is of more than one class, the total nominal value of the shares of any one class in which the relevant person has a beneficial interest exceeds one hundredth of the total issued share capital of that class.

EXPLANATORY NOTE

(This note is not part of the Regulations)

Section 30 of the Localism Act 2011 provides that a member or co-opted member of a relevant authority as defined in section 27(6) of the Localism Act 2011, on taking office and in the circumstances set out in section 31, must notify the authority's monitoring officer of any disclosable pecuniary interest which that person has at the time of notification. These Regulations specify what is a pecuniary interest. Section 30(3) of the Act sets out the circumstances in which such an interest is a disclosable interest.

A full impact assessment has not been produced for these Regulations as no impact on the private or voluntary sectors is foreseen.



Local Government Association Model Member Code of Conduct

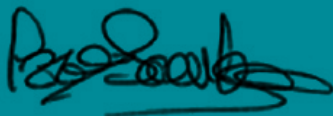
Introduction

The Local Government Association (LGA) is providing this Model Member Code of Conduct as part of its work on supporting the sector to continue to aspire to high standards of leadership and performance.

The role of councillor in all tiers of local government is a vital part of our country's system of democracy. In voting for a local councillor, the public is imbuing that person and position with their trust. As such, it is important that as councillors we can be held accountable and all adopt the behaviours and responsibilities associated with the role. The conduct of an individual councillor affects the reputation of all councillors. We want the role of councillor to be one that people aspire to and want to participate with. We want to continue to attract individuals from a range of backgrounds and circumstances who understand the responsibility they take on and are motivated to make a positive difference to their local communities.

All councils are required to have a local Member Code of Conduct. This Model Member Code of Conduct has been developed in consultation with the sector and is offered as a template for councils to adopt in whole and/or with local amendments. The LGA will undertake an annual review of the Code to ensure it continues to be fit-for-purpose, particularly with respect to advances in technology, social media and any relevant changes in legislation. The LGA can also offer support, training and mediation to councils and councillors on the application of the Code, whilst the National Association of Local Councils (NALC) and the county associations of local councils can offer advice and support to town and parish councils.

As a councillor we all represent local residents, work to develop better services and deliver local change. The public have high expectations of us and entrust us to represent everyone (in our ward/town/parish), taking decisions fairly, openly, transparently and with civility. Councillors should also be treated with civility by members of the public, other councillors and council employees. Members have both individual and collective responsibility to maintain these standards, support expected behaviour and challenge behaviour which falls below expectations. This Code, therefore, has been designed to protect our democratic role, encourage good conduct and safeguard the public's trust in local government.



Councillor Izzi Seccombe OBE
Leader, LGA Conservative Group



Councillor Nick Forbes CBE
Leader, LGA Labour Group



Councillor Howard Sykes MBE
Leader, LGA Liberal Democrats Group



Councillor Marianne Overton MBE
Leader, LGA independent Group

Purpose

The purpose of this Code of Conduct is to assist councillors in modelling the behaviour that is expected of them, to provide a personal check and balance, and to set out the type of conduct against which appropriate action may be taken. It is also to protect yourself, the public, fellow councillors, council officers and the reputation of local government. It sets out the conduct expected of all members and a minimum set of obligations relating to conduct. The overarching aim is to create and maintain public confidence in the role of member and local government.

Application of the Code

The Code of Conduct applies to you when you are acting [or claiming or giving the impression that you are acting]¹ in [public or in]² your capacity as a member or representative of your council, although you are expected to uphold high standards of conduct and show leadership at all times. The Code applies to all forms of member communication and interaction, including written, verbal, non-verbal, electronic and via social media, [including where you could be deemed to be representing your council or if there are potential implications for the council's reputation.] Model conduct and expectations is for guidance only, whereas the specific obligations set out instances where action will be taken.

The seven principles of public life

Everyone in public office at all levels – ministers, civil servants, members, council officers – all who serve the public or deliver public services should uphold the seven principles of public life. This Code has been developed in line with these seven principles of public life, which are set out in appendix A.

Model member conduct

In accordance with the public trust placed in me, on all occasions I will:

- act with integrity and honesty
- act lawfully
- treat all persons with civility; and
- lead by example and act in a way that secures public confidence in the office of councillor

In undertaking my role, I will:

- impartially exercise my responsibilities in the interests of the local community
- not improperly seek to confer an advantage, or disadvantage, on any person
- avoid conflicts of interest
- exercise reasonable care and diligence; and
- ensure that public resources are used prudently and in the public interest

Specific obligations of general conduct

This section sets out the minimum requirements of member conduct. Guidance is included to help explain the reasons for the obligations and how they should be followed. These obligations must be observed in all situations where you act [or claim or give the impression that you are acting] as a councillor [or in public], including representing your council on official business and when using social media.

As a councillor I commit to:

Civility

- 1. Treating other councillors and members of the public with civility.**
- 2. Treating council employees, employees and representatives of partner organisations and those volunteering for the councils with civility and respecting the role that they play.**

Civility means politeness and courtesy in behaviour, speech, and in the written word. Debate and having different views are all part of a healthy democracy. As a councillor you can express, challenge, criticise and disagree with views, ideas, opinions and policies in a civil manner. You should not subject individuals, groups of people or organisations to unreasonable or excessive personal attack.

In your contact with the public you should treat them courteously. Rude and offensive behaviour lowers the public's expectations and confidence in its elected representatives.

In return you have a right to expect courtesy from the public. If members of the public are being abusive, threatening or intimidatory you are entitled to close down any conversation in person or online, refer them to the council, any social media provider or if necessary, the police. This also applies to members, where action could then be taken under the Member Code of Conduct.

Bullying and harassment

- 3. Not bullying or harassing any person.**

Bullying may be characterised as offensive, intimidating, malicious or insulting behaviour, an abuse or misuse of power through means that undermine, humiliate, denigrate or injure the recipient. The bullying might be a regular pattern of behaviour or a one-off incident, happen face-to-face, on social media, in emails or phone calls, happen in the workplace or at work social events and not always be obvious or noticed by others.

The Equality Act 2010 defines harassment as 'unwanted conduct related to a relevant protected characteristic, which has the purpose or effect of violating an individual's dignity or creating an intimidating, hostile, degrading, humiliating or offensive environment for that individual'. The relevant protected characteristics are age, disability, gender reassignment, race, religion or belief, sex, and sexual orientation.

Impartiality of officers of the council

- 4. Not compromising, or attempting to compromise, the impartiality of anyone who works for, or on behalf of, the council.**

Officers work for the council as a whole and must be politically neutral (unless they are political assistants). They should not be coerced or persuaded to act in a way that would undermine their neutrality. Although you can question officers in order to understand, for example, their reasons for proposing to act in a particular way, or the content of a report that they have written, you must not try and force them to act differently, change their advice, or alter the content of that report, if doing so would prejudice their professional integrity.

Confidentiality and access to information

- 5. Not disclosing information given to me in confidence or disclosing information acquired by me which I believe is of a confidential nature, unless I have received the consent of a person authorised to give it or I am required by law to do so.**
- 6. Not preventing anyone getting information that they are entitled to by law.**

Local authorities must work openly and transparently, and their proceedings and

printed materials are open to the public except in certain circumstances. You should work on this basis but there will be times when it is required by law that discussions, documents and other information relating to or held by the council are treated in a confidential manner. Examples include personal data relating to individuals or information relating to ongoing negotiations.

Disrepute

7. Not bringing my role or council into disrepute.

Behaviour that is considered dishonest and/or deceitful can bring your council into disrepute. As a member you have been entrusted to make decisions on behalf of your community and your actions and behaviour are subject to greater scrutiny than that of ordinary members of the public. You should be aware that your actions might have an adverse impact on other councillors and/or your council.

Your position

8. Not using, or attempting to use, my position improperly to the advantage or disadvantage of myself or anyone else.

Your position as a member of the council provides you with certain opportunities, responsibilities and privileges. However, you should not take advantage of these opportunities to further private interests.

Use of council resources and facilities

9. Not misusing council resources.

You may be provided with resources and facilities by the council to assist you in carrying out your duties as a councillor. Examples include office support, stationery and equipment such as phones, and computers and transport. These are given

to you to help you carry out your role as a councillor more effectively and not to benefit you personally.

Interests

10. Registering and declaring my interests.

You need to register your interests so that the public, council employees and fellow members know which of your interests might give rise to a conflict of interest. The register is a document that can be consulted when (or before) an issue arises, and so allows others to know what interests you have, and whether they might give rise to a possible conflict of interest. The register also protects you. You are responsible for deciding whether or not you should declare an interest in a meeting, but it can be helpful for you to know early on if others think that a potential conflict might arise.

It is also important that the public know about any interest that might have to be declared by you or other members, so that decision making is seen by the public as open and honest. This helps to ensure that public confidence in the integrity of local governance is maintained. Discuss the registering and declaration of interests with your Monitoring Officer/Town or Parish Clerk and more detail is set out in appendix B.

Gifts and hospitality

11. Not accepting significant gifts or hospitality from persons seeking to acquire, develop or do business with the council or from persons who may apply to the council for any permission, licence or other significant advantage.

12. Registering with the monitoring officer any gift or hospitality with an estimated value of at least £25 within 28 days of its receipt.

You should exercise caution in accepting any gifts or hospitality which are (or which you reasonably believe to be) offered to you

because you are a member. However, you do not need to register gifts and hospitality which are not related to your role as a member, such as Christmas gifts from your friends and family, or gifts which you do not accept. However, you may wish to notify your monitoring officer of any significant gifts you are offered but refuse which you think may have been offered to influence you.

Note – items in square brackets [x] refer to recommendations made by the Committee on Standards in Public Life and may be part of a future Government consultation. This includes possible future sanctions and appeals processes.

Breaches of the Code of Conduct

Most councillors conduct themselves appropriately and in accordance with these standards. Members have both individual and collective responsibility to maintain these standards, support expected behaviour and challenge behaviour which falls below expectations.

Section 27 of the Localism Act 2011 requires relevant authorities to promote and maintain high standards of conduct by members and co-opted members of the authority. Each local authority must publish a code of conduct, and it must cover the registration of pecuniary interests, the role of an 'independent person', and sanctions to be imposed on any councillors who breach the Code.

The 2011 Act also requires local authorities to have mechanisms in place to investigate allegations that a member has not complied with the Code of Conduct, and arrangements under which decisions on allegation may be made.

Failure to comply with the requirements to register or declare disclosable pecuniary interests is a criminal offence. Taking part in a meeting or voting, when prevented from doing so by a conflict caused by disclosable pecuniary interests, is also a criminal offence.

Political parties may have its own internal standards and resolution procedures in addition to the Member Code of Conduct that members should be aware of.

Example

LGA guidance and recommendations

Internal resolution procedure

Councils must have in place an internal resolution procedure to address conduct that is in breach of the Member Code of Conduct. The internal resolution process should make it clear how allegations of breaches of the Code of Conduct are to be handled, including the role of an Independent Person, the appeals process and can also include a local standards committee. The internal resolution procedure should be proportionate, allow for members to appeal allegations and decisions, and allow for an escalating scale of intervention. The procedure should be voted on by the council as a whole.

In the case of a non-criminal breach of the Code, the following escalating approach can be undertaken.

If the breach is confirmed and of a serious nature, action can be automatically escalated.

1. an informal discussion with the monitoring officer or appropriate senior officer
2. an informal opportunity to speak with the affected party/ies
3. a written apology
4. mediation
5. peer support
6. requirement to attend relevant training
7. where of a serious nature, a bar on chairing advisory or special committees for up to two months
8. where of a serious nature, a bar on attending committees for up to two months.

Where serious misconduct affects an employee, a member may be barred from contact with that individual; or if it relates to a specific responsibility of the council, barred from participating in decisions or information relating to that responsibility.

Endnotes

1. CSPL recommend that “Section 27(2) of the Localism Act 2011 should be amended to state that a local authority’s code of conduct applies to a member when they claim to act, or give the impression they are acting, in their capacity as a member or as a representative of the local authority”.
2. CSPL recommend that “councillors should be presumed to be acting in an official capacity in their public conduct, including statements on publicly accessible social media. Section 27(2) of the Localism Act 2011 should be amended to permit local authorities to presume so when deciding upon code of conduct breaches.”
3. Subject to footnotes 1 and 2 above
4. See CSPL website for further details www.gov.uk/government/news/the-principles-of-public-life-25-years
5. ACAS’s definition of bullying

Appendices

Code Appendix A

The principles are :

Selflessness

Holders of public office should act solely in terms of the public interest.

Integrity

Holders of public office must avoid placing themselves under any obligation to people or organisations that might try inappropriately to influence them in their work. They should not act or take decisions in order to gain financial or other material benefits for themselves, their family, or their friends. They must declare and resolve any interests and relationships.

Objectivity

Holders of public office must act and take decisions impartially, fairly and on merit, using the best evidence and without discrimination or bias.

Accountability

Holders of public office are accountable to the public for their decisions and actions and must submit themselves to the scrutiny necessary to ensure this.

Openness

Holders of public office should act and take decisions in an open and transparent manner. Information should not be withheld from the public unless there are clear and lawful reasons for so doing.

Honesty

Holders of public office should be truthful.

Leadership

Holders of public office should exhibit these principles in their own behaviour. They should actively promote and robustly support the principles and be willing to challenge poor behaviour wherever it occurs.

Code Appendix B

Registering interests

1. Within 28 days of this Code of Conduct being adopted by the council or your election or appointment to office (where that is later) you must register with the Monitoring Officer the interests which fall within the categories set out in Table 1 (Disclosable Pecuniary Interests) and Table 2 (Other Registerable Interests).
2. You must ensure that your register of interests is kept up-to-date and within 28 days of becoming aware of any new interest in Table 1 or 2, or of any change to a registered interest, notify the Monitoring Officer.

Declaring interests

3. Where a matter arises at a meeting which directly relates to an interest in Table 1, you must declare the interest, not participate in any discussion or vote on the matter and must not remain in the room unless granted a dispensation. If it is a 'sensitive interest', you do not have to declare the nature of the interest.
4. Where a matter arises at a meeting which directly relates to an interest in Table 2, you must declare the interest. You may speak on the matter only if members of the public are also allowed to speak at the meeting but otherwise must not take part in any discussion or vote on the matter and must not remain in the room unless you have been granted a dispensation. If it is a 'sensitive interest', you do not have to declare the nature of the interest.

5. Where a matter arises at a meeting which directly relates to your financial interest or well-being (and is not a Disclosable Pecuniary Interest) or a financial interest or well-being of a relative or close associate, you must declare the interest. You may speak on the matter only if members of the public are also allowed to speak at the meeting but otherwise must not take part in any discussion or vote on the matter and must not remain in the room unless you have been granted a dispensation. If it is a 'sensitive interest', you do not have to declare the nature of the interest.
6. Where a matter arises at a meeting which affects –
 - a. your own financial interest or well-being;
 - b. a financial interest or well-being of a friend, relative, close associate; or
 - c. a body covered by table 1 below

you must disclose the interest.

7. Where the matter affects the financial interest or well-being to a greater extent than it affects the financial interests of the majority of inhabitants of the ward affected by the decision and a reasonable member of the public knowing all the facts would believe that it would affect your view of the wider public interest you must declare the interest. You may speak on the matter only if members of the public are also allowed to speak at the meeting but otherwise must not take part in any discussion or vote on the matter and must not remain in the room unless you have been granted a dispensation. If it is a 'sensitive interest', you do not have to declare the nature of the interest.

Table 1: Disclosable Pecuniary Interests

Subject	Description
Employment, office, trade, profession or vocation	Any employment, office, trade, profession or vocation carried on for profit or gain. [Any unpaid directorship.]
Sponsorship	Any payment or provision of any other financial benefit (other than from the council) made to the councillor during the previous 12-month period for expenses incurred by him/her in carrying out his/her duties as a councillor, or towards his/her election expenses. This includes any payment or financial benefit from a trade union within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992 .
Contracts	Any contract made between the councillor or his/her spouse or civil partner or the person with whom the councillor is living as if they were spouses/civil partners (or a firm in which such person is a partner, or an incorporated body of which such person is a director* or a body that such person has a beneficial interest in the securities of*) and the council — (a) under which goods or services are to be provided or works are to be executed; and (b) which has not been fully discharged.
Land and Property	Any beneficial interest in land which is within the area of the council. ‘Land’ excludes an easement, servitude, interest or right in or over land which does not give the councillor or his/her spouse or civil partner or the person with whom the councillor is living as if they were spouses/civil partners (alone or jointly with another) a right to occupy or to receive income.
Licences	Any licence (alone or jointly with others) to occupy land in the area of the council for a month or longer.
Corporate tenancies	Any tenancy where (to the councillor’s knowledge)— (a) the landlord is the council; and (b) the tenant is a body that the councillor, or his/her spouse or civil partner or the person with whom the councillor is living as if they were spouses/civil partners is a partner of or a director* of or has a beneficial interest in the securities* of.
Securities	Any beneficial interest in securities* of a body where— (a) that body (to the councillor’s knowledge) has a place of business or land in the area of the council; and (b) either— (i) the total nominal value of the securities* exceeds £25,000 or one hundredth of the total issued share capital of that body; or (ii) if the share capital of that body is of more than one class, the total nominal value of the shares of any one class in which the councillor, or his/her spouse or civil partner or the person with whom the councillor is living as if they were spouses/civil partners has a beneficial interest exceeds one hundredth of the total issued share capital of that class.

*'director' includes a member of the committee of management of an industrial and provident society.

*'securities' means shares, debentures, debenture stock, loan stock, bonds, units of a collective investment scheme within the meaning of the Financial Services and Markets Act 2000 and other securities of any description, other than money deposited with a building society.

Table 2: Other Registerable Interests

Any Body of which you are a member or in a position of general control or management and to which you are appointed or nominated by the council;	
Any Body—	(a) exercising functions of a public nature;
	(b) directed to charitable purposes; or
	(c) one of whose principal purposes includes the influence of public opinion or policy (including any political party or trade union)
of which you are a member or in a position of general control or management.	



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We consider requests on an individual basis.

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PLEASE USE THE ONLINE SURVEY FORM TO SUBMIT YOUR RESPONSE

LGA Consultation on Draft Model Member Code of Conduct

Thank you for taking the time to complete this consultation. This Model Member Code of Conduct [[Model Member Code of Conduct.pdf](#)] aims to be concise, written in plain English and be understandable to members, officers and the public. The Model Member Code is designed to aid members in all tiers of local government model the behaviours and high standards that anyone would expect from a person holding public office. Equally, it articulates behaviour which falls below the standards that would be expected of council members. It is designed to help set a framework for public and councillor interaction, emphasising the importance of civility and that councillors should be protected from bullying, intimidation and abuse.

The LGA has reviewed the existing Model Member Code of Conduct and updated it here incorporating the recommendations from the Committee on Standard's in Public Life's recommendations on Local Government Ethical Standards and the representation from its membership. Part of the Committee's recommendations were the introduction of sanctions for breaches of the code, alongside an appeals process. This aspect is out of scope of this consultation, as it requires legislative changes by Government, but the LGA has sought to reflect some of the possible changes by using square brackets where legal changes would be necessary. The LGA is continuing to take soundings from the sector on the issue of sanctions in anticipation of a Government response to the Committee's recommendations.

This consultation addresses key areas that the LGA would like a view on to help finalise the Code. It is aimed at councillors and officers from all tiers of local government. If you would like a wider discussion about the code, please do sign up to one of the forthcoming Webinars the LGA are holding as part of this consultation. Details will be posted on our [LGA events website](#).

Instructions and privacy notice

You can navigate through the questions using the buttons at the bottom of each page. Use the 'previous' button at the bottom of the page if you wish to amend your response to an earlier question.

All responses will be treated confidentially. Information will be aggregated, and no individual or authority will be identified in any publications without your consent. Identifiable information may be used internally within the LGA but will only be held and processed in accordance with our [privacy policy](#). We are undertaking this consultation to aid the legitimate interests of the LGA in supporting and representing authorities.

Please complete your response in one go - if you exit before submitting your response your answers may be lost. If you would like to see an overview of the questions before completing the consultation online, you can access a PDF [here](#).

About you

Your name _____

Are you...

- A councillor
- An officer
- Answering on behalf of a whole council (Please provide council name below)

- Other (please specify below)

Please indicate your council type

- Community/Neighbourhood/Parish/Town
- District/Borough
- County
- Metropolitan/Unitary/London Borough
- Other (please specify below)

Application of the Code

Under the Localism Act 2012, the Code of Conduct applies to councillors only when they are acting in their capacity as a member. The LGA believes that because councillors are elected by the public and widely recognised by the public, it makes sense for them to continue to model these behaviours when they are making public comment, are identifying as a councillor and when it would be reasonable for the public to identify them as acting or speaking as a councillor. The Committee on Standards in Public Life supported this approach in their report into Local Government Ethical Standards. Whilst the LGA is waiting for Government's response to these recommendations the option has been added in square brackets as it would need changes in legislation.

Q1. To what extent do you support the proposal that councillors demonstrate the behaviours set out in the Code when they are publicly acting as, identifying as, and/or giving the impression that they are acting as a councillor, including when representing their council on official business and when using social media?

- To a great extent
- To a moderate extent
- To a small extent
- Not at all
- Don't know/prefer not to say

Q1a. If you would like to elaborate on your answer please do so here:

Q2. Is it sufficiently clear which parts of the Model Code are legal requirements, which are obligations, and which are guidance?

- Yes
- No
- Don't know

Q3. Do you prefer the use of the personal tense, as used in the Code, or would you prefer the passive tense?

- Personal tense ("I will")
- Passive tense ("Councillors should")
- No preference

Specific obligations

The Code lists 12 specific obligations – these set out a minimum standard councillors are asked to adhere to.

Each obligation or group of obligations is put into a wider context to explain why that particular obligation is important.

Q4. To what extent to you support the 12 specific obligations?

	To a great extent	To a moderate extent	To a small extent	Not at all	Don't know / Prefer not to say
1. Treating other councillors and members of the public with civility.					
2. Treating council employees, employees and representatives of partner organisations and those volunteering for the councils with civility and respecting the role that they play.					
3. Not bullying or harassing any person.					
4. Not compromising, or attempting to compromise, the impartiality of anyone who works for, or on behalf of, the council.					
5. Not disclosing information given to me in confidence or disclosing information acquired by me which I believe is of a confidential nature, unless I have received the consent of a person authorised to give it or I am required by law to do so.					
6. Not preventing anyone getting information that they are entitled to by law.					
7. Not bringing my role or council into disrepute.					
8. Not using, or attempting to use, my position improperly to the advantage or disadvantage of myself or anyone else.					

9. Not misusing council resources.					
10. Registering and declaring my interests.					
11. Not accepting significant gifts or hospitality from persons seeking to acquire, develop or do business with the council or from persons who may apply to the council for any permission, licence or other significant advantage.					
12. Registering with the monitoring officer any gift or hospitality with an estimated value of at least £25 within 28 days of its receipt.					

Q5. If you would like to propose additional or alternative obligations, or would like to provide more comment on a specific obligation, please do so here:

Q6. Would you prefer to see the obligations as a long list followed by the guidance, or as it is set out in the current draft, with the guidance after each obligation?

- As a list
- Each specific obligation followed by its relevant guidance
- No preference

Q7. To what extent do you think the concept of 'acting with civility' is sufficiently clear?

- To a great extent
- To a moderate extent
- To a small extent
- Not at all
- Don't know/prefer not to say

Q7a. If you would like to suggest an alternative phrase that captures the same meaning, or would like to provide a comment on this concept, please do so here:

Q8. To what extent do you think the concept of 'bringing the council into disrepute' is sufficiently clear?

- To a great extent
- To a moderate extent
- To a small extent
- Not at all
- Don't know/prefer not to say

Q8a. If you would like to suggest an alternative phrase that captures the same meaning, or would like to provide a comment on this concept, please do so here:

Q9. To what extent do you support the definition of bullying and harassment used in the code in a local government context?

- To a great extent
- To a moderate extent
- To a small extent
- Not at all
- Don't know/prefer not to say

Q9a. If there are other definitions you would like to recommend, please provide them here.

Q10. Is there sufficient reference to the use of social media?

- Yes
- No
- Don't know/prefer not to say

Q10a. Should social media be covered in a separate code or integrated into the overall code of conduct?

- Separate code
- Integrated into the code
- Don't know/prefer not to say

Q10b. If you would like to make any comments or suggestions in relation to how the use of social media is covered in the code please do so here:

Registration and declarations of interests

The law at present requires, as a minimum, registration and declaration of 'Disclosable Pecuniary Interests' - that is matters which directly relate to the councillor and their partner if applicable.

The LGA is proposing that all councillors are required to declare interests where matters also relate to or affect other family members or associates. The LGA has broadened the requirement to declare interests beyond this current statutory minimum in line with a recommendation from the Committee on Standards in Public Life. These specific provisions are set out in **Appendix B** of the Code.

Q11. To what extent do you support the code going beyond the current requirement to declare interests of the councillor and their partner?

- To a great extent
- To a moderate extent
- To a small extent
- Not at all
- Don't know/prefer not to say

Q11a. If you would like to elaborate on your answer please do so here:

Q12. Should the requirement to declare interests be in the main body of the code or in the appendix where the draft model code currently references it?

- In the main body of the code
- In the appendix
- Other (please specify below)
- Don't know/prefer not to say

Q12a. If you would like to make any comments or suggestions in relation to how the requirement to declare interests is covered in the code please do so here:

It is also suggested that more outside interests should be registered than is the current statutory minimum. These are set out in **Table 2 of the Appendix** and are designed to demonstrate to the community transparency about other bodies with which the councillor is engaged.

Q13. To what extent do you support the inclusion of these additional categories for registration?

	To a great extent	To a moderate extent	To a small extent	Not at all	Don't know / Prefer not to say
Any organisation, association, society or party of which you are a member or in a position of general control or management and to which you are appointed or nominated by the council					
Any organisation, association, society or party that exercises functions of a public nature of which you are a member or in a position of general control or management					
Any organisation, association, society or party directed to charitable purposes					
Any organisation, association, society or party of whose principal purposes includes the influence of public opinion or policy (including any political party or trade union)					

Q13a. If you would like to propose additional or alternative **categories** for registration, please provide them here:

Q14. To what extent to you support the proposed requirement that councillors do not accept significant gifts as set out in Obligation 11?

- To a great extent
- To a moderate extent
- To a small extent
- Not at all
- Don't know/prefer not to say

Q14a. If you would like to elaborate on your answer please do so here:

Q15. The draft code proposes £25 as the threshold for registering gifts and hospitality. Is this an appropriate threshold?

- Yes
- Yes, but the amount should be reviewed annually with the code's review
- No, it should be lower (please specify amount) _____
- No, it should be higher (please specify amount) _____
- Don't know/prefer not to say

Q16. The LGA will be producing accompanying guidance to the code. Which of the following types of guidance would you find most useful? Please rank 1-5, with 1 being the most useful.

- _____ Regularly updated examples of case law
- _____ Explanatory guidance on the code
- _____ Case studies and examples of good practice
- _____ Supplementary guidance that focuses on specific areas, e.g., social media
- _____ Improvement support materials, such as training and e-learning packages

Q16a. If you would like to suggest any other accompanying guidance please do so here:

Q17. If you would like to make any further comments about the code please do so here:

Once you press the 'Submit' button below, you will have completed your response.

Many thanks for taking the time to respond to this consultation. You are in control of any personal data that you have provided to us in your response. You can contact us at all times to have your information changed or deleted. You can find our full privacy policy here: [click here to see our privacy policy](#)

For information only - Do not complete

STANDARDS AND AUDIT COMMITTEE – 23 JULY 2020

STANDARDS AND AUDIT COMMITTEE - WORK PROGRAMME

Executive Summary

There are a number of business items which come before the Committee on an established and recurring basis. Most notably, the Internal Audit service and the external audit function both produce plans and reports for consideration throughout the year. These matters are, for the most part, planned with reporting dates fixed in advance. It is helpful to see these planned events listed together, and a provisional work programme is attached to this report.

Recommendations

The Committee is requested to:

RESOLVE That the Work Programme be received.

The Committee has the authority to determine the recommendation(s) set out above.

Background Papers: None.

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REPORT ENDS

STA20-004

Standards and Audit Committee – Work Programme

STANDARDS AND AUDIT COMMITTEE WORK PROGRAMME 2020-21

Committee date	Report title	Issues to consider
23 July 2020	Update on External Audit 18/19	To receive an update.
	Annual Governance Statement 2019/20	To receive the Annual Governance Statement for inclusion in the 2019/20 Statement of Accounts
	Internal Audit Annual Report	Review of Internal Audit service work in 2019/20 (inc. outstanding high risk recommendations)
	Health and Safety Annual Report	To receive the Health and Safety Annual Report.
	Consultation on Draft Model Members' Code of Conduct	To receive an update.
	Work Programme	To receive the provisional Work Programme for the year ahead.
17 September 2020	Annual Audit and Inspection Letter	Summary of the key findings from the 2019/20 Audit.
	Internal Audit Service Progress Update	Progress update of work undertaken by the Internal Audit service.
	Members' Code of Conduct	Review operation between 1 August 2019 and 31 July 2020.
	Ombudsmen Complaints	Receive the annual report on Ombudsmen Complaints.
26 November 2020	External Audit Report to those Charged with Governance (ISA 260) 2019/20	External Audit report and recommendations arising out of the 2019/20 Audit.
	Internal Audit Progress Report	Review of work undertaken by the Internal Audit service in the six months to 30/9/20.
	Internal Audit Charter	To approve the Internal Audit Charter, reviewed annually.
	Anti-Fraud and Corruption and Confidential Reporting Policies	Bi-annual review.
4 March 2021	External Audit Plan	To consider the programme of work for the 2020/21 year.
	Internal Audit Strategy and Proposed 2021/22 Plan	To approve the Internal Audit plan for the year 2021/22.
	Internal Audit Service Progress Update	Progress update of work undertaken by the Internal Audit service.

