



Friday, 7 May 2021

Dear Sir/Madam

A meeting of the Governance, Audit and Standards Committee will be held on Monday, 17 May 2021 in the Council Chamber, Council Offices, Foster Avenue, Beeston, Nottingham, NG9 1AB commencing at 7.00 pm.

Should you require advice on declaring an interest in any item on the agenda, please contact the Monitoring Officer at your earliest convenience.

Yours faithfully

Chief Executive

To Councillors: S A Bagshaw (Vice-Chair)
E Cubley
M Hannah
M Handley
H G Khaled MBE
J M Owen
J P T Parker

M Radulovic MBE
P D Simpson
I L Tyler
D K Watts
E Williamson (Chair)
J C Patrick

A G E N D A

1. APOLOGIES

To receive any apologies and notification of substitutes.

2. DECLARATIONS OF INTEREST

Members are requested to declare the existence and nature of any disclosable pecuniary interest and/or other interest in any item on the agenda.

3. MINUTES

(Pages 1 - 4)

The Committee is asked to confirm as a correct record the minutes of the meeting held on 15 March 2021.

4. INTERNAL AUDIT PROGRESS REPORT (Pages 5 - 26)

To inform the Committee of the recent work completed by Internal Audit.

5. COVID-19 BUSINESS SUPPORT GRANTS - AUDIT TRAIL (Pages 27 - 32)

To provide the Committee with a governance report relating to the framework of safeguards, key controls and fraud checks relating to business support grants.

6. CORPORATE GOVERNANCE ARRANGEMENTS (Pages 33 - 72)

To inform the Committee of action taken to develop and comply with statutory obligations regarding corporate governance and to seek approval of the Annual Governance Statement for inclusion in the Council's published Statement of Accounts for 2020/21.

7. COMMUNITY GOVERNANCE REVIEW (Pages 73 - 90)

To ask the Governance, Audit and Standards Committee to approve the proposals to be put forward for consultation as part of the Community Governance Review beginning in June 2021.

8. WORK PROGRAMME (Pages 91 - 92)

To consider items for inclusion in the Work Programme for future meetings.

GOVERNANCE, AUDIT AND STANDARDS COMMITTEE

MONDAY, 15 MARCH 2021

Present: Councillor E Williamson, Chair

Councillors: S A Bagshaw (Vice-Chair)
M Handley
H G Khaled MBE
J M Owen
J P T Parker
J C Patrick
M Radulovic MBE
P D Simpson
I L Tyler
D K Watts

Apologies for absence were received from Councillors E Cubley and M Hannah.

33 DECLARATIONS OF INTEREST

There were no declarations of interest.

34 MINUTES

The minutes of the meeting held on 30 November 2020 were confirmed a correct record.

35 AUDIT COMPLETION REPORT - FOLLOW UP LETTER

The Committee noted the Audit Completion Report.

36 ANNUAL AUDIT LETTER 2019/20

The Committee noted the Annual Audit Letter 2019/20, as provided by the Council's external auditor, Mazars.

37 BROXTOWE AUDIT STRATEGY MEMORANDUM

The Committee noted the Broxtowe Audit Strategy Memorandum.

38 AUDIT COMPLETION REPORT 2019/20- MANAGEMENT RESPONSES

The Committee noted the actions being undertaken in response to the recommendations made by the external auditors in their Audit Completion Report on the external audit of the Council's 2019/20 accounts.

39 STATEMENT OF ACCOUNTS 2020-21 - ACCOUNTING POLICIES

The Committee noted the update to the Statement of Accounts 2020/21 – Accounting Policies.

It was noted that these policies would be applied to the treatment of all transactions that make up the Statement of Accounts to ensure the accounts present a true and fair view of the financial position of the Council as at 31 March 2021.

RESOLVED that the Accounting Policies for 2020/2021 be approved.

40 STATEMENT OF ACCOUNTS 2020/2021 - UNDERLYING PENSION ASSUMPTIONS

The Committee noted the assumptions made by the pension fund actuary in calculating the IAS 19 (International Accounting Standard 19 - Employee Benefits) figures to be reported in the 2020/2021 Statement of Accounts.

41 INTERNAL AUDIT PROGRESS REPORT

The Committee noted Internal Audit Progress report. It was reported that Internal Audit had reviewed progress made by management in implementing agreed actions within six months of the completion of the respective audits.

42 INTERNAL AUDIT PLAN 2021/21

The Committee review the Internal Audit Plan 2021/22.

The Internal Audit Plan governs the activity for the year. An audit report is produced at the completion of each assignment with recommendations for improvement. Regular progress reports covering all internal audit activities are submitted to this Committee for scrutiny.

RESOLVED that the Internal Audit Plan for 2021/22 be approved.

43 REVIEW OF STRATEGIC RISK REGISTER

The Committee considered amendments to the Strategic Risk Register and the action plans identified to mitigate risks.

RESOLVED that the amendments to the Strategic Risk Register and the actions to mitigate risks as set out in appendix 2 be approved.

44 WORK PROGRAMME

The Committee consider the Work Programme.

RESOLVED that the Work Programme be approved.

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Report of the Deputy Chief Executive

INTERNAL AUDIT PROGRESS REPORT

1. Purpose of report

To inform the Committee of the recent work completed by Internal Audit.

2. Detail

Under the Council's Constitution and as part of the overall corporate governance arrangements, this Committee is responsible for monitoring the performance of Internal Audit.

A summary of the reports issued and progress against the agreed Internal Audit Plan for 2020/21 is included at appendix 1. A summary narrative of the work completed by Internal Audit since the previous Committee is also included.

Internal Audit has reviewed progress made by management in implementing agreed actions within six months of the completion of the respective audits. Details of this follow-up work are included at appendix 2. Where agreed actions to address significant internal control weaknesses have not been implemented this may have implications for the Council. A key role of the Committee is to review the outcome of audit work and oversee the prompt implementation of agreed actions to help ensure that risks are adequately managed.

Further progress reports will be submitted to each future meeting of this Committee. A final report will be prepared for Members' consideration at the next meeting detailing the overall performance and productivity of Internal Audit for 2020/21.

Recommendation

The Committee is asked to NOTE the report.

Background papers

Nil

APPENDIX 1

INTERNAL AUDIT REPORTS ISSUED SINCE APRIL 2020

No	Audit Title	Report Issued	Assurance Opinion	Actions - Significant	Actions - Merits Attention
01	Erewash BC – Safeguarding	01/04/20	n/a	-	-
29	Council Tax	17/04/20	Substantial	0	2
30	Independent Living	05/05/20	Reasonable	0	5
02	Erewash BC – Data Protection	21/05/20	n/a	-	-
31	Key Reconciliations	22/05/20	Reasonable	0	1
32	Cash Receipting (Payment Kiosk)	05/06/20	LIMITED	2	5
03	Discretionary Business Grants (<i>seven reports</i>)	Various	n/a	-	-
04	Payroll	24/06/20	Substantial	0	1
33	Information Governance	24/06/20	Substantial	0	1
34	Whistleblowing Policy and Complaints	26/06/20	Reasonable	0	2
35	Enforcement	30/06/20	Reasonable	0	5
36	Financial Resilience	03/07/20	Reasonable	0	4
37	Local Authority Trading Company	06/07/20	Reasonable	1	2
05	Governance – Emergency Grant Schemes	19/08/20	Substantial	0	1
06	Council Tax Hardship Scheme	02/09/20	Substantial	0	0
38	Kimberley Depot (including Security)	04/09/20	Reasonable	0	4
39	Housing Repairs	07/09/20	LIMITED	1	4
07	Public Health Funerals	16/10/20	Reasonable	0	4
08	Leasehold Properties	03/11/20	Reasonable	1	2
09	Garages	09/11/20	Substantial	0	2
10	Car Parks	12/11/20	Substantial	0	0
11	Section 106 Agreements	16/11/20	Reasonable	0	3
12	Financial Appraisal (Durban House)	04/11/20	n/a	-	-
13	HiMO Licences	09/12/20	Substantial	0	1
14	Rents (including Evictions)	06/01/21	Substantial	0	1
15	Council Tax	04/02/21	Reasonable	0	2
16	Neighbourhood Warden	23/02/21	Reasonable	1	0
17	Fuel Management	08/03/21	Substantial	0	1
18	Benefits	11/03/21	Reasonable	0	3
19	Waste Management	15/03/21	Substantial	0	3
20	LLL – Online Payments System	15/03/21	Substantial	0	0
21	Gas Servicing and Maintenance	18/03/21	Reasonable	1	1
22	Financial Appraisal – Stapleford Hub	22/03/21	n/a	-	-
23	Employee Authentication Service	26/03/21	Substantial	0	2
24	LA Compliance/Enforcement Grant	31/03/21	n/a	-	-
25	Governance - Covid-19 Grants Schemes	20/04/21	Substantial	0	0
26	Erewash BC – Risk Management	20/04/21	n/a	-	-

REMAINING INTERNAL AUDIT PLAN 2020/21

No	Audit Title	Progress
	Housing Delivery Plan	Draft report issued – pending finalisation
	Creditors and Purchasing	Draft report issued – pending finalisation
	Sundry Debtors	Draft report issued – pending finalisation
	Declarations of Interest	Draft report issued – pending finalisation
	Utilities (Energy and Water)	Draft report issued – pending finalisation
	Crematorium and Cemeteries (Financial)	Ongoing (Nearing completion)
	Housing Voids Management	Ongoing (Nearing completion)
	Computer/ICT (including Cyber Risk)	In progress
	Kimberley Leisure Centre (LLL)	In progress
	Bank Reconciliation	Commenced
	Planning Enforcement	Commenced
	Corporate Governance	Commenced
	Operational Risk Management	Now included in 2021/22 Internal Audit Plan
	Health and Safety	Now included in 2021/22 Internal Audit Plan
The audits of Business Rates; Cash Receipting; Climate Change; Housing Management System; Human Resources; Planning and Building Control; Procurement and Contract Management; and Treasury Management were deferred following revision to the Internal Audit Plan approved on 30 November 2020.		

COMPLETED AUDITS

A report is prepared for each audit assignment and issued to the relevant senior management at the conclusion of a review that will:

- include an overall opinion on the adequacy of controls within the system to provide assurance that risks material to the achievement of objectives are adequately managed – the opinion being ranked as either ‘Substantial’, ‘Reasonable’, ‘Limited’ or ‘Little’ assurance;
- identify inadequately addressed risks and non-effective control processes;
- detail the actions agreed with management and the timescales for completing those actions, and;
- identify issues of good practice.

Recommendations made by Internal Audit are risk assessed, with the agreed actions being categorised accordingly as follows:

- Fundamental – urgent action considered imperative to ensure that the Council is not exposed to high risks (breaches of legislation, policies or procedures)
- Significant – action considered necessary to avoid exposure to significant risk.
- Merits Attention (Necessary Control) – action considered necessary and should result in enhanced control or better value for money.
- Merits Attention – action considered desirable to achieve enhanced control or better value for money.

The following audit reports have been issued with key findings as follows:

These audits have taken place during the coronavirus pandemic lockdown, which has seen the audit process adapted accordingly to enable it to be completed remotely. It is pleasing to report that Internal Audit considers that it has not been restricted in terms of its access to systems, records and people. As a result, the audit conclusions and the strength of the opinion provided has not been overly impacted or qualified. The support of officers has been most welcome in successfully concluding the audit testing.

1. **Online Payments System (L Leisure Ltd)** Assurance Opinion – **Substantial**

Internal Audit has reviewed the systems and procedures operating in respect of the new Online Payment System operated by Liberty Leisure Limited.

The terms of reference, as agreed with the Managing Director, sought to confirm that adequate management control exist to provide assurance that the new system was operating effectively. The cost of this work will be recharged to Liberty Leisure.

Internal Audit reported that no significant areas of concern. As the audit was completed during a period of enforced closure for the company, it was not possible to perform complete testing on the 'live' payment system. Internal Audit has offered to perform a brief follow-up review within the coming months to further confirm the findings of this audit.

Overall, at this stage, the review did not indicate any significant weaknesses or areas for improvement and, accordingly, a clearance report was duly issued.

2. **Gas Servicing and Maintenance** Assurance Opinion – **Reasonable**

The specific audit objectives sought to confirm whether adequate controls exist to provide assurance that

- All properties that require an annual gas servicing and maintenance visit are identified and visited;
- Adequate records of annual visits are retained;
- The process followed prior to the 'capping' of the gas supply to a property is reasonable and robust;
- There is adequate quality control on work carried out by Operatives; and
- Performance monitoring processes are robust and contribute to a culture of continuous improvement.

The Council has an established and appropriate framework for the administration of its gas servicing and maintenance operations. It was also pleasing to note that a further level of assurance over the quality of work performed by the Gas Maintenance Operatives may be taken from the consistently positive reports received from an external specialist inspectorate.

The review did indicate areas for improvement and recommendations were proposed in order to ensure that processes and controls in place are effective. Internal Audit included one 'significant' action relating to the need to ensure compliance with procurement legislation and Financial Regulations in respect of the procurement and commissioning of temporary Gas Maintenance Operatives, as follows:

Gas Servicing Contractor – Procurement

It was noted during the course of the audit, that the Council engages an external contractor to cover resource shortages within the team and ensure full compliance with Gas Safety requirements. It is acknowledged that this arrangement has enabled the Council to maintain its obligations with regards to gas safety.

A review of the creditors system had revealed that the total spend with the contractor over the past three years alone is in excess of £120k (ex VAT) and is averaging around £40k per annum. This more than exceeds the Council's threshold for undertaking a competitive tendering exercise.

Agreed Action (Significant)

The contract for externally provided Gas Maintenance works will be subjected to a formal tender exercise, in conjunction with the Council's Procurement function. This may form part of an anticipated wider procurement exercise that is due to be undertaken by Capital Works for installation and maintenance of all heating appliances.

Managers Responsible

Head of Asset Management and Development
Housing Repairs and Compliance Manager

Target Date: 30 June 2021

The review also proposed a further 'Merits Attention - Necessary Control' action relating to need to ensure that all work carried out by the external contractor is subjected to formal purchase orders being raised and then matched to supplier invoices in accordance with established supply procedures and Financial Regulations.

The actions were agreed by the Head of Asset Management and Development and the Housing Repairs and Compliance Manager. Internal Audit will complete appropriate follow-up work at six months from the date of the audit report and will report back to Committee accordingly.

3. **Financial Appraisal (Stapleford Business Hub)**

Internal Audit produced a financial appraisal of a company which had expressed an interest to lease a space within the Business Hub at the Former Police Station in Stapleford. This review was requested by the Estates Manager, with management wanting consideration of the financial viability of the business in order to assess the level of risk to the Council.

The specific findings and suitable recommendations were reported to the Head of Asset Management and Development; the Estates Manager; the Head of Planning and Economic Development; the Major Projects Officer; and the Business Growth Manager.

4. **DWP – Employee Authentication Service** Assurance Opinion – **Substantial**

Internal Audit has completed a special investigation to review the systems, procedures and key controls operating in respect of Access to Department for Work and Pensions (DWP) Data. This review was requested by the Deputy Chief Executive and the Head of Revenues, Benefits and Customer Services.

The review was also informed by the findings of the annual external audit of the Employee Authentication Service (EAS), details of which were provided by the DWP. These findings included a generic set of issues identified by the external auditors at a national level, that needed to be considered in a local context. Internal Audit has therefore provided an assurance opinion for Broxtowe.

It is pleasing to report that the Council has an appropriate framework in place for the day-to-day administration of operations in respect of the EAS.

Internal Audit made two recommendations to ensure that processes and controls in place remain effective, in respect of individual user records on EAS being periodically reviewed and updated with DWP as necessary; and that a mapping exercise should be completed to ensure that all tokens held by the Council are accurately logged and matched to EAS records.

The findings were reported and actions duly agreed by the Head of Revenues, Benefits and Customer Services.

5. **Local Authority Compliance and Enforcement Grant**

Broxtowe Borough Council received the sum of £47,090 as a Local Authority Compliance and Enforcement Grant. As part of the grant conditions, a signed declaration of spend was required from the Chief Executive (or equivalent) and the Chief Internal Auditor (or equivalent) by 31 March 2021.

Internal Audit carried out the necessary audit testing in order for the Chief Audit and Control Officer to duly certify the Grant Determination.

6. **Covid-19 Business Grants Arrangements - Special Investigation**

Internal Audit has completed its latest in a series of reviews of the Covid-19 business grants process with a view to providing assurance to management and Members. The outcome of the audit has included the production of a governance report (elsewhere on this agenda) to show Members the audit trail for the payment of business support grants including the relevant safeguards, key controls and fraud checks in place.

This audit mainly considered the second phase of grant making in autumn/winter 2020/21 relating to the various Local Restrictions Support Grants and National Lockdown schemes and the Additional Restrictions Grant (ARG) as provided by Central Government for local distribution.

Testing was carried out on a sample of grant payments made during the period to ensure that an adequate audit trail existed to support the payment was present (such as a completed application, sufficient evidence and correct application of eligibility criteria). Where matters of discretion and/or decision-making was required, evidence of appropriate authorisation and approval was obtained.

No significant issues were noted as a result of this review. Internal Audit was satisfied that for each payment selected an adequate audit trail was present.

7. Erewash Borough Council – Risk Management

As part of its Internal Audit Collaboration arrangements with Erewash Borough Council, Internal Audit has completed a review of the systems and procedures operating in respect of Risk Management at Erewash which was carried out as part of the Erewash Internal Audit Plan for 2020/21.

Further reviews in respect of Computer/ICT (including Cyber Risk); Creditors and Purchasing; Crematorium/Cemeteries (Financial Management); Declarations of Interest; Housing Delivery Plan; Housing Voids Management; Kimberley Leisure Centre (LLL); Sundry Debtors; and Utilities (Energy and Water) are ongoing and the reports have yet to be finalised. These will be included in the next progress report to Committee.

Current Audit Performance

The revision of the Internal Audit Plan, approved by this Committee on 30 November 2020, has allowed for suitable progress to be made in the year and the target of 90% of the revised plan is expected to be achieved from the resources available.

APPENDIX 2

INTERNAL AUDIT FOLLOW-UP

Internal Audit has undertaken a review of progress made by management in implementing agreed actions within six months of the completion of the audit.

The table below provides a summary of the progress made with agreed actions for internal audit reports issued between June 2018 and October 2020 (excluding clearance reports). Those audits where all actions have previously been reported as completed have also been excluded from this list.

Audit Title	Report Issued	Original Assurance Opinion	Number of Actions (Significant in brackets)	Progress
Cemeteries 2018/19	25/06/18	Substantial	1	1 Outstanding
Legionella Prevention and Testing 2018/19	11/09/18	Reasonable	5	2 Outstanding
Commercial Props/Industrial Units 2018/19	04/10/18	Substantial	1	1 Outstanding
Bramcote Crematorium 2019/20	21/10/19	Substantial	2 (1)	1 Outstanding
CCTV 2019/20	30/10/19	Substantial	1	1 Outstanding
Electrical Testing 2019/20	15/11/19	Substantial	1	Completed
Human Resources 2019/20	20/12/19	Substantial	1	Completed
Chilwell Olympia (Liberty Leisure Ltd)	28/01/20	Substantial	1	1 Outstanding
Procurement and Contract Management	02/03/20	LIMITED	6 (1)	3 Outstanding
Independent Living	05/05/20	Reasonable	5	2 Outstanding
Cash Receipting (Payment Kiosk)	05/06/20	LIMITED	7 (2)	7 Outstanding
Financial Resilience	03/07/20	Reasonable	4	2 Outstanding
Local Authority Trading Company	06/07/20	Reasonable	3 (1)	2 Outstanding
Governance - Emergency Grant Schemes	19/08/20	Substantial	1	Completed
Kimberley Depot and Security	04/09/20	Reasonable	4	4 Outstanding
Housing Repairs	07/09/20	LIMITED	5 (1)	5 Outstanding
Public Health Funerals	16/10/20	Reasonable	4	1 Outstanding

Note: The 'Original Assurance Opinion' listed above refers to the individual opinions provided by Internal Audit at the date of concluding the audit. The details regarding the findings of the 'Limited' assurance opinion reports were presented to this Committee on 18 May 2020 for Procurement and Contract Management); 20 July 2020 for Cash Receipting - Payment Kiosk; and 27 September 2020 for Housing Repairs.

Further details of progress being made with agreed actions that have not yet been fully implemented are included below along with comments from management reflecting any updates on progress. Evidence of implementation will not be routinely sought for all actions as part of this monitoring process. Instead, a risk-based approach will be applied to conducting further follow-up work.

Where the agreed actions to address significant internal control weaknesses have not been implemented this may have implications for the Council. A key role of the Committee is to review the outcome of audit work and oversee the prompt implementation of agreed actions to help ensure that risks are adequately managed.

OUTSTANDING ACTIONS

1. Cemeteries	June 2018, Substantial Assurance, Actions – 1
1.1 Digitisation of Cemetery Records <u>Agreed Action</u> (Merits Attention – Necessary Control) <p>A timetable for developing an efficient solution for maintaining an effective and accurate electronic cemetery records will be produced. The progress made against the plan will be monitored by management and Bereavement Services Joint Committee. The replacement of the current software solution is considered to be a key part in this medium-term project.</p> <p><u>Manager Responsible</u> Head of Property Services</p> <p style="text-align: right;">Revised target date – 30 September 2021</p>	
<u>Progress Report of the Head of Environmental Services</u> <p>Tenders received for the provision of Bereavement Services Management Software were evaluated, with due diligence carried out with the preferred supplier to ensure the proposed solution is suitable and within budget. Whilst implementation has been delayed by the pandemic crisis, the contract documentation has now been agreed with supplier and duly signed. The software is due to be mobilised shortly with appropriate testing and training to follow. It is anticipated that the software will be fully integrated and operational by September 2021.</p>	
2. Legionella	September 2018, Reasonable Assurance, Actions – 5
2.1 Health and Safety Audits <u>Agreed Action</u> (Merits Attention – Necessary Control) <p>Health and Safety will carry out annual audits of processes relating to Legionella prevention/detection and report its findings to the Safety Committee. This process will include seeking assurances from Responsible Persons that appropriate testing has been undertaken and completing a sample of substantive reviews linked to the areas of highest risk.</p> <p>The review will cover all relevant Council properties, including premises managed by Liberty Leisure Limited and community facilities that are presently being tested by Property Services.</p> <p><u>Managers Responsible</u> Head of Asset Management Health and Safety Manager</p> <p style="text-align: right;">Revised target date – 30 September 2021</p>	
<u>Progress Report of the Health and Safety Manager</u> <p>The updated Legionella Policy was presented to the Safety Committee in February 2020. The designated persons list has been brought up-to-date and those with roles relating to Legionella testing have been made aware of their responsibilities.</p> <p>Refresher training now been booked for May 2021. This had been postponed twice due to the pandemic but the easing of restrictions will now allow this to go ahead.</p> <p>An audit programme is being developed with audits due to commence in August 2021.</p>	

2. Legionella (Continued)

2.2 Tendering and Contracts

Agreed Action (Merits Attention – Necessary Control)

A corporate review of the way that Legionella testing, risk assessment, cleaning, chlorination and training services are procured is being undertaken with a view to ensuring consistency, value-for-money and compliance with procurement regulations.

Managers Responsible

Head of Asset Management;

Health and Safety Manager;

Housing Repairs and Compliance Manager

Revised target date – 30 June 2021

Progress Report of the Head of Asset Management

This action is not considered to be a high risk/priority at this stage, given the ongoing pressure on resources. The action will be progressed during in 2021/22 with support from the Procurement team.

3. Commercial Property/Industrial Units

October 2018, Substantial, Actions – 1

3.1 Invoices – Combined Rent and Insurance

Agreed Action (Merits Attention)

The potential to combine the annual billing process for rental and insurance recharges was considered. A wholesale change for all existing tenants was not considered appropriate at this stage as the action would require changing up to 60 system generated invoices as well as disrupting pre-arranged Direct Debits/Standing Orders for tenants.

Instead, combined rent and insurance bills will be established for new tenancies and for existing tenants at the point of periodic rent reviews. The Estates Manager will liaise with the Insurance team to calculate a suitable fixed annual premium within the new lease term.

Manager Responsible

Estates Manager

Revised Target Date: 31 July 2021

Progress Report of the Estates Manager

Combined rent and insurance bills continue to be established for new tenants and existing tenants at the point of periodic rent reviews following discussions with the Insurance and Risk Management team to fix a suitable premium. So far, the Council has converted a further six tenancies to 28 units (47%) to a combined payment.

4. CCTV

October 2019, Substantial Assurance, Actions – 1

4.1 Application for the Third Party Certification of Compliance with the Surveillance Camera Code of PracticeAgreed Action (Merits Attention – Necessary Control)

The final areas of non-compliance with the Surveillance Camera Code of Practice are to be addressed, with the long-term aim of applying for the Third Party Certification of Compliance at an appropriate time in the future. In the meantime, the following actions are proposed:

- Works to progress to enable the systems operating at Kimberley Leisure Centre to be made fully compliant and brought under the full control of the Parking & CCTV/Security Manager. In order to facilitate this, a budget has been earmarked towards the review and upgrade of the existing camera system at the site. (Target date – 31 March 2020)
- An approach will be made to the Head of Environment with a view to making progress towards CCTV systems operating at the Kimberley Depot (in particular those cameras operating from refuse freighters) being fully compliant with the Surveillance Camera Code of Practice. (Target date – 31 March 2020). It is recommended that the remote CCTV systems becomes the responsibility of the nominated single point of contact for CCTV surveillance and centralised in accordance with recommendation made by the Surveillance Camera Commissioner's Office. Alternatively, systems can be managed locally whereby compliance with the Commissioners Code of Practice and accreditation can be audited by the nominated senior responsible officer (SRO) for surveillance.
- The existing CCTV policies will be refreshed and arrangements made for these to be formally adopted by the Council. (Target date – 31 March 2020)

Managers Responsible

Head of Service

Parking and CCTV/Security Manager (in conjunction with the appropriate site managers)

Progress Report of the Head of Governance and the CCTV, Security and Parking Manager

Action 1 (Kimberley Leisure Centre) – This is on-hold pending the outcome of the Leisure Facilities Strategy, the joint-use agreement negotiations with the School and the future of the Centre.

Action 2 (Kimberley Depot) – A system of local management is being introduced whereby compliance with the Commissioners Code of Practice and accreditation can be audited by the nominated senior responsible officer (SRO) for surveillance. This is reinforced by local managers being required to complete annual training through the Broxtowe Learning Zone in addition to the completion of a form which outlines the justification for the retention of CCTV in their area.

Action 3 (Policy Updates) – A CCTV review is under way with a Councillor Task and Finish Group, the outcomes of which will inform future policies.

5. Bramcote Crematorium

October 2019, Substantial Assurance, Actions – 2

5.1 Bereavement Services Management SystemAgreed Action (Merits Attention – Necessary Control)

The purchase and installation of a new Bereavement Services Management System will be completed as a matter of priority with key support provided by the Council's Procurement and Business Transformation officers.

Managers Responsible

Head of Service

Bereavement Services Manager

Revised Target Date: 30 September 2021**Progress Report of the Head of Environmental Services**

Tenders received for the provision of Bereavement Services Management Software were evaluated, with due diligence carried out with the preferred supplier to ensure the proposed solution is suitable and within budget. Whilst implementation has been delayed by the pandemic crisis, the contract documentation has now been agreed with supplier and duly signed. The software is due to be mobilised shortly with appropriate testing and training to follow. It is anticipated that the software will be fully integrated and operational by September 2021.

6. Chilwell Olympia

January 2020, Substantial Assurance, Actions – 1

6.1 Operational Safety Risks – Joint-Use AgreementAgreed Action (Merits Attention 'Necessary Control')

The current review of the Joint Use Agreement will incorporate the management of risk and allocation of responsibilities in respect of the key public health risk areas such as legionella, asbestos and fire.

The first draft of the updated Joint Use Agreement is being prepared by the Council's Legal Services team. A timetable has been prepared and meetings programmed with Chilwell School and Nottinghamshire County Council to consider the proposed Joint Use Agreement.

Managers Responsible

Deputy Chief Executive, Broxtowe Borough Council

Managing Director, Liberty Leisure Limited

Centre Manager

Revised Target Date: 30 September 2021**Progress Report of the Managing Director, Liberty Leisure Limited**

Legionella risk is managed by the school with Liberty Leisure Limited contributing by completing and recording daily flushing of all water outlets. An asbestos assessment of the building was completed in 2020.

An initial meeting was held with the school to discuss the Joint Use Agreement. The Council's Legal section was involved and prepared a draft revised agreement that was shared with the school. Operational meetings were held with the school Head Teacher which focussed on the safe re-opening of the school and leisure centre in relation to Covid-19. The specific health and safety issues detailed in the audit are being jointly managed by the school and LLL to ensure the safety of all users of the site.

7. Procurement and Contract Management

March 2020, Limited Assurance, Actions – 6

7.1 Procurement Training

Agreed Action (Merits Attention)

A procurement e-learning module will be developed, in conjunction with the Training Officer, to support the embedding of the Procurement and Commissioning Strategy. This will complement the existing support and guidance that is already available on the intranet and website.

Managers Responsible

Procurement and Contracts Officer

Revised Target Date: 31 July 2021

Progress Report of the Procurement and Contracts Officer

A briefing on the new Procurement Strategy was provided to all affected managers and officers. There has been some initial liaising with the Learning and Development Officer to develop an e-learning course for the Broxtowe Learning Zone.

7.2 Structured Contract Management

Agreed Action (Significant)

A Contract Management Strategy and Framework is being developed to expand upon the adopted Procurement and Commissioning Strategy. This will incorporate both strategic and operational contract management and a multi-layered approach for the 'softer' elements of supplier management and monitoring. A proposal was presented to General Management Team in February 2020 and will now be developed further.

The strategy proposed a three stage process: advising suppliers that the relevant Council's policies as listed in tender documentation will provide the minimum standards required for suppliers engaged by the Council; monitoring progress with suppliers providing reports on performance; and undertake annual strategic reviews for major contracts (by value and/or strategic importance) to consider all aspects of contract performance and compliance and to carry out value engineering where appropriate. The framework will require stakeholders to periodically meet with contractors to discuss contract performance, with appropriate records maintained. Any issues can then be escalated accordingly. The process will also include regular dashboard and exception reporting to GMT.

An action plan is being developed as part of the rollout of the framework.

Managers Responsible

Head of Finance Services

Procurement and Contracts Officer

Revised Target Date: 31 July 2021

Progress Report of the Procurement and Contracts Officer

A Contract Management Strategy was approved by GMT in October 2020. A series of virtual briefing sessions will be provided to stakeholders. Unfortunately, the launch of this strategy has been delayed as a result of other priorities linked to the pandemic.

7. Procurement and Contract Management (Continued)**7.3 Contract Transparency Requirements**Agreed Action (Merits Attention)

A document has been prepared that will satisfy the Local Government Transparency Code 2015 publishing requirements for procurement and this will be adopted from 2020/21.

Manager Responsible

Procurement and Contracts Officer

Revised Target Date: 31 July 2021**Progress Report of the Procurement and Contracts Officer**

A pro-forma and explanatory note has been prepared for Heads of Service to complete a quarterly return for the Transparency Code detailing their respective procurement activity. Unfortunately, the launch of this publication has been delayed as a result of other priorities linked to the coronavirus pandemic.

8. Independent Living

May 2020, Reasonable, Actions – 5

8.1 Independent Living Plans (I-plans)Agreed Action (Merits Attention – Necessary Control)

The process for completing I-plans would be significantly enhanced by the Independent Living Coordinators utilising laptops or tablets. This would provide improvements in terms of data security (by going paper-light) and efficiencies in terms of data collection, analysis and reduced travel time. ICT Services will be approached to provide the necessary facility.

Managers Responsible

Head of Housing; Income and Housing Manager

Independent Living Manager

Revised Target Date: 30 September 2021**Progress Report of the Income and Housing Manager**

This action has been delayed by the Covid-19 pandemic. The Independent Living Coordinators are currently working from home with only limited ICT capability. This matter will be progressed at a suitable time later in the year.

8.2 Guest Room IncomeAgreed Action (Merits Attention – Necessary Control)

The Independent Living Coordinators will be reminded to fully complete the guest room booking calendar and the spreadsheet in a timely manner and to return all completed booking forms to the Administrative Assistant including payment receipt details.

Booking forms will be completed for all bookings, with gratis bookings formally authorised by an Independent Living Team Leader. The chargeable bookings recorded in the calendar will be reconciled against the income noted in the general ledger on a monthly basis.

Managers Responsible

Income and Housing Manager; Independent Living Manager

Revised Target: 31 July 2021**Progress Report of the Income and Housing Manager**

This action has been delayed due to the Covid-19 pandemic, with the guest rooms being closed due to government restrictions in place. A new/edited procedure for booking will be introduced before the guest rooms open later in the year.

9. Cash Receipting (Payment Kiosk)

June 2020, Substantial, Actions – 7

9.1 Balancing and Reconciliation DifferencesAgreed Action (Merits Attention – Necessary Control)

An Officer Working Group will be established, with representation from key stakeholders across the business, to consider, respond, track and resolve the issues raised in respect of the payment kiosk.

The procedure for processing discrepancies identified during cashing-up will be reviewed and updated to allow for any differences to be accounted for in an appropriate manner pending further investigation.

Managers Responsible

Head of Administrative Services;
Senior Support Officer/Business Support Team Leader
Officer Working Group

Revised Target Date: 30 June 2021

Progress Report of the Head of Administrative Services

The payment kiosk has been closed to the public since the first pandemic lockdown in March 2020 and has only being used on a few occasions by Support Services. At this stage, there has been little need to establish an Officer Working Group to manage and resolve the historical issues raised in respect of the payment kiosk.

The procedure for processing discrepancies identified during cashing-up will be reviewed and updated when the kiosk facility is re-opened to the public.

9.2 Accuracy of Transaction RecordingAgreed Action (Significant)

An Officer Working Group will be established, with representation from key stakeholders across the business, to consider, respond, track and resolve the issues raised in respect of the payment kiosk.

A review of the systems and the effectiveness of how they interact will be undertaken to ensure the accuracy and integrity of the data and management information the systems are expected to produce.

Managers Responsible

Head of Administrative Services;
Officer Working Group

Revised Target Date: 30 June 2021

Progress Report of the Head of Administrative Services

At a suitable point when the kiosk facility is re-opened to the public, the Officer Working Group will review of the effectiveness of how the systems interact with each other to ensure the accuracy and integrity of the data and management information.

9. Cash Receipting (Payment Kiosk) (Continued)

9.3 Kiosk Receipts and Automated Reports

Agreed Action (Significant)

An Officer Working Group will be established, with representation from key stakeholders across the business, to consider, respond, track and resolve the issues raised in respect of the payment kiosk. A review will be conducted to identify improvements to the management information provided by the kiosk. Consideration will be given to skills and training needs to enable clear understanding of the data provided.

Managers Responsible

Head of Administrative Services;
Officer Working Group

Revised Target Date: 30 June 2021

Progress Report of the Head of Administrative Services

At a suitable point when the kiosk facility is re-opened to the public, the Officer Working Group will review the management reports produced by the software with a view to having a clear understanding of the data provided and to make improvements based upon respective needs.

9.4 Contract Management – Reporting of Issues

Agreed Action (Merits Attention – Necessary Control)

Any concerns identified with the kiosk system will be escalated to GMT and the service provider as required.

Managers Responsible

Head of Administrative Services;
Officer Working Group

Revised Target Date: 30 June 2021

Progress Report of the Head of Administrative Services

The matters identified will be returned to once the kiosk facility is reopened to the public. The Officer Working Group will consider, respond, track and resolve the issues raised with matters escalated to GMT and the service provider as required.

9.5 Payment Details

Agreed Action (Merits Attention – Necessary Control)

Enquiries will be made with the service provider as to the options for enhancing the controls within the kiosk to make mandatory fields for the payee to enter their details and for the kiosk to only process payments when a correct payment reference has been entered.

Managers Responsible

Head of Administrative Services;
Officer Working Group

Revised Target Date: 30 June 2021

Progress Report of the Head of Administrative Services

The enquiries to be made with the service provider reading the use of mandatory fields for the payee to enter their details will be reconsidered at a suitable point after the kiosk is reopened to the public.

9. Cash Receipting (Payment Kiosk) (Continued)

9.6 Card Payments – Refunds Processing

Agreed Action (Merits Attention – Necessary Control)

The option to process card payment refunds (for duplicate or erroneous payments) onto the original payment card used will be considered in conjunction with the service provider.

Managers Responsible

Head of Administrative Services;

Officer Working Group

Revised Target Date: 30 June 2021

Progress Report of the Head of Administrative Services

Options for processing card payment refunds onto the original card used will be considered with the service provider when the kiosk is reopened to the public.

9.7 Usage Reviews and Future Viability

Agreed Action (Merits Attention)

The statistics reports produced in relation to the kiosk will continue to be reviewed. Proactive work will continue to encourage customers to consider alternative cost effective payment channels such as Direct Debit and card payment via the website. This work will include direct contact at the kiosk and scrutiny of payments data (via reports analysed by fund) to identify customers who regularly use the kiosk.

The ongoing viability of the payment kiosk will be reviewed undertaken in terms of cost effectiveness and customer satisfaction, with comparison to alternative external solutions.

Managers Responsible

Head of Revenues, Benefits and Customer Services

Head of Administrative Services

Revised Target Date: 31 July 2021

Progress Report of the Head of Revenues, Benefits and Customer Services

The kiosk has been closed to the public during the Covid-19 pandemic, only being used on a few occasions by Support Services as a matter of urgency. In view of this, it has been difficult to target individuals that use the kiosk and promote other services.

A team was established to evaluate the other cash payment options. A report was presented to Finance and Resources Committee on 30 March 2021 where it was agreed that the Council will work with 'All Pay' to provide cash payment facilities using Paypoint and the Post Office. These services will be limited to those residents that have no other method of payment. The Council will now look to set this up with a target go live date of 31 July 2021.

10. Financial Resilience

July 2020, Reasonable, Actions – 4

10.1 CIPFA Financial Resilience IndexAgreed Action (Merits Attention 'Necessary Control')

It is anticipated that the CIPFA Financial Resilience Index will be refined post Covid-19 to ensure that it remains fit for purpose. The benefits of using this analytical tool to support good financial management and provide a common understanding amongst managers and Members of the current financial position and potential risks are acknowledged.

Further work in developing this for Broxtowe, at least in the short-term, will be dependent upon further updates from CIPFA.

Manager Responsible
Deputy Chief Executive

Revised Target Date: 31 October 2021**Progress Report of the Deputy Chief Executive**

This action is still progressing. CIPFA has recently published the latest update of its Financial Resilience Index based upon the 2019/20 financial outturn. This will provide a useful pre-Covid baseline assessment of the financial position of local authorities. The indices for 2020/21 will be reviewed when available, with any significant action needed being reported through GMT and to the relevant Committee accordingly.

10.2 Prioritisation of Schemes – Capital Project AppraisalsAgreed Action (Merits Attention 'Necessary Control')

A review of the current arrangements for prioritising capital schemes will be completed in time for the 2021/22 budget preparation, with the outcomes reported to GMT for approval and adoption. This review will consider the development of a rolling three-year Capital Strategy, linked to corporate priorities, and the introduction of robust business plans/capital project appraisal framework for individual schemes to support decision making and the prioritisation of limited capital resources.

Manager Responsible
Deputy Chief Executive;
Head of Finance Services

Revised Target Date: 31 October 2021**Progress Report of the Deputy Chief Executive**

A Capital Strategy is approved annually by the Finance and Resources Committee. Further work will be undertaken to refine the process to prioritise capital schemes although for the latest capital programme the priority schemes have been linked to the corporate objectives, such as Housing, and the high-risk health and safety schemes relating to public buildings.

11. Local Authority Trading Company

July 2020, Reasonable, Actions – 3

11.1 Revision and Update of Service Management AgreementAgreed Action (Significant)

The Council's new Leisure Facilities Strategy is currently being developed, although its full adoption and implementation will be a long-term project. In the meantime, it is anticipated that the proposed Strategy will have been developed by late summer 2020. At this stage, the Strategy will be used as the starting point for an initial review of the Service Management Agreement between the Council and the Company.

Managers Responsible

Deputy Chief Executive

Managing Director – Liberty Leisure Limited

Revised Target Date: 30 September 2021

Progress Report of the Deputy Chief Executive

The new Leisure Facilities Strategy is still being developed. Some minor adjustments have been proposed for the Service Management Agreement between the Council and the Company that are currently being worked through in conjunction with Legal Services. A fundamental review of the agreement will be deferred until beyond the pandemic with current the priority being the financial stability of the company.

11.2 Review of Joint-Use Agreement with Chilwell SchoolAgreed Action (Merits Attention 'Necessary Control')

The ongoing review and re-negotiation of the Joint-Use Agreement with Chilwell School will recommence, in conjunction with Legal Services, with a view to finalising the agreement at the earliest opportunity.

Manager Responsible

Deputy Chief Executive

Revised Target Date: 30 September 2021

Progress Report of the Deputy Chief Executive

Some preliminary work has been undertaken, in conjunction with Legal Services, on the Joint Use Agreement with Chilwell School. Given the notice received from East Midlands Education Trust, the ongoing negotiations with EMET regarding Kimberley Leisure Centre remain the current priority.

12. Kimberley Depot and Security

September 2020, Reasonable, Actions – 4

12.1 Security Policy and ProcedureAgreed Action (Merits Attention 'Necessary Control')

A security policy and procedures guide will be produced for reference by managers and officers with responsibilities relating to depot security.

Manager Responsible

Head of Environment

Target Date: 31 March 2021

Progress Report of the Head of Environmental Services

This task has not yet commenced – the revised target date for completion is June 2021.

12. Kimberley Depot and Security (Continued)**12.2 Risk Assessments – Health and Safety**Agreed Action (Merits Attention 'Necessary Control')

A formal risk assessment will be completed and documented relating to the risk of flooding. The mitigating actions identified for a flooding event will be effectively communicated to those responsible to ensure the health and safety of employees.

Manager Responsible

Head of Environment

Target Date: 31 March 2021

Progress Report of the Head of Environmental Services

A formal flood risk assessment has not yet been completed, although a Flood Plan is currently in draft form. The proposed revised target date for completion is June 2021.

12.3 InventoriesAgreed Action (Merits Attention 'Necessary Control')

An inventory of all plant and equipment held at the depot and/or used offsite by the Environment Department will be recorded and maintained. This inventory will then be used to review insurance arrangements and ensure that the most appropriate cover is in place.

Manager Responsible

Head of Environment

Target Date: 31 March 2021

Progress Report of the Head of Environmental Services

A task to create a full inventory list of plant and equipment at the Depot is currently in progress. The proposed revised target date for completion is June 2021.

12.4 Flood PlanAgreed Action (Merits Attention 'Necessary Control')

A formal flood plan specific for Kimberley Depot will be developed. The plan will identify key officers and responsibilities; basic strategies to protect employees, equipment and machinery and to mitigate risks from contamination (including hazardous chemicals).

The plan will also include a checklist of actions to be completed when flooding is imminent, during the event and post-flood to ensure that no key actions are missed.

Manager Responsible

Head of Environment

Target Date: 31 March 2021

Progress Report of the Head of Environmental Services

The Flood Plan has been drafted and is awaiting review by the Head of Service. The proposed revised target date for completion is June 2021.

13. Housing RepairsSeptember 2020, **LIMITED**, Actions – 5**13.1 Completion and Reporting of Inspections**Agreed Action (Merits Attention 'Necessary Control')

As part of wider improvements to systems and processes (including form design), a review of the reporting framework will be undertaken with the aim of implementing an effective system of 'post-inspection' and 'monitored inspection', with progress being regularly reported to Housing Management accordingly.

Managers Responsible

Head of Housing; Housing Repairs Manager

Target Date: 31 December 2020

Progress Report of the Head of Asset Management and Development and the Housing Repairs and Compliance Manager

Delayed due to the limitations on inspection due to Covid-19 but will be picked up in a more robust way once restrictions of going into properties has been lifted. The action will also progress the reporting within the new web-based Capita reporting.

13.2 Invoicing of Rechargeable WorksAgreed Action (Merits Attention 'Necessary Control')

The process for invoicing rechargeable repair works will be reinstated, although the current method for evidencing costs, producing bills and recovering the debt is very labour intensive.

The billing of rechargeable repair works will be reviewed as part of a wider piece of work to bring all housing related debt into the CAPITA system, depending upon system development.

Managers Responsible

Head of Housing; Housing Repairs Manager

Target Date: 31 March 2021

Progress Report of the Head of Asset Management and Development and the Housing Repairs and Compliance Manager

This action is tied in with wider Capita system and resourcing issues. Proposed revised target date of 30 September 2021.

13.3 Contact Centre (Customer Services)Agreed Action (Merits Attention)

The key recommendations from commercial review of the Housing Repairs Service in relation to the Contact Centre will be implemented, in conjunction with the Head of Revenues, Benefits and Customer Services, as soon as practicable. The progress made on this should be regularly reported to Housing Management and the Housing Committee.

Managers Responsible

Head of Housing; Housing Repairs Manager

Target Date: 31 December 2020

Progress Report of the Head of Asset Management and Development and the Housing Repairs and Compliance Manager

Good progress is being made. A proposed revised target date of 30 September 2021.

13.4 Job Costing and Stock Control**Agreed Action (Significant)**

The progress made in delivering the Housing Repairs Review Action Plan have stalled due to various circumstances, not least the coronavirus pandemic lockdown. This action plan will be revisited when resources and the lifting of restrictions allow.

The job costing and stock control processes will be reviewed and updated as planned for in the Housing Repairs Review Action Plan. The progress made on this will be regularly reported to Housing Management and the Housing Committee.

Managers Responsible

Head of Housing; Housing Repairs Manager

Target Date: 31 December 2020

Progress Report of the Head of Asset Management and Development and the Housing Repairs and Compliance Manager

Work has commenced on reviewing an stocks and stores. Proposed revised target date of 31 December 2021.

13.5 Overdue Contract Renewals**Agreed Action (Merits Attention 'Necessary Control')**

The expired contracts for Glazing Services and Scaffolding will be reviewed, in conjunction with the Procurement and Contracts Officer, and subjected to formal competitive tender or direct award from a recognised framework, where appropriate, at the earliest opportunity.

Managers Responsible

Head of Housing; Housing Repairs Manager

Target Date: 31 October 2020

Progress Report of the Head of Asset Management and Development and the Housing Repairs and Compliance Manager

All expired and non-compliant arrangements are now being reviewed and a programme is being developed to bring them into compliance. Proposed revised target date of 30 September 2021.

14. Public Health Funerals

October 2020, Reasonable, Actions – 4

14.1 Procurement of Funeral Director Services**Agreed Action (Merits Attention 'Necessary Control')**

A review of the contract for Funeral Directors services will be undertaken to ensure compliance with Procurement Regulations and the Council's Contract Standing Orders.

Manager Responsible

Chief Environmental Health Officer; Environmental Health Officer Target Date: 31 March 2021

Progress Report of the Head of Public Protection

The current contract award was completed on the basis of an informal tender with local funeral directors being asked to submit prices to undertake the various aspects of a welfare funeral. A formal tender was not felt to be required at the time due to the overall value and the award was made on the basis of lowest price.

This is now being refreshed and draft tender documents are being prepared in conjunction with other departments.

Report of the Deputy Chief Executive

COVID-19 BUSINESS SUPPORT GRANTS – AUDIT TRAIL

1. Purpose of report

To provide the Committee with a governance report relating to the framework of safeguards, key controls and fraud checks relating to business support grants.

2. Background

Internal Audit has played a key role in both supporting the Revenues team and scrutinising the various Covid-19 Emergency Business Support Grant schemes in 2020/21. This has included assurance reviews and vital work associated with the quality assessment and fraud checking of the grants paid. This work has continued during the most recent national lockdown and current 're-start' phase.

The latest assurance review, as presented in the Internal Audit Progress Report elsewhere on this agenda, has concluded that the adequacy of the systems and controls in place continue to provide substantial assurance that risks material to the achievement of objectives are adequately managed. There were no significant governance issues to report.

As part of this review, Members requested that a governance report be provided showing the audit trail for the payment of business support grants and all the relevant safeguards, key controls and fraud checks in place. A similar report was provided earlier as part of the *Governance Dashboard – Major Projects* report to this Committee on 20 July 2020. A summary of the control framework is provided in the appendix.

Recommendation

The Committee is asked to NOTE the report.

Background papers

Nil

APPENDIX

COVID-19 BUSINESS SUPPORT GRANTS – CONTROL FRAMEWORKIntroduction

In response to the coronavirus pandemic crisis, the Council has administered and processed the payment of significant sums of emergency grants on behalf of the Government for distribution within the local business and voluntary sectors.

Internal Audit completed a significant amount of assurance work on the Small Business Grants, Retail, Hospitality and Leisure Grants and Discretionary Grant payments made in *phase 1*. It has continued to provide advisory support and assurance for the range of grant schemes that have been introduced since, including the Test and Trace Support Payments, Local Restrictions and National Restrictions Grants and the discretionary 'Additional Restrictions Grant' (ARG) (*phase 2*). This support has continued into the next round of grant schemes from April 2021 (*phase 3*), including Restart Grants and additional ARG.

Phase 2 of grant funding commenced in Autumn 2020, with the Council administering the Mandatory Local Restrictions Support Grants scheme. This consisted of seven different elements, as well as the discretionary ARG, with the grants being awarded based on set criteria for each element. In total, up until 31 March 2021, the Council has awarded Local Restrictions Support Grants totalling £7,998,907 to 667 businesses and ARG totalling £3,290,934 to 900 businesses.

An earlier governance assurance report on the phase 1 business grants was provided to this Committee on 20 July 2020 as part of the *Governance Dashboard – Major Projects* report.

The latest assurance review, as presented in the Internal Audit Progress Report, considered phase 2 business support grants. It concluded that the adequacy of the systems and controls in place provided substantial assurance that risks material to the achievement of objectives are adequately managed. There were no significant governance issues to report.

The latest phase of grant schemes from April 2021, including Restart Grants and additional ARG, will be subjected to further audit review in due course.

Grant Application Process and Control Framework

The following provides an outline of the audit trail for the payment of business support grants and all the relevant safeguards, key controls and fraud checks.

Much of the ground work in terms of establishing processes and key controls for the second phase schemes was completed in the initial round of grants made at the outset of the pandemic crisis in spring 2020.

Setting the Framework

The Council has diligently followed the guidelines provided by the government for the award of grant funding from the various mandatory schemes. The basis of awards has typically been linked to business sectors (e.g. small businesses, and businesses in the non-essential retail, hospitality and leisure sectors) and aligned to rateable values and/or property related costs.

In addition, the government announced further discretionary grants funding, starting with the Local Authority Discretionary Grants Fund in phase 1, aimed at providing some financial relief for those businesses who were not eligible for the previous grant schemes. Local authorities had the discretion in how to prioritise funding provided under this scheme and Members will recall that a joint approach was conducted across Nottinghamshire, led by the Section 151 Officers, with a view to establishing a common scheme across the county.

A discretionary element to grant funding has continued with the ARG in phase 2. The terms of reference for this discretionary scheme was established in consultation with the 'Business Rates Members Panel', comprising the Leader of the Council, the Deputy Leader and the Chair of Finance and Resources Committee.

Application Process

In phase 1, all business applicants for all schemes completed an online application form which generated an email to a dedicated email address comprising the application form and the supporting bank details confirmation as an attachment. The applications were administered by a Revenues Officer under the direct supervision of the Head of Revenues, Benefits and Customer Services.

At the launch of phase 2 Mandatory Local Restrictions Support Grants and discretionary ARG schemes, qualifying businesses seeking a payment under one or more of the grant schemes (whether mandatory or discretionary) were again required to complete an online application form and submit various supporting documents. Applicants also had to provide supporting information consisting of evidence of trading, business rates liability, Companies House records, declarations relating to state aid limits and recent bank statements. Where further evidence was required to support an application, this was requested and payment not made until substantiated.

Follow-up applications were not required from known qualifying businesses for the fresh round of grants announced in January 2021 (*phase 2b*). This was agreed with Business Rates Members Panel.

Applications were recorded on the respective 'master spreadsheet' under the direct control of the Head of Revenues, Benefits and Customer Services, with application details recorded on the Business Rates system and supporting documents held on the corporate 'information at work' system.

Risk Assessment, Quality Assessment and Fraud Checking

Much of the ground work in terms of establishing processes and key controls for the second phase schemes was completed in the initial round of grants in spring 2020.

A preliminary analysis of each application was undertaken to check for duplicate information and other observations, such as local knowledge, to determine if applications required further investigation from a fraud and error perspective.

Generally, the risk-based assessment was found to be a much smoother than in phase 1, where many applicants were previously unknown to the Council as they were not registered for Business Rates purposes (not uncommon as many such small businesses are not liable for Business Rates). As a result, a major assessment and checking process was undertaken in phase 1, involving Internal Audit, to ensure that those businesses applying for grants actually existed, occupied the premises being claimed to, were trading and had closed due to the pandemic and other similar relevant factual information.

Given the relatively short timeframe that elapsed between the first phase of grant making (up to August 2020) and phase 2 under consideration later in the autumn period, the majority of businesses seeking grants were as had applied previously. As such, subject to the presence of any earlier red flags or other anomalies and fraud work undertaken, the verification process was significantly less onerous.

Officers completed the risk assessments used a number of data matching and investigatory techniques that were immediately available. These included:

- Matching data to the Business Rates system and to applicant data provided in phase 1: An important way to ensure consistency between the system and the latest data provided by the applicant. This could also quickly identify duplicate applications, names, addresses and bank details.
- Matching data to other systems (e.g. cross-check details to the creditors system) to identify if addresses for individuals or business names/types were recorded differently elsewhere identifying 'red flags' to investigate further.
- Considering the output of the fraud assurance checking of bank accounts and additional company checks completed through the National Fraud Initiative (NFI) premium service (see below).
- Considering any notices and warnings shared through local and regional counter fraud and internal audit networks.
- Open Source Data – Using the masses of data that is publicly available online proved to be a useful tool particularly for cases deemed high risk, to double check whether online information validates what had been given particularly around the business type or names of individuals.
- Direct Contact – For high risk cases, the businesses were contacted directly contacted to validate the application, identity and accuracy of a claim.

A significant majority of phase 2 grant applications and bank details were easily correlated to existing records within the Business Rates system. The 'high-risk' applications were worked through by the Revenues section, assisted by Internal Audit, with the majority of outstanding issues resolved. Where, after exhausting the available lines of enquiry, sufficient comfort could not be obtained over eligibility of the application, the grant was refused.

Additional Counter Fraud Activity

Following completion of the phase 1 grant process, the Council completed significant post-scheme assurance checking of bank accounts and additional company checks offered through the National Fraud Initiative (NFI) premium service, in conjunction with Experian. The company details and bank account information data provided by all successful applicants in phase 1 was submitted to the NFI to ensure that companies were 'live' and that bank accounts were open, matched to the applicant and no other anomalies were identified. This identified some 'red-flag' cases, which prompted further scrutiny by officers. This included a check through the Government's Spotlight system tool (see below) and locally sourced information.

The outcomes of these investigations were subsequently brought into the risk-assessment for phase 2.

Mandatory fraud checks have since been introduced by the Government for the latest phase of grant schemes from April 2021 (Restart Grants and additional ARG). This will include a check through the Government's Spotlight system tool on all applications by incorporated companies where businesses are tested against key criteria relating to establishment; dissolution; voluntary insolvency; directors and accounts.

In addition, a further check of bank account information through the NFI is mandatory to ensure that current bank accounts are live and matched to the applicant with no other anomalies were identified.

Payment

All grant payments made to eligible businesses were released through the regular creditors system, which included that system's inherent controls and authorisations.

For phase 1, grant payments were processed through the Business Rates system, a component of the Civica Financials system. A custom interface, provided by the software provider, enabled grants to be made through the Council's creditor payment system by placing a credit on the applicant's Business Rates account which, once released for payment, was automatically made the next working day. In this way, the system controls ensured that only one payment may be made per rateable property.

For phase 2, the grants were again released through creditors, using a standardised importing function purchased from Civica Financials. The import would take the relevant businesses identified for payment and feed them through the creditors system identifying the relevant payment amount and code applicable.

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Joint report of the Chief Executive and the Deputy Chief Executive

CORPORATE GOVERNANCE ARRANGEMENTS

1. Purpose of report

To inform the Committee of action taken to develop and comply with statutory obligations regarding corporate governance and to seek approval of the Annual Governance Statement for inclusion in the Council's published Statement of Accounts for 2020/21.

2. Background

The Accounts and Audit Regulations 2015 require authorities to conduct a review, at least once in each financial year, of the effectiveness of its system of internal control and to include an Annual Governance Statement report on the review with its statement of accounts. To support this process, the Council follows proper practice as set out in the CIPFA/SOLACE publication *Delivering Good Governance in Local Government: Framework*. This Framework was initially produced in 2007 with a revised version published in April 2016. More detail about the framework and what it encompasses is given in appendix 1.

Under the Council's Constitution, this Committee is responsible for overseeing the maintenance of the internal control environment and for monitoring and making recommendations regarding the corporate governance arrangements. Appendix 2 sets out the actions the Council has taken during 2020/21 to advance the principles of the Code.

A Governance Risk and Compliance Action Plan has been developed which included at appendix 3. Appendix 4 provides an explanation of the Council's governance arrangements, and an update on the implementation of previously identified improvement actions. It concludes with the draft Annual Governance Statement and the Significant Governance Issues Action Plan for 2021/22. Once approved, it will be signed by the Leader of the Council and the Chief Executive prior to inclusion within the published accounts. The Chief Audit and Control Officer has confirmed that he considers that the current internal control environment is satisfactory such as to maintain the adequacy of the governance framework.

Recommendation

The Committee is asked to:

1. **RESOLVE** that the draft Annual Governance Statement as shown in appendix 3 be approved in principle for inclusion in the Council's Statement of Accounts.
2. **RESOLVE** that responsibility be delegated to the Chief Executive and the Chair of this Committee to make any further amendments deemed necessary.
3. **NOTE** compliance with the Code on Delivering Good Governance in Local Government.

Background papers - Nil

APPENDIX 1

Background

The CIPFA/SOLACE document *Delivering Good Governance in Local Government: Framework* was published in 2007. In 2012 it was given 'proper practices' status by the Department for Communities and Local Government. Local authorities are under a statutory obligation to follow the published approach unless there are valid reasons for not doing so.

The Framework has since been reviewed and in April 2016 was published with a new set of core principles and sub-principles. There are seven core principles which have been developed to bring them more in line with the principles of open government and to establish a greater focus on outcomes, rather than processes. Each is accompanied by numerous sub-principles which provide a very comprehensive set of arrangements for ensuring that good governance exists within the organisation and is embedded in its day-to-day operations.

The seven core principles and an explanation of the intention behind each one are as follows:

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

Local government organisations are accountable not only for how much they spend, but also for how they use the resources under their stewardship. This includes accountability for outputs, both positive and negative, and for the outcomes they have achieved. In addition, they have an overarching responsibility to serve the public interest in adhering to the requirements of legislation and government policies.

It is essential that, as a whole, they can demonstrate the appropriateness of all their actions across all activities and have mechanisms in place to encourage and enforce adherence to ethical values and to respect the rule of law.

B. Ensuring openness and comprehensive stakeholder engagement

Local government is run for the public good. Organisations should therefore ensure openness in their activities.

Clear, trusted channels of communication and consultation should be used to engage effectively with all groups of stakeholders, such as individual citizens and service users, as well as institutional stakeholders.

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

The long-term nature and impact of many of local government's responsibilities mean that it should define and plan outcomes and that these should be sustainable.

Decisions should further the organisation's purpose, contribute to intended benefits and outcomes, and remain within the limits of authority and resources. Input from all groups of stakeholders, including citizens, service users and institutional stakeholders, is vital to the success of this process and in balancing competing demands when determining priorities for the finite resources available.

D. Determining the interventions necessary to optimise the achievement of the intended outcomes

Local government achieves its intended outcomes by providing a mixture of legal, regulatory and practical interventions (courses of action). Determining the right mix of these courses of action is a critically important strategic choice that local government has to make to ensure intended outcomes are achieved.

They need robust decision making mechanisms to ensure that their defined outcomes can be achieved in a way that provides the best trade-off between the various types of resource inputs while still enabling effective and efficient operations.

Decisions made need to be reviewed frequently to ensure that achievement of outcomes is optimised.

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

Local government needs appropriate structures and leadership, as well as people with the right skills, appropriate qualifications and mindset, to operate efficiently and effectively and achieve intended outcomes within the specified periods.

A local government organisation must ensure that it has both the capacity to fulfil its own mandate and to make certain that there are policies in place to guarantee that its management has the operational capacity for the organisation as a whole.

Because both individuals and the environment in which an organisation operates will change over time, there will be a continuous need to develop its capacity as well as the skills and experience of individual staff members. Leadership in local government is strengthened by the participation of people with many different types of backgrounds, reflecting the structure and diversity of communities.

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

Local government needs to ensure that the organisations and governance structures that it oversees have implemented, and can sustain, an effective performance management system that facilitates effective and efficient delivery of planned services.

Risk management and internal control are important and integral parts of a performance management system and are crucial to the achievement of outcomes. Risk should be considered and addressed as part of all decision making activities.

A strong system of financial management is essential for the implementation of policies and the achievement of intended outcomes, as it will enforce financial discipline, strategic allocation of resources, efficient service delivery and accountability.

It is also essential that a culture and structure for scrutiny are in place as a key part of accountable decision making, policy making and review. A positive working culture that accepts, promotes and encourages constructive challenge is critical to successful scrutiny and successful service delivery. Importantly, this culture does not happen automatically; it requires repeated public commitment from those in authority.

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

Accountability is about ensuring that those making decisions and delivering services are answerable for them. Effective accountability is concerned not only with reporting on actions completed, but also ensuring that stakeholders are able to understand and respond as the organisation plans and carries out its activities in a transparent manner. Both external and internal audit contribute to effective accountability.

APPENDIX 2

The Council's governance arrangements are consistent with the principles of the CIPFA/SOLACE Framework *Delivering Good Governance in Local Government (2016 edition)*. This Statement explains how the Council has complied with these arrangements and also meets the requirements of the Accounts and Audit Regulations 2015, regulation 6(1), which requires all relevant bodies to prepare an Annual Governance Statement.

A summary of how we meet with each of the seven core principles, including evidence of the principle in action, and where improvement action or new steps have been taken in 2020/21 is provided below:

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

How we meet the principle	Where you can see evidence of the principle in action and where we took action in relation to the principle in 2020/21
Member and officer Codes of Conduct set standards of behaviour for officers and members. These require adherence to the Nolan Principles. The Council's values are consistent with the Nolan Principles and are embodied in its Corporate Plan.	<p><u>Member code of conduct</u>: A Councillor task and finish group was formed to consider the new model code of conduct prior to any new adoption.</p> <p><u>Corporate values/Induction</u>: As part of new starter induction procedures all new starters meet with GMT when the values of the Council are discussed with relevant examples each value explained to the new starters.</p>
The Constitution contains a protocol for member and officer relationships.	<p>Senior members of staff are actively encouraged to highlight and discuss ethical dilemmas and present committee reports in a fair and balanced way, highlighting options for members' consideration.</p> <p>A series of ethical workshops were incorporated into SMT meetings. Three sessions focusing on ethics were included in SMT meetings in 2019/20.</p>
The Council collects data relating to its workforce and reviews this through the annual workforce profile to identify any inequity, unfairness or prejudice in recruitment procedures or the operation of other HR practices.	The latest Workforce Profile was reviewed by the General Management Team and reported to Personnel Committee on 23 March 2021. As required by law Broxtowe published information regarding its gender pay gap.

How we meet the principle	Where you can see evidence of the principle in action and where we took action in relation to the principle in 2020/21
<p>The Council holds members to account for their behaviour by addressing allegations of breaches of the member code of conduct</p> <p>An independent person has been appointed to deal with standards issues that arise.</p>	<p>Eight Code of Conduct complaints against members were dealt with. None involved allegations of fraud or corruption. Two proceeded to formal investigation.</p> <p>There were seventeen Code of Conduct complaints made against Parish Councillors.</p> <p>The Independent person was involved in consideration of the Member Standards complaints which were raised in 2019/20</p>
<p>The Complaints procedure. Complaints present an opportunity for improvement and can identify systemic or behavioural failings which need to be addressed</p>	<p>A new complaints procedure was approved by the Governance, Audit and Standards Committee on 30 November 2020 to reflect amendments required by the Housing Ombudsman. The new Policy is on the Council's website.</p> <p>An annual complaints report is presented to the Governance Audit and Standards Committee. The report provides details, in particular, of those complaints that are referred to the Ombudsman and where improvements to systems and processes have been made as a result of complaints. Any complaints where a financial settlement is appropriate, or has been made, are also reported in detail to this Committee.</p> <p>Through its annual equality and diversity, which was last reported to the Policy and Performance Committee on 24 March 2021, members review whether there may be any inequality or unfairness indicated/apparent through the protected characteristics of complaints. The report explains in detail the actions taken to promote equality and diversity.</p>
<p>The Council holds employees to account in respect of their conduct and behaviour. The number of disciplinary, grievance and whistleblowing complaints dealt with is set out in the annual workforce profile.</p>	<p>During 2020/21 in relation to employees there were:</p> <ul style="list-style-type: none"> • No whistleblowing complaints • 6 grievances • 4 disciplinary hearings (resulting in one no further action; one final warning; one final warning and demotion; and one dismissal) • No employees subject to the capability process. <p>A new Organisational Development Strategy was approved by the Personnel Committee on 30 June 2020.</p>

How we meet the principle	Where you can see evidence of the principle in action and where we took action in relation to the principle in 2020/21
	<p>The Whistleblowing Policy was reviewed by the Governance Audit and Standards Committee on 30 November 2020.</p> <p>The Personnel Committee on 30 June 2020 considered and approved the following:</p> <ul style="list-style-type: none"> • Return to Work Following COVID-19 report • Employee Wellbeing Survey Results • Employee Survey <p>The Personnel Committee on 29 September 2020 considered and approved the following:</p> <ul style="list-style-type: none"> • Action Plan for the Wellbeing of Staff • Apprenticeship Strategy • Coaching and Mentoring • Long Term Sickness Absence for Employees • Pensions Discretion Policy <p>The Personnel Committee on 31 March 2021 considered and approved the following:</p> <ul style="list-style-type: none"> • Succession Planning Framework • Acting Up and Honoraria Policy • The Disability Confidant Status • Procedure for Dealing with threats of Suicide • Care Leavers Interview Scheme • Neurodiversity Policy <p>The Personnel Committee also agreed to sign up to a new Shared Cost Additional Voluntary Contributions pension scheme, a veteran's interview scheme, a salary sacrifice car scheme.</p>
Every employee has an annual appraisal which leads to a learning plan for the coming year.	The online employee appraisal scheme continued to operate during 2020/21.

Opportunities for further improvement

These are included in the Governance Risk & Compliance Action Plan 2020/21 at appendix 3.

B. Ensuring openness and comprehensive stakeholder engagement

How we meet the principle	Where you can see evidence of the principle in action and where we took action in relation to the principle in 2020/21
<p>The Council has a variety of means through which it seeks to engage and inform employees. Mechanisms include section team meetings, senior management meetings, email bulletins and the Employee Forum.</p> <p>There are also internal working groups on which there is cross departmental representation</p>	<p>Monthly Senior Management Team briefings.</p> <p>Fortnightly COVID-19 related Senior Management Team meetings.</p> <p>Equality Working Group met quarterly</p> <p>Broxtowe Employee News bulletin was sent out regularly weekly, a new initiative in 2020/21.</p> <p>The Local Joint Consultative Committee comprising of Councillors, trade union reps and managers met to discuss HR related policies before recommending them to the Personnel Committee.</p> <p>The Independent Remuneration Panel met to consider Members' Allowances for the forthcoming year.</p>
<p>Residents are regularly updated on new consultations through our website as well as press releases</p>	<p>The Council has a webpage dedicated to consultations and resident engagement.</p> <p>The major consultation exercises taking place in 2020/21 included:</p> <ul style="list-style-type: none"> • Budget consultation 2021/22 • Stapleford Market Survey • Civil Penalties Policy • Toton and Chetwynd Masterplan • Housing Strategy 2020/24 • Consultation on Public Place Protection Order • Parks and Open Spaces • Proposed Vehicle Nuisance PSPO, Chilwell • Proposed PSPO, Basil Park, Nuthall • Proposed Vehicle Nuisance PSPO, Eastwood • Houses in Multiple Occupation Policy (Beeston)
<p>Regular tenant led Service review groups for Housing services.</p>	<p>The Housing Committee has a resident involvement group and consult regularly on housing related subjects, reporting to the housing improvement groups. During the pandemic there have been consultations through social media and digital forums.</p>

How we meet the principle	Where you can see evidence of the principle in action and where we took action in relation to the principle in 2020/21
Tenant engagement in significant reviews of Housing service delivery.	<p>Significant consultations involving tenants included</p> <ul style="list-style-type: none"> • Changes to independent living services • Redevelopment of garage sites
Engagement in relation to new strategy	In addition to those already mentioned there was consultation was completed through digital forums on Housing Service delivery and Private Sector Housing Civil Penalties Policy.
The Council encourages engagement annually on its expenditure through its annual budget survey	A budget consultation for budget 2021/22 was reported to the Finance and Resources Committee in January 2021. A total of 130 responses were received. In overall terms, local people are satisfied with the borough of Broxtowe and the Council's management of it. 73% of people are either 'satisfied' or very 'satisfied' with the area in which they live which is a decrease on the 75% figure in the 2020/21 consultation. 64% are either 'satisfied' or 'very satisfied' with the way that the Council delivers services which is the same level as the response in 2020/21.
Disability Forum	<p>The Equality and Diversity annual report was presented to the Policy and Performance Committee in March 2021.</p> <p>Examples of engagement with and the influence of the Disability Forum, Community Action Teams consultation with our tenants and leaseholders through Open Forums, Service Review Groups and Resident Involvement Groups and the Broxtowe Disability Forum. Other opportunities for engagement occur for example through the work of the planning section in the creation of Neighbourhood Plans, local stakeholder discussions through the Broxtowe partnership, community safety action planning, work with Parish and Town Councils were included in the annual Equality and Diversity Report</p>
Broxtowe Youth Voice has appointed a Youth Mayor and Deputy. The Council's constitution provides for these individuals to participate in	The Youth Mayor regularly participated in Council meetings during 2019/20 but the post was not reappointed to in 2020/21. It is expected that there will be an appointment in 2021/22.

How we meet the principle	Where you can see evidence of the principle in action and where we took action in relation to the principle in 2020/21
Council meetings (but not vote). This ensures the voice of young people is heard by members.	
Community Action Teams – The Council organises regular local meetings with the local community which are chaired by ward Councillors. This is a means by which Councillors keep in touch with local people and identify action which needs to be taken which they feed back to officers or committees	The Community Action Team page on the Council's website contains details and minutes of meetings which took place.
The Local Strategic Partnership is chaired by the Leader of the Council and is a mechanism through which leaders of the public and voluntary sector organisations in Broxtowe co-ordinate activity and identify strategic issues which need joint action	<p>Meetings of Broxtowe Partnership took place in 2020/21. The format of meetings changed, so that in recent meetings there has been an in depth focus on food insecurity and mental health.</p> <p>Task groups on health and older people, and children's services met regularly and progress on delivering agreed actions was monitored.</p>
Development of Local Plan Part 2 and Neighbourhood Plans	<p>Extensive consultation took place in relation to the development of proposals to be included in the Part 2 Local Plan and the Plan was duly adopted in October 2019.</p> <p>The Council's Planning department supported the development of local Neighbourhood Plans. Referenda on Plans were deferred due to the pandemic but are now authorised again, with the Awsworth referendum due to take place in June 2021.</p> <p>Progress on discussions to create a new Development Corporation in Nottinghamshire and Leicestershire have been reported to the Jobs and Economy Committee.</p>
Communication and Engagement Strategy	The pandemic in 2020/21 resulted in an unprecedented increase in communication to key stakeholders and local people in order to ensure

How we meet the principle	Where you can see evidence of the principle in action and where we took action in relation to the principle in 2020/21
	everyone was kept informed about actions required to keep themselves and the wider community safe; how to access help and support, and the key actions the council was taking to respond to the pandemic.

Opportunities for further improvement

These are included in the Governance Risk & Compliance Action Plan 2020/21 at appendix 3.

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

How we meet the principle	Where you can see evidence of the principle in action and where we took improvement action in relation to the principle in 2020/21
<p>The Council's vision and priorities are set out in its Corporate Plan.</p> <p>Under the Corporate Plan there are business plans for each of the Corporate Plan priorities. The Business Plans set a small number of high level outcome targets; Critical Service Indicators (CSI). These are supported by Key Performance Indicators (KPI) and Management Performance Indicators (MPI). The latter are used by managers to inform day to day operational service delivery.</p>	<p>The Council's corporate plan for 2020-24, which is available on the website.</p> <p>All the business plans in the middle column are approved annually and can be viewed on our website. These include</p> <ul style="list-style-type: none"> • Housing business plan • Business Growth business plan • Community Safety business plan • Health business plan • Environment business plan • Liberty Leisure Ltd business plan • Bereavement Services business plan • Resources business plan • Revenues, Benefits and Customer Services business plan • ICT/Business Transformation business plan
<p>Strategies – Each Corporate Plan priority is supported by a number of strategies which informs the strategic direction of the subject area and sets the framework within which annual business plan tasks and targets are set</p>	<p>The key strategies adopted in previous years and not already mentioned previously in this table are:</p> <ul style="list-style-type: none"> • Housing Strategy 2020 • Green Infrastructure Strategy 2015-2030 • Aligned Core Strategy 2014-2020 • Local Plan Part 2 2018-2028 • Waste Strategy 2016-2020 • Climate Change and Green Futures Programme 2020-2027 • Playing Pitch Strategy 2016-2028 • Digital Strategy 2019-2023 • Homelessness Strategy 2017-21 • Broxtowe Play Strategy 2017-2020 • Economic Regeneration Strategy 2017-21 • ICT and Business Transformation Strategy 2017-2021 • HS2 Growth Strategy Sept 2017 • Revenue Budget and Medium Term Financial Strategy for 2021/22, as well as Capital Strategy, Asset Management Strategy and Treasury Management and Investment Strategies.

How we meet the principle	Where you can see evidence of the principle in action and where we took improvement action in relation to the principle in 2020/21
<p>Progress on delivering business plan targets, tasks and achievement of outcome indicators are regularly reported to Councillors for scrutiny.</p> <p>An audit of data quality is conducted annually and all performance indicators are required to be signed off at senior management level to ensure that the quality of any data produced is of a sufficient standard</p>	<p>Performance reporting to Policy and Performance Committee focuses on Critical Service Indicators (CSI) and financial information indicating variances from the expected position. This takes place on a quarterly basis.</p>
<p>The Council's financial plans are based on a Medium Term Financial Strategy (MTFS) which identifies future budget pressures. This is revised annually as part of the budget setting process and is kept under review throughout the financial year</p>	<p>The Medium Term Financial Strategy was reviewed and revised by Finance and Resources Committee on 11 February 2021.</p>
<p>The Council's annual Business Strategy has the following 4 objectives: that the Council should be</p> <ul style="list-style-type: none"> • Lean and fit in its assets, systems and processes • Customer focused in all its activities • Commercially-minded and financially viable • Making the best use of technology. 	<p>The business strategy was revisited and revised in 2020/21 and approved by Finance and Resources Committee in October 2020.</p> <p>The Business Strategy identified potential efficiencies and income generation opportunities amounting to around £490,000 during 2020/21 and 2022/23 to help balance the budget.</p> <p>The Finance and Resources Committee considered a report on 30 March 2021 which informed of the position of the Council's investment in the terms of environmental, social, and governance investing criteria.</p>
<p>Councillors keep oversight throughout the year regarding whether financial performance is in accordance with the agreed budget framework</p>	<p>Detailed reports to all service committees are produced at the year end to highlight financial variances from the expected position. This also happens in relation to capital plan monitoring</p>

How we meet the principle	Where you can see evidence of the principle in action and where we took improvement action in relation to the principle in 2020/21
The Council has a strategic risk register which is regularly reviewed and reported to Governance, Audit and Standards Committee	The Council's approach to identifying and quantifying strategic risks was reviewed and improved during the previous year.

Opportunities for further improvement:

These are included in the Governance Risk & Compliance Action Plan 2020/21 at appendix 3.

D. Determining the interventions necessary to optimise the achievement of the intended outcomes

How we meet the principle	Where you can see evidence of the principle in action and where we took improvement action in relation to the principle in 2020/21
The Council takes time to analyse options in relation to major decisions	Examples of where the Council has taken time to consider options is in connection with the house building programme where the Council has reviewed a number of garage sites for the veterans' accommodation, and finally decided on Oakfield Rd in Stapleford which is now being developed. Similarly, for Fishponds Cottages site, we have reviewed a number of options for housing (mix, tenure etc., removing cottage/retaining cottage) and arrived at the most beneficial solution. Further sites are being considered and developed.
The Council examines options for the future use of its assets in order to improve public value	Examples include <ul style="list-style-type: none"> • Beeston Town centre regeneration: selection of construction partner for Cinema • Beeston Town centre selection of residential build partner • Stapleford Police Station: following a successful bid to D2N2 to develop business hub this is now nearing completion and has several occupants. • Submission of bid to D2N2 for new business units at Mushroom Farm – construction has begun on the site with interest being shown.

How we meet the principle	Where you can see evidence of the principle in action and where we took improvement action in relation to the principle in 2020/21
The Council considers the impact on customers when considering options to change patterns of service delivery	An example is the approach the Council has taken to increasing methods of Council house rent payment, and in relation to the use of former garage sites as land on which to build housing development.
The Council regularly revises and updates its proposals to achieve savings and generate additional income	The Business Strategy was updated in October 2020 in preparation for the 2021/22 budget as was the Medium Term Financial Strategy.
The Council is pro-active in tackling areas of poorer performance	<p>Examples include measures to increase staff capacity to tackle leaseholder matters and increasing capacity in private rented housing to address HMO issues.</p> <p>Measures were taken to improve performance in the Council's contact centre. A housing repairs review took place to improve the housing repairs service which resulted in a new section and a new Head of Service position being created to give greater capacity to safety, compliance and asset management.</p>
The Council has regard to external events and is pro-active in examining whether its arrangements respond to identified risks and threats	<p>Regular reports were presented to each committee to provide updates in relation to the COVID-19 pandemic.</p> <p>The Council has played an active role in the local resilience forum to manage the pandemic risk.</p> <p>A Grenfell Response officer working group is working to ensure issues arising from the Grenfell fire are managed proactively and effectively to ensure tenants are kept safe.</p>
The Council is pro-active in identifying threats and risks to safety and works in partnership to mitigate these	<p>Work within the South Nottinghamshire Community Safety partnership develops and implements action plans to tackle safety risks such as knife crime action plan; Stapleford Action plan; Eastwood Action plan.</p> <p>The Council took active measures to investigate and initiate measures to restrict Houses in Multiple Occupation in Beeston and progress has been made to introduce an Article 4 Directive in the area.</p>

How we meet the principle	Where you can see evidence of the principle in action and where we took improvement action in relation to the principle in 2020/21
<p>The Council works with outside experts as well as internal and external stakeholders to identify potential better ways of delivering services</p>	<p>Examples where external experts have added value to our efforts in 2020/21 include:</p> <ul style="list-style-type: none"> • Interim Housebuilding Manager • Project Manager Beeston Town Centre Regeneration • Procurement Officer <p>Examples of external working include</p> <ul style="list-style-type: none"> • HS2 strategic board and associated groups • Bramcote Crematorium joint committee • Stapleford Towns Fund board • Broxtowe local strategic partnership • Greater Nottingham joint planning advisory board • South Nottinghamshire community safety partnership • Nottinghamshire economic prosperity committee • Nottinghamshire health and wellbeing board • Safer Notts Board • Notts Water Safety partnership • Notts hate crime partnership • Notts adult safeguarding board

Opportunities for Further Improvement:

These are included in the Governance Risk & Compliance Action Plan 2020/21 at appendix 3.

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

How we meet the principle	Where you can see evidence of the principle in action and where we took improvement action in relation to the principle in 2020/21
The structure and cost of service delivery is continually reviewed.	In the year, structural reviews took place including Housing Operations; Environment Services; Customer Services; Planning and Economic Development; Community development; and HR.
The Council enhances its capacity, increases resilience and broadens access to skills Through sharing a range of services with neighbouring authorities	The Council shares services with neighbouring authorities in relation to Building Control (Erewash); Burials and cremation (Erewash); NDR recovery (Ashfield); CCTV (Newark & Sherwood/ Ashfield/Mansfield); Car parking enforcement (Rushcliffe); and accommodation for homeless people (Rushcliffe and Gedling).
As much as identifying ways of reducing expenditure the Council is also prepared to invest in additional capacity to respond to changing needs of residents/customers, enhance knowledge and insight and improve the quality and cost effectiveness of service delivery	Examples within structural reviews include <ul style="list-style-type: none"> • Additional capacity for Recycling and Climate Change • Additional capacity for community engagement • Section 106 contributions officer • Additional legal capacity to respond to increased demand and additional activity on housing buy backs.
Business and financial performance is regularly scrutinised by all committees	See section C above for details
Service Committees consider a range of data including benchmarking data to assess the quality of Council services	The Council uses the online Grant Thornton benchmarking tool which gives a greater degree of granular information about service issues. The Housing Committee receive information on the results of Housemark benchmarking data. The Environment Services (waste and recycling, street cleansing; leisure and grounds maintenance) benefit from benchmarking through APSE.

Opportunities for Further improvement:

These are included in the Governance Risk & Compliance Action Plan 2020/21 at appendix 3.

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

How we meet the principle	Where you can see evidence of the principle in action and where we took improvement action in relation to the principle in 2020/21
<p>The Council integrates risk management approaches into its performance management arrangements</p>	<p>A Governance Risk and Compliance Action Plan has been developed which integrates action planning arising from the need to improve governance (actions identified through the SOLACE/CIPFA review); risk management mitigation actions identified through the Strategic Risk Register and compliance with the law - both current and future.</p>
<p>The Council has a Strategic Risk Management Group that reports to GMT. The Governance, Audit and Standards Committee regularly consider and approve updates to the Strategic Risk Register.</p> <p>All key decision reports submitted to committees contain a risk assessment where appropriate, which is used to update the Strategic Risk Register. All action points within business plans are required to be risk assessed.</p> <p>The Governance, Audit and Standards Committee has oversight and decision making responsibility for determining:</p> <ul style="list-style-type: none"> • Internal Audit Plan and progress made with the plan • implementation of audit recommendations • Strategic Risk Register <p>Risk management training is occasionally provided. An eLearning module is available to enable members to access training on risk management whenever convenient to them.</p>	<p>The refreshed Risk Management Strategy was approved by the Governance, Audit and Standards Committee on 3 December 2018. Regular updates on strategic risks were presented to this Committee throughout 2020/21.</p> <p>The Strategic Risk Register is also a key element used in preparing the annual Internal Audit Plan. This helps to ensure that resources are targeted towards those areas which are the highest risk to the Council.</p> <p>As part of the Council's response to Coronavirus business continuity plans were refreshed and an internal working group set up to ensure high quality risk management in relation to safety of employees delivering services during the pandemic.</p>

How we meet the principle	Where you can see evidence of the principle in action and where we took improvement action in relation to the principle in 2020/21
<p>Members of the Governance, Audit and Standards Committee can have independent access to the Chief Audit and Control Officer where considered to be necessary. The Chief Audit and Control Officer is satisfied that in all respects he has the necessary authority and resources to assess the Council's governance, risk and internal control environment and highlight any problems that he considers should be drawn to the attention of the Council</p>	<p>The results of an External Quality Assessment of the effectiveness of Internal Audit was considered by the Governance, Audit and Standards Committee in March 2018. This review was conducted by an experienced and independent assessor. The outcome of this review was positive and indicated that Council's Internal Audit service complies with the expectations of the Public Sector Internal Audit Standards. This provides the Council with confidence in the assurance work that is provided by Internal Audit. Furthermore, the outcome of the review was benchmarked against other providers in both the sector and the wider industry and this showed that the team compares favourably in comparison with its peers. Whilst the review did identify areas where improvements could be made, these were not felt to be fundamentally undermining the work of Internal Audit, its role within the organisation or the Chief Audit and Control Officer's ability to assess the Council's internal control environment.</p>
<p>The Safety Committee and Civil Contingencies Planning Group, chaired by the Chief Executive and comprising relevant senior officers, consider and develop plans to mitigate risks arising in workplace settings, or threats from flooding, major emergency events or risks to health</p>	<p>The internal Health and Safety committee and civil contingencies committees steer the Council's implementation of key strategies including the Emergency Plan; Flu Pandemic Plan; Flooding Response Plan and a COVID-19 response Plan.</p> <p>An annual health and safety report is presented to Committee. The Health and safety committee is currently considering a new policy for Health and Safety and Control of Substances Hazardous to Health.</p>
<p>A corporate Business Continuity Plan seeks to mitigate the effects of a potential disruption to services so that the impact of such a disruption is minimised and services restored to an acceptable level within pre-set timescales. The Business Continuity Plan is reviewed by the Strategic Risk Management Group. Departmental business continuity plans also exist</p>	<p>Copies of departmental and Corporate Business Continuity Plans are available.</p> <p>As part of the Council's response to the coronavirus threat, business continuity plans were activated and updated to respond to these new risks. The Council has played a full part in the local resilience forum structures.</p>

How we meet the principle	Where you can see evidence of the principle in action and where we took improvement action in relation to the principle in 2020/21
<p>The Fraud and Corruption Prevention Policy Statement is that the Council takes a zero-tolerance approach to fraud and corruption.</p> <p>The Council is committed to establishing a strong anti-fraud/corruption culture and will take all necessary steps to prevent, detect and punish fraudulent and corrupt acts. Any indications of potential benefits fraud are forwarded to SFIS for investigation.</p> <p>The Council has processes in place which help to identify and tackle fraud. An analysis of residual non-benefits related fraud investigation requirements was undertaken prior to the transfer which identified no substantial areas of immediate concern for the Council other than that which can normally be addressed as part of the work of Internal Audit</p>	<p>The Fraud and Corruption Prevention Policy and Money Laundering Prevention Policy were approved by the Governance, Audit and Standards Committee in March 2017. As part of the process, an annual report relating to fraud and corruption prevention activity is submitted to the Governance, Audit and Standards Committee, the latest being in September 2020. The delivery of the action plan will help to further strengthen the current arrangements in place.</p> <p>Data matching exercises are regularly undertaken in conjunction with the National Fraud Initiative (Cabinet Office). In addition, a premium Single Person Discount review was undertaken jointly across the Nottinghamshire authorities with the NFI. The results of these NFI exercises are used to shape future programmes of counter fraud activity.</p> <p>A proactive approach has been undertaken by introducing the Fraud and Error Reduction Incentive Scheme (FERIS) approach and a risk-based assessment framework for benefits applications, including the Local Council Tax Support Scheme, for which the Council remains fully accountable.</p>
<p>Chief Officers are required to prepare an annual statement of compliance with internal control stating compliance with the law and approved policy</p>	<p>An annual Statement of Internal Control has been prepared by each Chief Officer</p>
<p>The Council has information governance arrangements in place including safe collection, storage, use and sharing of data. A suite of online information management products has been developed and are required to be completed by employees at various levels.</p>	<p>Comprehensive Information Management Policies (internal documents) are in place.</p> <p>The Council has a full time dedicated Information Governance Officer</p> <p>An online GDPR employee training product was completed by all employees.</p>

How we meet the principle	Where you can see evidence of the principle in action and where we took improvement action in relation to the principle in 2020/21
The Council is proactive in tackling threats to performance (e.g. income management)	<p>Reports are made regularly to the Finance and Resources Committee on the roll out of Universal Credit.</p> <p>A pandemic recovery plan has been developed which will include actions to address the significant financial, social, business and health impacts of the pandemic on the Council's activities and the community as a whole.</p>
The Council welcomes external agencies to give us feedback on our performance and responds positively to suggestions for improvement	The Council applied for and was successful in acquiring external LGA workforce development support through the LGA. Feedback received helped to inform the creation of the new Organisational Development Strategy.

Opportunities for Further Improvement:

These are included in the Governance Risk & Compliance Action Plan 2020/21 at appendix 3.

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

How we meet the principle	Where you can see evidence of the principle in action and where we took improvement action in relation to the principle in 2020/21
The Council complies with its obligation to produce a Publication Scheme	The Publication Scheme is on the Council's website and is regularly reviewed.
The Council publishes data in a transparent way which is accessible through the website	There is an open data section on the Council's website.
The Council reports annually on performance and financial stewardship through a newsletter which goes to every household in Broxtowe	A review of the implementation of the last corporate plan was published on the website and included in Broxtowe matters, as well as updating residents on the latest adopted corporate plan.
A Governance, Risk and Compliance Action Plan is produced which incorporates	The status of the previously agreed action plan is outlined in appendix 4 below.

How we meet the principle	Where you can see evidence of the principle in action and where we took improvement action in relation to the principle in 2020/21
governance improvements identified as a result of the annual governance check	
Internal Audit and External Auditor recommendations are acted upon	Reports are regularly made to Governance, Audit and Standards Committee on progress in implementing agreed actions following an Internal Audit.
The Council welcomes peer challenge and other forms of external review of service delivery	The planned LGA peer review was due to take place in June 2020 but was deferred because of coronavirus. It is now due to take place in 2021.

Opportunities for further improvement

These are included in the Governance Risk & Compliance Action Plan 2020/21 at appendix 3.

Conclusion

The Council has responsibility for conducting, at least annually, a review of the effectiveness of its governance framework including the system of internal control. The review of effectiveness is informed by the work of senior managers within the organisation who have responsibility for the development and maintenance of the governance environment, the Chief Audit and Control Officer's annual report and also by comments made by the external auditors and other review agencies and inspectorates.

The operation of the Governance Framework during 2020/21 has provided the Council with **substantial assurance** that proper practices are in place governing the conduct of the Council's business. Additional improvement actions have been identified through the annual review of the standard and are included in the new Governance Risk and Compliance Action Plan.

Implementation of the governance related actions specified in the attached action plan will help to ensure that the Council's governance arrangements continue to improve and be fit for purpose in accordance with the governance framework.

APPENDIX 3

GOVERNANCE RISK AND COMPLIANCE ACTION PLAN**Governance Risk & Compliance Action Plan 2020/21**

Action	Lead Officer		Completion
A. Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law			
1. A new Organisational Development Strategy will be completed in 2020/21	Chief Executive		Completed and approved by Personnel Committee on 30 June 2020.
2. An LGA Peer Review will be completed in 2020/21	Chief Executive		End March 2021 The peer review system has been suspended by the LGA so this action can't be completed and will be rolled over to next financial year
B. Ensuring openness and comprehensive stakeholder engagement			
3. Conduct a budget consultation exercise with residents in 2020/21 for the budget 2021/22	Deputy Chief Executive		Completed and results reported to the Finance and R committee on 11 February 2021
4. Engage and consult with the community regarding the future of Stapleford prior to the submission of a Towns Fund bid	Head of Planning and Economic Development		April- August 2020 Consultation completed. Bid submitted Jan 21

Action	Lead Officer		Completion
5. Consulting with tenants and the public on a new Housing Strategy	Head of Housing		2 September 2020 Consultation completed and new strategy approved by housing committee Sept 2020
C. Defining outcomes in terms of sustainable economic, social and environmental benefits			
6. Review and amend the Council's Constitution	Monitoring Officer		1 July 2020 The scheme of delegation was reviewed and delegated by Council to Policy and Performance Committee to agree which it duly was at its July meeting.
7. Continue to support the development of Neighbourhood Plans	Head of Planning and Economic Development		End March 2021 Ongoing – no referendum on the neighbourhood plan for Bramcote and Chilwell before May 21 because of COVID-19
8. Further update the Business Strategy in preparation for the 2021/22 budget round	Deputy Chief Executive		10 December 2020 The business strategy was updated and approved by F and R committee on 8 October
9. Complete a new Waste Strategy following the new Government strategy being published	Head of Environment		End December 2021 The government has not yet produced the new waste strategy which has delayed the creation of our new strategy so will not be possible to meet deadline.
10. Complete a Vision and Action Plan for Stapleford	Head of Planning and Economic Development		August 2020 The Stapleford Towns fund duly approved a vision statement
11. Complete a new Carbon Reduction Plan	Executive Director		September 2020 The Environment and climate change committee adopted a new strategy in Nov

Action	Lead Officer		Completion
			2019 and receives regular reports on the implementation progress of the 15 strand project.
D. Determining the interventions necessary to optimise the achievement of the intended outcomes			
12. Review the operation and financing of leisure in Broxtowe following the COVID-19 pandemic and Update the Leisure Facilities Strategy (December 2021)	Deputy Chief Executive		June 2020 A leisure facilities strategy review was presented to Policy and Performance Committee on 1 Oct 2020 and a task and finish group was set up to develop more detailed plans for new leisure centres .
13. Complete a new Asset Management Strategy	Head of Asset Management		End March 2021 Themes of the strategy approved by Housing Committee but will probably be expanded to include all Council-owned property assets. A new Asset management head of service was created to create extra capacity. This work now falls to the new head of service. The deadline will slip
14. Following the pandemic, develop a Recovery Plan	Chief Executive		July 2020 Recovery plan approved by both Jobs and Economy Committee and Policy and Performance committee
15. Ensure the full implementation of a new Contract Management Framework	Procurement Officer		End December 2020. New policy approved. In implementation phase
16. Improve aspects of financial administration including:	Head of Finance		End of March 2021. <ul style="list-style-type: none"> The cash receipting system underwent a server upgrade in 2020/21 that should

Action	Lead Officer		Completion
<ul style="list-style-type: none"> Improving the accuracy of the cash receipting system Completion of the intelligent scanning invoice matching system New system for appraisal of capital projects and prioritisation Improve the bank reconciliation systems (ICON). 			<p>enhance performance and increase reliability of the system. Additional functionality was also made available to users.</p> <ul style="list-style-type: none"> The rollout of the intelligent scanning invoice matching system has been delayed due to COVID-19 related work pressures but will recommence in 2021/22. Further work is to be undertaken to refine the process to prioritise schemes for inclusion in the capital programme. The recently approved 2021/22 capital programme prioritised those schemes linked to corporate objectives such as Housing and addressed a number of high-risk health and safety priorities. Training on bank reconciliation procedures was provided to key Finance Services, Revenues and Benefits and ICT Services staff in March 2021 by the system provider and an attempt will be made in 2021/22 to cascade this to other key staff involved in the bank reconciliation process.
E. Developing the entity's capacity including the capability of its leadership and the individuals within it			
17. Implement the agreed outcomes of the housing repairs review	Head of Asset Management		End march 2021. The work passed to a new Head of service, created to add capacity to this area of work.

Action	Lead Officer		Completion
			Ongoing. Progress being monitored by Housing committee
18. Review the management structure in the light of changing service demands and economic realities	Chief Executive		September 2020 A new head of asset management and maintenance has been appointed.
F. Managing risks and performance through robust internal control and strong public financial management			
19. Develop a new Fire Safety Policy and risk assessment procedures and update fire risk assessments	Health and Safety and Emergency Planning Manager		September 2020 New fire safety policy adopted and being implemented
20. Following the pandemic, as soon as practically possible, catch up with the backlog of housing repairs and gas safety checks	Housing repairs Manager		End March 2021 The housing team worked hard to catch up the backlog after the first wave
21. Develop a flood risk assessment and response plan for Kimberley depot	Executive Director		Completed End March 2021 Deadline has slightly slipped but work is under way and will be completed by end of financial year
G. Implementing good practices in transparency, reporting and audit to deliver effective accountability			
22. Review and expand the open data section of the website	Executive Director		End December 2020 Open data section reviewed and updated
23. Develop a governance risk and reporting system for major projects to	Chief Audit and Control Manager		20 July 2020 completed. A new framework has been approved and is being reported on.

Action	Lead Officer		Completion
be reported to Governance, Audit and Standards Committee on a regular basis			

APPENDIX 4

DRAFT ANNUAL GOVERNANCE STATEMENT

1. What are the Council's Governance Arrangements?

1.1. Corporate Values

The Council's governance arrangements are reflected in our corporate values which are:

- Integrity and professional competence
- A strong caring focus on the needs of communities
- Continuous improvement and delivering value for money
- Valuing employees and enabling the active involvement of everyone
- Innovation and readiness for change.

1.2. Competency Framework and Employee Performance Appraisal

These values are consistent with the SOLACE/CIPFA governance code and act as the basis for the Council's competency framework and the assessment of individual employee performance appraisal.

1.3. The Constitution, Standing Orders and Delegated Authority

The Council's Constitution sets out the roles of members and officers and the terms of reference of the Council's committees. Officer's delegated powers to take decisions are set out in this document, as are the protocols and codes of conduct regulating the way employees and members should behave and relate to each other, and how debate is conducted at Council meetings. Limits of financial expenditure are set out in standing orders and in standing orders relating to contracts.

The main checks and balances on the respective power of officers and members is summarised in the table below. The table provides some of the key ways in which officers and members are held accountable to local residents. Website links are made to where you can find further information (*those in green and black are internal documents*).

Officer checks /balances	Member checks/balances	Accountability to residents
<ul style="list-style-type: none"> • Officer delegations within Constitution • Pay Policy underpinned by Job evaluation policy • Disciplinary Policy 	<ul style="list-style-type: none"> • Elections • Independent Remuneration Panel • Members Allowances scheme • Governance Audit and Standards Committee 	<ul style="list-style-type: none"> • Broxtowe Matters Annual Report • Public Questions at Council Meetings • Petitions at Council Meetings

<ul style="list-style-type: none"> Employee Code of Conduct 		<ul style="list-style-type: none"> Community Trigger for Anti-social Behaviour
Officer checks/balances	Member checks/balances	Accountability to residents
<ul style="list-style-type: none"> Statutory Officers (Chief Executive head of paid service; deputy chief executive section 151 officers; Monitoring Officer; Chief Information Officer-Interim Executive Director Financial standing orders within constitution Contract standing orders within constitution Fraud Prevention Policy Treasury Management policy Business Continuity Plans Whistleblowing Policy Strategic Risk Register Risk Management Policy Health & Safety Policy; Procedures; Health & Safety Group Information Management Arrangements Staff engagement exercises Complaints and compliments procedure Licensing and Appeals Committee (employment and grievance appeals) 	<ul style="list-style-type: none"> Statutory Officers (Chief Executive head of paid service; deputy chief executive section 151 officers; Monitoring Officer; Chief Information Officer-Interim Executive Director Questions to Committee chairs at Council meetings Member code of conduct Reports at Council by Members of Outside Bodies at Council meetings Ward Member reports at Council meetings Public Consultations Register of Members Interests Community Action Team Meetings Declaration of interests at all meetings Protocol for Councillor/Officer Relationships 	<ul style="list-style-type: none"> Communications strategy 2018-21 Open Data Transparency framework Publication scheme Publication of Committee decisions Tenant and Leaseholder Matters Broxtowe Parks Standard Public satisfaction surveys External audit annual letter to Governance at Audit committee Internal and external audit progress reports at Governance and Audit Committee Periodic external inspections e.g. EFLG/IIP/IIE/LGA Peer review Benchmarking through APSE/CIPFA/SOCITIM/ Housemark Finance Data online Licensing and Appeals Committee (Taxi, alcohol, licensing matters) Commenting on Planning applications and speaking to Planning Committee

<ul style="list-style-type: none"> Statement of Internal Control (SIC) 		
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1.4. Corporate Plan and Business Plans

The Council's Corporate Plan sets out the Council's Vision and Priorities. The vision is "Broxtowe- a greener, safer healthier place where everyone prospers".

The priorities are succinctly expressed:

Housing: A good quality home for everyone

Environment: Protect the environment for the future

Business: Invest in our towns and our people

Health: Support people to live well

Community safety: A safe place for everyone

Each priority has objectives which are set out in the plan and specific measureable outcome measures, in year 2 of the plan (2021/22) and at year 4.

1.5. Strategy and Policy Framework

Within each priority area, a range of strategies and policies are devised to guide the decision making of officers and members. These are approved by the respective committees (see below) apart from those which are reserved for full Council for determination.

1.6. Decision-making Structures

The Council has adopted a committee system, which means that all the political parties are represented within the decision making committees. Neither the Leader of the Council or the Chairs of Committees have executive power, which enables decision making to take place in a democratic fashion with scrutiny taking place as part and parcel of decision making. The Council may set up task and finish or working group arrangements to come forward with proposals for policy development or on topics which members consider require further investigation and enquiry.

- Full Council decides upon policy and certain other specialist functions that cannot be delegated elsewhere, including the setting of the Council Tax.
- The Policy and Performance Committee, which includes the Chairs of all other policy committees, has overall responsibility for developing and delivering policies of the Council and monitoring progress against the objectives of the Corporate Plan.
- The Finance and Resources Committee has responsibility for reviewing the Council's budget and financial management and makes recommendations to Council with regard to the setting of Council Tax.
- Committees mirror the Council's main priority themes of Community Safety; Housing, Jobs and Economy, and Leisure and Health, Environment. These

are allocated authority by the Council to develop and deliver policy within their specific remit set out in the constitution.

- Separate quasi-judicial committees exist for Planning, Licensing and Appeals, Alcohol and Entertainments.
- A specific committee exists for personnel decisions and policies.
- Matters relating to governance and standards are dealt with by the Governance, Audit and Standards Committee. The role of this committee is particularly relevant to the operation of the SOLACE/CIPFA code and is set out in more detail below:

Role of the Governance, Audit and Standards Committee

The role and operation of the Governance, Audit and Standards Committee is in line with a toolkit and publication produced by CIPFA entitled Audit Committees – Practical Guidance for Local Authorities.

The specific functions delegated to this Committee are provided in its Terms of Reference which include:

- To determine attendance of members at conferences.
- To determine responses on behalf of the Council to any government, local authority or other consultation on matters within the remit of the Committee.
- The functions conferred in relation to standards of conduct by the Local Government Act 2000, the Localism Act 2011 and associated legislation.
- Without prejudice to the generality of the foregoing:
 - promoting and maintaining high standards of conduct for all members and officers
 - preparing for adoption or revision by the Council policies and codes of conduct for members, co-opted members and officers
 - monitoring the operation of the codes of conduct
 - granting dispensations to members (including co-opted members) from requirements relating to interests set out in the Members' Code of Conduct
 - advising and training members, co-opted members and officers on matters relating to conduct
 - undertaking the same duties as detailed above in respect of parish or town Councils within the Council's area
 - considering, determining and dealing with matters referred by the Monitoring Officer
 - considering, determining and dealing with matters referred by the Chief Executive or Monitoring Officer under the Council's Whistleblowing Policy
 - monitoring the complaints made against the Council including those made via the Ombudsman service
 - assessing (and reviewing if appropriate) all complaints made in respect of breaches of the Members' Code of Conduct.
- The Committee will:

- To oversee the arrangements for the maintenance of the Council's internal control environment
 - To monitor and make recommendations regarding the Council's corporate governance arrangements including the appointment of the external auditor
 - Consider ways of achieving reductions in ongoing financial commitments through a review of essential and desirable services and service levels.
 - Identify opportunities for future income generation and cost savings.
 - Examine further procurement and collaborative working opportunities with the private sector and other local authorities.
- Consider the Council's published financial accounts and associated documents, including the Annual Governance Statement, and give approval to them when satisfied;
- Review the work of the internal audit section including the approval of an audit strategy and annual audit plans;
- Consider significant issues arising from internal audit reviews, make recommendations accordingly and monitor management's response;
- Receive reports from the Council's external auditors, the Council's internal auditor and from any inspection agencies and monitor action in response to any issues raised;
- Oversee the effectiveness of the Council's risk management procedures, the control environment and associated fraud and anti-corruption arrangements including the approval of amendments to the strategic risk register and associated action plans;
- Monitor and review the Council's business continuity arrangements;
- Consider the Council's arrangements for corporate governance and recommend necessary action to maintain best practice and to comply with the code of corporate governance;
- Determine the discretionary elements of both national and local conditions of service;
- Determine employment and health and safety policies;
- The power to make payments or provide other benefits in cases of maladministration (section 92 Local Government Act 2000);
- To receive reports directly from the Chief Internal Auditor as and when he/she thinks fit;
- To receive reports directly from the Council's external auditors as and when appropriate.
- The Committee may appoint Panels comprising of a proportionate combination of three or five members of the main Committee.
- To determine responses on behalf of the Council to any government, local authority or other consultation on matters within the remit of the Committee.
- Consider in detail polling district boundaries for the Borough Council's administrative area and any necessary changes to ensure that:

- electors have such reasonable facilities for voting as are practicable in the circumstances.
- as far as is reasonable and practicable, that polling places are accessible to all electors, including those who are disabled, and when designating a polling place, have regard to the accessibility needs of disabled persons.
- Consider polling places for the Borough Council's administrative area.
- Consider the warding arrangements for Broxtowe to ensure electoral equality in all areas.
- Consider the boundaries of parish Councils in the Borough and warding arrangements in those areas, if appropriate.
- Consider the names of Borough Council and parish Council wards.

Two joint committees exist – the Economic Prosperity, which consists of the Leaders of all Councils in Nottinghamshire to consider countywide development matters; and the Bramcote Bereavement Service Joint Committee which oversees the operation of Bramcote Crematorium, which is jointly owned with Erewash Borough Council.

Two internal committees recommend changes to employee policy pay and conditions – the Local Joint Consultative Committee which considers employee related matters and the Independent Remuneration Panel, which considers matters relating to the remuneration of members. The Independent Remuneration Panel reviewed members' allowances in January 2021 and decided on a further in-depth review due to the increase in the number of committees at the Council.

The Panel recommended no increase in the allowance in-line with the employee pay award. Full Council received the report of the Panel's findings on 3 March 2021 and accepted the recommendation.

Delegation arrangements to officers are set out in detail within the Constitution. In order to ensure that decisions are made in compliance with the law and approved policy, Chief Officers are charged with responsibility for the operation of controls within their areas of responsibility and for statutory functions as necessary. They make an annual declaration of compliance through the annual statement of internal control.

Regular meetings take place between relevant senior officers and members of the Council to discuss and propose policy.

The Constitution also includes sections on the conduct of meetings, Financial Regulations, Financial Regulations (Contracts) and Codes of Conduct for members and officers.

- 1.7. The Council established a wholly owned leisure services company, Liberty Leisure Limited, from October 2016. These arrangements have delivered cost reductions and increased income through the company operating as a commercial entity and opportunities to better fulfil the Council's aims through increased flexibility in day-to-day operations.

Full control of the company is maintained by the Council through the governance arrangements that are in place, with the Leisure and Environment Committee maintaining an oversight of the company. Liberty Leisure Limited has continued to provide a wide range of leisure and cultural activities and generates a surplus trading position.

- 1.8. A Shared Services Board, chaired by the Chief Executive, meets regularly to keep shared service arrangements under review.

1.9. Strategies, Policies and Business Plans

The Council has a suite of strategies, policies and business plans which mirror its corporate priority themes and ensures that service delivery follows a clearly set out, politically approved and strategically led approach.

1.10. Electoral Arrangements

There were no elections during 2020/21 on account of the pandemic.

1.11. Statutory Officers

The Council's statutory officers are the Chief Executive (as the 'Head of Paid Service'), the Deputy Chief Executive (as the 'Section 151 Officer') and the Interim Monitoring Officer. All three officers are members of the General Management Team (GMT) and have the authority to place reports in front of an appropriate member body where an aspect of concern and within their statutory remit comes to their attention.

In particular, they are responsible for ensuring that the Council acts within the law and in accordance with established policies and procedures. The Section 151 Officer is specifically responsible for the proper discharge of financial arrangements and must advise the Council where any proposal might be unlawful or where expenditure is likely to exceed resources.

Regular discussions are held at weekly meetings of the General Management Team (GMT) about issues where governance is of concern and periodically a specific discussion takes place to identify areas of concern on the horizon, whether these may arise from such as legislative changes, changing service demands, political matters or financial problems, risk assessment that has been undertaken and any changes in the risk environment in which the Council is operating, and matters to be reported to future committees.

The Deputy Chief Executive is the appointed Section 151 Officer and is a key member of GMT. Being part of GMT, together with meeting with leading members and attending full Council, Policy and Performance Committee, Finance and Resources Committee and other appropriate committees, as required, ensures that the Section 151 Officer can provide corporate financial advice to the Council at the appropriate level and that financial implications and risks are properly taken into account.

All reports to decision making committees incorporate a statement on financial implications where appropriate which are subject to review by the Section 151 Officer and the Head of Finance Services. As such the Council's financial arrangements conform to the governance requirements of the CIPFA Statement on the Role of the Chief Financial Officer in Local Government (2016).

The Section 151 Officer's responsibilities include ensuring that GMT and senior members are made aware of any financial issues at the earliest opportunity and making sure that these are acted upon as appropriate.

The Interim Monitoring Officer also attends GMT. Part of their responsibilities include ensuring that any legislative changes are known about and implemented as appropriate, together with monitoring that the Council does not act unlawfully.

Chief Officers are responsible for ensuring that legislation and policy relating to service delivery and health and safety are implemented in practice. Each Chief Officer signs a Statement of Internal Control to acknowledge responsibility in maintaining and operating functions in accordance with the Council's procedures and practices that uphold the internal control and assurance framework.

In 2020/21 the Statements of Internal Control were reviewed to determine whether any further strengthening of the control environment can be achieved. Any areas identified have been addressed or are part of ongoing development of increased controls to be implemented during 2021/22.

1.12. Internal Audit

The Chief Audit and Control Officer is the Council's designated 'Head of Internal Audit' and is under the management of the Deputy Chief Executive. Whilst the Chief Audit and Control Officer is not a member of GMT, in all other respects the role is in accordance with guidance as laid down in the Public Sector Internal Audit Standards and the CIPFA Statement on the Role of the Head of Internal Audit, including their attendance at the Governance, Audit and Standards Committee and presenting reports in their own name.

The Chief Audit and Control Officer is responsible for the review of the systems of internal control and for giving an opinion on both the corporate and service specific standards in place. As reported to the Governance, Audit and Standards Committee on 20 July 2020, he has undertaken such a review and concluded that, in his opinion, "the current internal control environment is satisfactory such as to maintain the adequacy of the governance framework".

The Internal Audit Charter covers all activities of the Council at a level and frequency determined using a risk management methodology. The approach is designed to be risk-based so that it can focus resources on the key areas of risk facing the Council. The current arrangements include sharing Internal Audit management resources with Erewash Borough Council.

In advance of each financial year the Governance, Audit and Standards Committee is responsible for approving the Internal Audit Plan that governs each year's activity. Upon completion of each audit assignment, a report is produced for management with agreed actions for improvement. Regular progress reports on Internal Audit activity are submitted to the Governance, Audit and Standards Committee for scrutiny. This Committee can request further reviews to be undertaken and can request other committees to further investigate matters arising from any activities within their remit.

1.13. External Audit

The external auditor reviews the Council's arrangements for:

- preparing accounts in compliance with statutory and other relevant requirements
- ensuring the proper conduct of financial affairs and monitoring their adequacy and effectiveness in practice
- securing economy, efficiency and effectiveness.

The external auditor gives their opinion on the Council's accounts and whether or not proper arrangements exist to secure value for money.

The Council continues to examine the use of its financial systems to help produce information for financial management, the capacity of the Finance Services teams and the financial reporting processes used to advise Members during the course of the year.

1.14. Fraud and Corruption

The Department of Work and Pensions (DWP) established a Single Fraud Investigation Service (SFIS) to manage benefit fraud investigation on a national basis. Officers employed by the Council to investigate benefit fraud transferred to SFIS in November 2015.

The Chief Audit and Control Officer is the central contact for non-benefit fraud allegations. The role of Internal Audit has been extended to act as a co-ordinating and investigating service for all non-benefit related fraud and corruption reports and to manage the Council's response to such reports. Internal Audit is supported in this by procuring specialist fraud investigation services as required from local partners, including Erewash Borough Council.

1.15. Partnerships

The Governance, Audit and Standards Committee has the responsibility to examine further procurement and collaborative working opportunities with the private sector and other local authorities. All of the policy committees have included in their remit the power to direct the work of any delivery vehicles established to deliver services within their remit. This may include partnership arrangements, including those with the voluntary and community sector. Where grants are provided to voluntary sector organisations, conditions are applied

regarding the reporting of the activities of the grant receiving body and its financial standing. In particular, where grant funding exceeds a given value a service level agreement may be used to gain assurance over the use of funds.

Significant Governance Issues – Action Plan

We propose over the coming year to take steps to address the matters listed as “opportunities for improvement” 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 operation as part of our next annual review.

We propose over the coming year to take steps to address the matters listed as “opportunities for improvement” 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 operation as part of our next annual review.

Action
1. An LGA Peer Review will be completed in 2021/22
2. Conduct a budget consultation exercise with residents in 2021/22 for the budget 2022/23
3. Review and amend the Council's Constitution
4. Review the operation and financing of leisure in Broxtowe following the COVID-19 pandemic and update the Leisure Facilities Strategy to improve governance, contract monitoring and develop specific plans for the renewal of leisure centres in Broxtowe.
5. Complete a new Asset Management Strategy
6. Following the pandemic, develop a new Economic Growth and Regeneration plan
7. Ensure the full implementation of a new Contract Management Framework
8. Improve aspects of financial administration including <ul style="list-style-type: none"> • Improving the accuracy of the cash receipting system • Completion of the intelligent scanning invoice matching system • New system for appraisal of capital projects and prioritisation • Improve the bank reconciliation systems (ICON)
9. Complete the Implementation of the agreed outcomes of the Housing Repairs review.
10. Review the management structure in the light of changing service demands and economic realities.
11. Produce a new waste Management Strategy.
12. Refresh the Business Strategy to continue the Council's journey towards financial sustainability.
13. Continue work with partners to review the Greater Nottingham Core Strategy.
14. Complete the implementation of the Independent Living Stock review.

**Councillor M Radulovic MBE
Leader of the Council
Broxtowe Borough Council**

**R Hyde
Chief Executive
Broxtowe Borough Council**

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Report of the Executive Director

COMMUNITY GOVERNANCE REVIEW1. Purpose of report

To ask the Governance, Audit and Standards Committee to approve the proposals to be put forward for consultation as part of the Community Governance Review (CGR) beginning in June 2021.

2. Background

A CGR is a review of the whole or part of an authority's area to consider one or more of the following:

- the creation, merger, alteration or abolition of parishes;
- the naming of parishes and the style of new parishes;
- the electoral arrangements for parishes (i.e. the ordinary year of election; council size; number of councillors to be elected to the council; and parish warding); and
- the grouping or de-grouping of parishes

to ensure that local governance continues to be effective and convenient and that it reflects the identities and interests of local communities. The recommendations arising from a CGR should deliver improved community engagement, more cohesive communities, better local democracy and result in more efficient delivery of local services.

At the meeting of the Governance, Audit and Standards Committee on 20 July 2020 it was agreed that the CGR should begin in June 2021 to allow sufficient time for the review to be completed and any changes implemented for the Borough/Parish elections in 2023. The Terms of Reference for the CGR are set out in appendix 1. The timetable and consultation programme are set out in appendix 2. Appendix 3 sets out options for changes to existing parished areas which will be put forward at the initial stage of the consultation. Maps showing the suggested changes are attached as appendix 4.

Recommendation

The Committee is asked to RESOLVE that the following be approved:

- 1. The Terms of Reference for the Review attached at Appendix 1.**
- 2. The proposed consultation programme set out in Appendix 2.**
- 3. The consultation proposals set out in Appendix 3.**

Background papers

Nil

APPENDIX 1

Community Governance Review – Terms of Reference1. Introduction

Broxtowe Borough Council has decided to undertake a Community Governance Review (CGR) of the governance arrangements of all of the parishes in its area.

The CGR will relate to the whole of the Borough, in order to consider the following:

- the creation, merger, alteration or abolition of parishes;
- the naming of parishes and the style of new parishes;
- the electoral arrangements for parishes (i.e. the ordinary year of election, council size, number of councillors to be elected to the council, and parish warding); and
- the grouping or de-grouping of parishes

Following the review, it may be necessary to ask the Local Government Boundary Commission for England to make changes to the Borough Council's ward boundaries so that parish and ward boundaries are coterminous.

In undertaking the Review, the Council will adhere to Part 4 of the Local Government and Public Involvement in Health Act 2007 (as amended) ("the 2007 Act") and the relevant parts of the Local Government Act 1972 in its work. The following regulations apply, in particular, to consequential matters arising from the Review: Local Government (Parishes and Parish Councils) (England) Regulations 2008 (SI2008/625), and Local Government Finance (New Parishes) Regulations 2008 (SI2008/626). The Department of Communities and Local Government and the Local Government Boundary Commission for England has issued Guidance on Community Governance Reviews in accordance with section 100(4) of the 2007 Act in March 2010, and the Council will have regard to "the Guidance".

Links to the 2007 Act and the Guidance are provided here:

<http://www.legislation.gov.uk/ukpga/2007/28/contents>

<http://www.lgbce.org.uk/how-reviews-work/other-types-of-review/about-community-governance-reviews>

Section 93 of the 2007 Act requires the Council to consult the local government electors for the area under Review and any other person or body who appears to have an interest in the Review, and to take the representations which are received into account by judging them against the criteria in the 2007 Act and in these Terms of Reference. The Council will publish its plan for consultation during the Review, and this will include the receiving of submissions to assist the Council in preparing its draft proposals, together with an appropriate period of consultation on those proposals. The Council is also required to publish all decisions taken as part of the Review and the reasons for taking those decisions.

Broxtowe Borough Council welcomes all representations from any person or body who may wish to comment or make proposals on any aspect of the matters under review. Representations should be addressed to:

The Head of Administrative Services
Broxtowe Borough Council
Council Offices
Foster Avenue
Beeston
Nottingham,
NG9 1AB

Representations may be sent by email to sue.rodde@broxtowe.gov.uk.

All initial representations must be made by 30 September 2021.

All representations received will be published, as will the reasons for accepting or rejecting any such representations. In accordance with the Act, representations received in connection with the Review will be taken into account, and steps will be taken to notify consultees of the outcome of the Review.

2. Parishes

Section 93(4) of the 2007 Act requires that the Council must have regard to the need to secure that community governance within Broxtowe:

- reflects the identities and interests of the different communities in the area;
- is effective and convenient.

The Council considers that for community governance to be effective, parishes must be viable and have a precept which enables them to effectively promote the well-being of their residents and to contribute to the real provision of services in their areas in an economic and efficient manner. Electors should also be able to identify clearly with the parish in which they live.

The Council considers that the boundaries between parishes should normally reflect natural and man-made defining points between communities. These might include rivers or man-made features such as railways or major roads which create a community of identity. It is also considered important that no part of a parish is disconnected from the whole due to access requiring a citizen to leave the parish, travel through a different area to then re-enter their parish. This continuous access helps to ensure community identity and provide polling arrangements which are local to electors. The views of local residents and the parish councils will be an important consideration where a potential change to a parish boundary is considered.

Section 94 of the 2007 Act sets out the duties which the Council has with regard to the creation of a council for a parish:

- where the number of electors is 1,000 or more – a parish council must be created;
- where the number of electors is 151-999 – a parish council may be created, with a parish meeting being the alternative form of parish governance;
- where the number of electors is 150 or fewer – a parish council is not created.

The Council will have regard to the relevant information in determining whether parish councils will be formed for parishes of more than 150 electors.

3. Electoral Arrangements

An important part of the Review will cover the electoral arrangements of the parishes, including any new parishes which are formed. This will include:

- (i). the year in which ordinary elections of parish councillors are held – the next ordinary elections for parish councils is 2023. The Review will be completed in time for any changes arising from it to be in place for those elections.
- (ii). the number of councillors to be elected to the council - the number of parish councillors for each parish council shall not be less than five (section 16, Local Government Act 1972). There is no maximum number in the legislation and there are no specific rules or guidance relating to the allocations of councillors.
- (iii). the division (or not) of the parish into parish wards for the purpose of electing parish councillors - the 2007 Act (section 95(3)) requires that, on considering whether a parish should be divided into wards for the purposes of elections of the parish council, the Council should consider:
 - whether the number, or distribution, of the local government electors for the parish would make a single election of councillors impracticable or inconvenient;
 - whether it is desirable that any area or areas of the parish should be separately represented on the council.

Ward elections should also be in the interests of effective and convenient local government. The additional costs of multiple ward elections, which can be significant relative to a parish council's budget, should not be wasteful of a parish's resources.

- (iv). the number and boundaries of any such parish wards - parish ward boundaries should be clearly understood; and should take account of community identity and interests within a parish which comprises different parts. In accordance with section 95(5) of the 2007 Act, every attempt will be made to fix ward boundaries which are, and will remain, easily identifiable, as well as taking into account any local ties which might be broken by the fixing of any particular boundaries.
- (v). the number of councillors to be elected for any parish ward the 2007 Act (paragraph 95(5) requires it to have regard to the following when considering the number of councillors to be elected for each ward:
 - the number of local government electors for the parish;
 - any change in the number, or distribution, of the local government electors which is likely to occur in the period of five years beginning with the day when the Review starts.
- (vi). the name of any such parish ward.

In considering the number of councillors to be elected for each parish, the Council will take into account the advice set out in the guidance - "each area should be considered on its own merits, having regard to its population, geography and the pattern of communities,". The Council is prepared to pay particular attention to existing levels of representation, the broad pattern of existing council sizes and the take-up of seats at elections in its consideration of this matter.

Section 95(6-7) of the 2007 Act also requires the Council to have regard to the following factors when considering the number of councillors to be allocated to a parish:

- the number of local government electors for the parish; and

- any change in that number which is likely to occur in the period of five years beginning with the day when the Review starts.
- The Council will consider a number of factors including the following as it looks at parish council sizes:
- the different demands and consequently different levels of representation that are appropriate between urban and rural parishes;
- the level of the precept and levels of service provision;
- the challenges of population sparsity and securing an appropriate level of representation in such areas;
- the traditional scale of representation in a particular parish; and
- the need to support a warding arrangement in a particular parish and achieving an equitable parity of representation between wards.

In respect of parish wards, the Council will ensure that there would be an equitable ratio of electors to councillors from any proposals.

Consequential Matters

The Review will be completed when the Council adopts the Reorganisation of Community Governance in Broxtowe Order.

The Council is mindful that it may recommend that the Local Government Boundary Commission for England make alterations to Broxtowe's electoral boundaries to reflect changes made at parish level. The Council notes that it will be for the Commission to decide if related alterations should be made and, if so, when they should be implemented.

APPENDIX 2

Community Governance Review Timetable and Proposed Consultation Arrangements

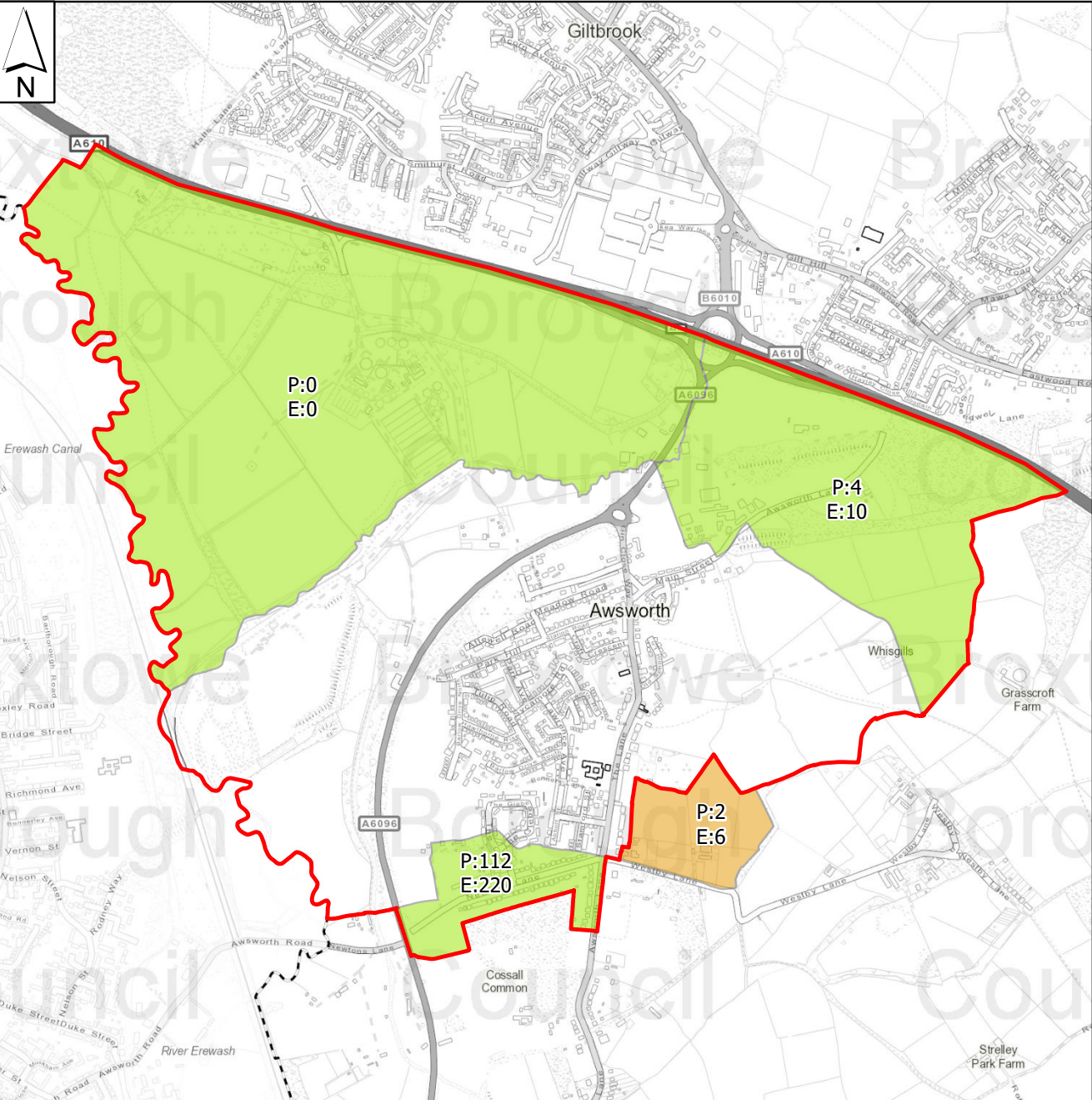
Stage	Action	Timescale	Dates
Commencement	<ul style="list-style-type: none"> Terms of reference published Stakeholders notified with clear definition of remit of review 		7 June 2021
Preliminary stage	<ul style="list-style-type: none"> Local briefings and meetings (members/parish & town councils) 	One month	7 June - 30 June 2021
Stage One	<ul style="list-style-type: none"> Initial submissions invited from stakeholders on future arrangements under terms of reference 	Three months	1 July 2021 – 30 September 2021
Stage Two	<ul style="list-style-type: none"> Consideration of submissions received Draft recommendations prepared Draft recommendations to be considered by Council 	Two months	1 October – 30 November 2021
Stage Three	<ul style="list-style-type: none"> Draft recommendations published for consultation Stakeholders notified 	Three months	1 December 2021 – 28 February 2022
Stage Four	<ul style="list-style-type: none"> Consideration of submissions received Final recommendations prepared Final recommendations published concluding the review Final recommendations considered by Council and decision made on arrangements with resolution to make a Reorganisation Order Reorganisation Order made 	Two months	1 March – 30 April 2022
		One month later	May 2022 June 2022

Given that there may still be restrictions on what activity can take place before 21 June 2021, it proposed to hold online consultation meetings as part of the Preliminary Stage with parish councils to outline the Council's proposals affecting their particular parish.

Proposed Changes to Parish Boundaries

OBJECTID	From_Parish	To_Parish	Area Name	Notes	Electors	Properties
1	Stapleford	Z	Ewe Lamb Close	In case anyone develops the garage site and disputed verge, this amendment would ensure the street is all unparished	0	0
2	Stapleford	Z	Valmont Road	Handful of properties addressed Valmont Road currently in Stapleford Parish, was noted as an issue with the 2014 FER	28	14
3	Z	Trowell	Coventry Lane (Bramcote North)	Would continue the parish line of using the railway and Coventry Lane	1	1
4	Trowell	Z	Bilborough Road	Do not really seem to align with Trowell Parish	25	10
5	Greasley	Brinsley	Cordy Lane	Properties just off Cordy Lane in Brinsley who currently have to vote in Greasley	2	1
6	Cossall	Awsorth	Newtons Lane / The Glebe	Stops the Glebe being split by the parish boundary, Newtons Lane added because of access and with the housing allocation for 250 houses at the west end of the street it will form a sensible polling district	220	112
7	Greasley	Eastwood	Beamlight Site/Braemar Avenue	The Beamlight development site and extant Braemar Avenue access from ESM. Braemar was raised as a potential issue during the 2014 FER. This change would ensure that the whole area is not disconnected from the rest of its parish.	103	58
8	Greasley	Eastwood	Coach Drive/Lindley Street	Has more parity with Eastwood, access is from Eastwood and would remove a parish ward	1086	568
9	Greasley	Eastwood	Vale Close	Current boundary goes through properties. Change ensures all properties in the same parish, with the access also in the parish.	11	7
10	Stapleford	Trowell	Trowell Park Drive	Section of Trowell Park Drive, which is accessed from Trowell with no link to Stapleford	38	17
11	Stapleford	Trowell	North of Stapleford Allocation	Moves area of Stapleford North of railway into Trowell for consistency	0	0
12	Greasley	Nuthall	Larkfield Road (North)	Handful of properties on east side of Larkfield Road currently in a different parish to their neighbours with the boundary going through properties	30	15
13	Kimberley	Cossall	Babbington Village	Westby Lane access is from Awsorth	63	28
14	Z	Kimberley	Swingate	Properties accessed from Swingate, Kimberley. Split from Strelley by the M1	12	4
15	Nuthall	Greasley	KIM2 (North)	Properties to the west of Larkfields Road. Changes made would stop boundary cutting properties and streets in half. Removes a parish ward	96	64

OBJECTID	From_Parish	To_Parish	Area Name	Notes	Electors	Properties
16	Nuthall	Greasley	Little Holland Gardens	Two properties in a different parish	5	2
17	Greasley	Awsorth	South of A610 (GRE2)	Sets the parish boundary at a sensible location along the A610	0	0
18	Kimberley	Awsorth	Awsorth Lane (Awsorth)	Move all properties that access via Awsorth into Awsorth Parish. Puts boundary along the A610	10	4
19	Z	Cossall	Robinettes Lane	Properties accessed from Robinettes Lane Cossall	8	4
20	Awsorth	Cossall	Westby Lane	Access to Babbington	6	2
21	Kimberley	Greasley	A610 Island (North)	Straighten up boundary and take a more sensible line	0	0
22	Kimberley	Greasley	Chilton Drive	Access is from Greasley Parish and these are split streets with some properties currently in Kimberley and others in Greasley.	154	106
23	Greasley	Kimberley	Gilt Hill	Ensure all properties on Gilt Hill are within Kimberley Parish	24	12
24	Greasley	Kimberley	Coatsby Road (Greasley)	If Coatsby Road is taken into Greasley, these four properties ideally need moving into Kimberley Ward	7	4
25	Nuthall	Kimberley	Nottingham Road Kimberley	2 houses on Nottingham Road Kimberley and one on Knowle Hill.	6	4
26	Eastwood	Greasley	Newthorpe Common to Mary Road and Wheeler Avenue taking in Dovecote Road and Charles Avenue	Creates a viable parish ward, sustainable boundaries and removes many issues with the current boundary running through houses	564	315
27	Trowell	Stapleford	Field Farm	Current parish line, likely to go through buildings when the site is developed, with no access from the rest of Trowell. Line follows edge of allocation, which is already building phase 1.	0	0
28	Z	Stapleford	Stapleford Allocation	Ensures all properties built on the Stapleford site will be in the same parish and realigns the boundary to the centre of Coventry Lane after the road's realignment in the past	0	0






Awsworth

Properties: 1067

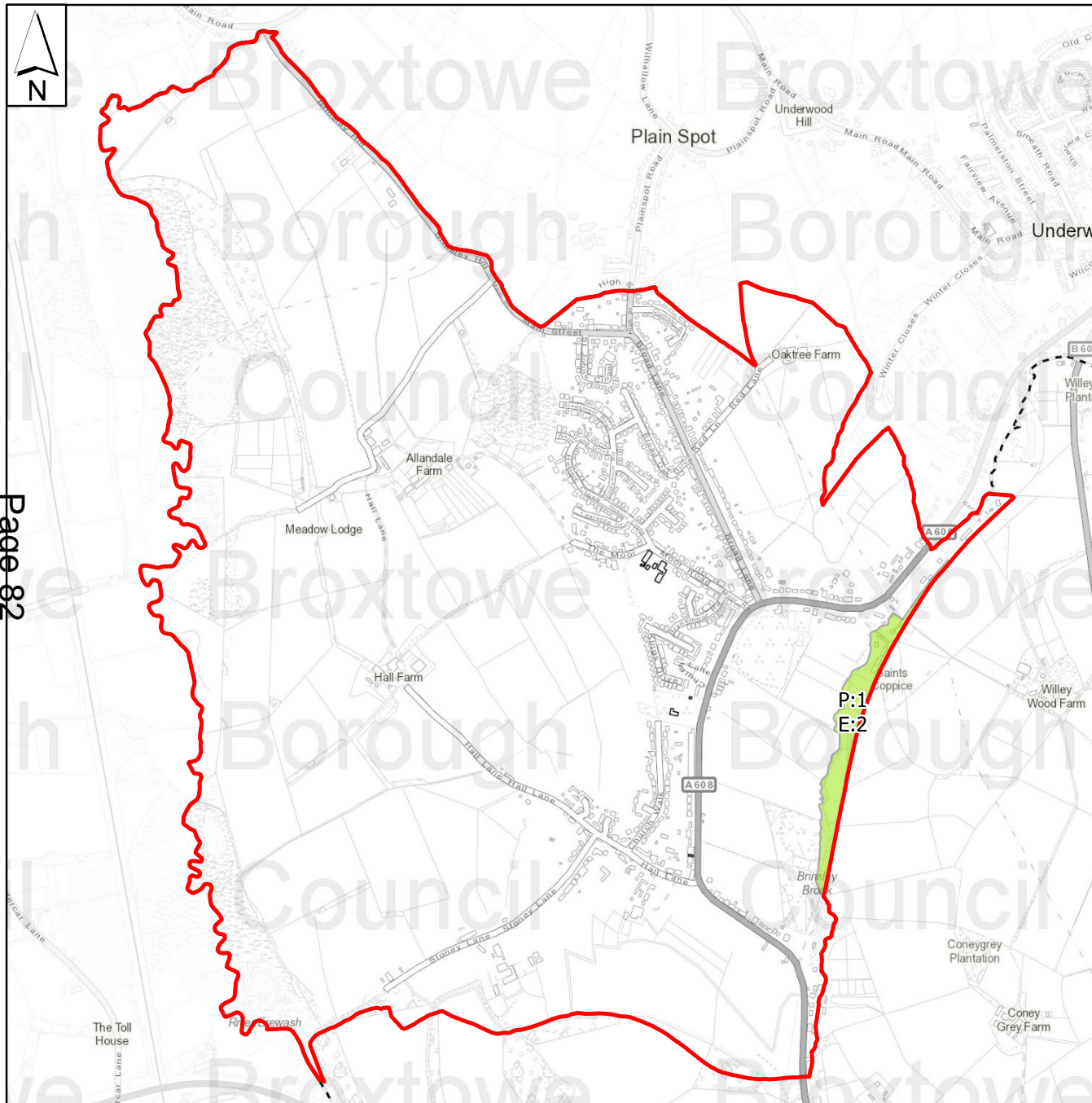
Electors: 1916

	Properties (P)	Electors (E)
Added:	116	230
Removed	2	6

-  Potential Parish
-  Added
-  Removed



01 May 2021



Brinsley

Properties: 984

Electors: 1876

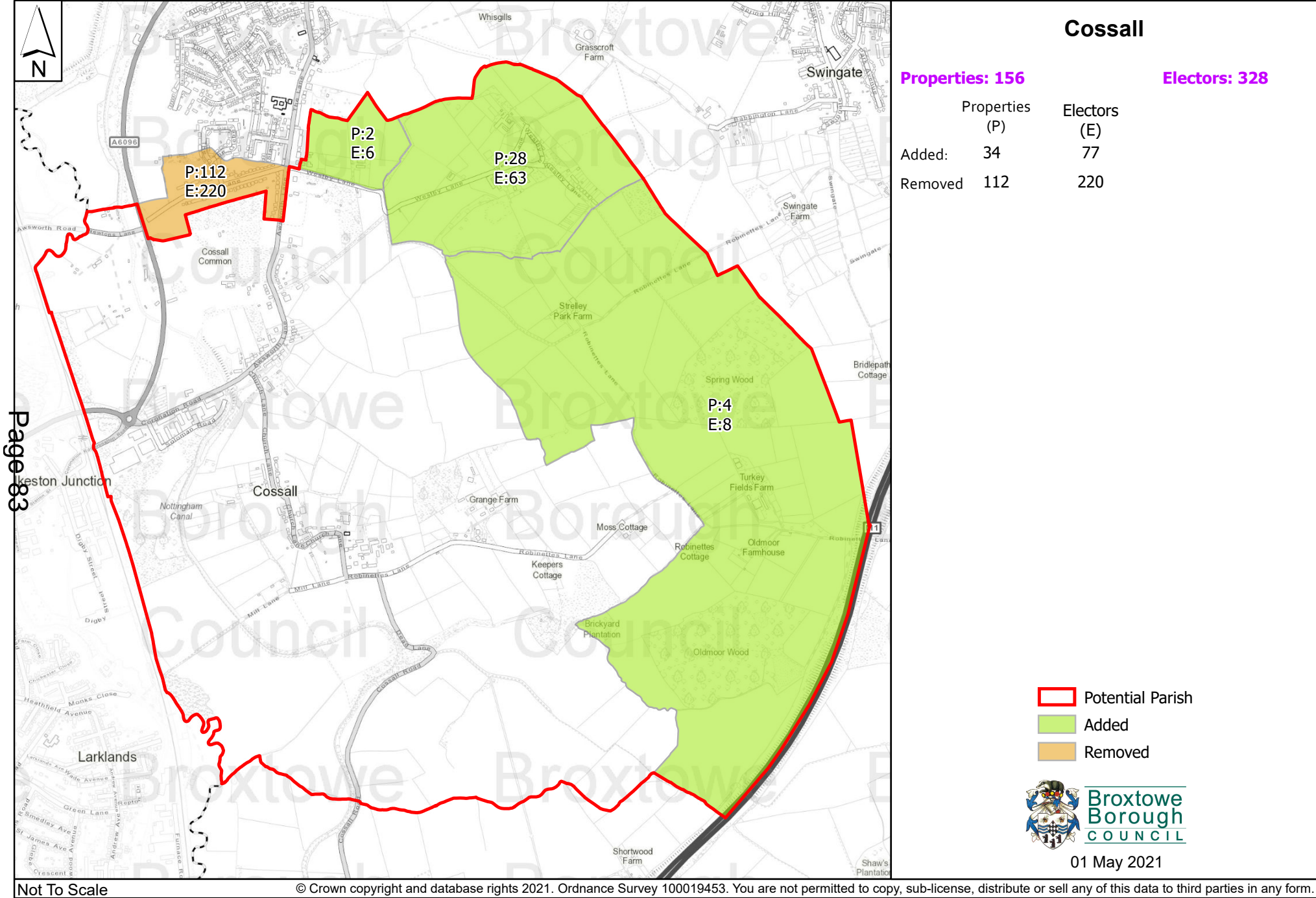
	Properties (P)	Electors (E)
Added:	1	2
Removed	0	0

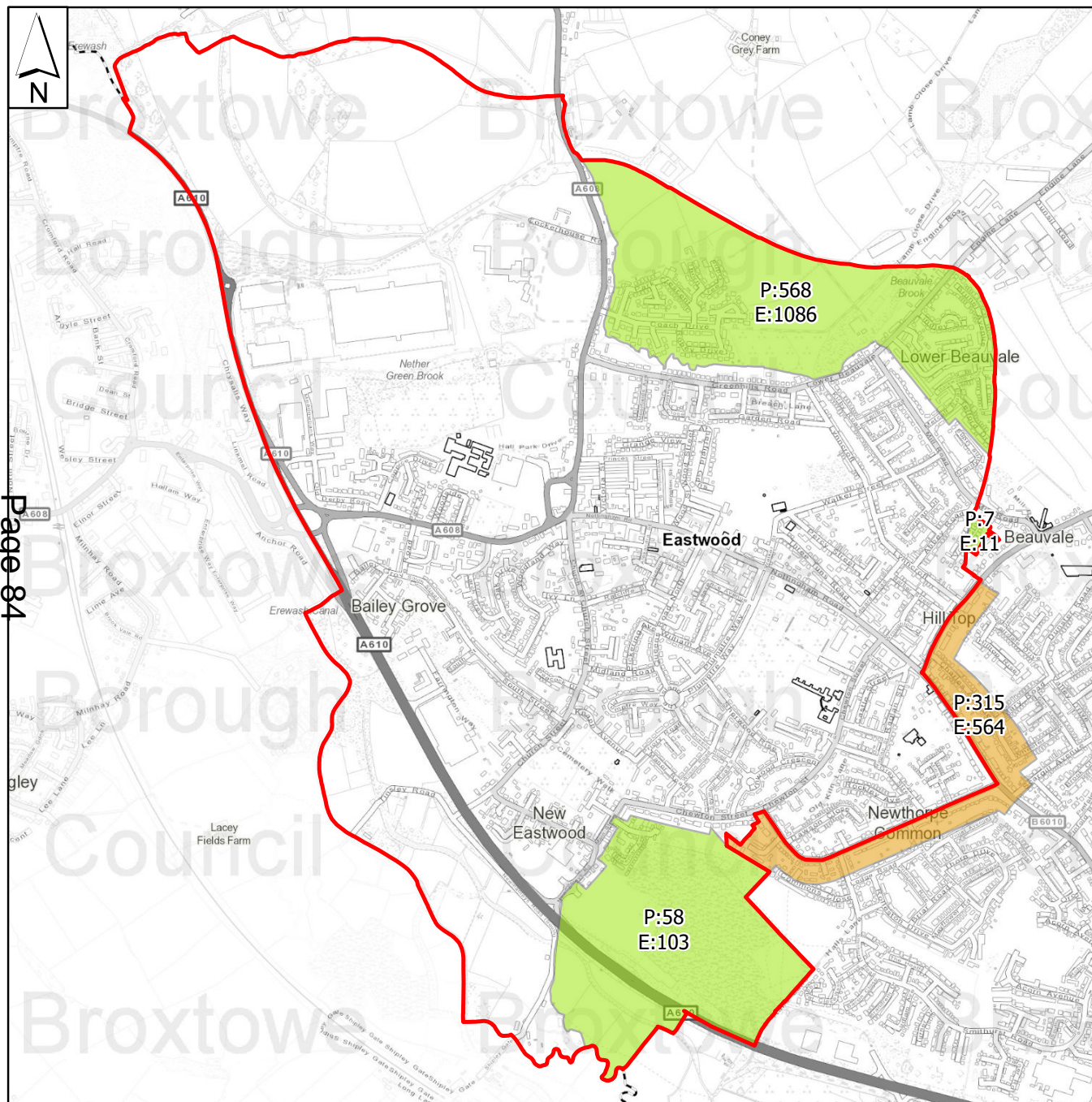
- Potential Parish
- Added
- Removed



Broxtowe
Borough
COUNCIL

01 May 2021





Eastwood

Properties: 5107

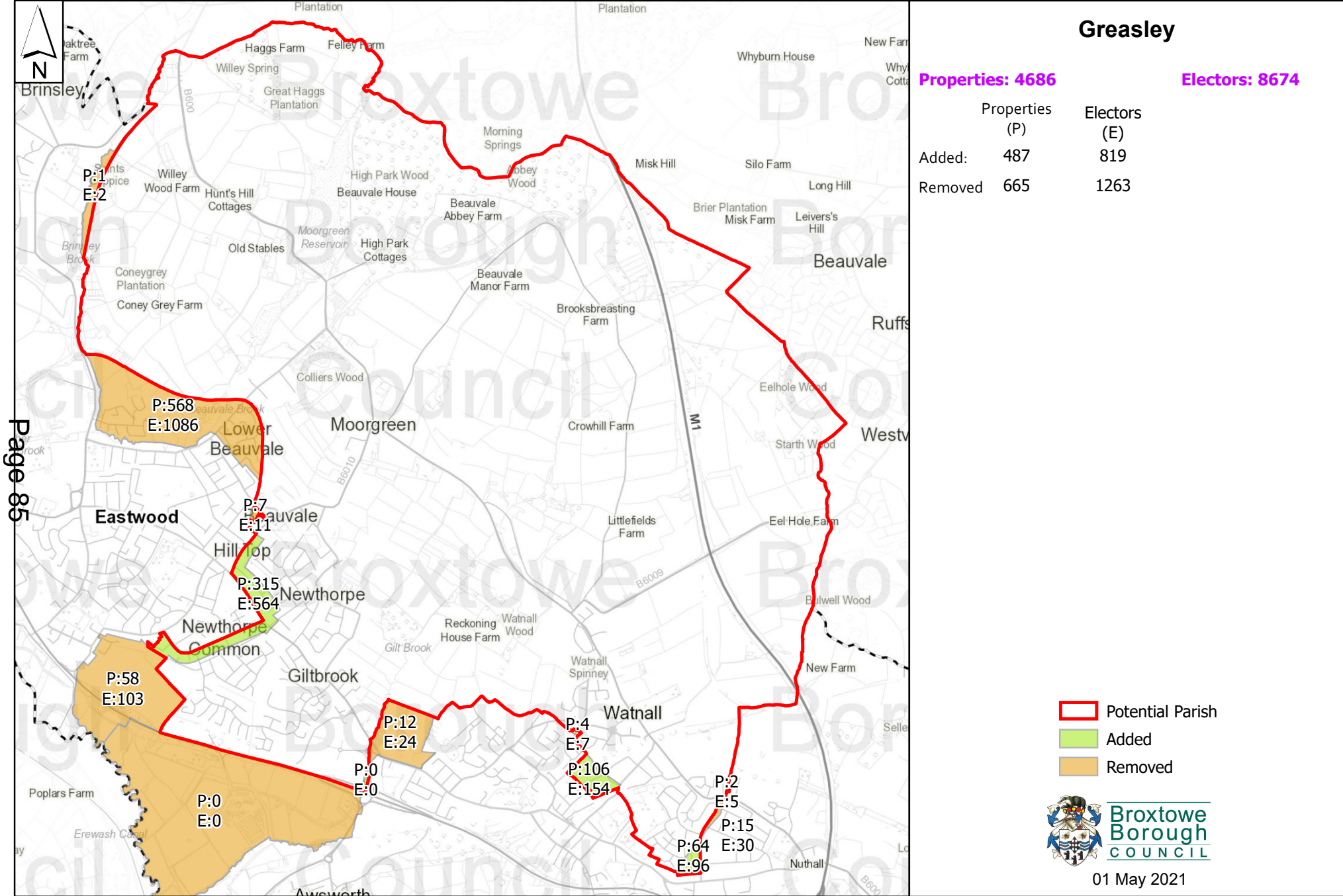
Electors: 9031

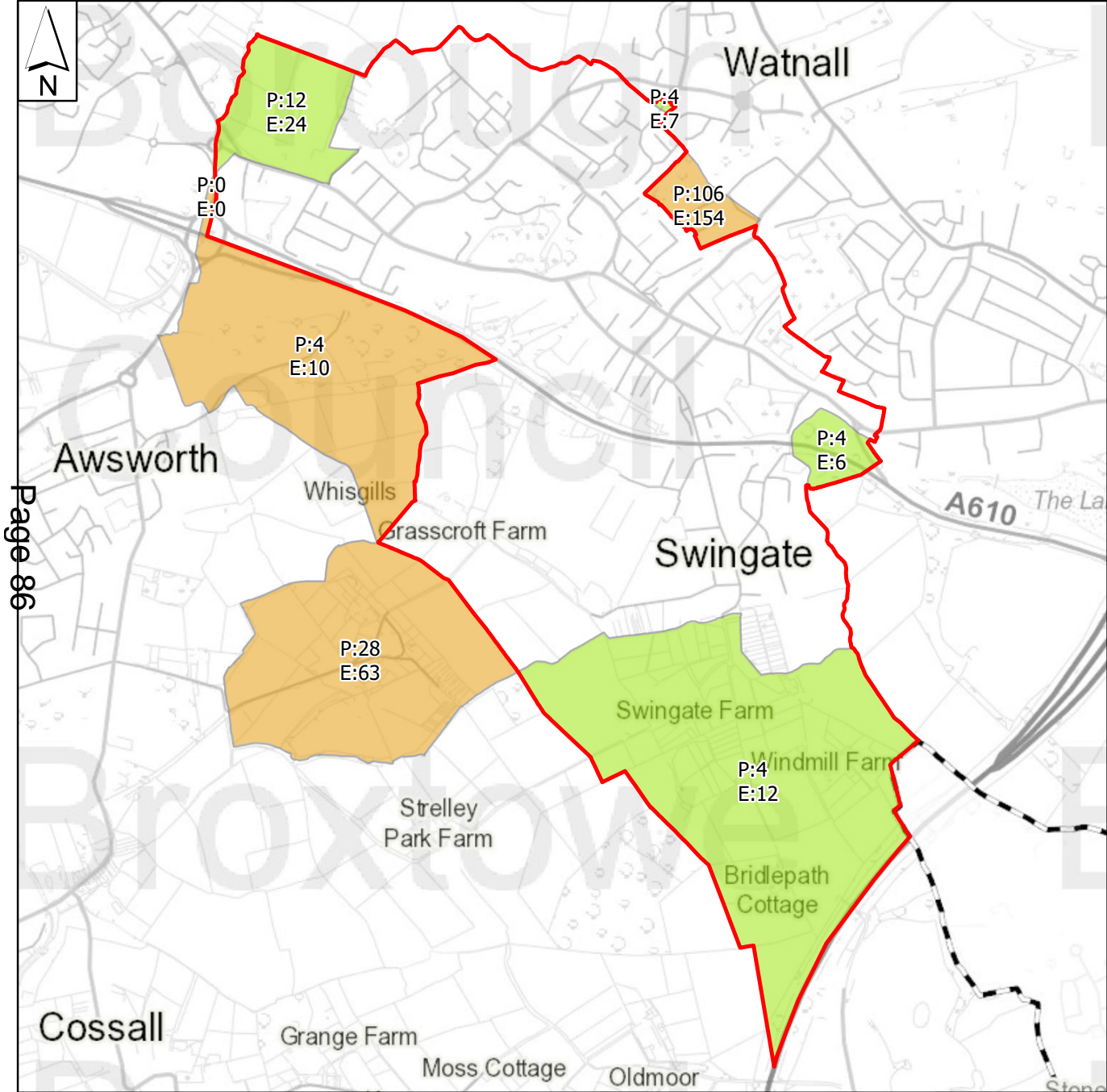
	Properties (P)	Electors (E)
Added:	633	1200
Removed	315	564

- Potential Parish
- Added
- Removed



01 May 2021





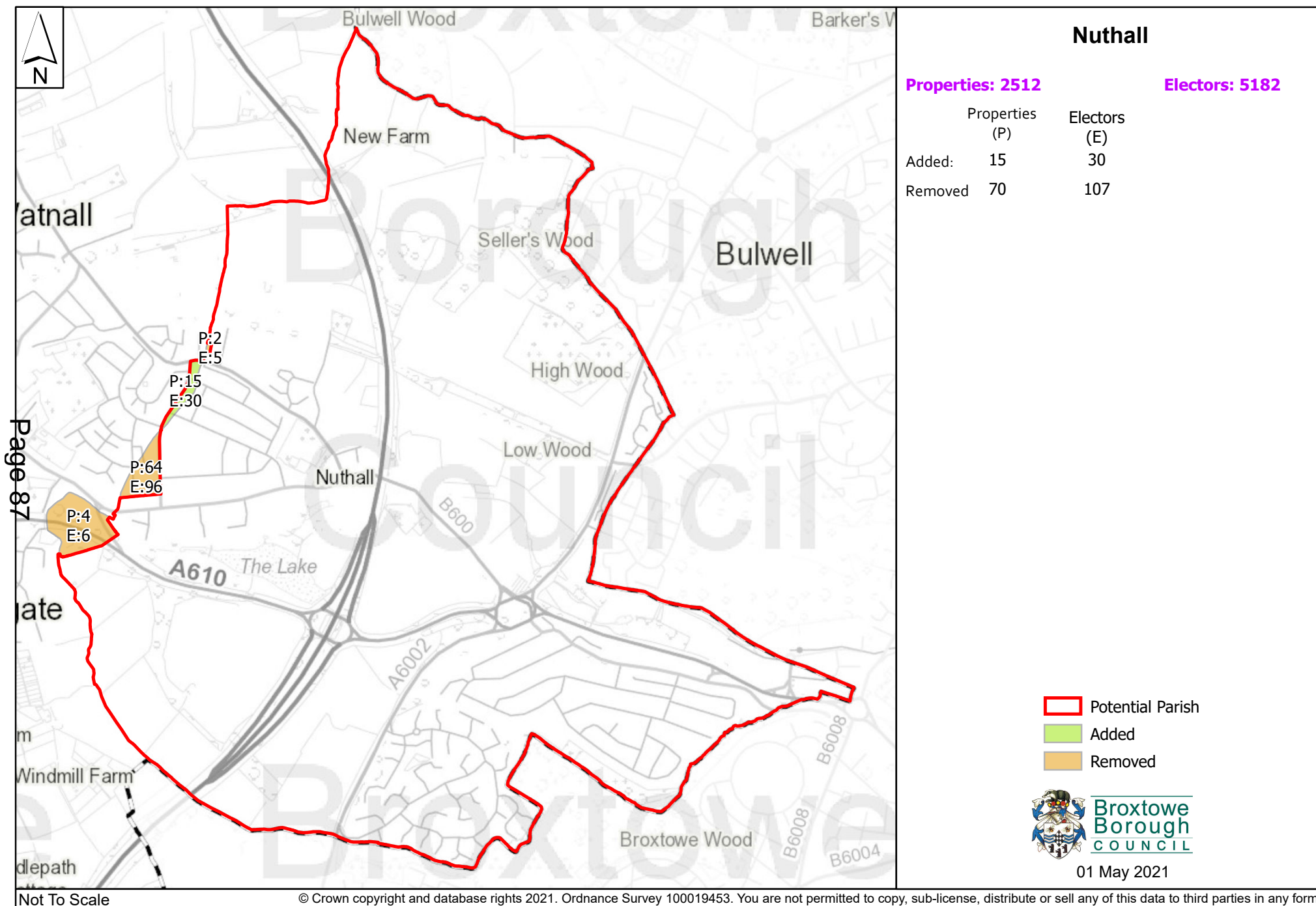
Kimberley

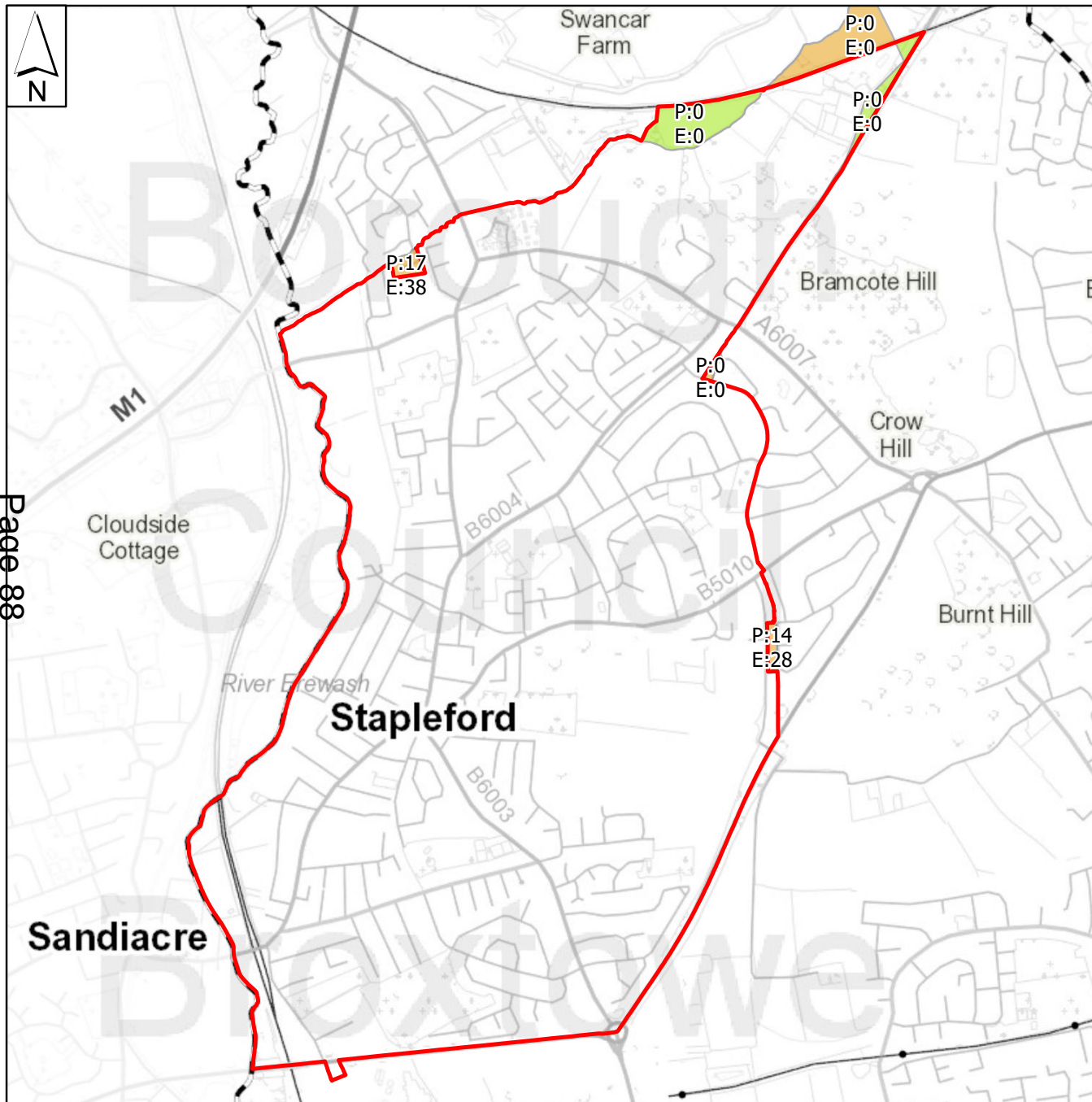
	Properties: 2576	Electors: 4645
	Properties (P)	Electors (E)
Added:	24	49
Removed	138	227

- Potential Parish
- Added
- Removed



01 May 2021





Stapleford

Properties: 6591

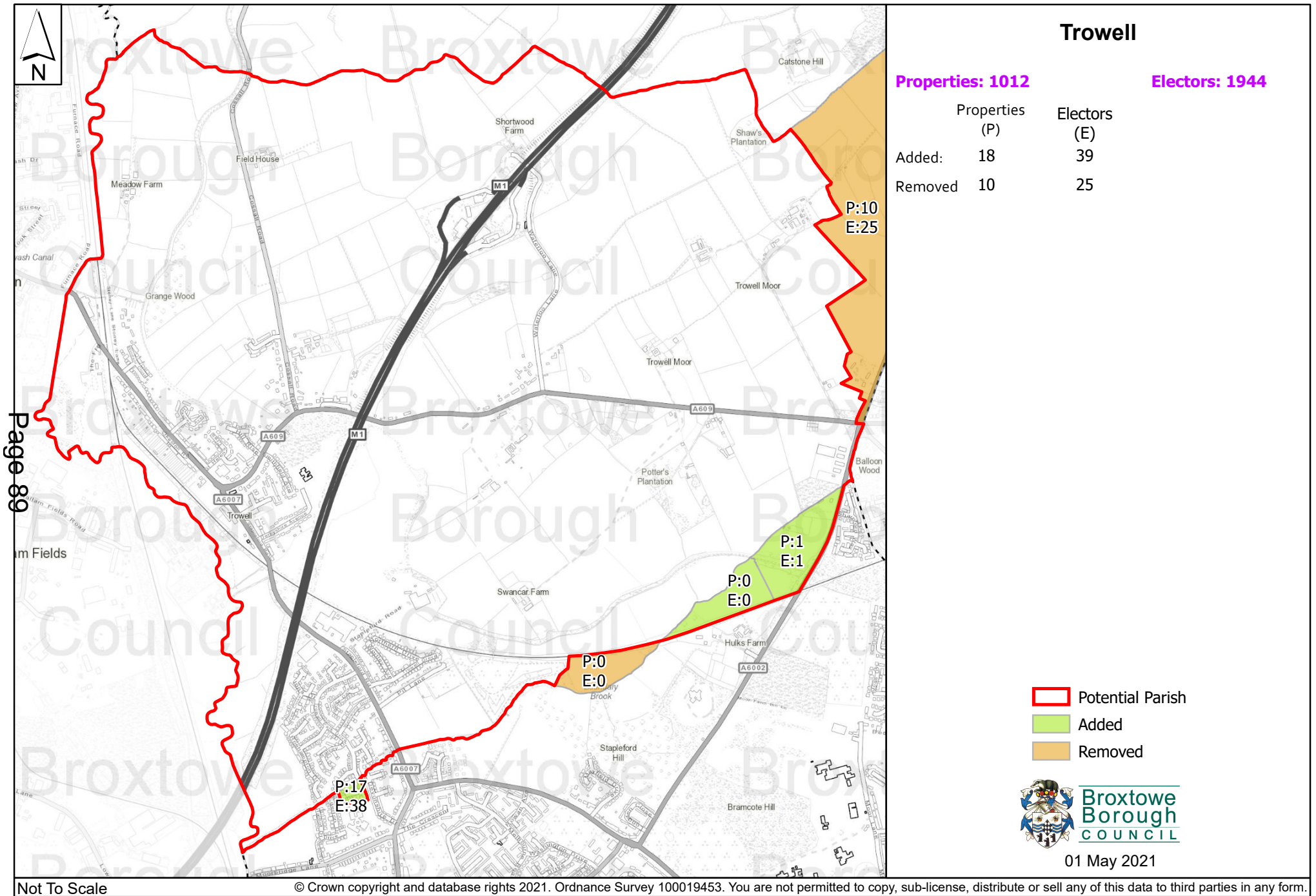
Electors: 11616

	Properties (P)	Electors (E)
Added:	0	0
Removed	31	66

- Potential Parish
- Added
- Removed



01 May 2021





01 May 2021

Report of the Executive Director

WORK PROGRAMME

1. Purpose of report

To consider items for inclusion in the Work Programme for future meetings.

2. Background

Items which have already been suggested for inclusion in the Work Programme of future meetings are given below. Members are asked to consider any additional items that they may wish to see in the Programme.

19 July 2021	<ul style="list-style-type: none"> • Audit of Accounts 2020/21 and Associated Matters • Internal Audit Review 2020/21 • Internal Audit Progress Report • Annual Counter Fraud Report 2020/21 • Major Projects – Governance Dashboard • Review of Strategic Risk Register • Going Concern Status • Annual Review of Complaints 2020/21 • Freedom of Information Report 2020/21
20 September 2021	<ul style="list-style-type: none"> • Annual Audit Letter • Internal Audit Progress Report • Review of Strategic Risk Register • Governance Dashboard – Major Projects
29 November 2021	<ul style="list-style-type: none"> • Annual Audit Letter 2020/21 • Internal Audit Progress Report • Review of Strategic Risk Register

Recommendation

The Committee is asked to CONSIDER the Work Programme and RESOLVE accordingly.

Background papers

Nil.

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