

Guildhall Gainsborough
Lincolnshire DN21 2NA
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AGENDA

This meeting will be streamed live (using the below link), recorded and the video archive published on our website

Governance and Audit Committee
Tuesday, 13th October, 2020 at 2.00 pm
Virtual - MS Teams

<https://west-lindsey.public-i.tv/core/portal/home>

Members:

- Councillor John McNeill (Chairman)
- Councillor Mrs Jackie Brockway (Vice-Chairman)
- Councillor Stephen Bunney
- Councillor Mrs Tracey Coulson
- Councillor David Dobbie
- Councillor Mrs Caralyne Grimble
- Councillor Mrs Angela White
- Alison Adams
- Andrew Morriss
- Peter Walton

1. **Register of Attendance**
2. **Public Participation Period**
Up to 15 minutes are allowed for public participation.
Participants are restricted to 3 minutes each.
3. **Minutes of Previous Meeting** (TO FOLLOW)
Held on 29 September 2020.
4. **Members Declarations of Interest**
Members may make any declarations of interest at this point but may also make them at any point during the meeting.
5. **Public Reports for Consideration**
 - i) Local Government and Social Care Ombudsman (PAGES 3 - 20)

Agendas, Reports and Minutes will be provided upon request in the following formats:

Large Clear Print: Braille: Audio: Native Language

(LGSCO) Annual Review Letter 2019/20 Report

- ii) Amendment to Section 13a Policy resulting in request for Constitution to be amend (PAGES 21 - 26)
 - iii) Member Development Annual Report (PAGES 27 - 33)
 - iv) Internal Audit Report Quarter 2 20/21 (PAGES 34 - 48)
6. **Workplan** (PAGES 49 - 50)

Ian Knowles
Head of Paid Service
The Guildhall
Gainsborough

Monday, 5 October 2020



**Governance and Audit
Committee**

Tuesday 13th October 2020

**Local Government and Social Care Ombudsman (LGSCO)
Annual Review Letter 2019/20 Report**

Report by:

Ian Knowles
Chief Executive

Contact Officer:

Natalie Kostiuk
Customer Experience Officer
natalie.kostiuk@west-lindsey.gov.uk

Purpose / Summary:

Report on the Local Government and Social Care Ombudsman (formerly the LGSCO) Annual Review letter 2019/20 covering complaints referred to them between April 2019 and March 2020. Examining upheld complaints, learning actions and benchmarking with other authorities.

RECOMMENDATION(S):

That committee members:

- 1) scrutinise the content of this report regarding the Local Government and Social Care Ombudsman Annual Review Letter and;
- 2) seek assurance that complaint handling procedures are functioning adequately.

IMPLICATIONS

Legal:

None arising directly from this report.

Financial : FIN/73/21/SL

Members agreed via a report made to the Governance & Audit committee in July 2018 to delegate authority to award compensation up to a value of £2,500 to the Executive Director of Resources subject to consultation with the Chairman of the Governance and Audit Committee.

The LGSCO recommended one payment included in this report of £200 which was funded from existing overall resources.

Staffing :

None arising directly from this report.

Equality and Diversity including Human Rights :

By understanding, in more detail about how customers interact with the Council means we will be able to address issues that are preventing them from accessing services in an equal manner.

Data Protection Implications :

None arising directly from this report.

Climate Related Risks and Opportunities:

None arising directly from this report.

Section 17 Crime and Disorder Considerations:

None arising directly from this report.

Health Implications:

None arising directly from this report.

Title and Location of any Background Papers used in the preparation of this report :

Link to the Local Government and Social Care Ombudsman Website Annual Review Letter for West Lindsey District Council:

[Annual LGSCO Review Letter - West Lindsey District Council](#)

Link to the Local Government and Social Care Ombudsman Website Complaint Decisions for West Lindsey District Council:

[West Lindsey District Council decisions - Local Government and Social Care Ombudsman](#)

Link to the Local Government and Social Care Ombudsman Website Overall Performance for West Lindsey District Council:

[West Lindsey District Council Performance](#)

Risk Assessment :

Not Applicable

Call in and Urgency:

Is the decision one which Rule 14.7 of the Scrutiny Procedure Rules apply?

i.e. is the report exempt from being called in due to urgency (in consultation with C&I chairman)

Yes

No

X

Key Decision:

A matter which affects two or more wards, or has significant financial implications

Yes

No

X

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Executive Summary

This report examines the Local Government and Social Care Ombudsman (LGSCO) Annual Review Letter 2020 covering complaints that were either received or decided by them during the 2019/20 period ending on 31st March 2020.

The information within this report includes four decisions received between May and September 2019 for complaints that were initially referred to the LGSCO during the previous year (2018/19).

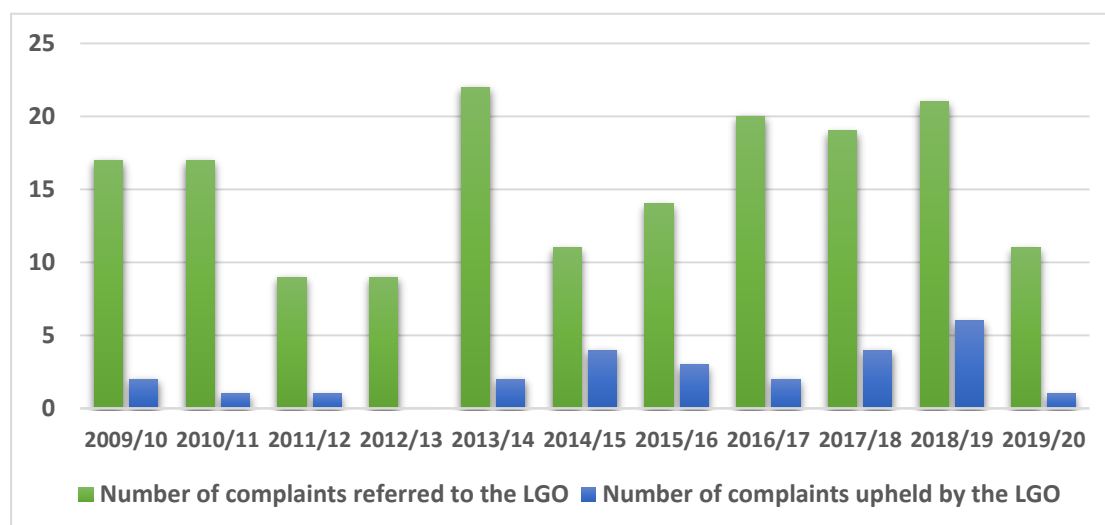
Historical data on complaints referred to the LGSCO is included along with comparison to last year's figures and findings.

Finally the report compares how West Lindsey District Council (WLDC) has performed overall nationally and in comparison to 20 other similar local authorities in terms of the number of complaints referred, investigated and upheld by the LGSCO.

1. Introduction

- 1.1 If a customer is dissatisfied with the outcome of their complaint or the way it has been handled by West Lindsey District Council they are entitled to refer their complaint to the LGSCO for an independent investigation.
- 1.2 The LGSCO will only investigate a complaint once it has been dealt with in full via the West Lindsey District Council Customer Experience Policy Complaints Process and only if it meets their criteria for investigation.
- 1.3 Certain issues that have another formal route of appeal or tribunal will not be investigated by the LGSCO.
- 1.4 There is no cost to the authority for work carried out by the LGSCO.
- 1.5 Each year the LGSCO publish an Annual Review letter for each authority which details the number of complaints referred to them, investigated by them and upheld by them. Information regarding compliance with LGSCO recommendations is also included. The full 2020 Annual Review Letter can be found in **Appendix 1** of this report.
- 1.6 The information published by the LGSCO allows each authority to examine how they compare to other similar councils.
- 1.7 LGSCO investigations and decisions on complaints allow us to learn and make improvements to the way we run our services and deal with customers on a daily basis. We can also learn from LGSCO complaints and decisions made for other authorities, when decisions are published they are shared with Team Managers.
- 1.8 The graph below illustrates how many WLDC complaints have been referred to and upheld by the LGSCO each year since 2009. As you can see there has

been a decrease overall during 2019/20 compared to previous years. This indicates that the complaints procedure and the investigations that take place have improved since the implementation of the new complaints process in January 2018 and the work carried out by the Customer Experience Officer.



**Number of upheld complaints for 2012/13 unknown due to change in LGO procedures.*

- 1.9 The LGSCO do not necessarily investigate all of the complaints that are referred to them. During the 2019/20 period 11 new complaints were referred to the LGSCO but only 5 of them were investigated. It should be noted that during the 2019/20 period four decisions were received which related to complaints that were referred to the LGSCO initially in 2018/19.

2. Annual Review Letter Figures

- 2.1 In total 11 new complaints were referred to the LGSCO in 2019/20, this is a lot lower when compared to previous years where an average of 20 complaints have been referred to them. The table below illustrates which services the complaints related to compared with the previous three years.
- 2.2 During 2019/20 the majority of complaints received were relating to Benefits and Tax and Planning and Development services. Historically the majority of complaints referred to the LGSCO have related to Planning and Development so there has been a significant decrease overall in complaints referred for Planning and Development during 2019/20.

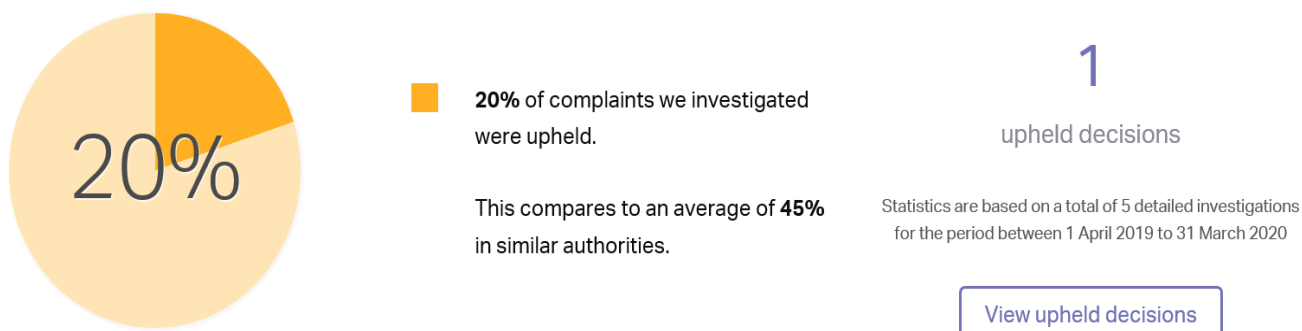
	Benefits and Tax	Corporate and Other Services	Environment Services	Highways and Transport	Housing	Planning and Development	Total
2019/20	4	1	1	0	1	4	11
2018/19	4	1	3	0	1	11	20
2017/18	3	2	2	0	0	12	19
2016/17	3	1	4	1	2	9	20

- 2.3 In total 15 decisions were made by the LGSCO during the 2019/20 period, this figure includes four decisions made for complaints referred to the LGSCO the previous year (2018/19).
- 2.4 Of the complaints received 2 complaints were referred back to West Lindsey District Council for local resolution. This occurs when a customer has not initially made their complaint known to us or given us the chance to investigate and resolve their complaint in house. The LGSCO will only investigate complaints once they have been investigated via the authority under the Council's complaint process.
- 2.5 Of the complaints received 8 complaints were closed after initial enquiries. This occurs when the LGSCO receive a complaint and consider the initial information including details of the complaint. If the LGSCO decide that it is unlikely that any fault will be found or that any harm has occurred they will not investigate the matter further. The LGSCO will also take this approach to complaints where an appeal or tribunal route is available to the complainant.
- 2.6 In total 5 detailed investigations were carried out by the LGSCO. 3 in relation to Planning and Development, 1 in regards to Benefits and Tax and the other was regarding Environment Services.
- 2.7 Overall 4 of the complaints investigated by the LGSCO were not upheld. No fault on behalf of the council was identified.
- 2.8 Only 1 complaint was upheld by the LGSCO as fault was identified. This was a complaint that was initially referred to the LGSCO during the previous year in relation to Environment Services. None of the new complaints referred during 2019/20 were upheld.
- 2.9 The overall upheld rate for 2019/20 was 20% which is a decrease of 40% compared to the previous year where 6 out of 10 complaints were upheld (60%).
- 2.10 The table below shows how these figures compare to the previous three years.
- 2.11 The upheld rate of 20% is a decrease compared to previous years. This is lower than other similar authorities whose average upheld rate was 45%.

	2019/20	2018/19	2017/18	2016/17
Complaints and enquiries received by the LGSCO	11	20	20	19
Number of detailed investigations carried out by the LGSCO	5	10	10	11
Number of complaints upheld by the LGSCO	1	6	4	2

Upheld complaint percentage %	20%	60%	40%	18%
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2.12 The illustration below is taken from the LGSCO website 'Your council's performance' section.



3. Upheld Complaints

3.1 In total the LGSCO carried out detailed investigations for 5 complaints. Only 1 of these was upheld. The table below shows information on the complaints investigated, the upheld complaint and the remedy that was recommended by the LGSCO. The received and decided dates illustrate the length of time it took the LGSCO to investigate the complaints.

Reference	Category	Received by the LGSCO	Decided	Decision	Decision Reason	Remedy
18013407	Environmental Services	29/11/2018	03/05/2019	Upheld	Maladministration and Injustice	Financial redress: Avoidable distress/time and trouble, Provide services
18017525	Planning & Development	11/04/2018	06/09/2019	Not Upheld	No Maladministration	N/A
19000654	Planning & Development	11/04/2019	18/09/2019	Not Upheld	No Maladministration	N/A
19007901	Planning & Development	09/08/2019	02/01/2020	Not Upheld	No Maladministration	N/A
19009607	Housing	09/09/2019	28/01/2020	Not Upheld	Other agency better placed	N/A

3.2 The details below include the history and findings of the 5 complaints that were investigated including the complaint that was upheld.

**3.3 18013407 Environmental Services (Upheld) Maladministration and Injustice
Remedy: Financial redress: Avoidable distress/time & trouble, Provide services
Referred to the LGSCO: 29/11/2018, Decision received: 03/05/2019**

This case was regarding a noise complaint which had been investigated by the Environmental Protection team. It was alleged that a nearby business had installed fans which were not in line with the planning permission granted, the complainant felt that enforcement action should have been taken and was also dissatisfied at the quality of the noise assessment that had been carried out.

The LGSCO found no fault with the fact that enforcement action had not been taken stating that:

“Councils may take enforcement action where there has been a breach of planning control. Enforcement action is discretionary. The government’s current guidance on planning enforcement is set out in the National Planning Policy Framework (NPPF, 2018). This says Councils should act proportionately in responding to suspected breaches of planning control and take action when it is expedient to do so.”

However the LGSCO did identify fault with the quality of the noise assessment that was carried out and the delays in it taking place.

The LGSCO concluded that there was fault because the Council delayed carrying out the noise assessment of the fans. The LGSCO upheld the complaint stating that the Council was at fault for not properly assessing the noise levels caused by the fans.

The LGSCO made the following recommendations which were completed in a satisfactory timeframe:

- The Council will carry out a full BS 4142 noise assessment. This will be undertaken once the average outside temperature in the village is above 20 degrees Celsius.
- Within 4 weeks of my final decision, the Council will pay the complainant £200 for the time and trouble taken to make this complaint.

**3.4 18017525 Planning and Development (Not Upheld)
Referred to the LGSCO: 11/04/2018, Decision received: 06/09/2019**

This complaint was regarding the claim that that the Council failed to notify the complainants of their neighbour’s planning application for a rear extension which included a chimney. They also complained that the Council did not properly consider the impact on their amenity and living conditions when granting the original planning permission and permission to amend the plans.

The Ombudsman found no fault in the way the Council notified the complainants or in the way the applications were considered. The LGSCO stated that they cannot therefore question the merits of the Council's decisions to grant planning permission.

The LGSCO closed the investigation into this complaint because they found no fault in the way the Council considered their neighbour's planning applications. The complaint was not upheld.

3.5 19000654 Planning and Development (Not Upheld)
Referred to the LGSCO: 11/04/2019, Decision received: 18/09/2019

This complainant claimed that the Council had granted planning permission for an extension at a neighbouring property based on inaccurate plans. The complainant states the actual relationship between her property and her neighbour's impacts negatively on her privacy. The LGSCO concluded that there was no evidence of fault in the way the Council considered the neighbour's planning application.

The LGSCO did not uphold this complaint as there is no evidence of fault in the way the Council considered the complainant's neighbour's planning application.

3.6 19007901 Planning and Development (Not Upheld)
Referred to the LGSCO: 09/08/2019, Decision received: 02/01/2020

This case was regarding a complaint where the complainants were unhappy about the Council's decision to approve their neighbour's planning application, which they say will reduce light and privacy in their home. The LGSCO concluded there was no fault in the way the Council made its decision.

The LGSCO completed their investigation as there was no fault in the way the Council made its decision and the complaint was not upheld.

3.7 19009607 Housing (Not Upheld)
Referred to the LGSCO: 09/09/2019, Decision received: 28/01/2020

This complainant was not happy that the Council asked her to accept a criminal caution for not complying with the conditions of an Abatement Notice the Council issued under the Environmental Protection Act 1990. The LGSCO discontinued their investigation after making initial enquiries because the complainant had a right of appeal against conditions of the notice and legal proceedings remained ongoing.

The complaint was not upheld and the LGSCO discontinued the investigation because the complainant had a right of appeal against conditions of the Abatement Notice and legal proceedings remained ongoing.

4. Compliance with Ombudsman Recommendations

- 4.1 The LGSCO produce and report statistics on compliance with the recommendations they make in relation to upheld complaints. The LGSCO's recommendations are specific and often include a timeframe for completion, allowing them to follow up with authorities and seek evidence that the recommendations have been implemented.
- 4.2 West Lindsey District Council received a 100% score for compliance with LGSCO recommendations for the 2019/20 period. This compliance score is included within the Annual Review letter 2020 in Appendix 1.

5. Learning from LGSCO Complaint Investigations

- 5.1 In comparison to the previous year and the extensive learning and improvements that took place during that time there have been fewer learning opportunities available in 2019/20 as there has only been one upheld complaint where recommendations have been made.
- 5.2 Following a rise in the number of complaints which are not upheld because the complainant has another route of appeal or tribunal available to them the complaints process has been updated to make it clear that where another formal route is available the complainant should follow that rather than making a formal complaint direct to the council.
- 5.3 When the recommendations for the upheld complaint were received the Environmental Protection team were briefed on the complaint, the LGSCO's findings and the recommendations made. The process for noise assessments has been updated and more consideration will be made in the future as to the most appropriate level of noise assessment that needs to take place depending on the circumstances.

6. Comparison with other Local Authorities Nationally

- 6.1 The LGSCO deals with complaints for 371 local authorities in total.
- 6.2 West Lindsey District Council is number 278/371 overall in terms of the number of complaints referred to the LGSCO for each authority, the highest being 561 complaints referred for Birmingham City Council.
- 6.3 In terms of the number of upheld complaints West Lindsey District Council is number 299/371 overall. Birmingham City Council had the highest number of upheld complaints with 542 complaints being upheld by the LGSCO.
- 6.4 West Lindsey District Council is number 298/371 overall in terms of upheld complaint percentage.

6.5 Compared to the previous period (2018/19) West Lindsey District Council has improved in all the areas mentioned above and the numbers have reduced.

7. How we compare with other similar Local Authorities

7.1 A list of 20 local authorities that are similar to West Lindsey District Council in terms of size, population and services provided has been compiled so that some meaningful benchmarking and comparison can take place.

7.2 The tables in **Appendix 2** of this report show how WLDC compares to the other 20 similar local authorities.

7.3 In terms of the number of complaints referred to the LGSCO West Lindsey District Council is number 15/21 compared to similar local authorities.

7.4 West Lindsey District Council is number 17/21 in terms of upheld complaint percentage when compared to similar local authorities.

7.5 Compared to the previous period (2018/19) West Lindsey District Council has improved in all the areas mentioned above and the numbers have reduced.

Appendix 1- LGSCO Annual Review Letter 2020

22 July 2020

By email

Mr Knowles
Executive Director of Resources
West Lindsey District Council



Dear Mr Knowles

Annual Review letter 2020

I write to you with our annual summary of statistics on the decisions made by the Local Government and Social Care Ombudsman about your authority for the year ending 31 March 2020. Given the exceptional pressures under which local authorities have been working over recent months, I thought carefully about whether it was still appropriate to send you this annual update. However, now, more than ever, I believe that it is essential that the public experience of local services is at the heart of our thinking. So, I hope that this feedback, which provides unique insight into the lived experience of your Council's services, will be useful as you continue to deal with the current situation and plan for the future.

Complaint statistics

This year, we continue to place our focus on the outcomes of complaints and what can be learned from them. We want to provide you with the most insightful information we can and have made several changes over recent years to improve the data we capture and report. We focus our statistics on these three key areas:

Complaints upheld - We uphold complaints when we find some form of fault in an authority's actions, including where the authority accepted fault before we investigated. A focus on how often things go wrong, rather than simple volumes of complaints provides a clearer indicator of performance.

Compliance with recommendations - We recommend ways for authorities to put things right when faults have caused injustice. Our recommendations try to put people back in the position they were before the fault and we monitor authorities to ensure they comply with our recommendations. Failure to comply with our recommendations is rare. An authority with a compliance rate below 100% should scrutinise those complaints where it failed to comply and identify any learning.

Satisfactory remedies provided by the authority - We want to encourage the early resolution of complaints and to credit authorities that have a positive and open approach to resolving complaints. We recognise cases where an authority has taken steps to put things right before the complaint came to us. The authority upheld the complaint and we agreed with how it offered to put things right.

Finally, we compare the three key annual statistics for your authority with similar types of authorities to work out an average level of performance. We do this for County Councils, District Councils, Metropolitan Boroughs, Unitary Councils, and London Boroughs.

This data will be uploaded to our interactive map, [Your council's performance](#), along with a copy of this letter on 29 July 2020, and our Review of Local Government Complaints. For further information on how to interpret our statistics, please visit our [website](#).

Resources to help you get it right

There are a range of resources available that can support you to place the learning from complaints, about your authority and others, at the heart of your system of corporate governance. [Your council's performance](#) launched last year and puts our data and information about councils in one place. Again, the emphasis is on learning, not numbers. You can find the decisions we have made, public reports we have issued, and the service improvements your Council has agreed to make as a result of our investigations, as well as previous annual review letters.

I would encourage you to share the tool with colleagues and elected members; the information can provide valuable insights into service areas, early warning signs of problems and is a key source of information for governance, audit, risk and scrutiny functions.


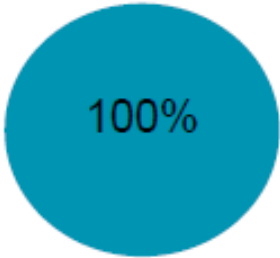
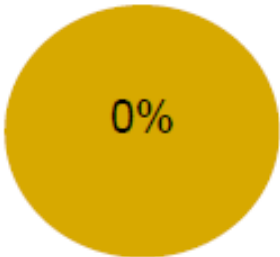
Earlier this year, we held our link officer seminars in London, Bristol, Leeds and Birmingham. Attended by 178 delegates from 143 local authorities, we focused on maximising the impact of complaints, making sure the right person is involved with complaints at the right time, and how to overcome common challenges.

We have a well-established and successful training programme supporting local authorities and independent care providers to help improve local complaint handling. During the year, we delivered 118 courses, training more than 1,400 people. This is 47 more courses than we delivered last year and included more training to adult social care providers than ever before. To find out more visit www.LGSCO.org.uk/training.

Yours sincerely,



Michael King
Local Government and Social Care Ombudsman
Chair, Commission for Local Administration in England
West Lindsey District Council
For the period ending: 31/03/20

Complaints upheld		
	<p>20% of complaints we investigated were upheld.</p> <p>This compares to an average of 45% in similar authorities.</p>	<p>1 upheld decision</p> <p>Statistics are based on a total of 5 detailed investigations for the period between 1 April 2019 to 31 March 2020</p>
Compliance with Ombudsman recommendations		
	<p>In 100% of cases we were satisfied the authority had successfully implemented our recommendations.</p> <p>This compares to an average of 99% in similar authorities.</p>	<p>Statistics are based on a total of 1 compliance outcome for the period between 1 April 2019 to 31 March 2020</p>
<ul style="list-style-type: none">• Failure to comply with our recommendations is rare. An authority with a compliance rate below 100% should scrutinise those complaints where it failed to comply and identify any learning.		
Satisfactory remedies provided by the authority		
	<p>In 0% of upheld cases we found the authority had provided a satisfactory remedy before the complaint reached the Ombudsman.</p> <p>This compares to an average of 20% in similar authorities.</p>	<p>0 satisfactory remedy decisions</p> <p>Statistics are based on a total of 5 detailed investigations for the period between 1 April 2019 to 31 March 2020</p>

Appendix 2- Comparison with 20 similar local authorities – Complaints Received

Local Government & Social Care OMBUDSMAN	Adult Social Care	Benefits and Tax	Corporate and Other Services	Education and Children's Services	Environmental Services, Public Protection and Regulation	Highways and Transport	Housing	Planning and Development	Other	Total
Complaints Received										
East Lindsey District Council	0	1	4	0	8	1	3	12	0	29
Torridge District Council	0	0	1	0	3	1	4	14	1	24
Allerdale Borough Council	0	1	3	0	9	0	4	5	0	22
North Devon District Council	0	4	3	0	5	0	1	5	0	18
South Hams District Council	0	2	1	0	2	0	0	12	0	17
South Somerset District Council	0	4	1	0	2	3	0	7	0	17
Selby District Council	1	2	2	0	3	0	1	7	0	16
Daventry District Council	0	4	2	0	2	1	3	3	0	15
Hambleton District Council	0	0	3	0	0	0	0	10	0	13
Mid Devon District Council	0	1	2	0	1	1	2	6	0	13
Mid Suffolk District Council	0	1	5	0	1	1	1	4	0	13
South Holland District Council	0	2	1	0	1	0	2	7	0	13
King's Lynn & West Norfolk Council	0	4	0	0	0	2	0	6	0	12
Derbyshire Dales District Council	0	2	2	0	4	1	0	2	0	11
West Lindsey District Council	0	4	1	0	1	0	1	4	0	11
North Kesteven District Council	0	1	0	0	1	0	1	7	0	10
Babergh District Council	0	0	2	0	1	0	3	2	0	8
Breckland District Council	0	2	1	0	0	0	1	4	0	8
Cotswold District Council	0	0	1	0	0	0	1	4	0	6
Copeland Borough Council	0	0	2	0	0	0	0	2	0	4
West Dorset District Council	0	0	0	0	0	1	0	0	0	1

Notes

These statistics include all complaints and enquiries that were received from 01 April 2019 to 31 March 2020.

Some cases are received and decided in different business years. This means the number of complaints and enquiries received may not match the number of decisions made.

You can find comparisons with last year's data on the second tab of this workbook.

For more information on how to interpret our statistics please visit: <https://www.lgo.org.uk/information-centre/reports/annual-review-reports/interpreting-local-authority-statistics>

Appendix 2 continued- Comparison with 20 similar local authorities – Complaints Decided

Local Government & Social Care OMBUDSMAN	Invalid or Incomplete	Advice Given	Referred Back for Local Resolution	Closed after Initial Enquiries	Not Upheld	Upheld	Total	Uphold Rate (%)	Average uphold rate (%) of similar authorities
Complaints and Enquiries Decided (by Outcome) 2019-20									
North Kesteven District Council	0	0	0	6	0	4	10	100	45
Mid Suffolk District Council	1	1	2	6	0	3	13	100	45
South Holland District Council	0	1	1	8	0	1	11	100	45
Derbyshire County Council	9	2	47	40	5	19	122	79	66
South Hams District Council	1	0	2	7	1	2	13	67	45
North Devon District Council	0	0	1	14	2	3	20	60	45
Selby District Council	1	2	4	7	2	3	19	60	45
Daventry District Council	0	0	5	7	5	5	22	50	45
South Somerset District Council	1	0	6	8	2	2	19	50	45
Breckland District Council	0	0	1	5	1	1	8	50	45
Corwold District Council	0	0	1	3	2	1	7	33	45
Mid Devon District Council	0	0	4	4	2	1	11	33	45
West Dorset District Council	0	0	0	1	2	1	4	33	45
Babergh District Council	1	2	1	2	5	2	13	29	45
East Lindsey District Council	0	0	13	7	5	2	27	29	45
Allerdale Borough Council	0	2	7	9	3	1	22	25	45
West Lindsey District Council	0	0	2	8	4	1	15	20	45
Torridge District Council	2	0	2	6	16	2	28	11	45
Copeland Borough Council	0	0	0	6	1	0	7	0	45
Hambleton District Council	0	0	3	7	5	0	15	0	45
King's Lynn & West Norfolk Council	0	0	3	5	2	0	10	0	45

Notes

These statistics include all complaints and enquiries that were decided from 01 April 2019 to 31 March 2020.

Some cases are received and decided in different business years. This means the number of complaints and enquiries received may not match the number of decisions made.

You can find comparisons with last year's data on the second and third tabs of this workbook.

For more information on how to interpret our statistics: <http://www.lgo.org.uk/information-centre/reports/annual-review-reports/interpreting-local-authority-statistics>



Governance and Audit Committee

Tuesday 13 October 2020

Subject: Amendment to Council Tax Discretionary Hardship (Section 13a) Policy resulting in request for Constitutional amendment

Report by:

Monitoring Officer

Contact Officer:

Katie Storr
Senior Democratic & Civic Officer
01427 676594
katie.storr@west-lindsey.gov.uk

Purpose / Summary:

The report seeks Governance and Audit Committee's approval to make a recommendation to Council for a Constitutional amendment arising as a result of the recently approved revised Section 13a Policy.

RECOMMENDATION(S):

That the Governance and Audit Committee RECOMMEND to Full Council that the Constitution be amended as follows: -

Section and Page Reference	Changed required
page 23 of Part IV of the Constitution – Responsibility for Functions – Appeals Board	The following be DELETED “5. To hear appeals against decisions not to award Section 13 A Council Tax Discretionary Relief”
page 28/29 of Part IV of the Constitution – Responsibility for Functions – Chief Executive	The following be ADDED “to determine any appeal made against a

		decision to not award Section 13 A Council Tax Discretionary Relief. Limits on Delegation: - following Consultation with the Leader of the Council”.	
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IMPLICATIONS

Legal:
None.

Financial : FIN/80/21/CC
There are no financial implications arising from this report

Staffing : None

Equality and Diversity including Human Rights :

Data Protection Implications :

Climate Related Risks and Opportunities :

Section 17 Crime and Disorder Considerations :

Health Implications:

Title and Location of any Background Papers used in the preparation of this report:

Risk Assessment :

Call in and Urgency:

Is the decision one which Rule 14.7 of the Scrutiny Procedure Rules apply?

i.e. is the report exempt from being called in due to urgency (in consultation with C&I chairman)

Yes

No

Key Decision:

A matter which affects two or more wards, or has significant financial implications

Yes

No

1 Background and Introduction

- 1.1 The Corporate Policy and Resources Committee at their meeting on 17 September 2020 approved a revised Council Tax Discretionary Hardship Policy (Section 13A)

<https://democracy.west-lindsey.gov.uk/documents/s20944/Council%20Tax%20Discretionary%20Hardship%20Policy%20Section%2013A.pdf>

- 1.2 One such revision agreed was an amendment to the appeals process for the Policy and as such, this revision necessitates an amendment to the Constitution.
- 1.3 As Governance and Audit Committee Members will be aware, any such changes to the Constitution fall within the remit of the Full Council to approve, following consultation with this Committee.
- 1.4 The minute arising from the Corporate Policy and Resources Committee is set out below:

RESOLVED that:

- a) the Council Tax Discretionary Hardship Policy (Section 13A) be approved; and
 - b) minor housekeeping amendments to the policy be undertaken by the Section 151 Officer under delegated powers in consultation with the Chairman of the Corporate Policy and Resources Committee; and
 - c) individual applications for Section 13A Discretionary Relief be determined by the Section 151 Officer under delegated powers; and
 - d) it be **RECOMMENDED** to the Governance and Audit Committee that the Constitution be amended in order to allow that, in the event of an appeal, they be considered by the Chief Executive in consultation with the Leader of the Council.
- 1.5 This report therefore seeks Governance and Audit Committee's approval to make a recommendation to Council for Constitutional amendments arising as a result of the recently approved revised Council Tax Discretionary Hardship (Section 13a) Policy.

2 Constitutional Amendments Required as a Result.

- 2.1 Prior to approving the revised Policy, appeals were dealt with by the formally appointed Appeals Board. The revised Policy now allows for Appeals to be determined by the Chief Executive in Consultation with the Leader of the Council.
- 2.2 Therefore the following term of reference needs to **be removed** from the list of the Appeals Board's functions (currently referenced on page 23 of Part IV of the Constitution – Responsibility for Functions): -

“5. To hear appeals against decisions not to award Section 13 A Council Tax Discretionary Relief”

2.3 The following delegation needs to added to list of functions delegated to the Chief Executive (detailed on page 28/29 of Part IV of the Constitution – Responsibility for Functions)

“to determine any appeal made against a decision to not award Section 13 A Council Tax Discretionary Relief. Limits on Delegation: - following Consultation with the Leader of the Council”.

2.4 Approval of the two amendments would ensure the Constitution is reflective of the Policy which has been approved and ensure the two documents work in harmony.

3 Recommendation

3.1 **The Governance and Audit Committee are therefore requested to RECOMMEND to Full Council that the Constitution be amended as follows: -**

Section and Page Reference	Changed required
page 23 of Part IV of the Constitution – Responsibility for Functions – Appeals Board	The following be DELETED “5. To hear appeals against decisions not to award Section 13 A Council Tax Discretionary Relief”
page 28/29 of Part IV of the Constitution – Responsibility for Functions – Chief Executive	The following be ADDED “to determine any appeal made against a decision to not award Section 13 A Council Tax Discretionary Relief. Limits on Delegation: - following Consultation with the Leader of the Council”.



**Governance and Audit
Committee**

Tuesday, 13 October 2020

Subject: Member Development Annual Report

Report by:

Monitoring Officer

Contact Officer:

Ele Snow
Democratic and Civic Officer

Ele.Snow@west-lindsey.gov.uk

Purpose / Summary:

To review Member Development for the previous Civic Year and to agree relevant actions for the current Civic Year

RECOMMENDATION(S):

- 1. To accept this report as an accurate reflection of Member Development for 2019/20 and 2020/21 to date; and**
- 2. To offer suggestions for future development opportunities, to be considered by the Member Development Group.**

IMPLICATIONS

Legal: Members must receive training to sit on certain previously agreed Committees. If this training is not provided, the Council could be open to judicial review.

Financial: FIN/79/21/TJB

Member Development has existing budget of £5,200. There are no new financial implications at this stage and it is hoped that any proposals could be contained within existing budgets. This may be reconsidered once alternative delivery options are identified.

Staffing: Any staffing requirements for training events or development opportunities would be met within existing staff numbers and there are no additional duties identified outside of existing job roles.

Equality and Diversity including Human Rights: Consideration has been given to how training expectations may impact Members' travel requirements and how these can be limiting according to location or disability. Alternative methods of delivery will aim to further alleviate any individual difficulties.

Data Protection Implications: N/A

Climate Related Risks and Opportunities: The provision of online training will reduce travel time required for Councillors and therefore support carbon reduction policies.

Section 17 Crime and Disorder Considerations: N/A

Health Implications: N/A

Title and Location of any Background Papers used in the preparation of this report :

[Annual report to G&A Committee 15 October 2019](#)

[Update Report to G&A Committee 16 June 2020](#)

Risk Assessment: N/A

Call in and Urgency:

Is the decision one which Rule 14.7 of the Scrutiny Procedure Rules apply?

i.e. is the report exempt from being called in due to urgency (in consultation with C&I chairman)

Yes

No

Key Decision:

A matter which affects two or more wards, or has significant financial implications

Yes

No

1 Introduction

- 1.1 The Governance and Audit Committee is responsible for the monitoring of Member Development and has committed to receiving an annual report in order to maintain oversight.
- 1.2 The annual report would usually seek to demonstrate what has been achieved through the previous Civic Year (2019/2020) and review the focus of Member Development for the coming months and years.
- 1.3 Sadly, due to the global pandemic, national lockdown and the 'new normal' of working from home (with large meetings of people being prohibited), Member Development has been largely frozen with the view to resuming with renewed vigour once the national picture was more settled.
- 1.4 As it is now obvious that the restrictions will remain in place for some time, alternative solutions, as well as the online learning platform, are being used, as detailed in this report.

2 Summary of Development

- 2.1 From May 2019 to January 2020, apart from the continuation of Induction Sessions, there were eight sessions provided for Members with an average attendance rate of 25% of all Councillors. This is an increase on the previous year where there was an average attendance rate of just 18%.
- 2.2 In addition to the internally provided sessions, such as those for Statement of Accounts, Risk Management and Treasury Management, Members were offered the opportunity to attend workshops for Planning, Social Media and Scrutiny all of which were facilitated by external presenters. These were all well received with an above average rate of attendance for each session, including additional Members to those who had been recommended to attend.
- 2.3 A scheduled session on Chairing Skills, due to have taken place on 2 April 2020, was cancelled due to lockdown however a replacement session was held virtually on 24 September 2020 with 11 Councillors in attendance. Feedback from this session has been sought and, once collated, will help form a view on whether the workshop will be repeated in the near future, or added to the programme of development sessions as a permanent fixture over a two or four year period, in line with other committee-related sessions.
- 2.4 There was an increased number of Councillors attending additional development events, such as the first East Midlands Scrutiny Conference and a series of one-day sessions for newly Elected Councillors. Whilst these events do not directly come under the remit of the Member Development Group, attendance is recorded on individual training records.

- 2.5 The planned roll out for access to the online training platform was agreed by the Governance and Audit Committee on 16 June 2020 and the work plan for this is detailed in section three of this report.
- 2.6 The Member Development Group has not yet met in the current Civic Year however it is anticipated that the first meeting will be held prior to Christmas 2020. The purpose of the meeting will be to review the roll out of the online learning platform and discuss best actions for the group under current circumstances.
- 2.7 In June 2020 the By-Election Induction Programme template was approved for future use, meaning the Council now has a full plan in place to ensure any new Councillors joining through a by-election receive the same level of induction and support as those who join through all-out elections. This is a positive step as it had previously been identified as a weakness by new and existing Councillors alike. This had been identified as a work stream for the Member Development Group and has now been successfully completed.

3 Online Learning Platform – Learning Pool

- 3.1 At their meeting on 16 June 2020, the Governance and Audit Committee approved the roll out to all Councillors of the online learning platform, LearningPool. The intention of this is to provide all Members with the opportunity to undertake development courses in their own time and at their own pace. There will be courses available on topics such as Data Protection and Safeguarding (to replace those sessions which would usually be provided by Council Officers in the Guildhall) and there will also be a selection of ‘own-choice’ courses which Members are free to undertake at their own leisure.
- 3.2 Whilst the initial roll out of LearningPool has been somewhat delayed, the updated work plan is provided below. The roll out will include individual contact with each Councillor (where required) with the option of virtual support sessions. It has also been agreed that the amendments requested to the home page can be actioned in order to ensure easy access for Members.

3.2 Work Plan

Time Frame	Action	Responsible Officer
By 31 October	Login details to be provided to all Councillors	Demo Services Officer in liaison with HR Senior Officer
By 30 November	All 1:1 virtual support sessions to have been provided where required	Demo Services Officer
Between 16 November and 18 December	Meeting of the Member Development Group to assess roll out, receive feedback,	Demo Services Officer in liaison with Chairman of G&A Cttee

	suggest any further amendments, agree next actions	
January 2021 onwards	Focus to be resumed on learning needs of Councillors to include mandatory learning programme for those sessions with a 2yr expiry limit.	Demo Services Officer in liaison with Member Development Group / Demo Services Team / Team Managers for provision of sessions

4 Conclusion

- 4.1 The impact of restrictions as a result of the Covid-19 global pandemic has been considerable. There is now, however, an increased number of presenters offering virtual workshops (such as the Chairing Skills workshop undertaken just this month) and this is likely to be the future of Member Development, to a greater or lesser extent, for as long as social distancing restrictions remain in place.

Appendix 1 – Summary of Attendance

2019/20

The first three months of the 2019/20 municipal year were focussed on the Induction Programme for all Councillors. Covid-19 restrictions came into force in March 2020, therefore the following sessions took place between July 2019 and February 2020.

Name of Session	Number Attendees	of	% of all Cllrs
A Short Briefing on Planning for Councillors*	10		27.8
G&A - Risk Management Awareness	5		13.9
G&A Statement of Accounts	6		16.7
G&A Treasury Management	8		22.2
Planning Workshop*	16		44.4
Scrutiny Workshop*	7		19.4
Treasury Management	12		33.3
Social Media Awareness*	2		N/A**

This is an average attendance rate of 25.4% of all Councillors.

2020/21

As a result of the Covid-19 restrictions, development opportunities have been limited although we are now seeing a push for more online workshops. The following sessions have taken place virtually.

Name of Session	Number of Attendees	% of all Cllrs
Carbon Literacy*	8	22.2
Chairing Skills*	11	30.6
Statement of Accounts	8	22.2

This is an average attendance rate of 25% of all Councillors.

* denotes session provided by external facilitators such as APSE.

** this was a bespoke session for 2 Councillors only

Agenda Item 5d



**Governance & Audit
Committee**

13 October 2020

Subject: Internal Audit Quarter 2 Progress Report 2020/21

Report by: Lucy Pledge (Head of Service – Corporate Audit & Risk Management – Lincolnshire County Council)

Contact Officer: Alan Robinson, Monitoring Officer
alan.robinson@west-lindsey.gov.uk

Purpose / Summary: The report gives members an update of progress, by the Audit partner, against the 2020/21 annual programmes agreed by the Audit Committee in March 2020.

RECOMMENDATION(S):	1) Members consider the content of the report and identify any actions required.
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IMPLICATIONS

Legal: None directly arising from the report

Financial: None directly arises from the report.

Staffing: None.

Equality and Diversity including Human Rights:

NB: A full impact assessment **HAS TO BE** attached if the report relates to any new or revised policy or revision to service delivery/introduction of new services.

None arising from this report

Risk Assessment: N/A

Climate Related Risks and Opportunities: None arising from this report

Background Papers: No background papers within Section 100D of the Local Government Act 1972 were used in the preparation of this report.

Internal Audit Progress Report



West Lindsey District Council September 2020

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 - 2 - Details of Overdue Actions
 - 3 - Internal Audit Plan 2020/21 – Progress to Date
 - 4 – Record of changes to the Internal Audit plan

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This report has been prepared solely for the use of Members and Management of **West Lindsey District Council**. Details may be made available to specified external organisations, including external auditors, but otherwise the report should not be used or referred to in whole or in part without prior consent. No responsibility to any third party is accepted as the report has not been prepared, and is not intended for any other purpose.

The matters raised in this report are only those that came to our attention during the course of our work – there may be weaknesses in governance, risk management and the system of internal control that we are not aware of because they did not form part of our work programme, were excluded from the scope of individual audit engagements or were not brought to our attention. The opinion is based solely the work undertaken as part of the agreed internal audit plan.

Introduction

The purpose of this report is to:

- Provide details of the audit work during the period June 2020 to September 2020
- Advise on progress of the 2019/20 and 2020/21 plan
- Raise any other matters that may be relevant to the Audit Committee role

Key Messages

During the period we have issued three reports and we have one audit at draft report stage.

We commenced our audit work from the 20/21 plan in July 2020 and we will continue to work closely with management to ensure that we are focusing on the areas of greatest priority to the Council.

We would like to bring to Members attention a guide that has recently been produced by Audit Scotland *Covid-19 – Guide for Audit & Risk committees*. This guide focuses on the short term challenges facing public bodies in the response phase of the pandemic and sets out some key areas where Members may wish to seek assurance. Whilst it is written for public bodies in Scotland the contents of the guide are equally relevant to public bodies in England and a summary can be found on page 7.

Work completed

The following audit work has been completed and a final report issued:

Assurances

- 2019/20 Food Safety, Environmental Protection & Enforcement Follow up – High Assurance
- 2019/20 Key Controls testing Debtors & Creditors – Substantial Assurance
- Housing Benefit Subsidy testing – High Assurance



High Assurance

Our follow up review has provided a High Assurance opinion for the implementation of the agreed actions from the audit of Food Safety and Environmental Protection and Enforcement back in 2018.

During this review we found that all actions had been implemented with the exception of one in respect of policies, procedures and guidance notes.

We found that the key policies/strategies had been updated and approved, however we were unable to verify that all service area procedures and guidance notes were fully up to date.

Overall management and officers have established a robust process to ensure that the actions agreed in the previous follow up audit review have been implemented. This has resulted in improved working practices and management oversight.

Follow up – Food Safety, Environmental Protection and Enforcement

High Assurance

We examined twenty-seven cases as part of the work undertaken to support the subsidy claim, in respect of payments made in the 2019/20 financial year.

One claim was found to contain two errors.

The first error was in respect of a weekly Child Tax Credit figure being applied as a monthly figure. This resulted in an overpayment of Housing Benefit amounting to £175.16.

A report of all Tax Credits included in claims since April 2017 was reviewed but only this case was found to contain a monthly tax credit figure. We do not propose a recommendation in relation to this error.

The second error was in respect of a small underpayment of £14.29 where an incorrect gross earnings figure was used in the calculation. This would appear to be as a result of incorrect data entry rather than a miscalculation. Quality controls are in place to ensure that claims are processed correctly and this is undertaken across a sample of claims processed by all assessors. There are therefore adequate controls in place to identify errors and possible areas for retraining.

Housing Benefit Subsidy Testing

Substantial Assurance

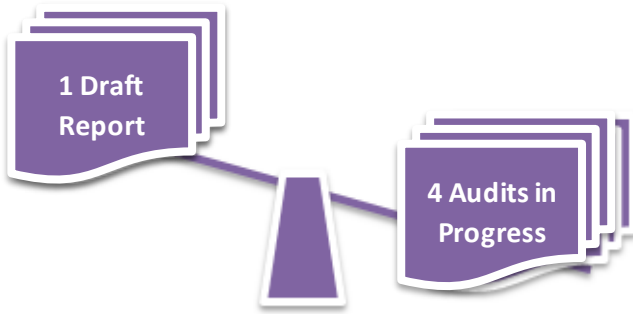
Key Controls Testing Debtors & Creditors

Our review of the effectiveness and efficiency of the key controls in Creditors and Debtors has provided a Substantial Assurance opinion.

We found that there are adequate authorisation processes in place for the raising of purchase orders, setting up of new creditors and debtors within the system and high value payments. Monthly control account reconciliations are completed as well as a clear process for the approval of write offs.

Further improvements could be made around:

- Embedding an authorisation process within the Benefits system for amendments to creditors
- Ensuring compliance with the Sundry Debt Recovery Policy (in respect of issuing a third reminder letter).



Audit reports at draft

We have one audit at draft report stage:

- 2019/20 ICT Cyber Security (Joint with NKDC)

Work in Progress

We have the following audits in progress from the 2020/21 plan:

- Treasury Management
- Homelessness
- Strategic Risk – Inability to raise local educational attainment and skills
- Crematorium





Internal Audit's performance is measured against a range of indicators. The statistics below show our performance on key indicators year to date.

Performance on Key Indicators as at 31st August 2020

These key performance indicators are based on the 2020/21 audit plan commencing in Q2 and work being completed across three quarters of the year.

Performance Indicator	Year-end Target	Profile Target	Actual as at 31 st August
Percentage of revised plan completed	100%	22%	18%
Percentage of recommendations agreed	100%	100%	100%
Percentage of recommendations implemented	100% or escalated	100%	100%



Other Matters of Interest

A summary of matters that will be of particular interest to Audit Committee Members

Audit Scotland – Guide for Audit and Risk Committees

Audit Scotland produced the above guide in August 2020 for public bodies and auditors which sets out some key questions for them to consider in respect of Covid-19. Whilst it is written for public bodies in Scotland the contents of the guide are equally relevant to public bodies in England.

The guide focuses on the short-term challenges facing public bodies in the response phase of the pandemic. Key areas that Audit & Risk committees will need to focus on include:

Internal controls and assurance

The pressures faced by local authorities have led to the need for more rapid decision making and flexibility in the workforce therefore there has been a necessity for the relaxation of some internal controls. The implementation of remote working has also increased some other risks such as cyber-crime.

Financial management and reporting

The pandemic has had a significant impact on local authorities in terms of its sources of income and additional costs incurred. The pandemic may also impact on the value of investments, property and potentially the collection of outstanding debts. Accountants involved in the processing of the information and reporting may also be stretched.

Governance

The pace of change has led to the necessity for faster decision making which may have led to changes in the governance process, reducing the opportunity for scrutiny and due diligence. There may also have been increased collaborative working and reliance on partners.

Risk management.

Risks will need to be monitored carefully and frequently to ensure they reflect the current situation and decisions around the risk appetite will also need to be considered.

The guide includes suggested questions to help committee members effectively scrutinise and challenge these key areas and better understand how their organisation is responding to the pandemic and managing both the immediate and longer-term challenges that it creates.

[Covid-19: Guide for audit and risk committees | Audit Scotland](#)

High

Our critical review or assessment on the activity gives us a high level of confidence on service delivery arrangements, management of risks, and the operation of controls and / or performance.

The risk of the activity not achieving its objectives or outcomes is low. Controls have been evaluated as adequate, appropriate and are operating effectively.

Substantial

Our critical review or assessment on the activity gives us a substantial level of confidence (assurance) on service delivery arrangements, management of risks, and operation of controls and / or performance.

There are some improvements needed in the application of controls to manage risks. However, the controls have been evaluated as adequate, appropriate and operating sufficiently so that the risk of the activity not achieving its objectives is medium to low.

Limited

Our critical review or assessment on the activity gives us a limited level of confidence on service delivery arrangements, management of risks, and operation of controls and/or performance.

The controls to manage the key risks were found not always to be operating or are inadequate. Therefore, the controls evaluated are unlikely to give a reasonable level of confidence (assurance) that the risks are being managed effectively. It is unlikely that the activity will achieve its objectives.

Low

Our critical review or assessment on the activity identified significant concerns on service delivery arrangements, management of risks, and operation of controls and / or performance.

There are either gaps in the control framework managing the key risks or the controls have been evaluated as not adequate, appropriate or are not being effectively operated. Therefore the risk of the activity not achieving its objectives is high.

Outstanding Audit Actions at 31 August 2020

Activity	Issue Date	Assurance	Total recs	Recs Imp	Priority of Overdue Recommendations			Recs not due
					High	Medium	Low	
There are no overdue actions to report								

There are no overdue actions to report

Audit	Scope of Work	Start Planned Date	Start Actual Date	End Actual Date	Rating
Strategic Risk – Inability to raise local educational attainment and skills levels	To review the controls and planned controls the Council has to mitigate and manage this key strategic risk.	Q2 July – Sept 2020	September 2020		Fieldwork
Homelessness	The homelessness strategy is delivered to achieve targets on prevention and that statutory obligations are fulfilled.	Q2 July – Sept 2020	August 2020		Fieldwork
Treasury Management	Provide Assurance on the Councils Treasury Management processes and controls around borrowing, investment and cash flow.	Q2 July-Sept 2020	August 2020		Fieldwork
Housing Benefit Subsidy	Test a sample of benefit cases on behalf of the external auditor to provide assurance on the subsidy claimed by the Council.	Q2 July-Sept 2020	July 2020	August 2020	High
Combined Assurance	Completing the integrated assurance mapping process for the Council by helping to map assurance against critical activities and key risks. Helping coordinate the development of the annual status report.	Q2/ Q3 July- Dec 2020			
Key Project – Waste Depot	Provide assurance over the management and delivery of the Council's key project	Q3 Oct- Dec 2020			
Key Project – CRM (Customer Relationship Management System)	Provide assurance over the management and delivery of the Council's key project	Q3 Oct- Dec 2020			
Crematorium	Provide assurance that the operational arrangements for the Crematorium are robust effective and efficient.	Q3 Oct- Dec 2020			Fieldwork

2020/21 Audit Plan to date

Audit	Scope of Work	Start Planned Date	Start Actual Date	End Actual Date	Rating
ICT – PSN Compliance	Joint review with NKDC to review the Council's compliance with standards and best practice	Q3 Oct- Dec 20			Planning
ICT – Email Security (2019/20)	To review the Councils compliance with standards and best practice	Q3 Oct- Dec 20			Planning
Key Controls Testing – General Ledger	To provide assurance that key controls are in place and operating effectively	Q4 Jan – Mar 20			
Key Controls Testing – Council Tax	To provide assurance that key controls are in place and operating effectively	Q4 Jan – Mar 20			
Key Controls Testing - VAT	To provide assurance that key controls are in place and operating effectively	Q4 Jan – Mar 20			
ICT Helpdesk	<p>Joint review with NKDC to review the effectiveness and efficiency of the helpdesk</p> <p>The previously unallocated ICT days have been added to this review to enable a deeper dive into Performance & Delivery</p>	Q4 Jan – Mar 20			
Audit Follow up work	Follow up 2019/20 limited assurance areas to provide assurances that improvements have been implemented	Q4 Jan – Mar 20			
Contingency	Areas to be confirmed and agreed but may include Post Covid-19 assurance work	Q4 Jan- Mar 20			

Audit	Rationale	Change	Approval
Key Project – Enterprise Resource Planning System (ERP) (10 days)	The Council was due to sign a contract for the implementation of an ERP finance system on 31.3.2020, however, due to the Covid-19 pandemic and the uncertainty around the financial impacts, Management Team made the decision to put the project on hold.	Deferred until 2021/22. Days will be allocated to other areas of focus – to be agreed	Governance & Audit Committee - 16 th June 2020
ICT – ERP system (10 days)	The Council was due to sign a contract for the implementation of an ERP finance system on 31.3.2020, however, due to the Covid-19 pandemic and the uncertainty around the financial impacts, Management Team made the decision to put the project on hold.	Deferred until 2021/22. Days will be allocated to other areas of focus – to be agreed	Governance & Audit Committee - 16 th June 2020
Wellbeing Lincs (8 days)	Joint review with NKDC and ELDC. Both ELDC & NKDC have also agreed to postpone this review. Wellbeing Lincs has been and remains pivotal during the Covid-19 pandemic and continues to work very closely with the community and other partners. Consideration to defer this review to 21/22 will allow the service to focus on the recovery phase and our audit can then review the effectiveness of the Council's elements of the contract during and post Covid-19.	Deferred until 2021/22. Days will be allocated to other areas of focus – to be agreed	Governance & Audit Committee - 16 th June 2020

Governance and Audit Workplan as at 28 September

Purpose:

This report provides a summary of items at committee over the 2020/2021 civic year.

Recommendation:

1. That members note the workplan.

Date	Title	Lead Officer	Purpose of the report	Date First Published
12 JANUARY 2021				
12 Jan 2021	Six Month Review of Strategic Risks	James O'Shaughnessy, Corporate Policy Manager & Deputy Monitoring Officer	To undertake and present the six-monthly review of the Council's strategic risks.	28 February 2020
12 Jan 2021	Governance and Audit Effectiveness	James O'Shaughnessy, Corporate Policy Manager & Deputy Monitoring Officer		24 June 2020
12 Jan 2021	Internal Audit Quarter 3 20/21 report	James Welbourn, Democratic and Civic Officer	Assurance Lincolnshire	08 June 2020
12 Jan 2021	External Audit Strategy Memorandum (Plan) 2020/21	Caroline Capon, Corporate Finance Team Leader	Review of External Audit plan for the Closure of the 2020/21 Accounts	08 June 2020
12 Jan 2021	Certification of Grants & Returns	Caroline Capon, Corporate Finance Team Leader	Review of the Certification of Grants and Returns	08 June 2020
12 Jan 2021	Treasury Management Practices	Caroline Capon, Corporate Finance Team Leader	Revision of the Treasury Management Practices	
12 Jan 2021	Draft Treasury Management Strategy 2020/21	Caroline Capon,	Review of the Draft Treasury	08 June 2020

Corporate Finance Team Management Strategy
Leader

9 MARCH 2021

9 Mar 2021	Accounts Closedown 2020/21 Accounting Matters	Caroline Capon, Corporate Finance Team Leader	Review of Accounting Policies, Key Dates and Risk	08 June 2020
9 Mar 2021	Combined Assurance Report 2020/21	James O'Shaughnessy, Corporate Policy Manager & Deputy Monitoring Officer	To present the findings and analysis of the Council's Combined Assurance Report for 2020/21	
9 Mar 2021	Internal Audit Draft Annual Plan Report 2021/2022	James Welbourn, Democratic and Civic Officer	By Assurance Lincolnshire	

13 APRIL 2021

13 Apr 2021	Internal Audit Quarter 4 Report	James Welbourn, Democratic and Civic Officer	Assurance Lincolnshire	08 June 2020
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