



Borough of Tamworth

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AUDIT AND GOVERNANCE COMMITTEE

29 May 2019

Dear Councillor

A meeting of the Audit and Governance Committee will be held in **Committee Room 1 - Marmion House on Thursday, 6th June, 2019 at 6.00 pm**. Members of the Committee are requested to attend.

Yours faithfully

A handwritten signature in black ink, appearing to be 'AJS', followed by a long horizontal line.

CHIEF EXECUTIVE

A G E N D A

NON CONFIDENTIAL

- 1 Apologies for Absence**
- 2 Appointment of Vice-Chair**
- 3 Minutes of the Previous Meeting (Pages 5 - 8)**
- 4 Declarations of Interest**

To receive any declarations of Members' interests (pecuniary and non-pecuniary) in any matters which are to be considered at this meeting.

When Members are declaring a pecuniary or non-pecuniary interest in respect of which they have dispensation, they should specify the nature of such interest. Members should leave the room if they have a pecuniary or non-pecuniary interest in respect of which they do not have a dispensation.

5 Role of the Audit Committee

To receive a presentation from the external auditors on the role of the Audit Committee.

6 Update from External Auditors

(To receive any updates from the external auditors)

7 External Auditors Fee Letter (Pages 9 - 12)

(To receive the external auditors fee letter)

8 Annual Governance Statement & Code of Corporate Governance (Pages 13 - 110)

(Report of the Head of Audit & Governance & Monitoring Officer)

9 Internal Audit Update Report 2018/19 Quarter 4 and Annual Report (Pages 111 - 128)

(Report of the Head of Audit & Governance & Monitoring Officer)

10 Internal Audit Customer Satisfaction Results (Pages 129 - 130)

(Report of the Head of Audit & Governance & Monitoring Officer)

11 Public Sector Internal Audit Standards and Quality Assurance & Improvement Programme (Pages 131 - 144)

(Report of the Head of Audit & Governance & Monitoring Officer)

12 Counter Fraud Update (Pages 145 - 162)

(Report of the Head of Audit & Governance & Monitoring Officer)

13 Audit & Governance Committee Self-Assessment (Pages 163 - 166)

(For information)

14 Regulation of Investigatory Powers Act 2000 (Pages 167 - 170)

15 Audit and Governance Committee Timetable (Pages 171 - 176)

(Discussion Item)

Access arrangements

If you have any particular access requirements when attending the meeting, please contact Democratic Services on 01827 709267 or e-mail democratic-services@tamworth.gov.uk. We can then endeavour to ensure that any particular requirements you may have are catered for.

Filming of Meetings

The public part of this meeting may be filmed and broadcast. Please refer to the Council's Protocol on Filming, Videoing, Photography and Audio Recording at Council meetings which can be found [here](#) for further information.

The Protocol requires that no members of the public are to be deliberately filmed. Where possible, an area in the meeting room will be set aside for videoing, this is normally from the front of the public gallery. This aims to allow filming to be carried out whilst minimising the risk of the public being accidentally filmed.

If a member of the public is particularly concerned about accidental filming, please consider the location of any cameras when selecting a seat.

FAQs

For further information about the Council's Committee arrangements please see the FAQ page [here](#)

To Councillors: M Summers, M Bailey, C Cooke, J Faulkner, M Greatorex, M Oates and
P Thurgood

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**MINUTES OF A MEETING OF THE
AUDIT AND GOVERNANCE COMMITTEE
HELD ON 28th MARCH 2019**

PRESENT: Councillor M Summers (Chair), Councillors R Claymore, C Cooke, J Faulkner and M Greatorex

Officers Stefan Garner (Executive Director Finance), Lynne Pugh (Assistant Director Finance), Angela Struthers (Head of Audit & Governance) and Kerry Beavis (Principal Auditor)

Visitors Laurelin Griffiths

55 MINUTES OF THE PREVIOUS MEETING

The minutes of the meeting held on 14th February 2019 were approved and signed as a correct record.

(Moved by Councillor J Faulkner and seconded by Councillor C Cooke)

56 APOLOGIES FOR ABSENCE

Apologies for absence were received from Councillor R Kingstone and Councillor M Gant

57 DECLARATIONS OF INTEREST

There were no declarations of Interest.

58 AUDIT COMMITTEE PROGRESS REPORT AND SECTOR UPDATE

The Audit Progress and Sector Update report of Grant Thornton (External Auditor) was considered

RESOLVED: That Members endorsed the report

(Moved by Councillor M Summers and seconded by Councillor M Greatorex)

59 INFORMING THE AUDIT RISK ASSESSMENT

The Report of Grant Thornton (External Auditor) was considered

RESOLVED: That the Members endorsed the report of the External Auditor informing of the Audit Risk Assessment for 2018/19 for the Council

(Moved by Councillor C Cooke and seconded by Councillor J Faulkner)

60 REVIEW OF THE TREASURY MANAGEMENT STRATEGY STATEMENT, MINIMUM REVENUE PROVISION POLICY STATEMENT AND ANNUAL INVESTMENT STATEMENT 2019/20 AND THE TREASURY MANAGEMENT STRATEGY STATEMENT AND ANNUAL INVESTMENT STRATEGY MID-YEAR REVIEW REPORT 2018/19

The Executive Director Finance reported on the review of the Treasury Management Strategy Statement, Minimum Revenue Provision Statement and Annual Investment Statement 2019/20 and the Treasury Management Strategy Statement and Annual Investment Strategy Mid-year Review Report 2018/19 approved by Council on 26th February 2019 and 11th December 2018 respectively was considered

RESOLVED: That the Members considered the Treasury Reports detailed within the Executive Directors Report

(Moved by Councillor R Claymore and seconded by Councillor M Greatorex)

61 FINAL ACCOUNTS 2018/19 - ACTION PLAN

The Executive Director Finance provided an outline of the corporate requirements that will need to be achieved in order to produce the Council's Annual Statement of Accounts for 2018/19 (including deadlines but not including detailed responsibilities) and to obtain corporate commitment to the action plan

RESOLVED That Members approved

- 1 The target of 24th May 2019 for closure of the final accounts and production of a the statement for 2018/19
- 2 Staffing resources be committed to the provision of

appropriate information and support in order to meet the published timescales and the Committee receive progress updates (if required);

3 CMT receive a fortnightly update until completion of the audit; and

4 That the Statement be presented to the Audit & Governance Committee on 25th July 2019

The Committee thanked all staff involved in the process.

(Moved by Councillor M summers and seconded by Councillor J Faulkner)

62 INTERNAL AUDIT CHARTER & PLAN 2019/20

The Head of Audit and Governance advised Members of the Internal Audit Charter and Plan for 2019-20, and provided members with assurance on the appropriate operation of Internal Audit.

RESOLVED That Committee
Endorsed the attached Internal Audit Charter and Plan
2019-20

(Moved by Councillor M Greatorex and seconded by Councillor C Cooke)

63 AUDIT & GOVERNANCE COMMITTEE SELF ASSESSMENT

The Audit and Governance Committee completed a self-assessment of the effectiveness of the Committee to inform an improvement action plan

RESOLVED: That Members of the Committee completed the self-assessment checklist

64 AUDIT AND GOVERNANCE COMMITTEE TIMETABLE

The Committee reviewed and agreed the timetable.

65 EXCLUSION OF THE PRESS AND PUBLIC

RESOLVED That Members of the press and public be excluded from the

meeting during consideration of the Community and Development Services Update on the grounds that the business involves the likely disclosure of exempt information as defined in Paragraph 3 of Part 1 of Schedule 12A to the Local Government Act 1972.

(Moved by Councillor M Summers and seconded by Councillor R Claymore)

66 RISK BASED VERIFICATION

RESOLVED: That the Committee

Approved the ongoing adoption of a Risk Based Verification (RBV) Policy in determining evidence requirements for the assessment of new Housing Benefit and Council Tax Reduction claims.

(Moved by Councillor M Summers and seconded by Councillor C Cooke)

Chair

Stefan Garner
Section 151 Officer
Tamworth Borough Council
Marmion House
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Tamworth
B79 7BZ

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The Colmore Building
20 Colmore Circus
Birmingham
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26 April 2019

Dear Stefan

Planned audit fee for 2019/20

The Local Audit and Accountability Act 2014 (the Act) provides the framework for local public audit. Public Sector Audit Appointments Ltd (PSAA) has been specified as an appointing person under the Act and the Local Authority (Appointing Person) Regulations 2015 and had the power to make auditor appointments for audits of opted-in local government bodies from 2018/19.

For opted-in bodies PSAA's responsibilities also include setting fees and monitoring the quality of auditors' work. Further information on PSAA and its responsibilities are available on the [PSAA website](#).

All grant work, including housing benefit certification, falls outside the PSAA contract, as PSAA no longer has the power to make appointments for assurance on grant claims and returns. Any assurance engagements will therefore be subject to separate engagements agreed between the grant-paying body, the Council and ourselves and separate fees agreed with the Council.

Scale fee

PSAA published the 2019/20 scale fees for opted-in bodies at the end of March 2019, following a consultation process. Individual scale fees have been maintained at the same level as in 2018/19, unless there were specific circumstances which required otherwise. Further details are set out on the [PSAA website](#). The Council's scale fee for 2019/20 has been set by PSAA at £38,375 which is the same as in 2018/19.

PSAA prescribes that 'scale fees are based on the expectation that audited bodies are able to provide the auditor with complete and materially accurate financial statements, with supporting working papers, within agreed timeframes'.

The audit planning process for 2019/20, including the risk assessment, will continue as the year progresses and fees will be reviewed and updated as necessary as our work progresses.

Scope of the audit fee

There are no changes to the overall work programme for audits of local government audited bodies for 2019/20. Under the provisions of the Local Audit and Accountability Act 2014, the National Audit Office (NAO) is responsible for publishing the statutory Code of Audit Practice and guidance for auditors. Audits of the accounts for 2019/20 will be undertaken under this Code. Further information on the NAO Code and guidance is available on the [NAO website](#).

The scale fee covers:

- our audit of your financial statements;
- our work to reach a conclusion on the economy, efficiency and effectiveness in your use of resources (the value for money conclusion); and
- our work on your whole of government accounts return (if applicable).

PSAA will agree fees for considering objections from the point at which auditors accept an objection as valid, or any special investigations, as a variation to the scale fee.

Value for Money conclusion

The Code requires us to consider whether the Council has put in place proper arrangements for securing economy, efficiency and effectiveness in its use of resources. This is known as the Value for Money (VfM) conclusion.

The NAO issued its latest guidance for auditors on value for money work in November 2017. The guidance states that for local government bodies, auditors are required to give a conclusion on whether the Council has put proper arrangements in place.

The NAO guidance identifies one single criterion for auditors to evaluate:

In all significant respects, the audited body had proper arrangements to ensure it took properly informed decisions and deployed resources to achieve planned and sustainable outcomes for taxpayers and local people.

Billing schedule

Fees will be billed as follows:

Main Audit fee	£
September 2019	9,594
December 2019	9,594
March 2020	9,594
June 2020	9,593
Total	38,375

Outline audit timetable

We will undertake our audit planning and interim audit procedures between November 2019 and March 2020. Upon completion of this phase of our work we will issue a detailed audit plan setting out our findings and details of our audit approach. Our final accounts audit and work on the VfM conclusion will be completed in June and July 2020 and work on the whole of government accounts return in advance of the national deadline.

Phase of work	Timing	Outputs	Comments
Audit planning and interim audit	November 2019 to March 2020	Audit plan	The plan summarises the findings of our audit planning and our approach to the audit of the Council's accounts and VfM.
Final accounts audit	June 2020 to July 2020	Audit Findings (Report to those charged with governance)	This report sets out the findings of our accounts audit and VfM work for the consideration of those charged with governance.
VfM conclusion	March 2020 to July 2020	Audit Findings (Report to those charged with governance)	As above
Whole of government accounts	July 2020	Opinion on the WGA return	This work will be completed alongside the accounts audit.
Annual audit letter	September 2020	Annual audit letter to the Council	The letter will summarise the findings of all aspects of our work.

Our team

The key members of the audit team for 2019/20 are:

	Name	Phone Number	E-mail
Key Audit Partner	Phil Jones	0121 232 5232	Phil.W.Jones@uk.gt.com
Engagement Manager	Laurelin Griffiths	0121 232 5363	Laurelin.H.Griffiths@uk.gt.com
In Charge Auditor	Aaron Smallwood	0121 232 5336	Aaron.K.Smallwood@uk.gt.com

Additional work

The scale fee excludes any work requested by the Council that we may agree to undertake outside of our Code audit. Each additional piece of work will be separately agreed, and a detailed project specification and fee agreed with the Council.

Quality assurance

We are committed to providing you with a high quality service. If you are in any way dissatisfied or would like to discuss how we can improve our service, please contact me in the first instance. Alternatively, you may wish to contact Mark Stocks, our Public Sector Assurance regional lead partner, via Marc.C.Stocks@uk.gt.com.

Yours sincerely

A handwritten signature in black ink that reads "Phil Jones". The signature is written in a cursive, slightly slanted style.

Phil Jones

Key Audit Partner

Grant Thornton UK LLP

AUDIT & GOVERNANCE COMMITTEE

6th JUNE 2019

REPORT OF THE HEAD OF AUDIT & GOVERNANCE

ANNUAL GOVERNANCE STATEMENT & CODE OF CORPORATE GOVERNANCE

EXEMPT INFORMATION

None

PURPOSE

To inform Members of the Committee of the process followed in producing an Annual Governance Statement and revised Code of Corporate Governance in accordance with statutory requirements, and to approve the proposed draft Annual Governance Statement and Code of Corporate Governance.

RECOMMENDATIONS

That the proposed

- a) Annual Governance Statement be agreed by the Committee as appropriate for presentation to the external auditor and for inclusion in the Annual Statement of Accounts; and**
- b) Code of Corporate Governance be agreed.**

EXECUTIVE SUMMARY

Regulation 6(1)(a) of the Accounts and Audit Regulations 2015 require the Authority to conduct at least once in a year a review 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 on the review of the effectiveness of its system of internal control is the Annual Governance Statement.

The preparation and publication of an Annual Governance Statement in accordance with “Delivering Good Governance in Local Government: Framework (2016) (CIPFA/SOLACE)” – The Framework, would fulfil this statutory requirement. The Accounts and Audit Regulations 2015 stipulate that the Annual Governance Statement must be “prepared in accordance with proper practices in relation to the accounts”.

The Framework defines the principles that should underpin the governance of each local government organisation. It provides a structure to help individual authorities with their approach to governance. Authorities should test their governance structures and partnerships against the principles contained in the Framework by:

- Reviewing existing governance arrangements
- Developing and maintaining an up-to- date local code of governance, including arrangements for ensuring ongoing effectiveness
- Reporting publicly on compliance with their own code on an annual basis and on how they have monitored the effectiveness of their governance arrangements in the year and on planned changes.

The term “local code” essentially refers to the governance structure in place as there is an expectation that a formally set out local structure should exist, although in practice it may consist of a number of local codes or documents.

To achieve good governance, each authority should be able to demonstrate that its governance structures comply with the core and sub-principles contained in the Framework. Each authority should therefore develop and maintain a local Code of Governance/governance arrangements reflecting the principles set out in the Framework.

Authorities are required to prepare an annual governance statement in order to report publicly on the extent to which they comply with their own code of governance, which in turn, is consistent with the good governance principles in the Framework.

The key elements of the structures and process that comprise the Authority’s governance arrangements do not need to be described in detail on the Annual Governance Statement if they are already easily accessible through the Code of Corporate Governance.

The Accounts and Audit Regulations 2015 require that the Statement should be approved by a Committee of the Council – the Audit and Governance Committee is charged with this function.

The proposed Annual Governance Statement 2018/19 arising from these processes is attached as **Appendix 1** for Members’ consideration. It should be noted that the Annual Governance Statement only includes significant governance issues.

To achieve good governance, the Authority should be able to demonstrate that it is complying with the core and supporting principles contained in the Framework and should therefore develop and maintain a local Code of Corporate Governance appropriate to its circumstances and comprising the requirements for best practice as set out in the Framework. As such the Code of Corporate Governance 2019/20 has been reviewed and is attached as **Appendix 2**. The Code indicates what is expected as per the Framework (what assurance do we want) and what we have in place (what assurance do

we get) to ensure that the principles of good governance are met. The review has identified minor areas for improvement which had already been recognised by the Authority and action plans to address these are already in place. **Appendix 3** provides a summary of these areas together with an update of the issues highlighted and the last financial year's review. The Authority can demonstrate that it complies with the core and supporting principles and complies with best practice.

RESOURCE IMPLICATIONS

None

LEGAL/RISK IMPLICATIONS

Failure to produce an Annual Governance Statement would result in non-compliance with the Accounts and Audit Regulations 2015. There is a risk that failures in Governance would not be identified.

SUSTAINABILITY IMPLICATIONS

None

BACKGROUND INFORMATION

None

REPORT AUTHOR

Angela Struthers, Head of Audit & Governance

LIST OF BACKGROUND PAPERS

Managers Assurance Statements

APPENDICES

Appendix 1 Annual Governance Statement 2018/19

Appendix 2 Code of Corporate Governance 2019/20

Appendix 3 Action Plan Arising From The 2018/19 Assurance Process

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Annual Governance Statement 2018/19

What is Governance?

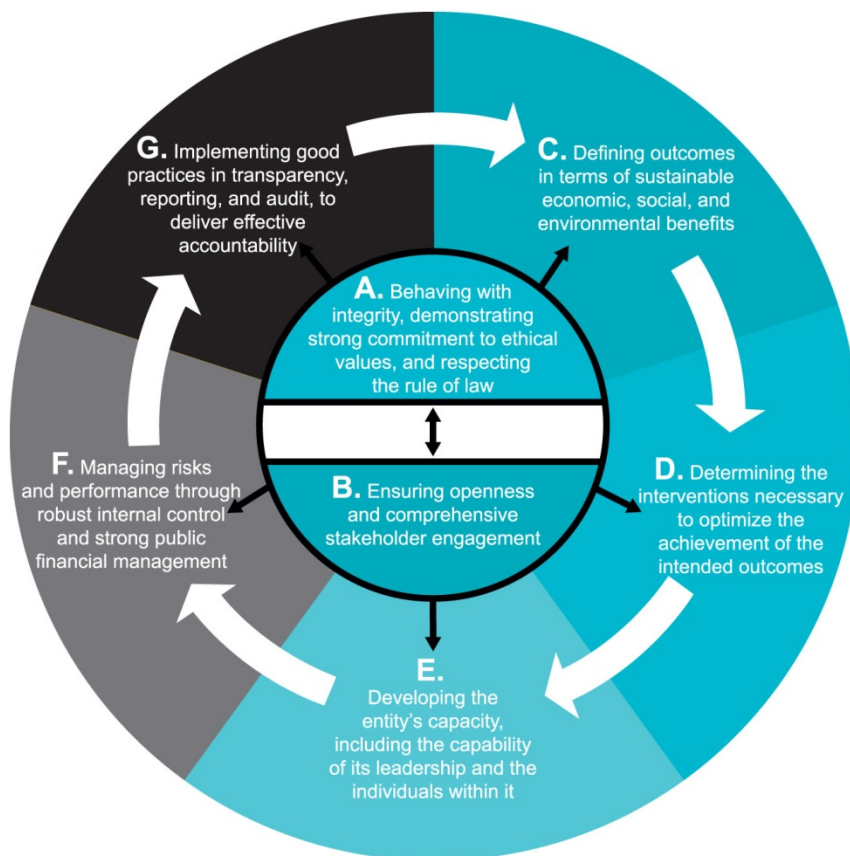
Governance comprises the arrangements put in place to ensure that the intended outcomes for stakeholders are defined and achieved.

To deliver good governance in the Authority, both governing bodies (Members) and individuals working for the Authority must try to achieve the Authority’s objectives whilst acting in the public interest at all times.

Acting in the public interest implies primary consideration of the benefits for society, which should result in positive outcomes for service users and other stakeholders.

The Core Principles of Good Governance

The diagram below, taken from the International Framework: Good Governance in the Public Sector (CIPFA/IFAC. 2014) (the “International Framework”), illustrates the various principles of good governance in the public sector and how they relate to each other.



Responsibility

The Authority is responsible for ensuring that its business is completed in line with the law and statutory legislation, and that public money is spent wisely and properly accounted for. We will ensure that we continually improve the way we provide our services whilst taking into account value for money.

We will ensure that we put in place proper arrangements to ensure our risks are managed, and that controls and the governance process are in place.

We have approved and adopted a Code of Corporate Governance which is consistent with principles of the CIPFA/SOLACE Framework *Delivering Good Governance in Local Government*. The Code demonstrates the supporting principles which underpin the core principles and identifies the assurance as outlined in the Framework. It also demonstrates what level of assurance we get and thus, identifies any areas for improvement. This forms the assurance framework for good governance and demonstrates that we know our governance arrangements are working. Links to all supporting evidence identified in the assurance framework are contained within the Code of Corporate Governance and are not repeated in this statement. The Code of Corporate Governance document is available on the Council's website.

Our Outcomes

Our desired outcomes for 2017-20 (updated 2018) are detailed in the **Corporate Plan**. The Corporate Plan details our Vision and sets out our Thematic Priorities.

At the start of 2018/19 our Vision was:

“One Tamworth, Perfectly Placed – Open for business since the 7th century AD”

Our strategic priorities are:

Living a Quality Life in Tamworth
Growing Stronger Together in Tamworth
Delivering Quality Services in Tamworth.

Under each thematic priority, we detail our ambitions and how we are going to realise these. All outcomes we aim to achieve, along with changes we want to see and supporting information are detailed in the Corporate Plan.

For each activity or process we complete, we ensure that the appropriate governance arrangements are in place.

The Corporate Plan for 2019-22 was adopted by Cabinet on 21st March 2019 and sets out the new vision and priorities of the authority.

TAMWORTH BOROUGH COUNCIL CORPORATE PLAN 2019-2022

TAMWORTH BOROUGH COUNCIL: VISION

To put Tamworth, its people and the local economy at the heart of everything we do

OUR PURPOSE IS TO:

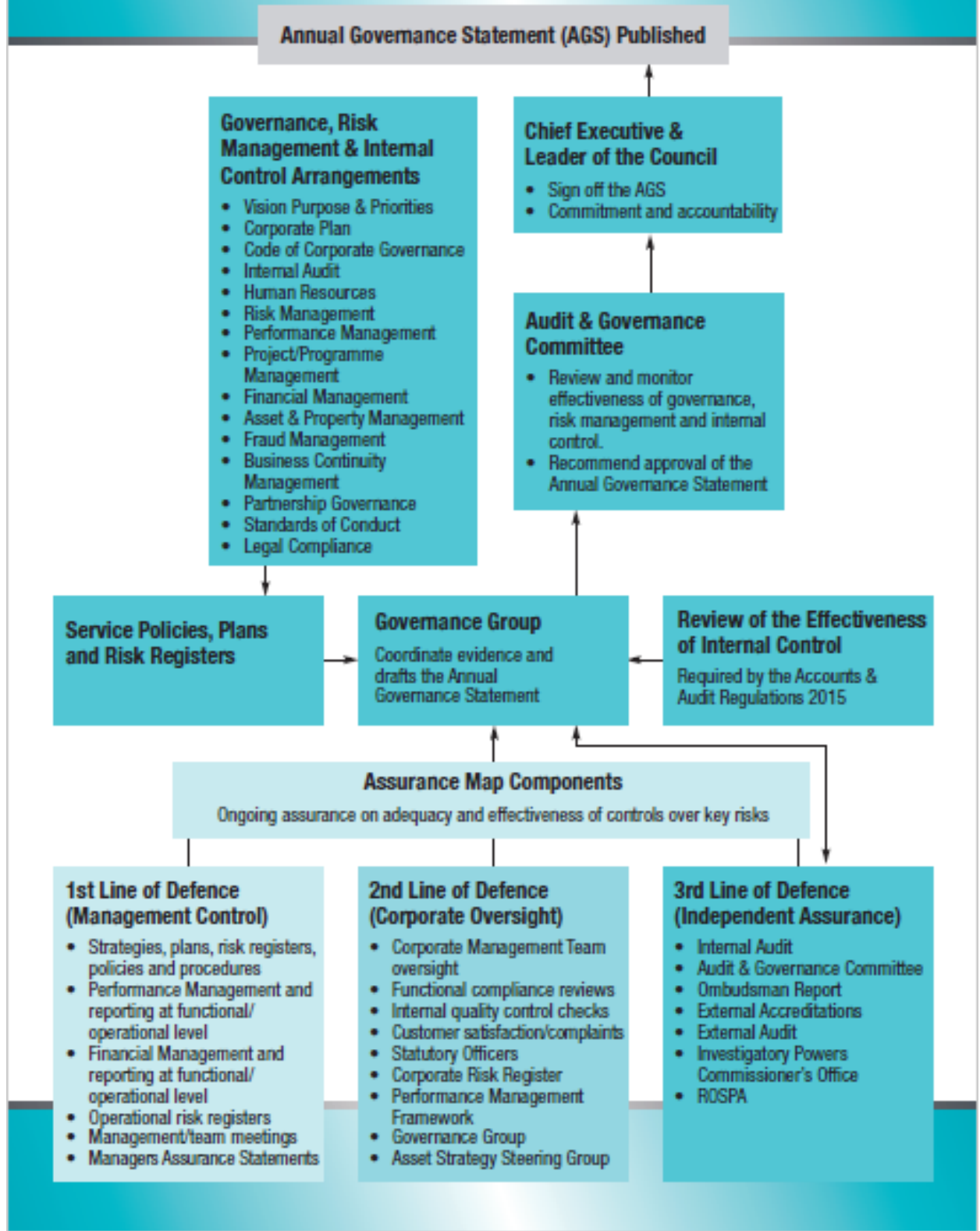
- ▶ help tackle causes and effects of poverty and financial hardship
- ▶ increase all residents' resilience and access to information
- ▶ engage with our residents to promote community involvement and civic pride
- ▶ support the development of Tamworth now, and in the future
- ▶ help the local economy to grow in a way which benefits our residents and businesses
- ▶ utilise Council resources effectively
- ▶ help tackle the causes of inequality and increase opportunities for all residents and businesses
- ▶ help protect, nurture and celebrate our local heritage
- ▶ help prevent homelessness and help people access suitable housing
- ▶ help build resilient communities
- ▶ help develop and safeguard our environment and open spaces

OUR STRATEGIC PRIORITIES FOR 2019-2022

People and Place	Organisation
 To meet housing needs through a variety of approaches and interventions	 To be financially stable
 To facilitate sustainable growth and economic prosperity	 To ensure our employees have the right skills and culture to help our residents, visitors and businesses
 To work collaboratively and flexibly to meet the needs of our communities	 To ensure our service delivery is consistent, clear, and focused
 To create a new and developing vision for the continued evolution of Tamworth, including a town centre fit for the 21st century	 To ensure our decisions are driven by evidence and knowledge

The Assurance Framework

The diagram below shows how the Assurance Framework is made up



What have we done to monitor and evaluate the effectiveness of our governance arrangements during 2018/19.

The Authority has the responsibility for conducting, at least annually, a review of the effectiveness of its governance framework including the system of internal control.

The review of the effectiveness of the system of internal control is informed by:

- The work of Internal Audit which is detailed in the Head of Audit & Governance's Annual Report;
- Responsibility of Corporate Management Team for the development and maintenance of the internal control environment; and
- Reports received from our External Auditors and any other review agencies or inspectorates.

During 2018/19, the following actions have contributed to the evaluation of the effectiveness of the governance arrangements;

- The Governance Group has reviewed and updated against the Code of Corporate Governance in line with the principles of the CIPFA/SOLACE Framework *Delivering Good Governance in Local Government*;
- Both the CIPFA Statement on the Role of the Chief Finance Officer and the CIPFA Statement on the Role of the Head of Internal Audit were reviewed and updated. Both officers comply with expected roles;
- The Head of Audit & Governance reports to the Audit & Governance Committee on a quarterly basis and provides an opinion on the overall effectiveness of the system of internal control based upon the work completed. The statement for the 2018/19 financial year is as follows:

"I am satisfied that sufficient internal audit work has been undertaken to allow us to draw a reasonable conclusion as to the adequacy and effectiveness of the organisation's risk management, control and governance processes.
Overall in my opinion, based upon the reviews performed during the year, the Authority has:

- adequate and effective risk management arrangements;
- adequate and effective governance; and
- has adequate and effective control processes.
- From the 1st April 2013, Internal Audit is required to comply with the Public Sector Internal Audit Standards. As part of this requirement, Internal Audit are required to complete an annual self-assessment against the Standards and produce a Quality Assurance & Improvement Programme(QAIP) which identifies areas for improvement both to ensure compliance with the Standards and other quality areas. The self-assessment against the

standards and the QAIP are reported to the Audit & Governance Committee;

- Our External Auditors report to each Audit & Governance Committee. In their Annual Audit Letter (2017/18), they gave an unqualified opinion on the Statement of Accounts, an unqualified conclusion in respect of the Authority securing economy, efficiency and effectiveness, and an unqualified opinion on the production of the Whole of Government Accounts;
- The Ombudsman report on the enquiries and complaints they received in 2017/18 was reported to the Audit & Governance Committee in October 2018;
- Managers Assurance Statements have been completed by Executive Directors and Assistant Directors and have not identified any significant control issues;
- The Corporate Risk Register is owned and reviewed on a quarterly basis by the Corporate Management Team and reported in the Quarterly Healthcheck to Cabinet and also reported in the risk management update to the Audit & Governance Committee. There are no significant risks on the Corporate Risk Register;
- The Performance Management Framework ensures that the Financial Healthcheck is reported to Cabinet on a quarterly basis and made readily available on the Authority's website;
- The Authority is currently completing the annual assessment against the Code of Connection to retain the certification. This includes assessments against governance, service management and information assurance conditions. Compliance with the Code of Connection ensures access to the Public Services Network.
- A quarterly update report is presented to the Audit & Governance Committee on the use of RIPA powers. During 2018/19, no RIPA authorisations were made;
- Financial Regulations, Contract Standing Orders and Financial Guidance are reviewed on a regular basis with the last review being approved by the Audit & Governance Committee in March 2018 and made available to staff. The annual review for 2019 is due to be carried out after the full review of the Constitution;
- No issues were raised through the Counter Fraud and Corruption and Whistleblowing Policies;
- There were no data security breaches/lapses during the financial year;

- To assist in a more co-ordinated approach to managing projects, a Corporate Project Management template and process has been devised and made available to Officers;
- A self-assessment of the Audit & Governance Committee's effectiveness was completed on the 28th March 2019;
- The Chairs of the Audit & Governance and Scrutiny Committees submitted their Annual Reports to Full Council;
- The Authority complies with the Transparency Code;
- Counter fraud work continues to be completed with the retained expertise of in-house staff to investigate corporate fraud;
- Internal Audit completes an annual assessment of the risk of fraud which is reported to the Audit & Governance Committee. Assessments against the CIPFA Code of Practice on Managing the Risk of Fraud and Corruption, the Fighting Fraud & Corruption Strategy & Checklist have been completed. Having considered all of the principles, we are satisfied that the Authority has adopted a response that is appropriate for its fraud and corruption risks and commits to maintain its vigilance to tackle fraud;
- The Leader of the Council reported to Full Council on the 22nd May 2018, in compliance with the Local Authorities Executive Arrangements (Meetings & Access to Information) Regulations 2012, that one urgent executive decisions has been made for the period to 30 April 2018;
- In compliance with the Localism Act 2011, a report was presented to Full Council in May 2018 advising them of the number of complaints received regarding Members Conduct;
- The appointments of the Chief Executive and the Head of Paid Service and appointments of Statutory positions including the senior management review were approved by Council in June 2018;
- The review of the Constitution and Scheme of Delegation was approved by Council in June 2018;
- The Anti-Money Laundering Policy was reviewed and approved by the Audit & Governance Committee in February 2018;
- The Diversity & Equalities Scheme 2015-19 was approved by Cabinet in July 2017;
- The Pay Policy 2018 was approved by Council in May 2018;

- The authority has continued to progress implementation of the organisation's response to the General Data Protection Regulations (GDPR). Following the appointment of a new nominated DPO, the authority has continued to raise its awareness of GDPR across the authority. As part of wider IT Governance work, policies and procedures have been reviewed or are being developed to meet our obligations under the GDPR and to ensure a robust governance framework is in place for our ICT systems and information assets. The Information Security Policy has been rolled out across the authority with this becoming a mandatory requirement for new starters. The authority's Corporate Privacy Notice along with approximately 30+ Fair Processing Notices have been developed with reviews being undertaken annually. Information on our website is being reviewed and updated with guidance to support our customer's rights of access to their data. Work is progressing with suppliers to ensure the security and compliance of personal data held within our software systems. A programme of cyber security training has been completed across the authority with further bite size communications to be issued over the coming months.
- Partnership working arrangements continue to strengthen and further develop with both our statutory and community and voluntary sector partners. We value our community and voluntary sector and the work they do within our community. In 2018/19 we awarded a total of 28 grants through our Community and Voluntary Sector Grant Programme and our Arts Grant Programme; the total value of this funding was £13,720. Through the Staffordshire Commissioner's Office Locality Deal Funding the Community Safety Partnership, 3 organisations were funded with a total of £9537 to address domestic abuse, hate crime and social isolation. Diversionary holiday schemes also took place and the Summer Space Scheme funded 10 organisations a total of £15,844.
- The Place Based Approach continues to grow and further develop; this is a collaborative partnership approach that uses multi skilled teams, universal services, voluntary sector organisations, and communities at the right time to improve outcomes for children, young people, vulnerable people and our community. As part of this Place Based Approach we have been working in partnership to identify community and voluntary sector organisations that can offer children, families and vulnerable people help and support at the earliest opportunity. Grant funding has been awarded to the value of £30,000 for community projects during 2019/20 and 2020/21.
- Work is continuing on a number of actions to address the financial position in future years:
 - Delivering Quality Services project – the demand management approach to shift demand to more efficient methods of service delivery – online and automation (Interactive Voice Response). A savings target of £100k p.a. has already been included within the MTFS together with reduced CRM costs of £62k p.a. from 2019/20;

- Recruitment freeze – there is a robust challenge / re-justification process in place for all vacant posts with a requirement to investigate alternative options including restructuring to fill vacancies / looking at what we can stop doing;
 - Spend freeze – A review of the underspend position has been undertaken with a view to drive out as many savings as possible and has identified annual savings of c.£450k p.a. from 2019/20;
 - Alternative investment options arising from the Commercial Investment Strategy (as well as the Treasury Management Investment Strategy) to generate improved returns of c. 4% to 5% p.a. (plus asset growth);
 - Review of reserves (including ensuring adequate provision for the funding uncertainties) / creation of fund for transformation costs (if needed);
 - Targeted Savings – to identify potential areas for review in future years; and
 - Review and rationalisation of IT systems.
- The Authority has both a moral and legal obligation to ensure a duty of care for children and adults with care and support needs across its services. We are committed to ensuring that all children and adults with care and support needs are protected and kept safe from harm whilst engaged in services organised and/or provided by the Council. We do this by:
 - Having a Safeguarding Children & Adults at Risk of Abuse & Neglect Policy and procedures in place;
 - Having Safeguarding Children & Adults Processes which give clear, step-by-step guidance if abuse is identified;
 - Safeguarding training programme in place for staff and members;
 - Carrying out of the appropriate level of Disclosure and Barring Service (DBS) checks on staff and volunteers;
 - Working closely with Staffordshire Safeguarding Children’s Board & Staffordshire & Stoke-on-Trent Adult Safeguarding Partnership; and Staffordshire Police.
 - The Authority recognises that it has a responsibility to take a robust approach to slavery and human trafficking. In addition to the Authority’s responsibility as an employer, it also acknowledges its duty as a Borough Council to notify the Secretary of State of suspected victims of slavery or human trafficking as introduced by section 52 of the Modern Slavery Act 2015. The Authority is committed to preventing slavery and human trafficking in its corporate

activities and to ensuring that its supply chains are free from slavery and human trafficking. The Authority has included modern slavery and human trafficking information within the corporate safeguarding policy and training. The Council will continue to develop and strengthen its approach to modern slavery and trafficking in 2019/20. The Tamworth Vulnerability Partnership continues to meet each morning to ensure that partner organisations are working together to coordinate efforts to support children, young people, families and vulnerable people across Tamworth.

Declaration

We have been advised on the implications of the result of the review of the effectiveness of the Governance Framework by the Audit & Governance Committee and that the arrangements continue to be regarded as fit for purpose. The significant governance issues highlighted in the 2017/18 Annual Governance Statement still remain significant issues during 2018/19 and are detailed at **Annex 1** with actions completed to date to address the issues. No additional governance issues were highlighted during 2018/19. Other minor issues highlighted through the assurance gathering process have been noted with planned actions to address these issues. Monitoring of the completion of all these issues will be completed through reporting to the Audit & Governance Committee.

We propose over the coming year to take steps to address those matters raised to further enhance our governance arrangements. We are satisfied that these steps will address the need for improvements that were identified in our review of effectiveness and will monitor their implementation and operations as part of our next review.

Signed

D Cook

A Barratt

Leader

Chief Executive

Date

On behalf of the Authority

This information can be produced on request in other formats and languages. Please contact Internal Audit Services on 01827 709234 or email enquiries@tamworth.gov.uk

This is an electronic copy without an electronic signature. The original was signed as dated above and a copy can be obtained from the Executive Director Finance

Significant Governance Issues 2018/19

The significant governance issues identified in relation to the Authority achieving its vision in 2017/18 remain significant issues for 2018/19 and are detailed below:

No	Issue	Action 2017/18	Update 2018/19
1	<p>Medium Term Financial Strategy (MTFS)</p> <p>Whilst actions have been taken to ensure that the MTFS remains balanced, this is still a significant risk to the Authority. Revenue Support grant will be removed around 2020. Opportunities and risks associated with the 100% Business Rates Retention will need to be identified. The increasing demands of our customers also need to be considered.</p>	<p>Work is continuing on a number of actions to address the financial position in future years:</p> <ul style="list-style-type: none"> • Delivering Quality Services Project – the demand management approach to shift demand to more efficient methods of service delivery – online and automation (Interactive Voice Response). A savings target of £100k p.a. has already been included within the MTFS together with reduced CRM costs of £62k p.a. from 2019/20; • Recruitment freeze – where possible, temporary 12 month 	<p>There is a high degree of uncertainty arising from the work progressing with regard to business rates retention (and the associated impact on the Council's business rates income and associated baseline and tariff levels), the 'Fair Funding Review' as well as the planned Business Rates Reset which will also take effect from 2020/21.</p> <p>The Council is responding to these challenges by considering the opportunities to grow our income. We are ambitious with our commercial view and will continue to work hard to identify income streams that enable us to continue to meet the needs of our residents.</p> <p>We continue to invest in our teams, transform our processes and ensure our technology infrastructure is fit for purpose. We have identified a number of opportunities to improve customer access to</p>

No	Issue	Action 2017/18	Update 2018/19
		<p>appointments are now only being made; there is a robust challenge / re-justification process in place for all vacant posts with a requirement to investigate alternative options including restructuring to fill vacancies / looking at what we can stop doing. This means we have the opportunity to increase the vacancy allowance from 5% to 7.5% c. £45k p.a. year on year for the General Fund (£14k p.a. – HRA); It should be noted that staffing in some services e.g. planning, are key to the delivery of the Council’s economic growth agenda and have significant demand from the public and local businesses but can also experience severe recruitment difficulties – which may lead to the use of market supplements to attract staff.</p> <ul style="list-style-type: none"> • Spend freeze – Managers have previously been required to restrict / limit spending to 	<p>information and services as well as our engagement with our citizens and the way in which we manage our data and information.</p> <p>Linked with this, a major ‘Delivering Quality Services’ project will incorporate a review of processes and demand, with the aim of re-designing processes to meet changing customer expectations and making the best use of technology to deliver efficient and effective services to the customer, including self-service and digital functionality.</p> <p>Work is continuing on a number of actions to address the financial position in future years:</p> <ul style="list-style-type: none"> • Recruitment freeze – there is a robust challenge / re-justification process in place for all vacant posts with a requirement to investigate alternative options including restructuring to fill vacancies / looking at what we can stop doing; • Spend freeze –A review of the underspend position has been undertaken with a view to drive out as many savings as possible – and has identified annual savings of c.£450k p.a. from 2019/20.

No	Issue	Action 2017/18	Update 2018/19
		<p>essential spend only (there was a £1.6m underspend in 2016/17 – although the majority was windfall income, c. £0.57m was lower level underspend). Savings of over £150k p.a. have been included within the MTF5;</p> <ul style="list-style-type: none"> • Alternative investment options arising from the Commercial Investment Strategy (as well as the Treasury Management Investment Strategy, including any prudential borrowing opportunities) to generate improved returns of c. 5% p.a. (plus asset growth) including: <ul style="list-style-type: none"> ○ Set up of trading company to develop new income streams; ○ Local investment options – Lower Gungate / Solway Close development including the potential to drawdown funding from the Local Growth Fund / Local 	<ul style="list-style-type: none"> • Alternative investment options arising from the Commercial Investment Strategy (as well as the Treasury Management Investment Strategy) to generate improved returns of c. 4% to 5% p.a. (plus asset growth); • Review of reserves (including ensuring adequate provision for the funding uncertainties) / creation of fund for transformation costs (if needed); • Targeted Savings – to identify potential areas for review in future years; and • Review and rationalisation of IT systems.

No	Issue	Action 2017/18	Update 2018/19
		<p>Enterprise Partnerships (GBS and Staffordshire);</p> <ul style="list-style-type: none"> ○ Investments in a Diversified Property Fund; <p>Note: these would represent long term investments of between 5 – 10 years (minimum) in order to make the necessary returns (after set up costs).</p> <ul style="list-style-type: none"> • Review of reserves / creation of fund for transformation costs (if needed), and • Targeted Savings – to identify potential areas for review in future years. <p>Uncertainty remains over the work progressing with regard to business rates retention (and the associated impact on the Council's business rates income and associated baseline and tariff levels) – it has recently been announced that Councils will be able to</p>	

No	Issue	Action 2017/18	Update 2018/19
		<p>retain 75% of business rates collected from 2020/21 rather than 100% as previously planned. In addition, the Government are also consulting on a review of the distribution methodology, the 'Fair Funding Review' as well as the planned Business Rates Reset (when a proportion of the growth in business rates achieved since 2013/14 will be redistributed) - both of which will also take effect from 2020/21. There is a high risk that this will have a significant effect on the Council's funding level from 2020/21;</p>	
2	<p>Regeneration/Capital Projects</p> <p>The Authority needs to ensure that capital projects are managed effectively to ensure that they are delivered and grant monies are spent appropriately and timely.</p> <p>There is a risk that developers will not develop timely in accordance with the Local</p>	<p>Significant re-profiling of capital scheme spend is forecast for 2017/18 into 2018/19 – c.£20m relating mainly to Housing Regeneration Schemes, works to High Rise flats and the works at the Assembly Rooms.</p> <p>The majority of this is beyond the control of the Council and has been forecast with the reasons understood.</p>	<p>Significant re-profiling of capital scheme spend is forecast for 2018/19 into 2019/20 – c.£39m relating mainly to Housing Regeneration Schemes, works to High Rise flats, Commercial Investments and the works at the Assembly Rooms.</p> <p>The majority of this is beyond the control of the Council and has been forecast with the reasons understood.</p>

No	Issue	Action 2017/18	Update 2018/19				
	Plan need.	<p>It is anticipated that this spend will now occur during 2018/19 with firm plans in place for such but the situation will be closely monitored and any potential issues will be highlighted at the earliest opportunity.</p> <p>Review of Asset Holdings and Asset Management Plan</p> <p>The Council's Asset Management Plan will be reviewed on an ongoing basis. This will identify any assets held by the Council that are no longer either required or fit for purpose and appropriate recommendations made regarding retention for alternative use or disposal.</p> <p>The Corporate Asset Management Strategy was last updated in 2015 relating to the following assets:</p> <table border="1" data-bbox="734 1169 1283 1316"> <thead> <tr> <th data-bbox="734 1169 1061 1241">Asset Description</th> <th data-bbox="1061 1169 1283 1241">Value (31/03/15)</th> </tr> </thead> <tbody> <tr> <td data-bbox="734 1241 1061 1316">Investment Properties</td> <td data-bbox="1061 1241 1283 1316">£14,588,052</td> </tr> </tbody> </table>	Asset Description	Value (31/03/15)	Investment Properties	£14,588,052	<p>It is anticipated that this spend will now occur during 2019/20 with firm plans in place for such but the situation will be closely monitored and any potential issues will be highlighted at the earliest opportunity.</p> <p>As part of the MTFs, Council in February 2019 approved the Capital Strategy which sets out the Council's approach to capital investment and the approach that will be followed in making decisions in respect of the Council's Capital assets.</p> <p>Capital investment is an important ingredient in ensuring the Council's vision is achieved and given that capital resources are limited it is critical that the Council makes best use of these resources – including the development of a long term strategic plan to address the identified maintenance and repairs backlog for corporate assets.</p> <p>The Tinkers Green and Kerria regeneration project is progressing in line with an agreed project programme. There will almost certainly be a notional underspend at the end of the project due to the successful Homes England grant funding for the project, there will also be a re-profiling of the overall budget to reflect the actual project programme.</p> <p>The Business Plan for 2019/20 makes provision for a</p>
Asset Description	Value (31/03/15)						
Investment Properties	£14,588,052						

No	Issue	Action 2017/18		Update 2018/19
		Land and Buildings	£6,537,500	new Asset Management Strategy linked with the Capital Finance strategy, this is due to be in place for the 3 rd quarter of 2019/20 with implementation plans to follow.
		Total	£21,125,552	
		<p>It details an estimated 10 year maintenance cost for each asset (totalling c.£8m) based on the inspections that had been undertaken.</p> <p>Long Term Strategic Plan</p> <p>It has been identified that the Council, through the Corporate Capital strategy and through the development of a long term strategic plan, needs to take a longer-term view of the assets required to deliver its Corporate Plan priorities and to support its Medium Term Financial Strategy (MTFS), including spend required (and associated potential funding streams) to address the identified maintenance and repairs backlog for corporate assets.</p>		

No	Issue	Action 2017/18	Update 2018/19
3	<p>Disabled Facilities Grants</p> <p>There is a risk that the Authority will not be fully funded to deliver the need for Disabled Facilities Grants.</p>	<p>The contract for delivery of the pan-Staffordshire delivery of DFG's has now been tendered, evaluated and the contract awarded for delivery commencing 1st April 2018.</p> <p>The pan Staffordshire Partnership Board has been set up which meets quarterly.</p> <p>The allocation of funding for 2018/19 will follow the same principles as for the previous year while the new contract beds in, and will be reviewed in time for 2019/20.</p>	<p>The Staffordshire wide service delivery model is up and running and has ensured that adaptations have been delivered in a timely manner, additional funding was secured from Central Government to allow more applications to be funded, we have also benefitted from additional funding through those authorities in the partnership whose budgets exceed demand. It is not possible to offer any firm assurances in this area as it is anticipated that demand will continue to exceed the annual budget allocation through Central Government. It is understood that there will be a national review of the DFG programme at some point (delayed by Brexit), the outcome and implications of which will be reported once known and understood.</p>
	<p>Senior Management Review</p> <p>The Authority has commenced the first phase of the Senior Management Review. This has meant that the most senior managers in the organisation have been offered the option to explore</p>	<p>The Authority will continue to monitor and assess the capacity to deliver services taking into account Delivering Quality Services.</p>	<p>The organisation has now completed its senior management review and all posts were appointed. Since that time a number of vacancies have arisen and as mentioned above a range of solutions to filling said vacancies are currently being explored. In the meantime to ensure capacity is achieved a range of short term solutions are also being explored and / or</p>

No	Issue	Action 2017/18	Update 2018/19
	<p>voluntary redundancy. This is because we need to reduce the number of senior managers in order to meet budget deficits. All applications for voluntary redundancy together with the supporting business cases will be considered to see what impact they will have on the organisation which will help to shape a potential new leaner senior management structure. However, we have recognised there is a risk in the capacity to deliver services with a reduction in staffing numbers.</p>		<p>are already in place</p>
	<p>GDPR</p> <p>Whilst activity has progressed around the implementation of the organisation's response to the General Data Protection Regulations (GDPR), there are still significant risks around potential data loss resulting in a significant fine and reputational damage.</p>	<p>A Project Group has been formed to manage the implementation of GDPR. Awareness has been raised through corporate communications, specialist staff have been trained to practitioner level to ensure local knowledge for the implementation and subsequent maintenance. Mandatory training is being developed for all staff.</p>	<p>The DPO will continue to progress the implementation of GDPR throughout the authority, with regular updates to the Head of Information & Technology and Assistant Director – People. Awareness of the authority's obligations under the GDPR will continue to be communicated through corporate communication channels.</p>

No	Issue	Action 2017/18	Update 2018/19
	<p>Welfare & Benefit Reform</p> <p>There is a risk of reduced income corporately due to welfare reform changes (including council tax support scheme and Universal Credit with further austerity measures from the Welfare reform Act 2015).</p> <p>As well as the potential for reduced income and an increase in bad debts, there are additional impacts arising from increased needs in services – eg homelessness, requirement for additional support to vulnerable people, increased issues of ASB etc meaning an increase in demand on 3rd sector and statutory agency services.</p>	<p>The Authority will continue to proactively manage and monitor corporate income levels on a monthly basis and report this to CMT. Staff will be trained to deal with the impact and we will be commissioning 3rd sector support as well as providing additional resources in key service areas. In addition, we will provide financial advice and support for vulnerable clients.</p>	<p>The Council has experienced an impact from Welfare Benefit Reform and is able to evidence an increase in rent arrears to the implementation of Universal Credit. A Corporate Working Group has been established to ensure an organisation wide approach and the Council has been pro-active in seeking positive working relationships with DWP. The issue has been the subject of examination by the Council's scrutiny committees. Any impact in relation to homelessness has been less apparent and the Council has been successful in its proactive approach to implementation of the Homelessness Reduction Act and has achieved a significant reduction in the use of bed and breakfast accommodation thereby reducing costs and social harm.</p>

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TAMWORTH BOROUGH COUNCIL

CODE OF CORPORATE GOVERNANCE 2019/20

Introduction

Good Governance comprises the arrangements put in place to ensure that the intended outcomes for stakeholders are defined and achieved.

The International Framework: Good Governance in the Public Sector (CIPFA/IFAC, 2014) (the “International Framework”), states that:

To deliver good governance in the public sector, both 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.

Acting in the public interest implies primary consideration of the benefits for society, which should result in positive outcomes for service users and other stakeholders.

Our Commitment

The Authority is committed to upholding the highest possible standards of good corporate governance, as good governance leads to high standards of management, strong performance, effective use of resources, increased public involvement and trust in the Council and ultimately good results.

Good governance flows from shared values, culture and behaviour and from sound systems and structures. This Code of Corporate Governance is a public statement which sets out the framework through which the Council meets its commitment to good corporate governance and is based on the following principles;

- Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of the law
- Ensuring openness and comprehensive stakeholder engagement
- Defining outcomes in terms of sustainable economic, social, and environmental benefits
- Determining the interventions necessary to optimise the achievement of the intended outcomes
- Developing the entity’s capacity of its leadership and the individuals within it
- Managing risks and performance through robust internal control and strong public financial management
- Implementing good practices in transparency, reporting, and audit, to deliver effective accountability

This Code describes how the Council demonstrates its commitment to these seven principles and indicates what the Council has completed to achieve the commitment. It shows our own governance structure underpinned by the principles and demonstrated how we operate effectively.

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

Supporting Principle	Ensuring members and officers behave with integrity and lead culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the organisation.
What Assurance Do We Want	Codes of Conduct Individual sign off with regard to compliance with code Induction for new members and staff on standard of behaviours expected Performance appraisals
What Assurance Do We Get	<p>There is a Members' Code of Conduct which forms part of the Constitution and is approved on an annual basis. Each member is required to sign two copies of the Code, retain one for themselves and one is held by Democratic Services. The Code of Conduct for employees is also in the Constitution. Members' are required to sign up to the Code of Conduct on annual basis. The Code of Conduct for officers is issued to employees through NetConsent on an annual basis.</p> <p>There is a protocol for Member/Officer relations detailed in the Constitution.</p> <p>The Constitution details Rules of Procedures for Committee meetings. Codes and protocols are also included in the Gifts & Hospitality Policy and Register of Interests.</p> <p>Key Officers and Members are required to complete an annual disclosure regarding any related party interests as part of the annual statement of accounts process.</p> <p>There is a Corporate training matrix detailing mandatory training required for all officers.</p> <p>Members have at least one training event each year which relates to Conduct. They have access to the Monitoring Officer at all times.</p> <p>Other protocols included in the Constitution relate to Pre-Election, Member involvement in Commercial Transactions, use of Council facilities, printing and postage, Dealing with Planning Matters and Monitoring Officer Protocol.</p> <p>The Audit and Governance Committee remit includes review of Standards of Conduct for Members as required by the Localism Act 2011 – reports are produced to the Audit and Governance Committee.</p> <p>There is a Chief Officer conduct committee and a Statutory Officer conduct committee.</p> <p>There is an E-induction programme in place which has recently been reviewed and will be launched in May 2019.</p> <p>A members induction programme is being updated in readiness for May 2019 intake of newly elected members</p> <p>There is a new personal development review process in place which is to be rolled out shortly. The process will incorporate Corporate Values and Behaviours</p>

What is missing	Nothing identified

Supporting Principle	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).
What Assurance Do We Want	Communicating shared values with members, staff, the community and partners.
What Assurance Do We Get	<p>The Members Code of Conduct is built upon the Seven Principles of Public Life. The Code of Conduct is included in the Constitution.</p> <p>The Vision for Tamworth is underpinned by high level, evidence based priorities that focus upon both Tamworth (the place), the communities served (the people) as well as the Council (the organisation).</p> <p>However, it became evident during 2018 that the plans, processes and strategies that have guided the organisation to date required a review and refresh if elected members are to respond to the demands from local people.</p> <p>It is through the Corporate Plan that these aspirations and expectations will be achieved. The scale, scope and timescale relating to these outcomes presents the Council with a challenging yet achievable task over the forthcoming years.</p> <p>It is important to note that whilst the plan focuses upon delivering against the 3 Thematic Priorities, the Council must also ensure that the wide range of day-to-day operational and support services continue to be delivered to a consistent and efficient standard. In doing so, it demonstrates how “Delivering Quality Services” both connects and underpins the Thematic Priorities.</p> <p>Review – Key Drivers</p> <ul style="list-style-type: none"> • One: Create Insight and use our Knowledge - systematic collation and analysis; • Two: Be Clear About Our Service Offer - consistent approach to customer services; • Three: Prevention and Earliest Help approaches - get ‘upstream’ of the demand.

Review – Methodology

The approach, driven by Members, was based upon the collection, collation and analysis of a range of information; an understanding of local issues and an awareness of key influences.

The [Corporate Plan](#) identifies that we will prioritise the development of clear standards of service across the organisation and will further develop our approaches to measure and respond quickly to customer intelligence and levels of satisfaction together with the delivery and approval of the Tamworth Community Offer and the revision of the Organisational and People Strategy that ensures the organisation is focused on the future .

In addition to the activity planned for the Tamworth Listens process / State of Tamworth debate, consultation is planned to gauge residents’, business and other core stakeholders’ views on the Council’s priorities to achieve the ‘Vision’ considering areas of spending or where savings could potentially be made.

The consultation is carried out through a range of activities, including online surveys, workshops etc. A survey that is tailored for businesses, a full survey aimed at residents and a survey that is tailored for the voluntary and community sector.

The online residents survey is promoted using social networking/media sites and through email contact databases.

The business survey is promoted through business social networking sites and business email contact databases. The voluntary and community sector survey is promoted through email contact databases.

The Customer Service strategy is under review to be completed by March 2020. In addition, as part of the TCO project an organisational wide approach will be developed that will regularly test customer satisfaction across all services and to use outcomes to better shape services.

What is missing

Nothing identified

Supporting Principle	Leading by example and using these standard operating principles or values as a framework for decision making and other actions.
What Assurance Do We Want	Decision making practices Declaration of interests made at meetings Conduct at meetings Shared values guide decision making Develop and maintain an effective standards committee
What Assurance Do We Get	Rules of procedure for Committee meetings detailed in the Constitution . Report format set out to ensure key information is provided to Members to inform decision making. Declarations of interests completed at all Committee meetings and recorded on the website. Annual declarations made by members – register of Interests. Nolan principles (values) detailed with the Code of Conduct. The Audit & Governance Committee takes on the role of Standards Committee and independent members sit on the Committee for Standards matters. Monitoring Officer dedicated to member issues with early intervention and resolution practised leading to good Member/Officer relationships. The Council's commitment to equality and diversity is demonstrated in its policy and plan (2015-19)
What is missing	Nothing identified

Supporting Principle	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.
What Assurance Do We Want	<p>Anti-fraud and corruption policies are working effectively Up-to-date register of interests (members and staff) Up-to-date register of gifts and hospitality Whistleblowing policies are in place and protect individuals raising concerns Whistleblowing policy has been made available to members of the public, employees, partners and contractors Complaints policy and examples of responding to complaints about behaviour Changes/improvements as a result of complaints received and acted upon Members and officers code of conduct refers to a requirement to declare interests Minutes show declarations of interest were sought and appropriate declarations made.</p> <p>As part of a 'Tamworth Community Offer' we will:</p> <ul style="list-style-type: none"> • Improve our use of 'insight' in shaping services and directing investment; • Better align service delivery to ensure we act with purpose and are accountable; • Support the Demand Management model with prevention approaches which seek to tackle causes and reduce costs; • Develop approaches which genuinely 'empower' individuals and communities; • Support a transformed dialogue with residents - recognising that our financial capacity will be less than in previous years which means educating and supporting communities to focus resources on 'needs' and being clear on what we are able to do and equally what we can't.
What Assurance Do We Get	<p>The Counter Fraud and Corruption Policy Statement, Strategy & Guidance Notes are reviewed and updated on an annual basis. They are approved by the Audit & Governance Committee. The Policy is made available on the intranet and issued through NetConsent for staff acceptance.</p> <p>All staff and members are required to Register their interests. Members interests are made public on the website.</p> <p>Gifts and hospitality register is maintained by the Monitoring Officer. Reminders are sent to Members and Officers on the requirement to Register Gifts & Hospitality.</p> <p>The Whistleblowing Policy is reviewed and updated on an annual basis and made available on the intranet.</p> <p>The Tell Us Policy is made available on the website and details the comments, complaints and complements process. The next scheduled review of the Tell Us process is contained within the Customer Services</p>

	<p>Business Plan and is scheduled to be completed by December 2020.</p> <p>The Delivering Quality Services programme identifies changes to working practices through customer demand transformation.</p> <p>Codes of Conduct require members and officer to declare interests</p> <p>Committee meeting minutes detail declarations made</p> <p>Ombudsman Investigations are reported to Audit & Governance Committee.</p> <p>There is an Anti-Money Laundering Policy in place that was reviewed and approved in February 2018 by the Audit & Governance Committee.</p>
What is missing	Nothing identified

Supporting Principle	Seeking to establish, monitor and maintain the organisation's ethical standards and performance
What Assurance Do We Want	<p>Scrutiny of ethical decision making</p> <p>Championing ethical compliance at governing body level</p>
What Assurance Do We Get	<p>The Council has in place three Scrutiny Committees –Corporate, Health & Wellbeing and Infrastructure, Safety & Growth which provide effective scrutiny to the achievement of the strategic priorities. The Scrutiny Committees join together to scrutinise the Budget.</p> <p>The Scrutiny Committees have the right to “call in” decisions made by the Executive. The Scrutiny Committees make use of the Forward Plan to shape projects and improve accountability and decision making. The Scrutiny Committee function is currently being reviewed for effectiveness by the Constitution Working Group.</p> <p>Agendas and minutes for the Scrutiny Committees are made available on the Council's website and reported to the Full Council.</p> <p>Each chair of the Scrutiny Committee reports annually to Full Council.</p> <p>The role of scrutiny has been enhanced with their monitoring and scrutiny of organisational performance on a regular basis. Training will continue as required for members to improve effectiveness</p> <p>There is an Audit and Governance Committee with the roles as required by the CIPFA/Solace framework (as well as the Standards function).</p> <p>The Constitution Working Group meets at the beginning of each year to discuss the Constitution and focuses on the Scrutiny function,</p> <p>The Deputy leader of the Council and Portfolio holder for Assets & Finance is the Governance lead in the Authority.</p>

	Roll out of Corporate Values and Behaviours has commenced with officers. Following the Senior Management Review, we will commence further roll out to members
What is missing	Nothing identified

Supporting Principle	Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the organisation's culture and operation
What Assurance Do We Want	Provision of ethical awareness training
What Assurance Do We Get	<p>Members receive induction training which covers expected behaviours and ethics. Complaints received about Members Conduct are administered by the Monitoring Officer. Following the Localism Act, the Standards Committee has been abolished. Issues in relation to Members Standards of Conduct are now operated in terms of the Localism Act 2011. A Code of Practice approved by Council is in place which outlines the process to be followed in relation to complaints of members conduct. It also provides the procedure for complaints that are to be dealt with by the Audit & Governance Committee. Two independent persons have been appointed and provided with training on the function.</p> <p>Training is provided on a regular basis for:</p> <ul style="list-style-type: none"> Equalities (MERIT); Safeguarding; Data Protection /GDPR/FOI Health and Safety
What is missing	Nothing identified
Supporting Principle	Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values.
What Assurance Do We Want	<p>Appraisal processes take account of values and ethical behaviour</p> <ul style="list-style-type: none"> Staff appointments policy Procurement policy
What Assurance Do We Get	<p>PDR's take into account corporate priorities. The PDR process identifies training needs required by the officer for continued professional development and in order to deliver the vision and priorities of the Authority. New and vacant post procedure in place.</p> <p>Recruitment processes are carried out by trained officers.</p> <p>Procurement Policy in place which requires compliance standards that apply to procurement, including:</p> <ul style="list-style-type: none"> • Compliance with National and European legislation; all procurement will be undertaken in accordance with UK and European statutes and regulations; • Financial regulations external and internal; all procurement will be undertaken in accordance with the Council's Standing Orders and Financial Regulations; • Health & Safety standards;

	<ul style="list-style-type: none"> • Environmental Impact and Sustainability; the Council will aim to procure from suppliers and to use goods and services which have the least impact on the environment and minimise energy consumption whilst maintaining quality and value for money; • Equality and Diversity – the Council is committed to eliminating inequalities in all areas of activity including procurement, and the procurement process will not discriminate on the grounds of age, disability, gender, race, religion or sexuality; • Safeguarding Children & Adults at Risk of Abuse & Neglect standards <p>Social Value is included within the Procurement Strategy which requires Officers to consider social value issues in the procurement of major works or services i.e. impact on local labour, local economy/businesses, apprenticeships etc.</p> <p>Under the requirements of the Modern Slavery Act 2015, suitability questionnaires for tenderers need to be completed to ensure that the commercial organisations confirm that they are compliant with the annual reporting requirements contained with Section 54 (transparency in supply chains etc) of the Act.</p>
What is missing	Nothing identified
Supporting Principle 48	Ensuring that external providers of services on behalf of the organisation are required to act with integrity and in compliance with high ethical standards expected by the organisation.
What Assurance Do We Want	<p>Agreed values in partnership working:</p> <ul style="list-style-type: none"> - Statement of business ethics communicates commitment to ethical values to external suppliers - Ethical values feature in contracts with external service providers <p>Protocols for partnership working</p>
What Assurance Do We Get	<p>Conditions of contract for provision of service details bribery and corruption. This is available on the website Partnership Guidance Policy and toolkit in place</p> <p>This is designed to help the Council work with its partners to ensure that all partnerships have good systems of governance. We define governance as the processes, procedures and policies that deal with important issues like accountability, probity and audit. It is crucial that all members of partnerships should conform to codes of practice for the good of all involved. The toolkit ensures that:</p> <p>The Council is clear about its purpose and can clearly define its expected outcomes for the people of Tamworth when entering into partnerships;</p> <p>The Council's own agreed priorities and objectives are being met;</p> <p>There is clarity about accountability and responsibility for outcomes;</p> <p>Partnership activity and outcomes are monitored, reviewed and evaluated;</p>

	<p>Risks for the Council and for the Partnership are assessed and agreed; Each Partnership has a clear focus during its lifetime and has in place an effective exit strategy; Partnerships are empowered and their legal status understood; Reviews are undertaken to evaluate success and promote progression and improved effectiveness. The Seven Principles of Public Life are detailed within the Counter Fraud & Corruption Policy Statement, Strategy & Guidance Notes which has been issued to staff through NetConsent. They are also detailed in the Members Code of Conduct.</p>
What is missing	Nothing identified

Supporting Principle	Ensuring members and staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations.
What Assurance Do We Want	Statutory provisions Statutory guidance is followed Constitution
What Assurance Do We Get	The role of Head of Legal & Democratic Services provides legal advice to the Authority and has access to additional Legal support from neighbouring authorities and private practice. Monitoring Officer and Section 151 Officer roles in place – review key decisions for legal and financial compliance. Legal updates from officers regarding changes to legislation, regulations, codes of practice, etc. are provided Statutory guidance is followed by all departments. The Constitution , which includes the Scheme of Delegation to Officers is reviewed and approved annually by Full Council. Any substantial amendments required are approved by the Full Council. Quarterly statutory officers meetings are held with the Chief Executive
What is missing	Nothing identified
Supporting Principle	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.
What Assurance Do We Want	Job descriptions/specifications Compliance with the CIPFA Statement on the Role of the Chief Finance Officer in Local Government (2015) Terms of reference Committee support
What Assurance Do We Get	Job descriptions and personal specifications in place Compliance with the CIPFA Statement on the Role of the Chief Finance Officer in Local Government Statutory officers terms of reference detailed with the Constitution Democratic support provided for Committee including a Scrutiny Officer to support Members.
What is missing	Nothing identified

Supporting Principle	Striving to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders
What Assurance Do We Want	Record of legal advice provided by officers
What Assurance Do We Get	<p>Details of legal advice provided to officers is maintained where appropriate and an electronic file created. Officers have the relevant training in their service sector appropriate to their position to ensure advice provided to citizens is correct, relevant and accurate.</p> <p>Committee reports require legal and risk implications to be identified as part of the decision making process. All Cabinet Reports are approved by the Monitoring Officer and the S151 Officer.</p>
What is missing	Nothing identified
Supporting Principle	Dealing with breaches of legal and regulatory provisions effectively
What Assurance Do We Want	<p>Monitoring officer provisions</p> <p>Record of legal advice provided by officers</p> <p>Statutory provisions</p>
What Assurance Do We Get	<p>The role of Head of Legal & Democratic Services is responsible for the legal operation of the Council. there is a designated Monitoring Officer for member issues. Committee reports require legal and risk implications to be identified as part of the decision making process.</p> <p>Statutory provisions are followed and preserved</p>
What is missing	Nothing identified

Supporting Principle	Ensuring corruption and misuse of power are dealt with effectively.
What Assurance Do We Want	Effective anti-fraud and corruption policies and procedures Local test of assurance (where appropriate)
What Assurance Do We Get	<p>The Counter Fraud and Corruption Policy Statement, Strategy and & Guidance Notes are reviewed and updated on annual basis and approved by the Audit & Governance Committee. The document is made available on the Authority's website and the Intranet and has been issued to staff through NetConsent (Policy acceptance system)</p> <p>The Whistleblowing Policy is approved on an annual basis by the Audit & Governance Committee and made available on the Authority's website and the intranet.</p> <p>Managers are required to complete annual assurance statements to confirm compliance or otherwise with laid down expected principles and policy.</p>
What is missing	Nothing identified

Core Principle B: Ensuring openness and comprehensive stakeholder engagement

Supporting Principle	Ensuring an open culture through demonstrating, documenting and communicating the organisation's commitment to openness
What Assurance Do We Want	Annual report Freedom of Information Act publication scheme Online council tax information Authority's goals and values Authority website
What Assurance Do We Get	<p>The Corporate Plan is published on the website There is a publication scheme in place. FOI disclosures are recorded on the website. On-line Council Tax information is made available – as well as published financial information in line with the Transparency Code of Practice (Accounts, budget, pay Policy etc.) The Authority's goals and values are detailed in the performance information and Corporate Plan.</p> <p>The revised Vision for Tamworth 'To put Tamworth, its people and the local economy at the heart of everything we do' is underpinned by high level, evidence based priorities that focus upon both Tamworth (the place), the communities served (the people) as well as the Council (the organisation).</p> <p>The 2018 review of the Vision and associated priorities was driven by Members and based upon the collection, collation and analysis of a range of information; an understanding of local issues and an awareness of key influences.</p> <p>Each service area develops a business plan with outcomes, and performance indicators linked to the vision and priorities. The website is fully functional and has available information to aid citizens.</p>
What is missing	Nothing identified

Supporting Principle	Making decisions that are open about actions, plans, resource use, forecasts, outputs and outcomes. The presumption is for openness. If that is not the case, a justification for the reasoning for keeping a decision confidential should be provided.
What Assurance Do We Want	Record of decision making and supporting materials
What Assurance Do We Get	<p>The Forward Plan is maintained for all key decisions and follows the access to information rules and regulations regarding publication and notice.</p> <p>All agenda items (reports) are made available on the website 5 working days prior to the meeting. Minutes are published on the website;</p> <p>All reports identify restrictions on publication;</p> <p>An Annual Report from the Leader of the Council detailing any reports that have not met the required notice is made in accordance with the Access to Information Regulations;</p> <p>The budget process aims to be open and transparent with an initial Process Plan approved in July, detailed base budget in November and Policy changes to arrive at the following years budget approved in February. Appropriate action is taken and relevant Notices published in terms of the access to information rules and regulations when urgent items and private items are considered</p>
What is missing	Nothing identified
Supporting Principle	Providing clear reasoning and evidence for decisions in both public records and explanations to stakeholders and being explicit about the criteria, rational and considerations used. In due course, ensuring that the impact and consequences of those decisions are clear.
What Assurance Do We Want	<p>Decision making protocols</p> <p>Report pro-formas</p> <p>Record of professional advice in reaching decisions</p> <p>Meeting reports show detail of advice given</p> <p>Discussions between members and officers on the information needs of members to support decision making</p> <p>Agreement on the information that will be provided and timescales</p> <p>Calendar of dates for submitting, publishing and distributing timely reports is adhered to</p>
What Assurance Do We Get	<p>All decisions are made in accordance with the protocol as per the Constitution</p> <p>Report formats are set on ModGov including key information to make informed decisions</p> <p>The report author is noted on the report and is normally an officer.</p> <p>Reports require legal and financial sign off.</p> <p>Portfolio holders / Cabinet are required to sign off the reports before publication / consideration – following</p>

	<p>discussions / agreement.</p> <p>A Forward Plan is produced detailing the key decisions that will be made over the following one to four months. The forward plan is published on a regular basis and at least monthly.</p> <p>A calendar of meetings is published annually.</p> <p>All Agendas and Minutes of meetings are published in accordance with statutory requirements</p>
What is missing	Nothing identified
Supporting Principle	Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/course of action.
What Assurance Do We Want	<p>Community strategy</p> <p>Use of consultation feedback</p> <p>Citizen survey</p>
What Assurance Do We Get	<p>The Tamworth Strategic Partnership (TSP) brings together key local organisations from the public, private, voluntary and community sectors. All organisations work together to address the often complicated challenges needed to improve the quality of life for Tamworth communities.</p> <p>The partnership provides a platform to discuss, debate and progress issues and it is structured to deliver our collective partnership plan. A review of the TSP has been undertaken and a new terms of reference and structure will be agreed at the next meeting on the 1st July 2019.</p> <p>The Council has invested strongly in the development of innovative and proactive collaboration across agencies and sectors and has a well-earned reputation for placing partnership at the heart of our approach.</p> <p>The approved Corporate Plan 2019-2022 contains a commitment that we consider that our ability to deliver positive outcomes for residents is enhanced by working with others and as a result we will continue to invest in the development of purposeful and meaningful partnerships. In particular we will focus on enhancing the work that we do with others to protect vulnerable people and enhance neighbourhoods.</p> <p>Various consultations exercises are completed throughout the year. Details of the consultations are made available on the website and the results are published.</p> <p>Citizens panel in place.</p> <p>As part of the Tamworth Listens process – a Tamworth Question Time event takes place which a panel of local leaders attend and members of the public can ask questions. These are then fed into the State of Tamworth Debate</p> <p>In addition to the activity planned for the Tamworth Listens process / State of Tamworth debate, consultation is planned to gauge residents', business and other core stakeholders' views on the Council's priorities to achieve the 'Vision' considering areas of spending or where savings could potentially be made.</p>

	<p>The consultation is carried out through 3 online surveys. A survey that is tailored for businesses, a full survey aimed at residents and a survey that is tailored for the voluntary and community sector.</p> <p>The online residents survey is promoted using social networking/media sites and through email contact databases.</p> <p>The business survey is promoted through business social networking sites and business email contact databases. The voluntary and community sector survey is promoted through email contact databases.</p> <p>The Customer Service Strategy is under review to be completed by 2020. In addition, as part of the TCO project an organisational wide approach will be developed that will regularly test customer satisfaction across all services and to use outcomes to better shape services. Social media channels are being used to encourage more participation.</p> <p>There is a Tenant Involvement Strategy in place and various forms of tenant involvement takes place throughout the year.</p> <p>Statement of Community Involvement in place for the Local Plan.</p> <p>There is a Community Safety Website for the Community Safety Partnership</p>
What is missing	Nothing identified

Supporting Principle	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
What Assurance Do We Want	Communication strategy
What Assurance Do We Get	<p>Tenant Involvement and Consultation Strategy in place in Housing</p> <p>The approved Corporate Plan 2019-2022 contains a commitment for the development of a Communication Strategy that reinforces public expectation of transparency and accountability from the Council.</p> <p>One of the approved Corporate Priorities for 2019 is to work collaboratively and flexible to meet the needs of our communities.</p> <p>The Council has invested strongly in the development of innovative and proactive collaboration across agencies and sectors and has a well-earned reputation for placing partnership at the heart of our approach. We consider that our ability to deliver positive outcomes for residents is enhanced by working with others and as a result we will continue to invest in the development of purposeful and meaningful partnerships. In particular we will focus on enhancing the work that we do with others to protect vulnerable people and enhance neighbourhoods.</p>
What is missing	Communication Strategy, Social Media Policy together with media guidelines are all currently being developed(Medium)
Supporting Principle	Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively.
What Assurance Do We Want	Database of stakeholders with whom the authority should engage and for what purpose and a record of an assessment of the effectiveness of any changes
What Assurance Do We Get	<p>There is a citizen's panel in place and citizens can join the panel at any time. The panel is actively encouraged to take part in consultation exercises throughout the year.</p> <p>One of the approved Corporate Priorities for 2019 is to work collaboratively and flexible to meet the needs of our communities.</p> <p>The Council has invested strongly in the development of innovative and proactive collaboration across</p>

	<p>agencies and sectors and has a well-earned reputation for placing partnership at the heart of our approach. We consider that our ability to deliver positive outcomes for residents is enhanced by working with others and as a result we will continue to invest in the development of purposeful and meaningful partnerships. In particular we will focus on enhancing the work that we do with others to protect vulnerable people and enhance neighbourhoods.</p>
What is missing	Nothing identified
Supporting Principle	<p>Ensuring that partnerships are based on:</p> <ul style="list-style-type: none"> - Trust - A shared commitment to change - A culture that promotes and accepts challenge among partners <p>And that the added value of partnership working is explicit</p>
What Assurance Do We Want	<p>Partnership framework Partnership protocols</p>
What Assurance Do We Get	<p>Memorandum of Understanding in place with Lichfield District Council for the provision of shared services. Tamworth Strategic Partnership in place Local Enterprise Partnership Combined Authority One of the approved Corporate Priorities for 2019 is to work collaboratively and flexible to meet the needs of our communities. The Council has invested strongly in the development of innovative and proactive collaboration across agencies and sectors and has a well-earned reputation for placing partnership at the heart of our approach. We consider that our ability to deliver positive outcomes for residents is enhanced by working with others and as a result we will continue to invest in the development of purposeful and meaningful partnerships. In particular we will focus on enhancing the work that we do with others to protect vulnerable people and enhance neighbourhoods.</p>
What is missing	Nothing identified
Supporting Principle	<p>Establishing a clear policy on the type of issues that the organisation will meaningfully consult with or involve individual citizens, service users and other stakeholders to ensure that service (or other) provision is contributing towards the achievement of intended outcomes</p>

What Assurance Do We Want	Record of public consultations Partnership framework
What Assurance Do We Get	<p>Results of Public consultations are made available on the website. Tamworth Strategic Partnership</p> <p>One of the approved Corporate Priorities for 2019 is to work collaboratively and flexible to meet the needs of our communities.</p> <p>The Council has invested strongly in the development of innovative and proactive collaboration across agencies and sectors and has a well-earned reputation for placing partnership at the heart of our approach. We consider that our ability to deliver positive outcomes for residents is enhanced by working with others and as a result we will continue to invest in the development of purposeful and meaningful partnerships. In particular we will focus on enhancing the work that we do with others to protect vulnerable people and enhance neighbourhoods.</p>
What is missing	Nothing identified
Supporting Principle	Ensuring that communication methods are effective and that members and officers are clear about their roles with regard to community engagement
What Assurance Do We Want	Communications strategy
What Assurance Do We Get	<p>The Tamworth Strategic Partnership (TSP) brings together key local organisations from the public, private, voluntary and community sectors. All organisations work together to address the often complicated challenges needed to improve the quality of life for Tamworth communities.</p> <p>The partnership provides a platform to discuss, debate and progress issues and it is structured to deliver our collective partnership plan. A review of the TSP has been undertaken and a new terms of reference and structure will be agreed at the next meeting on the 1st July 2019.</p> <p>Various consultations exercises are completed throughout the year. Details of the consultations are made available on the website and the results are published.</p> <p>One of the approved Corporate Priorities for 2019 is to work collaboratively and flexible to meet the needs of our communities.</p> <p>The Council has invested strongly in the development of innovative and proactive collaboration across agencies and sectors and has a well-earned reputation for placing partnership at the heart of our approach. We consider that our ability to deliver positive outcomes for residents is enhanced by working with others and as a result we will continue to invest in the development of purposeful and meaningful partnerships. In</p>

	<p>particular we will focus on enhancing the work that we do with others to protect vulnerable people and enhance neighbourhoods.</p> <p>There is a citizen's panel in place and citizens can join the panel at any time. The panel is actively encouraged to take part in consultation exercises throughout the year.</p> <p>Tamworth Question Time event – an annual event which a panel of local leaders attend and members of the public can ask questions. These are then fed into the State of Tamworth Debate</p> <p>In addition to the activity planned for the Tamworth Listens process / State of Tamworth debate, consultation is planned to gauge residents', business and other core stakeholders' views on the Council's priorities to achieve the 'Vision' considering areas of spending or where savings could potentially be made.</p> <p>The consultation is carried out through 3 online surveys. A survey that is tailored for businesses, a full survey aimed at residents and a survey that is tailored for the voluntary and community sector.</p> <p>The online residents survey is promoted using social networking/media sites and through email contact databases.</p> <p>The business survey is promoted through business social networking sites and business email contact databases. The voluntary and community sector survey is promoted through email contact databases.</p> <p>The Customer Service strategy is under review The Customer Service strategy is under review to be completed by March 2020. In addition, as part of the TCO project an organisational wide approach will be developed that will regularly test customer satisfaction across all services and to use outcomes to better shape services. Social media channels are being used to encourage more participation.</p> <p>There is a Tenant Involvement Strategy in place and various forms of tenant involvement takes place throughout the year.</p> <p>Statement of Community Involvement in place for the Local Plan.</p>
What is missing	Nothing identified

Supporting Principle	Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs.
What Assurance Do We Want	Communications strategy Joint strategic needs assessment
What Assurance Do We Get	<p>There is a citizen's panel in place and members are invited to take part in surveys. Typically, those citizens that will contribute to the survey are from the older generation.</p> <p>The Tamworth Strategic Partnership (TSP) brings together key local organisations from the public, private, voluntary and community sectors. All organisations work together to address the often complicated challenges needed to improve the quality of life for Tamworth communities.</p> <p>The partnership provides a platform to discuss, debate and progress issues and it is structured to deliver our collective partnership plan. A review of the TSP has been undertaken and a new terms of reference and structure will be agreed at the next meeting on the 1st July 2019.</p> <p>Various consultations exercises are completed throughout the year. Details of the consultations are made available on the website and the results are published.</p> <p>Citizens panel in place.</p> <p>The Council has invested strongly in the development of innovative and proactive collaboration across agencies and sectors and has a well-earned reputation for placing partnership at the heart of our approach.</p> <p>The approved Corporate Plan 2019-2022 contains a commitment that we consider that our ability to deliver positive outcomes for residents is enhanced by working with others and as a result we will continue to invest in the development of purposeful and meaningful partnerships. In particular we will focus on enhancing the work that we do with others to protect vulnerable people and enhance neighbourhoods.</p> <p>Tamworth Question Time event – an annual event which a panel of local leaders attend and members of the public can ask questions. These are then fed into the State of Tamworth Debate which discussed securing services for future generations</p> <p>In addition to the activity planned for the Tamworth Listens process / State of Tamworth debate, consultation is planned to gauge residents', business and other core stakeholders' views on the Council's priorities to achieve the 'Vision' considering areas of spending or where savings could potentially be made.</p> <p>The consultation is carried out through 3 online surveys. A survey that is tailored for businesses, a full survey aimed at residents and a survey that is tailored for the voluntary and community sector.</p> <p>The online residents survey is promoted using social networking/media sites and through email contact databases.</p>

	<p>The business survey is promoted through business social networking sites and business email contact databases. The voluntary and community sector survey is promoted through email contact databases. The Customer Service strategy is under review. A Customer Access Survey was completed in March 2017 to identify what can be done to improve customer service and a Customer Standards Survey was completed in March 2018.</p> <p>Social media channels are being used to encourage more participation.</p> <p>There is a Tenant Involvement Strategy in place and various forms of tenant involvement takes place throughout the year.</p> <p>Statement of Community Involvement in place for the Local Plan.</p> <p>Tamworth Listens annual event (currently being reviewed for this year)</p> <p>Tamworth Community Offer (RB)</p>
What is missing	Nothing identified
Supporting Principle	Implementing effective feedback mechanisms in order to demonstrate how their views have been taken into account
What Assurance Do We Want	Communications strategy
What Assurance Do We Get	<p>The Tamworth Strategic Partnership (TSP) brings together key local organisations from the public, private, voluntary and community sectors. All organisations work together to address the often complicated challenges needed to improve the quality of life for Tamworth communities.</p> <p>The partnership provides a platform to discuss, debate and progress issues and it is structured to deliver our collective partnership plan. A review of the TSP has been undertaken and a new terms of reference and structure will be agreed at the next meeting on the 1st July 2019.</p> <p>The Council has invested strongly in the development of innovative and proactive collaboration across agencies and sectors and has a well-earned reputation for placing partnership at the heart of our approach.</p> <p>The approved Corporate Plan 2019-2022 contains a commitment that we consider that our ability to deliver positive outcomes for residents is enhanced by working with others and as a result we will continue to invest in the development of purposeful and meaningful partnerships. In particular we will focus on enhancing the work that we do with others to protect vulnerable people and enhance neighbourhoods.</p> <p>Various consultations exercises are completed throughout the year. Details of the consultations are made available on the website and the results are published.</p> <p>Citizens panel in place.</p> <p>Tamworth Question Time event – an annual event which a panel of local leaders attend and members of the</p>

	<p>public can ask questions. These are then fed into the State of Tamworth Debate</p> <p>In addition to the activity planned for the Tamworth Listens process / State of Tamworth debate, consultation is planned to gauge residents', business and other core stakeholders' views on the Council's priorities to achieve the 'Vision' considering areas of spending or where savings could potentially be made.</p> <p>The consultation is carried out through 3 online surveys. A survey that is tailored for businesses, a full survey aimed at residents and a survey that is tailored for the voluntary and community sector.</p> <p>The online residents survey is promoted using social networking/media sites and through email contact databases.</p> <p>The business survey is promoted through business social networking sites and business email contact databases. The voluntary and community sector survey is promoted through email contact databases.</p> <p>The Customer Service strategy is under review. The Customer Service strategy is under review to be completed by March 2020. In addition, as part of the TCO project an organisational wide approach will be developed that will regularly test customer satisfaction across all services and to use outcomes to better shape services. Social media channels as well as e-enabled services are being used to encourage more participation.</p> <p>There is a Tenant Involvement Strategy in place and various forms of tenant involvement takes place throughout the year.</p> <p>Statement of Community Involvement in place for the Local Plan.</p>
What is missing	Nothing identified
Supporting Principle	Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity
What Assurance Do We Want	Processes for dealing with competing demands within the community, for example a consultation
What Assurance Do We Get	<p>Tamworth Listens includes consultation with residents, businesses, and the voluntary sector (including budget consultation). Promotion of the consultation exercise is completed through press releases, active promotion on the website, and through social media. The citizens panel are invited and businesses and the voluntary sector are emailed to encourage them to participate.</p> <p>The majority of the responses came from residents and were over representative of the over 55 age group.</p>
What is missing	Nothing identified
Supporting Principle	Taking accounts of the interests of future generations of tax payers and service users
What Assurance Do We Want	<p>Reports</p> <p>Joint strategic needs assessment</p>
What Assurance Do	Citizens panel in place.

We Get	<p>Tamworth Question Time event – an annual event which a panel of local leaders attend and members of the public can ask questions. These are then fed into the State of Tamworth Debate</p> <p>In addition to the activity planned for the Tamworth Listens process / State of Tamworth debate, consultation is planned to gauge residents', business and other core stakeholders' views on the Council's priorities to achieve the 'Vision' considering areas of spending or where savings could potentially be made.</p> <p>The consultation is carried out through 3 online surveys. A survey that is tailored for businesses, a full survey aimed at residents and a survey that is tailored for the voluntary and community sector.</p> <p>The online residents survey is promoted using social networking/media sites and through email contact databases.</p> <p>The business survey is promoted through business social networking sites and business email contact databases. The voluntary and community sector survey is promoted through email contact databases.</p> <p>The Council is working closely with partners as part of the Children, Families and Vulnerable People review to share and analyse key data with the aim to develop shared priorities for the development of Early Help approaches.</p>
What is missing	Nothing identified

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

Supporting Principle	Having a clear vision which is an agreed formal statement of the organisation’s purpose and intended outcomes containing appropriate performance indicators which provides the basis for the organisation’s overall strategy, planning and other decisions
What Assurance Do We Want	Vision used as a basis for corporate and service planning
What Assurance Do We Get	<p>The Vision for Tamworth is underpinned by high level, evidence based priorities that focus upon both Tamworth (the place), the communities served (the people) as well as the Council (the organisation).</p> <p>However, it became evident during 2018 that the plans, processes and strategies that have guided the organisation to date required a review and refresh if elected members are to respond to the demands from local people.</p> <p>It is through the Corporate Plan 2019-2022 that these aspirations and expectations will be achieved. The scale, scope and timescale relating to these outcomes presents the Council with a challenging yet achievable task over the forthcoming years.</p> <p>It is important to note that whilst the plan focuses upon delivering against the 3 Thematic Priorities, the Council must also ensure that the wide range of day-to-day operational and support services continue to be delivered to a consistent and efficient standard. In doing so, it demonstrates how “Delivering Quality Services” both connects and underpins the Thematic Priorities.</p> <p>Review – Key Drivers</p> <ul style="list-style-type: none"> • One: Create Insight and use our Knowledge - systematic collation and analysis; • Two: Be Clear About Our Service Offer - consistent approach to customer services; • Three: Prevention and Earliest Help approaches - get ‘upstream’ of the demand. <p>Review – Methodology</p>

The approach, driven by Members, was based upon the collection, collation and analysis of a range of information; an understanding of local issues and an awareness of key influences.

The Authority continues to work with others by using alternative delivery models for service provision. A Memorandum of Understanding has been adopted with Lichfield District Council to replace an existing informal arrangement for options of pursuing shared service arrangement with each other.

Every year, the Authority undertakes [consultation](#) with local people on a wide range of issues. During 2018/19, [consultation](#) was completed on the budget, Local Council Tax Reduction Scheme, Locally Important Heritage Assets (local list) , design supplementary planning documents, local development documents and public space protection orders.

[“Tamworth Listens”](#) is another consultation exercise of which the results feed into [the “State of Tamworth Debate”](#). The consultation exercise for the 2018/19 budget process was completed to gauge residents’, business and other core stakeholders’ views on the Council’s priorities to achieve the “Vision” considering areas of spending or where savings could be potentially be made. As part of this consultation exercise, a question time event was held for residents to attend and ask questions.

There are dedicated [Business Advice](#) and [Visit Tamworth](#) websites.

In terms of the Councils own housing stock and in compliance with the regulatory framework members have approved a regulatory framework ensuring tenants are plugged into the democratic process and have the opportunity to inform, share and influence key strategic decisions

There is a [Tenant Involvement and Consultation Strategy](#) in place and tenants are regularly consulted regarding the decisions which affect the management and maintenance of their homes. During 2018 tenants will be involved in a review of the Housing Revenue Account business plan via the Tenant Consultative group. As part of the Tenant participation, there are formal groups for [Tenant Consultation](#) and Tenant Involvement and several informal groups in place. [Open House](#) is now communicated by way of an e-newsletter on a bi-monthly basis. It is still advertised on our website and will be available on request as a hard copy. A small number of hard copies will be made available in prominent places i.e. reception/TIC etc and a small number delivered to the 11 Housing Sheltered schemes around the Borough.

The [Vision](#) is used as a basis for the Corporate Plan and service delivery plans which are reviewed on an annual basis.

The [Tamworth Strategic Partnership](#) (TSP) is an umbrella partnership that brings together key local agencies from the public, private, voluntary and community sectors. The TSP has terms of reference, vision and priorities, workstreams, a commissioning framework. Agenda and minutes are made available on the Authority’s website.

The Authority produces an Annual Review and [Corporate Plan](#). Performance against the Corporate Plan is reported on a quarterly basis. The [Statement of Accounts](#) and the [Annual Audit Report](#) are made available on the website.

The budget setting process has faced significant constraints in Government funding in recent years - over 50% in real terms since 2010. The 4 year Local Government Finance Settlement confirmed that austerity measures are to continue with Revenue Support Grant (RSG) all but eradicated for most Councils by 2020 – and suggests that the key challenges that the Council is currently addressing are likely to become greater.

The Council remains committed to promoting and stimulating economic growth and regeneration; meeting our housing needs; creating a vibrant town centre economy and protecting those most vulnerable in our communities. To this end, we pledge to explore and invest in viable and sustainable methods of generating income and moving towards financial independence – as well as taking any opportunities to provide services in a more effective and efficient manner.

This approach has enabled this Council to navigate its way through the extended period of austerity and the uncertainties and complexities brought about by ‘devolution’, elected Mayors, Combined Authorities etc.

With many of the challenges of previous years still facing the Council and the uncertainties surrounding issues such as BREXIT, NNDR retention, the future of the NHS and Care Services, our local clarity of Vision and purpose has never been so important.

In addition, the adoption of ‘Demand Management’ as the primary operating model and the targeting of resources via locality based commissioning and delivery has enabled greater effectiveness in service delivery as evidenced by customer satisfaction, award winning services and of course, the management of the Council’s finances. Through its implementation, the Council will have far greater control upon the alignment of services or ‘supply’ to the increased needs and expectations of the public or ‘demand’.

Key to this will be the application of existing and new technology to capture, collate and analyse customer insight, intelligence and data so as to understand not just the ‘need’ but the cause, behaviours or decisions creating the need. Then by the application of locality based commissioning for example, it can commission services that either intervene or prevent future need thereby reducing demand. This approach will change the organisation and how it works; will require Members to take difficult decisions and adhere to them; will involve managed risks and will sustain essential services critical in supporting the most vulnerable in our communities at a time when demand is increasing and resources reducing.

Accurate forecasting, strong leadership and an innovative, risk aware approach have resulted in the organisation being able, in the main, to sustain a full suite of essential services albeit not without implications for the public, local politicians and the entire workforce.

	<p>By adopting this approach, supporting its implementation and measuring its progress, it will enable the Council to achieve its Vision and Priorities and fulfil its obligations.</p> <ul style="list-style-type: none"> • We will target resources upon those in most need and those most vulnerable. • We will commission services that will both intervene/prevent future demand and reduce levels of vulnerability. • We will, as a consequence, meet the Council's stated intention to ensure that the vulnerable are a priority (Motion to Council on 26th November, 2014 refers).
What is missing	Nothing identified

Supporting Principle	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
What Assurance Do We Want	Community engagement and involvement Corporate and service plans Community strategy
What Assurance Do We Get	<p>Every year, the Authority undertakes consultation with local people on a wide range of issues. During 2018/19, consultation was completed on the budget, Local Council Tax Reduction Scheme, Locally Important Heritage Assets (local list) , design supplementary planning documents, local development documents and public space protection orders.</p> <p>“Tamworth Listens” is another consultation exercise of which the results feed into the “State of Tamworth Debate”. The consultation exercise for the 2018/19 budget process was completed to gauge residents’, business and other core stakeholders’ views on the Council’s priorities to achieve the “Vision” considering areas of spending or where savings could be potentially be made. As part of this consultation exercise, a question time event was held for residents to attend and ask questions. There are dedicated Business Advice and Visit Tamworth websites.</p> <p>In terms of the Councils own housing stock and in compliance with the regulatory framework members have approved a regulatory framework ensuring tenants are plugged into the democratic process and have the opportunity to inform, share and influence key strategic decisions</p> <p>There is a Tenant Involvement and Consultation Strategy in place and tenants are regularly consulted regarding the decisions which affect the management and maintenance of their homes. During 2018 tenants will be involved in a review of the Housing Revenue Account business plan via the Tenant Consultative group. As part of the Tenant participation, there are formal groups for Tenant Consultation and Tenant Involvement and several informal groups in place. Open House is now communicated by way of an e-newsletter on a bi-monthly basis. It is still advertised on our website and will be available on request as a hard copy. A small number of hard copies will be made available in prominent places i.e. reception/TIC etc and a small number delivered to the 11 Housing Sheltered schemes around the Borough.</p> <p>The Vision is used as a basis for the Corporate Plan and service delivery plans which are reviewed on an annual basis.</p> <p>The Tamworth Strategic Partnership (TSP) is an umbrella partnership that brings together key local agencies from the public, private, voluntary and community sectors. The TSP has terms of reference, vision and priorities, workstreams, a commissioning framework. Agenda and minutes are made available on the Authority’s website.</p> <p>The Authority produces a Corporate Plan. Performance against the Corporate Plan is reported on a quarterly basis. The Statement of Accounts and the Annual Audit Report are made available on the website.</p>

	Corporate and service plans are reviewed and updated annually. They include actions to be completed
What is missing	Nothing identified
Supporting Principle	Delivering defined outcomes on a sustainable basis within the resources that will be available
What Assurance Do We Want	Regular reports on progress
What Assurance Do We Get	<p>The quarterly performance report details performance indicators, collections rates, an update on the sustainability strategy, progress against the corporate plan and the corporate risk register. The performance report is reported quarterly to Cabinet.</p> <p>The Authority has in place a Tell Us scheme which provides an avenues for service users to provide feedback on the services provided. This can either be in the form of comments, compliments or complaints. Guidance available about complaints refers to referrals to the Ombudsman. Guidance is made available to members of the public if they wish to make a complaint against a member of the Council. Complaints against members of the Council are dealt with by the Monitoring Officer in the first instance and ultimately reported to the Audit & Governance Committee.</p> <p>The Customer Service strategy is under review to be completed by March 2020. In addition, as part of the TCO project an organisational wide approach will be developed that will regularly test customer satisfaction across all services and to use outcomes to better shape services.</p>
What is missing	Nothing identified

Supporting Principle	Identifying and managing risks to the achievement of outcomes
What Assurance Do We Want	Performance trends are established and reported upon Risk management protocols
What Assurance Do We Get	Performance trends are reported in the quarterly performance report. Risks are identified at a corporate and operational level and are monitored on a regular basis in line with the Risk Management Policy. The Corporate Risk Register is reported to the Audit & Governance Committee on a quarterly basis. A review of the approach to risk management has been commissioned for 2019 and is underway. The annual audit plan is developed around the audit risk assessment and through consultation with members of the Corporate Management Team who identify emerging risks within their service areas.
What is missing	Nothing identified
Supporting Principle	Managing service users expectations effectively with regard to determining priorities and making the best use of the resources available
What Assurance Do We Want	An agreed set of quality standard measures for each service element and included in service plans Processes for dealing with competing demands within the community
What Assurance Do We Get	Each service plan has actions plans and performance indicators. Corporate plan actions aligned to the strategic priorities have action plans in place which are updated on a quarterly basis. The council has implemented a Demand Management model which aims to eliminate waste in processes The Quarterly Performance Report is reviewed by Corporate Scrutiny each quarter prior to being approved by Cabinet Ensuring that residents are able to easily access clear information about the standards of service they can expect from us will greatly help to reduce waste demand and promote confidence in the Council. Of equal importance is ensuring that the right tools are in place to deliver consistently to the expected standard. The Corporate Plan 2019-2022 identifies that we will prioritise the development of clear standards of service across the organisation and will further develop our approaches to measure and respond quickly to customer intelligence and levels of satisfaction.
What is missing	Nothing identified

Supporting Principle	Considering and balancing the combined economic, social and environmental impact of policies, plans and decisions when taking decisions about service provision
What Assurance Do We Want	Capital investment is structured to achieve appropriate life spans and adaptability for future use or that resources (eg land) are spent on optimising social, economic and environmental wellbeing: <ul style="list-style-type: none"> - Capital programme - Capital investment strategy
What Assurance Do We Get	There is a 3 year capital programme in place which identifies capital spend and financing. The Capital Investment Strategy, Capital process guidance, full capital appraisal forms and outline capital bid forms are available on the intranet. Business plans are informed by Corporate Plan and take into account PEST impacts. A longer term Capital Strategy has been prepared which sets out the Council's approach to capital investment and the approach that will be followed in making decisions in respect of the Council's Capital assets including an action plan for the development of a longer term approach to capital and asset management.
What is missing	Nothing identified
Supporting Principle	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
What Assurance Do We Want	Discussion between members and officers on the information needs of members to support decision making Record of decision making and support materials
What Assurance Do We Get	Full reports are prepared by officers and members. Portfolio Holders can discuss any issues prior to the committee meeting with the relevant officer. The Council publishes a Forward Plan which provides detail of all upcoming key decisions. Scrutiny Committees are encouraged to utilise the Forward Plan to inform their decision making process and can Call In any decisions for further scrutiny. All agenda items and minutes are available on the website with the exception of restricted agenda items. The Local Authorities (Executive Arrangements) (Meeting and Access to Information) Regulations 2012 requires that the Leader of the Council makes one report annually to the authority to include particulars of each urgent executive decision made and a summary of matters in respect of which each decision was

	made. For the period 1 st May 2017 to 30 th April 2018, the Leader of the Council reported that no such decisions had been taken by the Executive under Regulation 11, cases of special urgency. Resource and Legal/Risk implications are identified in Committee reports
What is missing	Nothing identified
Supporting Principle	Determining the wider public interest associated with balance conflicting interests between achieving the various economic. Social and environmental benefits, through consultation where possible, in order to ensure appropriate trade-offs.
What Assurance Do We Want	Record of decision making and supporting materials Protocols for consultation
What Assurance Do We Get	All Committee decisions are recorded in the minutes. Minutes and agendas are made available on the website. Where Officers have made decisions which require approval by Portfolio holders, these are made available on the website. All consultation undertaken is made available on the website so that citizens can participate. Budget consultation protocol approved annually by Cabinet. Community Impact Assessments completed for all strategies, policies and procedures Equality and Diversity Scheme and supporting action plan
What is missing	Nothing identified
Supporting Principle	Ensuring fair access to services
What Assurance Do We Want	Protocols ensure fair access and statutory guidance is followed
What Assurance Do We Get	Equalities assessments are undertaken at each policy review Website accessibility – is W3C1.0 compliance (standard) With the ability to change font sizes, or use alternative formats and languages. Hard copies of Committee agendas are made available on request. A hardcopy of each agenda is taken to each Committee meeting for public use.
What is missing	Nothing identified

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

Supporting Principle	Ensuring decision makers receive objective and rigorous analysis of a variety of options indicating how intended outcomes would be achieved and including the risks associated with those options. Therefore ensuring best value is achieved however services are provided.
What Assurance Do We Want	Discussion between member and officers on the information needs of members to support decision making Decision making protocols Options appraisals Agreement of information that will be provided and timescales
What Assurance Do We Get	Leadership team meetings between members and officers are in place. (Executive Management Team). Regular update meetings are held between the Leader of the Council and the Chief Executive, and relevant Chief officers and their Portfolio holders. The Constitution details the decision making protocols and format of reports. Various options are required to be detailed in the Committee reports so that members can make informed decisions. There is a set timetable in place for the production of agendas prior to the meeting taking place. Scrutiny Officer in place to support the Scrutiny function.
What is missing	Nothing identified

Supporting Principle	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.
What Assurance Do We Want	Financial strategy
What Assurance Do We Get	<p>Budget consultation is completed on an annual basis with citizen input which informs the financial strategy</p> <p>As part of the Tamworth Listens process, we hold a Tamworth Question Time event – an annual event which a panel of local leaders attend and members of the public can ask questions. These are then fed into the State of Tamworth Debate</p> <p>In addition to the activity planned for the Tamworth Listens process / State of Tamworth debate, consultation is planned to gauge residents', business and other core stakeholders' views on the Council's priorities to achieve the 'Vision' considering areas of spending or where savings could potentially be made.</p> <p>The consultation is carried out through 3 online surveys. A survey that is tailored for businesses, a full survey aimed at residents and a survey that is tailored for the voluntary and community sector.</p> <p>The online residents survey is promoted using social networking/media sites and through email contact databases. The business survey is promoted through business social networking sites and business email contact databases. The voluntary and community sector survey is promoted through email contact databases.</p> <p>MTFS approved annually takes into account budget consultation feedback – reported annually to Cabinet.</p>
What is missing	Nothing identified
Supporting Principle	Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets
What Assurance Do We Want	Calendar of dates for developing and submitting plans and reports that are adhered to
What Assurance Do We Get	<p>There is a performance management reporting cycle in place which timetables the performance reporting cycle.</p> <p>The Forward Plan is published on the website detailing the expected agenda items for the following four months.</p>
What is missing	Nothing identified

Supporting Principle	Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered
What Assurance Do We Want	Communication strategy
What Assurance Do We Get	<p>As part of the Tamworth Listens process, we hold a Tamworth Question Time event – an annual event which a panel of local leaders attend and members of the public can ask questions. These are then fed into the State of Tamworth Debate</p> <p>In addition to the activity planned for the Tamworth Listens process / State of Tamworth debate, consultation is planned to gauge residents', business and other core stakeholders' views on the Council's priorities to achieve the 'Vision' considering areas of spending or where savings could potentially be made.</p> <p>The consultation is carried out through 3 online surveys. A survey that is tailored for businesses, a full survey aimed at residents and a survey that is tailored for the voluntary and community sector.</p> <p>The online residents survey is promoted using social networking/media sites and through email contact databases.</p> <p>The business survey is promoted through business social networking sites and business email contact databases. The voluntary and community sector survey is promoted through email contact databases.</p> <p>Joint Scrutiny Committee (Budget) held annually to feedback Member concerns from residents.</p> <p>The approved Corporate Plan 2019-2022 contains a commitment for the development of a Communication Strategy that reinforces public expectation of transparency and accountability from the Council.</p> <p>One of the approved Corporate Priorities for 2019 is to work collaboratively and flexible to meet the needs of our communities.</p> <p>The Council has invested strongly in the development of innovative and proactive collaboration across agencies and sectors and has a well-earned reputation for placing partnership at the heart of our approach. We consider that our ability to deliver positive outcomes for residents is enhanced by working with others and as a result we will continue to invest in the development of purposeful and meaningful partnerships. In particular we will focus on enhancing the work that we do with others to protect vulnerable people and enhance neighbourhoods</p>
What is missing	Nothing identified

Supporting Principle	Considering and monitoring risks facing each partner when working collaboratively including shared risks
What Assurance Do We Want	Partnership framework Risk management protocol
What Assurance Do We Get	Partnerships risks are identified and monitored – risk registers are in place. Partnership Guidance Policy and Toolkit in place This is designed to help the Council work with its partners to ensure that all partnerships have good systems of governance. We define governance as the processes, procedures and policies that deal with important issues like accountability, probity and audit. It is crucial that all members of partnerships should conform to codes of practice for the good of all involved. Risks are identified at a corporate and operational level and are monitored on a regular basis in line with the Risk Management Policy. The Corporate Risk Register is reported to the Audit & Governance Committee on a quarterly basis.
What is missing	Nothing identified
Supporting Principle	Ensuring arrangements are flexible and agile so that the mechanisms for delivering outputs can be adapted to changing circumstances
What Assurance Do We Want	Planning protocols
What Assurance Do We Get	Protocols in place (constitution) to ensure annual delivery of: <ul style="list-style-type: none"> 1) MTFS; 2) Budget Consultation; 3) Tamworth Listens events; 4) State of Tamworth debate; 5) KPIs / Service Plans; 6) Corporate Plan <p>The Quarterly Performance Report is reviewed by Corporate Scrutiny each quarter prior to being approved by Cabinet</p>
What is missing	Nothing identified

Supporting Principle	Establishing appropriate key performance indicators (KPIs) as part of the planning process in order to identify how the performance of services and projects is to be measured
What Assurance Do We Want	KPIs have been established and approved for each service element and included in the service plan and are reported upon regularly
What Assurance Do We Get	Key performance indicators are in place within Service Plans and the Corporate Plan and monitored and reported on a regular basis through quarterly reports to Cabinet.
What is missing	Nothing identified
Supporting Principle	Ensuring capacity exists to generate the information required to review service quality regularly
What Assurance Do We Want	Reports include detailed performance results and highlights areas where corrective action is necessary
What Assurance Do We Get	A quarterly performance report is reported to Cabinet . The report details progress against performance indicators with a red, amber, green traffic light scenario to prompt remedial actions.
What is missing	Nothing identified
Supporting Principle	Preparing budgets in accordance with organisational objectives, strategies and the Medium Term Financial Strategy
What Assurance Do We Want	Evidence that budgets, plans and objectives are aligned
What Assurance Do We Get	Budgets are set following budget consultation with citizens. Budgets are aligned to the corporate objectives A joint report is approved annually by Council which approves the Vision, Corporate Priorities and Medium Term Financial Strategy aligning resource demands in support of the corporate priorities.
What is missing	Nothing identified
Supporting Principle	Informing medium and long term resource planning by drawing up realistic estimates of revenues and capital expenditure aimed at developing a sustainable funding strategy.
What Assurance Do We Want	Budget guidance and protocols Medium term financial plan Corporate plans
What Assurance Do We Get	The budget setting process has faced significant constraints in Government funding in recent years - over 50% in real terms since 2010. The 4 year Local Government Finance Settlement confirmed that austerity measures are to continue with Revenue Support Grant (RSG) all but eradicated for most Councils by 2020 – and suggests that the key challenges that the Council is currently addressing are likely to become greater.

The Council remains committed to promoting and stimulating economic growth and regeneration; meeting our housing needs; creating a vibrant town centre economy and protecting those most vulnerable in our communities. To this end, we pledge to explore and invest in viable and sustainable methods of generating income and moving towards financial independence – as well as taking any opportunities to provide services in a more effective and efficient manner.

This approach has enabled this Council to navigate its way through the extended period of austerity and the uncertainties and complexities brought about by ‘devolution’, elected Mayors, Combined Authorities etc.

With many of the challenges of previous years still facing the Council and the uncertainties surrounding issues such as BREXIT, NNDR retention, the future of the NHS and Care Services, our local clarity of Vision and purpose has never been so important.

In addition, the adoption of ‘Demand Management’ as the primary operating model and the targeting of resources via locality based commissioning and delivery has enabled greater effectiveness in service delivery as evidenced by customer satisfaction, award winning services and of course, the management of the Council’s finances. Through its implementation, the Council will have far greater control upon the alignment of services or ‘supply’ to the increased needs and expectations of the public or ‘demand’.

Key to this will be the application of existing and new technology to capture, collate and analyse customer insight, intelligence and data so as to understand not just the ‘need’ but the cause, behaviours or decisions creating the need. Then by the application of locality based commissioning for example, it can commission services that either intervene or prevent future need thereby reducing demand. This approach will change the organisation and how it works; will require Members to take difficult decisions and adhere to them; will involve managed risks and will sustain essential services critical in supporting the most vulnerable in our communities at a time when demand is increasing and resources reducing.

Accurate forecasting, strong leadership and an innovative, risk aware approach have resulted in the organisation being able, in the main, to sustain a full suite of essential services albeit not without implications for the public, local politicians and the entire workforce.

By adopting this approach, supporting its implementation and measuring its progress, it will enable the Council to achieve its Vision and Priorities and fulfil its obligations.

	<ul style="list-style-type: none"> We will target resources upon those in most need and those most vulnerable. We will commission services that will both intervene/prevent future demand and reduce levels of vulnerability. We will, as a consequence, meet the Council's stated intention to ensure that the vulnerable are a priority (Motion to Council on 26th November, 2014 refers).
What is missing	Nothing identified
Supporting Principle	Ensuring the medium term financial strategy integrates and balance service priorities, affordability and other resource constraints.
What Assurance Do We Want	Feedback surveys and exit/decommissioning strategies Changes as a result
What Assurance Do We Get	<p>Budget consultation completed on an annual basis</p> <p>Consultation is planned to gauge residents', business and other core stakeholders' views on the Council's priorities to achieve the 'Vision' considering areas of spending or where savings could potentially be made. The consultation is carried out through 3 online surveys. A survey that is tailored for businesses, a full survey aimed at residents and a survey that is tailored for the voluntary and community sector.</p> <p>The online residents survey is promoted using social networking/media sites and through email contact databases.</p> <p>The business survey is promoted through business social networking sites and business email contact databases. The voluntary and community sector survey is promoted through email contact databases.</p> <p>Joint Scrutiny Committee (Budget) held annually to feedback Member concerns from residents.</p>
What is missing	Nothing identified
Supporting Principle	Ensuring the budgeting process is all-inclusive, taking into account the full cost of operations over the medium and longer term.
What Assurance Do We Want	Budgeting guidance and protocols
What Assurance Do We Get	<p>Medium Term Financial Strategy</p> <p>Budget setting process approved by Cabinet in July each year – including a robust process for capital investment and policy changes which requires business cases to be prepared for consideration by Executive</p>

	<p>Management Team.</p> <p>As part of the Tamworth Listens process, we hold a Tamworth Question Time event – an annual event which a panel of local leaders attend and members of the public can ask questions. These are then fed into the State of Tamworth Debate</p> <p>In addition to the activity planned for the Tamworth Listens process / State of Tamworth debate, consultation is planned to gauge residents', business and other core stakeholders' views on the Council's priorities to achieve the 'Vision' considering areas of spending or where savings could potentially be made.</p> <p>The consultation is carried out through 3 online surveys. A survey that is tailored for businesses, a full survey aimed at residents and a survey that is tailored for the voluntary and community sector.</p> <p>The online residents survey is promoted using social networking/media sites and through email contact databases.</p> <p>The business survey is promoted through business social networking sites and business email contact databases. The voluntary and community sector survey is promoted through email contact databases.</p> <p>Joint Scrutiny Committee (Budget) held annually to feedback Member concerns from residents.</p>
What is missing	Nothing identified

Supporting Principle	Ensuring the medium term financial strategy sets the context for ongoing decisions on significantly delivery issues or responses to changes in the external environment that may arise during the budgetary period in order for outcomes to be achieved whilst optimising resource usage
What Assurance Do We Want	Financial Strategy
What Assurance Do We Get	Medium Term Financial Strategy and associated forecasts are considered by CMT, EMT and Cabinet prior to review/scrutiny by Members at the Joint Scrutiny Committee (Budget). It is then approved by Full Council . These consider the need for any ongoing decisions on significant issues and appropriate budget changes made through the policy changes process or capital programming process. In year changes can be made using virements procedures (for both Officers and Cabinet) outlined within financial guidance (as well as use of contingencies). Financial impact assessment are included in reports to Committees.
What is missing	Nothing identified
Supporting Principle	Ensuring the achievement of “social value” through service planning and commissioning. The Public Services (Social Value) Act 2012 states that this is “the additional benefit to the community...over and above the direct purchasing of goods, services and outcomes”
What Assurance Do We Want	Service plans demonstrate consideration of “social value” Achievement of “social value” is monitored and reported upon Over the past 12 months the Council’s new repairs contractor Wates have worked with the Council and SCC to provide vocational training for young people within the care system. The Council will be seeking proposals from contractors in relation to the delivery of social value as part of its ongoing procurement process for a new repairs and investment contractor. Social Value aspects have to be considered before the procurement process starts. Also, although we do not have to include social value aspects in our procurement, we do have to demonstrate that we have considered them, which means documenting this and evidencing that due consideration has been given. It is important that sufficient time is allowed to undertake procurements where social value is going to be included to allow for the required consideration and consultation before the process starts. The Corporate Procurement Officer must be involved at the earliest stages of the process, to ensure that proper consideration is given to what is required, and that this is adequately reflected in tender and evaluation documents and processes.
What Assurance Do We Get	The Procurement Strategy, approved by Cabinet, includes the requirements of the Social Value Act. The requirements of the Social Value Act have been covered in staff training sessions, and the provisions of the

	Act have been utilised in voluntary sector commissioning projects. It requires Officers to consider social value issues in the procurement of major works or services i.e. impact on local labour, local economy/businesses, apprenticeships etc.
What is missing	Nothing identified

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

Supporting Principle	Reviewing operations, performance use of assets on a regular basis to ensure their continuing effectiveness.
What Assurance Do We Want	Regular reviews of activities, outputs and planned outcomes
What Assurance Do We Get	Quarterly reviews of operational business plans are in place which have performance indicators. As part of the capital programme, annual consideration of need for asset maintenance e.g. use of office space, regular stock condition surveys, asset management plan
What is missing	Nothing identified
Supporting Principle	Improving resource use through appropriate application of techniques such as benchmarking and other options in order to determine how the authority's resources are allocated so that outcomes are achieved effectively and efficiently.
What Assurance Do We Want	Utilisation of research and benchmarking exercise
What Assurance Do We Get	Research and benchmarking exercises are completed in appropriate areas. CIPFA benchmarking for corporate services completed as necessary. Housing Benchmarking undertaken through Housemark and accreditation via the Housing Quality Net work Review of assets use through the One Public Estate programme and liaison with Staffordshire County Council.
What is missing	Nothing identified

Supporting Principle	Recognising the benefits of partnerships and collaborative working where added value can be achieved.
What Assurance Do We Want	Effective operation of partnerships which deliver agreed outcomes
What Assurance Do We Get	Partnerships are in place for the delivery of some services. There is a Memorandum of Understanding in place with Lichfield District Council for the sharing of services Partnership Guidance Policy and Toolkit in place This is designed to help the Council work with its partners to ensure that all partnerships have good systems of governance. We define governance as the processes, procedures and policies that deal with important issues like accountability, probity and audit. It is crucial that all members of partnerships should conform to codes of practice for the good of all involved.
What is missing	Nothing identified
Supporting Principle	Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources.
What Assurance Do We Want	Workforce plan Organisational development plan
What Assurance Do We Get	There are training and development plans in place for members and officers. Officers training and development is identified through the Personal Development Review (PDR). The recruitment process ensures that skills and knowledge are measured and tested appropriately. There is an E-Induction programme in place which is available to both officers and members. Job descriptions and personal specifications are in place for all posts and reviewed as required. All Statutory Officers are members of CMT. Job descriptions for members are included in the recently revised Constitution . They detail the purpose, duties & responsibilities and skills required for all Councillors, Leader & Deputy Leader, Members of the Executive, Chairs of Committees and the Leader and Deputy Leader of the Opposition. Service reviews are informed by the Delivering Quality Services process.
What is missing	The Organisational Development Strategy will detail the Council's workforce plan to be completed by December 2019.

Supporting Principle	Developing protocols to ensure that elected and appointed leaders negotiate their respective roles early on in the relationship and that a shared understanding of roles and objectives is maintained.
What Assurance Do We Want	Job descriptions Chief Executive and Leader pairings have considered how best to establish and maintain effective communication.
What Assurance Do We Get	Job descriptions are in place for both members and officers. The Chief Executive, the Head of Paid Service and the Leader hold regular meetings. Executive Leadership Team and the Cabinet form together to form the Executive Management Team. There is a training and development plan which is developed through the PDR process. This process is in place for all officers Members' training is provided on induction and in specialist areas. Regular training is provided for the Regulatory Committees.
What is missing	Nothing identified

Supporting Principle	Publishing a statement that specifies the types of decisions that are delegated and those reserved for the collective decision making of the governing body.
What Assurance Do We Want	Scheme of delegation reviewed at least annually in the light of legal and organisational changes. Standing orders and financial regulations which are reviewed on a regular basis.
What Assurance Do We Get	The scheme of delegation and scheme of delegation log is reviewed at least annually. Financial Regulations, Contract Sanding Orders and Financial Guidance are reviewed and updated on an annual basis
What is missing	Nothing identified
Supporting Principle	Ensuring the Leader and the Chief Executive have clearly defined and distinctive leadership roles within a structure whereby the Chief Executive leads the authority 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.
What Assurance Do We Want	Clear statement of respective roles and responsibilities and how they will be put into practice.
What Assurance Do We Get	The Constitution details the roles and responsibilities of the Leader and the Statutory Officers. Job Descriptions for members including the Leader are in the Constitution,
What is missing	Nothing identified

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Supporting Principle	<p>Developing the capabilities of members and senior management to achieve effective shared 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 requirement 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.
What Assurance Do We Want Page 88	<p>Access to update courses/information briefing on new legislation Induction programme Personal development plans for members and officers For example, for members this may include the ability to:</p> <ul style="list-style-type: none"> - Scrutinise and challenge - Recognise when outside expert advice is required - Promote trust - Work in partnership - Lead the organisation - Act as a community leader <p>Efficient systems and technology used for effective support Arrangements for succession planning</p>
What Assurance Do We Get	<p>The PDR process identifies training needs for both Members and Officers CPD/membership of professional bodies for up to date information/changes to legislation Networking and membership of professional bodies encouraged Members induction and training programme in place (e.g. finance, treasury management, planning, licensing). E-learning solution being rolled out which covers a number of training areas</p>
What is missing	Nothing identified

Supporting Principle	Ensuring that there are structures in place to encourage public participation.
What Assurance Do We Want	Resident's panels Stakeholder forum terms of reference Strategic partnership frameworks
What Assurance Do We Get	Tenant participation is actively encouraged and completed in various formats. They provide training to tenants on a variety of day to day skills and confidence, as well as estate inspections, other events and meetings and customer satisfaction, feedback and consultation. The Citizens Panel is made up of local residents who are asked about local services. A Community Safety Partnership exist which has its own website – "Safer Tamworth". The partnership brings together a number of organisations who work together to make the borough a safer place to work, live and socialise. Partnership frameworks in place for joint working Partnership Guidance Policy and Toolkit in place This is designed to help the Council work with its partners to ensure that all partnerships have good systems of governance. We define governance as the processes, procedures and policies that deal with important issues like accountability, probity and audit. It is crucial that all members of partnerships should conform to codes of practice for the good of all involved.
What is missing	Nothing identified
Supporting Principle	Taking steps to consider the leadership's own effectiveness and ensuring leaders are open to constructive feedback from peer reviews and inspections.
What Assurance Do We Want	Reviewing individual member performance on a regular basis taking account of their attendance and considering any training or development needs Peer reviews
What Assurance Do We Get	PDR process and job descriptions are in place for members. Peer reviews have been completed previously and any recommendations have been acted upon. Members attendance is recorded and monitored
What is missing	Nothing identified

Supporting Principle	Holding staff to account through regular performance reviews which take account of training or development needs.
What Assurance Do We Want	Training and development plan Staff development plans linked to appraisals Implementing appropriate human resource policies and ensuring that they are working effectively
What Assurance Do We Get	Training identified as part of the PDR process as part of continued professional development. One to one meetings are completed on a regular basis. Performance indicators are recorded on the Pentana and assigned to the relevant managers to monitor and update Conduct and Capability Procedures are in place Training for managers in strategic skills as well as soft skills HR policies in place and updated as required.
What is missing	Nothing identified

Supporting Principle	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.
What Assurance Do We Want	Human resource policies
What Assurance Do We Get	<p>Health and safety policies are in place</p> <p>Healthshield benefits for staff</p> <p>There is a Childcare vouchers scheme in place</p> <p>On-site Counselling service available to staff on a confidential basis</p> <p>HR policies are in place</p> <p>Well-being policy developed</p> <p>TBC signed up to national initiative 'Time for change'</p> <p>12 Mental Health First Aiders have been trained</p> <p>Robust management of attendance with support from Occupational Health Specialists</p> <p>Regular updates with Trade unions and / or representatives</p>
What is missing	Nothing identified

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

Supporting Principle	Recognising that risk management is an integral part of all activities and must be considered in all aspects of decision making
What Assurance Do We Want	Risk management protocol
What Assurance Do We Get	Risk Management Policy – reviewed and updated annually and approved by Audit & Governance Committee . There is a Corporate Risk Register which is owned by Corporate Management Team which is updated on a quarterly basis and reported to the Audit & Governance Committee . Operational risk register are owned by managers and recorded on the Pentana system and linked to performance and service plans. The Finance section work with managers to help them identify their risks and record them on the Pentana system. The Internal Audit plan takes into account the identified risks on the risk registers. All decisions made by Members have risks identified in the report A review of the approach to risk management has been commissioned for 2019 and is underway.
What is missing	Nothing identified
Supporting Principle	Implementing robust and integral risk management arrangements and ensuring that they are working effectively.
What Assurance Do We Want	Risk management strategy/policy formally approved and adopted and reviewed and updated on a regular basis.
What Assurance Do We Get	Risk Management Policy – reviewed and updated annually and approved by Audit & Governance Committee . All decisions made by Members have the risks identified A review of the approach to risk management has been commissioned for 2019 and is underway.
What is missing	Nothing identified

Supporting Principle	Ensuring that responsibilities for managing individual risks are clearly allocated.
What Assurance Do We Want	Risk management protocol
What Assurance Do We Get	Risk registers are in place for service areas as well as having a corporate risk register in place. Owners of the risks are assigned to owners to manage and review. The Risk Management Policy details responsibilities for managing individual risks.
What is missing	Nothing identified
Supporting Principle	Monitoring service delivery effectively including planning, specification, execution and independent post implementation review.
What Assurance Do We Want	Performance map showing all key activities have performance measures Benchmarking information Cost performance (using inputs and outputs) Calendar of dates for submitting, publishing and distributing timely reports that are adhered to.
What Assurance Do We Get	The corporate plan 2019-22 identifies key performance indicators aligned to the strategic priorities Benchmarking information is used for some services where appropriate/available Performance management cycle identifies the timetable for the submission of performance reports There is a Forward Plan in place which identifies key decisions to be made in the following four months The Asset Strategy Group identifies Post Implementation Reviews required for Capital Schemes on an annual basis.
What is missing	Nothing identified

Supporting Principle	Making decisions based on relevant, clear objective analysis and advice pointing out the implications and risks inherent in the organisation's financial, social and environmental position and outlook.
What Assurance Do We Want	Discussion between members and officers on the information needs of members to support decision making Publication of agendas and minutes of meetings Agreement on the information that will be needed and timescales
What Assurance Do We Get	Portfolio holders hold meetings with relevant staff All agenda and minutes are published on the website. Agendas are published 5 working days prior to the committee meeting date. The forward plan is a list of the council's key decisions that will be made over the next one to four months. These decisions will be made by either the Cabinet or by officers who have been delegated authority by the Cabinet. The forward plans are published on the first working day of the month. The forward plan includes a short description of the decision to be made; who will make it; when the decision will be taken; details of the planned consultation with local people and other stakeholders; and contact details for further information (including reports and background papers).
What is missing	Nothing identified
Supporting Principle	Ensuring an effective scrutiny or oversight function is in place which encourages 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. (OR, for a committee system) Encouraging effective and constructive challenge and debate on policies and objectives to support balanced and effective decision making.
What Assurance Do We Want	The role and responsibility for scrutiny has been established and is clear Agenda and minutes of scrutiny meetings Evidence of improvements as a result of scrutiny. Planned work items identified at beginning of municipal year, Performance reporting reviewed, members now sit on tenant's consultative group. Terms of reference Training for members Membership
What Assurance Do We Get	The roles and responsibilities, terms of reference for Scrutiny Committees are detailed in The Constitution Agendas and minutes are made available on the website. Scrutiny chairs report annually to full Council on

	<p>their work plan.</p> <p>Training is provided for members on the role of Scrutiny. There is a Scrutiny Officer in post to provide support to the Scrutiny Committees.</p> <p>When required to assist task and finish groups the Committees can co-opt external expertise</p> <p>Under the remit of the Scrutiny Committees, they can call in decisions made by the Cabinet.</p>
What is missing	Nothing identified
Supporting Principle	Providing members and senior management with regular reports on service delivery plans and on progress towards outcome achievement.
What Assurance Do We Want	Calendar of dates for submitting, publishing and distributing timely reports that are adhered to
What Assurance Do We Get	There is a calendar of dates for the submission and publishing reports which is adhered to
What is missing	Nothing identified

Supporting Principle	Ensuring there is consistency between specification stages (such as budgets) and post implementation reporting (eg financial statements)
What Assurance Do We Want	Financial standards, guidance Financial regulations and standing orders
What Assurance Do We Get	Financial regulations, contract standing orders and financial guidance are in place and reviewed and updated annually. There is a robust project management process in place with post implementation reviews completed at the end of the project.
What is missing	Nothing identified
Supporting Principle	Aligning the risk management strategy and policies on internal control with achieving the objectives
What Assurance Do We Want	Risk management strategy Audit plan Audit reports
What Assurance Do We Get	The risk management strategy is reviewed, updated and approved annually by the Audit & Governance Committee . The Audit plan is based on an internal audit risk assessment which takes into account risks identified by Heads of Service and approved by the Audit & Governance Committee . Quarterly reports of progress against the audit plan are submitted to the Audit & Governance Committee Audit reports are concise and reported in a timely manner. All recommendations are followed up in a timely basis, the results of which are reported to the Audit & Governance Committee. All recommendations are assigned to the relevant officers who have access to the Pentana system so that they review and update up and coming recommendations
What is missing	Nothing identified
Supporting Principle	Evaluating and monitoring the authority's risk management and internal control on a regular basis
What Assurance Do We Want	Risk management strategy/policy has been formally approved and adopted and is reviewed and updated on a regular basis
What Assurance Do We Get	The Risk Management Policy/Strategy is reviewed, updated and then approved by the Audit & Governance Committee on an annual basis. Quarter updates of the risk management action plan are also submitted to the Committee.
What is missing	Nothing identified

Supporting Principle	Ensuring effective counter fraud and anti-corruption arrangements are in place
What Assurance Do We Want	Compliance with the Code of Practice on Managing the Risk of Fraud and Corruption (CIPFA 2014)
What Assurance Do We Get	Internal Audit measure against Compliance with the Code of Practice on Managing the Risk of Fraud and Corruption and this is reported to the Audit & Governance Committee
What is missing	Nothing identified
Supporting Principle	Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor.
What Assurance Do We Want	Annual Governance Statement Effective internal audit service is resource and maintained
What Assurance Do We Get	The Annual Governance Statement is produced in accordance with the guideline alongside the Code of Corporate Governance. The Annual Governance Statement is signed by the Leader and the Chief Executive. The Internal Audit is adequately resourced and complies with the Public Sector Internal Audit Standards (PSIAS). An annual self-assessment against the PSIAS is completed and in line with the Standards and External Quality Assessment (EQA) is completed every five years. The EQA was completed in 2017 and confirmed compliance with the Standards.
What is missing	Nothing identified
Supporting Principle	Ensuring an audit committee or equivalent group or function which is independent of the executive and accountable to the governing body: <ul style="list-style-type: none"> - Provides 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 -
What Assurance Do We Want	Audit committee complies with best practice. See Audit Committees: Practical Guidance for Local Authorities and Police (CIPFA 2013) Terms of reference Membership Training

What Assurance Do We Get	<p>The terms of reference for the Audit & Governance Committee are detailed within the Constitution. Members of the Committee are independent of the Cabinet and the Chair reports annually to Full Council. The Audit & Governance Committee receive quarterly update reports on Risk Management which include a review of the Corporate Risk Register, an update of the risk management action plan and they approve the Risk Management Policy on an annual basis.</p> <p>Any recommendations made by the Audit & Governance Committee are recorded in the minutes and acted upon.</p> <p>The Audit & Governance Committee complete an annual self-assessment against Audit Committee guidance issued by CIPFA and any areas for improvement are acted upon</p>
What is missing	Nothing identified
Supporting Principle	Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to Safeguard personal data
What Assurance Do We Want	<p>Data management framework and procedures</p> <p>Designated data protection officer</p> <p>Data protection policies and procedures</p>
<p>What Assurance Do We Get</p> <p>88</p>	<p>The Authority has in place a Corporate Data Register which details all the data held. We have various policies and procedures in place around data issues including:</p> <ul style="list-style-type: none"> • Data Protection Policy, • IT Security Policy, • Access Control Policies and Procedures, • Asset Management Policies and procedures, • Human Resources security, • Business Continuity Management, • Physical and Environmental Security, • Systems and Acquisitions, development and maintenance, • Data Quality <p>A Corporate Information Governance group is in place to manage the implementation of the organisation's response to the General Data Protection Regulations (GDPR).</p>
What is missing	Nothing identified

Supporting Principle	Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies
What Assurance Do We Want	Data sharing agreement Data sharing register Data processing agreements
What Assurance Do We Get	Individual data sharing agreements are in place for areas within Revenues & Benefits, Economic Development, and Housing. These are detailed on the data sharing page on the intranet (data sharing register).
What is missing	Nothing identified
Supporting Principle	Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring
What Assurance Do We Want	Data quality procedures and reports Data validation procedures
What Assurance Do We Get	Auditing of data is completed in accordance with the risk based internal audit plan. Data is validated as part of the internal controls in place within the various systems. Performance management is audited on a regular basis.
What is missing	Nothing identified
Supporting Principle	Ensuring financial management supports both long term achievement of outcomes and short-term financial and operational performance
What Assurance Do We Want	Financial management supports the delivery of services and transformational change as well as securing good stewardship
What Assurance Do We Get	<p>The budget setting process has faced significant constraints in Government funding in recent years - over 50% in real terms since 2010. The 4 year Local Government Finance Settlement confirmed that austerity measures are to continue with Revenue Support Grant (RSG) all but eradicated for most Councils by 2020 – and suggests that the key challenges that the Council is currently addressing are likely to become greater.</p> <p>The Council remains committed to promoting and stimulating economic growth and regeneration; meeting our housing needs; creating a vibrant town centre economy and protecting those most vulnerable in our communities. To this end, we pledge to explore and invest in viable and sustainable methods of generating income and moving towards financial independence – as well as taking any opportunities to provide services</p>

in a more effective and efficient manner.

This approach has enabled this Council to navigate its way through the extended period of austerity and the uncertainties and complexities brought about by 'devolution', elected Mayors, Combined Authorities etc.

With many of the challenges of previous years still facing the Council and the uncertainties surrounding issues such as BREXIT, NNDR retention, the future of the NHS and Care Services, our local clarity of Vision and purpose has never been so important.

In addition, the adoption of 'Demand Management' as the primary operating model and the targeting of resources via locality based commissioning and delivery has enabled greater effectiveness in service delivery as evidenced by customer satisfaction, award winning services and of course, the management of the Council's finances. Through its implementation, the Council will have far greater control upon the alignment of services or 'supply' to the increased needs and expectations of the public or 'demand'.

Key to this will be the application of existing and new technology to capture, collate and analyse customer insight, intelligence and data so as to understand not just the 'need' but the cause, behaviours or decisions creating the need. Then by the application of locality based commissioning for example, it can commission services that either intervene or prevent future need thereby reducing demand. This approach will change the organisation and how it works; will require Members to take difficult decisions and adhere to them; will involve managed risks and will sustain essential services critical in supporting the most vulnerable in our communities at a time when demand is increasing and resources reducing.

Accurate forecasting, strong leadership and an innovative, risk aware approach have resulted in the organisation being able, in the main, to sustain a full suite of essential services albeit not without implications for the public, local politicians and the entire workforce.

By adopting this approach, supporting its implementation and measuring its progress, it will enable the Council to achieve its Vision and Priorities and fulfil its obligations.

- We will target resources upon those in most need and those most vulnerable.
- We will commission services that will both intervene/prevent future demand and reduce levels of vulnerability.

	<ul style="list-style-type: none"> We will, as a consequence, meet the Council's stated intention to ensure that the vulnerable are a priority (Motion to Council on 26th November, 2014 refers).
What is missing	Nothing identified
Supporting Principle	Ensuring well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls
What Assurance Do We Want	Budget monitoring reports
What Assurance Do We Get	Budget monitoring reports are available monthly and ad hoc as required. Accountants complete regular budget monitoring reports with budget managers.
What is missing	Nothing identified

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

Supporting Principle	Writing and communicating reports for the public and other stakeholders in an understandable style appropriate to the intended audience and ensuring that they are easy to access and interrogate. 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.
What Assurance Do We Want	Website Annual report
What Assurance Do We Get	All reports are made available on the website for the public to access apart from anything confidential as laid down by the Local Government Act 1972 and subsequent enabling legislation and guidance The Corporate Plan is published on an annual basis and made available on the website. All information is made available in accordance with the Transparency Agenda. Where Freedom of Information requests are made and it is beneficial to publish the data on the website, this is completed to ensure that the Authority is transparent and it also reduces the number of information requests received.
What is missing	Nothing identified
Supporting Principle	Reporting at least annually on performance, value for money and the stewardship of its resources.
What Assurance Do We Want	Formal annual report which includes key points raised by external scrutineers and service users' feedback on service delivery. Annual financial statements
What Assurance Do We Get	The Corporate Plan is refreshed on an annual basis. The financial statements are produced in accordance with the laid down timetable and presented to the Audit & Governance Committee for approval. The External Auditors produce the Annual Audit Letter and the Audit Findings Report which is presented to the Audit & Governance Committee.
What is missing	Nothing identified
Supporting Principle	Ensuring members and senior management own the results.
What Assurance Do We Want	Appropriate approvals
What Assurance Do	Decisions approved by Cabinet and Full Council as detailed within the Constitution

We Get	Accounts (including AGS) approved by Audit & Governance Committee Minutes of the meetings are made available on the website
What is missing	Nothing identified
Supporting Principle	Ensuring robust arrangements for assessing the extent to which the principles contained in the Framework have been applied and publishing the results on this assessment including an action plan for improvement and evidence to demonstrate good governance (Annual Governance Statement).
What Assurance Do We Want	Annual Governance Statement
What Assurance Do We Get	Results and actions arising from this assessment will go in the Annual Governance Statement for approval by Audit & Governance Committee
What is missing	Nothing identified
Supporting Principle	Ensuring that the Framework is applied to jointly managed or shared service organisations as appropriate.
What Assurance Do We Want	Annual Governance Statement
What Assurance Do We Get	The Annual Governance Statement is prepared by the Governance Group which is made up of lead officers within the Authority. The revised Personal Development Review document will include reference to the core principles of Corporate Governance.
What is missing	Nothing identified
Supporting Principle	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.
What Assurance Do We Want	Format follows best practice
What Assurance Do We Get	High level corporate plan projects/programmes and corporate risk register included in the Statement of Accounts Financial statements prepared in line with the CIPFA Code of Practice (as all Councils should) including relevant performance information from the Corporate Plan.
What is missing	Nothing identified


Supporting Principle	Ensuring that recommendations for corrective action made by external audit are acted upon Ensuring an effective internal audit service with direct access to members is in place which provides assurance with regard to governance arrangements and recommendations are acted upon
What Assurance Do We Want	Recommendations have informed positive improvement Compliance with CIPFA's Statement on the Role of the Head of Internal Audit Compliance with Public Sector Internal Audit Standards
What Assurance Do We Get	All recommendations made by the External Auditors are acted upon. Compliant and supporting evidence in the review of arrangements in relation to compliance with the CIPFA Statement on the Role of the Head of Internal Audit and compliance to the Public Sector Internal Audit Standards which has been further demonstrated following and external assessment completed in 2017.
What is missing	Nothing identified
Supporting Principle	Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations.
What Assurance Do We Want	Recommendations have informed positive improvement
What Assurance Do We Get	An LGA Peer Assessment was undertaken and action plan monitored
What is missing	Nothing identified
Supporting Principle	Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement.
What Assurance Do We Want	Annual Governance Statement
What Assurance Do We Get	Partnership Guidance Policy and Toolkit in place This is designed to help the Council work with its partners to ensure that all partnerships have good systems of governance. We define governance as the processes, procedures and policies that deal with important issues like accountability, probity and audit. It is crucial that all members of partnerships should conform to codes of practice for the good of all involved. Informed by Corporate Risk register.
What is missing	Nothing identified


Supporting Principle	Ensuring that when working in partnership, arrangements for accountability are clear and that the need for wider public accountability has been recognised and met.
What Assurance Do We Want	Community Strategy
What Assurance Do We Get	Partnership Guidance Policy and Toolkit in place This is designed to help the Council work with its partners to ensure that all partnerships have good systems of governance. We define governance as the processes, procedures and policies that deal with important issues like accountability, probity and audit. It is crucial that all members of partnerships should conform to codes of practice for the good of all involved.
What is missing	Nothing identified






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Action Plan Arising from the 2018/19 Assurance Process

Report Type: Actions Report
Report Author: Angela Struthers
Generated on: 22 May 2019


Action Code	Action Title	Priority	Current Status	Progress Bar	Due Date	Completed Date	Assigned To
AGS 19/20 1	Communication Strategy and Social Media Policy			<input type="text" value="0%"/>	31-Mar-2020		Zoe Wolicki
Description	Communication Strategy and Social Media Policy and media guidelines developed						
Desired Outcome							
All Notes	Angela Struthers 22-May-2019 Development is underway						


Action Code	Action Title	Priority	Current Status	Progress Bar	Due Date	Completed Date	Assigned To
AGS 19/20 2	Organisational Development Strategy			<input type="text" value="0%"/>	31-Dec-2019		Zoe Wolicki
Description	Organisational Development Strategy						
Desired Outcome							
All Notes							


Action Status	
	Cancelled
	Overdue; Neglected
	Unassigned; Check Progress
	Not Started; In Progress; Assigned
	Completed

Update on the Action Plan Arising from the 2017/18 Assurance Process


Report Type: Actions Report
Report Author: Angela Struthers
Generated on: 22 May 2019


Action Code	Action Title	Priority	Current Status	Progress Bar	Due Date	Completed Date	Assigned To
AGS1819 1	E-Induction			<div style="width: 75%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 75%	31-Mar-2019		Zoe Wolicki
Description	Review of E-induction programme						
Desired Outcome							
All Notes	Angela Struthers 21-May-2019 E-induction programme to be launched May 2019						
	Angela Struthers 27-Apr-2018 The review of the E-induction programme is currently being completed with roll out in 2018						


Action Code	Action Title	Priority	Current Status	Progress Bar	Due Date	Completed Date	Assigned To
AGS1819 2	PDR process			<div style="width: 50%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 50%	31-Mar-2019		Zoe Wolicki
Description	Review of the PDR process						
Desired Outcome							
All Notes	Angela Struthers 21-May-2019 To be rolled out shortly						
	Angela Struthers 27-Apr-2018 The PDR process is currently being reviewed						






Action Code	Action Title	Priority	Current Status	Progress Bar	Due Date	Completed Date	Assigned To
AGS1819 3	Scrutiny			<div style="width: 100%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 100%	31-Mar-2019	21-May-2019	Jane Hackett
Description	Review of Scrutiny Committees						
Desired Outcome							
All Notes	Angela Struthers 27-Apr-2018 On-going review of the effectiveness of the Scrutiny Committees. Training for members to improve effectiveness						

Action Code	Action Title	Current Status	Progress Bar	Due Date	Completed Date	Assigned To
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AGS1819 4	Communication Strategy	Priority		<input type="text" value="0%"/>	31-Mar-2019		Anica Goodwin
Description	Review of Communication Strategy						
Desired Outcome							
All Notes	Angela Struthers 21-May-2019 Moved to 2019/20 Angela Struthers 27-Apr-2018 Communication Strategy currently being reviewed						

Action Code	Action Title	Priority	Current Status	Progress Bar	Due Date	Completed Date	Assigned To
AGS1819 5	Workforce plan	Priority		<input type="text" value="100%"/>	31-Mar-2019	21-May-2019	Zoe Wolicki
Description	Review of workforce plan						
Desired Outcome							
All Notes	Angela Struthers 27-Apr-2018 Workforce plan to be presented to to CMT in June 2018						

Action Code	Action Title	Priority	Current Status	Progress Bar	Due Date	Completed Date	Assigned To
AGS1819 6	Organisational Development Plan	Priority		<input type="text" value="100%"/>	31-Mar-2019	21-May-2019	Zoe Wolicki
Description	Review of organisational development plan						
Desired Outcome							
All Notes	Angela Struthers 27-Apr-2018 Organisational development plan to be presented to CMT in June 2018						

Action Status	
	Cancelled
	Overdue; Neglected
	Unassigned; Check Progress
	Not Started; In Progress; Assigned
	Completed

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AUDIT & GOVERNANCE COMMITTEE

THURSDAY 6 JUNE 2019

REPORT OF THE HEAD OF AUDIT & GOVERNANCE

INTERNAL AUDIT UPDATE REPORT 2018/19 QUARTER 4 AND ANNUAL REPORT

EXEMPT INFORMATION

None

PURPOSE

To report on the outcome of Internal Audit's review of the internal control, risk management and governance framework in the 4th quarter and the 2018/19 financial year – to provide members with assurance of the ongoing effective operation of an internal audit function and enable any particularly significant issues to be brought to the Committee's attention.

RECOMMENDATION

That the Committee considers the attached report and raises any issue it deems appropriate.

EXECUTIVE SUMMARY

The Accounts and Audit Regulations 2015 require each local authority to publish an Annual Governance Statement (AGS) with its Annual Statement of Accounts. The AGS is required to reflect the various arrangements within the Authority for providing assurance on the internal control, risk management and governance framework within the organisation, and their outcomes.

One of the sources of assurance featured in the AGS is the professional opinion of the Head of Audit & Governance on the outcome of service reviews. Professional good practice recommends that this opinion be given periodically throughout the year to inform the Annual Governance Statement. This opinion is given on a quarterly basis to the Audit & Governance Committee.

Annual Audit Opinion

"I am satisfied that sufficient internal audit work has been undertaken to allow us to draw a reasonable conclusion as to the adequacy and effectiveness of the organisation's risk management, control and governance processes. Overall in my opinion, based upon the reviews performed during the year, the Authority has:

- adequate and effective risk management arrangements;
- adequate and effective governance; and
- has adequate and effective control processes.

Specific Issues

No specific issues have been highlighted through the work undertaken by Internal Audit during 2018/19.

RESOURCE IMPLICATIONS

None

LEGAL/RISK IMPLICATIONS

Failure to report would lead to non-compliance with the requirements of the Annual Governance Statement and the Public Sector Internal Audit Standards.

SUSTAINABILITY IMPLICATIONS

None

BACKGROUND INFORMATION

None

REPORT AUTHOR

Angela Struthers, Head of Audit & Governance

LIST OF BACKGROUND PAPERS

None

APPENDICES

Appendix 1 Internal Audit Performance Report 2018/19

Appendix 2 Percentage of Management Actions Agreed 2018/19

Appendix 3 Implementation of Agreed Management Actions 2018/19

INTERNAL AUDIT REPORT – 4th QUARTER - 2018/19

1. INTRODUCTION

Internal Audit is an independent, objective assurance and consulting activity designed to add value and improve an organisation's operations. It helps an organisation accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes. (Public Sector Internal Audit Standards)

Internal Audit's role is to provide independent assurance to the Council that systems are in place and are operating effectively.

Every local authority is statutorily required to provide an adequate and effective internal audit function. The Internal Audit service provides this function at this Authority.

This brief report aims to ensure that Committee members are kept aware of the arrangements operated by the Internal Audit service to monitor the control environment within the services and functions of the authority, and the outcome of that monitoring. This is to contribute to corporate governance and assurance arrangements and ensure compliance with statutory and professional duties, as Internal Audit is required to provide periodic reports to "those charged with governance".

2. PERFORMANCE AND PROGRESSION AGAINST AUDIT PLAN

The Internal Audit service aims as one of its main Performance Indicators (PI's) to complete work on at least 90% of applicable planned audits by the end of the financial year, producing draft reports on these where possible/necessary. **Appendix 1** shows the progress at the end of 4th quarter of the year of the work completed against the plan and highlights the work completed. The original audit plan identified 55 audits to be completed, the plan has been revised as 6 audits needed to be cancelled for operational reasons and one additional review was completed. At the end of the 4th quarter of the year, internal audit have commenced/completed 50 audits. This equates to 100% of the revised annual plan (specific reviews). 11 implementation reviews were identified in the original audit plan, the service has completed 22 up to the end of the fourth quarter of the financial year.

The service also reports quarterly on the percentage of draft reports issued within 15 working days of the completion of fieldwork. All (100%) of the draft reports issued in this quarter of the year were issued within this deadline.

3. AUDIT REVIEWS COMPLETED 2018/19

Appendix 2 details the number of recommendations made. A total of 62 recommendations were made in the fourth quarter with 62 (100%) of the recommendations being accepted by management.

The service revisits areas it has audited around 6 months after agreeing a final report on the audit, to test and report to management on the extent to which agreed actions

have been taken. Six implementation reviews and one 2nd implementation review were completed during the 4th quarter of 2018/19. **Appendix 3** details the implementation progress to date for the 4th quarter of the financial year with 48% (15/31) implemented/partially implemented at 1st implementation review and 45% (5/11) implemented/partially implemented at 2nd implementation review. Seven recommendations not implemented at 1st implementation review and three recommendations not implemented at 2nd implementation review were high priority and management have agreed revised implementation dates for all outstanding recommendations.

Year End Summary Information 2018/19		2017/18 Performance	Target
Percentage of Audit Plan completed	100%	95%	90%
Draft reports issued within 15 working days	100%	100%	100%
Percentage of recommendations accepted by management	98%	97%	97%
Percentage of recommendations due implemented	39%	72%	-

4. INDEPENDENCE OF THE INTERNAL AUDIT ACTIVITY

Attribute Standards 1110 to 1130 in the Public Sector Internal Audit Standards require that Internal Audit have organisational and individual independence and specifically state that the head of Internal Audit Services must confirm this to the Audit & Governance Committee at least annually. As performance is reported quarterly, this confirmation will be provided quarterly.

The Head of Internal Audit Services confirms that Internal Audit is operating independently of management and is objective in the performance of internal audit work.

5 DEVELOPMENTS DURING 2018/19

During 2018/19, Internal Audit has carried out the following:

- Completed the annual risk based audit plan in accordance with the Public Sector Internal Audit Standards;
- Produced a Quality Assurance and Improvement Programme;
- Given an assurance opinion for each audit completed, and a revised opinion on the completion of implementation reviews based upon Internal Audit's assessment of the control environment;
- Reported quarterly to the Audit & Governance Committee on progress against the audit plan;
- Provided an opinion on the internal control environment for the Annual Governance Statement;
- Continued to complete service enhancements mainly through the use of the Pentana Audit Module;
- Continued to Provide Audit Management Services to Lichfield District Council.

6 DEVELOPMENTS FOR 2019/20

The work of the Internal Audit Service will continue to be driven by the regulatory requirements of local government finance and the corporate and operational risks facing the Council. The Service is always looking to continuously improve its service and add value to management through regular audit to improve internal controls and identify efficiencies in their services. During 2019/20 we will complete the following:

- Comply with the Public Sector Internal Audit Standards;
- Complete the internal audit plan in accordance with the performance indicators;
- Continue to complete service enhancements to provide an efficient service;
- Continue to provide Internal Audit Management service to Lichfield District Council.

OVERALL CURRENT INTERNAL AUDIT OPINION

“I am satisfied that sufficient internal audit work has been undertaken to allow us to draw a reasonable conclusion as to the adequacy and effectiveness of the organisation’s risk management, control and governance processes. Overall in my opinion, based upon the reviews performed during the year, the Authority has:

- adequate and effective risk management arrangements;
- adequate and effective governance; and
- has adequate and effective control processes.

Specific issues:

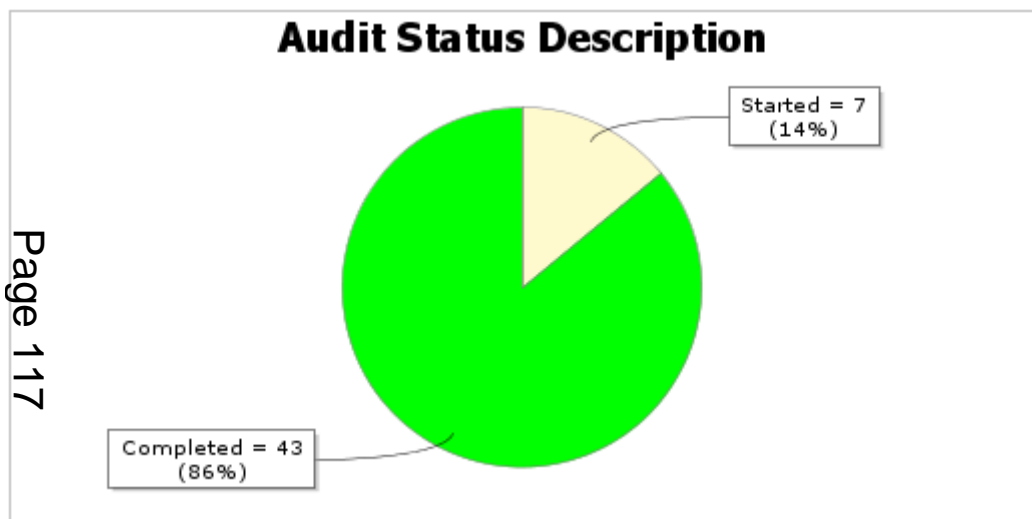
There were no specific issues highlighted through the work of Internal Audit in the fourth quarter of the 2018/19 financial year that would need to be highlighted as a corporate risk

Angela Struthers,
Head of Audit & Governance

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Internal Audit Performance Report 2018/19

Report Type: Audit File Report
 Report Author: Angela Struthers
 Generated on: 10 April 2019



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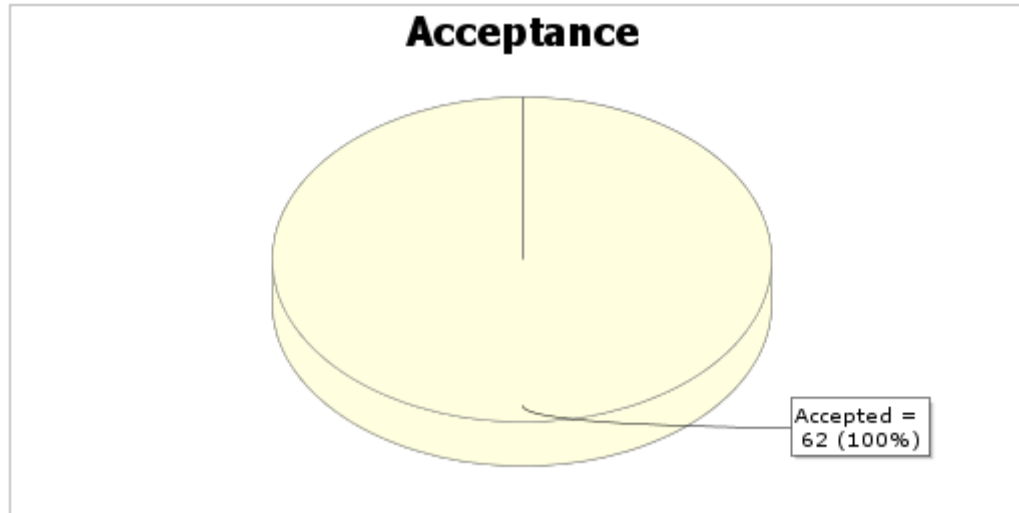
Title	Directorate Description	Audit Status Icon	Audit File Audit Status Description	Audit Assurance Type Title
Taxi Licences	Directorate – Growth & Regeneration	✓	Completed	Risk based review
Joint Service Provision/ SLA's	Corporate	✓	Started	System based review
Performance Management	Directorate – People	✓	Completed	System based review
IT Governance	Directorate – People	✓	Completed	Information Technology

Title	Directorate Description	Audit Status Icon	Audit File Audit Status Description	Audit Assurance Type Title
Main Accounting & Budgetary Control	Directorate – Finance	✓	Completed	Main financial system – interim
Treasury Management QTR 4 2017/18	Directorate – Finance	✓	Completed	Main financial system – interim
Treasury Management QTR 1 2018/19	Directorate – Finance	✓	Completed	Main financial system – interim
Treasury Management QTR 2 2018/19	Directorate – Finance	✓	Completed	Main financial system – interim
Treasury Management QTR 3 2018/19	Directorate – Finance	✓	Completed	Main financial system – interim
Debtors & Procurement	Directorate – Finance	✓	Started	Main financial system – full
Debtors	Directorate – Finance	✓	Completed	Main financial system – interim
Council Tax	Directorate – Finance	✓	Completed	Main financial system – interim
ISDR	Directorate – Finance	✓	Completed	Main financial system – interim
Payroll	Directorate – People	✓	Completed	Main financial system – interim
Bank Reconciliation & Cash Collection	Directorate – Finance	✓	Completed	Main financial system – interim
Housing & Council Tax Benefits	Directorate – Finance	✓	Completed	Main financial system – interim
Capital Strategy & Programme Management	Directorate – Finance	✓	Completed	Main financial system – interim
Housing Rents	Directorate – Neighbourhoods	✓	Completed	Main financial system – interim
Property Contracts QTR 1	Directorate – Assets	✓	Completed	Main financial system – interim
Property Contracts QTR 2	Directorate – Assets	✓	Completed	Main financial system – interim
Property Contracts QTR 3	Directorate – Assets	✓	Completed	Main financial system – interim

Title	Directorate Description	Audit Status Icon	Audit File Audit Status Description	Audit Assurance Type Title
Property Contracts QTR 4	Directorate – Assets	✓	Started	Main financial system – interim
Housing Repairs QTR 1	Directorate – Assets	✓	Completed	Main financial system – interim
Housing Repairs QTR 2	Directorate – Assets	✓	Completed	Main financial system – interim
Housing Repairs QTR 3	Directorate – Assets	✓	Completed	Main financial system – interim
Housing Repairs QTR 4	Directorate – Assets	✓	Started	Main financial system – interim
Health & Safety	Directorate – Ops & Leisure	✓	Started	System based review
CCTV	Directorate – Neighbourhoods	✓	Completed	Risk based review
Training & Development	Directorate – People	✓	Completed	Risk based review
Housing Regeneration & Affordable Housing	Directorate – Partnerships	✓	Completed	Risk based review
Food Safety	Directorate – Growth & Regeneration	✓	Completed	Risk based review
Tourism & Town Centre	Directorate – Growth & Regeneration	✓	Completed	Risk based review
PR & Communications	Directorate – People	✓	Completed	System based review
Sheltered Housing	Directorate – Neighbourhoods	✓	Completed	Risk based review
Outdoor Events	Directorate – Ops & Leisure	✓	Completed	Consultancy
TIC	Directorate – People	✓	Completed	System based review
Safeguarding	Directorate – Partnerships	✓	Completed	System based review
Parks & Open Spaces, Nature Reserves & Sports Pitches	Directorate – Ops & Leisure	✓	Completed	System based review
Committee Decisions & Reporting	Corporate	✓	Completed	System based review
Mobile Telephones	Directorate – People	✓	Completed	System based review

Title	Directorate Description	Audit Status Icon	Audit File Audit Status Description	Audit Assurance Type Title
Licences	Directorate – Growth & Regeneration	✓	Completed	System based review
Pentana Application Review	Technology & Corporate Programmes	✓	Completed	Information Technology
Academy Application Review	Directorate – People	✓	Completed	Information Technology
Self Service Technology	Directorate – People	✓	Started	Information Technology
GDPR	Directorate – People	✓	Started	Information Technology
Social Media	Directorate – People	✓	Completed	Information Technology
Pension Contributions	Directorate – People	✓	Completed	Compliance
Page 120 Commercialism	Directorate – Assets	✓	Completed	Compliance
Commercial & Industrial Properties	Corporate	✓	Completed	Consultancy
	Directorate – Growth & Regeneration	✓	Completed	Consultancy

Percentage of Management Actions Agreed 2018/19 Quarter 4

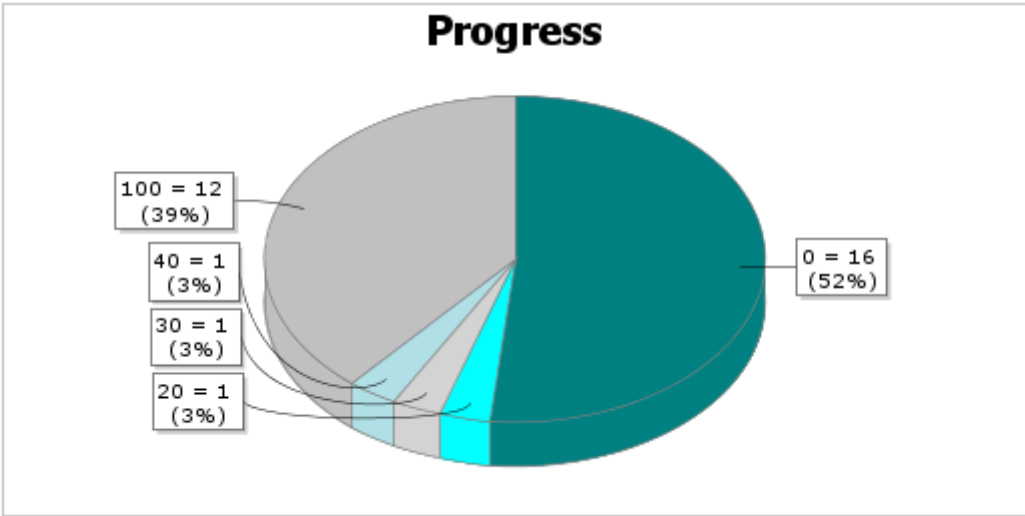


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Implementation of Agreed management Actions 2018/19 Quarter 4

1st Implementation reviews

Page 123

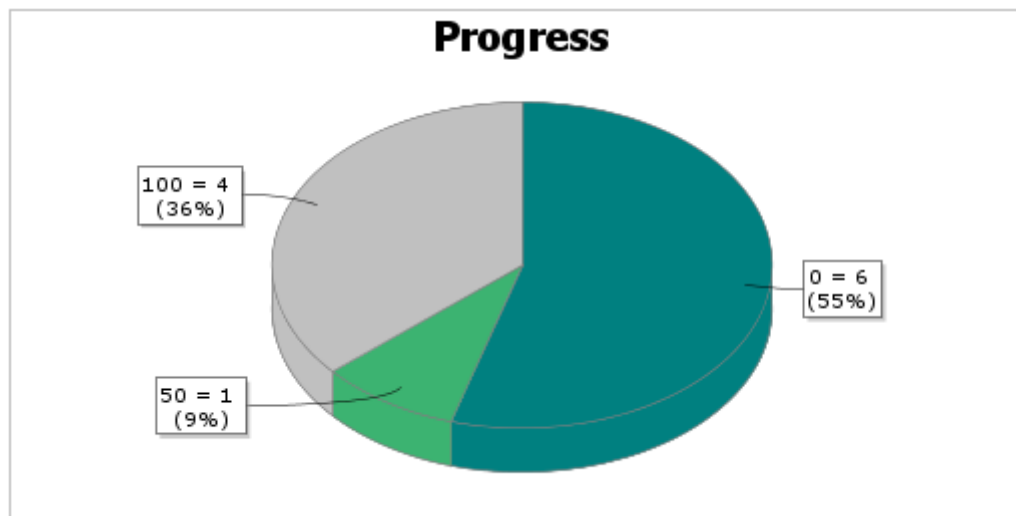


Audit Recommendation Code & Title	Recommendation Priority	Recommendation Progress	Reason Not Implemented	Implementation Review completed	Revised Date for Implementation
1718 EP 1.02 Emergency Plans	High Priority	0%	Other Higher Priorities	1st implementation review completed	31-Mar-2020
1718 EP 1.03 Risk Register	High Priority	0%	Other Higher Priorities	1st implementation review completed	31-Mar-2020
1718 EP 3.01 Training Analysis	High Priority	0%	Other Higher Priorities	1st implementation review completed	31-Mar-2020

Audit Recommendation Code & Title	Recommendation Priority	Recommendation Progress	Reason Not Implemented	Implementation Review completed	Revised Date for Implementation
1718 EP 3.02 Training Records	High Priority	<input type="text" value="0%"/>	Other Higher Priorities	1st implementation review completed	31-Mar-2020
1718 Equals 1.03 Equality & Diversity Scheme	High Priority	<input type="text" value="0%"/>	No evidence provided	1st implementation review completed	30-Sep-2019
1718 Equals 3.01 Community Impact Assessments	High Priority	<input type="text" value="0%"/>	No evidence provided	1st implementation review completed	30-Sep-2019
1718 EP 1.01 Emergency Planning Folders	Medium Priority	<input type="text" value="0%"/>	Other Higher Priorities	1st implementation review completed	31-Mar-2020
1718 EP 2.01 Website Checks	Medium Priority	<input type="text" value="0%"/>	Other Higher Priorities	1st implementation review completed	31-Mar-2020
1718 EP 5.01 Testing of Plans	Medium Priority	<input type="text" value="0%"/>	Other Higher Priorities	1st implementation review completed	31-Mar-2020
1718 EP 6.01 Minutes	Medium Priority	<input type="text" value="0%"/>	Other Higher Priorities	1st implementation review completed	31-Mar-2020
1718 Equals 1.01 Community Impact Assessment	Medium Priority	<input type="text" value="0%"/>	No evidence provided	1st implementation review completed	30-Sep-2019
1718 Equals 1.02 Action Plan	Medium Priority	<input type="text" value="0%"/>	No evidence provided	1st implementation review completed	30-Sep-2019
1718 Equals 1.04 Policy/ Scheme	Medium Priority	<input type="text" value="0%"/>	No evidence provided	1st implementation review completed	30-Sep-2019
1718 HSG 1.01 Recharge Procedure	Medium Priority	<input type="text" value="0%"/>	Staffing Resources – Temporary	1st implementation review completed	30-Jun-2019
1718 HSG 1.02 Income Management Policy	Medium Priority	<input type="text" value="0%"/>	Staffing Resources – Temporary	1st implementation review completed	31-Mar-2019

Audit Recommendation Code & Title	Recommendation Priority	Recommendation Progress	Reason Not Implemented	Implementation Review completed	Revised Date for Implementation
1718 NetCont 1.3 Windows Operating System	Medium Priority	0%	Other Higher Priorities	1st implementation review completed	30-Jun-2019

Further Implementation Reviews



Audit Recommendation Code & Title	Recommendation Priority	Recommendation Progress	Reason Not Implemented	Implementation Review completed	Revised Date for Implementation
1718 Time Rec 03 Carers Policy - Flexi time	High Priority	0%	Other Higher Priorities	2nd implementation review completed	30-Sep-2019
1718 Time Rec 10 Policies	High Priority	0%	Other Higher Priorities	2nd implementation review completed	30-Sep-2019
1718 Time Rec 13 Working Time Directive - Lunch Breaks	High Priority	0%	Other Higher Priorities	2nd implementation review completed	30-Sep-2019
1718 Time Rec 05 Flexi Policies	Medium Priority	0%	Other Higher Priorities	2nd implementation review completed	30-Sep-2019

Audit Recommendation Code & Title	Recommendation Priority	Recommendation Progress	Reason Not Implemented	Implementation Review completed	Revised Date for Implementation
1718 Time Rec 11 Carers Leave Policy	Medium Priority	<input type="text" value="0%"/>	Other Higher Priorities	2nd implementation review completed	30-Sep-2019
1718 Time Rec 12 Study & Training Leave	Medium Priority	<input type="text" value="0%"/>	Other Higher Priorities	2nd implementation review completed	30-Sep-2019

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AUDIT & GOVERNANCE COMMITTEE

6 June 2019

Report of the Head of Audit & Governance

INTERNAL AUDIT CUSTOMER SATISFACTION SURVEY 2018/19

EXEMPT INFORMATION

None

PURPOSE

To report on the outcome of Internal Audit's customer satisfaction survey.

RECOMMENDATION

That the Committee considers this report and raises any issue it deems appropriate.

EXECUTIVE SUMMARY

Public Sector Internal Audit Standard (PSIAS) 1300 requires the development and maintenance of a Quality Assurance and Improvement Programme (QAIP). The Institute of Internal Auditors (IIA) guidance for the development of a QAIP states that as part of the Quality Assurance process, on-going monitoring should be completed on an audit by audit basis (achieved by reviewing work completed by the auditor) supported by other additional mechanisms including acquiring feedback from audit clients and other stakeholders. To fulfil this requirement, we send out a short questionnaire at the end of each audit assignment. The results of the questionnaire are detailed in the table below. We wanted to keep the questionnaire short to gather the information that was important for us to know and to ensure that management time was not taken in completing them. In total, we received 26 questionnaires back.

The questionnaire asked three questions relating to the delivery on the internal audit service and details along with the average scores are detailed below:

Question	2018/19 Average score (Max 5)	2017/18 Average score (Max 5)
The scope of the audit reflected the risks in the area.	3.9	3.9
The audit added value to your department's operations by assisting in improving your business processes and internal controls.	4.1	3.9
The audit findings were accurate and led to constructive recommendations.	4.0	3.9

The results of the questionnaires show that the Internal Audit Service is performing well with all scores above average with a slight increase on the previous financial year.

RESOURCE IMPLICATIONS

None

LEGAL/RISK IMPLICATIONS

Failure to report would lead to non-compliance with the requirements of the Annual Governance Statement and the Public Sector Internal Audit Standards.

SUSTAINABILITY IMPLICATIONS

None

BACKGROUND INFORMATION

None

REPORT AUTHOR

Angela Struthers, Head of Audit & Governance ext 234

LIST OF BACKGROUND PAPERS

None

THURSDAY, 6 JUNE 2019

REPORT OF THE HEAD OF AUDIT & GOVERNANCE

**PUBLIC SECTOR INTERNAL AUDIT STANDARDS/QUALITY ASSURANCE &
IMPROVEMENT PROGRAMME**

EXEMPT INFORMATION

None

PURPOSE

To report on the compliance with the Public Sector Internal Audit Standards and the Quality Assurance & Improvement Programme (as required by the Public Sector Internal Audit Standards).

RECOMMENDATIONS

That the Committee endorses:

- **The compliance with the Public Sector Internal Audit Standards; and**
- **The Quality Assurance & Improvement Programme.**

EXECUTIVE SUMMARY

The Public Sector Internal Audit Standards (PSIAS) came in to force on the 1st April 2013. Compliance with the PSIAS is required under the Accounts & Audit Regulations 2015. The PSIAS require that Internal Audit comply with professional best practice and assess themselves against the requirements on an annual basis and that an External Quality Assessment (EQA) should be completed at least every five years. The EQA was completed in 2017 and reported to this Committee. An overview of Compliance with the PSIAS is attached at **Appendix 1**.

The local government application of the PSIAS has been recently reviewed and updated. The main changes to the standards are:

1112 CAE roles beyond internal auditing

“Where the Chief Audit Executive (CAE) has roles or responsibilities that fall outside of internal auditing, adequate safeguards should be in place to limit impairments to independence or objectivity and the Committee should review these safeguards”.

This has been highlighted in the Internal Audit Charter and safeguards put in place.

2030 Resource Management

“The CAE has planned the deployment of resources, especially the timing of engagements, in conjunction with management to minimise disruption to the functions being audited, subject to the requirement to obtain sufficient assurance.”

This has always been taken into account at the audit planning stage.

2110 Governance

Additional wording to audit activity to cover:

“Internal audit activity assesses and makes appropriate recommendations to improve the organisation’s governance process for making strategic and operational decisions.”

Internal audit activity covers the whole of the governance process.

2120 Risk Management

Additional wording

“Has the internal audit activity evaluated the risks relating to the organisation’s governance, operations and information systems regarding the:

- Achievement of the organisation’s strategic objectives?
- Reliability and integrity of financial and operational information?
- Effectiveness and efficiency of operations and programmes?
- Safeguarding of assets?
- Compliance with laws, regulations, policies, procedures and contracts?”

Internal audit take into account these risks.

Part of the requirement of the PSIAS is for the Head of Audit & Governance to develop a Quality Assurance & Improvement Programme (QAIP). Under the QAIP, quality should be assessed at both an individual audit engagement level as well as at the broader internal audit level. A well-developed QAIP will ensure that quality is built in to rather than on to, the way internal audit activity operates. In essence, Internal Audit should not need to assess whether each individual engagement conforms to the Standards, but that engagements should be undertaken in accordance with an established methodology that promotes quality and, by default, conforms to the Standards.

The QAIP should conclude on the quality of the Internal Audit activity and lead to recommendations for appropriate improvements. It enables an evaluation of:

- Conformance with Definition of Internal Auditing, the Code of Ethics and the Standards;
- The adequacy of the Internal Audit activity’s charter, goals, objectives, policies and procedures;
- The contribution to the organisation’s governance, risk management and control processes;
- Completeness of coverage of the entire audit universe;
- Compliance with applicable laws, regulations, and government or industry standards to which the Internal Audit activity may be subject;
- The risks affecting the operation of the Internal Audit activity itself;
- The effectiveness of continuous improvement activities and adoption of best practices; and
- Whether the Internal Audit activity adds value, improves the organisation’s operations, and contributes to the attainment of objectives.

To achieve comprehensive coverage of all aspects of the Internal Audit activity, a QAIP must effectively be applied at three fundamental levels:

- Internal Audit Engagement Level – self assessment at the Audit Engagement or Operational Level;
- Internal Audit Activity Level – self assessment at the Internal Audit activity or Organisational Level; and
- External Perspective – independent external assessment of the entire Internal Audit activity including Individual Engagements.

Attached as **Appendix 2** is the Quality Assurance & Improvement Programme (QAIP) for the Authority's Internal Audit Service. This gives an overview of the QAIP in place.

RESOURCE IMPLICATIONS

None

LEGAL/RISK IMPLICATIONS BACKGROUND

There is a risk that non-compliance with the PSIAS will mean that an effective system of internal control is not in place and therefore we are not complying with the Accounts and Audit (England) Regulations 2015.

SUSTAINABILITY IMPLICATIONS

None

BACKGROUND INFORMATION

None

REPORT AUTHOR

Angela Struthers, Head of Audit & Governance

LIST OF BACKGROUND PAPERS

None

APPENDICES

Appendix 1 Public Sector Internal Audit Standards Compliance Overview

Appendix 2 Quality Assurance & Improvement Programme

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Public Sector Internal Audit Standards Compliance Overview

Mission Statement, Definition of Internal Auditing and Code of Ethics

Mission Statement & Definition of Internal Auditing



Integrity



Objectivity



Confidentiality



Competency



Performance Standards

1000 – 1322 Attribute Standards

1000 – 1110 Purpose, Authority and responsibility

Purpose, Authority, and Responsibility



Recognising Mandatory Guidance in the Internal Audit Charter



1110 – 1130 Independence and Objectivity

Organisational Independence



Independence and Objectivity



Direct Interaction with the Board



Chief Audit Executive Roles Beyond Internal Auditing



Individual Objectivity



Impairment to Independence or Objectivity



1210 – 1230 Proficiency and Due Professional Care

Proficiency



Due Professional Care



Continuing Professional Development



1300 – 1322 Quality Assurance and Improvement Programme (QAIP)

Quality Assurance and Improvement Programme (QAIP)



Requirements of the Quality Assurance and Improvement Programme



Internal Assessments



External Assessments



Reporting on the Quality Assurance and Improvement Programme



Use of Conforms with the International Standards for the Professional Practice of Internal Auditing



Disclosure of Non-conformance



2000 – 2600 Performance Standards

2000 – 2060 Managing the Internal Audit Activity

Managing the Internal Audit Activity



Planning



Communication and Approval



Resource Management



Policies and Procedures



Coordination



Reporting to Senior Management and the Board



2070 External Service Provider and Organisational Responsibility for Internal Audit

External Service Provider and Organisational Responsibility for Internal Audit



2100 – 2130 Nature of Work

Nature of Work



Governance



Risk Management



Control



2200 – 2240 Engagement Planning

Engagement Planning



Planning Considerations



Engagement Objectives



Engagement Scope



Engagement Resource Allocation



Engagement Work Programme



2300 – 2340 Performing the Engagement

Performing the Engagement



Identifying Information



Analysis and Evaluation



Documenting Information



Engagement Supervision



2400 – 2440 Communicating Results

Communicating the Results



Criteria for Communicating



Qualities of Communications



Errors and Omissions



Use of "Conducted in Conformance with the International Standards for the Professional Practice of Internal Auditing"



Engagement Disclosure of Non-conformance



Disseminating Results



2450 Overall Opinions

Overall Opinions



2500 Monitoring Progress

Monitoring Progress



2600 Communicating the Acceptance of Risks

Communicating the Acceptance of Risks



Internal Audit Services Quality Assurance & Improvement Programme

1 Introduction

Internal Audit's Quality Assurance Improvement Programme (QAIP) is designed to provide reasonable assurance to the various stakeholders (the Board, Senior Management, the External Auditor and Operational Managers etc) that Internal Audit:

- Conforms with the Definition of Internal Auditing, the Code of Ethics and the Standards;
- Has an adequate Internal Audit Activity's Charter, Goals, Objectives, Policies and Procedures;
- Contributes to the organisation's governance, risk management and control processes;
- Has complete coverage of the audit universe;
- Complies with applicable laws, regulations and other standards that the internal audit activity may be subject to;
- Has identified the risks affecting the operation of the internal audit activity itself;
- Has an effective continuous improvement activity in place and adopts best practice; and
- Adds value to improve the organisation's operations and contributes to the attainment of the organisation's objectives.

The Chief Audit Executive (CAE) is ultimately responsible for the QAIP, which covers all types of Internal Audit activities, including consultancy. The QAIP must include both internal and external assessments. Internal assessments are both ongoing and periodical and external assessments must be undertaken at least once every five years.

The QAIP is reviewed on an annual basis.

2 Internal Assessments

Internal Assessments are made up of both ongoing reviews and periodic reviews.

Ongoing reviews

Ongoing reviews provide assurance that the processes in place are working effectively to ensure that quality is delivered on an audit by audit basis. This includes continuous monitoring of:

- Engagement planning and supervision (preapproval of the audit scope, innovative best practices, budgeted hours, and assigned staff)
- Standard working practices (including working paper procedures, sign off, report review, checklists to ensure that the audit process has been followed)
- Feedback from other clients and stakeholders
- Analysing performance metrics to measure audit plan completion and stakeholder value.

Periodic reviews

Periodic assessments are designed to assess conformance with Internal Audit's Charter, the Standards, Definition of Internal Auditing, the Code of Ethics, the quality of the audit work and supervision, policies and procedures supporting the internal audit activity, the added value to the organisation and the achievement of performance standards.

Periodic assessments will be conducted through:

- Working paper reviews for conformance to the definition of Internal Auditing, the Code of Ethics, the Standards, and internal audit policies and procedures
- Self-assessment of the internal audit activity with objectives established as part of the QAIP components – Governance, Professional Practice and Communication
- Review of internal audit performance measure and benchmarking of best practices. Periodic activity and performance reporting to the board and other stakeholders as deemed necessary
- Annual self-review of conformance to the PSIAS.

The periodic self assessment should identify the quality of ongoing performance and opportunities for improvement, and to check and validate the objectives and criteria used in the QAIP. The self assessment will be completed on an annual basis and the results reported to the Board and Senior Management.

3 External Assessment

The External Assessment will consist of a broad scope of coverage that includes the following .

- Conformance with the Standards, Definition of Internal Auditing, the Code of Ethics, and internal audit's Charter, plans, policies, procedures, practices, and any applicable legislative and regulatory requirements
- Expectations of Internal Audit as expressed by the Board and Senior Management
- Integration of the Internal Audit activity into the governance process
- The mix of staff knowledge, experiences, and disciplines, including use of tools and techniques, and process improvements
- A determination whether Internal Audit adds value and improves the Council's operations.

An external assessment will be conducted every five years by a qualified, independent assessor from outside the Council. The assessment will be in the form of a full external assessment, or a self-assessment with independent external validation. The format of the external assessment will be agreed with the Board.

4 Assessment scale

The scale to assess the level of conformance of the Internal Audit activity with the standards is as follows:

Generally Conforms/Partially Conforms/Does Not Conform
(IIA Quality Assessment Manual Scale)

5 Reporting on the Quality Program

Internal Assessments – reported to the Board and Senior Management on an annual basis. The internal assessment report will be accompanied by a written action plan in response to significant findings and recommendation contained in the report.

External Assessments – reported to the Board and Senior Management. The external assessment report will be accompanied by a written action plan in response to significant findings and recommendations contained in the report.

Follow up – The CAE will implement appropriate follow up actions to ensure that recommendations made in the reports and action plans developed are implemented in a reasonable timeframe.

Quality Assurance & Improvement Programme			
Ongoing Monitoring of Performance			
Activity	Frequency	Responsibility	Reporting
Review of the audit universe to ensure complete	Annual	Head of Audit & Governance	N/A
Identification of risks affecting the operation of the Internal Audit Service	Quarterly	Head of Audit & Governance	N/A
Review of audit engagements	Each engagement	Head of Audit & Governance/Principal Auditor	N/A
Progress against the audit plan	Monthly	Head of Audit & Governance/Principal Auditor	Quarterly report to Audit & Governance Committee
Progress against Key Performance Indicators	Quarterly	Head of Audit & Governance	Quarterly report to Audit & Governance Committee
Discuss performance of internal audit activity	Monthly	Head of Audit & Governance and Chief Executive	Annual report to Audit & Governance Committee
Customer survey/questionnaire	For each engagement	Principal Auditor	Annual report to Audit & Governance Committee
Review of Internal Audit Charter, goals, policies & procedures	Annual	Head of Audit & Governance	Annual report to Audit & Governance Committee
Personal Development Review	Annual	Appropriate line manager	Documentation to HR
Continuous improvement activity and adoption of best practice	Continuous	Head of Audit & Governance/Principal Auditor	Annual report to the Audit & Governance Committee
Identification of added value to the authority's operations	Continuous	Head of Audit & Governance/Principal Auditor	Annual report to the Audit & Governance Committee

Periodic Self Assessments			
Self assessment against the Public Sector Internal Audit Standards (PSIAS)	Annual	Head of Audit & Governance	Annual report to the Audit & Governance Committee
Compliance with applicable laws, regulations and other standards that the Internal Audit activity may be subject to	Continuous review	Head of Audit & Governance	Report to Audit & Governance Committee when applicable
Benchmarking review of Internal Audit Services	When practical	Head of Audit & Governance	Report to Audit & Governance Committee
External Assessments			
Assessment against the PSIAS	Every 5 years	Head of Audit & Governance and external reviewer	Report to the Audit & Governance Committee

THURSDAY, 6 JUNE 2019

REPORT OF THE HEAD OF INTERNAL AUDIT SERVICES

COUNTER FRAUD UPDATE

EXEMPT INFORMATION

None

PURPOSE

To provide members with an update of the Counter fraud work completed during the 2018/19 financial year.

RECOMMENDATIONS

It is recommended that:

1. The Committee considers the report and raises any issue it deems appropriate.

EXECUTIVE SUMMARY

In line with good practice, a Fraud Risk Register is maintained and reviewed on a quarterly basis. The latest Fraud Risk Register summary is attached as **Appendix 1**.

Work has progressed on the data matches identified through the National Fraud Initiative (NFI) in the 2016/17 run and the 2018/19 run which was released in February 2019.

The results of the matches are:

Run	Processed	Errors	Amount	Recovering No	Recovering amount
18/19 general (to date)	774	8	£22,872*	1	£192
18/19 SPD	706	2	£635	2	£635
16/17 general	1113	3	£4,338	3	£4,338
16/17 SPD	1621	76	£39,705	76	£39,705

*The Cabinet Office has estimated that the cost saving for the removal of someone from the housing waiting list is £3,260, there were 7 cases that fell into this category.

The Authority has a dedicated Corporate Anti-Fraud Investigations Officer who has been in post since September 2015. This is to ensure that the Authority is taking a more proactive approach to fraud rather than reactive as previously adopted. As well as continuing with the work on the NFI matches previously identified, the Investigations Officer also completes

investigations into potential fraud in other areas including NNDR, Council Tax Reduction, Single Persons Discount, illegal sub-letting and non-residence of council housing. Investigations concluded have identified 1 additional case of fraud, in addition to those highlighted through the NFI. The type and number of investigations completed is detailed below.

Type of fraud case	Number of cases investigated	Number of cases proven	Value
Council tax reduction	4	1	£3,862
Housing Benefit	7	-	-
Housing – non resident	2	-	-
Housing - other	1	-	-
Housing sublet	4	-	-

In addition to the above, we have proactively checked 78 applications at application stage.

The Fraud Action Plan for 2018/19 is attached at **Appendix 2** and shows the work completed to date.

RESOURCE IMPLICATIONS

None

LEGAL/RISK IMPLICATIONS BACKGROUND

There is a risk that the Authority will not have sound governance processes in place.

EQUALITIES IMPLICATIONS

None

SUSTAINABILITY IMPLICATIONS

None

BACKGROUND INFORMATION

None

REPORT AUTHOR

Angela Struthers ex 234

LIST OF BACKGROUND PAPERS

None

APPENDICES

Appendix 1 Fraud and Corruption Risk Register
Appendix 2 Fraud Action Plan 2018/19


















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Fraud & Corruption Risk Register 2019/20

Report Type: Risks Report

















Report Author: Angela Struthers

















Generated on: 24 May 2019

Risk Title	Risk Description	Gross Risk – Assessment	Current Risk – Assessment	Last Review Date	Ownership Assigned To
Staffing (internal)					Angela Struthers
Credit Income	Misappropriation of income	 4 significant–unlikely	 2 significant–very unlikely	24–May–2019	Angela Struthers
Assets	Theft of fixed assets	 9 serious–likely	 4 significant–unlikely	24–May–2019	Angela Struthers
Assets	Theft of Council information/intellectual property	 12 major – likely	 8 major – unlikely	24–May–2019	Angela Struthers
Assets	Inappropriate use of Council assets for private use	 8 significant – very likely	 6 significant–likely	24–May–2019	Angela Struthers
Petty cash/imprest accounts	Theft of takings disguised by manipulation of accounts	 2 minor–unlikely	 2 minor–unlikely	24–May–2019	Angela Struthers
Expenses claims	Inflated claims	 6 significant–likely	 4 significant–unlikely	24–May–2019	Angela Struthers
Corruption	Disposal of assets – land and property	 6 serious–unlikely	 3 serious–very unlikely	24–May–2019	Angela Struthers
Corruption	Award of planning consents and licences	 9 serious–likely	 3 serious–very unlikely	24–May–2019	Angela Struthers

















Risk Title	Risk Description	Gross Risk – Assessment	Current Risk – Assessment	Last Review Date	Ownership Assigned To
Corruption	Acceptance of gifts, hospitality, secondary employment	 6 significant-likely	 4 significant-unlikely	24-May-2019	Angela Struthers
Car parking	Theft of takings	 9 serious-likely	 6 serious-unlikely	24-May-2019	Angela Struthers
Treasury management	Falsifying records to gain access to loan or investment monies	 12 major – likely	 6 serious-unlikely	24-May-2019	Angela Struthers
Money laundering	Using the council to hide improper transactions	 8 major – unlikely	 4 significant-unlikely	24-May-2019	Angela Struthers
IT fraud	Improper use of council ICT equipment	 12 major – likely	 9 serious-likely	24-May-2019	Angela Struthers
Employee – general	Abuse of flexi system Falsification of car loans	 6 significant-likely	 4 significant-unlikely	24-May-2019	Angela Struthers
Payment of grants to the public	Grants fraudulently claimed	 12 major – likely	 6 serious-unlikely	24-May-2019	Angela Struthers
Loans & Investments	Misappropriation of funds Fraudulent payment or investment of funds	 12 major – likely	 4 significant-unlikely	24-May-2019	Angela Struthers
Regeneration development corruption	Regeneration development corruption	 12 major – likely	 6 serious-unlikely	24-May-2019	Angela Struthers
Financial statements	The financial statements may be materially mis-stated due to fraud	 6 serious-unlikely	 4 significant-unlikely	24-May-2019	Angela Struthers
New starter	Fraudulent job application	 9 serious-likely	 4 significant-unlikely	24-May-2019	Angela Struthers





Risk Title	Risk Description	Gross Risk – Assessment	Current Risk – Assessment	Last Review Date	Ownership Assigned To
ICT abuse	Improper use of IT equipment	9 serious-likely	4 significant-unlikely	24-May-2019	Angela Struthers
Benefits fraud – internal	Fraudulent claim by member of staff	9 serious-likely	6 serious-unlikely	24-May-2019	Angela Struthers
Cash theft	Theft of takings disguised by manipulation of accounts	4 significant-unlikely	2 significant-very unlikely	24-May-2019	Angela Struthers
Cash theft	Theft of cash without disguise	4 significant-unlikely	1 minor – very unlikely	24-May-2019	Angela Struthers
Payroll	Payment to non existent employees	2 significant-very unlikely	3 serious-very unlikely	24-May-2019	Angela Struthers
Payroll	Over claiming hours worked	6 significant-likely	2 minor-unlikely	24-May-2019	Angela Struthers
Payroll	Manipulation of standing data	6 serious-unlikely	2 significant-very unlikely	24-May-2019	Angela Struthers
Assets	Theft of current assets	6 significant-likely	4 significant-unlikely	24-May-2019	Angela Struthers
Procurement & Contract Management					Angela Struthers
Selection process	Senior staff influencing junior staff involved in a selection process	6 serious-unlikely	4 significant-unlikely	24-May-2019	Angela Struthers
Lack of awareness of the procurement process	Lack of awareness of risks and issues in the procurement process	6 significant-likely	4 significant-unlikely	24-May-2019	Angela Struthers
Lack of anti fraud culture	No antifraud culture – no due diligence/risk registers	6 significant-likely	2 significant-very unlikely	24-May-2019	Angela Struthers

Risk Title	Risk Description	Gross Risk – Assessment	Current Risk – Assessment	Last Review Date	Ownership Assigned To
Contract awarded prior to specification being agreed	Contract awarded prior to specifications being fully agreed and developed; meaning the organisation becomes responsible for additional development and training expenses	 6 significant-likely	 4 significant-unlikely	24-May-2019	Angela Struthers
Manipulation of preferred bidders list	Manipulation of preferred bidders list	 4 significant-unlikely	 2 significant-very unlikely	24-May-2019	Angela Struthers
No formal contract in place	No formal contract in place	 8 significant – very likely	 6 significant-likely	24-May-2019	Angela Struthers
Prices reworked	Prices reworked to enable the successful bidder to move up the proposal list following initial bidding	 6 significant-likely	 4 significant-unlikely	24-May-2019	Angela Struthers
Value of contract disaggregated	Value of contract disaggregated to circumvent organisation/EU regulations	 12 serious – very likely	 6 significant-likely	24-May-2019	Angela Struthers
Inappropriate high value purchase	Inappropriate high value purchase for an unauthorised purpose	 6 significant-likely	 4 significant-unlikely	24-May-2019	Angela Struthers
Inappropriate use of single tender acceptance	Inappropriate use of single tender acceptance	 6 significant-likely	 4 significant-unlikely	24-May-2019	Angela Struthers
Using agency staff or consultants		 4 significant-unlikely	 1 minor – very unlikely	24-May-2019	Angela Struthers

Risk Title	Risk Description	Gross Risk – Assessment	Current Risk – Assessment	Last Review Date	Ownership Assigned To
Initial commercial consultations	Procurement staff being sidelined during initial commercial consultations and subsequently being presented with a "done deal".	 12 major – likely	 6 serious–unlikely	24–May–2019	Angela Struthers
Contract signing	Contracts signed by member of staff not authorised to do so	 12 major – likely	 6 serious–unlikely	24–May–2019	Angela Struthers
Diversion of funds	Diversion of funds: the risk that a member of staff diverts funds through the set up of non-existent supplier/freelancer	 12 major – likely	 6 serious–unlikely	24–May–2019	Angela Struthers
Bogus vendor	An individual could authorise the set up of a bogus vendor and raise and authorise a purchase order	 16 major – very likely	 8 major – unlikely	24–May–2019	Angela Struthers
Sale of confidential information	A member of staff could disclose information on bids to other contract bidders	 12 major – likely	 6 serious–unlikely	24–May–2019	Angela Struthers
Creditor payments	Fraudulent requests for creditor payments	 9 serious–likely	 4 significant–unlikely	24–May–2019	Angela Struthers
Fraudulent use for one off payment	Staff use the cheque payment process to send to a bogus vendor	 6 serious–unlikely	 2 significant–very unlikely	24–May–2019	Angela Struthers
Declaration of interests	Lack of declarations of interests	 9 serious–likely	 4 significant–unlikely	24–May–2019	Angela Struthers

Risk Title	Risk Description	Gross Risk – Assessment		Current Risk – Assessment		Last Review Date	Ownership Assigned To
Housing tenancy/homelessness							Angela Struthers
Housing allocations	Housing allocated for financial reward fraudulent allocation of property		9 serious-likely		4 significant-unlikely	24-May-2019	Angela Struthers
Illegal sub letting	Illegal sub letting of council property		4 significant-unlikely		2 minor-unlikely	24-May-2019	Angela Struthers
Homelessness	False claim of homelessness		6 significant-likely		2 minor-unlikely	24-May-2019	Angela Struthers
Right to Buy	Fraudulent claim of right to buy discount		6 significant-likely		4 significant-unlikely	24-May-2019	Angela Struthers
Council Tax							Angela Struthers
Single Persons Discount	Single persons discount fraudulently claimed		6 significant-likely		6 significant-likely	24-May-2019	Angela Struthers
Discounts/exemptions	Discounts and exemptions falsely claimed		3 minor-likely		2 minor-unlikely	24-May-2019	Angela Struthers
Refund fraud			3 minor-likely		2 minor-unlikely	24-May-2019	Angela Struthers
Suppressed recovery action	Suppressed recovery action		3 minor-likely		2 minor-unlikely	24-May-2019	Angela Struthers
NNDR							Angela Struthers
Void exemption	Void exemption falsely claimed		6 significant-likely		4 significant-unlikely	24-May-2019	Angela Struthers
Occupation dates	Occupation dates incorrectly notified		6 significant-likely		4 significant-unlikely	24-May-2019	Angela Struthers

Risk Title	Risk Description	Gross Risk – Assessment	Current Risk – Assessment	Last Review Date	Ownership Assigned To
Changes to property	Changes to property increase the rateable value	 6 significant-likely	 4 significant-unlikely	24-May-2019	Angela Struthers
Insurance					Angela Struthers
Insurance claims	Claiming for non existent injuries Claiming at another establishment for the same injury overclaiming	 9 serious-likely		24-May-2019	Angela Struthers
Other					Angela Struthers
Elections	Fraudulent voting Fraudulent acts by canvassers	 12 major – likely		24-May-2019	Angela Struthers
External funding	Fraudulently claiming/using external funding	 1 minor – very unlikely		24-May-2019	Angela Struthers
Not using Benefits/Council Tax Reduction Scheme					Angela Struthers
Benefits fraud – claimant	Claimant fraudulently claims benefits	 12 serious – very likely		24-May-2019	Angela Struthers
Benefits fraud – third party eg landlord	fraudulent claim by third party	 4 significant-unlikely		24-May-2019	Angela Struthers
Cyber	Risk of loss, disruption or damage to the reputation of the Authority from some sort of failure of Information Technology systems				Angela Struthers

Risk Title	Risk Description	Gross Risk – Assessment	Current Risk – Assessment	Last Review Date	Ownership Assigned To
Cyber risk		 6 serious–unlikely	 6 serious–unlikely	24–May–2019	Angela Struthers
Sheltered schemes	Theft of customer monies	 4 significant–unlikely	 2 significant–very unlikely	24–May–2019	Angela Struthers

Counter Fraud Action Plan 2018/19

Report Type: Actions Report


Report Author: Angela Struthers

Generated on: 28 May 2019

Fraud Response Area	Creating an Anti –Fraud Culture		
Description	To build an anti-fraud culture through the adoption of various measures to promote counter fraud awareness	Status Progress Bar	<input type="text" value="33%"/>
Risks	Failure to make staff, member and the public that their suspicions will be treated confidentially, objectively and professionally	Allocated Resources	10 days
	Failure to make available enough resources for counter fraud work		
Actions	Action Notes	Due Date	Completed Date
Check ID verification procedures in place and review for adequacy	to be completed following restructure of customer services	30-Sep-2018	
Check what data sharing agreements are in place eg RSL's		30-Jun-2018	
Complete an annual assessment of whether the level of resource invested to counter fraud and corruption is proportionate for the level of risk		30-Sep-2018	31-Mar-2019
Provide drop in sessions to staff and members as required	On-going – as required	31-Oct-2018	
Roll out the e-learning packages for counter fraud	Postponed to 2019/20 due to lack of resources	31-Mar-2019	
Use of AppCheck – record all usage and any saving identified	Proactive use at application stage	31-Mar-2019	23-May-2019

Fraud Response Area	Deterring Fraud		
Description	Deterring fraud through proactive communications	Status Progress Bar	<input type="text" value="71%"/>


Risks	A lack of robust strategic approach to deterring fraud can undermine actions to build an anti-fraud culture	Allocated Resources	10 days
	A lack of understanding as to the stance the authority takes against fraud		
Actions	Action Notes	Due Date	Completed Date
Attend housing meeting to promote fraud service – quarter 3		31-Dec-2018	31-Mar-2019
Attend housing meeting to promote fraud service – quarter 4		31-Mar-2019	31-Mar-2019
Attend housing meetings to promote fraud service – quarter 2		30-Sep-2018	31-Mar-2019
Attend housing meetings to promote use of fraud service – quarter 1		30-Jun-2018	31-Mar-2019
Contact Leanne regarding attendee at Landlord forum – potential to sell fraud service to RSL's/joint working	Moved to 2019/20	30-Jun-2018	
Deter fraud by publishing the Counter Fraud & Corruption Strategy and Policy on the website		31-Mar-2019	31-Mar-2019
Review communications so that the most effective ways of communicating with staff are utilised by the evaluation and adaptation of National Fraud Authority fraud campaign pack being completed for roll out with the E learning solution	Ready to be completed in line with roll out of E-Learning solution	31-Mar-2019	


Fraud Response Area	Preventing Fraud		
Description	Preventing fraud by ensuring that relevant policies are in place and fraud risks are identified	Status Progress Bar	
Risks	Out of date policies and procedures which do not cover relevant legislation.	Allocated Resources	30 days
	Potential risks not identified.		
	Potential data not identified.		
Actions	Action Notes	Due Date	Completed Date
Assist in the fraud proofing of other policies/forms		31-Mar-2019	31-Mar-2019
Implement effective Whistleblowing arrangements – annual review of Whistleblowing Policy		31-Mar-2019	31-Mar-2019

Review and update the Counter Fraud Policy Statement, Strategy & Guidance Notes and update and amend as appropriate		31-Mar-2019	31-Mar-2019
Review and update the fraud risk register in line with the potential systems weaknesses identified during audit or investigations and emerging fraud risks		31-Mar-2019	31-Mar-2019
Review Codes of Practice in place for Data Sharing with local partners	In place with DWP	31-Mar-2019	31-Mar-2019
Review financial guidance and update and amend as appropriate		31-Mar-2019	31-Mar-2019

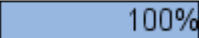
Fraud Response Area	Detecting Fraud		
Description	Detecting fraud through proactive investigations	Status Progress Bar	<input type="text" value="50%"/>
Risks	If not undertaken, there is a risk that the opportunity to abuse a system weakness may be heightened as the risk of being caught maybe deemed negligible by the perpetrator.	Allocated Resources	70 days
	If not undertaken, there is a risk that fraud could go undetected		
Actions	Action Notes	Due Date	Completed Date
Annual review and evaluation of the potential use of computer aided and other innovative techniques for the detection of fraud eg data matching	Demonstration seen of the software but no further advancement due to lack of resources	31-Mar-2019	
Annual review of existing arrangements to ensure that the Council is maximising their use eg NAFN – VFM other checks being done in other areas – council tax, housing etc	Moved to 2019/20	30-Jun-2018	
Continue to develop links with external agencies to enhance opportunities for information sharing		31-Mar-2019	31-Mar-2019
Proactive testing in line with the fraud risk register and audit plan		31-Mar-2019	31-Mar-2019
Treasury management DFG's			


Payroll Creditors Housing allocations RTB's Council Tax NNDR			
Undertake enquiries/investigations as a result of the outcome of the National Fraud Initiative		31-Mar-2019	31-Mar-2019
Undertake local proactive exercises through data & intelligence analysis at the Authority as agreed with the Executive Director Corporate Services	Moved to 2019/20 – need data analytics tool to complete this	31-Mar-2019	

Fraud Response Area	Investigations		
Description	Investigate fraud in accordance with laid down policies and procedures	Status Progress Bar	
Risks	The risk of not investigating is that fraud goes unpunished and there is no resulting deterrent effect thus increasing the prevalence of fraud further The staff (or others) making the allegation feel they are not taken seriously and referrals cease to be made.	Allocated Resources	73 days
Actions	Action Notes	Due Date	Completed Date
Fraud referrals investigated – quarter 1		30-Jun-2018	30-Jun-2018
Fraud referrals investigated – quarter 2		30-Sep-2018	30-Sep-2018
Fraud referrals investigated – quarter 3		31-Dec-2018	31-Dec-2018
Fraud referrals investigated – quarter 4		31-Mar-2019	31-Mar-2019

Fraud Response Area	Sanctions		
Description	Apply sanctions correctly and consistently	Status Progress Bar	
Risks	If sanctions are not imposed there is no deterrence of fraud.	Allocated Resources	As required
Actions	Action Notes	Due Date	Completed Date

Ensure that sanctions are applied correctly and consistently (including internal disciplinary, regulatory & criminal)	N/A	31-Mar-2019	
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Fraud Response Area	Redress		
Description	To ensure that redress is calculated correctly	Status Progress Bar	
Risks	Fraudsters may not realise that any and all measures will be taken to recover any money lost to fraud.	Allocated Resources	4 days
Actions	Action Notes	Due Date	Completed Date
Maintain comprehensive records of time spent on each investigation so that this can be included in any compensation claim. Identify and maintain a record of the actual proven amount of loss so that appropriate recovery procedures can be actioned.		31-Mar-2019	23-May-2019

Fraud Response Area	Strategic Work		
Description	To maintain mandatory counter fraud arrangements	Status Progress Bar	
Risks	Failure to ensure the completion of mandatory strategic work may mean that the professional knowledge and skills are not maintained to a high standard	Allocated Resources	10 days
Actions	Action Notes	Due Date	Completed Date
Attendance at relevant fraud forums/meetings to ensure that professional knowledge and skills are maintained		31-Mar-2019	31-Mar-2019
Attendance at relevant training as required		31-Mar-2019	31-Mar-2019
Completion and agreement of work plan		31-Mar-2019	31-Mar-2019
Quarterly reporting of counter fraud work		31-Mar-2019	31-Mar-2019
Regular meetings with the Chief Executive		31-Mar-2019	31-Mar-2019

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Audit & Governance Committee Self-Assessment

Good practice for audit committees (CIPFA guidance)

Good Practice Questions		Yes/No/Partly
Audit Committee purpose & governance		
1.	Does the authority have a dedicated audit committee?	Yes
2.	Does the audit committee report directly to full council?	Yes
3.	Do the terms of reference clearly set out the purpose of the committee in accordance with CIPFA's Position Statement?	Yes
4.	Is the role and purpose of the audit committee understood and accepted across the authority?	Partly – a Governance e-learning training package has been developed and will be rolled to staff and members
5.	Does the audit committee provide support to the authority in meeting the requirements of good governance?	Yes
6.	Are the arrangements to hold the committee to account for its performance operating satisfactory?	Yes
Functions of the committee		
7.	Do the committee's terms of reference explicitly address all the core areas identified in CIPFA's Position Statement? <ul style="list-style-type: none"> - Good governance - assurance framework, including partnerships and collaboration arrangements - internal audit - external audit - financial reporting - risk management - value for money or best value - counter fraud & corruption - supporting the ethical framework 	Yes
8.	Is an annual evaluation undertaken to assess whether the committee is fulfilling its terms of reference and that adequate consideration has been given to all core areas?	Yes
9.	Has the audit committee considered the wider areas identified in CIPFA's Position Statement and whether it would be appropriate for the committee to undertake them? <ul style="list-style-type: none"> - Considering governance, risk & control matters at the request of other committees or statutory officers. 	Yes

	<ul style="list-style-type: none"> - Working with local standards & ethics committees to support ethical values. - Reviewing and monitoring treasury management arrangements in accordance with the Treasury Management in the Public Services: Code of Practice & Cross-Sectoral Guidance Notes (CIPFA 2017) - Providing oversight of other public reports, such as the annual report. 	
10	Where coverage of core areas has been found to be limited, are plans in to address this?	Yes
11	Has the committee maintained its advisory role by not taking on any decision-making powers that are not in line with its core purpose?	Yes
Membership and support		
12	<p>Has an effective audit committee structure and composition of the committee been selected? This should include:</p> <ul style="list-style-type: none"> - Separation from the executive - An appropriate mix of knowledge and skills among the membership - A size of committee that is not unwieldy - Consideration has been given to the inclusion of at least one independent member 	<p>Partly – training from the external auditors at the first meeting. Independent member – review to be completed to see if required</p>
13	Have independent members appointed to the committee been recruited in an open and transparent way and approved by the full council?	N/A
14	Does the chair of the committee have appropriate knowledge and skills?	Yes
15	Are arrangements in place to support the committee with briefings and training?	Yes
16	Has the membership of the committee been assessed against the core knowledge and skills framework and found to be satisfactory?	Skills and knowledge framework to be circulated to new committee with feedback due to the Committee meeting in June
17	Does the committee have good working relations with key people and organisations, including external audit, internal audit and the Chief Finance Officer?	Yes – private meetings with the internal and external auditors to be scheduled before/after committee meetings
18	Is adequate secretariat and administrative support to the	Yes

committee provided?

Effectiveness of the committee

19	Has the committee obtained feedback on its performance from those interacting with the committee or relying on its work?	Yes
20	Are meetings effective with a good level of discussion and engagement from all the members?	Yes
21	Does the committee engage with a wider range of leaders and managers, including discussion of audit findings, risk and action plans with the responsible officers?	Yes – agreed that going forward, will call in relevant officers/managers if it is felt necessary
22	Does the committee make recommendations for the improvement of governance, risk and control and are these acted on?	Yes
23	Has the committee evaluated whether and how it is adding value to the organisation?	Yes
24	Does the committee have an action plan to improve any areas of weakness?	Yes
25	Does the committee publish an annual report for its performance and explain its work?	Yes – but there is no guidance available. Going forward, the report needs to contain more information and need to use the terms of reference of the committee to produce the report fully

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AUDIT & GOVERNANCE COMMITTEE
6 JUNE 2019
REPORT OF THE ASSISTANT DIRECTOR – PARTNERSHIPS
REGULATION OF INVESTIGATORY POWERS ACT 2000

Purpose

The Council's Code of Practice for carrying out surveillance under the Regulation of Investigatory Powers Act 2000 (RIPA) specifies that quarterly reports will be taken to Audit & Governance Committee to demonstrate to elected members that the Council is complying with its own Code of Practice when using RIPA.

Report for information

Recommendation

That Audit and Governance Committee endorse the RIPA monitoring report for the quarter to 31 March 2019 circulated for information.

Executive Summary

The Council has a number of statutory functions that involve officers investigating the conduct of others with a view to bringing legal action against them. The Council has also been given powers under the Regulation of Investigatory Powers Act 2000 (RIPA) which enable it to carry out Directed Surveillance in certain strict circumstances. RIPA provides a legal framework for the control and regulation of surveillance and information gathering techniques which public bodies such as Tamworth Borough Council have to comply with. These powers have been amended and changed in accordance with various pieces of legislation. The last change resulted in a revised RIPA Policy being approved by the Council on 12 December 2017.

The Protection of Freedoms Act 2012 now requires that local authority authorisations under RIPA for Directed Surveillance or CHIS can only become effective on the granting of an order approving the authorisation by a Justice of the Peace. Further a local authority can now only have an authorisation under RIPA for the use of Directed Surveillance where the local authority is investigating criminal offences which attract a maximum custodial sentence of six months or more or criminal offences relating to the underage sale of alcohol or tobacco under the Licensing Act 2003 of the Children and Families Act 2014.

No Directed Surveillance has been carried out by the Council since 2011 and it is not envisaged that there will be any appreciable change in the foreseeable future. By adhering to Policy the Council ensure that the acquisition and disclosure of data is lawful, necessary and proportionate so that the Council will not be held to be in breach of Article 8 (the right to respect for private family life, home and correspondence) of the European Convention on Human Rights.

In July 2017 the Office of the Surveillance Commissioner (OSC) conducted an inspection into the RIPA policy, procedures, documentation and training utilised at the Council. Arising from the inspection it has been recommended that guidance regarding use of internet and SNS for research of persons and how this might meet the requirement as directed surveillance or CHIS should be drawn up, inserted into our policy and procedures and actively disseminated to staff.

Training took place in October 2017 for officers who previously had no RIPA training and for members with refresher training being delivered for those officers previously trained. Further training will be arranged through Netconsent. The feedback from the training has been positive and going forward training for RIPA has been added to the Corporate Training Programme.

Further update training was provided to members of the Corporate Management Team in January 2019.

The practice that quarterly reports on the use of RIPA powers be submitted to Audit & Governance Committee will continue for verbal update unless applications have been made.

Options Considered

Obligations arising under RIPA for the authority are statutory therefore there the only option is compliance.

Resource Implications

Support for the RIPA obligations and functions are met from existing budget and existing staff resources.

Legal/Statutory and Risk Implications

The recording of applications, authorisations, renewals and cancellations of investigations using covert surveillance techniques or involving the acquisition of communications data is covered by the Regulation of Investigatory Powers Act 2000.

The Regulation of Investigatory Powers Act was introduced to regulate existing surveillance and investigation in order to meet the requirements of Article 8 of the Human Rights Act. Article 8 states: Everyone has the right to his private and family life, home and correspondence. There shall be no interference by a public authority with the exercise of this right except such as in accordance with the law and is necessary in a democratic society in the interests of national security, public safety or the economic well-being of the Country, for the prevention of disorder or crime, for the protection of health or morals, or for the protection of the rights and freedoms of others.

RIPA investigations can only be authorised by a local authority where it is investigating criminal offences which

(1) attract a maximum custodial sentence of six months or more or

(2) relate to the sale of alcohol or tobacco products to children.

There are no risk management or Health and Safety implications.

Sustainability Implications

The legislation requires the Authority to record and monitor all RIPA applications, keep the records up to date and report quarterly to a relevant Committee.

Background Information

The RIPA Code of Practice produced by the Home Office in April 2010 and updated in January 2016 introduced the requirement to produce quarterly reports to elected members to demonstrate that the Council is using its RIPA powers appropriately and complying with its own Code of Practice when carrying out covert surveillance. This requirement relates to the use of directed surveillance and covert human intelligence sources (CHIS).

The table below shows the Council's use of directed surveillance in the current financial year to provide an indication of the level of use of covert surveillance at the Council. There have been no applications under RIPA in the period from 1 October 2018 to 31 December 2018.

The table outlines the number of times RIPA has been used for directed surveillance, the month of use, the service authorising the surveillance and a general description of the reasons for the surveillance. Where an investigation is ongoing at the end of a quarterly period it will not be reported until the authorisation has been cancelled. At the end of the current quarterly period there were no outstanding authorisations.

There have been no authorisations for the use of CHIS.

Financial year 2018/19

No applications to 31 March 2019

Background papers

None

If Members would like further information or clarification prior to the meeting please contact Jo Sands, Assistant Director - Partnerships on Ext.585

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PLANNED REPORTS TO AUDIT AND GOVERNANCE COMMITTEE –2019-2020

	Report	Committee Date	Report Of	Comments
1	Role of the Audit Committee	June	Grant Thornton	Presentation/training
2	Audit Committee update	June	Grant Thornton	Regular item
3	Fee Letter	June	Grant Thornton	
4	RIPA Quarterly Report	June	Assistant Director - Partnerships	
5	Internal Audit Customer Satisfaction Survey	June	Head of Audit & Governance	
6	Internal Audit Annual and Quarterly Update	June	Head of Audit & Governance	
7	Public Sector Internal Audit Standards/Quality Assurance and Improvement Programme	June	Head of Audit & Governance	
8	Annual Governance Statement and Code of Corporate Governance	June	Head of Audit & Governance	
9	Counter Fraud Update	June	Head of Audit & Governance	
10	Audit & Governance Committee – Self Assessment – for information only	June	Head of Audit & Governance	

1	Audit Committee update	July	Grant Thornton	Regular item
2	Audit Findings Report	July	Grant Thornton	
3	Management Representation Letter	July	Grant Thornton	
4	Annual Statement of Accounts	July	Executive Director Finance	
5	RIPA Quarterly Report	July	Assistant Director - Partnerships	
6	Risk Management Quarterly Update	July	Assistant Director – Finance	
7	Counter and Corruption Fraud Update	July	Head of Audit & Governance	
8	Internal Audit Quarterly Update	July	Head of Audit & Governance	
9	Internal Audit Charter	July	Head of Audit & Governance	
10	Modern Slavery and Human Trafficking Statement	July	Assistant Director - Partnerships	
11	Review of the Constitution and Scheme of Delegation for Officers	July	Head of Audit & Governance	

1	Audit Committee update	October	Grant Thornton	Regular item
2	Annual Audit Letter	October?	Grant Thornton	
3	RIPA Quarterly Update	October	Assistant Director - Partnerships	
4	Internal Audit Quarterly Update	October	Head of Audit & Governance	
5	Risk Management Quarterly Update	October	Assistant Director – Finance	
6	Annual Treasury Outturn	October	Executive Director Finance	
7	Local Government Ombudsman’s Annual Review and Report 2018/19	October	Assistant Director - People	
8	Counter Fraud Update	October	Head of Audit & Governance	
9	Review of Financial Guidance	October	Head of Audit & Governance	
10	Anti-Money Laundering Policy	October	Head of Audit & Governance	
1	Audit Committee update	February	Grant Thornton	Regular item
2	Audit Report on Certification Work	February	Grant Thornton	

3	Audit Plan	February	Grant Thornton	
4	RIPA Quarterly Report	February	Assistant Director – Partnerships	
5	Internal Audit Quarterly Update	February	Head of Audit & Governance	
6	Risk Management Quarterly Update	February	Assistant Director – Finance	
1	Audit Committee update	March	Grant Thornton	Regular item
2	Auditing Standards	March	Grant Thornton	
3	Informing the Audit Risk Assessment	March	Grant Thornton	
4	Review of the Treasury Management Strategy Statement, Minimum Revenue Provision Policy Statement and Annual Investment Statement and the Treasury Management Strategy Statement and Annual Investment Strategy Mid-Year Review Report	March	Executive Director Finance	
5	Final Accounts – Action Plan	March	Assistant Director of Finance	
6	Risk Based Verification – exempt item	March	Assistant Director of Finance	
8	Internal Audit Charter and Audit Plan	March	Head of Audit & Governance	

9	Audit and Governance Committee Self-Assessment	March	Head of Audit & Governance	
10	Review of Financial Guidance	March	Head of Audit & Governance	
11	Anti-Money Laundering Policy	March	Head of Audit & Governance	

The Portfolio Holder for Assets and Finance

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