



## AUDIT, CRIME & DISORDER AND SCRUTINY COMMITTEE

Thursday 8 April 2021 at 7.30 pm

Place: Remote Meeting

PLEASE NOTE: this will be a 'virtual meeting'.

The link to the meeting is: <https://attendee.gotowebinar.com/register/3159718655657030925>  
Webinar ID: 123-263-635

Telephone (listen-only): 0330 221 9922, Telephone Access code:873-263-777

The members listed below are summoned to attend the Audit, Crime & Disorder and Scrutiny Committee meeting, on the day and at the time and place stated, to consider the business set out in this agenda.

Councillor Steve Bridger (Chair)  
Councillor Steven McCormick (Vice-Chair)  
Councillor Arthur Abdulin  
Councillor Nigel Collin  
Councillor Liz Frost

Councillor Rob Geleit  
Councillor David Gulland  
Councillor Colin Keane  
Councillor Phil Neale  
Councillor Alan Sursham

Yours sincerely

A handwritten signature in black ink, appearing to read "J.C. Belden". The signature is written in a cursive, flowing style.

Chief Executive

For further information, please contact Democratic Services, 01372 732000 or [democraticservices@epsom-ewell.gov.uk](mailto:democraticservices@epsom-ewell.gov.uk)

## Public information

### Please note that this meeting will be a 'virtual meeting'

This meeting will be held online and is open to the press and public to attend as an observer using free GoToWebinar software, or by telephone.

A link to the online address for this meeting is provided on the first page of this agenda and on the Council's website. A telephone connection number is also provided on the front page of this agenda as a way to observe the meeting, and will relay the full audio from the meeting as an alternative to online connection.

Information about the terms of reference and membership of this Committee are available on the [Council's website](#). The website also provides copies of agendas, reports and minutes.

Agendas, reports and minutes for the Committee are also available on the free Modern.Gov app for iPad, Android and Windows devices. For further information on how to access information regarding this Committee, please email us at [Democraticservices@epsom-ewell.gov.uk](mailto:Democraticservices@epsom-ewell.gov.uk).

### Exclusion of the Press and the Public

There are no matters scheduled to be discussed at this meeting that would appear to disclose confidential or exempt information under the provisions Schedule 12A of the Local Government (Access to Information) Act 1985. Should any such matters arise during the course of discussion of the below items or should the Chairman agree to discuss any other such matters on the grounds of urgency, the Committee will wish to resolve to exclude the press and public by virtue of the private nature of the business to be transacted.

### Questions from the Public

Questions from the public are permitted at meetings of the Committee. Any person wishing to ask a question at a meeting of the Committee must register to do so, as set out below.

Up to 30 minutes will be set aside for written or oral questions from any member of the public who lives, works, attends an educational establishment or owns or leases land in the Borough on matters within the Terms of Reference of the Audit, Crime & Disorder and Scrutiny Committee which may not include matters listed on a Committee Agenda.

All questions whether written or oral must consist of one question only, they cannot consist of multi parts or of a statement.

The question or topic may not relate to a specific planning application or decision under the Planning Acts, a specific application for a licence or permit of any kind, the personal affairs of an individual, or a matter which is exempt from disclosure or confidential under the Local Government Act 1972. Questions which in the view of the Chairman are vexatious or frivolous will not be accepted.

To register to ask a question at a meeting of the Committee, please contact Democratic Services, email: [democraticservices@epsom-ewell.gov.uk](mailto:democraticservices@epsom-ewell.gov.uk), telephone: 01372 732000.

Written questions must be received by Democratic Services by noon on the tenth working day before the day of the meeting. For this meeting this is **Noon, 24 March 2021**

Registration for oral questions is open until noon on the second working day before the day of the meeting. For this meeting this is **Noon, 6 April 2021**

## **AGENDA**

### **1. QUESTION TIME**

To take any questions from members of the Public.

### **2. DECLARATIONS OF INTEREST**

Members are asked to declare the existence and nature of any Disclosable Pecuniary Interests in respect of any item of business to be considered at the meeting.

### **3. MINUTES OF THE PREVIOUS MEETING** (Pages 5 - 10)

The Committee is asked to confirm as a true record the Minutes of the Meeting of the Committee held on 19 November 2020 (attached) and to authorise the Chair to sign them.

### **4. COMMUNITY SAFETY PARTNERSHIP - END OF YEAR REPORT** (Pages 11 - 20)

This report fulfils the statutory requirement to scrutinise the work of the Community Safety Partnership (CSP), in 2020-2021.

### **5. INTERNAL AUDIT PROGRESS REPORT** (Pages 21 - 38)

This report summarises progress made against the Internal Audit Plan.

### **6. INTERNAL AUDIT PLAN AND CHARTER 2021/22** (Pages 39 - 68)

This report summarises progress made against the Internal Audit Plan.

### **7. ANNUAL GOVERNANCE STATEMENT AND EXTERNAL AUDIT FINDINGS** (Pages 69 - 76)

This report sets out progress on the actions contained in the Council's Annual Governance Statement and any actions in the Audit Findings issued by the External Auditor following the audit of the financial statements.

### **8. THE COUNCIL'S ONGOING RESPONSE TO THE COVID 19 PANDEMIC AND LEARNING POINTS** (Pages 77 - 106)

The purpose of this report is to provide an update on the Council's emergency response to the Covid 19 Pandemic and identify some of the high level learning points.

### **9. FOUR YEAR PLAN: PROGRESS REPORT 2020/21** (Pages 107 - 118)

This report provides an update on progress made against the Key Priority Targets 2020/21 as at the end of January 2021.

**10. WORK PROGRAMME 2021/22** (Pages 119 - 124)

This report presents the Committee with a work programme for 2021/22.

**Minutes of the Meeting of the AUDIT, CRIME & DISORDER AND SCRUTINY  
COMMITTEE held on 19 November 2020**

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**PRESENT -**

Councillor Steve Bridger (Chair); Councillor Steven McCormick (Vice-Chair);  
Councillors Arthur Abdulin, Nigel Collin, Liz Frost, Rob Geleit, David Gulland,  
Colin Keane and Phil Neale

In Attendance: Neil Pitman (Head of Southern Internal Audit Partnership) (Southern  
Internal Audit Partnership (Internal Auditor)) and Natalie Jerams (Assistant Head of  
Partnership) (Southern Internal Audit Partnership (Internal Auditor))

Absent: Councillor Alan Sursham

Officers present: Damian Roberts (Chief Operating Officer), Amardip Healy (Chief Legal  
Officer) (Present for Items 1-3, 6+10 only), Gillian McTaggart (Head of Policy,  
Performance & Governance), Margaret Jones (Business Assurance Manager), Sarah  
Keeble (Democratic Services Officer) and Tim Richardson (Committee Administrator)

**28 QUESTION TIME**

No questions were asked or had been submitted by members of the public.

**29 DECLARATIONS OF INTEREST**

No declarations of interest were made by Members in items on the agenda for  
this meeting.

**30 MINUTES OF THE PREVIOUS MEETING**

The Minutes of the previous meeting of the Audit, Crime & Disorder and Scrutiny  
Committee held on 6 February and the Minutes of the Special meeting held on  
17 September were agreed as a true record and the Committee authorised the  
Chairman to sign them.

**31 ORDER OF BUSINESS**

The Chairman informed the Committee that the order of business for the meeting  
would be amended to take Items 6 and 10 at the start of the Agenda.

## 32 ANNUAL REPORT ON THE USE OF RIPA POWERS

The Committee received a report on the Council's activities relating to surveillance under the Regulation of Investigatory Powers Act 2000 for 2019.

Following consideration, it was resolved unanimously that the Committee:

- (1) **Noted the annual report of the Council's use of its RIPA powers;**
- (2) **Noted the Council's "Policy & Guidance on Lawful Surveillance" will be brought back to this Committee following the conclusion of the current Inspection by the Investigatory Powers Commissioner's Office.**

## 33 DELEGATED DECISIONS

The Committee received a report detailing the findings of an independent review of delegated decisions made between 1st January 2020 and 31st July 2020.

The Committee was addressed by Ward Councillor, Alex Coley.

The following points were raised by the Committee:

- a) **Reasons for report being brought to Committee:** It was noted that this piece of work was commissioned due to concerns regarding the level and extent of delegated powers being exercised. There had been concerns that delegated decisions had been made through the delegated process when they perhaps should not have been. Officers noted that it was an aim to make decision-making in the authority more effective and provide a level of clarity for Members, and that this would be reported to the Standards Committee.
- b) **Communicating decisions to Members:** It was noted that a piece of work is being undertaken to update and improve the way in which Members are notified of decisions that have been made.
- c) **Forward Plan:** Members noted the possibility of adding Delegated Decisions (including the financial and risk-management aspects) to the Committee's Work Programme.

Members noted the ongoing work regarding Delegated Decisions and noted that the Committee looks forward to an update in the future, making a request that this be Minuted.

Following consideration, it was resolved unanimously that the Committee:

- (1) **Noted the report at Appendix 1.**

## 34 INTERNAL AUDIT PLAN 2020-21

The Committee received a report introducing the Internal Audit Plan and Charter for 2020/21.

Following consideration, it was resolved unanimously that the Committee:

- (1) Endorsed the Internal Audit Plan for 2020/21 as set out at Appendix 1;**
- (2) Approved the Internal Audit Charter 2020/21 as set out at Appendix 2.**

## 35 INTERNAL AUDIT PROGRESS REPORT

The Committee received a report summarising progress against the Internal Audit Plan and informs the Committee of the latest External Quality Assessment of Southern Internal Audit Partnership.

The Committee received a verbal introduction from a member of the Council's Internal Auditor S.I.A.P.

The following items were raised by the Committee:

- a) **Workload:** Members raised concerns regarding how feasible it may be for the Internal Audit workload to be completed during the current circumstances of Covid-19. It was noted that the pandemic had been taken into consideration when the internal Audit Plan was being comprised, and that close monitoring is being carried out to ensure an efficient service.
- b) **Audit of Decision-Making & Accountability:** Members noted the upcoming Audit Brief which would focus on one Audit in the plan – Decision Making and Accountability. It was noted that this work is being scoped and that the outcome of the Audit would be presented to the Committee as part of the Progress Report.
- c) **Adjustments to Internal Audit Plan:** Members noted the removal of some items from the Audit Plan, as well as the addition of some new items. It was noted that the Covid-19 pandemic created new areas to be included, and then all items were re-prioritised. Officers noted that when the Annual Plan is re-presented to the Committee for 2021/2022, the process will be reconsidered and reprioritizing will happen again.

Following consideration, it was resolved unanimously that the Committee:

- (1) Received the internal audit progress report from Southern Internal Audit Partnership attached at Appendix 1;**
- (2) Noted the findings of the External Quality Assessment of Southern Internal Audit Partnership attached at Appendix 2.**

### 36 RISK MANAGEMENT FRAMEWORK ANNUAL REPORT

The Committee received a report enabling the Committee to meet its responsibilities for monitoring the development of the Council's risk management arrangements.

The Committee received a verbal introduction from the Head of Policy, Performance and Governance.

The following typographical error in the report was amended at the Committee which read as follows:

#### **Leadership Risk Register:**

4.1.3 The risk rating takes into account the mitigation action in place and the Register will next be updated in April 2020.

To read:

4.1.3 The risk rating takes into account the mitigation action in place and the Register will next be updated in April 2021.

Following consideration, it was resolved unanimously that the Committee:

- (1) Considered the arrangements in place for risk management as outlined in the report;**
- (2) Reviewed the Leadership Risk Register and determine if there are any risks they wish to raise with the Leadership Team.**

### 37 CORPORATE PLAN: 2019 TO 2020 YEAR END PERFORMANCE AND TARGET OVERVIEW 2020 TO 2021

The Committee received a report providing the end of year status of the Key Priority Targets 2019/20 and presenting the Key Priority Targets for 2020/21, the first year of the new corporate plan 2020 to 2024.

The following items were raised by the Committee:

- a) **Staff management:** It was noted that each Head of Service would be accountable for the delivery of targets in their department. Members noted



a number of staff that had been re-deployed to other departments in light of the Covid-19 pandemic.

Following consideration, it was resolved unanimously that the Committee:

- (1) Considered the Key Priority Targets, End of Year Position 2019/20, set out at Appendix 1.**
- (2) Noted the Key Priority Targets for 2020/21 set out at Appendix 2.**

## 38 ANNUAL REPORT 2019/20

The Committee received a report presenting the Annual Report of the Audit, Crime & Disorder and Scrutiny Committee for 2019/20 and draft work programme 2020/21.

Following consideration, it was resolved unanimously that the Committee:

- (1) Approved the Annual Report 2019/20 attached at Appendix 1 and to present the Annual Report to the next meeting of Council;**
- (2) Agreed the draft work programme 2020/21 attached at Appendix 2.**

*The meeting began at 7.30 pm and ended at 9.10 pm*

COUNCILLOR STEVE BRIDGER (CHAIR)

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## **COMMUNITY SAFETY PARTNERSHIP - END OF YEAR REPORT**

<b>Head of Service:</b>	Rod Brown, Head of Housing & Community
<b>Wards affected:</b>	(All Wards);
<b>Urgent Decision?(yes/no)</b>	No
<b>If yes, reason urgent decision required:</b>	
<b>Appendices (attached):</b>	Epsom and Ewell Community Safety Partnership Priorities

### **Summary**

This report fulfils the statutory requirement to scrutinise the work of the Community Safety Partnership (CSP), in 2020-2021.

### **Recommendation (s)**

#### **The Committee is asked to:**

- (1) The Committee is asked to note and comment on the work of the CSP**

## **1 Reason for Recommendation**

- 1.1 Under the 2006 Police and Justice Act, Councils are required to allocate the scrutiny of the local CSP to one of their committees so as to provide public accountability to the CSP.
- 1.2 Importantly, many of the participants of the CSP including local authorities, police and health services operate under their own scrutiny processes and the Audit, Crime and Disorder and Scrutiny Committee is not required to duplicate that, but to look at the work of the CSP as a whole.

## **2 Background**

- 2.1 The Crime and Disorder Act 1998 established the principle of partnership working on a formal basis and through several legislative adjustments, this is now achieved in Epsom and Ewell through the Epsom and Ewell Community Safety Partnership.

- 2.2 The Council's Environment and Safe Communities Committee agreed at its July 2020 meeting to establish a new CSP in the form of the Epsom and Ewell CSP having determined that participation in the previous East Surrey CSP was not adequately serving the needs of borough residents.
- 2.3 The Partnership had its first meeting in August 2020 and aims to meet four times a year. It consists of membership from the following areas
- Epsom & Ewell Borough Council (Chair)
  - Chair of the Epsom & Ewell Borough Council Environment and Safe Communities Committee
  - Elected Member from Surrey County Council (Local Area Committee nominee)
  - Surrey Police Safer Neighbourhoods Team
  - Surrey Police and Crime Commissioner's Office
  - Surrey Heartlands CCG
  - Surrey Fire and Rescue
  - Surrey County Council Community Safety Team
  - Rosebery Housing Association
  - Probation Services
  - Epsom Business Improvement District
- 2.4 At its initial meeting the Partnership agreed terms of reference and subsequently an agreed partnership plan has been adopted focussing on 4 priorities.
- The most vulnerable or those at risk of harm
  - Serious Organised Crime and PREVENT
  - Identifying and tackling crime and antisocial behaviour
  - Improving community engagement

- 2.5 The mechanisms by which much of this is delivered are via the regular Community Harm and Risk Reduction Meetings (CHaRMM), and the Joint Action Groups (JAG). Additionally a programme of Serious Organised Crime Joint Action Groups (SOCJAG), has recently been established whereby Surrey Police provide intelligence and request intelligence from partner agencies recognising that these agencies are well placed to provide information on suspects given their role in the community.
- 2.6 Although in its early stages, it is anticipated having a local CSP will make it possible to take advantage of external funding opportunities as and when they arise.
- 2.7 The Partnership concluded a Domestic Homicide Review and submitted it to the Home Office.

### **3 Risk Assessment**

Legal or other duties

#### **3.1 Impact Assessment**

- 3.1.1 The scrutiny of CSP arrangements is written into law and acts to enhance public accountability of partnership activities.

#### **3.2 Crime & Disorder**

- 3.2.1 The work of the CSP inherently seeks to reduce crime and disorder through partnership work.

#### **3.3 Safeguarding**

- 3.3.1 The subject of safeguarding is closely tied to that of crime and disorder in the context of the CSP. For example the various types of exploitation often involve vulnerable adults and children.

#### **3.4 Dependencies**

- 3.4.1 The partnership's success is dependent on the contribution from all agencies. The Partnership contains both statutory and non-statutory partners and the challenge will be to ensure relevance to all those who can contribute.

### **4 Financial Implications**

4.1 The Council has retained a community safety reserve of **£100,425**. This is held principally to fund any future Domestic Homicide Reviews. The day to day running of the CSP is part of the role of the Council's Community Safety and Enforcement Officer with support from the team manager. Presently the Chair of the Partnership is the Head of Housing and Community Services on an interim basis pending the appointment of the Council's Director of Environment, Housing and Regeneration. There are no additional funding requirements as a consequence of this report.

4.2 **Section 151 Officer's comments:** None arising from the contents of this report.

## 5 Legal Implications

5.1 Data sharing is facilitated by the Surrey Information Sharing Protocol enabling the sharing of information where necessary for the prevention or detection of crime.

5.2 **Monitoring Officer's comments:** none arising from the contents of this report.

## 6 Policies, Plans & Partnerships

6.1 **Council's Key Priorities:** The following Key Priorities are engaged:

6.2 **Service Plans:** Community Safety is included within the current Service Delivery Plan.

6.3 **Climate & Environmental Impact of recommendations:** In the past it was common for partners to physically meet at office locations in Surrey. In common with many subject areas, the Covid-19 pandemic has required the use of virtual meetings and it is expected this will continue with resultant savings in both carbon emissions and improvements in air quality.

6.4 **Sustainability Policy & Community Safety Implications:** It is expected the CSP will enhance community safety for the reasons set out in this report.

6.5 **Partnerships:** The local Community Safety Partnership is a statutory arrangement and operates in addition to the day to day working arrangements established between partners.

## 7 Background papers

7.1 The documents referred to in compiling this report are as follows:

**Previous reports:**

- 25 June 2019 Audit, Crime and Disorder and Scrutiny meeting item 4.

**Other papers:**

None

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**Priority 1: Focus on the most vulnerable or those at risk of harm**

Priority area	Action(s)	Lead Agency/ Group	Desired outcome(s)
<b>Domestic Abuse</b>	To engage with those most vulnerable to domestic abuse. To refer to Multi Agency Risk Assessment Conference (MARAC), Housing and adult / children's services as appropriate.	Surrey Police  Epsom & Ewell Borough Council	To reduce the risk to victims and children of domestic abuse.
	Implement Domestic Homicide Reviews (DHR) when required. Monitor and progress associated recommendations.	Epsom & Ewell Borough Council Community Safety	Identification of lessons learnt to improve practice and safeguard victims
<b>Supporting Vulnerable members of the community</b>	Make referrals of vulnerable victims to Community Harm and Risk Management Meetings (CHaRMM) where appropriate.	Community Harm and Risk Management Meeting (CHaRMM)	Level of risk appropriately managed and reduced
	Co-ordinate and manage Community Trigger reviews when required.	Epsom & Ewell Borough Council Community Safety	Reduced risk of harm to victims of Antisocial Behaviour (ASB).  Improved joined up working and sharing of information

**Priority 2: Serious Organised Crime and PREVENT**

Priority area	Action(s)	Lead Agency/ Group	Desired outcome(s)
<b>Serious and Organised Crime (SOC)</b>	<p>Develop, implement and monitor a targeted and sustained approach to Serious Organised Crime.</p> <p>Create a new Serious Organised Crime Joint Action Group (SOCJAG) for information sharing and disruption</p> <p>To include Exploitation – Child / Criminal / Sexual Human Trafficking Modern Day Slavery Organised Immigration Serious Violent Crime County lines Cuckooing Online Fraud</p>	Surrey Police	<p>Prevent and tackle serious violent crime</p> <p>Prevent the exploitation of the vulnerable</p> <p>Disruption of organised crime groups in the borough.</p> <p>Making the borough less attractive to those involved in serious organised crime</p>
<b>PREVENT (The government Prevent Strategy against Terrorism and Extremism)</b>	<p>Engage with the Surrey PREVENT Strategy – Prevent, Pursue, Prepare and Protect</p> <p>Collaborative working to promote equality and prevent racism</p>	All	<p>Co-ordinated approach to PREVENT agenda</p> <p>Reduced risk of radicalisation</p> <p>Promote positive relations between different communities and show a united position against all types of hate crime that targets specific communities</p>

**Priority 3: Identifying and tackling crime and anti-social behaviour**

Priority area	Action(s)	Lead Agency/ Group	Desired outcome(s)
<b>Anti-social Behaviour And Environmental Crime</b>	<p>Address anti-social behaviour (ASB) and the wider effect on the community including lack of compliance with national COVID-19 requirements.</p> <p>Use appropriate enforcement and intervention measures.</p> <p>Review issues using multi-agency approach</p>	<p>Community Harm and Risk Management Meeting (CHaRMM)</p> <p>Joint Action Group (JAG)</p>	<p>Reduction in levels of Antisocial Behaviour (ASB) of the most prolific offenders</p> <p>Reduction in levels of Antisocial Behaviour (ASB) in most prolific areas.</p> <p>Perception of safety in and around the borough</p> <p>People feeling able to go about their daily lives</p>
<b>Town Centre Safety including alcohol related crime</b>	<p>Currently under review for Purple Flag Award</p> <p>Challenge new licensing applications/renewals where appropriate.</p>	<p>Surrey County Council</p> <p>Epsom and Ewell Borough Council / Surrey Police</p>	<p>Make it safer for road users and pedestrians</p> <p>Reduction of incidents of alcohol related crime and antisocial behaviour (ASB) in and around licensed premises and public places</p> <p>Quicker dispersal and access to taxis at the end of the late night economy</p>
<b>Tackling emerging patterns of crime and anti-social behaviour</b>	<p>All agencies to work together for more effective response.</p> <p>Review Joint Enforcement initiatives</p>	ALL	<p>Improved partnership enforcement opportunities to disrupt crime and antisocial behaviour (ASB) at the earliest stages.</p>

## Priority 4: Improving community engagement

Priority area	Action(s)	Lead Agency/ Group	Desired outcome(s)
<b>Community Engagement</b>	Use targeted engagement opportunities to promote and support local and national awareness campaigns and provide crime prevention and Community Safety advice e.g. relating to Domestic Abuse, antisocial behaviour (ASB), Scams, and Burglary. Use in wider initiatives – Neighbourhood Watch	ALL	Residents have increased awareness and understanding of Community Safety issues and how to report them.  Increased confidence to report incidents to the police.  Collaborative working with the community for increased confidence and satisfaction.
	Increase reporting of action being taken by statutory organisations to tackle crime including successful outcomes.  Devise a Partnership media protocol to formalise CSP for E&E approach to communications.	Epsom & Ewell Borough Council / Surrey Police	Increased public confidence that action is being taken.
	Work with schools to promote key Community Safety messages to young people.	Surrey Police	Young people have an increased awareness and understanding of Community Safety issues.
<b>Staff awareness</b>	Hold joint Community Safety staff training events to raise awareness of issues including hate crime, domestic abuse and SOC.	Epsom and Ewell Borough Council Surrey Police Housing Association	Staff have increased awareness and understanding of Community Safety issues and how to report them.

## INTERNAL AUDIT PROGRESS REPORT

<b>Head of Service:</b>	Gillian McTaggart, Head of Policy, Performance & Governance
<b>Wards affected:</b>	(All Wards);
<b>Urgent Decision?(yes/no)</b>	No
<b>If yes, reason urgent decision required:</b>	
<b>Appendices (attached):</b>	<b>Appendix 1:</b> Southern Internal Audit Partnership Internal Audit Progress Report 2020/21, February 2021

### Summary

This report summarises progress made against the Internal Audit Plan.

### Recommendation (s)

#### The Committee is asked to:

- (1) receive the internal audit progress report from Southern Internal Audit Partnership attached at Appendix 1.

## 1 Reason for Recommendation

- 1.1 This Committee has overall responsibility for audit and governance frameworks, including the functions of an audit committee.
- 1.2 The Committee receives regular internal audit progress reports which update the Committee on progress made against the audit plan and the outcomes of individual audits.

## 2 Background

- 2.1 Southern Internal Audit Partnership (SIAP) was appointed as the Council's internal auditors from 1 April 2019 for a period of four years. SIAP has completed one full year with the Council (2019-20) and is nearing completion of its second year (2020-21).

- 2.2 The Internal Audit Plan 2020 – 2021 was endorsed by this Committee on 19 November 2020. In the plan's developmental stages, SIAP re-engaged with the Leadership Team in order to ensure that new risks and challenges for the Council arising from its response to the COVID-19 pandemic were reflected; SIAP identified a number of new emerging risks relating to COVID-19. The revised draft plan was approved by the Leadership team in July 2020.
- 2.3 The Committee received SIAP's first internal audit progress report, which identified progress made against the plan, at the November 2020 meeting. This report outlined that audit work had commenced, but no audits had been finalised.
- 2.4 Since the last report further progress has been made against the plan. Due to increased pressures on officers, mainly associated with the Council's response to the COVID-19 pandemic, some audits have experienced delay. Three audit reports (COVID-19 Emergency Response and Recovery, Health & Safety (COVID-19 Response) and Development Management) have been finalised, each of these reports has been given a reasonable assurance rating. Activity against all remaining audits is in progress. At the time of drafting, five audits are at Draft Report stage (COVID-19 Business Support Grants, Accounts Payable, Payroll, Decision Making & Accountability and Disabled Facilities Grants). Work on auditing our submissions to the Local Government Compensation Scheme (LGCS) has also been completed for two of the submissions with a further submission due in April.
- 2.5 Throughout the year, the Internal Audit Plan 2020/21 has remained flexible in order that the Council can react to a changing environment and needs. SIAP are confident that the remaining audits will be completed by June. The table below identifies those changes that have been made since November 2020.

Assignment	Change Made
Other COVID Funding/Market Underwriting	Audit removed from plan. Audit no longer required.
Data Management	Deferred to 2021/22
Climate Change	Deferred to 2021/22

- 2.6 A full update on the audit plan is provided in the table below and in SIAP's Internal Audit Progress Report 2020/21 attached at Appendix 1.

Audit Assignment	Current Position of Audit	Assurance Opinion	Management Actions		
			H	M	L
Programme and Project Management	Fieldwork complete.				
Financial Resilience	Fieldwork on-going				
COVID-19 Business Support Grants	Draft Report				
Local Government Compensation Scheme (LGCS)	Review and sign off has taken place for claims 1 and 2. Third claim to be reviewed April 2021.	N/A – grant certification			
Health & Safety (COVID-19)	Final Report (Report to Committee 8 April 2021)	Reasonable		1	
COVID-19: Emergency Response & Recovery	Final Report (Report to Committee 8 April 2021)	Reasonable		1	
Decision Making & Accountability	Draft Report				
Housing Benefits	Fieldwork on-going				
Accounts Payable	Draft Report				
Payroll	Draft Report				
Cyber Security	Fieldwork complete.				
Disaster Recovery & IT Business Continuity	Fieldwork on-going				

Audit Assignment	Current Position of Audit	Assurance Opinion	Management Actions		
			H	M	L
Parking & Enforcement	Audit Outline (Timing slightly adjusted to reflect increased workload on relevant teams)				
Homelessness	Fieldwork on-going. (Timing slightly adjusted to reflect increased workload on relevant team)				
Disabled Facilities Grants	Draft Report				
Development Management	Final Report (Report to Committee 8 April 2021)	Reasonable		5	
Community Safety	Fieldwork on-going				
Epsom & Walton Downs Conservators Account	Complete	N/A			

- 2.1 The audit plan will need to be delivered by June in order for the Head of Internal Audit to be in a position to issue his opinion on the adequacy and effectiveness of the Council's internal control environment 2020/21.
- 2.2 Three high priority management actions from previous audits undertaken by SIAP remain outstanding, one from each of the following audits:
- 2.2.1 Accounts Receivable & Debt Management
- 2.2.2 Building Control
- 2.2.3 Asset management (Property assets).



- 2.3 Further details on the latest position of each of these three overdue actions are provided by SIAP in Annex 1 of its report.

### 3 Risk Assessment

Legal or other duties

#### 3.1 Impact Assessment

- 3.1.1 None for the purposes of this report.

#### 3.2 Crime & Disorder

- 3.2.1 None for the purposes of this report.

#### 3.3 Safeguarding

- 3.3.1 None for the purposes of this report.

#### 3.4 Dependencies

- 3.4.1 The Chief Internal Auditor will issue an Annual Internal Audit Report & Opinion for 2020-21 on completion of the year. This report is a critical document that will be used in preparing the Annual Governance Statement 2020-21 included in the Statement of Accounts.

#### 3.5 Other

- 3.5.1 None for the purposes of this report.

### 4 Financial Implications

- 4.1 There are no financial implications within this report.

- 4.2 **Section 151 Officer's comments:** None arising from the contents of this report.

### 5 Legal Implications

- 5.1 None for the purposes of this report.

- 5.2 **Monitoring Officer's comments: none arising from the contents of this report.**

### 6 Policies, Plans & Partnerships

- 6.1 **Council's Key Priorities:** The following Key Priorities are engaged:

- 6.1.1 Effective Council – Engaging, responsive and resilient.

6.1.2 Green & Vibrant – A better place to live where people enjoy their surroundings.

6.1.3 Safe & Well – A place where people feel safe, secure and lead healthy, fulfilling lives.

6.1.4 Opportunity & Prosperity – A successful place with a strong, dynamic local economy where people can thrive.

6.1.5 Smart & Connected – Alive and connected socially, economically, geographically and digitally.

6.1.6 Cultural & Creative – A centre for cultural and creative excellence and inspiration.

6.2 **Service Plans:** The matter is included within the current Service Delivery Plan.

6.3 **Climate & Environmental Impact of recommendations:** no relevance for the purposes of this report.

6.4 **Sustainability Policy & Community Safety Implications:** no relevance for the purposes of this report.

6.5 **Partnerships:** not applicable.

## 7 Background papers

7.1 The documents referred to in compiling this report are as follows:

### **Previous reports:**

- Internal Audit Plan 2020-21, Audit, Crime & Disorder and Scrutiny Committee 19 November 2020.
- Internal Audit Progress Report, Audit, Crime & Disorder and Scrutiny Committee 19 November 2020.

### **Other papers:**

- Southern Internal Audit Partnership, Internal Audit Plan 2020/21-2022/23

## Internal Audit Progress Report 2020/21

February 2021

Epsom & Ewell Borough Council



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**Southern Internal  
Audit Partnership**

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## 1. Role of Internal Audit

The requirement for an internal audit function in local government is detailed within the Accounts and Audit (England) Regulations 2015, which states that a relevant body must:

*‘Undertake an effective internal audit to evaluate the effectiveness of its risk management, control and governance processes, taking into account public sector internal auditing standards or guidance.’*

The standards for ‘proper practices’ are laid down in the Public Sector Internal Audit Standards [the Standards – updated 2017].

The role of internal audit is best summarised through its definition within the Standards, as an:

*‘Independent, objective assurance and consulting activity designed to add value and improve an organisations’ operations. It helps an organisation accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes’.*

The Council is responsible for establishing and maintaining appropriate risk management processes, control systems, accounting records and governance arrangements. Internal audit plays a vital role in advising the Council that these arrangements are in place and operating effectively.

The Council’s response to internal audit activity should lead to the strengthening of the control environment and, therefore, contribute to the achievement of the organisations’ objectives.

## 2. Purpose of report

In accordance with proper internal audit practices (Public Sector Internal Audit Standards), and the Internal Audit Charter the Chief Internal Auditor is required to provide a written status report to 'Senior Management' and 'the Board', summarising:

- The status of 'live' internal audit reports;
- an update on progress against the annual audit plan;
- a summary of internal audit performance, planning and resourcing issues; and
- a summary of significant issues that impact on the Chief Internal Auditor's annual opinion.

Internal audit reviews culminate in an opinion on the assurance that can be placed on the effectiveness of the framework of risk management, control and governance designed to support the achievement of management objectives of the service area under review.

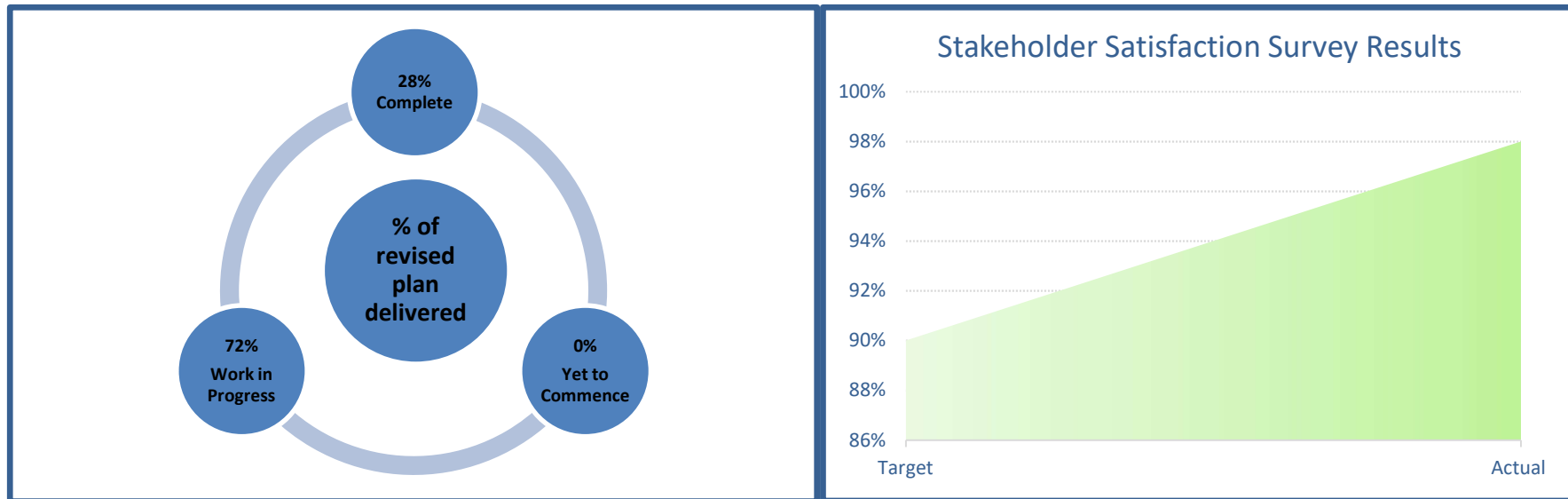
CIPFA have recently released a paper which examined the case for standardising the terminology and definitions used in internal audit engagements across the whole of the public sector and has subsequently recommended a standard set of opinions and supporting definitions for internal audit service providers to use.

To ensure we continue to conform to the best practice principles, we will be adopting the standard definitions for our 2020/21 work and moving forwards. The assurance opinions are categorised as follows:

<b>Substantial</b>	A sound system of governance, risk management and control exists, with internal controls operating effectively and being consistently applied to support the achievement of objectives in the area audited.
<b>Reasonable</b>	There is a generally sound system of governance, risk management and control in place. Some issues, non-compliance or scope for improvement were identified which may put at risk the achievement of objectives in the area audited.
<b>Limited</b>	Significant gaps, weaknesses or non-compliance were identified. Improvement is required to the system of governance, risk management and control to effectively manage risks to the achievement of objectives in the area audited.
<b>No</b>	Immediate action is required to address fundamental gaps, weaknesses or non-compliance identified. The system of governance, risk management and control is inadequate to effectively manage risks to the achievement of objectives in the area audited.

*\* Some reports listed within this progress report (pre 2020-21 audit plan) refer to categorisations used by SIAP prior to adoption of the CIPFA standard definitions, reference is provided at Annex 2*

### 3. Performance dashboard



#### Compliance with Public Sector Internal Audit Standards

An External Quality Assessment of the Southern Internal Audit Partnership was undertaken by the Institute of Internal Auditors (IIA) in September 2020. The report concluded:

*'The mandatory elements of the IPPF include the Definition of Internal Auditing, Code of Ethics, Core Principles and International Standards. There are 64 fundamental principles to achieve with 118 points of recommended practice. We assess against the principles. It is our view that the Southern Internal Audit Partnership conforms to all 64 of these principles. We have also reviewed SIAP conformance with the Public Sector Internal Audit Standards (PSIAS) and Local Government Application Note (LGAN). We are pleased to report that SIAP conform with all relevant, associated elements.'*

## 4. Analysis of 'Live' audit reviews

Audit Review	Report Date	Audit Sponsor	Assurance Opinion	Total Management Action(s)	Not Accepted	Not Yet Due	Complete	Overdue		
								L	M	H
Fraud and Irregularities	06.08.2019	HofPPG	Adequate	4 (0)	0 (0)	0 (0)	3 (0)		1	
Accounts Receivable & Debt M'ment	15.10.2019	CFO	Limited	12 (9)	0 (0)	0 (0)	11 (8)			1
Building Control	17.12.2019	HofP	Limited	6 (1)	0 (0)	0 (0)	0 (0)	4	1	1
Asset Management (Property Assets)	17.12.2019	HofP&R	Adequate	7 (5)	0 (0)	3 (1)	3 (3)			1
Main Accounting	30.04.2020	CFO	Adequate	2 (0)	0 (0)	0 (0)	1 (0)		1	
Community and Wellbeing Centre	13.07.2020	HofOS	Limited	7 (0)	0 (0)	7 (0)	0 (0)			
Information Governance	17.08.2020	HofPPG	Adequate	9 (0)	0 (0)	0 (0)	2 (0)		7	
Emergency Response & Recovery	07.01.2021	HofPPG	Reasonable	1(0)	0(0)	1(0)	0(0)			
Health & Safety (COVID -19 Response)	02.03.2021	HofPPG	Reasonable	1(0)	0(0)	1(0)	0(0)			
Development Management	03.03.2021	HofP	Reasonable	6(0)	0(0)	5(0)	1(0)			

## Audit Sponsor

CFO	Chief Finance Officer	HofP	Head of Planning
HofD&ST	Head of Digital and Service Transformation	HofOS	Head of Operational Services
HofHR&OD	Head of HR and OD	HofP&R	Head of Property & Regeneration
HofPPG	Head of Policy, Performance & Governance	HofH&C	Head of Housing & Community
CLO	Chief Legal Officer		



## 5. Executive Summaries of reports published concluding a ‘Limited’ or ‘No’ assurance opinion

There are no new reports published concluding a “limited” or “no” assurance opinion.

## 6. Planning & Resourcing

The scale of COVID-19 coupled with the speed of its impact and the wide-ranging challenges presented has necessitated new and different ways of working across the Council. Such challenges and subsequent resolutions bring with them new and emerging risks that management need to consider, manage, and mitigate. In response, the Southern Internal Audit Partnership engaged with the Council’s Leadership Team to reprioritise the originally drafted audit plan in April 2020 to provide assurance in respect of emerging key risk areas and these are detailed within section 8 of this report.

The revised internal audit plan for 2020-21 was approved by Leadership Team in July 2020 and presented to Audit, Crime & Disorder and Scrutiny Committee in November 2020.

The audit plan remains fluid to provide a responsive service that reacts to the changing needs of the Council. Progress against the plan is detailed within section 7.

## 7. Rolling Work Programme

Audit Review	Sponsor	Scoping	Audit Outline	Fieldwork	Draft Report	Final Report	Assurance Opinion	Comment
<b>Corporate Cross Cutting</b>								
Programme & Project Management	HofH&C & HofPPG	✓	✓	✓				
Financial Resilience	CFO	✓	✓	✓				
<b>Corporate Governance</b>								
Health and Safety	HofPPG	✓	✓	✓	✓	✓	<b>Reasonable</b>	

Audit Review	Sponsor	Scoping	Audit Outline	Fieldwork	Draft Report	Final Report	Assurance Opinion	Comment
Decision Making & Accountability	HofPPG / CLO	✓	✓	✓	✓			
Business Support Grant	HofD&ST	✓	✓	✓	✓			
Local Government Compensation Scheme	CFO	✓	✓	✓	n/a	n/a	<b>n/a – grant certification</b>	Claim 1 and 2 completed. Claim 3 is required in April 2021.
COVID – Emergency Response & Recovery	HofPPG	✓	✓	✓	✓	✓	<b>Reasonable</b>	
<b>Financial Management</b>								
Housing Benefits	HofD&ST	✓	✓	✓				
Accounts Payable	CFO	✓	✓	✓	✓			
Payroll	HofHR&OD	✓	✓	✓	✓			
<b>Information Technology</b>								
Disaster Recovery & IT Business Continuity	HofD&ST	✓	✓	✓				
Cyber Security	HofD&ST	✓	✓	✓				
<b>Corporate Priorities</b>								
Homelessness	HofH&C	✓	✓	✓				
Development Management	HofP	✓	✓	✓	✓	✓	<b>Reasonable</b>	
Disabled Facility Grants	HofH&C	✓	✓	✓	✓			
Community Safety	HofH&C	✓	✓	✓				
Parking & Enforcement	HofOS	✓	✓	✓				
EWDC Conservators Account	CFO	✓	✓	✓	✓	✓	<b>n/a</b>	

## 8. Adjustment to the Internal Audit Plan

There have been the following amendments to the plan:

Plan Variations	
Removed from the plan	Reason
Financial Sustainability	Replaced with Financial Resilience review for 2020/21.
Income Collection	Removed on the basis that Parking & Enforcement is already within the plan which is a key source of income.
Information Security	Replaced with the Cyber Security review for 2020/21 due to COVID risks.
Operational Services	Removed from the plan due to significant pressures on the service. Replaced with the Local Government Compensation Scheme review.
Investments	Replaced with Financial Resilience review for 2020/21.
Service Delivery Plans	Removed from the plan to allow for new audit areas due to COVID risks.
Fees and Charges	Removed from the plan to allow for new audit areas due to COVID risks.
Other COVID Funding / Market Underwriting	Removed from the plan as assessment identified this as low priority. To incorporate within the 2021/22 plan for further consideration.
Data Management	Defer until 2021/22 due to significant pressure on the service. Reasonable coverage of IT reviews within the year.
Climate Change	Defer until 2021/22 to allow the review of the Climate Change action plan which is in the process of being updated.
Added to the plan	Reason
Business Support Grant	Prioritised due to implications of COVID-19.
Other COVID Funding / Market Underwriting	Prioritised due to implications of COVID-19.
COVID – Response & Recovery	Prioritised due to implications of COVID-19.
Cyber Security	Prioritised due to implications of COVID-19.
Financial Resilience	Prioritised due to implications of COVID-19.
Local Government Compensation Scheme (LGCS)	Prioritised due to implications of COVID-19.

## Annex 1

## Overdue 'High Priority' Management Actions

## Accounts Receivable / Debt Management – Limited Assurance

**Observation:** A daily reconciliation of the Cash Book to the General Ledger is carried out by entering the daily bank statement balance figure, and the balance on the General Ledger 40100 bank code, into a spreadsheet. There are additional reconciling fields to populate, which would give an explanation of the difference between the two.

A review of the Daily Cash Book Reconciliation spreadsheet revealed the reconciliation element of the spreadsheet was not being populated, which has led to an unexplained, growing difference between the bank statement figure and General Ledger 40100 bank code.

In order to complete the year end bank reconciliation process there was a concerted effort by the Accounting Team to reconcile the bank statement figure to the General Ledger 40100 bank code, which has satisfied the External Auditors.

Since this time the reconciliation process has not been fully completed, due to the ongoing system issues with CivicaPay, which the Accounting Team are continuing to work to resolve. As at 27/08/19, the difference between the accounts was £61,164,634.94.

There have been no monthly sign offs for the bank reconciliation since April 2019.

Management Action	Original Due Date	Revised Due Date	Latest Service Update
<p>The difference between the General Ledger and Bank Statement was due to a known backlog of transactions, which have not yet posted to the General Ledger, due to the system issues since CivicaPay implementation and recent long-term staff absence. As at 11/10/19, the value of unmatched items has been reduced from £61.2m to £8.68m and there remains an unidentified difference of £189k within the bank reconciliation. Officers are working towards clearing all backlog transactions to achieve a fully reconciled bank position by the end of the financial year at the latest. To assist with clearing the backlog, a temporary member of staff has been recruited.</p> <p>There is an issue that a number of duplicate transactions are present in CivicaPay, which officers are working with the supplier to resolve. These duplicate transactions form a reconciling item within the bank reconciliation and are not present in the General Ledger, so are not causing any inaccuracy within the GL.</p> <p>Officers continue to work with the supplier to get the duplicate transactions removed from CivicaPay as soon as possible.</p>	31.03.2020	31.03.2021	<p>Remains in progress – The issue has been escalated with the system supplier (Civicapay) for the need to remove the duplicate transactions, but they are still working on it. Therefore, the duplicates still form a reconciling item on our bank reconciliation. They have been reduced considerably and the aim is to eliminate all of these by 31 March 2021 and have a full reconciliation in place.</p> <p>In the meantime, processes and checks are in place for the bank data loaded daily into the system so as soon as the duplicate transactions have been removed from the bank rec module this action will be completed.</p>

**Building Control – Limited Assurance**

**Observation:** Testing of fee income due, (as recorded on Uniform), for 12 Building Control Applications found:

- Three, where a letter to remind applicants that there fees were due had been issued (13 June, 25 June and 4 July 2019) but no follow up on these in terms of raising an invoice had been undertaken. Fees due from these applicants remained outstanding at the time of the audit (August 2019).
- One, where it is incorrectly recorded that fees have been paid (£400). There is no evidence on Civica that an invoice has been raised
- Eight where the income information recorded on Uniform agrees to Civica.

There is a risk that the Council are unable to demonstrate income has been received and accurately accounted for.

Management Action	Original Due Date	Revised Due Date	Latest Service Update
Reconciliation to take place between Uniform and Civica.	31.05.2020	31.03.2021	Business Admin Hub is now established and has been in operation for a couple of months now. However, having regard to the pending second lockdown that a new deadline date of 31 March 2021 for completion of the remaining actions.

**Asset Management (Property Assets) – Adequate Assurance**

**Observation:** On a strategic level the current Asset Management Plan makes reference to the proposed use of National Property Performance Indicators, ('NaPPMI') to gauge the effectiveness of the asset strategy in a number of defined areas such as condition, cost of maintenance and utilisation.

Audit testing identified that these indicators are not being compiled. Discussions with staff indicated that this is due to resourcing.

Management Action	Original Due Date	Revised Due Date	Latest Service Update
Undertake recruitment and appoint to post.	31.03.2020	30.06.2021	The post was not successfully recruited to. Continuing to explore other options.

**Epsom & Ewell Borough Council Assurance Opinions (Pre 2020-21)**

<b>Substantial</b>	A sound framework of internal control is in place and is operating effectively. No risks to the achievement of system objectives have been identified.
<b>Adequate</b>	Basically a sound framework of internal control with opportunities to improve controls and / or compliance with the control framework. No significant risks to the achievement of system objectives have been identified.
<b>Limited</b>	Significant weakness identified in the framework of internal control and / or compliance with the control framework which could place the achievement of system objectives at risk.
<b>No</b>	Fundamental weakness identified in the framework of internal control or the framework is ineffective or absent with significant risks to the achievement of system objectives.

## **INTERNAL AUDIT PLAN AND CHARTER 2021/22**

<b>Head of Service:</b>	Gillian McTaggart, Head of Policy, Performance & Governance
<b>Wards affected:</b>	(All Wards);
<b>Urgent Decision?(yes/no)</b>	No
<b>If yes, reason urgent decision required:</b>	
<b>Appendices (attached):</b>	<b>Appendix 1</b> – Internal Audit Plan 2021/22 <b>Appendix 2</b> – Internal Audit Charter 2021/22

### **Summary**

This report introduces the Internal Audit Plan and Charter for 2021/22.

### **Recommendation (s)**

#### **The Committee is asked to:**

- (1) endorse the Internal Audit Plan 2021/22 as set out at Appendix 1**
- (2) approve the Internal Audit Charter 2021/22 as set out at Appendix 2**

## **1 Reason for Recommendation**

- 1.1 The Committee has overall responsibility for audit and governance frameworks, including the functions of an audit committee.

## **2 Background**

- 2.1 Internal Audit provides the Council through the Audit, Crime & Disorder and Scrutiny Committee with an independent and objective opinion on risk management, control and governance.
- 2.2 The internal audit plan establishes how internal audit resources across a given year are to be utilised in order to enable the Head of Internal Audit to provide their statement of assurance.

- 2.3 Southern Internal Audit Partnership (SIAP) became the Council's internal auditors on 1 April 2019 for a four year period. Since then it has progressed work against two audit plans, the first of which was endorsed by this Committee on 16 April 2019 and the second of which it endorsed on 19 November 2020 (delayed due to the COVID-19 pandemic).

**Internal Audit Plan 2021/22 – 2023/24**

- 2.4 In preparation for the plan for 2021/21, the third year of the contract, SIAP has once again utilised a number of different sources of information such as the Strategic Risk Register, and has worked with the Leadership Team to agree the Plan. All Heads of Service, including in particular, the Chief Finance Officer (s.151 Officer) have been provided with an opportunity to contribute to development of the plan. Reflecting on information received, SIAP has developed an Internal Audit Strategy for 2021/22 – 23/2024, implementing a standardised rolling three year approach, a copy of which is attached at Appendix 1.
- 2.5 Due to in-year adjustments made to the 2020/21 audit programme, the number of audit days available for 2021/22 sits at 219 days.

**Internal Audit Charter 2021/22**

- 2.6 The Public Sector Internal Audit Standards require all internal audit activities to implement and retain a Charter. The Internal Audit Charter for 2021/22 is attached at Appendix 2. This Charter sets out the purpose, authority and responsibilities for the internal audit services at the Council. Approval of the Charter is a responsibility of this Committee.

**3 Risk Assessment**

Legal or other duties

3.1 Impact Assessment

3.1.1 None for the purposes of this report.

3.2 Crime & Disorder

3.2.1 None for the purposes of this report.

3.3 Safeguarding

3.3.1 None for the purposes of this report.

3.4 Dependencies



- 3.4.1 The Chief Internal Auditor issues an annual Internal Audit Report and Opinion for 2021-22 on completion of the planned work. This report is a critical document that will be used in preparing the Annual Governance Statement 2021-22 included in the Statement of Accounts.

3.5 Other

- 3.5.1 None for the purposes of this report.

#### 4 Financial Implications

- 4.1 The audit days within the plan are 219, these can be funded from the agreed budget.
- 4.2 **Section 151 Officer's comments:** None arising from the contents of this report.

#### 5 Legal Implications

- 5.1 No implications for the purpose of this report.
- 5.2 **Monitoring Officer's comments:** None arising from the contents of this report.

#### 6 Policies, Plans & Partnerships

- 6.1 **Council's Key Priorities:** The following Key Priorities are engaged:
- 6.1.1 Effective Council – Engaging, responsive and resilient Council
- 6.2 **Service Plans:** The matter is included within the current Service Delivery Plan.
- 6.3 **Climate & Environmental Impact of recommendations:** no relevance for the purposes of this report.
- 6.4 **Sustainability Policy & Community Safety Implications:** no relevance for the purposes of this report.
- 6.5 **Partnerships:** not applicable.

#### 7 Background papers

- 7.1 The documents referred to in compiling this report are as follows:

**Previous reports:**

- Internal Audit Plan 2019/20, Audit, Crime & Disorder and Scrutiny Committee 16 April 2019

- Internal Audit Plan 2020/21, Audit, Crime & Disorder and Scrutiny Committee 19 November 2020

**Other papers:**

- SIAP Internal Audit Plan 2019-20 / 2021-22
- SIAP Internal Audit Plan 2020-21 / 2022-23

## Internal Audit Plan

2021-22 / 2023/24

Epsom & Ewell Borough Council



**Southern Internal  
Audit Partnership**

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## Introduction

The role of internal audit is that of an:

*‘Independent, objective assurance and consulting activity designed to add value and improve an organisations operations. It helps an organisation accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes’.*

The Council is responsible for establishing and maintaining appropriate risk management processes, control systems, accounting records and governance arrangements. Internal audit plays a vital role in advising the Council that these arrangements are in place and operating effectively.

The Council’s response to internal audit activity should lead to the strengthening of the control environment and, therefore, contribute to the achievement of the organisation’s objectives.

The aim of internal audit’s work programme is to provide independent and objective assurance to management, in relation to the business activities; systems or processes under review that:

- the framework of internal control, risk management and governance is appropriate and operating effectively; and
- risk to the achievement of the Council’s objectives is identified, assessed and managed to a defined acceptable level.

The internal audit plan provides the mechanism through which the Chief Internal Auditor can ensure most appropriate use of internal audit resources to provide a clear statement of assurance on risk management, internal control and governance arrangements.

Internal Audit focus should be proportionate and appropriately aligned. The plan will remain fluid and subject to on-going review and amendment, in consultation with the Senior Management Team and Audit Sponsors, to ensure it continues to reflect the needs of the Council. Amendments to the plan will be identified through the Southern Internal Audit Partnership’s continued contact and liaison with those responsible for the governance of the Council.

## Your Internal Audit Team

Your internal audit service is provided by the Southern Internal Audit Partnership. The team will be led by Natalie Jerams, Assistant Head of Southern Internal Audit Partnership, supported by Joanne Barrett, Audit Manager.

## Conformance with internal auditing standards

The Southern Internal Audit Partnership service is designed to conform to the Public Sector Internal Audit Standards (PSIAS). Under the PSIAS there is a requirement for audit services to have an external quality assessment every five years. In September 2020, the Institute of Internal Auditors were commissioned to complete an external quality assessment of the Southern Internal Audit Partnership against the PSIAS, Local Government Application Note and the International Professional Practices Framework.

In selecting the Institute of Internal Auditors (IIA) a conscious effort was taken to ensure the external assessment was undertaken by the most credible source. As the authors of the Standards and the leading Internal Audit authority nationally and internationally the IIA were excellently positioned to undertake the external assessment.

considering all sources of evidence the external assessment team concluded:

*'It is our view that the Southern Internal Audit Partnership conforms to all 64 of these principles. We have also reviewed SIAP conformance with the Public Sector Internal Audit Standards (PSIAS) and Local Government Application Note (LGAN). We are pleased to report that SIAP conform with all relevant, associated elements.'*

## Conflicts of Interest

We are not aware of any relationships that may affect the independence and objectivity of the team, and which are required to be disclosed under internal auditing standards.

## Four Year Plan 2020 - 2024

Epsom & Ewell Borough Council have developed a long-term vision for the borough, Future40. Through extensive engagement and consultation, the Council have brought together the views and aspirations of people that live and work in Epsom and Ewell. Five themes have been identified reflecting people's views and priorities for the borough until 2040. These five themes form the core of the four-year plan.



## Council Risks

The Council have a clear framework and approach to risk management. The strategic risks assessed by the Council are a key focus of our planning for the year to ensure it meets the organisation's assurance needs and contributes to the achievement of their objectives. We will monitor the strategic risk register closely over the course of the year to ensure our plan remains agile to the rapidly changing landscape.

Ref	Risk Description
L1	Financial impact of Covid and the Recovery will result in dramatic loss of income. Including loss of income from commercial tenants
L2	Council Resilience and disruption to services
L3	Delivering and implementing the Local Plan and the 5-year land supply
L4	Organisational Capacity and failure to deliver the four-year plan and Vision
L5	Failure to provide adequate health and safety and Covid secure services
L6	Failure to deliver stability, substantial and complex changes, and systems with supporting additional home working
L7	Impact of proposed local government structural change by Surrey County Council
L8	Impact of a local lockdown of second wave
L9	EU Transition or other externally driven events such as NHS winter pressures, and severe weather/flooding.
L10	Impact on economic growth within the Borough

\*Leadership Risks as per the Leadership Risk Register – presented to Audit, Crime & Disorder and Scrutiny Committee on 19 November 2020.



## Developing the internal audit plan 2021/22 – 2023/24

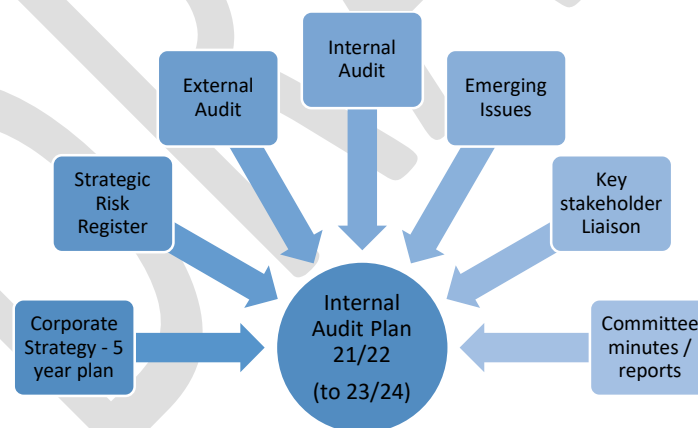
We have used various sources of information and discussed priorities for internal audit with the following groups:

- Leadership Team
- Chief Finance Officer (S151)
- Heads of Service
- Audit, Crime & Disorder and Scrutiny Committee
- Other key stakeholders

Based on these conversations with key stakeholders, review of key corporate documents and our understanding of the organisation the Southern Internal Audit Partnership have developed an annual audit strategy for 2021-22 / 2023-24.

The Council are reminded that internal audit is only one source of assurance and through the delivery of our plan we will not, and do not seek to cover all risks and processes within the organisation.

We will however continue to work closely with other assurance providers to ensure that duplication is minimised, and a suitable breadth of assurance is obtained.



## Internal Audit Plan

Audit	Risk / Scope	Strategic / Service Risk	Previous IA Coverage	2021-22	2022-23	2023-24
<b>Corporate</b>						
Programme & Project Management	Assurance over project management framework and compliance in relation to delivery of live / ongoing projects. Include the new cemetery project.	L3, L4	2020-21 2018-19 2015-16			✓
Alternative Delivery Models	Unique methods of service delivery with the potential for loss of control / ownership over service delivery. Assurance over governance, rights of access, third party assurance. Contingencies, exit strategies, hosting arrangements, accountability.	L6			✓	
Financial Resilience	Impact of COVID, reassessment of financial risks and impact of assumptions in the MTFS.	L1, L4, L8, L9, L10	2020-21	✓		✓
Working in Partnership	Working alongside different cultures. Potential for some loss of control / ownership of service delivery. Assurance over governance, rights of access, third party assurance, contingency arrangements, exit strategy, hosting arrangements (accountabilities), benefit realisation.				✓	
Asset Management (Property Assets)	Assurance over effectiveness and delivery of the Asset Management Plan including repairs and maintenance to non-housing assets (planned & reactive). Rent reviews, uplifts, income monitoring.	L1	2019-20 2018-19 2017-18 2015-16			✓
<b>Governance</b>						
Contract Management	Review of contract management arrangements and compliance across a selection of contracts in place.		2019-20 2018-19 2017-18		✓	

Audit	Risk / Scope	Strategic / Service Risk	Previous IA Coverage	2021-22	2022-23	2023-24
Human Resources & Organisational Development	<p>Weak or ineffective internal control leading to financial loss resulting in damage to the Council's reputation and adverse publicity. Assurances over the audit cycle:</p> <ul style="list-style-type: none"> <li>• Performance Management</li> <li>• Absence management</li> <li>• Recruitment</li> <li>• Training &amp; Development</li> <li>• Workforce Strategy / Development</li> <li>• Flexible Working</li> <li>• HR policies and procedures</li> <li>• Agency staff, volunteers.</li> </ul> <p>2021/22 focus to be Performance Management.</p>	L2, L4, L6	2019-20 2018-19 2015-16	✓		
COVID-19: Contingency	To review new systems and processes implemented by the Council due to new and emerging risks from COVID-19. Including ongoing recovery, grant payments, Local Government Compensation Scheme payments, Market Underwriting.			✓		
Commissioning & Procurement	Assurance over the effective identification and assessment of organisational needs to maximise value for money and efficiencies through procurement. Assurance over compliance with contract procedure rules and legislative requirements.		2019-20 2016-17		✓	
Risk Management	Assurance over the risk management framework including governance, transparency and maturity.		2018-19 2016-17	✓		
Fraud & Irregularities	Cyclical assurance over the governance arrangements to prevent, detect and investigate fraud and irregularities.		2019-20 2015-16			

Audit	Risk / Scope	Strategic / Service Risk	Previous IA Coverage	2021-22	2022-23	2023-24
Health & Safety	Effective H&S strategy in place and operating effectively with effective governance, accountability and issue resolution. To incorporate statutory checks.	L5	2020-21 (COVID specific) 2018-19	✓		
Business Continuity & Emergency Planning	Assurance over planning for extreme events that may lead to delays in responding to situations resulting in increased costs and staff resources including: <ul style="list-style-type: none"> <li>Business Continuity Plan</li> <li>Emergency Plan.</li> </ul>	L2, L8	2020/21 (COVID specific) 2017-18		✓	
Information Governance	To review the framework for Information Governance across the organisation.		2019-20 2017-18 2015-16	✓		
Decision Making & Accountability	Assurance over the effectiveness and transparency of the decision-making process at officer and Member level. To consider governance, sufficiency, accuracy and timeliness of information including consultation with the public as necessary.		2020-21			✓
Ethical Governance	Evaluation of the design, implementation and effectiveness of EEBC's ethics-related objectives, programmes and activities.				✓	
Capital Programme	Assurance over the delivery of the Capital Programme.		2019-20 2015-16			✓
Annual Governance Statement	Cyclical assurance over the governance arrangements to compile, contribute and deliver the AGS.			✓		
<b>Core Financial Reviews</b>						
Housing Benefits		L1	2020-21 2017-18			
Council Tax	Programme of cyclical systems reviews	L1	2017-18	✓		
NNDR		L1	2017-18	✓		

Audit	Risk / Scope	Strategic / Service Risk	Previous IA Coverage	2021-22	2022-23	2023-24
Accounts Payable			2020-21 2016-17			✓
Accounts Receivable / Debt Management		L1	2019-20		✓	
Main Accounting			2019-20 2016-17		✓	
Treasury Management			2018-19	✓		
Income Collection		L1	2018-19	✓		
Payroll	Outsourced to Midland HR. Review of contract management arrangements. Assurance that EEBC are receiving all outcomes expected from the contract and to review EEBC in-house operations.		2020-21 2018-19 2017-18 2016-17			✓
<b>IT</b>						
IT Governance	Review of IT strategy, policies, standards and procedures. Other potential areas for consideration to include IT asset management, change management and software licensing.				✓	
Data Management	Review of data centre facilities and security including storage and back-up. To also consider database management.			✓		✓
Cyber Security	Review of cyber security arrangements (including Phishing, Smishing etc.), security controls (including remote access) against the Cyber Essentials Scheme.		2020/21			✓
Information Security	Security controls (including remote access) and cloud storage. To also consider network security and infrastructure management.		2017-18	✓		
System Development & Implementation	Systems Life Cycle, Project Management and Application Management.				✓	
IT Business Continuity	Disaster recovery, system resilience. To be combined with Data Management.	L2	2020-21			

Audit	Risk / Scope	Strategic / Service Risk	Previous IA Coverage	2021-22	2022-23	2023-24
Networking & Communications	Network management. Virtualisation, operating systems, communication platforms.				✓	
Payment Card Industry Data Security Standard	Compliance to meet industry standards.		2016-17 2015-16		✓	
<b>Green and Vibrant</b>						
Operational Services	To review arrangements for refuse collection, recycling & street cleansing.			✓		
Environmental Health	To review regulatory activities including animal control, food safety, pollution control, contaminated land, enforcement. To include Private Sector Housing.			✓		
Parking & Enforcement	Maintenance of car parks, permits and enforcement.		2020-21 2016-17			✓
Climate Change	Review of the Climate Change Strategy and progress against the accompanying action plan.			✓		
Air Quality Monitoring	Responsibility to review and assess current and future air quality within the borough in compliance with the National Air Quality Strategy.		2019-20		✓	
<b>Opportunity and Prosperity</b>						
Economic Development	Review delivery including processes and outcomes against the Economic Development Strategy.				✓	
Housing (including Affordable Housing)	Effective Housing Policy and procedures to achieve desired outcomes. Opportunities for development and alternative methods of delivery to meet organisational and national priorities for Affordable Housing.			✓		
Local Plan	21/22 focus to be on Affordable Housing. Review of the plan and provide assurance around the progress/delivery.	L3	2019-20 2017-18		✓	

Audit	Risk / Scope	Strategic / Service Risk	Previous IA Coverage	2021-22	2022-23	2023-24
Income Generation & Enterprise Plan	The plan is premised on four workstreams with the aim of delivering value to customers while generating a financial return which contributes to Council efficiencies. Unsuccessful / untimely delivery will significantly impact the Council's ability to meet projected budget gaps and protect core front line services.	L1, L10	2019-20		✓	
<b>Safe and Well</b>						
Homelessness	Assurance over management and prevention of homelessness. Properties acquired to alleviate B&B costs and Private Sector Lease scheme in place.		2020-21 2019-20 2018-19 2017-18			✓
Disabled Facilities Grants	Administration and compliance with local / legislative requirements.		2020-21			✓
Cemeteries	Provision of grave spaces, internment and memorials. Fee generating service (circa £400k). Recently acquired additional land to increase capacity and expand. To incorporate income collection and fees & charges under the wider 21/22 scheduled reviews.					✓
Development Management	Planning (street naming, CIL); Development Control (planning applications, appeals); Planning enforcement. LGA review (2016/17) and improvement plan agreed to reduce the possibility of 'designation'.		2020-21 2018-19 2017-18 2016-17			✓
Building Control	In-house team with inherent risks of capacity, resilience and competition from the market. To consider governance, deliverables, billing and outcomes.		2019-20		✓	
Community Safety	Response to community safety and anti-social behaviour. To include PREVENT, Community Safety Partnership, and community funding and grants.		2020-21 2018-19			

Audit	Risk / Scope	Strategic / Service Risk	Previous IA Coverage	2021-22	2022-23	2023-24
Community Health & Wellbeing	Assurances over services designed to help residents retain their independence and reduce social isolation including: the Wellbeing Centre, support services, ETHOS etc. Inherent risks include funding, demand, safeguarding. 2021/22 review to consider the development and delivery of the Health & Wellbeing Strategy.		2019-20	✓		
Licensing	To include Taxi's, gambling, alcohol, entertainment etc. issue and enforcement			✓		
<b>Culture and Creative</b>						
Cultural venues and facilities	Playhouse theatre, museum, Bourne Hall, Ewell Court House. Restructure and revised operating model at Bourne Hall and Ewell Court House.				✓	
<b>Effective Council</b>						
Investments	Assurance over the governance, accountabilities, viability and outcomes of Property Investment Company (EEPIC).	L1	2018-19 2017-18		✓	
Service Delivery Plans	Effective production, prioritisation, delivery and governance of Service Delivery Plans to achieve desired outcomes in achieving the key priorities of the Council.	L2, L4		✓		
Fees and Charges	Effective and timely calculation of fees and charges to meet the aspirations within the MTFs (to include rents, leases and cemeteries)	L1	2016-17	✓		
<b>Smart and Connected</b>						
Digital / Transformation	To enable improved and more effective services focusing on 'channel shift' as opposed to AI / robotics. Initiatives to promote agile working.	L6			✓	
<b>Grants/Non-Assurance Work</b>						
EWDC Conservators Account	An annual review and completion of the annual governance and accountability return.		2020-21	✓	✓	



Audit	Risk / Scope	Strategic / Service Risk	Previous IA Coverage	2021-22	2022-23	2023-24
<b>Other</b>						
Follow Up	To follow up on the key observations raised for a number of “limited assurance” reviews to ensure actions have been fully implemented and embedded.			✓		
Management	To include annual planning, reporting and attendance at SLT and Committee meetings, action tracking, liaison with key stakeholders and annual report and opinion.			-	-	-
Total Days				219	199	199

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## Internal Audit Charter – 2021/22

### Introduction

The Public Sector Internal Audit Standards (the Standards) provide a consolidated approach to audit standards across the whole of the public sector providing continuity, sound corporate governance and transparency.

The Standards form part of the wider mandatory elements of the International Professional Practices Framework (IPPF) which also includes:

- the mission;
- core principles;
- definition of internal audit; and
- Code of Ethics.

The Standards require all internal audit activities to implement and retain an 'Internal Audit Charter'.



The purpose of the Internal Audit Charter is to formally define the internal audit activity's purpose, authority and responsibility.

### Mission and Core Principles

The IPPF 'Mission' aims *'to enhance and protect organisational value by providing risk-based and objective assurance, advice and insight.'*

The 'Core Principles' underpin delivery of the IPPF mission:

- Demonstrates integrity;
- Demonstrates competence and due professional care;
- Is objective and free from undue influence (independent);
- Aligns with the strategies, objectives and risks of the organisation;
- Is appropriately positioned and adequately resourced;
- Demonstrates quality and continuous improvement;
- Communicates effectively;
- Provides risk-based assurance;
- Is insightful, proactive, and future-focused; and
- Promotes organisational improvement.

## Authority

The requirement for an internal audit function in local government is detailed within the Accounts and Audit (England) Regulations 2015, which state that a relevant body must:

*‘undertake an adequate and effective internal audit of its accounting records and of its system of internal control in accordance with the proper practices in relation to internal control’.*

The standards for ‘proper practices’ in relation to internal audit are laid down in the Public Sector Internal Audit Standards (updated 2017).

## Purpose

The Council is responsible for establishing and maintaining appropriate risk management processes, control systems, accounting records and governance arrangements. Internal audit plays a vital role in advising the Council that these arrangements are in place and operating effectively. The Council’s response to internal audit activity should lead to the strengthening of the control environment and, therefore, contribute to the achievement of the organisation’s objectives.

This is achieved through internal audit providing a combination of assurance and consulting activities. Assurance work involves assessing how well the systems and processes are designed and working, with consulting activities available to help to improve those systems and processes where necessary.

The role of internal audit is best summarised through its definition within the Standards, as an:

*‘independent, objective assurance and consulting activity designed to add value and improve an organisations operations. It helps an organisation accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes’.*

## Responsibility

The responsibility for maintaining an adequate and effective system of internal audit within Epsom & Ewell Borough Council lies with the Chief Finance Officer (S151 Officer).

For the Council, internal audit is provided by the Southern Internal Audit Partnership.

The Chief Internal Auditor (Head of Southern Internal Audit Partnership) is responsible for effectively managing the internal audit activity in accordance with the ‘Mission’, ‘Core Principles’, ‘Definition of Internal Auditing’, the ‘Code of Ethics’ and ‘the Standards’.

## Definitions

For the purposes of this charter the following definitions shall apply:

*The Board* – the governance group charged with independent assurance on the adequacy of the risk management framework, the internal control environment and the integrity of financial reporting. At the Council this shall mean the Audit, Crime & Disorder and Scrutiny Committee.

*Senior Management* – those responsible for the leadership and direction of the Council. At the Council this shall mean the Senior Leadership Team.

## Position in the organisation

The Chief Internal Auditor reports functionally to the Board, and organisationally to the Chief Finance Officer who has statutory responsibility as proper officer under Section 151 of the Local Government Act 1972, for ensuring an effective system of internal financial control and proper financial administration of the Council's affairs.

The Chief Internal Auditor has direct access to the Chief Executive who carries the responsibility for the proper management of the Council and for ensuring that the principles of good governance are reflected in sound management arrangements.

The Chief Internal Auditor has direct access to the Council's Monitoring Officer where matters arise relating to Monitoring Officer responsibility, legality and standards.

Where it is considered necessary to the proper discharge of the internal audit function, the Chief Internal Auditor has direct access to elected Members of the Council and in particular those who serve on committees charged with governance (i.e. the Audit, Crime & Disorder and Scrutiny Committee).

## Internal audit resources

The Chief Internal Auditor will be professionally qualified (CMIIA, CCAB or equivalent) and have wide internal audit and management experience, reflecting the responsibilities that arise from the need to liaise internally and externally with Members, senior management and other professionals.

The Chief Finance Officer will provide the Chief Internal Auditor with the resources necessary to fulfil the Council's requirements and expectations as to the robustness and scope of the internal audit opinion.

The Chief Internal Auditor will ensure that the internal audit service has access to an appropriate range of knowledge, skills, qualifications and experience required to deliver the audit strategy and operational audit plan.

The annual operational plan will identify the resources required to complete the work, thereby highlighting sufficiency of available resources. The Chief Internal Auditor can propose an increase in audit resource or a reduction in the number of audits if there are insufficient resources.

*'Senior Management'* and *'the Board'* will be advised where, for whatever reason, internal audit is unable to provide assurance on any significant risks within the timescale envisaged by the risk assessment process.

The annual operational plan will be submitted to *'senior management'* and *'the Board'*, for approval. The Chief Internal Auditor will be responsible for delivery of the plan. The plan will be kept under review to ensure it remains responsive to the changing priorities and risks of the Council.

Significant matters that jeopardise the delivery of the plan or require changes to the plan will be identified, addressed and reported to *'senior management'* and *'the Board'*.

If the Chief Internal Auditor, *'the Board'* or *'Senior Management'* consider that the scope or coverage of internal audit is limited in any way, or the ability of internal audit to deliver a service consistent with the Standards is prejudiced, they will advise the Chief Executive accordingly.

### **Independence and objectivity**

Internal auditors must be sufficiently independent of the activities they audit to enable them to provide impartial, unbiased and effective professional judgements and advice.

Internal auditors must maintain an unbiased attitude that allows them to perform their engagements in such a manner that they believe in their work product and that no quality compromises are made. Objectivity requires that internal auditors do not subordinate their judgement on audit matters to others.

To achieve the degree of independence and objectivity necessary to effectively discharge its responsibilities, arrangements are in place to ensure the internal audit activity:

- retains no executive or operational responsibilities;
- operates in a framework that allows unrestricted access to *'senior management'* and *'the Board'*;
- reports functionally to *'the Board'*;
- reports in their own name;
- rotates responsibilities for audit assignments within the internal audit team; and
- completes individual declarations confirming compliance with rules on independence, conflicts of interest and acceptance of inducements.

If independence or objectivity is impaired in fact or appearance, the details of the impairment will be disclosed to *'Senior Management'* and *'the Board'*. The nature of the disclosure will depend upon the impairment.

### **Due professional care**

Internal auditors will perform work with due professional care, competence and diligence. Internal auditors cannot be expected to identify every control weakness or irregularity, but their work should be designed to enable them to provide reasonable assurance regarding the controls examined within the scope of their review.

Internal auditors will have a continuing duty to develop and maintain their professional skills, knowledge and judgement based on appropriate training, ability, integrity, objectivity and respect.

Internal auditors will apprise themselves of the '*Mission*', *Core Principles*', *Definition of Internal Auditing*', the '*Code of Ethics*' and the '*Standards*' and will work in accordance with them in the conduct of their duties.

Internal auditors will be alert to the possibility of intentional wrongdoing, errors and omissions, poor value for money, failure to comply with management policy and conflicts of interest. They will ensure that any suspicions of fraud, corruption or improper conduct are promptly reported in accordance with the Council's Anti-fraud and Corruption Policy.

Internal auditors will treat the information they receive in carrying out their duties as confidential. There will be no unauthorised disclosure of information unless there is a legal or professional requirement to do so. Confidential information gained in the course of internal audit work will not be used to effect personal gain.

### **Access to relevant personnel and records**

In carrying out their duties, internal audit (on production of identification) shall have unrestricted right of access to all records, assets, personnel and premises, belonging to the Council or its key delivery partner organisations.

Internal audit has authority to obtain such information and explanations as it considers necessary to fulfil its responsibilities. Such access shall be granted on demand and not subject to prior notice.

### **Scope of Internal Audit activities**

The Chief Internal Auditor is responsible for the delivery of an annual audit opinion and report that can be used by the Council to inform its governance statement. The annual opinion will conclude on the overall adequacy and effectiveness of the organisation's framework of governance, risk management and control.

The Council assume a Key Stakeholder role within the Southern Internal Audit Partnership (SIAP). The SIAP currently provides internal audit services to a wide portfolio of public sector clients (Annex 1) through a variety of partnership and sold service delivery models.

A range of internal audit services are provided (Annex 2) to form the annual opinion for each member / client of the SIAP. The approach is determined by the Chief Internal Auditor and will depend on the level of assurance required, the significance of the objectives under review to the organisation's success, the risks inherent in the achievement of objectives and the level of confidence required that controls are well designed and operating as intended.

In accordance with the annual audit plan, auditors will plan and evaluate their work so as to have a reasonable expectation of detecting fraud and identifying any significant weaknesses in internal controls.

Managing the risk of fraud is the responsibility of line management and strategic responsibility for reactive and proactive fraud work sits with the S151 Officer and the Head of Policy, Performance & Governance who would ensure any suspected or detected fraud or corruption was investigated.

The Council participates in the National Fraud Initiative (NFI) in which data from the Council's main systems are matched with data supplied from other local authorities and external agencies to detect potential fraudulent activity.

The S151 Officer or the Head of Policy, Performance & Governance will notify SIAP of any suspected or detected fraud to inform their opinion. They will instruct either SIAP or an external provider to undertake any investigations or reviews as required. SIAP will review the governance arrangements to prevent, detect and investigate fraud and irregularities on a cyclical basis.

## **Reporting**

### ***Chief Internal Auditor's Annual Report and Opinion***

The Chief Internal Auditor shall deliver an annual internal audit opinion and report that can be used by the organisation to inform its governance statement.

The annual internal audit report and opinion will conclude on the overall adequacy and effectiveness of the organisation's framework of governance, risk management and control.

The annual report will incorporate as a minimum:

- The opinion;
- A summary of the work that supports the opinion; and
- A statement on conformance with the Public Sector Internal Audit Standards and the results of the quality assurance and improvement programme.

## **Senior Management**

As those responsible for the leadership and direction of the Council. It is imperative that the Senior Leadership Team are engaged in:

- approving the internal audit charter (minimum annually);
- approving the risk based internal audit plan;



- receiving communications from the Chief Internal Auditor on the internal audit activity's performance relative to its plan and other matters;
- making appropriate enquiries of management and the Chief Internal Auditor to determine whether there are inappropriate scope and resource limitations; and
- receiving the results of internal and external assessments of the quality assurance and improvement programme, including areas of non-conformance.

## **The Board**

Organisational independence is effectively achieved when the Chief Internal Auditor reports functionally to the Board. Such reporting will include:

- approving the internal audit charter;
- approving the risk based internal audit plan;
- approving the internal audit resource plan;
- receiving communications from the Chief Internal Auditor on the internal audit activity's performance relative to its plan and other matters, including the annual report and opinion;
- making appropriate enquiries of management and the Chief Internal Auditor to determine whether there are inappropriate scope or resource limitations;
- agreement of the scope and form of the external assessment as part of the quality management and improvement plan;
- receiving the results of internal and external assessments of the quality assurance and improvement programme, including areas of non-conformance; and
- approval of significant consulting services not already included in the audit plan, prior to acceptance of the engagement.

## **Review of the internal audit charter**

This charter will be reviewed annually (minimum) by the Chief Internal Auditor and presented to 'Senior Management' and 'the Board' for approval.

## Southern Internal Audit Partnership – Client Portfolio

**Strategic Partners:** Hampshire County Council

**Key Stakeholder Partners:** West Sussex County Council  
Havant Borough Council  
East Hampshire District Council  
Winchester City Council  
New Forest District Council  
Mole Valley District Council  
Epsom & Ewell Borough Council  
Reigate & Banstead Borough Council  
Tandridge District Council  
Hampshire Fire & Rescue Authority  
Office of the Hampshire Police & Crime Commissioner / Hampshire Constabulary  
Office of the Sussex Police & Crime Commissioner / Sussex Police Force  
Office of the Surrey Police & Crime Commissioner / Surrey Police Force

**External clients:** Waverley Borough Council  
Hampshire Pension Fund  
West Sussex Pension Fund  
New Forest National Park Authority

### **Further Education Institutions**

Eastleigh;  
Highbury;  
Isle of Wight College; and  
Portsmouth

### Assurance Services

- **Risk based audit:** in which risks and controls associated with the achievement of defined business objectives are identified and both the design and operation of the controls in place to mitigate key risks are assessed and tested, to ascertain the residual risk to the achievement of managements' objectives. Any audit work intended to provide an audit opinion will be undertaken using this approach.
- **Developing systems audit:** in which:
  - the plans and designs of systems under development are assessed to identify the potential weaknesses in internal control and risk management; and
  - programme / project management controls are assessed to ascertain whether the system is likely to be delivered efficiently, effectively and economically.
- **Compliance audit:** in which a limited review, covering only the operation of controls in place to fulfil statutory, good practice or policy compliance obligations are assessed.
- **Quality assurance review:** in which the approach and competency of other reviewers / assurance providers are assessed in order to form an opinion on the reliance that can be placed on the findings and conclusions arising from their work.
- **Fraud and irregularity investigations:** Internal audit may also provide specialist skills and knowledge to assist in or lead fraud or irregularity investigations, or to ascertain the effectiveness of fraud prevention controls and detection processes. Internal audit's role in this respect is outlined in the Council's Anti Fraud and Anti Corruption Strategy.
- **Advisory / Consultancy services:** in which advice can be provided, either through formal review and reporting or more informally through discussion or briefing, on the framework of internal control, risk management and governance. It should be noted that it would not be appropriate for an auditor to become involved in establishing or implementing controls or to assume any operational responsibilities and that any advisory work undertaken must not prejudice the scope, objectivity and quality of future audit work.

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## **ANNUAL GOVERNANCE STATEMENT AND EXTERNAL AUDIT FINDINGS**

<b>Head of Service:</b>	Gillian McTaggart, Head of Policy, Performance & Governance
<b>Wards affected:</b>	(All Wards);
<b>Urgent Decision?(yes/no)</b>	
<b>If yes, reason urgent decision required:</b>	
<b>Appendices (attached):</b>	<b>Appendix 1</b> – Annual Governance Statement Significant governance issues update

### **Summary**

**This report sets out progress on the actions contained in the Council's Annual Governance Statement and any actions in the Audit Findings issued by the External Auditor following the audit of the financial statements.**

### **Recommendation (s)**

**The Committee is asked to:**

- (1) receive the update on progress in implementing the Action Plan contained within the Annual Governance Statement.**

### **1 Reason for Recommendation**

- 1.1 Corporate Governance affects all aspects of the Council's services because it relates to the framework in which decisions are made. It is defined as the system by which local authorities direct and control their functions and relate to their communities.
- 1.2 The Annual Governance Statement (AGS) is prepared by the Council each year and published as part of the Financial Statements. The AGS is reviewed by this Committee prior to being reported to the Strategy & Resources Committee.
- 1.3 The Audit Findings prepared by the External Auditor following the audit of the accounts, include any recommendations that they may have made to improve controls.

- 1.4 This Committee monitors both the recommendations from External Audit and the recommendations contained in the AGS.

## **2 Background**

- 2.1 The AGS identified key risks to the Council's performance at the end of the financial year and the actions being taken to address them. Ensuring that the governance arrangements are fit for purpose is an ongoing process and this report provides an update on progress.
- 2.2 The AGS for 2019/20 recognised that there was significant operational disruption in 2019/20 in relation to both our governance and our business as usual arrangements due to the COVID-19 pandemic. Conducting the normal review of our governance arrangements was more challenging and identified some areas where actions were delayed due to the ongoing emergency response. The control issues identified in the AGS are deemed a substantial risk to the Council's ability to deliver public services.
- 2.3 The issues identified as significant governance issues reflect not only the impact on services and capacity due to the enduring emergency response to COVID-19, but also cover regular areas of business areas where we could improve controls.
- 2.4 The Emergency Response has directly impacted the Council's financial resilience and organisational capacity; both issues will be ongoing whilst the pandemic remains a risk. As a global health related emergency this has also impacted our corporate health and safety arrangements to ensure all buildings and services are COVID Secure.
- 2.4 The significant issues in the 2019/20 AGS which reflect a number of key risks where our governance arrangements could be improved include procurement and the risk to delivering the Local Plan programme.
- 2.5 Appendix 1 provides details on the significant governance issues identified and an update on progress made in implementing the actions. Some have been fully implemented whilst others will be ongoing. Any outstanding matters will be followed up in the AGS for 2020/21 which will be reported to the Committee in June 2021.

## **3 Annual Findings from External Audit**

- 3.1 This Committee also monitors the implementation of the External Auditor's recommendations contained in the Audit Findings report. These findings were presented to the Strategy & Resources Committee on 22 September and 17 November 2020. Overall an unqualified opinion (this is favourable) was issued and other than a small number of adjustments required to the Statement of Accounts, the External Auditor raised no recommendations so there is no monitoring update required.

#### 4 Risk Assessment

Legal or other duties

##### 4.1 Impact Assessment

4.1.1 The Annual Governance Statement is a statutory document which explains the process and procedure in place to enable the Council to carry out its functions effectively.

##### 4.2 Crime & Disorder

4.2.1 None

##### 4.3 Safeguarding

4.3.1 None

##### 4.4 Dependencies

4.4.1 None

##### 4.5 Other

4.5.1 None

#### 5 Financial Implications

5.1 There are no specific implications for the purposes of this report but the AGS forms part of the Statement of Accounts.

5.2 **Section 151 Officer's comments:** None arising from the contents of this report.

#### 6 Legal Implications

6.1 There are no implications for the purposes of this report.

6.2 **Monitoring Officer's comments:** None arising from the contents of the report.

#### 7 Policies, Plans & Partnerships

7.1 **Council's Key Priorities:** The AGS underpins all Key Priorities within the Four Year Plan 2020-2024.

7.2 **Service Plans:** The matter is not included within the current Service Delivery Plan.

7.3 **Climate & Environmental Impact of recommendations:** None

7.4 **Sustainability Policy & Community Safety Implications:** None

7.5 **Partnerships:** The Council joined the Southern Internal Audit Partnership (SIAP) hosted by Hampshire County Council for the provision of internal audit services in April 2019 and this is the second year of the contract.

## 8 Background papers

8.1 The documents referred to in compiling this report are as follows:

### **Previous reports:**

- Annual Governance Statement 2019/20 , Audit, Crime & Disorder and Scrutiny Committee 17 September 2020

### **Other papers:**

- Annual Governance Statement and External Audit Findings , Audit, Crime & Disorder and Scrutiny Committee 21<sup>st</sup> November 2019



## Annual Governance Statement: Significant Governance Issues

No.	Issue	Agreed Action	Progress to date (April 2021)
1.	The financial impact of Covid and further losses in future years depending on the outcome of the fair funding review and funding available.	<p>The Council is monitoring budgets closely and utilising government financial support and grants.</p> <p>A new budget will be produced for 2021/22.</p>	<p>The financial impact was reported to Strategy &amp; Resources Committee in July and in regular updates through the Financial Policy Panel.</p> <p>The 2021/22 budget was agreed on 16 February 2021 which identifies a number of service reviews to be undertaken to identify further savings.</p> <p>A register of all grant funding received is maintained by the Finance Team.</p>
2.	Organisational capacity was significantly challenged whilst responding to the emergency and this will continue for a number of months.	<p>The Service delivery plan for 2020/21 has been reviewed and significantly reduced to reflect the reduced capacity and backlogs in some areas. Capacity will be monitored in reviewing performance and in planning for potential local lockdowns and further waves.</p>	<p>Capacity continues to be a challenge as the enduring nature of the pandemic continues. The impact is reflected in the new Service Delivery Plan for 2021/22.</p> <p>The Government's new road map was published on 22 February and plans are being drawn up as new guidance becomes available to support this plan.</p>

## Annual Governance Statement: Significant Governance Issues (Cont)

No.	Issue	Agreed Action	Progress to date (April 2021)
3.	The updated Local Plan programme as agreed in June 2019 was delayed by Covid which delayed the Regulation 18 consultation.	A new timetable has been agreed for the Local Plan. There is no impact on the deadline for the Estimated date of adoption.	A report was taken to Licensing & Planning Policy Committee on 4 March 2021 with an updated timetable to deliver the Local Plan. This latest timetable updates the previous version, approved in August 2020. The programme has been updated following various Government announcements on changes to planning, including significant planning reform, and the on-going impact of the COVID-19 pandemic, which had caused unexpected delays.
4	Emergency response to Covid-19.	A report on lessons learnt from the Covid-19 pandemic will be taken to the Audit, Crime Disorder and Scrutiny Committee in February 2021. Operational protocols and guidance notes have been produced for the Community Hub. Procedures were established for other new work streams such as discretionary grants, business grants and rates relief, which will be audited in 20/21.	A report providing an update on the emergency response and learning points is included on the April 2021 agenda of the Audit, Crime & Disorder and Scrutiny Committee following cancellation of the February meeting.  The Internal Audit Progress Report also included on the April agenda provides an update on the latest position of the Business Support Grants internal audit.

## Annual Governance Statement: Significant Governance Issues (Cont)

No.	Issue	Agreed Action	Progress to date (April 2021)
5	Review and strengthen compliance with policies, procedures and legislative requirements for procurement.	This is an on-going area for improvement. The Contract Standing Orders are being reviewed and the Contract Register is being refreshed to ensure it contains all necessary and up to date information. A procurement pipeline and action plan is being developed	The Contract Register has been updated and is available on the Council's website. A procurement pipeline is in place to manage resources and timelines. The Contract Standing Orders are being updated and will be reported to Strategy & Resources Committee in 2021/22.
6	Significant work has been Undertaken on the health and safety framework in 19/20, but there is additional risks to be managed due to the impact of the Covid Secure requirements.	Ongoing monitoring and auditing of the risks will continue to be undertaken through the Corporate Health and Safety Group, and is within the Council's existing risk registers.	The Health & Safety Group have received regular updates on the management of the COVID-19 related risks. Work on managing these risk will be ongoing during 2021/22. An audit of the Health & Safety (COVID-19) work to date has been undertaken by internal auditors in 2020/21 and has been given reasonable assurance.
7	Due to Covid-19, the annual performance report against the 2019/20 key priority targets has not yet been finalised	The 2019/20 year-end performance report will be presented to the Audit, Crime & Disorder and Scrutiny Committee in November 2020.	The 2019/20 year end position was reported to the Audit, Crime & Disorder and Scrutiny Committee in November 2020 together with the new targets for 2020/21. The 2021/22 performance targets/ annual plan are currently being finalized and will be reported in July .

## Annual Governance Statement: Significant Governance Issues (Cont)

No.	Issue	Agreed Action	Progress to date (April 2021)
8	The launch of the Council's new Vision and Four Year Plan, which were agreed in February 2020, has been limited by Covid-19.	The Vision and Four Year Plan will be communicated in 2020/21 and work commenced with partners to achieve the strategic objectives.	As part of the recovery and Building Back Better, programme has been developed to promote the Council's corporate priorities as outlined in the report to S&R Committee 16 March 2021.
9	Due to Covid-19, the annual report from Audit, Crime & Disorder and Scrutiny Committee on the work of internal audit in 2019/20, has not yet been presented to Full Council.	The report will be produced and presented to Full Council during 2020/21.	This report was presented to full Council on 8 December 2020.
10	The Council's Equality and Diversity Policies are in need of updating.	Updated policies will be brought before Strategy and Resources Committee for approval in 2020/21.	The Diversity, Equity and Inclusion Framework was reported to Strategy & Resources Committee on 30 March S2021.

## **THE COUNCIL'S ONGOING RESPONSE TO THE COVID 19 PANDEMIC AND LEARNING POINTS**

<b>Head of Service:</b>	Gillian McTaggart, Head of Policy, Performance & Governance
<b>Wards affected:</b>	(All Wards);
<b>Urgent Decision?(yes/no)</b>	No
<b>If yes, reason urgent decision required:</b>	
<b>Appendices (attached):</b>	Appendix 1 – Key dates and timeline Appendix 2 - Emergency Structure Chart Appendix 3 – Data on Emergency Response

### **Summary**

The purpose of this report is to provide an update on the Council's emergency response to the Covid 19 Pandemic and identify some of the high level learning points.

### **Recommendation (s)**

#### **The Committee is asked to:**

- (1) Comment on the contents and learning points within this report identifying the impact of the Covid 19 pandemic on Council's operations, the additional services provided and the support provided to residents and businesses highlighting achievements and key challenges.**

### **1 Reason for Recommendation**

- 1.1** The Council's emergency response has been in place for over a year, since a major incident was declared in Surrey on 19 March 2020 and the first national lockdown commenced on 23<sup>rd</sup> March 2020.

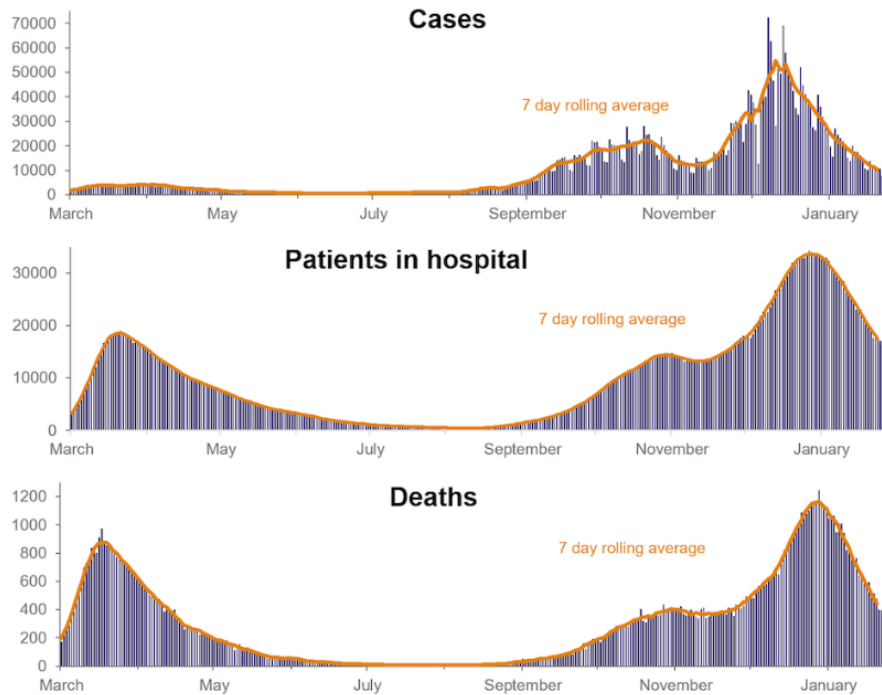
- 1.2 A report on the Council's Emergency Response which outlined the key components to our initial response, was reported to the Strategy & Resources Committee on the 2 July 2020. This report provides an overview of the entire pandemic to date, outlining in particular the Council's further response covering the latter two national lockdowns and two local tier restriction levels. This report also captures some of the key achievements and learning points from our emergency response to date.

## **2 Background**

- 2.1 The Civil Contingencies Act 2004 sets out the legislative framework for responding to an emergency with a clear set of roles and responsibilities. Under this framework, the Council is a Category 1 provider with a duty to assess the risk of emergency and have in place emergency plans.
- 2.2 The Council had an approved Emergency Plan and a range of supporting plans including the Pandemic Plan that was updated in February 2020 specifically to address the Pandemic response. This plan was shared with all staff on the intranet. It was clear from the early stages that Covid-19 was a new public health emergency, different to anything experienced within the borough for a significant time. The Council faced a number of unrepresented challenges and overwhelmingly, staff stepped up and supported our response. The approach required considerable flexibility and agility across the Officer team with individuals taking on new and different roles to support the emergency response. The Council moved at pace to assess the impact of the pandemic and have continued to deliver a comprehensive response to this crisis since it took hold.
- 2.3 Our teams have worked hard to support those most in need, delivering existing services, many new services, some within days of the announcement such as the new business grants. The impact of having to work at pace and often without any prior warning as to the direction of travel, created additional pressure and strain across the organisation.
- 2.4 The Council's response to the pandemic has met these challenges face on but over the course of a year, with finite resources, teams have suffered from fatigue. The effect of Covid is likely to be long lasting having a multi-faceted impact, further reviews may be necessary as we return to business as usual assessing how this may look and feel. There will be more challenges in dealing with backlogs, on-going austerity, reforms and the reintroduction of normal governance. The recovery stage was commenced after the first lockdown was lifted. We started the recovery stage with a move towards business as usual in June, however due to the ongoing nature of the pandemic we have not been able to move to a full recovery stage, instead implementing work in phases after each change of restrictions was introduced by the government.

### **3 Key Dates and timeline**

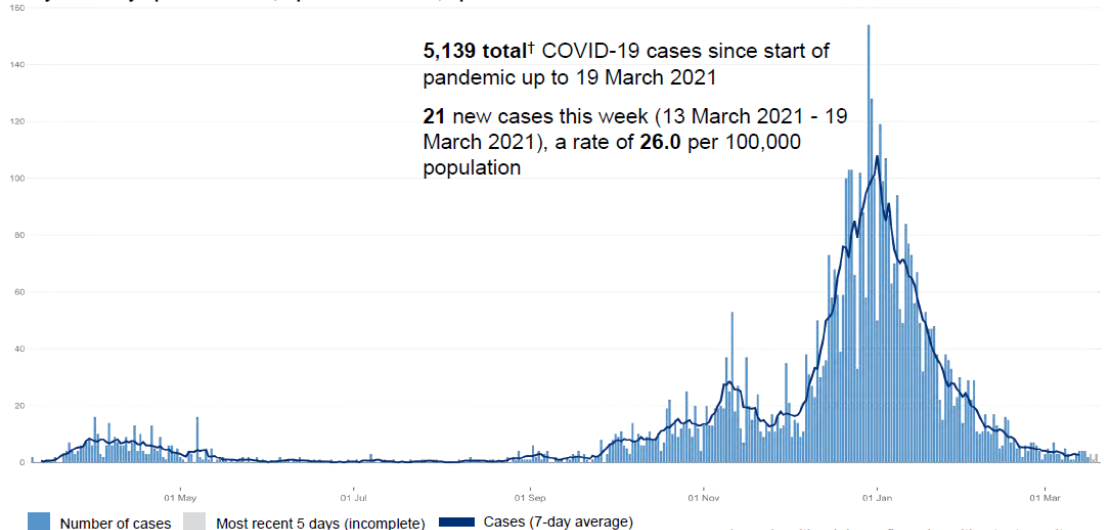
- 3.1 Since July, we entered a second national lockdown on 5 November to 2 December and a third lockdown on 5 January. The Council was placed into a High Tier under the first local restrictions in June and was placed in Tier 4 under the second local Tier system on 20 December 2020. The majority of these changes were introduced without any prior warning or information resulting in teams having to respond at very short notice with limited information. Some of the key dates and timeline are identified in Appendix 1.
- 3.2 The Surrey County Council (SCC) Public Health Data Intelligence Team has provided regular updates on rates of transmission and we have used this as our trusted source of data collected. They have developed these reports over time and produce a daily intelligence report covering the rates in each borough and district and a more detailed bi weekly report with more complex information.
- 3.3 There are been many fluctuations in rates of transmission across Surrey. As at the 19 March 2021, since the beginning of the pandemic, there have been 69,155 Covid cases across Surrey, with 2,395 deaths.
- 3.4 The first of three charts below show the 7 day rolling average for COVID-19 cases (by specimen date), patients in hospital with COVID-19, and deaths within 28 days of a positive COVID test (by date of death) in England from the start of March 2020 to the middle of February 2021. The graph shows that hospital occupancy and deaths rise in spring 2020, dip during the summer, begin to rise again in September, and then rise sharply around December before falling after mid-January 2021



- 3.5 The rates in Surrey followed this overall path. The data for the latest week (12 March to 18 March) identified **31.9** cases per 100,000. The overall average peaked at over **900** per 100,000 for 7 days during January 2021.
- 3.6 Within our borough the daily rates are charted below.

### COVID-19 cases\* in Epsom and Ewell up to 19 March 2021

Daily cases by specimen date, Epsom and Ewell, up to 19 March 2021



22/03/2021

\*people with a lab-confirmed positive test result  
†cumulative number of cases  
Source: [GOV.UK, COVID-19 in the UK](https://gov.uk/covid-19)

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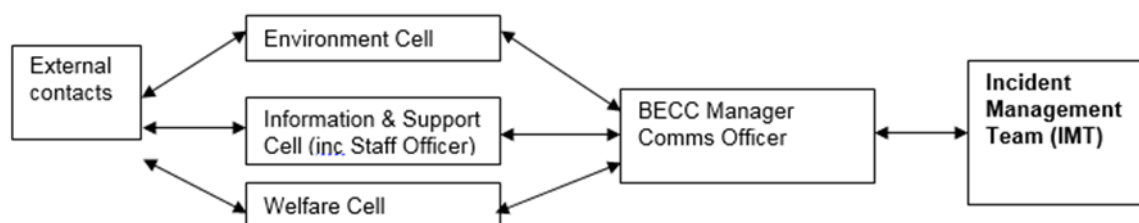


- 3.7 Both the third national lockdown and the introduction of the vaccine programme has had a major impact of the reduction of the Covid positive cases. It is anticipated that the rates of transmission have now plateaued and there will be fluctuations across the County as we restrictions are eased.
- 3.8 The table below (source NHS England, covid -19 vaccinations )shows the number of individuals who have received the 1<sup>st</sup> dose and 2<sup>nd</sup> dose covid vaccine by date 8 December to 14 March . The vaccine programme is being rolled out at pace and those in cohort 8 & 9, are now receiving their invites to receive the vaccine.

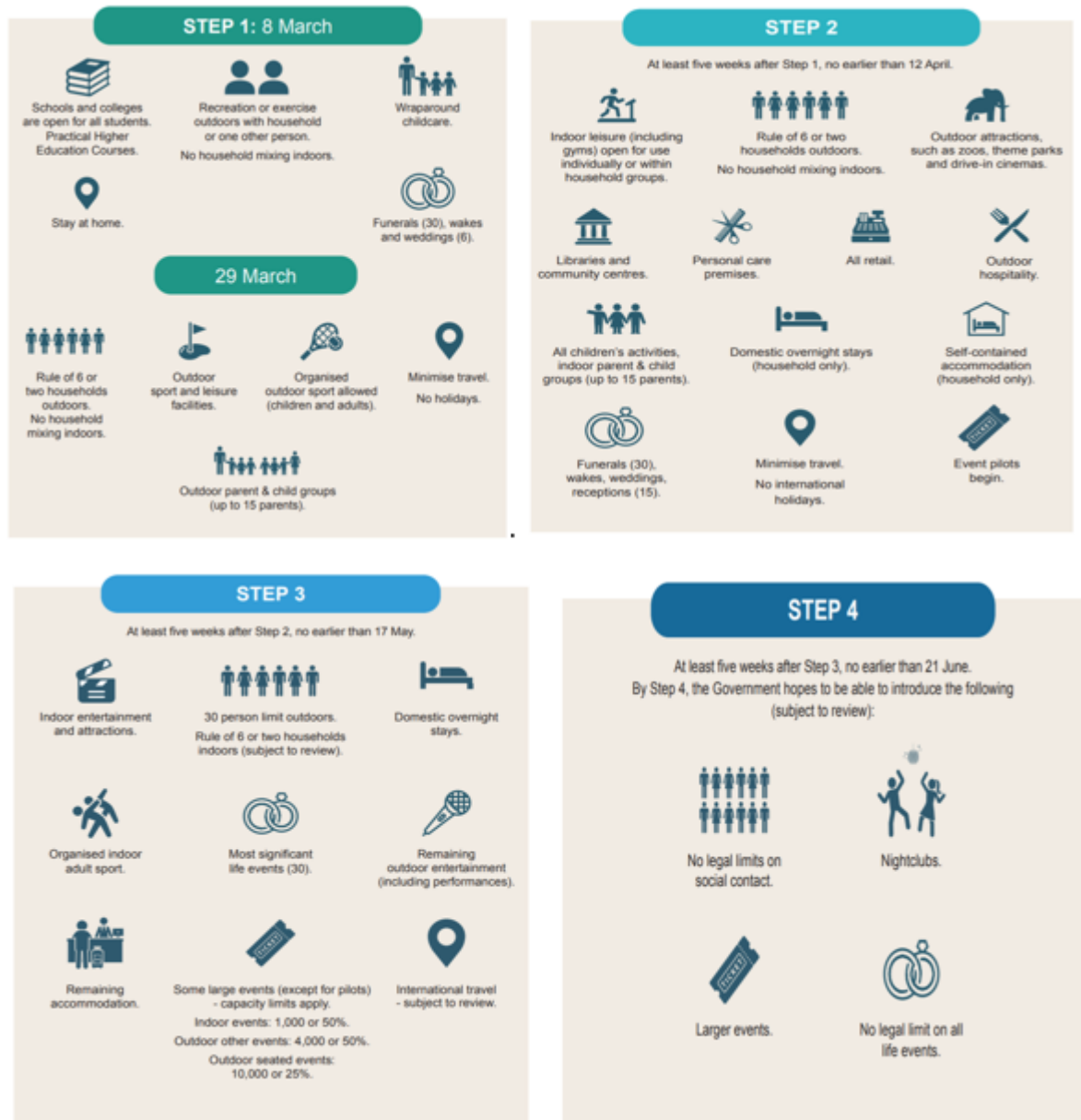
Area	Under 55	55-59	60-64	65-69	70-74	75-79	80+	Total
England	6,169,566	1,992,909	2,605,480	2,550,300	2,675,711	1,970,143	2,696,677	20,660,786
South East	931,825	308,575	434,787	417,420	451,242	339,685	478,281	3,361,815
Surrey	118,523	45,619	57,632	53,714	56,456	43,354	65,819	441,117
Elmbridge	12,150	4,668	6,432	5,843	6,053	4,587	7,336	47,069
Epsom and Ewell	8,855	3,654	3,792	3,400	3,811	2,796	4,030	30,338
Guildford	14,345	4,952	6,081	6,146	6,417	4,731	7,125	49,797
Mole Valley	8,554	4,640	5,330	4,907	4,969	4,056	6,103	38,559
Reigate and Banstead	18,046	6,276	7,345	6,397	6,825	4,946	7,548	57,383
Runnymede	7,790	2,917	3,828	3,570	3,693	2,892	4,475	29,165
Spelthorne	8,105	3,110	4,689	4,271	4,474	3,547	5,461	33,657
Surrey Heath	9,682	3,749	4,874	4,258	4,455	3,506	5,124	35,648
Tandridge	9,208	4,184	4,899	4,411	4,590	3,576	5,183	36,051
Waverley	11,585	4,256	6,148	6,292	6,890	5,572	8,606	49,349
Woking	10,203	3,213	4,214	4,219	4,279	3,145	4,828	34,101

#### 4 Co-ordinating the Council's Emergency Response

- 4.1 Following on from the declaration of the major incident the Council set up the governance arrangements agreed within our Emergency Plan. These mirrored those in place for the Surrey Local Resilience Forum (SLRF) with strategic (gold), tactical (silver) and operational (bronze) levels. Our governance arrangements are laid out in Appendix 2 and are summarised below;



- 4.2 The SLRF is the mechanism to set out a coordinated response in a local emergency through response and recovery stages. They support a multiagency approach working with the Ministry of Housing, Communities and Local Government (MHCLG) Implementing its command and control structure enabled decisions to be made at short notice and at pace. The availability of officers in the initial few weeks was varied due to the impact of Covid 19.
- 4.3 Officers covered a large number of teleconferences operated by the SLRF. In the early stages it was a challenge to cover all cells as there were many meetings. This settled however the response continued. The format of the cells have been regularly reviewed and updated by the SLRF.
- 4.4 The Strategic Coordinating Group (SCG) or gold command has continued to meet throughout the pandemic, initially daily and now weekly and continues to be chaired on rotation by the Chief Constable, Chief Fire Officer or Chief Executive at SCC. They receive regular updates from all the cells in operation including health surveillance, PPE, excess deaths, vaccination sites, and testing programme. They have received one off requests for example for support of the surge testing at Woking and Egham and to provide food to children in the October half term when the national support programme ended. The Group also covers non Covid issue such as the normal winter pressures, Brexit and flooding. The major incident status has remained in place throughout although there are plans in place to stand this down as we move through the roadmap set out by government.
- 4.5 The Road Map is depending on 4 test measures being met and the dates provided are the earliest dates with schools returning on the 8<sup>th</sup> March, mixing of households or 6 people and outdoor sports returning from 29<sup>th</sup> March. Indoor leisure, all retail, libraries and community centres from 12<sup>th</sup> April, 30 people mixing outdoors, large events and accommodation etc from 17<sup>th</sup> May and the legal limits on social contact being removed and weddings and larger events returning from 21<sup>st</sup> June. As detailed below



- 4.6 The Covid Management Group replaced the original Tactical Coordinating Group to have a greater focus on health. This group is now chaired by health and public health representatives.
- 4.7 The Multi-Agency Information Group (MIG) brings together communications colleagues across all Surrey districts and boroughs, external partners such as Surrey Police, Surrey Heartlands, universities, and specific Government organisations such as the Government Communications Service and the Department for Health. This group have been instrumental in ensuring key government messaging has been communicated in an efficient and timely way and has taken significant resource, impacting significantly on the work of our small communications team.

- 4.8 A number of other groups / cells have been supported by the Council throughout the emergency including the Welfare cell and the Testing cell. The Council also sit on the Surrey Downs non clinical vaccination cell to provide support to the vaccination programme.
- 4.9 The Council have helped to identify suitable sites to roll out testing and vaccinations. Assisting the SLRF in identifying a site for mass vaccination at Epsom racecourse. This has resulted in number of Council owned venues being used to support the delivery of testing and vaccinations. We have supported the setup of a community testing site for asymptomatic testing at Bourne Hall, which is also part of the local testing programme that will support the return to work. Also we agreed and assisted in setting up the Local Testing site for symptomatic testing in the Upper High Street for residents to have a local service with easy accessibility. .
- 4.10 The Member's communication cell was initiated in March and received regular updates throughout the emergency with meetings called as needed. This ensured that we could disseminate information really quickly and provide a co-ordinated approach. The Members Update has also been used to disseminate information with Covid specials to keep Members updated. Members within the comms cell also shot video footage to reassure residents outlining the guidance as local level restrictions altered.
- 4.11 The Council made the decision to stand down the Incident Management Team and the Borough Emergency Command Centre at the end of June and move into a business as usual approach The BECC was in place for a total of 98 days and operated with a number of staff. Three officers held the role of BECC Manager. Over 25 staff assisted within the BECC. Resourcing of the BECC and administrative support was a challenge especially due to large number of staff who were shielding or living with someone that was shielding When the first lockdown was eased a debrief session was held and also a number of training sessions held to ensure that if required the BECC could be fully staffed
- 4.12 At the end of December the Council's Emergency Planning Advisor and Business Continuity Advisor retired. This role has been outsourced to Applied Resilience. This company currently provide emergency planning services to six other districts & boroughs as well as a range of other organisations.
- 4.13 A Pandemic Co-ordinating Group, initially set up prior to the first lockdown was re-established and is a forum to co-ordinate workloads, prepare plans, and highlight changes and any requests or support. This group includes officers from Environmental Health, Housing, the Contact Centre, Venues, Communications, Parking and Operational Services.

## **5 Maintaining Essential Services and Business Continuity**

- 5.1 Despite the focus on the emergency and interruptions to some services and facilities, we have continued to deliver Council services and have even made some service improvements for our residents. All services had in place a business continuity plan. Planning is carried out through well-established processes and significant work was undertaken in 2019 and early in 2020 by the Emergency Planning & Business Continuity Advisor to ensure the plans in key areas were up to date. The business continuity plans are not intended to cover all eventualities, but instead, to provide a base for dealing with incidents. The plans provided a good base but do need to be developed and adjusted as we move to a more business as usual approach and reflect on the learning point's changes to service delivery and the way in which we operate.
- 5.2 Some teams have experience significant resource pressures especially those that are very small. Some teams have been particularly impacted at different stages of this virus. This includes Housing, HR, Communications, Corporate Health & Safety, ICT and Environmental Health. Workloads have had to be reprioritised and new processes established. Staff have been redeployed to where most needed. Many of the Venues staff have redeployed and provide support for the High Street Taskforce.
- 5.3 Some key data is provided as an overview in Appendix 3.

### **Legal & Democratic Services**

- 5.4 The Legal & Democratic Services Team have continued to deliver services with a significant change to the way committee meeting have been held during the pandemic and going forward are planning for the elections on the 6 May for the Police & Crime Commissioner and Surrey County Council. The first virtual committee meeting was held on 13 May 2020 after legislation was approved. Following on from this over 63 committee meetings have successfully been held virtually to date. The Democratic Services Team have also provided support to the local test and trace programme within the Borough. This has supported the national agenda.

### **Remote working and technology**

- 5.5 Due to the government guidance that staff had to work from home where possible, ICT supported a huge shift to remote working. A small amount of additional equipment was purchased but mostly officers' personal equipment was utilised. The shift to home working overnight for half of our workforce created a range of issues that needed to be addressed with staff provided with sustained support by the ICT Help Desk. Over 150 staff are now supported daily to work remotely.

- 5.6 Across many services digitalisation has accelerated with new ways of working identified. Services for residents have also been digitalised during the pandemic such as the new Abivus system which has gone live, with further modules being rolled out currently.
- 5.7 We have made the most of existing and new technology with the introduction of remote meetings and virtual committee meetings. These are effective and can be built into future working. A Remote Working Procedure is currently being developed to support staff and the new ways of working once we return to a more normal approach.

#### **Contact Centre & Business Support**

- 5.8 The number of calls handled at the start of the lockdown was 10,300 in the first month an increase of 37%. The number of calls handled has fluctuated and tends to rise immediately after an announcement by central government. . Over the course of the year we have seen an increase of 10% in calls overall. With Reception closed except for a short period we have also seen a large increase in online forms and emails. Normally we process 70 per day but this has increased to 170 to 260 per day.
- 5.9 Reception was open to visitors for 8 weeks for 3 half days per week and a successful triage system was in place supported by some redeployed staff. The majority of requests were directed to online including parking permits and any cash payments were directed to banks or post office. This has shown that Council business can be successfully managed digitally without the need for face to face interaction.

#### **Housing & Homelessness**

- 5.10 The Housing Team seen an increase in demand and supported 65 people through the “Everyone in” programme. This provided decent accommodation to help alleviate the spread of the virus. The Housing Team support by redeployed staff have also undertaken over 1,000 welfare calls to support the needs of the families in temporary accommodation.
- 5.11 The Council bid for and received £157,000 of funding from the government’s next steps accommodation programme to help with the next stages of rough sleeping. This funding has been allocated as follows:-

Extended emergency accommodation costs - £84,287

Single Person Homeless Support Worker - £40,000

Landlord incentive payments - £12,000

Rent in Advance - £10,500

Deposits - £10,500

- 5.12 In addition the Council bid for and received a further £15,000 Cold Weather and Protect + funding and has an allocation of £24,000 Rough Sleeper Initiative for assessment beds.
- 5.13 The team have developed new skills to work remotely and delivered support to a number of residents. An additional post has been recruited to support the Team and it is expected that the workload of the team will also be impacted as the furlough scheme ends and the ban on evictions is lifted.

#### **Environmental Health**

- 5.14 The Environmental Health Team have provided support to businesses and residents to ensure compliance with guidance .The team have worked with public health when required and as part of the test and trace programme an additional Environmental Health Officer has been funded for one year . They have provided a range of guidance to business including developing an innovative and informative video about compliance for close contact businesses. The support for business especially focused where there was lower rates of compliance. This included a video to support close contact businesses who were inconsistently applying the guidance.
- 5.15 The team has experienced a 25% increase in requests for support. In addition, 190 complaints associated with Covid-19 have been investigated by the Team.

#### **Cemetery**

- 5.16 During Covid the cemetery extension has been completed providing increased capacity for additional burials. This has proven to be timely when there have been excess deaths due to the impact of the pandemic. Additional equipment was hired and additional staff brought in to deal with the peaks in demand and ensure demand could be met.

#### **Operational Services**

- 5.17 The Operational Services Team focused on priority services throughout the first national lockdown, focusing on the collection of waste supporting the most vulnerable with enhanced shopping services and meals at home. . Services such as grounds maintenance, countryside and parking were initially suspended. Parking services were reintroduced on 15 June when non-essential shops reopened. The Countryside Team reintroduced working with volunteers in the summer but this ceased when further restrictions were introduced.

- 5.18 The markets have continued to operate through the pandemic, initially only essential food items but in addition the farmers market operated every Sunday from June, then the Vegan market was reintroduced. The Antique and Brocante market did open on 15th November but was subsequently stopped due to a further lockdown. The success of the markets during this time has been evident with residents seeking to shop locally. This will be an important success to build upon as part of the recovery.
- 5.19 Throughout the pandemic we have provided over 37,000 meals at home and support vulnerable residents through our community services.

**HR & Comms**

- 5.20 Since March 2020, the Communication Team has delivered
- 5.20.1 96 Members Updates
  - 5.20.2 111 Staff Updates
  - 5.20.3 30,000 views per issue on E-Business newsletters
  - 5.20.4 2 covid special Borough Insights
  - 5.20.5 1.8 million Engagements through Social media posts (twitter, facebook, Instagram and linkedin)
- 5.21 The Team were bolstered by the addition of a temporary Communications Manager, as well as communications support from the Marketing Officer and the Playhouse Marketing Manager.
- 5.22 The HR Team have supported the many changes in our operating model ensuring that staff receive guidance, have updated protocols and advice. They have also worked closely with managers and occupational health to support staff who themselves are classed as extremely clinically vulnerable and clinically vulnerable.
- 5.23 The initial focus was on keeping staff safe and minimise any risk, providing teams with a range of guidance. Many officers who were directly impacted or families were directly impacted needed advice and support. .
- 5.24 During the pandemic staff have shown tremendous dedication, commitment and at times worked additional hours to ensure our response is robust. It has been important to ensure that morale across the teams has been kept up. The Members, Chief Executive and Leadership Team have sought to ensure staff have been continuously recognised and thanked through letters and staff updates to capture and celebrate this dedication.



- 5.25 The level of absence between 1 March 2020 and 30 September 2020 was unprecedented. In addition to Covid-19 related absence, a significant number of employees were moved away from their normal roles to support the Council's emergency response, for example the BECC, Community Hub, Meals at Home, etc. Despite this, the Council continued to deliver priority services with limited impact. The table below shows COVID-19 related absence 1 March 2020 – 28 Feb 2021

Reason	Total number of FTE days lost (March – Sept )	Total number of FTE days lost (Oct – Feb)
Covid-19 Sickness	286	181
Covid-19 Self-isolation	196	56
Covid-19 Clinically vulnerable	2648	46
TOTAL	*3130	*283

*\* Whilst the HR team has worked with managers throughout the pandemic to maintain accurate employee attendance records, it should be noted that it has not been possible to capture all Covid-19 related absences.*

- 5.26 Throughout June and July 2020 the HR team worked with the Council's Occupational Health provider to carry out risk assessments for 58 employees who were identified as having increased vulnerability to infection or poorer outcomes from Covid-19. These assessments identified personal demographics which may present a risk to the individual employee, for example underlying health conditions, age and ethnicity. As a result of these assessments, 55 employees were supported to safely return to the workplace.
- 5.27 In providing support to the organisation during the pandemic there have been many factors for the HR team to consider, including the impact of the lockdown and ongoing restrictions such as social distancing, self-isolation and shielding.
- 5.28 Some employees are fearful about contracting the virus and anxious about family and friends. Some have suffered bereavements, often without the chance to say goodbye or attend funerals.
- 5.29 Many of our employees have continued to work in essential and key roles in a range of challenging circumstances, with some working longer or more irregular hours to allow for effective social distancing. For some staff who were redeployed to support the emergency response, there has also been the requirement to deal with backlogs of "normal" work.

- 5.30 The continuing threat of the virus means that some employees continue to work whilst retaining caring responsibilities, whilst many are dealing with other personal and financial circumstances that may have an impact on their mental health.
- 5.31 There are also fears about job security, particularly where Council services remain suspended and many employees have ongoing concerns around attending the workplace, including using public transport and staying safe in the work environment.
- 5.32 The HR team continue to provide advice and support to the organisation where an employee tests positive, including liaison with Public Health England as necessary and safeguarding the health/dealing with the anxieties of colleagues.
- 5.33 Normal employee relations case work and recruitment has been reinstated and the Team continue to support all the Divisions in ensuring workforce needs are met.
- 5.34 To support the return of services, the HR Team have also arranged for the vaccination of key staff as determined by the government Health & Social Care Cohort. In addition they have supported the roll out of asymptomatic testing for staff.

## **6 Additional Support for Local Businesses and Residents**

- 6.1 Our key responsibility is to protect our community especially those that are vulnerable whilst maintaining priority services.
- 6.2 For the business community we are committed to supporting businesses with a range of initiatives

### **High Street Task Force/Reopening High Streets**

- 6.3 Following the government guidance that non-essential shops could reopen on 15 June, the Council worked with partners on local safety measures to support safe trading environments in the Borough's high streets and retail areas. The Council established a High Street Taskforce and received £71,000 in funding from the European Regional Development Fund (ERDF)
- 6.4 An information campaign was launched in early 2021 to help businesses to understand all the new guidance. Many of the Venues team have supported the High Street taskforce with a dedicated resource to foster a safe shopping environment. The marketing campaign has included digital screens, newspaper ads, and posters on bus shelters, lampposts and buses.

- 6.5 The taskforce has also carried out audits of retail and footfall to support the return of high streets. Their role have been extended to provide support at parks and open spaces in the Borough that have seen a marked increase in usage and received complaints regarding noncompliance.
- 6.6 As this report is being written a stand up plan is to be developed to support the return of non-essential retail and highstreets and retail on 12<sup>th</sup> April.

### **Business Grants & Rate Relief**

- 6.7 The Revenue & Benefits Team has had a central role in allocating the new national funding programmes to businesses.
- 6.8 In March 2020, the government announced the financial support for small businesses and businesses in the retail, hospitality and leisure sectors in the form of two retail grants and a small business grant. The Council paid out 499 grants to small businesses equating to £4,990,000. A further £5,015,000 was issued to 239 Retail, Hospitality and Leisure businesses.
- 6.9 Since the initial lockdown, there were 10 further grants to be processed and paid by the Team. In May, the Local Restrictions Grant (LRSG) was introduced, to assist small businesses that did not qualify for the other grants. Local grants have then ceased when national grants apply. The Additional Restrictions Grant (ARG) to support larger businesses was introduced on the 31 December to provide for local authorities when under national or local tier 3 restrictions. The Table below identifies the total amount of grants paid to date.

<b>Grant</b>	<b>Number</b>	<b>Amount</b>
<b>Retail grant (10K) one-off</b>	64	£640,000
<b>Retail grant (25K) one-off</b>	175	£4,375,000
<b>Small business grant one off</b>	499	£4,990,000
<b>Local Discretionary grant</b>	72	£549,500
<b>Additional Restriction Grant</b>	60	£315,361
<b>Local Restrictions Support Grant (Closed) Addendum (Nov lockdown)</b>	322	£378,392
<b>Local Restrictions Support Grant (Sector)</b>	2	£3,250
<b>Local Restrictions Support Grant (Open)</b>	51	£40,665
<b>Local Restrictions Support Grant (Closed) Addendum (Post 2 Dec – Tier 2/3))</b>	6	£6,302
<b>Local Restrictions Support Grant (Closed) Addendum Tier 4</b>	307	£314,347

<b>Local Restrictions Support Grant (Closed) Addendum (Post 05/01/21)</b>	307	£776,385
<b>Closed Business Lockdown Payment Scheme (one-off payment from 05/01/21)</b>	307	£1,553,000
<b>Christmas Support payment for wet-led pubs</b>	12	£12,000
<b>Total</b>	<b>2,184</b>	<b>£13,954,202</b>

- 6.10 In addition to the grants scheme, the government introduced a series of business rate relief to further support businesses. This included expanded retail and nursery discounts. To date the Team have processed and paid nearly £15 million in expanded rate relief, £430,000 in nursery relief and £15,000 in pub relief.

#### **Test & Trace Payments**

- 6.11 In November, the government introduced the test and trace isolation payments and to date the Team have paid nearly 80 payments to individuals.

#### **The Community Hub, Volunteers and supporting Vulnerable People**

- 6.12 A number of volunteers supported the emergency response, they provided a number of key roles in the Community Hub, contacting those shielded, carried out welfare checks and prescriptions runs. The Community Hub was set up from scratch on 24 March. Demand for the Community Hub services in the first lockdown was very high with both internal and external calls made. Over 10,000 calls were made in the first lockdown. We also carried out 460 welfare checks and coordinated a further 80 Police welfare checks.
- 6.13 The data on Clinically Extremely vulnerable has been released in stages in the first lockdown it was released in three cohorts. A small number of newly shielded were added between August and November 2020. A further tranche was released in February split between those under 70 and those over 70 as follows;

<b>Category</b>	<b>No of CEV residents</b>	<b>Date</b>
<b>Up to end of June (first lockdown)</b>	<b>2266</b>	<b>3 cohorts (24<sup>th</sup> March, 13<sup>th</sup> April &amp; 4<sup>th</sup> May 20)</b>
<b>Newly Shielded in local restrictions</b>	<b>164</b>	<b>1<sup>st</sup> August to 30<sup>th</sup> November</b>

<b>Tranche 1&amp;2 – 3<sup>rd</sup> lockdown</b>	<b>1417</b>	<b>17<sup>th</sup> February 21</b>
<b>Total CEV's</b>	<b>3847</b>	

- 6.14 The final cohort was only recently released by the government with over 1.7 million new shielded people added nationally, with 1,417 added to our list after moderated by Surrey county Council.
- 6.15 The Community Hub was stood down after the first national lockdown on the 30<sup>th</sup> June. The systems and process to deliver the Community Hub were all fully documented and reviewed in the first lockdown and this was vital when asked to re-establish the Hub on the 5 November when the second lockdown commenced.
- 6.16 At the start of the second lockdown, the Welfare cell agreed that across Surrey, text messages would be issued to each new cohort with details on how to register to the National Shielding Support System (NSSS). Calls for our residents requiring support were triaged through our Contact Centre. The Health & Wellbeing Officer has operated the Community Hub with support from redeployed staff and volunteers as needed. The demand in the second lockdown (and third) has been lower as many residents had subsequently established support networks, obtained priority shopping and pharmacies arranged the delivery of prescriptions. However when support has been required, they have been more complex and time consuming. A further 600 calls have been made to those requesting support since the second lockdown was introduced we have made 43 referrals to the food bank, befriending and medication deliveries.
- 6.16 One of the challenge in March 2020 was dealing with the large and varied number of offers of assistance. The volume and speed of offers did overwhelm us and we could not respond to all offers immediately. We operated a system using the Central Surrey Volunteer Agency (CSVA) who were very supportive and who had a number of preregistered and pre checked volunteers.
- 6.17 We have worked with a range of partners including Age Concern, the Foodbank, and the Brigitte Trust, this was key in our ability to deliver services quickly and provide services to the most vulnerable elderly.

### **Covid Champions**

- 6.18 CSVA are also managing the Covid Champions supporting the Borough in informing the harder to reach groups and provide support to the community. The Covid Champions are a network of organisations in our community who are sharing the messages from Public Health, gathering feedback and attending regular virtual meetings. CSVA are working with 14 organisations without a communications team providing a weekly update to support the public health message.
- 6.19 We are proud of the work undertaken and value working in partnership with volunteers and voluntary organisations.

## **7 Financial Impact**

- 7.1 The impact on the Council's financial position for 2020/21 is significant. The initial costs of the emergency response were captured through a specific code and governance was in place to monitor expenditure. The initial expenditure was on IT equipment and PPE.
- 7.2 At a very early stage, the Council suspended a number of non-priority services and scaled back on a number of other services. However the loss of income from services was huge and the initial forecasted position was reported to the Strategy & Resources Committee as £4.6m. This was later reduced by £3.8m as the government confirmed that they would part mitigate our losses. As reported to Council on 16<sup>th</sup> February we are predicting a net adverse variance for the year of £785,000, after taking into account the £3.8m government support. Of the net adverse variance, £720,000 is identified as outstanding rents and it is hoped that these will be paid as the payments were deferred to support our commercial tenants.
- 7.3 The Finance Team provided regular updates on the Council's financial position, first reporting to Strategy and Resources on 2 July and subsequently on 22 September. Covid 19 set a major challenge to achieve a balanced budget for 2021/22, With £950,000 provided in the 2021/22 budget to mitigate the ongoing impact of Covid. Following a number of service reviews, undertaken by officers, which identified £173k savings for next year, a balanced budget has been set by Full Council. The budget is supported by a £422,000 one-off use of strategic reserves.
- 7.4 The Chief Accountant has established a central register of all Covid-related funding received to date. Some funding is ring fenced with restrictions and other funding can be used more widely. This funding includes the Contain Outbreak Management Fund to support targeted testing, interventions, harnessing capacity, and focus on those disproportionately impacted.

## 8 Covid Secure & Safety measures

- 8.1 The government published “Working Safely during Coronavirus “on 11<sup>th</sup> May 2020. This supported the government road to recovery and suppressing the virus. An officer Covid Secure Group was established to review and implement the framework and ensure all our buildings, vehicles and sites are Covid Secure. These have been regularly updated as advice has changed and linked closely with out cleaning contractor and Projects Team. This created a significant amount of work with over 80 specific covid secure risk assessments requiring development and sign off.
- 8.2 To maintain essential frontline services the Council was able to supply PPE and hand sanitizers. These stocks are regularly checked and stocks maintained to ensure all staff are protected.

## 9 Recovery

- 9.1 The government have announced a new map for recovery and the Pandemic Coordinating Group will assist with the operational stand up plans to return services, venues and facilities safely.
- 9.2 The Service Delivery Plan 2021/22 will reflect the work programme to support the delivery including key work streams including the HR Road Map and the ICT Road Map.
- 9.3 The Members Recovery cell met in the July 2020 and agreed the overarching principles to our Recovery in line with the Council’s Vision and Four Year Plan. These principles are;
  - 9.3.1 **Principle 1: Green and Vibrant (our places)** - Supporting the shift to more sustainable transport (including walking, cycling and public transport) and reducing the Council’s footprint through more modern working practices
  - 9.3.2 **Principle 2: Opportunity and Prosperity (our businesses)**  
Taking a central role in the recovery of our local economy, supporting the recovery of our high streets, Epsom Market and attracting inward investment and jobs.
  - 9.3.3 **Principle 3: Safe and well (our people)** Managing the continued emergency response, ensuring that the most vulnerable in the community are supported, while enabling services to recovery safely for staff and service users, and promoting the borough as a safe and welcoming place
  - 9.3.4 **Principle 4: Cultural and Creative (our outlook)** to learn from the experience of the pandemic, taking a fresh perspective to the challenges we faced. Supporting the re-introduction of safe cultural

activities and events in the borough (including in the Market Place, Bourne Hall, Playhouse, Cinema, Racing Industry, Film Festival)

9.3.5 **Principle 5: Smart and Connected (our approach)** Strengthen partnership working across local businesses, voluntary organisations, local statutory agencies and with neighbouring boroughs and districts. Strengthen the Council's digital infrastructure to support more on-line delivery and more modern working practices. Using lessons learned from remote meetings, new ways of working to improve internal processes and digital connectivity.

9.3.6 **Principle 6: Well led (your council)** Putting the Council in a more financially sustainable footing, with a greater focus on the top priorities, utilising technology to streamline the way we work and actively support the wellbeing and success of all our staff

9.4 The recovery programme "Building Back Better" – our focus on brighter future as we come out of lockdown, focuses around the Vision and Four Year Plan 2020- 2024) and consists of four streams;

9.4.1 Rebuilding our Community

9.4.2 Rebuilding our Economy

9.4.3 Greater collaboration with neighbouring boroughs and districts

9.4.4 Organisational Review

9.5 As business grants and furlough come to an end this will have a significant impact on our economy. Full details on the recovery will become clearer as the major incident is stood down.

9.6 Specific reports on aspects of the recovery will be brought to the relevant committees as needed.

## 10 Learning Points

10.1 As with any emergency or emergency exercise a formal debrief is a key part of the process to review and reflect on the processes and procedures used. This is normally undertaken at the end of the incident however due to the scale and longevity of the pandemic this has been undertaken in stages and captured as we go along. Further debriefs will be undertaken as we move into recovery.

10.2 Some of the key successes to the Council's emergency response include;

10.2.1 Strong team working and operational co-ordination



- 10.2.2 Personal commitment of staff
- 10.2.3 Large scale remote working with significant support for ICT
- 10.2.4 Virtual meetings and committee meetings
- 10.2.5 Enhanced communications to staff, Members and Businesses
- 10.2.6 Flexibility of teams to deliver the new guidance, regulations, grants and requests for support
- 10.2.7 Working with partners including the voluntary sector.
- 10.3 As part of our debrief we have captured views to ensure we learn lessons and although a unique situation there are a number of improvements that can be implemented. We have captured information from;
  - 10.3.1 Internal Audit of the Emergency Response.
  - 10.3.2 Debrief held in July with staff involved in the response
  - 10.3.3 Feedback from key officers
  - 10.3.4 Surrey Local Resilience Forum report on lessons learnt
  - 10.3.5 Staff surveys
- 10.4 Some of these learning points have already been actioned and others are longer term and will be implemented once we are in the full recovery phase. Once the major incident has been stood down, Applied Resilience will assist with a debrief exercise. Updates will be reviewed Leadership Team and where relevant action built into the Service Delivery Plan and the work programme of Applied Resilience. The key learning points include;
- 10.5 **Resourcing the Emergency Response** - A report was taken to Leadership Team after the first lockdown which confirmed resourcing for the BECC would be prioritised should it be stood up. In addition, training on the BECC was provided to a range of additional staff to ensure that the BECC could be operated for an extended period with less reliance on the core staff involved.
- 10.6 **Service delivery** - The full impact of the pandemic is unlikely to be clear until out of current lockdown and there are a range of issues in relation to backlogs, access to resources that will be assessed with current polices and services available to staff .

- 10.7 **The Organisational Development Strategy and People Framework** – This will need to be refreshed to reflect the changing environment and new ways of working. This will be built into the HR Road Map and include a Remote Working Procedure.
- 10.8 **Recording of decisions** - The decisions of the IMT were fully recorded but not shared consistently with all Leadership Team. This was rectified to during the first lockdown to ensure all minutes could be accessed by the Leadership Team. The Emergency Plan will be updated to ensure record keeping is clarified
- 10.9 **Working with voluntary organisations and volunteers** - We should continue to grow the new relationships with partners on the basis of the success and support provided to our community.
- 10.10 **The business continuity plans and a business impact analysis** – These will be updated to reflect the impact of the Covid 19 pandemic and maintained centrally.
- 10.11 **Communications in an emergency** - Prior to the pandemic, the LGA had completed a Peer Review of the Council's communications, this identified that communications needs to be strategic, planned and well resourced. The critical role and resourcing of the Communications team will be key in any emergency. The team have benefited from having additional internal support and this should be developed as part of implementing the recommendations from the Peer Review.
- 10.12 **Digital Switch** - As a result of the pandemic there has been a digital switch by residents and this should be developed as we roll out phase 2 of the CRM replacement in the ICT Road Map.
- 10.13 **Office Accommodation** - The need for large office space and future accommodation needs to be assessed in conjunction with the digital shift. This will be reviewed as part of service reviews to support the Medium Term Financial Strategy.

## 11 Risk Assessment

Legal or other duties

### 11.1 Impact Assessment

11.1.1 Keeping people safe and well, tackling social isolation, and getting people back into employment will be a key part of the next steps.

11.1.2 Supporting the re-opening businesses and securing investment in jobs.

11.1.3 Building stronger services to support residents.

11.2 Crime & Disorder

11.2.1 None for the purpose of this report

11.3 Safeguarding

11.3.1 The role of the Community Hub has been to support those that are most vulnerable and have had agreed safeguarding processes in place.

11.4 Dependencies

11.4.1 Our emergency response is subject to further changes in government guidance and the transmission rates

11.5 Other

11.5.1

**12 Financial Implications**

12.1 The financial implications are addressed in the report but will be far reaching and part of the strategy for recovery in Building Back Better

12.2 **Section 151 Officer's comments:** The Council has set a budget for 2021/22. The financial impact of Covid-19 will continue to be monitored closely and reported through the Council's existing financial reporting framework.

**13 Legal Implications**

13.1 None arising from the contents of this report.

13.2 **Monitoring Officer's comments:** None arising from the contents of this report.

**14 Policies, Plans & Partnerships**

14.1 **Council's Key Priorities:** The Council's Emergency response has impacted on the delivery of the Corporate Plan that was agreed in January 2020

14.2 **Service Plans:** The Service Delivery Plan for 2020/21 was updated in July and agreed through the Member Recovery cell to reflect the impact on all services. The Service Delivery Plan for 21/22 is being developed and will shortly be agreed.

14.3 **Climate & Environmental Impact of recommendations:** as we move into a true recovery phase, the implications on the environment will be assessed as part of our climate change

14.4 **Sustainability Policy & Community Safety Implications:**

14.5 **Partnerships:** The Council are part of a multi-agency partnership within the Surrey Local Resilience Forum. The governance and role of the SLRF is being reviewed as part of lessons learnt arrangements.

## **15 Background papers**

15.1 The documents referred to in compiling this report are as follows:

### **Previous reports:**

Council Emergency Response to Covid – Strategy & Resources  
Committee 2 July 2020

### **Other papers:**

**Key dates and timeline**

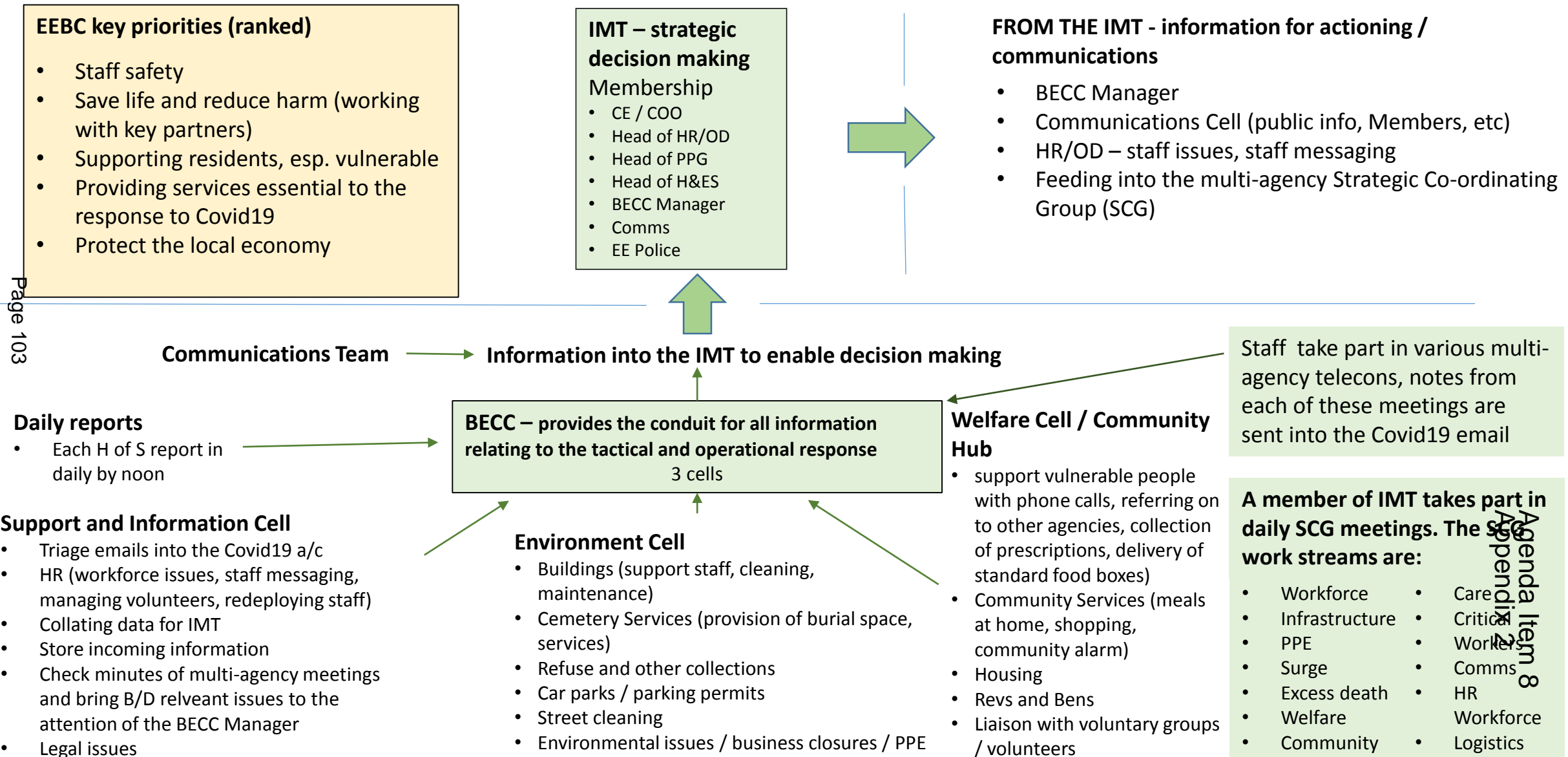
<b>Date</b>	<b>Key events</b>
<b>31<sup>st</sup> Jan 2020</b>	<b>First Covid case in UK</b>
<b>27<sup>th</sup> February 2020</b>	<b>The Leadership Team agreed the Covid19 Plan</b>
<b>5<sup>th</sup> March 2020</b>	<b>First death in the UK</b>
<b>18<sup>th</sup> March 2020</b>	<b>SCC and Surrey Fire &amp; Rescue declare a major incident</b>
<b>19<sup>th</sup> March 2020</b>	<b>Furlough Scheme starts</b>
<b>23<sup>rd</sup> March 2020</b>	<b>First National Lockdown - To Stay at Home</b>
<b>24<sup>th</sup> March 2020</b>	<b>Community Hub established</b>
<b>13<sup>th</sup> May 2020</b>	<b>First Virtual Committee Meeting and PM urges people to go back to their work if unable to work at home</b>
<b>13<sup>th</sup> June 2020</b>	<b>Introduction of social bubbles and Local Tier Levels were implemented</b>
<b>15<sup>th</sup> June 2020</b>	<b>Nonessential shops reopened</b>
<b>4<sup>th</sup> July 2020</b>	<b>Health Protection Regulations 2020 come into force – relaxing the lockdown measures</b>
<b>24<sup>th</sup> July 2020</b>	<b>Face covering compulsory in shops and enclosed public places</b>
<b>August 2020</b>	<b>Eat Out to Help Out Scheme</b>
<b>14 Sept 2020</b>	<b>Health Protection (Coronavirus Restrictions) (No2) (England) (Amendment) (No 4) - limiting gatherings to no more than 6</b>
<b>14<sup>th</sup> Oct 20</b>	<b>England moves to a three tier system</b>
<b>5<sup>th</sup> Nov to 2<sup>nd</sup> Dec 20</b>	<b>Second national lockdown</b>
<b>3<sup>rd</sup> Dec 2020</b>	<b>Surrey in tier two of local lockdown alert levels</b>
<b>8<sup>th</sup> Dec 2020</b>	<b>First person receives the vaccine</b>
<b>20<sup>th</sup> Dec 2020</b>	<b>Surrey (except Waverley) enter Tier 4</b>
<b>13<sup>th</sup> January 2021</b>	<b>100,000 covid deaths in UK</b>
<b>22<sup>nd</sup> February 2021</b>	<b>Govt announces Road Map</b>

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# SAVING LIVES – REDUCING HARM – EMERGENCY RESPONSE

## The role and function of the Incident Management Team during Covid19

The IMT is typically formed of the CE (or COO) supported by 2 – 3 heads of service. Their role is to provide strategic lead and decision making. To do this, the IMT identifies and ranks its key priorities and meets regularly to ensure these priorities are addressed. The priorities should be reviewed regularly. These meetings receive information from a number of sources.



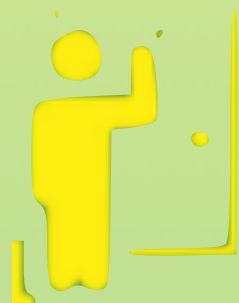
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# Coronavirus

summary of Council's response



**500**

Welfare checks/house calls to shielded and vulnerable residents



**10,560**

Community and Welfare calls to shielded and vulnerable residents



**200**

Prescription collection requests



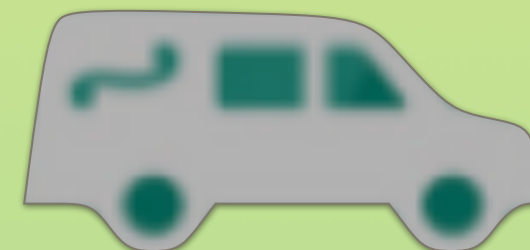
**39**

Food parcels delivered



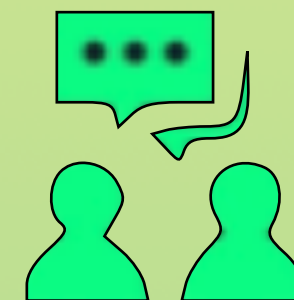
**1500**

Registered volunteers



**217**

Essential journeys made by Transfers from home



**738+**

Proactive communications sent



**2m+**

Views on our social media platforms



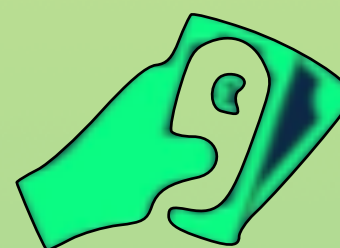
**37,156**

Meals delivered 1000+ per week



**596**

Shopping deliveries made



**200+**

Food vouchers issued



**10,300**

Covid-19 related contact centre calls in a month at the start of the pandemic



**13,567**

Tonnage of waste recycled



**99%**

Household waste and recycling collection service



**£5.02m**

Retail, Hospitality and Leisure grant



**£13.9m**

business grants provided



**£291,000**

Council tax hardship payments

## Business Rate Reliefs



Expanded retail relief

**£14.9m**



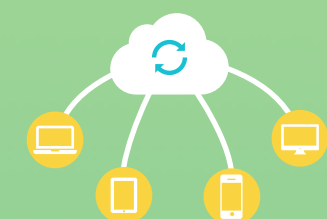
Nursery Relief

**£431,000**



Pub relief

**£15,000**



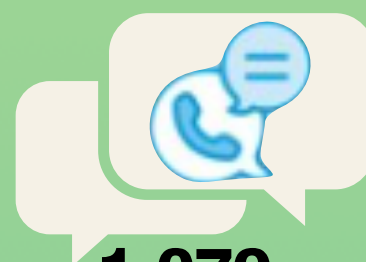
**£38,500**

Test & trace isolation payments



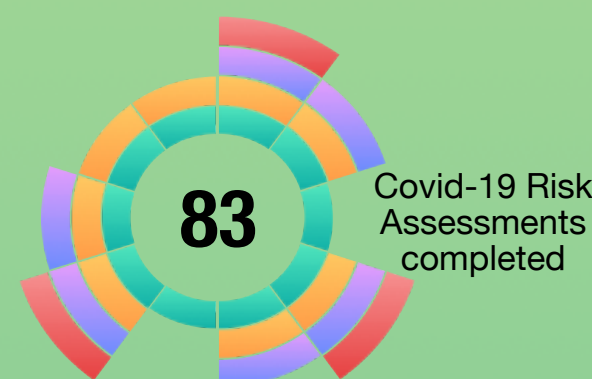
**65**

Rough sleepers placed in temporary accommodation (TA)



**1,079**

Welfare calls to residents in TA



**14**

Community Champions

**25%**  
Increase in Environmental Health service request plus 190 additional complaints around Covid-19

Agenda Item 8  
Appendix 3



## **FOUR YEAR PLAN: PROGRESS REPORT 2020/21**

<b>Head of Service:</b>	Gillian McTaggart, Head of Policy, Performance & Governance
<b>Wards affected:</b>	(All Wards);
<b>Urgent Decision?(yes/no)</b>	No
<b>If yes, reason urgent decision required:</b>	
<b>Appendices (attached):</b>	<b>Appendix 1:</b> Key Priority Targets 2020/21, Progress as at end January 2021 <b>Appendix 2:</b> Commentary on red and amber targets as at end January 2021

### **Summary**

This report provides an update on progress made against the Key Priority Targets 2020/21 as at the end of January 2021.

### **Recommendation (s)**

#### **The Committee is asked to:**

- (1) note the status of the individual Key Priority Targets 2020/21 as at the end of January 2021, set out at Appendix 1.**
- (2) consider the latest update on all red and amber status targets set out at Appendix 2.**

### **1 Reason for Recommendation**

- 1.1 The Audit, Crime & Disorder and Scrutiny Committee has a responsibility under Paragraph 4 of the Overview and Scrutiny Procedure Rules of the Constitution for monitoring progress on the Council's Corporate Plan.
- 1.2 In line with this responsibility, the Committee is asked to consider progress made against the Key Priority Targets (KPTs) 2020/21 as at the end of January 2021.

## 2 Background

- 2.1 The Committee was presented with the KPTs 2020/21 at its meeting on 19 November 2020. It was informed that in light of the on-going impact of COVID-19 on the Council and its services, the targets contained within the Service Delivery Plan (SDP) 2020/21 had been revised to reflect what could be delivered. These revised targets were subsequently agreed through the Leadership Team and reported to the Member Recovery cell. The KPTs 2020/21 are based on the revised SDP priorities. They reflect the top three priorities within each service area and the overall top five priorities agreed corporately.
- 2.2 It was highlighted in the report to the Committee on 19 November that the need to respond to the on-going pandemic might impact on the delivery of priorities going forward. Particular areas that might be impacted were highlighted as the Communications Review, potential for Grounds Maintenance Shared Service and the Climate Change Action Plan.
- 2.3 Throughout this reporting period the Council has continued to provide COVID-19 support to residents, businesses and staff. It has responded to the changing Government restrictions, the Government introduced a further lockdown at the beginning of January 2021 due to increased cases of coronavirus, and has responded to new Government schemes requiring local implementation. However 69% of the targets are currently recorded as green or achieved, which is significant given that we remain in the third national lockdown which has impacted on the delivery of new services, functions and staff resources.
- 2.4 The overview attached at Appendix 1 sets out the RAG status of the individual KPTs 2020/21 as at the end of January 2021. This is the first progress report brought to the Committee for 2020/21. The overall percentage of targets achieved or assigned green, amber or red status is set out in Table 1 below. 'Achieved' includes those targets achieved, but not in accordance with the target date.

**Table 1**

<b>Status</b>	<b>Number</b>	<b>%</b>
<b>Achieved</b>	<b>12</b>	<b>24</b>
<b>Green</b>	<b>22</b>	<b>45</b>
<b>Amber</b>	<b>7</b>	<b>14</b>
<b>Red</b>	<b>8</b>	<b>16</b>
<b>Information only</b>	<b>3</b>	<b>-</b>

<b>TOTAL</b>	<b>52</b>	<b>99*</b>
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\* Percentages may not add up to 100 due to rounding.

- 2.5 Work against the targets 2020/21 is generally progressing well. Eight targets have however been assigned red status and seven targets assigned amber status. As highlighted to Committee in November, the on-going pandemic response has impacted progress against the target on the potential for a shared Grounds Maintenance service, and slowed progress made against the Communications Review Action Plan. A report to Environment & Safe Communities Committee in January 2021 however, showed that some good progress had been made against the Climate Change Action Plan.
- 2.6 Commentary on each of the red and amber targets is set out at Appendix 2.
- 2.7 A further report on the progress at the end of the year will be brought to the Committee in June. Work is currently underway on agreeing the new targets for 2021/22 in line with the new Four Year Plan priorities agreed in January 2020.

### 3 Risk Assessment

Legal or other duties

#### 3.1 Impact Assessment

3.1.1 No implications associated with this report.

#### 3.2 Crime & Disorder

3.2.1 No implications associated with this report.

#### 3.3 Safeguarding

3.3.1 No implications associated with this report.

#### 3.4 Dependencies

3.4.1 Overall achievement of the outcomes of the Four Year Plan 2020-2024 may be impacted if the COVID-19 pandemic continues for a significant period.

#### 3.5 Other

3.5.1 No implications associated with this report.

### 4 Financial Implications

- 4.1 Delivery of the KPTs 2020/21 will be met by the approved Budget 2020/21; Strategy & Resources Committee received a report on the financial impact of COVID-19 at its meeting of 2 July 2020.
- 4.2 **Section 151 Officer's comments:** None arising from the contents of this report.

## 5 Legal Implications

- 5.1 No implications associated with this report.
- 5.2 **Monitoring Officer's comments:** None arising from the contents of this report.

## 6 Policies, Plans & Partnerships

- 6.1 **Council's Key Priorities:** The following Key Priorities are engaged:
- 6.1.1 Effective Council – Engaging, responsive and resilient Council
- 6.2 **Service Plans:** The matter is included within the current Service Delivery Plan.
- 6.3 **Climate & Environmental Impact of recommendations:** Year 1 actions of Climate Change Action Plan reflected in KPTs and SDP 2020/21.
- 6.4 **Sustainability Policy & Community Safety Implications:** Year 1 actions of Community Safety & Enforcement reflected in SDP 2020/21.
- 6.5 **Partnerships:** Successful achievement of some KPTs for 2020/21 will require work with partners, including the Local Government Association, GLL and economic partners.

## 7 Background papers

- 7.1 The documents referred to in compiling this report are as follows:

### Previous reports:

- Four Year Plan 2020-2024; Strategy & Resources Committee 14 January 2020
- Financial Impact of COVID-19; Strategy & Resources Committee 2 July 2020
- 2021/22 Budget Targets and Finance Update; Strategy & Resources Committee 8 September 2020
- Corporate Plan: 2019 to 2020 Year End Performance and Target Overview 2020 to 2021






**Other papers:**

- Service Delivery Plan 2020/21
- Four Year Plan 2020 - 2024

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## Four Year Plan 2020 – 2024: Key Priority Targets 2020/21 – Progress as at end January 2021 – Non Validated

 <b>Green and Vibrant</b>	 <b>Safe and Well</b>	 <b>Opportunity and Prosperity</b>	 <b>Cultural and Creative</b>	 <b>Effective Council</b>
<ul style="list-style-type: none"> <li>Identify the potential for a shared service for Grounds Maintenance by 31 March 21. (Ian Dyer; E&amp;SC)</li> <li>Implement and monitor COVID-19-Secure arrangements across venues, parks and service delivery by 31 March 21. (Ian Dyer; S&amp;R)</li> <li>Tender documentation for a new Tree Contract by 31 March 21. (Viv Evans; E&amp;SC)</li> <li>Report to the Environment &amp; Safe Communities Committee on the Climate change Action Plan by 31 March 21. (Gillian McTaggart; E&amp;SC)</li> </ul> <p><u>Statistical Targets</u></p> <ul style="list-style-type: none"> <li>Graffiti – remove 95% of graffiti on council owned land within 5 working days of being reported to Operational Services. (Ian Dyer; E&amp;SC) (January 75%; Jan YTD total 62%)</li> <li>Fly tipping – remove 95% of all fly tips on council owned land within 5 working days of being reported to Operational Services. (Ian Dyer; E&amp;SC) (January 96%; Jan YTD total 99%)</li> <li>Graffiti – remove offensive graffiti within two working days of being reported to Operational Services. (Ian Dyer; E&amp;SC) (January 100%)</li> <li>Recycle 54% domestic waste by 31 March 2021. (Ian Dyer; E&amp;SC) (December 57.03%; December YTD total 54.81%)</li> <li>Over the year at least 99% of bins to be collected on average each week by 31 March 2021. (Ian Dyer; E&amp;SC) (January 99.90%)</li> </ul>	<ul style="list-style-type: none"> <li>Develop and report to S &amp; R Committee a new Council Tax Support Discount to replace the current means tested Council Tax Support scheme by 30 November 20. (Judith Doney; S&amp;R) (Achieved)</li> <li>Produce a projection of the borough's homelessness levels by 31 December 20. (Rod Brown; C&amp;W) (Achieved)</li> <li>Develop a Homelessness Reduction Action Plan by 31 March 21. (Rod Brown; C&amp;W)</li> <li>Work in partnership with GLL and agree actions to support the return of a COVID Secure venue by 30 September 20. (Rod Brown; C&amp;W) (Achieved)</li> <li>Hold an Opening Event for the new cemetery extension in accordance with appropriate COVID Secure arrangements by 31 March 21. (Rod Brown; C&amp;W)</li> <li>Develop the Council's continued response to the COVID-19 pandemic and prepare for the next stages, including any changes to Government directions by 31 March 21. (Gillian McTaggart; S&amp;R)</li> <li>Develop Recovery plans for the Community and Wellbeing Centre, Harrier Centre and Pavilions by 31 December 20. (Ian Dyer; E&amp;SC) (Achieved)</li> </ul> <p><u>Statistical Targets</u></p> <ul style="list-style-type: none"> <li>Less than 40 households living in emergency nightly paid temporary accommodation per month. (Rod Brown; C&amp;W) (January: 90)</li> <li>At least 30 households supported through the rent deposit scheme by 31 March 2021. (Rod Brown; C&amp;W) (January: 34 households) (Achieved)</li> <li>At least 5 additional households accommodated through the private sector leasing scheme by 31 March 2021. (Rod Brown; C&amp;W)</li> <li>Process new Housing Benefit claims within an average time of 28 days. (Judith Doney; S&amp;R) (January 26.08 days)</li> <li>Process Housing Benefit change of circumstances within an average time of 11 days. (Judith Doney; S&amp;R) (January 3.82days)</li> <li>93% of all food businesses rated as 3-5 within the food hygiene ratings by 31 March 2021. (Rod Brown; E&amp;SC) (January 97.5%)</li> </ul>	<ul style="list-style-type: none"> <li>Local Plan (Viv Evans; L&amp;PP):               <ul style="list-style-type: none"> <li>Complete the next stages in preparation for the Regulation 18 Consultation reporting to the LPP Committee by 31 December 20.</li> <li>Start preparation for the Regulation 19 stage by 31 March 21.</li> </ul> </li> <li>Deliver the CIL Projects Scheme allocation by 30 September 20. (Gillian McTaggart; E&amp;SC) (Achieved)</li> <li>Report options for the development of the Wells site to S&amp; R Committee by 31 October 20. (Mark Shephard; S&amp;R) (Achieved)</li> <li>Develop and deliver an Economic Recovery Action by 31 March 21. (Kathryn Beldon; S&amp;R)</li> </ul> <p><u>Statistical Targets</u></p> <ul style="list-style-type: none"> <li>*Number of major planning applications (MHCLG) received (Viv Evans; Planning) (January 2; January YTD: 13)</li> <li>*Number of non-major planning applications (MHCLG) received (Viv Evans ; Planning) (January 68; January YTD: 617)</li> <li>At least 60% of major planning applications decided in time. (Viv Evans; Planning) (January 100%; January YTD 83%)</li> <li>At least 70% of non-major planning applications decided in time (Viv Evans; Planning) (January 58.46%; January YTD 85.64%)</li> <li>No more than ten per cent of major planning applications allowed at appeal (using the two-year rolling assessment period defined by the government). (Viv Evans; Planning)</li> <li>*The number of officer recommendations overturned by the Planning Committee (Viv Evans; Planning) (As at Q3, 2 applications overturned at Planning Committee. In addition one further one was issued in the quarter from an earlier meeting)</li> </ul>	<ul style="list-style-type: none"> <li>Develop Recovery Plans for the Playhouse, Bourne Hall and Ewell Court House by 31 October 20. (Mark Shephard; C&amp;W) (Achieved)</li> </ul> <p><u>Smart and Connected</u></p>	<ul style="list-style-type: none"> <li>ICT Road Map (Judith Doney; S&amp;R):               <ul style="list-style-type: none"> <li>Implement Phase 1 of Abavus for Operational Services by 31 October 20 (Achieved)</li> <li>Implement Phase 2 of Abavus for Operational Services by 31 March 21</li> <li>Improve the remote working experience for members and officers by introducing collaborative working tools by 31 March 21</li> <li>Test the ICT Business Continuity Plan once the new datacentre is fully operational by 31 March 21</li> </ul> </li> <li>Financial Resilience (Lee Duffy; S&amp;R)               <ul style="list-style-type: none"> <li>Report to S&amp;R Committee on the financial implications to the 20/21 Budget arising from the impact of COVID-19 by 31 July 20. (Achieved)</li> <li>Update the MTFs and report to S&amp;R Committee by 31 January 21. (Achieved)</li> </ul> </li> <li>Revise and deliver the Capital Programme 2020/21 by 31 March 2021. (Lee Duffy; S&amp;R)</li> <li>Support delivery of the Finance Peer Review by the LGA team reporting findings and an Action Plan to S&amp;R Committee by 31 March 21. (Lee Duffy; S&amp;R)</li> <li>Deliver the HR work plan for 2020/21 by 31 March 21. (Shona Mason; S&amp;R)</li> <li>Develop a Communications Review Action Plan and implement short and medium term recommendations by 31 March 21. (S Mason; S&amp;R)</li> <li>Complete a procurement options appraisal for the supply of agency staff by 31 December 20. (Shona Mason; S&amp;R) (Achieved)</li> <li>Complete the 2020/21 stages of the Electoral Boundary Review by 31 March 21. (Amardip Healy; S&amp;R)</li> <li>Operate virtual committee meetings subject to central and local COVID-19 arrangements by 31 March 21. (A Healy; S&amp;R)</li> <li>Review and update Part 5 of the Constitution and agree a Planning Code of Practice by 31 March 21. (A Healy; S&amp;R)</li> <li>Develop options for a sustainable model of building control by 31 March 21. (Viv Evans; S&amp;R)</li> <li>To support the MTFs, identify commercial property suitable for purchase in line with agreed criteria by 31 March 21. (Mark Shephard; S&amp;R)</li> </ul> <p><u>Statistical Targets</u></p> <ul style="list-style-type: none"> <li>At least 99.0% of Business Rates to be collected (J Doney; S&amp;R) (January: Profile 92.20%; Actual 91.18%)</li> <li>At least 98.4% of Council Tax collected. (J Doney; S&amp;R) (January: Profile 97.00%; Actual 95.60%)</li> </ul>

**Key:** Achieved or on target; achieved, but not in accordance with target date; slightly off target not a major concern or slippage; off target / unlikely to be achieved for projected year or not achieved; No data (italics); Information only indicator (\* asterisk)

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### Commentary on Targets Assigned Red and Amber Status as at end January 2021

	Target	Status as at end January 2021	Responsible Officer/Committee	Commentary
1.	Identify the potential for a shared service for Grounds Maintenance by 31 March 21	Red	Ian Dyer; Environment & Safe Communities Committee	Target put on hold due to second lock down. This has been identified as a service review for 2021/22 to support the savings outlined in the Medium Term Financial Strategy.
2.	Graffiti – remove 95% of graffiti on council owned land within 5 working days of being reported to Operational Services.	Red	Ian Dyer; Environment & Safe Communities Committee	January graffiti removal percentages affected by officer absences.
3.	Hold an Opening Event for the new cemetery extension in accordance with appropriate COVID Secure arrangements by 31 March 21.	Red	Rod Brown; Community & Wellbeing Committee	Event planned for April due to Government COVID-19 restrictions in place.
4.	Less than 40 households living in emergency nightly paid temporary accommodation per month.	Red	Rod Brown; Community & Wellbeing Committee	The Housing Team has placed a further 27 households in January and February, whilst maintaining overall figure below 100. In addition, the Team continues to accommodate those housed through the Ministry of Housing, Communities and Local Government's 'Everyone-in' scheme. Those households continue to be funded and there are 33 households funded through this scheme
5.	Complete the next stages in preparation for the Regulation 18 Consultation reporting to the LPP Committee by 31 December 20.	Red	Viv Evans; Licensing & Planning Policy Committee	The previous Local Plan Programme was published in August 2020. It identified a number of different milestones including public consultation under Regulation 18 in November – December 2020. Timescales have slipped due to various Government announcements proposing specific changes to the planning system and more wider significant reforms to planning. This has been compounded by the continued challenges created

	Target	Status as at end January 2021	Responsible Officer/Committee	Commentary
				by the coronavirus pandemic. Following clarification from the Government regarding the various proposals for change and on the likely timeframe, the local plan programme has been revised and approved by the Licensing & Planning Policy Committee on 4 March 2021. The Regulation 18 consultation is now proposed for the winter 2021.
6.	Review and update Part 5 of the Constitution and agree a planning Code of Practice by 31 March 21	Red	Amardip Healy, Strategy & Resources Committee	Not all of Part 5 will now be updated by year end. Standing Orders on Public Questions Report went to Standards Committee on 18 January 2021. A Working Party was established to review current arrangements.
7.	<u>ICT Road Map</u> Implement Phase 2 of Abavus for Operational Services by 31 March 21	Red	Judith Doney; Strategy & Resources Committee	This project has been delayed due to the COVID-19 pandemic.  Work is progressing on Phase 2 of Abavus with the next module for Bulky Waste collection due to go live in Q1 of 2021/22.
8.	Test the ICT Business Continuity Plan once the new datacentre is fully operational by 31 March 21	Red	Judith Doney; Strategy & Resources Committee	This project has been delayed due to the COVID-19 pandemic.  The ICT Business Continuity Plan test is now due to take place in Quarter 1 of 2021/22.
9.	At least 5 additional households accommodated through the private sector leasing scheme by 31 March 2021	Amber	Rod Brown; Community & Wellbeing Committee	Limited progress linked to recruitment to a new Temporary Accommodation Assistant post. Originally this was planned for February 2020. However recruitment was unsuccessful and the post was put on hold during COVID-19 pandemic. Post recruited to mid-January 2021.

	Target	Status as at end January 2021	Responsible Officer/Committee	Commentary
10.	<u>Local Plan</u> Start preparation for the Regulation 19 stage by 31 March 21.	Amber	Viv Evans; Licensing & Planning Policy Committee	Sustainability Appraisal not yet commissioned. Revised Local Plan timetable approved by the Licensing & Planning Policy Committee March 2021.
11.	<u>ICT Road Map</u> Improve the remote working experience for members and officers by introducing collaborative working tools by 31 March 21	Amber	Judith Doney; Strategy & Resources Committee	This project has been delayed due to the COVID-19 pandemic.  The roll out of Microsoft 365 is now underway and is expected to be completed by 30 November 2022.
12.	Deliver the HR work plan for 2020/21 by 31 March 21.	Amber	Shona Mason; Strategy & Resources Committee	HR Work Plan comprises the delivery of numerous guidance documents to support the Council's recovery and to support staff. The majority of the individual elements are on target or have been implemented, such as guidance to staff on working at home, wellbeing and mental health support. However, guidance on a working from home strategy has slipped behind timetable with further development required following consideration by the Human Resources Panel in December 2020. A virtual Managers' Huddle is yet to be held.
13.	Develop a Communications Review Action Plan and implement short and medium term recommendations by 31 March 21.	Amber	Shona Mason; Strategy & Resources Committee	Action Plan presented to Strategy & Resources Committee on 22 September. Work against targets progressing.
14.	At least 99.0% of Business Rates to be collected.	Amber	Judith Doney; Strategy & Resources Committee	1.02% under January Profile Target

	Target	Status as at end January 2021	Responsible Officer/Committee	Commentary
15.	At least 98.4% of Council Tax collected.	Amber	Judith Doney; Strategy & Resources Committee	1.4% under January Profile Target

## WORK PROGRAMME 2021/22

<b>Head of Service:</b>	Gillian McTaggart, Head of Policy, Performance & Governance
<b>Wards affected:</b>	(All Wards);
<b>Urgent Decision?(yes/no)</b>	No
<b>If yes, reason urgent decision required:</b>	
<b>Appendices (attached):</b>	<b>Appendix 1:</b> Work Programme 2021/22

### Summary

This report presents the Committee with a work programme for 2021/22.

### Recommendation (s)

#### The Committee is asked to:

- (1) approve the work programme 2021/22 attached at Appendix 1.

## 1 Reason for Recommendation

- 1.1 Paragraph 1.2(d) of the Overview and Scrutiny Procedure Rules states that the Committee is responsible for approving an annual Overview and Scrutiny Work Programme, including the programme of any sub-committees or panels.

## 2 Background

- 2.1 In accordance with paragraph 1 of the Overview and Scrutiny Procedure Rules a draft work programme 2021/22 has been prepared and is attached at Appendix 1. This work programme has been developed to ensure that the Committee meets its responsibilities set out in its Terms of Reference. The work programme remains flexible across the year to enable the Committee to add or move items according to need.
- 2.2 The work programme identifies those items for consideration by the Committee at its four formal meetings held across the year. No items for review by a sub-committee or panel have been identified at this time.

- 2.3 The work programme covers both audit and scrutiny functions of the Committee. The Annual Internal Audit Report and Opinion 2020/21 has been scheduled for the June 2021 meeting together with the Annual Governance Statement 2020/21 to ensure the Council meets key dates associated with the Statement of Accounts 2020/21. Regular internal audit progress reports which set out progress made against the audit plan 2021/22 are scheduled across the year. Progress made to implement external audit recommendations will be reported to the Committee in February 2021. Lastly, the April 2021 meeting includes an item on the draft 2022/23 Internal Audit Plan and Charter.
- 2.4 Regular performance management reports have been scheduled – a 2020/21 end of year report in June and a six monthly progress report for 2021/22 in November. In line with these reports, an end of year 2020/21 budget report will be presented in June and a six monthly 2021/22 budget progress report in November.
- 2.5 Three annual reports are scheduled across the year:
  - 2.5.1 Use of Delegated Powers Annual Report
  - 2.5.2 Annual Report on the Regulation of Investigatory Powers Act 2000
  - 2.5.3 Risk Management Framework Annual Report.
- 2.6 Lastly, the work programme contains the slightly delayed Annual Report of the Committee for 2020/21 as well as the Annual Report for 2021/22. Both of these reports will need to be presented to Council following approval.
- 2.7 As mentioned in paragraph 2.1 above, the programme will remain flexible across the year, this will be particularly important given the on-going implications of the COVID-19 pandemic. The items included in the work programme for the June Committee meeting are more likely to be subject to change than the latter meetings as we move to the next recovery phase, this may result in some reports being deferred to the November meeting.

### **3 Risk Assessment**

#### Legal or other duties

- 3.1 Impact Assessment
  - 3.1.1 No implications for the purposes of this report.
- 3.2 Crime & Disorder



3.2.1 The Crime & Disorder Committee has a responsibility to review the actions and decisions of the local Community Safety Partnership on an annual basis. The work programme enables the Committee to meet this particular responsibility.

3.3 Safeguarding

3.3.1 No implications for the purposes of this report.

3.4 Dependencies

3.4.1 Completion of the Council's Financial Accounts 2020/21 are dependent upon consideration of the Annual Internal Audit Report and Opinion 2020/21 as well as the Annual Governance Statement 2020/21 at the June 2021 meeting.

3.5 Other

3.5.1 No implications for the purposes of this report.

**4 Financial Implications**

4.1 No implications for the purposes of this report.

4.2 **Section 151 Officer's comments:** None arising from the contents of this report.

**5 Legal Implications**

5.1 None arising from the contents of this report.

5.2 **Monitoring Officer's comments:** None arising from the contents of this report.

**6 Policies, Plans & Partnerships**

6.1 **Council's Key Priorities:** The following Key Priorities are engaged:

6.1.1 Green & Vibrant – A better place to live where people enjoy their surroundings

6.1.2 Safe & Well – A place where people feel safe, secure and lead healthy, fulfilling lives

6.1.3 Opportunity & Prosperity – A successful place with a strong, dynamic local economy where people can thrive

6.1.4 Smart & Connected – Alive and connected socially, economically, geographically and digitally

6.1.5 Cultural & Creative – A centre for cultural and creative excellence and inspiration

6.1.6 Effective Council – Engaging, responsive and resilient Council

6.2 **Service Plans:** The matter is not included within the current Service Delivery Plan.

6.3 **Climate & Environmental Impact of recommendations:** none for the purposes of this report.

6.4 **Sustainability Policy & Community Safety Implications:** The work programme includes scrutiny of the actions and decisions of the Community Safety Partnership.

6.5 **Partnerships:** none for the purposes of this report.

## 7 Background papers

7.1 The documents referred to in compiling this report are as follows:

### **Previous reports:**

- Annual Report 2019/20, Audit, Crime & Disorder and Scrutiny Committee, 19 November 2020.

### **Other papers:**

- Overview and Scrutiny Terms of Reference, Part 3, Responsibility for Functions, Constitution.

**Draft Audit, Crime & Disorder and Scrutiny Committee  
Work Programme 2021/22**

MEETING	ITEMS FOR CONSIDERATION BY FULL COMMITTEE
<b><i>June 2021</i></b>	<ul style="list-style-type: none"> <li>• Internal Audit Progress Report 2020/21</li> <li>• Annual Internal Audit Report &amp; Opinion 2020/21</li> <li>• Annual Governance Statement 2020/21</li> <li>• Four Year Plan: Year End Performance Report 2020/21</li> <li>• Year End Budget Report 2020/21</li> <li>• Use of Delegated Powers Annual Report</li> <li>• Annual Report on the Regulation of Investigatory Powers Act 2000</li> <li>• Update on Compliance with the Surveillance Camera Code of Practice</li> <li>• Annual Report 2020/21 (To be presented to Full Council)</li> <li>• Work Programme 2021/22</li> </ul>
<b><i>November 2021</i></b>	<ul style="list-style-type: none"> <li>• Internal Audit Progress Report 2021/22</li> <li>• Risk Management Framework Annual Report</li> <li>• Four Year Plan: Six Monthly Performance Report 2021/22</li> <li>• Six Monthly Budget Report 2021/22</li> <li>• Work Programme 2021/22</li> </ul>
<b><i>February 2022</i></b>	<ul style="list-style-type: none"> <li>• Internal Audit Progress Report 2021/22</li> <li>• Annual Governance Statement and District Auditor's Audit Findings, Progress Against Action Plans</li> <li>• Work Programme 2021/22</li> </ul>
<b><i>April 2022</i></b>	<ul style="list-style-type: none"> <li>• Internal Audit Progress Report 2021/22</li> <li>• Internal Audit Plan 2022/23 and Internal Audit Charter 2022/23</li> <li>• Annual Report 2021/22 (To be presented to Full Council) and Draft Work Programme 2021/22</li> </ul>

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