**Report of Corporate Assurance Manager**

**To**

**GOVERNANCE AND STANDARDS COMMITTEE**

**On**

**2 June, 2021**

# **GOVERNANCE AND STANDRADS COMMITTEE’S WORK PROGRAMME FOR THE PERIOD 23 JUNE 2021 – 31 MARCH 2022**

##### **SUMMARY**

1.1 The proposed work programme for the Governance and Standards Committee for the period 23 June 2021 – 31 March 2022 is enclosed as Table 1, detailing for each scheduled meeting the reports that will be considered and their link to the Committee’s Terms of Reference as stated in the Council’s Constitution.

1.2 Members of the Governance and Standards Committee are invited to suggest additional topics for inclusion in the work programme which are in accordance with the Committee’s Terms of Reference.

#### **2 RECOMMENDATION**

 i) That the proposed work programme for the period 23 June 2021 – 31 March 2022, amended with any additional topics suggested by the members of the Governance and Standards Committee be approved.

#### **3 BACKGROUND**

3.1 The Corporate Assurance Manager has produced the enclosed work programme (Table 1) which covers all the Committee’s Terms of Reference and ensures that it carries out its role effectively.

3.2 The format of the work programme shows for each scheduled meeting the nature of the reports that will be presented to the Committee, the relevant Terms of Reference, as stated in the Council’s Constitution, that they will cover and the lead officer for the individual reports.

3.3 Any additional reports produced by External Audit or other relevant external inspectorates on appropriate topics will be presented to the next available Committee meeting so that implementation of the agreed actions can be monitored.

3.4 Also any reviews that attain an “Unsatisfactory” assurance level or any work forwarded to the Committee by the Head of Paid Service, S151 Officer or Monitoring Officer, including proposed revisions to the Council’s Constitution, will be considered at the next available meeting unless a special meeting is deemed to be appropriate.

3.5 Reports in respect of Charitable Trusts will also be presented to the Committee at designated meetings. There will be an annual Trusts meeting in November and a training session and update in May each year.

3.6 To supplement the work programme, training and development sessions will be provided as required.

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| **Table 1 – Governance and Standards Committee’s Work Programme for 23 June 2021 – 31 March 2022** |
| Meeting | Reports | Terms of Reference | Lead Officer |
| 23 June 2021 | 1. Corporate Governance Review | To monitor the effective development and operation of the internal control, risk management and corporate governance within the Council and within joint working and partnership arrangements | Corporate Assurance Manager |
|  | 2. Corporate Assurance Manager’s Annual Report – 2020/2021 | To consider the Corporate Assurance Manager’s annual report and opinion | Corporate Assurance Manager |
|  | 3. Draft Annual Governance Statement (AGS) – 2020/2021 | To approve the Annual Governance Statement | Corporate Assurance Manager |
|  | 4. Internal Audit Plan Progress Update & Proposed Plan for 2nd Quarter of 2021/2022 | To review the Internal Audit Plan, Internal Audit resources and progress with its achievement | Corporate Assurance Manager |
|  | 5. Going Concern Assessment 2020/2021 | To approve the Council's Statement of Accounts | Financial Services Manager |
| Meeting | Reports | Terms of Reference | Lead Officer |
|  | 6. Treasury Management Out Turn Report – 2020/2021 | To review the contents and operation of the Council's Annual Treasury Management & Investment Strategy and Minimum Revenue Provision Strategy | Financial Services Manager |
| 14 July 2021 | 1. Corporate Risk & Opportunity Management Arrangements – Annual Review | To monitor the effective development and operation of the internal control, risk management and corporate governance within the Council and within joint working and partnership arrangements | Corporate Assurance Manager |
|  | 2. Berry Hill Quarry Assurance Review - Progress Statement | To monitor the effective development and operation of the internal control, risk management and corporate governance within the Council and within joint working and partnership arrangements | Corporate Assurance Manager |
|  | 3. Annual report of Chair of the Governance and Standards Committee  | To submit an annual report to Council on the work undertaken by the Governance and Standards Committee | Chair of G & S Committee / Corporate Assurance Manager |
|  | 4. Update from the Monitoring Officer on matters relating to the Code of Conduct for Elected Members | To promote and maintain high standards of conduct | Head of Law and Governance |
| Meeting | Reports | Terms of Reference | Lead Officer |
|  | 5. Implementation of Internal Audit Recommendations – Position Statement | To monitor implementation of agreed recommendations | Corporate Assurance Manager |
|  | 6. Revised Contract Procedure Rules | To maintain an overview of the Council’s Contract and Procurement Rules | Corporate Assurance Manager |
| 29 September 2021 | 1. External Audit Completion Report (potentially 20 October 2021 meeting) | To receive the External Auditor's report on issues arising from the accounts, approve the actions to be taken and ensure that these are addressed | External Audit Manager / Head of Finance |
|  | 2. Approval of the AGS for 2020/2021 (potentially 20 October 2021 meeting) | To approve the Annual Governance Statement | Corporate Assurance Manager |
|  | 3. Approval of the Council’s Final Statement of Accounts for 2020/2021 (potentially 20 October 2021 meeting) | To approve the Council's Statement of Accounts  | Head of Finance |
|  | 4. Effectiveness Review | All Terms | Corporate Assurance Manager |
|  | 5. Internal Audit Plan Progress Update & Proposed Plan for 3rd Quarter of 2021/2022 | To review the Internal Audit Plan, Internal Audit resources and progress with its achievement | Corporate Assurance Manager |
| Meeting | Reports | Terms of Reference | Lead Officer |
| 20 October 2021 | 1. Corporate Risk & Opportunity Management – Update Report | To monitor the effective development and operation of the internal control, risk management and corporate governance within the Council and within joint working and partnership arrangements | Corporate Assurance Manager |
|  | 2. External Audit Completion Report (potentially 29 September 2021 meeting) | To receive the External Auditor's report on issues arising from the accounts, approve the actions to be taken and ensure that these are addressed | External Audit Manager / Head of Finance |
|  | 3. Approval of the AGS for 2020/2021 (potentially 29 September 2021 meeting) | To approve the Annual Governance Statement | Corporate Assurance Manager |
|  | 4. Approval of the Council’s Final Statement of Accounts for 2020/2021 (potentially 29 September 2021 meeting) | To approve the Council's Statement of Accounts  | Head of Finance |
|  | 5. Implementation of Internal Audit Recommendations – Position Statement | To monitor implementation of agreed recommendations | Corporate Assurance Manager |
| Meeting | Reports | Terms of Reference | Lead Officer |
|  | 6. Treasury Management Update | To review the contents and operation of the Council's Annual Treasury Management & Investment Strategy and Minimum Revenue Provision Strategy | Financial Services Manager |
| 17 November 2021 | Annual Trusts Meeting |  |  |
|  15 December 2021 | 1. AGS Actions – Update Report | To monitor the effective development and operation of the internal control, risk management and corporate governance within the Council and within joint working and partnership arrangements | Corporate Assurance Manager |
|  | 2. Counter Fraud & Corruption Plan - Progress Statement | To approve and monitor the Council’s Whistleblowing Code its anti-fraud and corruption strategy | Corporate Assurance Manager |
|  | 3. Delivery of G & S Committee’s Work Programme - Position Statement | All Terms | Corporate Assurance Manager |
| Meeting | Reports | Terms of Reference | Lead Officer |
|  | 4. Internal Audit Plan Progress Update & Proposed Plan for 4th Quarter of 2021/2022 | To review the Internal Audit Plan, Internal Audit resources and progress with its achievement | Corporate Assurance Manager |
|  | 5. Update of the Monitoring Officer on matters relating to the Code of Conduct for Elected Members | To promote and maintain high standards of conduct | Head of Law and Governance |
|  | 6. Member Development  | To oversee the arrangements for ethical standards | Head of Law and Governance |
| 26 January 2022 | 1. Corporate Risk & Opportunity Management – Update Report | To monitor the effective development and operation of the internal control, risk management and corporate governance within the Council and within joint working and partnership arrangements | Corporate Assurance Manager |
|  | 2. Local Government & Social Care Ombudsman – Annual Report  | To receive and review the annual report from the Local Government Ombudsman  | Customer Services Manager |
| Meeting | Reports | Terms of Reference | Lead Officer |
|  | 3. AGS Actions – Update Report | To monitor the effective development and operation of the internal control, risk management and corporate governance within the Council and within joint working and partnership arrangements | Corporate Assurance Manager |
|  | 4. Implementation of Internal Audit Recommendations – Position Statement | To monitor implementation of agreed recommendations | Corporate Assurance Manager |
| 23 February 2022 | 1. Investment Strategies  | To review the contents and operation of the Council's Annual Treasury Management & Investment Strategy | Financial Services Manager |
|  | 2. External Audit Strategy Memorandum – 2021/2022  | To receive reports from the External Auditors | External Audit / Financial Services Manager  |
|  | 3. Counter Fraud & Corruption Plan - Progress Statement | To approve and monitor the Council’s Whistleblowing Code its anti-fraud and corruption strategy | Corporate Assurance Manager |
| Meeting | Reports | Terms of Reference | Lead Officer |
| 30 March 2022 | 1. Internal Audit Plan for 1st Quarter of 2022/2023 & Charter  | To review the Internal Audit Plan, Internal Audit resources ad progress with its achievement | Corporate Assurance Manager |
|  | 2. Approval of Accounting Policies – 2021/2022 | To approve the Council's Statement of Accounts | Financial Services Manager |
|  | 3. Corporate Risk & Opportunity Management Arrangements – Annual Review | To monitor the effective development and operation of the internal control, risk management and corporate governance within the Council and within joint working and partnership arrangements | Corporate Assurance Manager |
|  | 4. Governance and Standards Committee Work Programme for 2022/2023 | All Terms | Corporate Assurance Manager |
|  | 5. Governance and Standards Committee Training Programme for 2022/2023 | All Terms | Corporate Assurance Manager |
|  | 6. Implementation of Internal Audit Recommendations – Position Statement | To monitor implementation of agreed recommendations | Corporate Assurance Manager |

#### **OPTIONS AVAILABLE**

#### 4.1 The options available are to either approve the enclosed work programme or agree amendments to it.

**5 RISK ASSESSMENT OF RECOMMENDATIONS AND OPTIONS**

5.1 The Public Sector Internal Audit Standards will not be fully complied with unless the Governance & Standards Committee has an approved work programme

#### **6 ALIGNMENT TO COUNCIL PRIORITIES**

6.1 The need to maintain an effective Governance and Standards Committee is fundamental to any Council as it endeavours to achieve its priorities.

#### **7 IMPLICATIONS**

(a) Relevant Legislation

 Regulation 5 of the Accounts and Audit Regulations 2015 specifically requires 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

(b) Human Rights

 The Human Rights Act 1998 is not engaged as no particular individual is directly affected by the decision

(c) Equality and Diversity

 An impact assessment has been completed and it concludes that the proposed actions are fair and equitable in their content and are not discriminative on the grounds of equality and human rights

(d) Climate change and environmental sustainability

 The proposed actions in the report do not have any environmental implications and have no effect on the climate

(e) Crime and Disorder

 There are no implications for crime and disorder

(f) Budget/Resource

 There are no implications

**8** **COMMENTS OF STATUTORY OFFICERS**

 Monitoring Officer – – An effective work programme for the Committee supports the Council’s governance assurance framework

Section 151 Officer – No specific comments

**9 CONSULTATION**

9.1 Consultation has also taken place with the Financial Services Manager

**10** **BACKGROUND PAPERS**

 None

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