

Governance and Ethics Committee

Monday, 07 September 2020 at 10:30

County Hall, West Bridgford, Nottingham, NG2 7QP

AGENDA

- | | | |
|----|--|----------|
| 1 | Minutes of last meeting held on 21 July 2020 | 3 - 6 |
| 2 | Apologies for Absence | |
| 3 | Declarations of Interests by Members and Officers:- (see note below)
(a) Disclosable Pecuniary Interests
(b) Private Interests (pecuniary and non-pecuniary) | |
| 4 | Local Government and Social Care Ombudsman's Annual Review Letter 2020 | 7 - 14 |
| 5 | National Audit Office Guidance for Audit and Risk Committees on Financial Reporting and Management | 15 - 26 |
| 6 | Corporate Risk Management Update | 27 - 44 |
| 7 | Internal Audit 20-21 Term 1 Report & and 2020-21 Term 2 Plan | 45 - 58 |
| 8 | Annual Fraud Report 2019-20 | 59 - 76 |
| 9 | Governance and Ethics Committee Annual Report 2019-20 | 77 - 90 |
| 10 | External Audit Update | 91 - 92 |
| 11 | Update on use of the Councillors' Divisional Fund | 93 - 128 |

12	Update on use of Resources by Councillors	129 - 140
13	Work Programme	141 - 144

Notes

- (1) Councillors are advised to contact their Research Officer for details of any Group Meetings which are planned for this meeting.
- (2) Members of the public wishing to inspect "Background Papers" referred to in the reports on the agenda or Schedule 12A of the Local Government Act should contact:-

Customer Services Centre 0300 500 80 80

- (3) Persons making a declaration of interest should have regard to the Code of Conduct and the Council's Procedure Rules. Those declaring must indicate the nature of their interest and the reasons for the declaration.

Councillors or Officers requiring clarification on whether to make a declaration of interest are invited to contact Keith Ford (Tel. 0115 977 2590) or a colleague in Democratic Services prior to the meeting.

- (4) Councillors are reminded that Committee and Sub-Committee papers, with the exception of those which contain Exempt or Confidential Information, may be recycled.
- (5) This agenda and its associated reports are available to view online via an online calendar - <http://www.nottinghamshire.gov.uk/dms/Meetings.aspx>

Meeting GOVERNANCE AND ETHICS COMMITTEE

Date Tuesday 21 July 2020 (commencing at 2.00pm)

membership

Persons absent are marked with 'A'

COUNCILLORS

Bruce Laughton (Chairman) **A**
Kevin Rostance (Vice-Chairman)

Nicki Brooks
Steve Carr
Kate Foale
John Handley
Errol Henry JP

Rachel Madden **A**
Phil Rostance
Keith Walker
Martin Wright

SUBSTITUTE MEMBERS

Andy Sissons for Bruce Laughton

OFFICERS IN ATTENDANCE

Mark Davies
Heather Dickinson
Rob Disney
Keith Ford
Kaj Ghattaora
Keith Palframan
Marjorie Toward
Nigel Stevenson
Linda Walker

OTHERS IN ATTENDANCE

John Gregory Grant Thornton – External Auditors

1. CHAIRMAN AND VICE-CHAIRMAN

RESOLVED 2020/015

That the appointment by Full Council on 11 June 2020 of Councillor Bruce Laughton as Chairman and Councillor Kevin Rostance as Vice-Chairman of the Committee for the 2020-21 municipal year be noted.

2. MEMBERSHIP

RESOLVED 2020/016

That the membership of the Committee for the 2020-21 municipal year be noted as follows:

Councillors Bruce Laughton, Kevin Rostance, Nicki Brooks, Steve Carr, Kate Foale, John Handley, Errol Henry JP, Rachel Madden, Phil Rostance, Keith Walker and Martin Wright.

3. MINUTES

The Minutes of the last meeting held on 4 March 2020, having been previously circulated, were confirmed and signed by the Chairman.

4. APOLOGIES FOR ABSENCE

The following apologies for absence were reported:-

Councillor Bruce Laughton – other reasons
Councillor Rachel Madden – other reasons.

5. DECLARATIONS OF INTEREST BY MEMBERS AND OFFICERS

None

6. FINANCIAL REGULATIONS WAIVERS 2019 20

Kaj Ghattaora, Group Manager, Procurement, introduced the report which informed Members of the outcomes of requests to waive Financial Regulations in the last financial year and those received in relation to the Council's COVID-19 response.

RESOLVED: 2020/017

That the continued progress in keeping Financial Regulations waivers to a minimum be noted, with no further actions were required at this stage.

7. STATEMENT OF ACCOUNTS 2019-20 – ACCOUNTING POLICIES

Nigel Stevenson, Service Director, Finance, Infrastructure and Improvement, introduced the report which explained the proposed Accounting Policies used in creating the Council's Statement of Accounts for 2019-20 and sought the Committee's support to recommend them to Policy Committee for approval.

RESOLVED: 2020/018

That the amended Accounting Policies be recommended to Policy Committee for approval.

8. INFORMING THE AUDIT RISK ASSESSMENT - 2019-20 STATEMENT OF ACCOUNTS

John Gregory, Engagement Lead, Grant Thornton (the Council's external auditors) introduced the report which informed Members of the requirement for the external auditors to provide information regarding the Council's approach to dealing with fraud, litigation, laws and regulations as part of their audit of the Council's accounts.

RESOLVED: 2020/019

That no further actions or information was required at this stage.

9. LOCAL CODE OF CORPORATE GOVERNANCE AND ANNUAL GOVERNANCE STATEMENT – 2019-20

Rob Disney, Group Manager – Assurance, introduced the report which sought approval for the Annual Governance Statement 2019-20.

In response to issues raised by Members in discussion, it was clarified that:

- further work was being undertaken around the training offer to the Council's elected Members;
- the technical and legal restrictions around hybrid meetings (whereby Members could attend a meeting in person or virtually) would be further explored, with reference to any changes in the lockdown rules and existing practice from other Councils;
- seats on committees were allocated to non-aligned Councillors in accordance with the legal requirements.

RESOLVED: 2020/020

- 1) That the Annual Governance Statement 2019-20, as appended to the report, be approved.
- 2) That authority be delegated to the Chief Executive, in consultation with the Leader of the Council, to make any updates required to the Statement prior to its final publication in November 2020, with any significant changes reported back to a subsequent meeting of the Committee.

10. HEAD OF INTERNAL AUDIT'S ANNUAL REPORT 2019-20

Rob Disney, Group Manager – Assurance, introduced the report which included his opinion on the adequacy of the Council's arrangements for governance, risk management and control.

RESOLVED: 2020/021

That no further actions or follow-up reports were required by the Committee.

11. UPDATE ON THE NATIONAL AUDIT OFFICE CYBER SECURITY AND INFORMATION RISK GUIDANCE FOR AUDIT COMMITTEES

Mark Davies, Interim Head of ICT, introduced the report which provided an update review of the Council's assessment against the National Audit Office's cyber security requirements.

RESOLVED: 2020/022

- 1) That the Council's compliance with the National Audit Office's cyber security requirements be agreed.
- 2) That no further actions or information were required on this issue at this stage.

12. LOCAL GOVERNMENT ASSOCIATION – CONSULTATION ON DRAFT MODEL MEMBER CODE OF CONDUCT

Heather Dickinson, Group Manager, Legal and Democratic, introduced the report which sought approval for the general content of the consultation response and for authority to be delegated to the Monitoring Officer to finalise the response in consultation with the Chairman of the Committee.

During discussions, Members raised the following issues:-

- a clearer definition of 'civility' in this specific context would be helpful;
- with regard to complaints processes, the importance of setting out timescales and a means of confirming, in a transparent way, that appropriate actions are being taken in response to complaints, was underlined;
- a lack of meaningful sanctions against conduct breaches remained.

RESOLVED: 2020/023

- 1) That the general content of the Council's proposed response to the Draft Model Member Code of Conduct be updated to reflect Members' discussions and authority be delegated to the Monitoring Officer to finalise the detailed response in consultation with the Chairman of the Committee, for submission to the Local Government Association.

13. WORK PROGRAMME

RESOLVED: 2020/024

That the work programme be agreed, with no further changes required.

The meeting closed at 3.05 pm.

CHAIRMAN

7 September 2020**Agenda Item: 4****REPORT OF THE SERVICE DIRECTOR FOR CUSTOMERS, GOVERNANCE
AND EMPLOYEES****LOCAL GOVERNMENT & SOCIAL CARE OMBUDSMAN'S ANNUAL REVIEW
LETTER 2020****Purpose of the Report**

1. To inform the Committee about Local Government & Social Care Ombudsman's (LGSCO) Annual Review letter.

Information

2. The LGSCO provides a free, independent and impartial service to members of the public. It looks at complaints about Councils and other organisations. It only looks at complaints when they have first been considered by the Council and the complainant remains dissatisfied. The LGSCO cannot question a Council's decision or action solely on the basis that someone does not agree with it. However, if the Ombudsman finds that something has gone wrong, such as poor service, a service failure, delay or bad advice and that a person has suffered as a result, the LGSCO aims to get the Council to put it right by recommending a suitable remedy.
3. The LGSCO publishes its decisions on its website (www.lgo.org.uk/). The decisions are anonymous, but the website can be searched by Council name or subject area. A copy of the LGSCO's annual letter is uploaded onto their website and the Council's performance data can be found as part of an interactive map <https://www.lgo.org.uk/your-councils-performance>
4. The LGSCO's Annual letter is attached at Annex A. The Ombudsman received 102 complaints in relation to this Council during the year and made decisions on 104 cases.
5. Full investigations were undertaken in 40 complaints, 34 were closed after initial enquiries were made of the Council, 25 cases were referred back to the Council as the complainants had either not complained to us previously, or had not completed our process, and 5 were found to be invalid complaints.
6. The LGSCO upheld 27 complaints that they investigated (68% compared to an average of 66% in similar authorities). He is satisfied that we successfully implemented 100% of

recommendations made; and in 11% of upheld cases we had provided a satisfactory remedy before the complaint reached the Ombudsman, (compared to an average of 9% in similar authorities).

7. The letter refers specifically to the public report about the decision to reduce a man's personal budget for care (already reported to this committee in December 2019). The Council was asked to remedy the injustice to the service user and to implement wider service improvements to ensure lessons were learnt from this complaint. The Ombudsman notes that we have responded positively to these and welcomes the good progress that has been made in carrying out the agreed actions.

Statutory and Policy Implications

8. This report has been compiled after consideration of implications in respect of crime and disorder, data protection and information governance finance, human resources, human rights, the NHS Constitution (public health services), the public sector equality duty, safeguarding of children and adults at risk, service users, smarter working, sustainability and the environment and where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

Data Protection and Information Governance

9. The decisions referred to in this report are anonymised and will be publicly available on the Ombudsman's website.

Implications for Service Users

10. All of the complaints were made to the Ombudsman by service users, who have the right to approach the LGSCO once they have been through the Council's own complaint process.

RECOMMENDATION/S

1. That members consider whether there are any actions they require in relation to the issues contained within the report.

Marjorie Toward

Monitoring Officer and Service Director – Customers, Governance and Employees

For any enquiries about this report please contact:

Jo Kirkby, Team Manager – Complaints and Information Team

Constitutional Comments (HD (Standing))

Governance & Ethics Committee is the appropriate body to consider the content of this report. If the Committee resolves that any actions are required, it must be satisfied that such actions are within the Committee's terms of reference.

Financial Comments (RWK 24/08/2020)

There are no specific financial implications arising directly from the report.

Background Papers and Published Documents

Except for previously published documents, which will be available elsewhere, the documents listed here will be available for inspection in accordance with Section 100D of the Local Government Act 1972.

- None

Electoral Division(s) and Member(s) Affected

- All

Local Government & Social Care OMBUDSMAN

22 July 2020

By email

Mr May
Chief Executive
Nottinghamshire County Council

Dear Mr May

Annual Review letter 2020

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

Complaint statistics

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

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

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

Satisfactory remedies provided by the authority - We want to encourage the early resolution of complaints and to credit authorities that have a positive and open approach to resolving complaints. We recognise cases where an authority has taken steps to put things

right before the complaint came to us. The authority upheld the complaint and we agreed with how it offered to put things right.

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

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

This year, I issued a public report about your Council's decision to reduce a man's personal budget for care. The investigation found serious faults in how the Council had carried out its needs assessment. We found the Council's decision to reduce funding for the man's care package appeared to have been financially motivated and it had not properly focused on his specific needs.

The Council was asked to remedy the injustice to the man and to implement wider service improvements to ensure lessons were learnt from this complaint. The Council responded positively to these and I welcome the good progress that has been made in carrying out the agreed actions.

Resources to help you get it right

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

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

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

We have a well-established and successful training programme supporting local authorities and independent care providers to help improve local complaint handling. During the year, we delivered 118 courses, training more than 1,400 people. This is 47 more courses than we

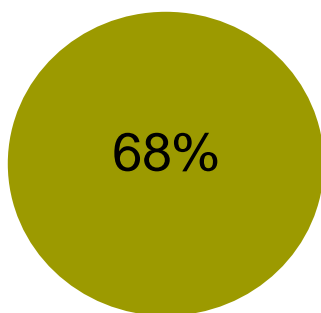
delivered last year and included more training to adult social care providers than ever before.
To find out more visit www.lgo.org.uk/training.

Yours sincerely,

A handwritten signature in black ink, appearing to be 'M King', with a stylized flourish at the end.

Michael King
Local Government and Social Care Ombudsman
Chair, Commission for Local Administration in England

Complaints upheld



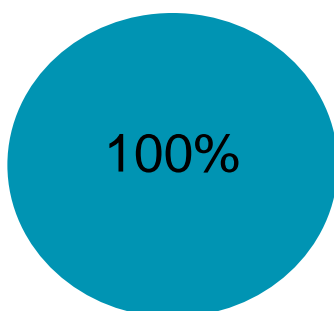
68% of complaints we investigated were upheld.

This compares to an average of **66%** in similar authorities.

27
upheld decisions

Statistics are based on a total of 40 detailed investigations for the period between 1 April 2019 to 31 March 2020

Compliance with Ombudsman recommendations



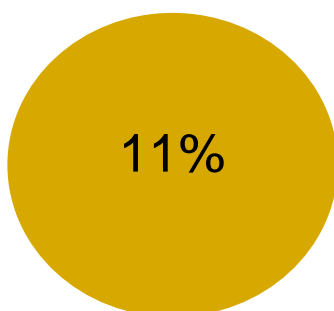
In **100%** of cases we were satisfied the authority had successfully implemented our recommendations.

This compares to an average of **100%** in similar authorities.

Statistics are based on a total of 20 compliance outcomes for the period between 1 April 2019 to 31 March 2020

- Failure to comply with our recommendations is rare. An authority with a compliance rate below 100% should scrutinise those complaints where it failed to comply and identify any learning.

Satisfactory remedies provided by the authority



In **11%** of upheld cases we found the authority had provided a satisfactory remedy before the complaint reached the Ombudsman.

This compares to an average of **9%** in similar authorities.

3
satisfactory remedy decisions

Statistics are based on a total of 40 detailed investigations for the period between 1 April 2019 to 31 March 2020

7 September 2020**Agenda Item: 4****REPORT OF SERVICE DIRECTOR FOR FINANCE, INFRASTRUCTURE &
IMPROVEMENT****NATIONAL AUDIT OFFICE GUIDANCE FOR AUDIT AND RISK COMMITTEES
ON FINANCIAL REPORTING AND MANAGEMENT****Purpose of the Report**

1. To present assurance to members on how the Council's arrangements for financial reporting and management match up against National Audit Office (NAO) guidance, and to provide an opportunity for members to request further reports on this issue.

Information

2. The NAO publishes regular guidance documents for use by public sector audit committees, covering a range of topics. The Group Manager – Assurance monitors the release of these and, where topics are deemed to be of interest and relevance to the work of the Governance & Ethics Committee, arranges for a self-assessment against the guidance to be reported to the Committee.
3. The latest guidance covers the impact of Covid-19 on the arrangements public bodies have for financial reporting and management. The guidance is relevant to the remit of this Committee, and timely in advance of the presentation of the Statement of Accounts for 2019/20.
4. The guide is part of a programme of work to be undertaken by the NAO to support Parliament in its scrutiny of the UK government's response to COVID-19, but it is also intended that other public sector bodies may make use of the document. The aim is to report in a risk-based way on programmes and activities being undertaken by government departments and other organisations, and also to support organisations' own internal scrutiny and challenge.
5. The guidance is presented in the form of questions that audit committees may wish to ask in scrutinising its organisation's financial reporting and management. The following tables present the recommended areas for scrutiny, alongside a self-assessment of this Council's arrangements.

Box A: Annual reports – questions audit and risk committees could ask

Has COVID-19 caused new risks to achieving the organisation's stated objectives?

- Does the performance report reflect the impact of COVID-19 on the organisation's performance against objectives in the year?
- Does it clearly consider whether COVID-19 influenced the organisation's ability to meet objectives?
- Does it consider the organisation's performance in general, including where this deteriorated or was below expectations?

Does the corporate governance report consider whether expenditure in response to COVID-19 was in line with parliamentary authority (regular) and in accordance with the principles of *Managing Public Money*?²

- Where this was not the case, has this been clearly disclosed?

Does the corporate governance report detail how the control environment has changed due to COVID-19 and the risks associated with these changes?

- How does the report discuss new risks in relation to COVID-19 and the associated responses to these?
- Does the report discuss how the organisation's risk appetite has changed?
- Where relevant, has any streamlining to the annual report due to COVID-19 been agreed with the relevant select committee or parent department?

6. The Authority's Statement of Accounts includes a section in the Narrative Report which outlines the considerable impact that the COVID-19 pandemic has had on the Authority. It explains that there is limited impact on the 2019/20 accounts as the pandemic only started to have a notable impact in the last two weeks of March 2020. It talks about the new COVID19 Resilience, Recovery and Renewal Committee that has been set up to review the Authority's responses. It also talks about the Financial Resilience Group that has been established to consider the financial impact of the crisis.
7. The next six-monthly report to the Improvement Change Sub-Committee on performance against the Council Plan will assess the impact of the pandemic on the achievement of the Council's objectives. Regular reports to the Policy Committee during the emergency have set out how the Council has re-prioritised its aims to ensure resources are focused on the most vulnerable service users.
8. The Annual Governance Statement for 2019/20 was approved by the Governance & Ethics Committee in July 2020. This fully recognises the impact of Covid-19 on the Council's governance framework. This incorporates actions to consider the implications for corporate risk management in the Council, with a first step being to present an updated corporate risk register on today's agenda.

Box B: Valuations – questions audit and risk committees could ask

What information has been used in determining the value of assets and liabilities?

- In the absence of timely information, how has management estimated valuations? Is this reasonable? How have changes in valuations for reasons due to COVID-19 been considered? Is there any other information that should be considered?

How have experts been used to support management in valuations?

- Where experts' work was completed before the reporting date, how has management gained comfort that the valuation remains appropriate?
- Have the experts provided any caveats on their advice? If so, how have these been considered?

What are the key assumptions used to determine valuations and how has the relative probability of various outcome scenarios been assessed?

- Have the key assumptions been disclosed clearly?

9. The impact of valuations regarding debtors have been disclosed clearly in the 2019/20 Statement of Accounts as follows. The economic impact of the COVID19 pandemic has made the estimation of debt impairment more difficult, as there is more uncertainty about the economic viability of debtors and hence their ability to settle their debts. Following discussion with colleagues in the Business Support Centre, it has been confirmed that there is no current evidence to suggest that general debtors are increasing due to COVID-19. Debtors will however continue to be monitored regularly, and should general debtors rise in 2020/21 the Authority may consider raising the impairment allowance.

Box C: Property valuations – questions audit and risk committees could ask

What data have management used for property valuations?

- Is this reasonable? Are there other data that could be used?
- Do these data consider how the market changed in late March 2020?

How have experts been used to support management in valuing property?

- Where experts' work was completed before the reporting date, how has management gained comfort that the valuation remains appropriate?
- If experts were not used for property valuations, should they have been given the current uncertainty?

Have the valuers been able to complete their work?

- If they have managed to complete their work, has a material uncertainty paragraph been included in their report?
- How has this clause been considered by management?

Where a full revaluation is not required in-year how has management valued property in the current market?

- Has management considered whether the indices used remain appropriate?

Have assets been physically verified?

- If not, how have impairment reviews been carried out? Are there any other impacts of not physically verifying property?

Is the disclosure of estimation uncertainty clear and understandable for users?

- Have all relevant sources of estimation uncertainty been disclosed?

10. When determining value for the measurement and disclosure requirements in relation to the Authority's property assets, it is likely the Authority will be required to make assumptions and estimations. Where direct, observable market data is unavailable, professional judgement is required and the Authority uses relevant experts to ensure that appropriate valuation techniques are employed, giving full consideration of risk and uncertainty. The Authority's property valuations are carried out by the valuation experts who make up part of the internal Property Asset Management team. The Finance team have worked closely with valuers to ensure that the latest RICS guidance regarding COVID-19 the Royal Institute of Chartered Surveyors (RICS) - (Valuation Practice alert – COVID-19) has been given due consideration in the preparation of providing property valuations. It should be noted that not all the properties were physically inspected, as this was neither practicable nor considered by the valuer to be necessary for the purpose of determining each valuation.

11. The Statement of Accounts discloses that each property is assessed and valued on its own merits, and the valuation is determined with due regard to any changes or uncertainties which may affect the specific property. The valuation certificate issued by the valuers makes it clear that the World Health Organisation declared a global pandemic on 11th March 2020 and the British Government put the nation into lockdown on 23rd March 2020. The significance of

these dates needs recognition as a caution in the light of their proximity to the effective valuation date (EVD) of 31st March 2020 and the unprecedented set of circumstances on which to base a judgement.

12. The valuers provide a written statement each year as to the accuracy of all the property valuations held on the Authority's asset register. For the 2019/20 Statement of Accounts, this statement confirmed that in the valuers' opinion, it is still too early to understand the impact of the COVID-19 crisis on property values. Whilst limited anecdotal evidence may exist, there was no convincing transactional evidence in the market to suggest impairment at the EVD and it is not possible to accurately predict the longevity and severity of the impact of COVID-19 on the economy. Therefore, it has been difficult to value property assets and, as a result, values have been based on the situation prior to COVID-19, on the assumption that movements will be restored when the real estate market becomes more fluid. This assumption will be reviewed in the coming months, with the likelihood that any significant body of evidence of completed transactions will not be available until later in 2020/21.

Box D: Pension schemes valuations – questions audit and risk committees could ask

Has management held discussions with pension plan actuaries regarding changes to their assumptions due to COVID-19?

- What adjustments have been made to assumptions?
- Do the actuarial assumptions represent the information available at the reporting date?

What is the availability of information to be used in determining valuation?

- Where valuation information which does not date from the year-end has been used, how has management ensured this is accurate as at the reporting date?

Have pension plan actuaries provided any caveats in their reporting?

- If so, how has management taken account of these?

13. The IAS19 report for the Council was prepared by Barnett Waddingham in May 2020, using fund asset information as at 31 March 2020. The actuarial assumptions were based on best information at that time. The report includes a sensitivity analysis assessing the impact of variations to the assumptions (+ and -) on the projected service cost and hence of the liability.

Box E: Inventory valuations – questions audit and risk committees could ask

How has management gained comfort over the quantity and condition of the stock held at the reporting date?

- If stock counts have not been possible, what alternative procedures have management completed?

How has COVID-19 impacted inventory usage?

- When do you expect this to go back to normal?
- How has this impacted valuation forecasts?

How has management valued inventory held in the context of COVID-19?

- Is this reasonable? What other methods could have been considered?

Has management had to use new suppliers/hold inventory of new goods?

- How has management assured itself that the suppliers can supply or have supplied the goods at the quality or quantity required?

14. The value of inventories disclosed in the Authority's Statement of Accounts are immaterial in nature. Nonetheless, all of the usual stock counts were able to be carried out as normal.

Box F: Completeness of liabilities – questions audit and risk committees could ask

Are liabilities complete based on your knowledge of the business and the impact of COVID-19?

- Has management completed a robust review to identify onerous contracts?
- Are there any other areas of COVID-19 impacts that are not yet considered?

Is management using the best available and most up-to-date information to value?

- Where information is not available at the reporting date, has management completed adequate procedures to assess the impact of COVID-19?

Where there is estimation uncertainty is it disclosed transparently in the financial statements?

- Does this include sensitivity analysis?

15. Assumptions made about the future and other major sources of estimation uncertainty are set out in the Statement of Accounts. In addition, the impact of the COVID-19 crisis continues to be monitored and assessed, and reports will be submitted on a regular basis to senior management teams and to Members.

Box G: Going concern – questions audit and risk committees could ask

Is management's strategy or business plan from a period pre-COVID-19?

- Has this been updated? If not, is it clear why a plan from before the outbreak remains appropriate?

Is management's forward plan robust in the context of COVID-19?

- Do forecasts represent the latest information available? Has management completed scenario-testing on its forecasts?
- Is the forward plan in line with your understanding?

Is management's going concern consideration complete?

- Has management considered different eventualities and the likelihood of each?

Is there substantial doubt over the entity's ability to continue as a going concern?

- Do the disclosures in the financial statements reflect the impact of COVID-19 transparently?

16. As part of the External Audit of the 2019/20 Statement of Accounts, the Authority was asked to complete a Going Concern Management Assessment Questionnaire. This was considered by the Committee in July 2020. The response set out the Authority's process for both setting and monitoring the annual budget, along with the budget reporting process in place. The response also set out the role of the Finance Resilience Group, which was established to consider the financial impact arising from the COVID-19 emergency. A report was also submitted to Policy Committee in June 2020, which updated Members on the impact of the COVID-19 crisis and the Authority's response and recovery planning.

Box H: Events after the reporting period – questions audit and risk committees could ask

Have management considered all relevant events after the reporting date that could impact on the organisation?

- Are these events correctly assessed as adjusting or non-adjusting events?
- Do the financial statements make clear how COVID-19 has impacted the organisation in general after the reporting period date?

Do the financial statements appropriately recognise the events identified?

- Are the financial statements appropriately adjusted for relevant adjusting events?
- Have non-adjusting events been clearly and transparently disclosed?
- Is the value of non-adjusting events and potential impact for the organisation clear?

17. The Chartered Institute of Public Finance and Accountancy (CIPFA) Code states that published statements of accounts shall reflect events after the reporting period up to the date the accounts were authorised for publication. The Service Director for Finance, Infrastructure

and Improvement authorised the Statement of Accounts on 7 July 2020. Where events taking place before this date provided information about conditions existing at 31 March 2020, the financial statements and notes reflect the impact of this information.

Box I: Control environment – questions audit and risk committees could ask

Were any changes needed to the design and implementation of internal controls to respond to COVID-19?

- What has been the impact of these changes? How long are these changes expected to last? Are the changes sustainable? How significant are these changes?
- Has internal audit assessed the design, implementation and operational effectiveness of revised internal controls? Can the negative impact of any changes be reversed?

Where changes were made to controls, did the organisation understand where there was increased risk because of this?

- Were other controls strengthened to compensate for this?

Has remote working affected the operational effectiveness of internal controls?

- Are any controls only able to be implemented in person, such as those over physical assets?
- Have changes in personnel performing the controls impacted effectiveness?

How have IT services performed during the outbreak?

- How has this impacted the effectiveness of controls?
- How have cyber security controls been considered?

Where service organisations are used, have there been any changes to the design and implementation of their controls?

- Where relevant, what has been the impact of this?

18. Several changes have been required affecting all services, especially in relation to Adults', Children's and Property services. Support services have also been affected. The strategy has been for bespoke changes to have a temporary lifespan, which should be kept under review as lockdown restrictions continue to develop. Some changes will not be operationally and financially sustainable, as demonstrated in the updates to Policy Committee on the Medium-Term Financial Strategy (MTFS). Some changes have a significant impact on future delivery of services.

19. Internal Audit has been involved in advisory work (20 pieces) to assist the redesign of services across all departments (see Internal Audit's Term 1 progress report on today's agenda). This helped to ensure an appropriate balance between control and risk, as the pace of service delivery in priority areas had to be increased. Typically, changes involved a relaxation of preventative controls at the point of payment initiation, with greater reliance on post-payment, detective controls. Internal Audit has also undertaken specific reviews of the changes to internal controls, in addition to a significant review of the Council's response to the emergency. The advisory pieces are being followed up to provide post-payment assurance over the

effectiveness with which services were redesigned, and to assess any longer-term impacts. The service is also implementing an approach to continuous auditing for key, corporate processes, to ensure exceptions to expected tolerances for key controls are routinely highlighted and acted upon.

20. The new ways of working for all Council staff resulted in a number of pressures on the Council's ICT systems. Reports to Policy Committee have set out the steps taken to restore resilience.
21. The impact of the pandemic on the Council's service delivery partners has been kept under active review, with reports submitted to Committees for decision where intervention has been deemed appropriate (for example, cultural service contract variations).

Box J: Regularity of expenditure – questions audit and risk committees could ask

Have there been any significant changes to the organisation's activities during the outbreak?

- If so, have the changes required new legislation or changes to delegated authorities?

Has the accounting officer assessed the reasonableness of increased expenditure or new activities in the context of *Managing Public Money*?

- Have ministerial directions been required? Have these been provided?
- Are these disclosed transparently in the corporate governance report?

Is there any new expenditure that could be deemed novel and contentious?

- How has this been treated?

Has management breached any control totals?

- Have there been any other regularity breaches or contentious issues?

Have the provisions in Procurement Policy Note 02/2020 been used by management?

- Has management carried out and documented appropriate due diligence checks on relevant suppliers?
- Have all other *Managing Public Money* provisions applied to payments made under the Procurement Policy Note?
- Has management received open book information from impacted suppliers?

22. The activities and responsibilities of the County Council have remained consistent, but the way the activities have been delivered has significantly changed. The report to Policy Committee in March 2020 established the Council's five priorities for service delivery during the pandemic, with the required focus in particular on maintaining services to vulnerable children and adults. Changes in legislation to help local authorities cope with the pandemic emergency have been kept under review and applied where considered necessary.
23. The emergency procurement of PPE to enable essential services to continue in safe settings has been a notable priority, requiring a measured approach to balancing due diligence controls against emergency supply demands. Supply lines have now been stabilised and are moving

to a dynamic purchasing contractual arrangement. An update report on PPE was taken to Personnel Committee in July 2020.

24. The financial implications of the pandemic have been, and continue to be, closely monitored. A detailed assessment was presented to the Finance & Major Contracts Management Committee in July 2020. The Governance & Ethics Committee has also received reports of actions taken to extend some contracts, or issue direct awards, and in some cases to offer supplier relief.

Box K: Fraud and error – questions audit and risk committees could ask

What exposure to fraud and error does the organisation have in its responses to COVID-19?

- Have controls been turned off or reduced?
- Are there new expenditure or procurement streams, or delivery methods that introduce new risks?

How is the organisation managing fraud and error risks?

- Are they logged, with a monetary estimate of the potential fraud and error exposure?
- Have options to reduce fraud and error been evaluated? Has management assessed the organisation's risk appetite for losses through fraud and error? Are there any changes to this?

What processes are in place to measure fraud and error and evaluate the effectiveness of activities to prevent or detect this?

- How is management using this information to update risk assessments or inform controls?
- Does management have real-time indicators to support informed decisions on risks?

25. Risk exposure continues to be similar given that services are continuing in a similar nature, although national trends identify increased risk through cyber-attack, working from home, procurement and supplier fraud. Changed processes increases risk in some areas, including the risk of fraud, and Internal Audit has worked with service managers to advise on the balance between risk and control for the emergency situation. The Internal Audit team has also been active in raising alerts and awareness within the Council, benefitting from its links with national and regional counter-fraud groups. Today's agenda includes the latest Annual Fraud Report, which includes details on the updated fraud risk assessment.

26. The Council's Counter Fraud Strategy and Fraud Response Plan remain in place, and referrals continue to be logged. There has not been a significant change in either the volume or nature of referrals received. The Internal Audit service remains vigilant to the possibility of latent issues yet to be exposed. As featured on today's agenda, Internal Audit's termly planning, conducted in consultation with senior managers, continues to drive out priority areas for audit focus. The latest plan for the team proposes some emphasis on post-payment assurance in areas of changed service delivery.

Other Options Considered

27. The NAO guidance might have been circulated to Governance & Ethics Committee members and left to members' discretion whether they wished to make use of the suggested areas for scrutiny. Consistent with previous practice for relevant NAO guidance, it was considered that a more pro-active, self-assessment approach would provide for swifter assurance.

Reason/s for Recommendation/s

28. To present members with a self-assessment of the Council's arrangements in comparison with the NAO guidance for financial reporting and management during the national pandemic. This should provide members with the opportunity to consider whether further, follow-up reports are required on this topic.

Statutory and Policy Implications

29. This report has been compiled after consideration of implications in respect of crime and disorder, data protection and information governance finance, human resources, human rights, the NHS Constitution (public health services), the public sector equality duty, safeguarding of children and adults at risk, service users, smarter working, sustainability and the environment and where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

RECOMMENDATION/S

1) Members determine whether any further reports or actions are required arising from this self-assessment.

Nigel Stevenson

Service Director for Finance, Infrastructure & Improvement and Section 151 Officer

For any enquiries about this report please contact:

Rob Disney

Group Manager - Assurance

Constitutional Comments (KK 19/08/2020)

30. The proposal in this report is within the remit of the Governance and Ethics Committee.

Financial Comments (SES 19/08/2020)

31. There are no specific financial implications arising directly from this report.

Background Papers and Published Documents

Except for previously published documents, which will be available elsewhere, the documents listed here will be available for inspection in accordance with Section 100D of the Local Government Act 1972.

- None

Electoral Division(s) and Member(s) Affected

- All

7 September 2020**Agenda Item: 6****REPORT OF SERVICE DIRECTOR FOR FINANCE, INFRASTRUCTURE &
IMPROVEMENT****CORPORATE RISK MANAGEMENT UPDATE****Purpose of the Report**

1. To provide members with an update on the Council's arrangements for corporate risk management, and to propose a schedule of future updates and member training.

Information

2. The County Council's corporate risk management processes are managed through the work of the Risk, Safety and Emergency Management Board (RSEMB), under the leadership of the Service Director, Place and Communities. The RSEMB comprises representatives from all departments, plus specialist support officers.
3. Under normal circumstances, RSEMB meets five times each year. Meetings are held more frequently to manage the Council's response to local and national emergencies, and this has been the case in recent times as a result of local flooding in the autumn of 2019 and the ongoing, national coronavirus pandemic. The RSEMB links to the Risk, Safety and Emergency Management Group (RSEMG) for each department, and it informs the Corporate Leadership Team (CLT) on risk issues. By this mechanism, risk topics are cascaded through the organisation as appropriate.

Corporate Risk Register

4. Corporate risk management is a standing agenda item for RSEMB, and a key aspect of the Board's role is to maintain the Council's corporate risk register. As part of its response to Covid-19, RSEMB recognised the need to update the register to take account of the significant changes in the Council's operating environment. The updated register has been approved by RSEMB and CLT and is attached as Appendix 1.
5. The first page of the appendix sets out the approach to risk scoring, along with some guidance notes and definitions. There are then 12 corporate risk entries captured in the register, one on each page of the appendix. Each entry in the register is structured to be read from left to right across the page. The following sets out a brief guide to aid understanding of the terms and format:

- Sources and triggers – these describe the factors which may give rise to a risk event occurring. These describe how **likely** an event is to happen.
- Possible consequences – these describe how significant the event would be for the Council. These relate to the **impact** of an event, should it happen.
- Current controls and mitigations – these summarise the control framework currently in place to protect the Council from the likelihood and impact of each risk. These are set to in terms of the ‘three lines of defence’, with which Members will be familiar from the previous reports on assurance mapping:
 - 1st Line – day-to-day controls operated by management
 - 2nd Line – controls applied by corporate functions, often located in the Chief Executive’s Department
 - 3rd Line – verifications by independent inspectors, such as Internal Audit, External Audit, etc.
- Agreed current risk – this a score agreed with risk owners, RSEMB and CLT, based around the notional formula of:

$$\text{Current Risk} = \text{Sources \& Triggers} \times \text{Possible Consequences} - \text{Current Controls \& Mitigations}$$

- Additional controls required and new controls being introduced – these set out additional actions planned to be taken to further strengthen the mitigations in place
 - Agreed target risk – this is the expected risk score once the additional controls are in place and operating effectively.
6. A significant aspect of the update was to capture the changed and additional actions in place to mitigate each of the key risks. Members will know and appreciate the impact the pandemic has had on all aspects of the Council’s activities. It is pertinent to note, therefore, what impact the emergency has had on the level of risk in the Council. Analysis of the risk assessments before and after the impact of Covid-19 show how risk levels have shifted, along with how risk levels are anticipated to reduce with the benefit of further action.

Risk	Pre-CV19		Post-CV19		After actions
1.Information governance	 VH		 VH		 H

2.Safe premises					
3.Supply chain					
4.Business continuity					
5.Transformation					
6.Safe children					
7.MTFS					
8.ICT					
9.Community emergency					
10.Safe adults					
11.Governance		New risk			

7. As shown above, risk levels are assessed to have increased in the following areas as a result of coronavirus:

- Safe premises – this undoubtedly reflects the task of providing for Covid-19 secure settings for staff and service users
- Business continuity – the emergency represented a significant test of the Council's arrangements for business continuity, and its plans need to be kept up to date to maintain resilience as the pandemic situation develops
- Protecting vulnerable children – the national lockdown presented a considerable challenge for the Council in maintaining its face-to-face contacts with vulnerable children
- Protecting vulnerable adults – the Council's services are in demand to help those vulnerable to Covid-19 and the national measures in place to counteract it
- Governance framework – this risk has been added to the register to reflect the changes required to the Committee system and its implications for the established governance arrangements in the Council.

8. It can also be seen from the chart, above, that the additional actions set out in the register are anticipated to reduce assessed risk levels in most areas.

Further development

9. The Committee approved the draft Annual Governance Statement at its meeting in July 2020, and this included action related to corporate risk management, as below:
- Undertake a review of the Council's approach to risk management, including development of an approach to establishing the Council's risk appetite
 - Deliver a training session on risk management for the Governance & Ethics Committee
10. Work is being progressed by the Internal Audit team to review the corporate risk management process in the Council, focussing especially on options for capturing risk appetite. Proposals will be presented to the RSEMB and CLT for consideration and brought to Committee later in the year for approval. Consideration will be given at that time to the format and content of a training session for members of the Committee on risk management.

Other Options Considered

11. The report presents members with an updated position on the principal, corporate risks for the Council, taking account of the national pandemic. No other options were considered.

Reason/s for Recommendation/s

12. To present members with the opportunity to consider, and influence, the content of the Council's corporate risk register and its proposed actions to refresh the approach to corporate risk management.

Statutory and Policy Implications

13. This report has been compiled after consideration of implications in respect of crime and disorder, data protection and information governance finance, human resources, human rights, the NHS Constitution (public health services), the public sector equality duty, safeguarding of children and adults at risk, service users, smarter working, sustainability and the environment and where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

RECOMMENDATION/S

- 1) Members approve the updated corporate risk register.
- 2) Members agree to receive further proposals for a refresh of the Council's approach to risk management, along with suggested training for the Committee.

Nigel Stevenson

Service Director for Finance, Infrastructure & Improvement and Section 151 Officer

For any enquiries about this report please contact:

Rob Disney
Group Manager - Assurance

Constitutional Comments (LW 19-08-2020)

14. Governance & Ethics Committee is the appropriate body to consider the content of the report.

Financial Comments (SES 19-08-2020)

15. There are no specific financial implications arising directly from this report.

Background Papers and Published Documents

Except for previously published documents, which will be available elsewhere, the documents listed here will be available for inspection in accordance with Section 100D of the Local Government Act 1972.

- None

Electoral Division(s) and Member(s) Affected

- All

NCC CORPORATE RISK REGISTER – 17 JULY 2020

Relative Impact	Catastrophic	(5)	M	H	VH	VH	VH
	Significant	(4)	M	H	VH	VH	VH
	Moderate	(3)	M	M	H	H	H
	Minor	(2)	L	L	M	M	M
	Insignificant	(1)	L	L	L	L	L
			Rare (1)	Unlikely (2)	Possible (3)	Likely (4)	Almost certain (5)
Relative Likelihood							

LIKELIHOOD		
1	Rare	0 to 5% chance
2	Unlikely	6 to 20% chance
3	Possible	21 to 50% chance
4	Likely	51 to 80% chance
5	Almost certain	81%+ chance
IMPACT		
1	Insignificant	0 to 5% effect
2	Minor	6 to 20% effect
3	Moderate	21 to 50% effect
4	Significant	51 to 80% effect
5	Catastrophic	81%+ effect

Guidance Notes and definitions

- The term “risk” used in this register is defined by the Institute of Risk Management as the “combination of probability of an event and its consequences” (ISO/EC Guide 73)
- This Corporate Risk Register sets out the key risks to NCC that have been identified by Risk Owners.
- Risk Owners are officers who are responsible for identifying the key risks to the organisation and for implementing and managing the controls to mitigate those risks.
- Sources and triggers for each risk have been identified and the possible consequences of failure to address each risk have been determined.
- Current controls and mitigations have been listed for each risk and these identify the controls presently in place that are designed to address the risks.
- Additional controls required and new controls that are being introduced are also recorded in the register. This identifies any gaps in controls and provides details of new controls that management are intending to introduce, to address these gaps, or are implementing to strengthen existing controls.
- For each of the identified risks, inherent, current and residual risk scores have then been determined.
- Inherent risk is defined as the amount of risk that would exist in the absence of any controls.
- Current risk is defined as the amount of risk assuming the current mitigations are being applied.
- Residual risk is the amount of risk that will remain after proposed actions are put in place.
- In conjunction with this Risk Register, Internal Audit has completed a number of assurance maps, which categorise the mitigating controls for each risk under one of three “lines of defence”. These are:
 1. Controls established by management to provide oversight of identified risks (for example, the implementation of policies and Committee reviews)
 2. On-going Internal controls applied by management applied to manage and control day to day operations (for example, reconciliations and performance reports)
 3. Third party assurance (independent oversight of risk management by auditors and other independent bodies such as the CQC and Ofsted)

The current controls and mitigations listed on this register to address the identified risks have been categorised on this basis.

1. Major failure of Information Governance

Risk Owner: Marjorie Toward

Sources & Triggers:

- Failure to put in place appropriate, risk-based technical measures to secure and protect data (e.g. encryption, identity-based access controls, password controls etc).
- Failure to put in place appropriate risk-based organisational measures to secure and protect data (e.g. information governance and IT training; data protection procedures, guidance; data protection impact assessments; information sharing agreements etc).
- Failure to manage corporate, service user, staff and corporate records appropriately (e.g. not organising, retaining and disposing of information properly).
- Failure to assure that third party suppliers manage information appropriately
- Information security breaches, including those due to cyber-attacks (e.g. ransomware)
- Personal data breaches (e.g. personal data being sent to incorrect recipients etc)
- Individual's rights over their data infringed (e.g. excessive personal information collection; failure to provide privacy notices etc).
- Council's Information Governance framework incapable of responding to emergency situations to enable quick risk-based decisions to be made.
- Receipt of regular, large data files relating to vulnerable people in Notts
- Temporary data processing measures put in place during pandemic become permanent without satisfactory data protection due diligence

Possible consequences:

- Physical, emotional or financial harm to member of the public or staff
- Failure to meet a statutory obligation / Impact on service delivery / inefficient service delivery and associated costs
- Litigation against the Council
- Loss of reputation
- Financial cost to authority (e.g. loss of revenue through fraud, compensation payments or fines levied by the Information Commissioner)
- Failure to deliver essential services due to lack of responsiveness

Current controls & Mitigations:

LINE 1

- Information Governance Board (IG) chaired by Senior Information Risk Owner (SIRO) reviews IG risks quarterly
- ICT Risk Management Team has a specific information security risk register
- Dedicated and separate IG and IS teams.
- Annual cyber security strategy written by IT security architect
- IG in the remit of Risk, Safety and Emergency Management Board / Groups.
- IG / IS Framework of policies, standards, procedures and guidance

LINE 2

- Significant and diverse technical security controls (e.g. secure e-mail facilities)
- Mandatory IG training for all staff at induction and refreshed biennially; IG intranet hub
- Information Asset Register and other records of data processing activity in place
- Data Protection Impact Assessment process for new / changed personal data processing.
- Data breach management process, including management notification of breaches
- Short-form DPIA / Information Sharing request form introduced to hasten risk-based decision-making during Covid-19 pandemic

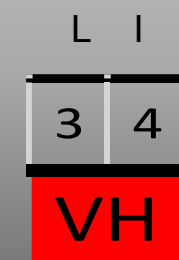
LINE 3

- Cyber security and information governance compliance regimes (e.g. PSN Code of Connection Compliance and Data Security and Protection Toolkit, Cyber Essentials)

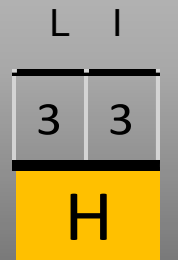
Additional controls required & new controls being introduced:

Action	Timescale	Action owner
Revise IG and IS training offer and approach	Spring 2020	Caroline Agnew
Assess NCC performance against national / local IG framework(s)	Winter 2020	Caroline Agnew
Review and determine next steps for approach to electronic document and records management	Autumn 2020	Heather Dickinson / Caroline Agnew

Agreed
Current Risk



Agreed
Target Risk



2. Failure to provide safe and secure premises

Risk Owner: Adrian Smith

Sources & triggers:

- Changed working locations for large numbers of staff who are working from home or in sparsely used premises
- Management of vacant properties – lack of site monitoring visits during lockdown period, for both vacant and temporarily closed buildings
- Uncontrolled hazards (asbestos / legionella / other hazards)
- Uncontrolled fire safety issues, including those in schools and care homes
- Serious injury to NCC staff arising from work activities
- Failure to exercise duty of care
- Lack of clarity / awareness regarding staff responsibilities / NPO role
- Reduced expenditure on building maintenance and inability to carry out repairs, maintenance and servicing during lockdown period
- Ineffective Implementation of NCC Smarter Working initiatives
- Failure to supply and inspect appropriate and safe equipment
- Inappropriate contracting arrangements and management
- Failure to design safety
- Failure to inspect and maintain grounds / outdoor environment (including at schools) – potentially reduced during lockdown period?
- Re-purposing the use of NCC premises during the emergency response
- Inability to carry out essential tasks due to high staff absence levels
- Inability to safely secure stored supplies of PPE

Current controls & Mitigations:

LINE 1

- a) Corporate Property Strategy
- b) H&S Policies

LINE 2

- c) Communication with sites to ensure statutory inspections and emergency repairs remain in place throughout periods of building closure. Property closure checklists issued to all sites and available on NCC intranet and schools' portal.
- d) Management of vacant sites by Estates Practice Team and ARC Partnership with record of services isolated and those remaining live, locations of keys and security provisions).
- e) Close down instructions and a checklist have been issued to Nominated Property Officers to maintain safety and security at NNC sites and security patrols are being maintained.
- f) Remedial actions following inspections and risk assessments recorded on P2 with target completion dates.
- g) Full Programmes of statutory inspections and risk assessments (fire, asbestos, legionella, gas, electrical mechanical and lifts) recorded and documented on asset management system P2.
- h) Planned maintenance programme including larger scale remedial actions
- i) Dynamic risk assessments produce by service if buildings temporarily change use
- j) Management of asbestos including E-Learning awareness training, management and refurbishment surveys, annual register updates and local asbestos management plans. Process to report and respond to incidents.
- k) Property Strategy, Service Asset Management Plans and stock condition surveys produced and analysed to assess maintenance and usage requirements of all assets
- l) Contractor management by Commissioning Team. Partnership arrangements with Arc Partnership consisting of joint working, SLA's and monitored KPIs
- m) Property Compliance Action Plan including actions identified during audit review of all policies and procedures, training needs analysis, communication strategy and P2 improvements.
- n) Collaborative working between NCC H&S Team and Property Compliance including Compliance Board and progress to ISO 45001)
- o) Insurance

LINE 3

- p) Independent Review and certification on property compliance by BSI

Additional controls & actions required:

Action	Timescale	Action owner
Continuous Review of Property Compliance with areas for improvement added to Property Compliance Action Plan	Continuous	Derek Highton & Neil Gamble
Implement Corporate Landlord Model to create centralised and standardised approach to property management and safety	2020/21	Derek Highton

Possible consequences:

- Death, injury or illness of members of staff, service users or the public (including unauthorised users)
- Judicial review
- Litigation against the Council, for example claims arising from changed working conditions
- Enforcement action e.g. HSE, Fire Environment Agency
- Loss of reputation
- Inability to deliver services
- Increased costs

Agreed

Current Risk

L I

3 5

VH

Target Risk

L I

2 5

H

3. Major Supplier or Supply Chain Failure (including Contract Management failure)

Risk Owner: Nigel Stevenson

Sources & triggers:

- Inadequate supply and distribution of PPE to meet up-to-date PHE guidance for use in all service provision settings
- Inadequate availability, supply and distribution chains to provide essential items and services, due to the loss of normal supply chains and demand for new emergency goods and services.
- New / emergency suppliers insisting upon payment arrangements and terms which do not comply with NCC standards terms
- Commissioning Model (including partners)
- Poor contract specifications
- Compliance failure
- Supplier / Quality / cost fraud - risk is heightened where there is increased demand for items in short supply and where normal controls have had to be relaxed to meet emergency demands (e.g. in relation to PPE)
- Major supplier of critical services goes out of business
- Accumulated closures of '2nd tier' key suppliers create significant delay in the supply chain for critical services
- Poor provider performance
- Market volatility
- Energy dispute / disruption of supply
- Breach of contract or breach of procurement guidelines
- Lack of expert guidance due to high staff absence levels
- Unreliability of ICT systems hinders supply chain management
- Services moving to alternative delivery settings (changed premises, hub and spoke arrangements, staff based from home, etc)
- Devolved purchasing arrangements leading to rogue purchases from unapproved suppliers

Possible consequences:

- Increased costs
- Loss of reputation
- Inability to deliver key services or staff carry on working in unsafe condition
- Litigation, for example from individual members of staff or as part of class actions relating to inadequate supply of PPE
- The acquisition of poor-quality items that do not meet safety standards at inflated prices due to purchasing from unapproved suppliers

Current controls & Mitigations:

LINE 1

- Business Continuity Plans
- Devolved contract management with support and guidance from Procurement Centre with corporate contract management framework
- Councillors' oversight via the F&MCM Committee

LINE 2

- New emergency payment terms and systems introduced
- PPE contracts have been agreed with suppliers and logistical processes embedded
- Category Managers
- Market management
- Active Contract Management
- Departmental Procurement Groups
- Risk assessment of possible failure
- Supply chain management
- Category managers working closer with suppliers, market and commissioners
- Contracts database

LINE 3

- Local and national guidance has been issued in relation to PPE standards and purchasing
- Trading standards have been involved in procurement process to ensure supplier compliance
- Local Fair Price for Care Implemented (?)
- East Mids. Property Alliance
- LRF/Category 2 critical infrastructure plans
- Dunn and Bradstreet checks on suppliers

Additional controls & actions required:

Action	Timescale	Action owner
Overview of managers work to review and refresh existing contract	Continuous (monthly)	Kaj Ghattaora
Implement outcomes of Internal Audit of Contract Management	Autumn 2020	Kaj Ghattaora

Agreed Current Risk

L	I
3	3
H	

Agreed Target Risk

L	I
3	3
H	

4. Inability to deliver critical services due to a sustained business interruption

Risk Owner: Derek Higton

Sources & triggers:

- Loss of premises / staff / ICT (heightened due to extent of homeworking) / telecoms / utilities (gas/electricity/water) / key suppliers and / or key resources (e.g. fuel)
- Unavailability of senior officers and key staff essential to the Council's structures for business continuity
- Breakdown of industrial relations locally or nationally – potentially heightened in relation to adequate supply of PPE
- Lack of understanding of what is critical / Failure to prioritise Council services correctly
- Inadequate Business Continuity Planning and Preparations (e.g. for relocation of critical services)
- Sustained response to significant civil emergency or other external challenge
- Failure of maintained schools, external providers, and suppliers to have adequate insurance and business continuity arrangements
- Breaches of contract leading to legal action
- Risk to staff Health and Wellbeing by contracting COVID-19 at work and impact of trauma on workforce
- Mental Health of staff adversely affected by prolonged home-working.

Possible consequences:

- Inability to deliver critical services / business as usual
- Harm to staff, service users and the public
- Failure to protect and safeguard people at risk
- Failure to protect health and safety of people and building
- Failure to maintain the transport network
- Failure to maintain ability to pay employees and suppliers
- Reduced ability to deliver the aspirations in the Strategic Plan
- Loss of reputation
- Reduced confidence in the ability of the Council to deliver services

Current controls & Mitigations:

LINE 1

- Corporate business continuity plan, and emergency plans
- List of critical services
- H&S at work policies including updates re: COVID-19
- Monitoring by Corporate Leadership Team, Risk, Safety and Emergency Management Board and RSEM Groups.
- HR Guidance - managing industrial action
- Business Continuity Plans for Critical Services
- Monitoring by Risk, Safety and Emergency Management Board and RSEM Groups

LINE 2

- Staff Re-Deployment Measures (e.g. Mandatory Skills Audit, staff re-deployment training package).
- Remote working guidance and tools (e.g. 'Occupational Health 'Virtual Work Station Assessments', 'Physiotherapy Service Referrals', 'Home Working Risk Assessment Form', 'Lone Working Health and Safety Guidance'.)
- Business Impact Analyses
- Control of contractors / contract management
- HR Guidance - managing industrial action
- Smarter Working Programme
- Insurance (including contingencies for Academy Schools)

LINE 3

- ICT Business Continuity Plans / Disaster Recovery Plans
- Well-being provision (e.g. Remote Chaplaincy)
- Corporate Business Continuity Exercise Zepto (March 2018)

Additional controls & actions required:

Action	Timescale	Action owner
Further development of BC Plans and Business Impact Analyses	Continuous	Critical Services Plan authors
Continual review of Business Continuity Plans for all critical services by plan authors (including exercises)	Continuous	Critical Services Plan Authors

Agreed
Current Risk

L I

4	4
VH	

Agreed
Target Risk

L I

3	3
H	

5. Failure to deliver the transformation programme and maintain critical services

Risk Owner: Sue Milburn

Sources & triggers:

- Lack of funding to support delivery of the business cases
- Failure to comply with legislative requirements and changing demands placed on the Council by Government
- Short-term planning / inadequate horizon scanning - Uncertainty whether the transformation goals the organisation is aiming for need to be reconsidered as a result of Covid19
- Re-Direction of staffing resources to support delivery of critical services during the COVID-19 Emergency
- Undue pace of change
- Insufficient cultural change within the organisation
- Unanticipated major increase in organisational costs
- Unanticipated external costs
- Reduction in number and value of funding streams
- Suitability of ICT systems
- Insufficient staff capacity - Re-direction of staffing sources to support delivery of critical services during the Covid-19 emergency
- Failure to identify interdependencies and unintended consequences

Possible consequences:

- The pace of transformation is slowed while the Council deals with the emergency situation
- Transformation goals are out of step with what is needed in the post-Covid19 environment
- Poor performance
- Overspending
- Lack of robustness in budget monitoring systems
- Inability of the organisation to sustain critical services in the long term
- Loss of reputation
- Failure to recover capital receipts
- Failure to achieve savings expected to be delivered by transformation programme prior to COVID-19
- Failure to realise anticipated benefits of planned transformation programmes i.e. improvements to processes and other efficiencies.

Current controls & Mitigations:

LINE 1

- Established Transformation & Change Programme, incorporating KPIs, metrics, programme governance, reporting arrangements and reviews
- Medium-term financial strategy
- Appropriate project governance
- Regular reports to and monitoring by CLT, Transformation and Change Governance Group, Improvement & Change Sub-Committee and Finance & Major Contracts Management Committee

LINE 2

- Transformation & Change Team
- Project risk management processes
- Budget planning and control arrangements
- Effective, ongoing learning, contract management and rigorous management of pressures

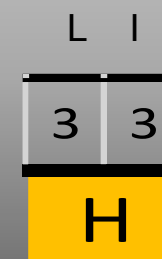
LINE 3

Internal Audit Review

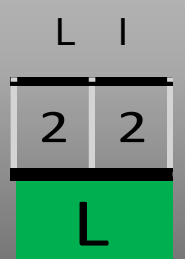
Additional controls & actions required:

Action	Timescale	Action owner
Review the current transformation & change programme for the post-Covid19 Council	July 2020	CLT, with support of Sue Milburn
Agree the organisation's response to Transformation and Change – October CLT, with Support of Sue Milburn.	October 2020	Sue Milburn
Review the objectives and timescales for the current engagement with the Council's external transformation partner	July 2020	CLT, with support of Sue Milburn

Agreed Current Risk



Agreed Target Risk



6. Failure to protect vulnerable children and young people

Risk Owner: Colin Pettigrew

Sources & triggers:

- Child death
- Allegations of historic abuse
- Child Sexual Exploitation
- Increasing demand for Children's Social Care and resulting in budget pressures
- Inappropriate case management/insufficient management control
- Failure to recruit and retain experienced / qualified staff and inability to redeploy non-critical staff and volunteer resources into critical service roles
- High levels of sickness absence – heightened due to Covid-19 Partners not working together effectively / lack of clarity between partners
- Insufficiently robust contract monitoring
- Poor data quality
- Data loss/leakage
- Social worker caseloads become too high
- Unreliable connectivity to ICT systems
- Lockdown period leads to reduced referrals of child safeguarding concerns which may be continuing – reduced visibility and reduced opportunity for children to self-refer
- Lack of care provision in schools for children of key workers
- Services moving to alternative delivery settings (changed premises, hub and spoke arrangements, staff based from home, etc)
- Changing threshold of service provision (e.g. MASH)
- Shortages of PPE
- Increased risk of domestic violence and risk to children
- Mental health and drug misuse
- Post-lockdown hidden harm and unmet need
- Impact of economic downturn
- Impact of Brexit on availability of care staff

Possible consequences:

- Harm to children, young people and families
- Serious Case & Domestic Homicide reviews
- Harm (including possible transmission of illness or disease to/from staff)
- Cost to the authority
- Cost to society
- Reputational damage to the authority
- Increased and / or inappropriate referrals into Children's Social Care
- Judicial review
- Litigation
- Failed inspections under regulatory framework

Current controls & Mitigations:

LINE 1

- a) Safeguarding policies / procedures / training (updated to reflect COVID-19 issues – includes details of latest guidelines and advice from Govt and professional bodies)

LINE 2

- a) Sufficient SW capacity, use of workload management tools. SW capacity also increased by return of Social Workers who have recently left the profession (including fast track DBS checking)
- b) Safer recruitment policy, tracking DBS renewals & HCPC regs
- c) Use of agency social workers - vacancies and long-term absences
- d) Development of recruitment and retention incentives - MFS and SWSO posts
- e) Advanced practitioner support
- f) Continued development of early help services to work alongside core child protection arrangements
- g) Robust QA Framework and review of performance data
- h) Emergency Residential Care arrangements have been applied to cover the COVID-19 period
- i) All cases have been risk assessed for COVID-19 implications
- j) Risk assessments have been completed in relation to COVID-19 as it affects staff and staffing
- k) HR working with agency managed service provider to maintain coverage if it is affected by Brexit .

LINE 3

- l) Most recent Ofsted inspection in 2020 was "Good"
- m) Introduction of new legislation relaxing administrative requirements in relation to adoption, in response to COVID-19.
- n) DfE introduction of helpline relating to education and social care
- o) Co-operation with, and participation in, the Independent Inquiry into Child Sexual Abuse
- p) Effective safeguarding arrangements and challenge via Local Safeguarding Children Board
- q) Well-established Pathway to Provision and Children's Trust

Additional controls & actions required:

Action	Timescale	Action owner
Closer alignment of the MASH (Multi Agency Safeguarding Hub) and the Early Help Unit	Monthly review	Steve Edwards
Ongoing work to manage caseloads and keep them at a manageable level	Monthly review	Steve Edwards
Continue to develop the integrated assessment framework and toolkit across children's services	Monthly review	Steve Edwards
Ofsted inspection action plan		

Proposed Current Risk

L	I
3	5
VH	

Proposed Target Risk

L	I
2	5
H	

7. Failure to deliver an effective Medium-Term Financial Strategy

Risk Owner: Nigel Stevenson

Sources & triggers:

- Failure to create strategy - insufficient savings proposals identified
- Unbudgeted expenditure on emergency activities
- Reduced delivery of services to paying service users and customers
- Non-payment for services received by service users and suspension of debt recovery procedures
- Delay and/or suspension of transformation programmes
- Failure to approve budget proposals at Full Council meeting
- Failure to identify pressures / funding cuts in time to react
- Failure to monitor in-year budget effectively / understand cost drivers
- Failure to react to changes in Central Government Policy
- Failure to obtain necessary information from District Councils (tax base, NNDR)
- Significant levels of Council Tax non-payment, and business closures reducing NNDR payments
- Failure to complete Equality Impact Assessments
- Failure to consult on Budget proposals
- Key resources not being available
- Unreliable connectivity to ICT systems
- Lack of expert guidance due to high staff absence levels
- Government policy and requirements issued at short notice
- Failure to deliver capital receipts
- Accuracy of financial planning and budget monitoring
- Cash Flow Balances Fall below acceptable balances
- Financial policies plans, budgets, estimates and predictions based upon economic and financial situation prior to COVID-19 (including investment and pensions planning), with no consideration of the effects of post-COVID "new normal"
- New legislation - However, the enabling legislation 'fell away' in the run up to the June 2017 General Election and no new legislation is in the current Parliamentary timetable
- Failure to understand implications of proposed changes in needs assessment, mechanics of allocations and impact of additional responsibilities
- Government policy and requirements issued at short notice
- Failure to appropriately prepare for Brexit

Possible consequences:

- County Council General Fund balance falls below acceptable level
- Renegotiation of debt at higher rates
- Risk to services if sudden termination of services made without due planning (issues on meeting minimum statutory requirements)
- Risk of legal action if Council fails to deliver services or give due regard to impact
- Reputational issues / credibility of officers
- Short term decision making resulting in lack of investment in key areas
- Failure to meet statutory requirement in setting a balanced budget
- Financial policies could fail to meet the requirements of post-COVID-19 world.
- Adverse impact on structure of the Council
- Adverse impact on the MTFS

Current controls & Mitigations:

LINE 1

- CLT oversight of budget process, CLT briefings and peer challenge
- Regular Member briefings (Majority and opposition groups)
- Attendance at SCT and other confs / SCT Briefings / environmental analysis and other events
- Continual budget process with Elected Members
 - Regular Updates to Members and CLT

LINE 2

- Continual review of budget monitoring process and the effectiveness of the finance function
- Review of appropriate reserves levels
- Quality information for effective decision making at short notice
- Budget timetable with identified responsibilities
- Budget Consultation in progress
- Regular contact with District Councils
- Continual improvements in financial management across NCC
- Systems to ensure that the Council is fully aware of all the implications of the new financial arrangements for Local Government and takes appropriate action to plan for them, both politically and managerially
- Attendance at various MHCLG, LGA, CCN and relevant events
- Attendance at ACCE and SCT
- Keeping up to date on impact of other announcements on other changes to Business Rates
- Anthony May and Nigel Stevenson continue to be involved in working groups and conversations with MHCLG on this matter
- Brexit Risk Log in place and being updated

LINE 3

- Obtain external support where necessary
- Peer review has been completed
- CIPFA Financial Management Code
- Review by Internal Audit
- EU Exit Local Government Delivery Board
- East Midlands Chamber has established Brexit advisory group

Additional controls & actions required:

Action	Timescale	Action owner
Member of MHCLG/LGA led working groups	continuous	Nigel Stevenson
Active participation in consultations	Continuous	Nigel Stevenson

Agreed Current Risk

L	I
4	3
H	

Agreed Target Risk

L	I
4	3
H	

8. Prolonged loss of ICT

Risk Owner: Nigel Stevenson

Sources & triggers:

- Data Integrity Issues
- Security breaches - Systems attack (hacks, malware and viruses)
- Infrastructure failure (hardware or software)
- Inadequate ICT resilience
- Inadequate safeguards in respect of theft and unauthorised removal of ICT equipment
- Lack of resources due to high staff absence levels

Possible consequences:

- Loss of ICT:
 - i) systems
 - ii) data
 - iii) access/connectivity
- Inability to provide critical services systems
- Loss of reputation
- Loss of productivity

Current controls & Mitigations:

LINE 1

- a) ICT Security Strategy & info Sec Policies
- b) Corporate sign-off of critical systems
- c) Failover testing of power and infrastructure

LINE 2

- d) Business continuity arrangements for services
- e) Maintain fit for purpose ICT provision
- f) Ongoing infrastructure upgrade programme
- g) SLA for 99.8% availability for priority ICT systems
- h) Insurance
- i) Formal ICT change management process

LINE 3

- j) Annual network penetration testing and PSN audit
- k) Internal audit assessments and reviews
- l) Third party support contracts

Additional controls & actions required:

Action	Timescale	Action owner
Testing response to loss of ICT	Continual	RSEMB
Annual infrastructure refresh programme	Continual	Mark Davies
Annual PSN compliance checks and mitigating actions	Annual	Mark Davies

Proposed Current Risk

L I

2 4

H

Proposed Target Risk

L I

2 2

L

9. Failure to respond effectively to a prolonged major emergency in the Community

Risk Owner: Derek Highton

Sources & triggers:

- Lack of care provision in schools for children of key workers
- Ineffective co-ordination with local, regional and national partner organisations
- Knock-on impact of capacity issues in other public services, such as NHS, prison service, probation, police, NFRS, etc
- Staff absence levels in critical service areas (such as the Customer Services Centre)
- Failure to plan for, support and stimulate recovery during and after the emergency
- Unreliable connectivity to ICT systems
- Lack of expert guidance due to high staff absence levels
- Government policy and requirements issued at short notice
- Major and prolonged flooding

Possible consequences:

- Illness / death of residents and visitors
- Loss of staff
- Diversion of resources to emergency response and recovery
- Infrastructure compromised
- Financial costs
- The emergency is prolonged in Nottinghamshire compared with swifter recovery in other areas of the country
- Loss of reputation
- Public inquiry
- Inability to respond and deliver business as usual

Current controls & Mitigations:

LINE 1

- a) Covid-19 Pandemic Plan
- b) Risk, Safety and Emergency Mgmt. Board and Groups
- c) Emergency Plans and the planning process
- d) Business Continuity Plans

LINE 2

- e) Business Plans
- f) Staff training at Strategic, Tactical and Operational levels
- g) Exercising of emergency plans
- h) County Emergency Centre / Comms systems

LINE 3

- i) Partnership working through the Local Resilience Forum
- j) LRF Community Risk Register
- k) Debriefing following significant emergency events
- l) Safety of Sports Grounds and Events Safety structures

Additional controls & actions required:

Action	Timescale	Action owner
Increase resilience through wider engagement with managers in all departments and ASDM	Review at RSEMB meetings	Rob Fisher
Maintenance of plans and preparations	Continual review	Rob Fisher
Emergency Planning training event for NCC Extended Leadership Team	To be advised	Rob Fisher

Agreed Current Risk

L	I
2	3
M	

Agreed Target Risk

L	I
2	3
M	

10. Failure to protect vulnerable adults at risk of harm

Risk Owner: Melanie Brooks

Sources & triggers:

- Inability to redeploy non-critical staff and volunteer resources into critical service roles
- Lack of sufficient PPE for staff working in frontline service roles
- Impact on population health of economic downturn, including worsening of health inequalities and the impact of self-isolation and social distancing on physical and mental health and wellbeing – smoking, alcohol, domestic violence, lack of physical activity
- Cashflow issues for external care providers struggling to meet additional funding requirements due to COVID-19, resulting in loss of providers and safeguarding issues
- Waiting list for DoLS assessments
- CQC instigated actions
- Inadequate funding arising from legislative changes
- Insufficiently robust quality monitoring of externally provided services
- Poor data quality
- Inability to protect residents against scams
- Coroners Enquiries
- Safeguarding Adults Reviews
- Failure of care providers to operate during the pandemic – due to absence of staff, lack of PPE, additional costs
- Public demand and expectations greater than NCC is able to deliver
- National Surveys
- Unreliable connectivity to ICT systems
- Lockdown period leads to reduced referrals of safeguarding concerns which may be continuing – reduced visibility and reduced opportunity for vulnerable adults to self-refer
- Lack of care provision in schools for children of key workers
- Services moving to alternative delivery settings (changed premises, hub and spoke arrangements, staff based from home, etc)
- Health and well-being of social care staff – social care staff found to be at greater risk of death involving coronavirus
- Changing threshold and focus of service provision
- Insufficiency of contract monitoring – management of the market
- Adult mental health and drug mis-use
- Post-lockdown hidden harm and unmet need
- Impact of economic downturn
- Carer absences
- Human Rights Breaches
- Failure to prepare appropriately for Brexit

Possible consequences:

- Death or harm to service user
- Inability to provide care services due to external service providers having insufficient funds to meet additional costs which could lead to safety and safeguarding concerns for both those in receipt of care and those providing it.
- Harm to staff
- Judicial review
- Litigation
- Loss of reputation
- Failed inspections
- Inability to deliver safeguarding services
- Risk to staff health and wellbeing

Current Controls & Mitigations:

LINE 1

- Safeguarding policies and procedures
- Scrutiny through Chairman's meetings and monthly ASC&PH Committee

LINE 2

- Additional Government funding to external providers, administered by the Council and LRF.
- Tracking, monitoring and distributing PPE where need identified
- Regularly reviewed and updated local guidance on the use of PPE
- Re-deployment pool, emergency training, daily capacity tracking introduced to address staffing issues
- Additional support and training for staff and independent sector providers
- Intranet updated to provide guidance for staff in relation to COVID-19, operating models and processes
- Quality Assurance
- Infection Prevention control training given
- Safeguarding partnership working
- HR working with agency managed service provider to ensure staff coverage if this is affected by Brexit

LINE 3

- Reporting to Department of Health and Social Care
- Trading Standards operations against criminality (managed via Place Dept)
- Safeguarding Board and partnership working
- Contract monitoring and market development
- Relationship with CQC/CCG quality monitoring of staff
- Register of Social Care Workers
- Multi-agency safeguarding Hub (MASH)
- Learning from Safeguarding Adults Reviews
- Vulnerable Persons Panels
- Performance Board
- DoLS Team

Additional controls & actions required:

Action	Timescale	Action owner
Oversight of COVID-19 response in care homes	June/July 2020	Melanie Brooks/ Jonathan Gribbin
Planning for increased demand in particular areas as lockdown measures are relaxed	June- Aug 2020	Melanie Brooks/ Jonathon Gribbin

Agreed Current Risk



Agreed Target Risk



11. Failure to maintain effective governance

Risk Owner: Marjorie Toward

Sources & triggers:

- Cancellation of committees leading to an inability to make prompt, open, transparent and effective decisions
- Increased use of urgent powers
- Disruption to the effective operation of the Corporate Leadership Team
- Disruption to the effective operation of the Risk, Safety & Emergency Management Board (RSEMB) and the Risk, Safety & Emergency Management Groups (RSEMGs)
- Suspension of, or significant change in functioning of, senior management team meetings (e.g. Senior Leadership Teams, Extended Leadership Team)
- Reduced capacity in core, support services due to staff absence levels and redeployment to critical services
- Disconnect or conflict between the priorities and objectives of Councillors and Senior Officers
- Ineffective communications with Nottinghamshire residents and businesses
- Lack of Openness and accountability for decision making
- Inability to make lawful and effective decisions and comply with Standing Orders and Standing Orders and Financial Regulations
- Failure to abide by legislation and best practice guidelines
- Open access for the public to meetings and records
- Inability to address FOI and DPA records and produce Data Subject Access Requests

Possible consequences:

- The operations and activities of the Council become unlawful
- Lack of effective strategic and operational direction
- Reputational damage
- Loss of confidence in the ability of the Council to maintain effective services
- Increased risk of unlawful expenditure and waste
- Reduced decision-making transparency (Note: Principle 10 of the COVID-19 Pandemic Plan is: 'The Council's democratic mandate must be exercised', 4.1, p. 9).

Current controls & Mitigations:

Line 1

- Five programmes of work established to manage the response to the emergency
- Committee Chairs and Corporate Directors review work programme for each Committee to identify important and urgent decisions required before the summer
- Policy Committee in place and meeting using virtual technology
- RSEMGs meeting weekly to manage continuity of critical services in line with business continuity plans
- Regular briefings by senior officers with the Council Leader and Committee Chairs
- CLT meeting daily; RSEMB meeting twice each week. RSEMB Chair advising CLT on a daily basis
- Capacity in frontline services secured through deployment within departments and recruitment of additional staff
- Regular briefings to staff by the Chief Executive
- Daily dashboard reporting for senior managers of frontline services to monitor capacity within critical services
- Communications strategy in place for the Council's stakeholders
- Urgent Decision procedures contained within the NCC Constitution set the parameters for the use of urgent decision-making powers and require record-keeping and reporting to relevant committees

Line 2

- CLT receiving situation reports from 2nd line assurers around governance?
- Legal and financial comments for briefings to Committee Chairs
- Quarterly updates to CLT of the Annual Governance Statement's Action Plan continue
- Daily dashboard in place for CLT to monitor staff capacity in critical services and across the Council
- Assurance mapping process in place, covering some key aspects of governance

Additional controls & actions required:

Action	Timescale	Action owner
Annual Governance Statement for 2019/20 being prepared in line with latest CIPFA guidance	June 2020	Rob Disney, Group Manager Assurance
Establish continuous assurance feed for key corporate systems and activities	May 2020	Rob Disney, Group Manager Assurance
Schedule regular, monthly review of the Corporate Risk Register by RSEMB	June 2020	Derek Higon, Chair of RSEMB
Review departmental risk registers for impact of Covid 19	June 2020	Rob Disney, Group Manager Assurance
Align assurance mapping with Corporate Risk Register	Summer 2020	Rob Disney, Group Manager Assurance

Proposed Current Risk

L	I
2	4
H	

Proposed Target Risk

L	I
1	4
M	

7 September 2020

Agenda Item: 7

REPORT OF SERVICE DIRECTOR FOR FINANCE, INFRASTRUCTURE & IMPROVEMENT

INTERNAL AUDIT 2020-21 TERM 1 REPORT & 2020-21 TERM 2 PLAN

Purpose of the Report

1. To inform Members of the Head of Internal Audit's report on the work carried out by Internal Audit in Term 1 of 2020/21, to allow Members to consider whether they wish to receive any further follow-up reports.
2. To consult with Members on the Internal Audit Plan for Term 2 of 2020/21.

Information

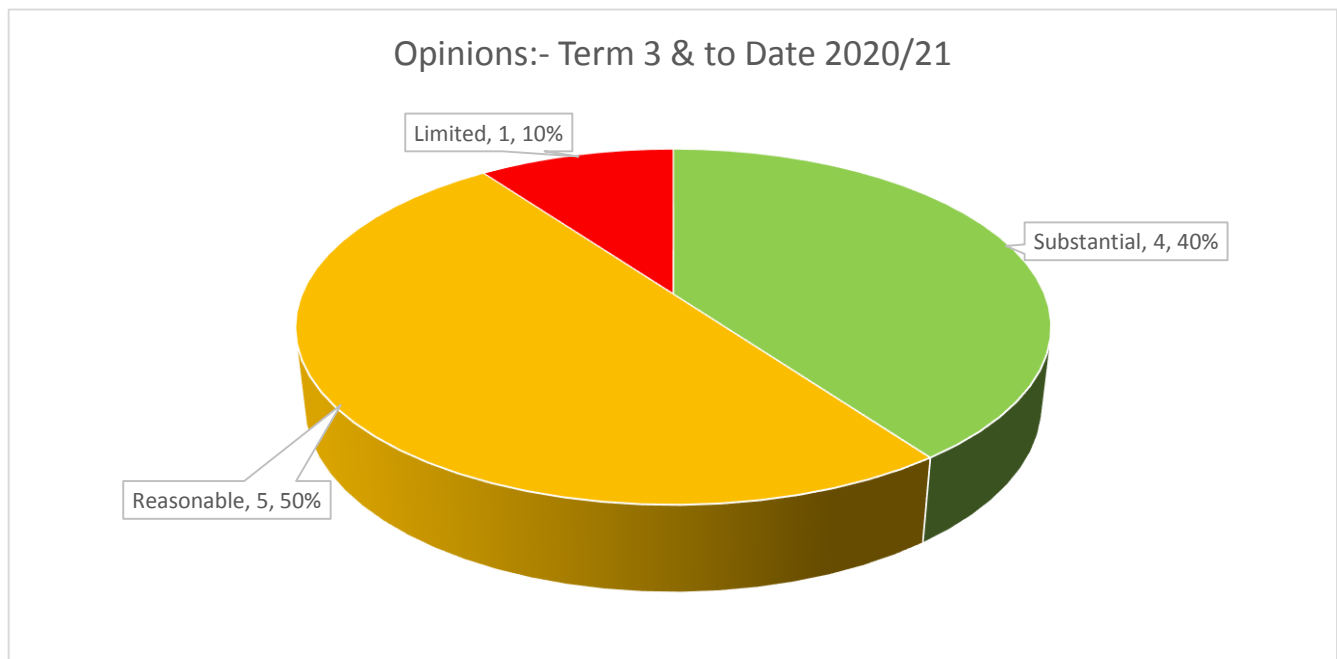
Internal Audit's work in Term 1 2020/21 – April 2020 to July 2020

3. The Term 1 Internal Audit plan has been significantly impacted by the Covid19 Pandemic. In response to the outbreak the audit focus has moved from assurance audits to a range of advisory, consultancy and counter-fraud activities in line with national focuses and away from front-line service such as Adults' and Children's. The pandemic also delayed reporting of Internal Audit activity in Term 3 - 2019/20 for which the key messages have been combined within this report. Despite the impact of Covid19 in Term 1, a range of work was completed across the Council, covering the following key types of Internal Audit input:
 - Assurance audits, for which an audit opinion is issued
 - Advice and consultancy – often relating to key developments and initiatives
 - Counter-fraud – including the investigation of suspected fraud and whistle-blower reports

Audit assurance

4. The opinion-based assurance work is a key contributor to the Head of Internal Audit's year-end opinion on the adequacy of the Council's system of internal control despite the focus on other activities in Term 1. **Chart 1** shows the distribution of opinions issued during Term 3 2019/20 and Term 1 2020/21.

Chart 1- Opinions for Term 3 2019/20 and 2020/21 to Date



5. In terms of the work completed on the County Council's services and systems, **Chart 2** analyses the opinions issued in term 3 2019/20 and term 1 by service area and level of assurance.

Chart 2- Opinions for Term 3 and to date

	LIMITED ASSURANCE	REASONABLE ASSURANCE	SUBSTANTIAL ASSURANCE
COUNCIL- WIDE	Action Tracking	Budgetary Control	Covid19 IIA Response – Phase 1
ASCH		Deputyships & Appointeeships Continuing Healthcare	
PLACE		Transport & Travel Strategic Property - Disposals	Trading Standards – Enforcement Emergency Community Fund
CHIEF EXEC'S			Internet Controls

6. Internal Audit have undertaken significant pieces of assurance work during Term 1, notably:
- Council response to Covid19 – this compared the actions taken to those recommended by the Institute of Internal Auditors.
 - Emergency Community Fund - following up on advice and counter fraud measures recommended during our initial advisory work.

7. **Chart 1** would usually include schools audits undertaken by the Children's & Families' Finance Team, but these were suspended due to the pandemic and are still to resume.

Advisory input

8. Internal Audit have focused on advisory input to developments during Term 1 in response to the Covid19 Pandemic, with over 20 engagements being completed. The following summarises the key areas of activity:
- Emergency Community Fund – advice on the expected controls for the consideration of applications;
 - Care Provider Costs – advice on controls and checks to complete for additional cost claims from care providers;
 - Transport and Travel Operators – advice on controls and validation checks in relation to additional operator costs;
 - Volunteer Hub – advice on DBS checks, medication handling, cash handling and payment controls; and
 - Relief Suppliers – advice on expected controls and use of alternative suppliers.
9. Internal Audit's advisory input ensures that timely advice is delivered and has the opportunity to influence subsequent actions. This has been particularly important with the development of the Emergency Community Fund, payments to care providers and transport operators. The engagements in advisory work help to maintain the influence the Section has to retain a proper focus on control issues. Informal feedback from senior officers continues to indicate that this type of input is valued.

Counter-Fraud

10. Internal Audit have been pro-active in the dissemination of fraud awareness materials during the Covid19 Pandemic, warning departments and staff of fraud risks and scams that have emerged during Term 1. The following summarises the key areas of activity:
- Fraud Alert (NCC) – Circulation of key fraud risks impacting on the Council
 - Fraud Alert (Schools) – Completion of specific fraud risks impacting on schools
 - Emergency Cash Procedures – advice on controls for the issue of emergency cash payments
 - Spotlight Vetting System – advice on the national system for vetting grant claim applications
 - National and Local Fraud Alerts – screening and distributing to relevant sections alerts publicised by national fraud agencies.
11. In addition, Internal Audit continue to be involved in fraud investigation activities involving live cases outlined in the Annual Fraud Report.

Internal Audit Performance

12. **Appendix 1** provides an update on the Section's performance in Term 1 against its key indicators. It includes the following charts to depict progress against the Term 1 Plan, expressed in terms of the following:

- Inputs – the number of audit days delivered against the Term 1 plan. Each segment in the chart represents ¼ of the Termly Plan.
 - Outputs – the number of jobs completed against the plan. Each segment in the chart represents ¼ of the Termly Plan.
 - Productivity indicator – the target score is 1.
13. A good level of performance is presented, albeit against a much-amended composition of the Plan; a number of planned assignments had to be suspended, but these were replaced by input from the Team that was largely advisory in nature. Members attention is drawn particularly to the following:
- a) Staffing resources – the Team benefitted significantly from the placement of one of the Council's Graduate Trainees from April 2020. The Team was also successful in recruiting its first two dedicated internal auditor apprentices during the first Term; one apprentice has begun work with the Team already, and the other will begin towards the end of August 2020. This will boost resources close to capacity, with all staff now operating based on the Team's revised structure.
 - b) Corporate risk management – CLT previously approved the re-allocation of responsibility for corporate risk management from the Emergency Planning Team in the Place Department to the Risk & Insurance Team in the Chief Executive's Department. This transfer was due to take place sometime during 2020/21 but was accelerated due to the pressures of the pandemic on the Emergency Planning Team. In the event, the Internal Audit Team was best placed to take on the initial task of updating the risk register for the impacts of Covid-19, and responsibility for the corporate risk management function will remain with the Team for the short-term. The impact of this on the independence of Internal Audit is recognised in the Head of Internal Audit's Annual Opinion for 2019/20, along with arrangements for dealing with it.
 - c) Quality Control Questionnaires (QCQ) – the scoring methodology used by the Team was revised in Term 2 2019/20, where a score of 4 is now 'excellent' and 3 is 'good'. Appendix 1 has been updated accordingly, with the current average score being 3.44.

Proposed Internal Audit Plan for Term 2 2020-2021

14. Internal Audit has carried out updated consultations with senior managers (through the Corporate Leadership Team and the Departmental Senior Leadership Teams). Regular slots at these meetings are booked in on a rolling basis to coincide with the schedule agreed for the termly plans. These consultations have focused on emerging risks from the Covid19 pandemic and how the Internal Audit Term 2 plan can be flexed to accommodate new risk and to follow up on advisory work undertaken in Term 1.
15. Audit plans are determined on a risk basis, as required by the Public Sector Internal Audit Standards (PSIAS). As part of the planning process, account is taken of external sources of assurance, including the work of external inspectorates. Where audits are planned, pre-audit work will also include discussion with managers over sources of assurance that can be relied upon, to prevent duplication. The assurance mapping process is also now providing an important flow of intelligence to inform Internal Audit's planning.

16. Plans are compiled in accordance with PSIAS and they represent the Section's assessment of the key areas that need to be audited in order to satisfy the Authority's statutory responsibility to undertake an adequate and effective internal audit of its accounting records and its system of internal control. The Section's aim is to complete sufficient work to express an overall, annual opinion on the adequacy and effectiveness of the Authority's internal control systems. The annual opinion for 2019/20 has been completed and reflects on all Internal Audit's work over the three Terms in 2019/20, along with assurances available from other sources.

17. The Termly Plan is based on an Audit Risk Assessment to identify the priorities for audit coverage. Each area of activity in the Council is assessed in terms of the following factors:

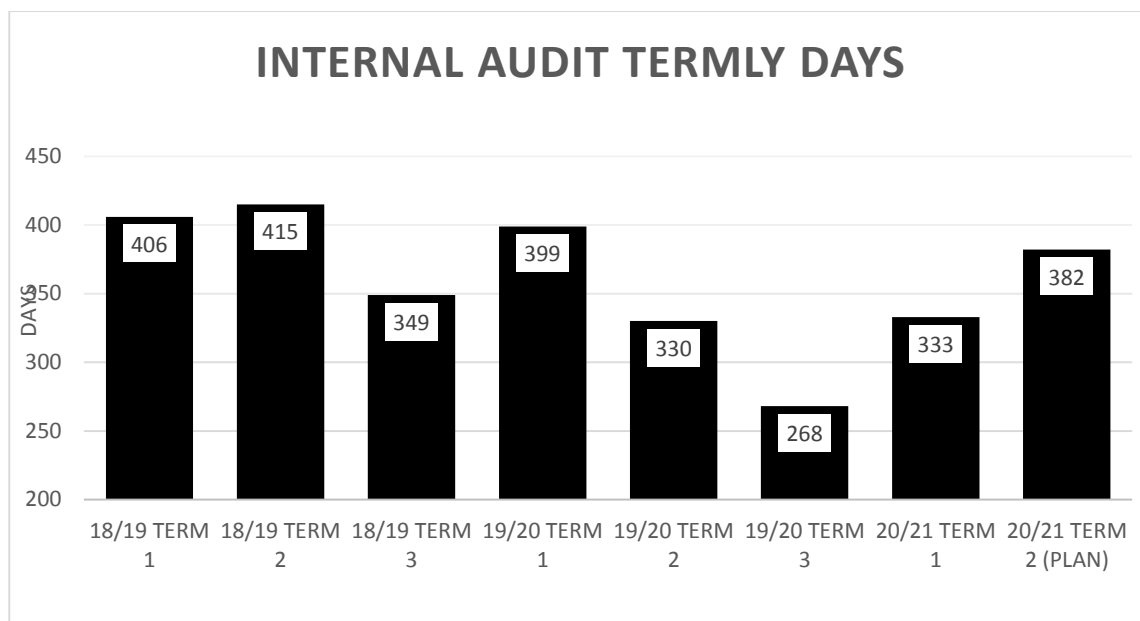
- Value and volume of transactions involved with the activity
- The known level of internal control in place (from previous audits)
- The exposure to fraud risk
- The relative complexity of the activity
- Whether the activity is stable or subject to change
- How sensitive the activity is for the Council among its key stakeholders
- The number of sites where the activity is carried out.

Using an established system of scoring and weighting the above factors, the Needs Assessment arrives at a high/medium/low risk-rating for each area of activity.

18. **Appendix 2** sets out details of the draft coverage by Internal Audit for Term 2, and it is summarised in the following table.

Department	Days	Number of Audits			
		High Priority	Med Priority	Other	Total
Council-wide	191	2	2	3	7
Children & Families	40	0	1	1	2
Adult Social Care & Health	41	2	0	0	2
Place	45	0	1	3	4
Chief Executive's	65	2	2	0	4
Total	382	6	6	7	19
External Clients (Notts Fire & Rescue Service)	44				
Grand Total	426				

19. The chart below shows the trend in the number of actual days delivered in recent terms, excluding the External Clients.



20. Term 2 will continue to be a period of transition as it embeds the appointments made in July 2020 to the two audit apprentice posts within the new staffing structure approved by Committee. Time is being built in to the plan for the delivery of the training and development programme for the new entrants.

Other Options Considered

21. The Audit Section is working to the Public Sector Internal Audit Standards during 2020/21. This report meets the requirement of the Standards to produce a risk-based plan and to report the outcomes of Internal Audit's work. No other option was considered.

Reason/s for Recommendation/s

22. To set out the report of the Group Manager – Assurance for Term 1 of 2020/21, and to propose the planned coverage of Internal Audit's work in Term 2 of 2020/21, providing Members with the opportunity to make suggestions for its content.

Statutory and Policy Implications

23. This report has been compiled after consideration of implications in respect of crime and disorder, data protection and information governance finance, human resources, human rights, the NHS Constitution (public health services), the public sector equality duty, safeguarding of children and adults at risk, service users, smarter working, sustainability and the environment and where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

Individual audits completed and in the proposed Termly Plan may potentially have a positive impact on many of the above considerations.

Financial Implications

The Local Government Act 1972 requires, in Section 151 that the Authority appoint an officer who is responsible for the proper administration of the Council's financial affairs. The Service Director for Finance, Infrastructure & Improvement is the designated Section 151 officer within Nottinghamshire County Council. Section 6 of the Accounts and Audit Regulations 2011 requires Local Authorities to undertake an adequate and effective internal audit of its accounting records and of its system of internal control. The County Council has delegated the responsibility to maintain an internal audit function for the Authority to the Service Director for Finance, Infrastructure & Improvement and Section 151 Officer.

RECOMMENDATION/S

- 1) Arising from the content of this report, Members determine whether they wish to see any actions put in place or follow-up reports brought to a future meeting.
- 2) That Members consider whether the planned coverage of Internal Audit's work in Term 2 of 2020/2021 will deliver assurance to the Committee in priority areas.

Nigel Stevenson

Service Director for Finance, Infrastructure & Improvement and Section 151 Officer

For any enquiries about this report please contact:

Rob Disney
Group Manager - Assurance

Constitutional Comments (KK – 19-08-2020)

24. The proposals in this report are within the remit of the Governance & Ethics Committee.

Financial Comments (SES - 19-08-2020)

25. There are no specific financial implications arising directly from this report.

Background Papers and Published Documents

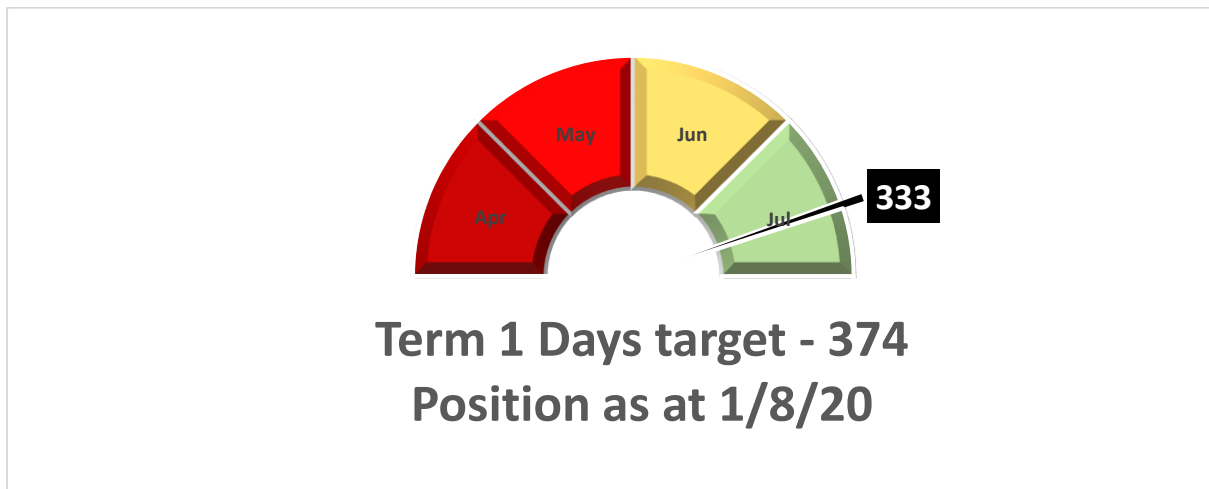
Except for previously published documents, which will be available elsewhere, the documents listed here will be available for inspection in accordance with Section 100D of the Local Government Act 1972.

- None

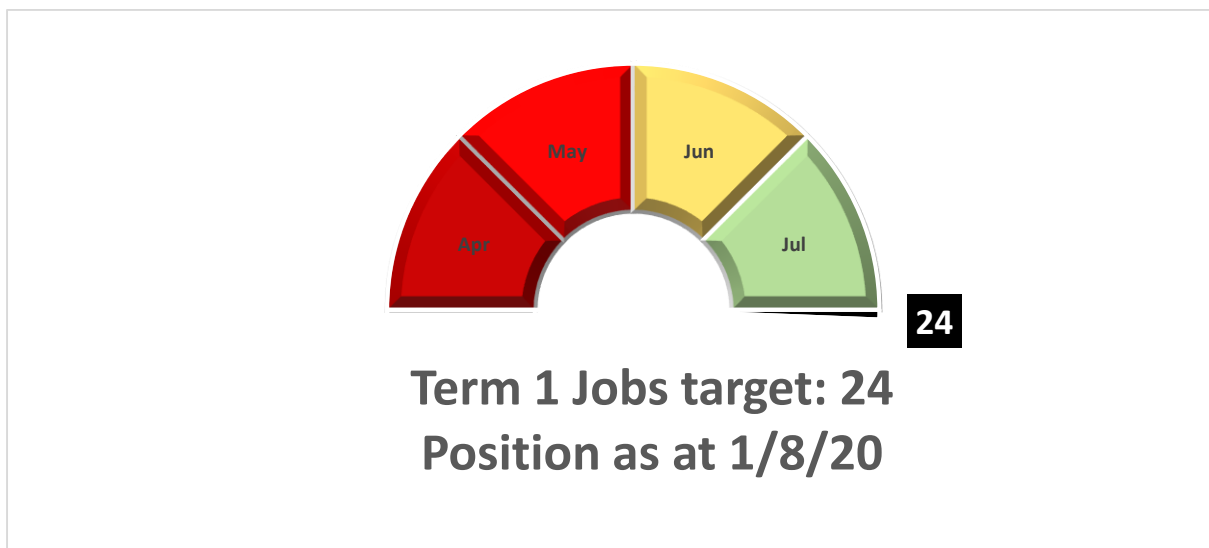
Electoral Division(s) and Member(s) Affected

- All

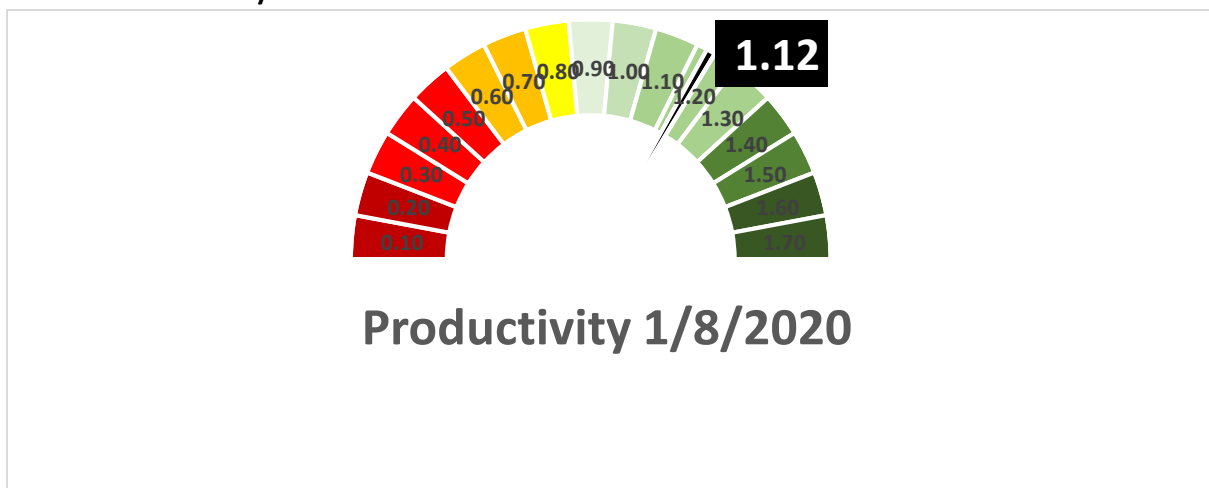
Term 1 – Inputs – Days Delivered



Term 1 – Outputs – Jobs Completed



Term 1 – Productivity Indicator



Key Performance Indicators

Performance Measure/Criteria	Target	Outcome in Term 1
1. Risk-aware Council		
Completion of Termly Plan – Days	90%	✗89%
- Jobs	90%	✓100%
Regular progress reports to: <ul style="list-style-type: none"> - Departmental Leadership Teams - Corporate Leadership Team - Governance & Ethics Committee 	1 per term 1 per term 1 per term	✓Completed ✓Completed ✓Completed
Publication of periodic fraud/control awareness updates	2 per annum	✓Annual Fraud Report – Sept 2020
2. Influential Audit Section		
Recommendations agreed	95%	✓100%
Engagement with the Transformation agenda	Active in 5 key projects during the year	✗Activity planned for Term 2 and 3 in 2020/21
3. Improved internal control & VFM		
Percentage of Priority 1 & Priority 2 recommendations implemented (Position as at January 2020 – to be updated Term 2 2020/21)	75%	✗55% Priority 1 ✓81% Priority 2
4. Quality measures		
Compliance with the Public Sector Internal Audit Standards (PSIAS)	Compliance achieved	✓Head of Internal Audit's self-assessment against PSIAS for 2019/20
Positive customer feedback through Quality Control Questionnaire (QCQ) scores	Feedback good or excellent (where a score of 4 is excellent and a score of 3 is good)	✓3.44

Internal Audit Plan: 2020-21 - Term 2							Appendix 2
Area of activity	Priority Level (if risk assessed)	Job count	Days planned and nature of audit coverage				Likely scope
			Assurance	Advice/ Consultancy	Counter- Fraud	Certification	
Council-wide areas							
Third Party Risks (continued)	M	1	15				Council's approach to managing its arrangements for service provision by third parties, based around guidance developed by the Institute of Internal Auditors.
Continuous audit assurance (continued)	M	1		30			Continue the development of continuous assurance, to provide routine assurance that core processes are operating as intended, or identify areas for management attention.
Overview of Council's second phase of response to Covid-19	H	1	25				Following review of the Council's initial response to Covid-19, a further overview of the second phase of the response, as recovery and the new normal is anticipated.
Post-Covid19 recovery and renewal plans (previously Service Planning)	H	1	10				Redirect resources from an intended review of Service Planning to a review of the arrangements for post-Covid19 recovery and renewal plans as agreed with CLT.
Post-Covid19 transformational projects	M	0		10			The Council is currently re-focusing its transformation agenda following Phase 1 of Newton Europe's work, and Internal Audit plans to engage in the refreshed programme of corporate programmes once they are agreed in the autumn.
Updating corporate and departmental risk registers	M	0		30			A report is being prepared for consideration by CLT which would change how strategic risk is managed by the Council. The corporate risk register will also be maintained on a continual basis through regular reporting to, and consultation with, RSEMB..
FFCL - Counter Fraud - Post Payment Assurance	H	0			15		Undertake and assessment of the Council's Counter fraud arrangements using the latest Fighting Fraud and Corruption Locally Strategy. Identify areas for subsequent counter fraud activity as a result of the assessment.
Pro-active counter-fraud – <i>NFI 2018-20 - Review of Matches</i>		1			5		Review and report on the completion of Recommended matches by the Key Contacts within departments for Cabinet Office
Fraud alerts		0			1		Review and dissemination of fraud alerts from national counter-fraud agencies
Financial irregularities - investigations and lessons learned		0			0		Responding to being informed about possible or suspected financial irregularities. Advising the client and others as necessary.
Action tracking of agreed audit recommendations		1	20				Regular action tracking of all outstanding agreed recommendations, and six-monthly reporting to the G&E Committee
Assurance mapping & Statutory Officer updates		1	10				Consultation on assurance mapping for 2020/21 and drafting of new Key Lines Of Enquiry (KLOE) areas for subsequent reporting
Governance & Ethics Committee		0		10			Preparation of reports in accordance with the Governance and Ethics Committee annual work plan and attendance at meetings
Client management		0					Planning and termly progress reports to Corporate Leadership Team

Page 55 of 144

Area of activity	Priority Level (if risk assessed)	Job count	Days planned and nature of audit coverage				Likely scope
			Assurance	Advice/ Consultancy	Counter- Fraud	Certification	
Advice		0		5			Advice to client on financial and other controls, on request
Sub-Totals			80	90	21	0	
Grand Total		7	191				
Children and Families							
External Placements (continued)	M	1	10				Review the operating model; commissioning; placement agreements and contract management; payments; health and education contributions; budgetary control. Take account of any supplier relief enacted during the initial Covid19 phase owing to non-operational contracts.
Through Care - Permanence	M	0	10				Financial controls over Adoption financial support, Special Guardianship Orders and Child Arrangement Orders
Post 18 Placements	M	0	7				Delivery of the Staying Put Policy, and the financial impact and opportunity costs arising from it. Also, the wider accommodation issues at post 18, including the possibility we sometimes pay for accommodation that housing benefit should pay for. Finally, adherence to the procurement regulations.
Advice - including an appraisal of Futures		0		5			Advice to client on financial and other controls, on request. Regarding an appraisal of Futures, which involves C&F and Place, this will take account of its inherent complexities, including due to Board structures and the Teckal exemption.
Beeston Youth and Community Centre accounts		1				3	Certification of annual accounts
Client management		0		5			Planning with, and termly progress reports to, Senior Leadership Team.
Sub-Totals			27	10	0	3	
Grand Total		2	40				
Adult Social Care and Health							
Hospital discharges	H	1		15			In the light of Covid-19, to review how decisions are made to determine packages of support, and the funding implications flowing from these decisions. The focus will be upon the application of the new national hospital guidance.
Safeguarding	H	1	15				Covid-19 has increased the risk that people will be subject to a breach of human rights, abuse or neglect. Our likely areas of focus will be on governance, monitoring and reporting. We will also consider and validate any other assurance available from external and internal sources.
Audit meetings with ACFS - financial irregularities		0			1		Regular liaison to address concerns of misuse of direct payments, and other possible financial abuse involving service users

Area of activity	Priority Level (if risk assessed)	Job count	Days planned and nature of audit coverage				Likely scope
			Assurance	Advice/ Consultancy	Counter- Fraud	Certification	
Client management		0		5			Planning with, and termly progress reports to, Senior Leadership Team.
Advice		0		5			Advice to client on financial and other controls, on request
Sub-Totals			15	25	1	0	
Grand Total		2	41				
Place							
Transport and Travel Services - Covid-19 claims and payments (continued)	M	1	10				Review revised control arrangements to manage Covid-19 claims and payments
Facilities management - reorganisation of offices (continue)	M	0	15				Continue the work commenced in relation to facilities management and review the scope to incorporate developments required due to covid19
Trading Standards Operational Grants (continued)		1				6	Certification of four expenditure returns for BEIS/NTSB grants for Regional Investigation Team plus three discrete operations
Platt Lane Playing Field Accounts		1				1	Audit review and sign off of the annual accounts
Local Authority Bus Subsidy Ring-Fenced (Revenue) Grant		1				3	Complete the certification of annual bus services operating grants
Client management		0		5			Planning with, and termly progress reports to, Senior Leadership Team.
Advice		0		5			Advice to client on financial and other controls, on request
Sub-Totals			25	10	0	10	
Grand Total		4	45				
Chief Executive's							
Active Directory (continued)	M	1	5				Review internal controls in place to ensure that the robustness of the directory is maintained.
Cloud computing / Data Centre	H	0		10			Review controls in place for contracting cloud services, contract monitoring arrangements and for continued service delivery and security. This will include the residual data centre provision at County Hall; in particular the physical and environmental control requirements.
LGPS Central - Governance	H	1		5			Advisory work on the control environment and assurance provided through the LGPS AAF reporting process.
LGPS Central - Partner Auditor Assignments - TBC	M	0	10				Working with the LGPS Partner Audit Group to complete audits in line with coverage agreed with LGPS Central Ltd.
Payroll Data Analytics - Additional Payments	M	1		5			Complete additional data analytics work as requested by the client to develop previous data analytics work undertaken in relation to schools

Area of activity	Priority Level (if risk assessed)	Job count	Days planned and nature of audit coverage				Likely scope
			Assurance	Advice/ Consultancy	Counter- Fraud	Certification	
Reconciliation of Insurance claims - Beechwood House	M	0		10			Complete a review of insurance claims in relation to Beechwood House and reconcile details to insurers records
Provider Payments - Post Payment Assurance	H	1	10				Assurance that revised payment processes to expedite payment to care and education providers have been made in accordance with revised control processes.
Client management				5			Planning with, and progress reports to, Senior Leadership Team.
Advice				5			Advice to client on financial and other controls, on request
Sub-Totals			25	40	0	0	
Grand Total		4	65				
Sub-Totals			172	175	22	13	
Grand Total		19	382				

7 September 2020**Agenda Item: 8****REPORT OF SERVICE DIRECTOR FOR FINANCE, INFRASTRUCTURE &
IMPROVEMENT****ANNUAL FRAUD REPORT 2019/20****Purpose of the Report**

1. To present to Members the Council's Annual Fraud Report, and to invite feedback on the content.

Information

2. The Council's strategy for countering fraud and corruption includes the requirement for an Annual Fraud Report to be submitted to the Governance & Ethics Committee. This requirement is included in the strategy with a view to demonstrably strengthening the counter-fraud culture at the Council.
3. The attached report represents the fifth edition of the Annual Fraud Report. It sets out an update regarding national fraud risks impacting on the County Council, the preventative and detected incidents identified over the last 12 months and an assessment of the Council's resilience to attacks. The report also reviews progress against the fraud related actions planned for delivery in 2019/20, along with those to be pursued in 2020/21 to ensure the Council's defences against fraud are maintained.

Other Options Considered

4. None, since the requirement to publish an Annual Fraud Report is a feature of the Council's strategy for countering fraud and corruption.

Reason for Recommendation

5. To inform the Committee of the Council's current arrangements for tackling fraud and corruption and to invite suggestions for how those arrangements can be improved.

Statutory and Policy Implications

6. This report has been compiled after consideration of implications in respect of crime and disorder, data protection and information governance, finance, human resources, human rights, the NHS Constitution (public health services), the public sector equality duty, safeguarding of children and adults at risk, service users, smarter working, sustainability and the environment and where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

RECOMMENDATION

- 1) That the Committee notes the content of the Annual Fraud Report 2019/20.
- 2) That the Committee offers its feedback on the adequacy of the Council's current and planned arrangements for tackling fraud and corruption.

Nigel Stevenson

Service Director for Finance, Infrastructure & Improvement

For any enquiries about this report please contact:

Rob Disney

Group Manager - Assurance

Constitutional Comments (SS 19/08/2020)

Governance and Ethics Committee are the appropriate committee to receive this report and they have the power to act upon the recommendations therein.

Financial Comments (SES 19/08/2020)

There are no specific financial implications arising directly from this report.

Background Papers and Published Documents

Except for previously published documents, which will be available elsewhere, the documents listed here will be available for inspection in accordance with Section 100D of the Local Government Act 1972.

- None

Electoral Division(s) and Member(s) Affected

- All

ANNUAL FRAUD REPORT

2019/20

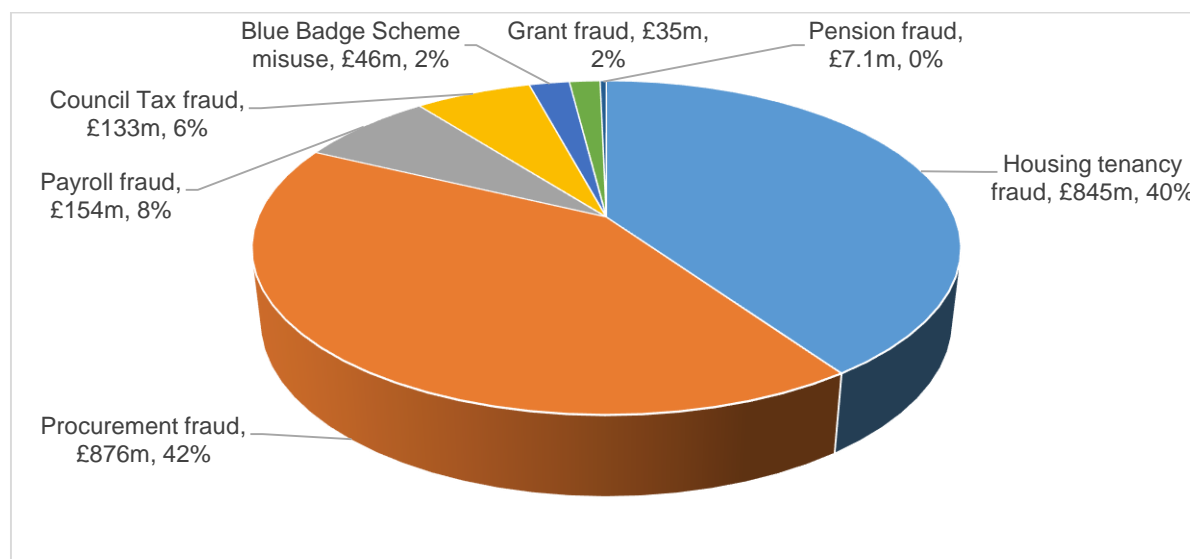
Contents

1	National Fraud Landscape	2
2	Instances of Fraud Prevention and Detection at Nottinghamshire County Council	4
3	Fraud Risk Assessment (FRA)	9
4	How is Nottinghamshire County Council responding to fraud risk	10
5	Action Plan	15

1. National Fraud Landscape

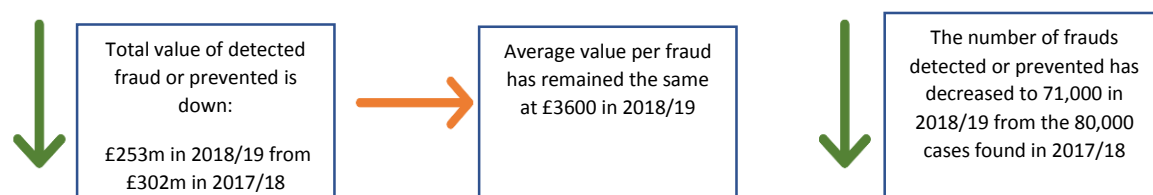
- 1.1. The Cifas publication, 'Fighting Fraud & Corruption Locally' (FFCL), was published in 2016 and, supported by the CIPFA Counter Fraud Centre (CCFC), remains the local government counter fraud and corruption strategy. The strategy was renewed in 2020 and the Council's Internal Audit Team actively engaged in the consultation process for this refresh.
- 1.2. The FFCL strategy provides a blueprint for a response to fraud and corruption perpetrated against local authorities, following the core principles of 'Acknowledge, Prevent and Pursue'. In addition, the latest iteration of the strategy includes two further areas, 'Govern and Protect'. The latest compilation of figures included in the 2020 strategy (2013 stats) estimates fraud losses across all sectors in the UK annually to be £52 billion, of which £20.6 billion is thought to be perpetrated against the public sector.
- 1.3. In 2017, the Annual Fraud Indicator estimates were refreshed and suggest that fraud in local government annually could now be as high as £7.8bn out of a total of £40.4bn for the public sector as a whole. These figures have not been quantified for the purpose of this report and for consistency we have referred to the Local government losses, as compiled by the National Fraud Authority in 2013. These were considered to be around £2.1 billion, comprising the following components:

Figure 1 – Breakdown of estimated losses of £2.1 billion to fraud in local government



- 1.4. Furthermore, the Local Government Association (LGA) has stated that Council leaders have reported a 40% increase in reported scams since the start of the Coronavirus crisis. However, reported detection and prevention is down against these figures.
- 1.5. The Council takes part in the CCFC's Counter Fraud and Corruption Tracker (CFaCT) which continues to provide a national picture on the types of fraud, bribery and corruption in local government. Around 60% of County Councils responded to the CFaCT 2019 survey. The tracker allows the Council to consider trends and analysis in a meaningful, comparative way. Key findings from the 2019 exercise are set out below:









2019 key results













Source: CFaCT Summary Report 2019 – based upon estimated total figures

The main targets for fraud, based on the volume of investigations or value of the financial loss, are set out below in Figure 2.

Figure 2 – Key targets for fraud against local authorities extracted from CFaCT

Fraud Target	Movement in Value/Volume 2017/18 to 2018/19	Context to fraud target
Disabled Parking Concessions	 Nearly 50% decrease in volume  32% increase in value	<ul style="list-style-type: none"> No standard way to calculate the value of this type of fraud Offenders are often prosecuted and fined Cost awarded to prosecuting authority but may not meet the full cost of the investigation and prosecution This type of fraud may be an indicator of other benefits-related frauds
Adult Social Care – personal budget	 30% decrease in volume  200% increase in value	<ul style="list-style-type: none"> The steady decline in personal budget fraud in 2017/18, which saw the average value per case for all adult social care cases reduce from £12,500 to £9,000, was reversed in 2018/19 where the average value per fraud increased to £29,000. This was primarily as a result of a small number of very high value frauds in two councils. Excluding these, the decline in value and volume has continued. Other fraud showed a 39% decline in numbers of cases and a small increase in value overall from £4m to £4.1m across all councils. Whilst many authorities have strengthened controls and funded training to tackle personal budget fraud resulting in positive outcomes in terms of volume of cases, the small number of large frauds shows the scope of possible fraud in this area.
Adult Social Care - other	 39% decrease in volume  17% increase in value	
Insurance	 171% increase in volume  260% increase in value	<ul style="list-style-type: none"> The volume of insurance frauds in 2018/19 was 318 cases, compared to 117 in 2017/18 and the value was £12.6m compared to £3.5m respectively. Analysis shows many cases relate to injury at work and low value public liability claims. Targeted work to tackle insurance fraud - insurance companies are working with organisations to develop new ways to identify fraud and abuse within the system. These actions have contributed to higher levels of fraud detection and prevention through risk management.

Fraud Target	Movement in Value/Volume 2017/18 to 2018/19	Context to fraud target
Procurement	 12% reduction in volume  290% increase in value	<ul style="list-style-type: none"> The increase is attributed to mainly one organisation, which shows that this remains one of the most significant areas of fraud risk. The volume of prevented or detected frauds was 125, whereas the value increased from £5.2m in 2017/18 to £20.3m in 2018/19. It can be difficult to measure the value of fraud cases 12% of reported cases were insider fraud A further 5% were linked to serious and organised crime.
Serious & Organised Crime	 Number of cases halved	<ul style="list-style-type: none"> All this year's cases came from larger districts, London Boroughs and Counties. 35% of Councils responding include serious and organised crime in their risk registers. Ministry of Housing, Communities & Local Government is targeting this area and its links with procurement fraud.
Payroll	 Volume remained static  Value increased 700%	<ul style="list-style-type: none"> The increase in payroll fraud from £1.01m 2017/18 to £8.77m in 2018/19 was inflated by one incident of payroll fraud that was prevented. Payroll has had the highest volume and value of fraud out of these four areas for every year since 2017/18. Recruitment fraud has the second highest with an estimated average of £11k per case. - Fraud in this area includes false job histories, qualification, references and right to work in the UK etc. Fraud practitioners' work often results in applications being refused or withdrawn, therefore the value of cases is likely to represent estimated savings in salary that would otherwise have been paid.
Expenses	 Volume and value remained the same	
Recruitment	 36% decrease in volume  22% decrease in value	
Pension	 6% reduction in volume  60% reduction in value	

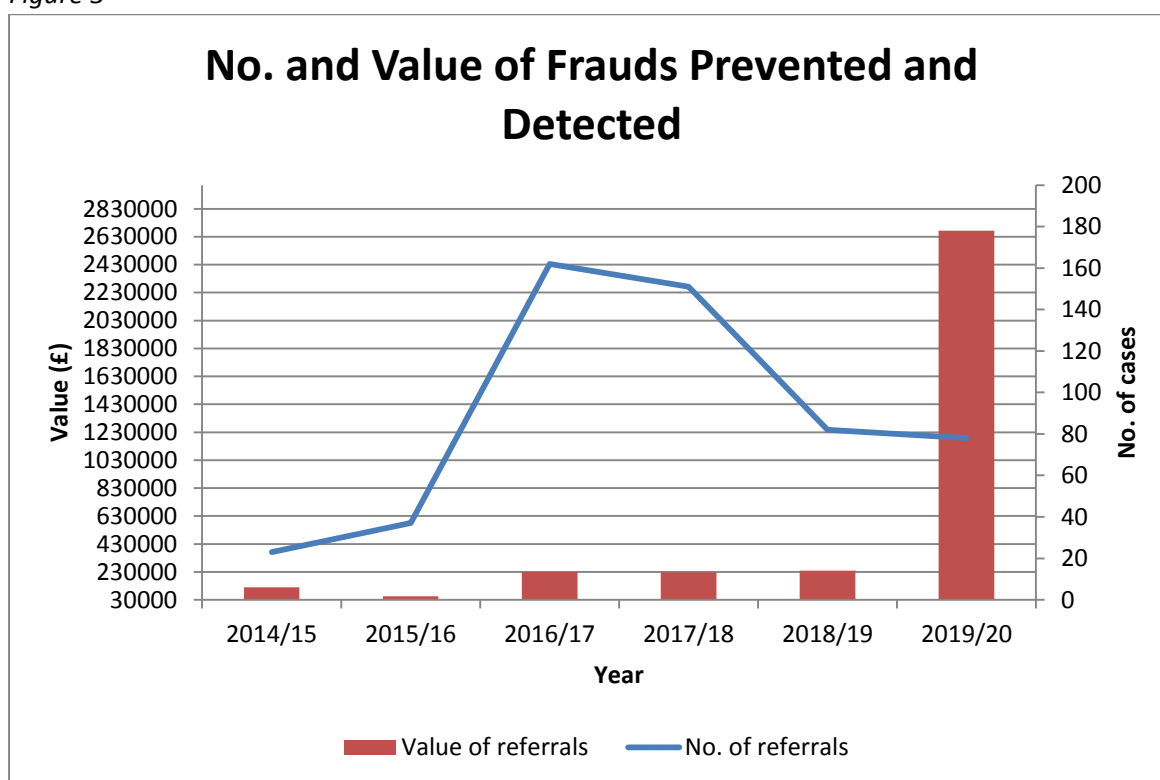
2. Incidence of Fraud Prevention and Detection at Nottinghamshire County Council

- 2.1. The Council is committed to responding to the threat of fraud and it continues to take a zero-tolerance stance. Internal Audit, the Counter Fraud Specialist and departmental staff undertake a variety of activities on a daily basis that prevent and detect fraud. A minority of cases result in sufficient evidence to warrant the use of the prosecution sanction.
- 2.2. Within this section we have tried to recognise both fraud detection and fraud prevention outcomes in assessing the value of the Council's overall exposure to suspected and possible fraudulent activity.
- 2.3. During 2019/20, updates on counter fraud activities and suspected cases were brought to the attention of the senior leadership team and were also discussed at regular meetings between the

Group Manager – Assurance and the Chair of the Governance & Ethics Committee. The progress with counter fraud activities and case work is reported in the form of a Counter Fraud Progress Report to the Governance & Ethics Committee during the year.

- 2.4. Figure 3 analyses the trend over the last five years in the number and value of fraud prevention and detection cases at the Council. In 2019/20, the total number of cases has remained much the same, however, the estimated value has increased considerably. Members were notified in December 2019 that due to the vigilance and prompt action by staff in the Business Services Centre, a fraudulent payment of £1.9m was blocked and the matter was reported to Action Fraud. Similarly, two further attempts to change bank account details of supplier invoices were also prevented due to staff vigilance, saving £212,425. NCC savings were also identified as a result of Adult Social Care financial checks for contributions towards direct payments (estimated at £352,872). The remaining cases included in the analysis incorporate activity to prevent payments, stop incorrect entitlement, reduce contributions paid by the council or to challenge insurance claims.

Figure 3



- 2.5. The chart above shows an increased value of detected and prevented fraud compared with recent years. A summary of the cases identified in 2019/20 is presented below:

Figure 4 - Summary of prevented and detected cases of fraud concluded in 2019/20

Nature of fraud	No of Cases	Detection Source	Value involved (£)	Response status
Insurance – suspected fraudulent claims	4	Internal controls within claims handling	78,800	These claims were successfully defended

Nature of fraud	No of Cases	Detection Source	Value involved (£)	Response status
Social Care – Financial Assessments – Deprivation of assets	48	Internal Controls through ASCH Reviewing Team	352,872	Estimated annual reduction in NCC costs as a result of checks
Unproven	9			
Social Care – Carer used appointee’s pre-paid bank cards - 3 people	1	Unknown	3,000	Court action taken and carer paying back service users.
Social Care – Cloning of purchase cards used at a care home	1	Internal controls and bank checking	2,711	£2,500 payment stopped by bank and rest reimbursed
Social Care – Deprivation of assets	1	Police identified through other investigations	45,000	Police continue to investigate
Social Care – Theft of safe and contents	1	Internal Controls	53	Investigated by Police and Barclays bank. Cheques stopped
Social Care – Misuse of funds in Children’s Centres	2	Internal Controls	5,056	TBC
Social Care – Direct Payments Misuse	2	Internal Controls – Annual Audit	1,350	Invoices raised and recovery in progress
Social Care – Non notification of death at a care home	1	NFI checks	6,409	Monies recovered from Care Home
Schools – Cheque Fraud – attempted cloning of cheques	2	Internal Controls and Bank notification	49,460	Investigated by Barclay card, cheques stopped and reimbursed
Schools – False supplier payment through hacked School email account	1	Internal Checks	13,733	Bank returned funds
HR – Employee lost Service User funds	1	Internal Controls	200	HR took disciplinary action
Business Support Centre – Bank mandate fraud	2	Internal Controls	214,425	Payments prevented due to internal controls
Business Support Centre – Bank mandate fraud	1	Prevented through internal controls	£1.9m	Reported to action fraud
Insurance – successfully defended claims	1	Internal controls within claims handling	2.2m *	Internal controls
TOTALS	78		2,673,069	
Cyber Security (numerous daily attempts)		ICT controls	Unquantifiable	External and internal defence systems to prevent and detect attacks

Nature of fraud	No of Cases	Detection Source	Value involved (£)	Response status
Blue Badge – Misuse (0, PCNs issued, 12 stolen badges cancelled)		Civil Parking Enforcement Officers	Unquantifiable	Misuse resulting in the cessation of pass
*1 – value for outcome excluded for consistency of comparison				

2.6. Figure 4 above demonstrates the continuing counter fraud strategy over the past few years for focusing on prevention and detection of fraud. This can be attributed to a number of factors including:

- Corporate Leadership Team and senior member commitment to the counter fraud agenda through the development and backing of the Counter Fraud and Counter Corruption Strategy
- Raising awareness of the counter fraud agenda among all our staff, along with improving understanding and arrangements for capturing instances of detected and prevented fraud
- Continued engagement with national research, intelligence gathering and development of data analysis
- Risk assessment to identify emerging risks and to target reviews in higher risk areas.

2.7. In compliance with the Transparency Code, NCC publishes summary information on its website each year concerning its arrangements for countering fraud. This includes the number of fraud cases investigated each year. The published details for the past three years are shown below.

Figure 5 – Transparency Data

Information	2017/18	2018/19	2019/20
No. employees involved in fraud investigation	28	25	29
No. professionally accredited fraud specialists	1	1	1
Cost of employee time investigating fraud	£71,614	£72,744	£159,167
No. fraud cases investigated	151	82	81

2.8. The cost of staff actively involved in identifying fraud has increased since the previous year, mainly due to more robust engagement of ACFS in challenging the deprivation of assets when reviewing adult care financial assessments. Consequently, this has resulted in the value of savings to NCC being significantly higher in this area.

Comparison of NCC's fraud exposure against national trends

2.9. A comparison of the fraud experience at Nottinghamshire over the past year against the national trends summarised above identifies a number of points of note:

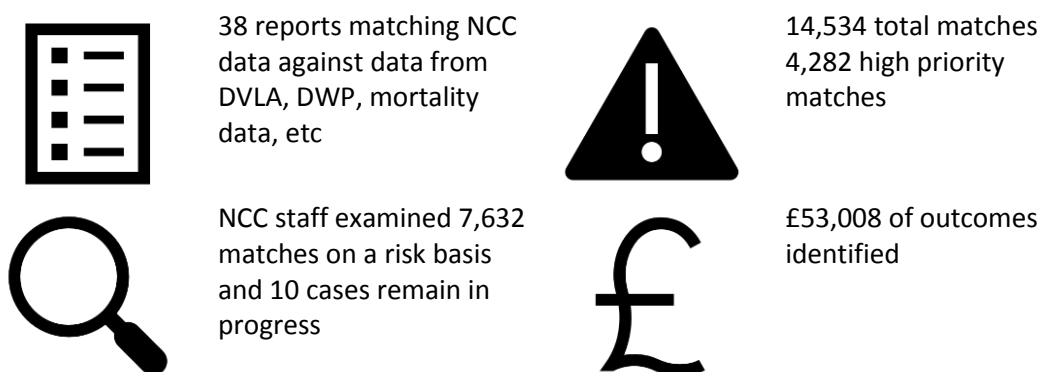
- Disabled parking concessions** – National trends show a decrease in the number but increase in the value of cases identified. NCC has shown a decline in the identification of cases over the last 12 months. This is due in part to there being no dedicated staff actively looking for this type of fraud. This is an area that Internal Audit and the Counter Fraud Specialist had previously identified as an outlier for priority attention in 2019/20. Further analysis on Blue

Badges using the latest NFI value and recording cancellations continues to be a focus and 576 badges were cancelled as a result of the 2018/20 exercise (in previous year's this figure was not captured although NFI checks did result in badges being revoked). However, this remains an area for further development.

- b) **Adult social care deprivation of assets** – in common with national trends, NCC continues to identify cases of fraud and error within the adult social care environment. Although this year, the number of new cases of deprivation of assets detected has declined slightly, the value of those detected has increased significantly, saving the local authority and estimated £352k. The Direct Payments Team is working with the Reviewing Team using new process maps for taking strong recovery actions and sanctions – see section 4.15.
- c) **Insurance** – in common with national trends, NCC has identified and defended higher numbers of fraudulent claims which is due in part to the internal controls in place and additional training previously provided to Insurance Claim Handlers.
- d) **Mandate Fraud** – Three attempts were made to change bank details for suppliers including two for one supplier, saving £2.1m and another for a Taxi operator saving over £5k.

National Fraud Initiative (NFI)

2.10. Internal Audit continues to be the key point of contact for NFI. The 2016-18 exercise has now been completed and the key statistics for Nottinghamshire were:



2.11. The 2016-18 NFI national outcomes in the headline categories of fraud for County Councils are shown below, alongside the NCC outcomes. A statement with the full picture for 2018-20 will be provided to a subsequent Committee meeting once the data matching exercise has been completed.

Figure 7

Category	NFI	NCC 2016-18	NCC 2-18-20 (To date)
Pension Overpayments (Deceased)	£144.8m	£*	£69,511
Personal budgets	£0.5m	£5,848	£2,049
Trade Creditors	£4.3m	£1,498	£0
Payments to Private Care Homes for Deceased Persons	£275	£0	£6,409
Total	£6.248m	£7,346	£77,969
Other significant results			
Blue Badges cancelled or withdrawn (no's)	31,223	*	576
Concessionary Travel Passes Cancelled (no's)	234,154	2	0

* Figures not previously recorded, although checks were undertaken

Figures on the above table are included in figure 4 where appropriate.

- 2.11. The Customer Service Centre have been pro-active in the last year in identifying and cancelling blue badges that should no longer be in use - highlighted through the NFI process. This has led to 576 badges being cancelled.

3. Fraud Risk Assessment (FRA)

- 3.1. Internal Audit annually reviews and updates the Council's FRA to assess the nature of fraud and corruption threats to the Council. The assessment draws on intelligence from a variety of national publications (Cifas – FFCL), professional bodies (CIFPA) and our collaboration with Assurance Lincolnshire. In addition to intelligence gathered from these networks, information is also drawn from:

- National Anti-Fraud Network and National Fraud Intelligence Bureau alerts which are routinely received, reviewed and disseminated by Internal Audit.
- Discussion with service managers across the Council to understand inherent and residual risks facing services vulnerable to fraud.
- Head of Internal Audit's knowledge and risks from core systems and the assurance mapping process.
- Analysis of incidences of suspected cases at the Council.

- 3.2. The latest review and update of the FRA highlights the following threats as potentially having the highest impact at the Council:

External Threats

- Procurement Fraud – during the contract management stage of activities and including invoices for services not delivered, received or sub-standard.
- Adult Social Care – Providers' additional claims (due to Covid 19)
- Adult Social Care – Personal Budgets
- Adult Social Care – Misuse of Direct Payments
- Adult Social Care – Deprivation of assets to increase the Council's contribution for care costs
- Travel and Transport – operators' additional payment claims (due to Covid 19) Economic and Voluntary Sector Support Fraud / Grant Fraud (due to Covid 19)
- Pension Fund – continuation of payments in respect of deceased persons
- Blue Badge – invalid use of parking permits

Internal Threats

- Collusion – two or more employees acting together to nullify internal checks
- Banking – including the misappropriation of cash, bank reconciliation and bank mandates
- Payroll – submission of false claims for overtime, allowances and expenses
- Procurement – abuse of procurement processes and procurement cards
- Payments – abuse of position due to temporary reduced levels of control over emergency payments.

- 3.3. Due to the recent additional pressures Covid 19 has placed on internal controls, particularly in the areas of grant payments and the procurement of emergency goods and services, additional fraud risks have been identified in the latest iteration of the FRA 2020-21. As such, whilst we are transitioning from emergency response through to recovery and renewal, additional focus will be on 'post-payment assurance' and post-verification checks.
- 3.4. Activities to address the risks are subsequently included within Internal Audit's termly planning process. The Council's resilience to these higher risk exposures to fraud is highlighted in the next section of the report and an action plan is included at the end of this report to identify how the residual threats are being addressed.

4. How is Nottinghamshire County Council responding to fraud risk?

Governance and Members

- 4.1. The Council's Governance and Ethics Committee continues to provide the focal point for member engagement with the counter fraud agenda. Members oversee the review of policies and guidance material that underpin the delivery of the counter fraud agenda across the Council. During the year members have been appraised of the development and review of the work of internal audit and the counter fraud specialist in relation to:
- Counter Fraud Progress Report;
 - Public Sector Audit Appointments;
 - Review of Counter Fraud & Corruption Policy; and
 - Fraud Response Plan.
- 4.2. Internal Audit supports the counter fraud agenda with periodic reports on plans and progress through routine updates and meetings with the Chair of the Governance and Ethics Committee, to discuss developments and potential fraud cases.

Internal Audit and Counter Fraud

- 4.3. The Internal Audit Team, through the CIFPA Accredited Counter Fraud Specialist, continues to promote the counter fraud agenda through the dissemination of information and advice to co-ordinate the counter fraud messages. This has been re-enforced to staff across the council through the development of on-line fraud awareness materials and through 'Team Talk' and 'Intranet News' items over the year and to coincide with the International Fraud Awareness Week in November 2019.
- 4.4. In accordance with the actions detailed in Section 5 – the Action Plan, over the last 12 months the Counter Fraud Specialist has been engaged with CIPFA, MHCLG and Cifas in order to contribute to, and gain insight from, the national fraud agenda. Cifas, supported by the Local Government Association and CIPFA, have refreshed the FFCL strategy and MHCLG have published a review of fraud and corruption risks within procurement as part of the UK Anti-Corruption Strategy. The Council, through the Counter Fraud Specialist, has been engaged in the development of these publications and is well placed to compare NCC practice to these national publications.
- 4.5. During the year the Council's Counter Fraud Strategy and supporting policies, such as the Council's Anti-Money Laundering Policy and Fraud Response Plan, have been reviewed and

refreshed. In addition, in light of a new EU Directive to protect Whistleblowers (April 2019), the Council is to undertake a more detailed review of the Whistleblowing Policy during the course of 2020.

- 4.6. The Counter Fraud Specialist has developed links with other teams across the Council to promote and disseminate the counter fraud messages and to address some of the national risk areas. Work has been undertaken with the Ministry of Housing Communities & Local Government (MHCLG) and Procurement to review potential cartels and engage with a national study into Procurement Fraud and Corruption Risk. The results of the review were published in June 2020 and, in the midst of this work, the immense pressure for local authorities to deliver services at pace for their communities relating to the Covid 19 crisis has proven timely. The report outlines lessons that can be learnt and a risk matrix, which highlights possible measures councils could implement to strengthen their resilience to the risks of fraud in current times.
- 4.7. The results of this work will provide insight at a national level on techniques and approaches to address the various stages of procurement fraud. In the meantime, this insight has been used to develop a pro-active piece of internal audit work in relation to contract management which forms part of the post procurement stage.
- 4.8. Recent links have been made with Risk & Insurance and Trading Standards:
- Risk & Insurance - potential for intelligence gathering and data sharing with Zurich Mutual, who have access to industry networks and co-ordinated links with the City of London Police, along with development of the Insurance Team's Insurance Fraud Policy.
 - Trading Standards - exploring the co-ordinated use of investigation resources to support investigations undertaken by Internal Audit.
- 4.9. Internal Audit has taken the lead on the completion of the Serious and Organised Crime audit endorsed by the Home Office and the Ministry for Housing, Communities and Local Government. Since the previous annual fraud report this piece of work has been completed, recommendations made and implemented. We have provided an update to members of the Governance and Ethics Committee on subsequent progress. A key element of this work was closer liaison with the National Government Agency Intelligence Network (GAIN) Coordination & Disruption Team Manager to refine matches within the data-washing exercise. The first exercise identified no targets, however further data washing exercises are to take place on a six-monthly refresh basis. This work will continue throughout 2020/21.
- 4.10. The Council continues to utilise a range of fraud prevention techniques including the use of technology to detect and prevent fraud. Internal Audit has been involved in the use and development within departments of several solutions as set out below:
- Data Analytics – using data analytic software (IDEA and Excel) to process high volumes of data populations, not only to provide additional assurance to management on the effectiveness of internal controls but also to identify outliers. Internal Audit has developed the use of data analytics through its Data-Enabled Audit Strategy in a number of assignments over the last 12 months, notably in relation to audit work on the payroll and HMRC.

- Business Services Centre – the use of pre-payment software to detect duplicate payments ahead of authorising payments continues to generate successful results. The BSC has also developed the use of software to monitor transaction compliance against expected internal controls. Breaches are subsequently reported to management.
- Data Matching – Internal Audit continues to co-ordinate participation in national exercises such as NFI and NFI Recheck, but also use local forums to share intelligence and approaches with other Councils.
- ICT - continue to use technology on a daily basis to detect and deflect virus, malware and other malicious attacks against the Council.

Business Services Centre (BSC)

- 4.11. A range of fraud preventative activities are carried out by the BSC as part of the recruitment process and the setting-up of new employees on the payroll
- The BSC requires all new and existing employees taking up new posts to provide evidence of their right to work in the UK.
 - Details of employees with temporary leave to remain in the UK are logged within BMS and managers notified through the BMS worklist to complete the necessary recheck.
 - The BSC introduced an online referencing application with inbuilt alerts in March 2018 and as a result of this have seen an increase in reference response rate from 35% to 85%. This also resulted in a reduction in the time for completed references to be returned; these are normally returned within 3 days.
 - Disclosure and Barring Service (DBS) checks (including identity checks) are carried out for prescribed categories of employee.
- 4.12. The BSC reviewed the use of 3rd party analytical software to identify potential duplicate supplier payments and the decision was taken not to renew the contract when a comparison of the cost and recovery was undertaken due to the limited benefit it offers. The BSC utilises the NFI data checking service. This identified a duplicate payment of £26,880 (£22,400 and £4,480 VAT). The reason being that 2 purchase orders were raised in error for the same charge, paid against 2 different invoice numbers and against 2 different vendor numbers (contract novation between 2 companies).
- 4.13. The BSC continues to use the NFI Re-check service for DWP payments on a 6 monthly basis. In September 473 matches were returned with a total overpayment of £42,950.74 identified. 333 of these cases had already been picked up through the normal checks undertaken by the BSC, the remaining 140 had been overpaid, of which 110 have been sent an invoice. Further probate checks are being undertaken in respect of the 30 outstanding cases so that invoices can be sent. In addition, a total of 35 matches were reported back following the Re-Check undertaken in early 2020 involving potential overpayment to the value of £26,560.18. Next of kin details were only available for one member. Probate checks are being pursued for the remainder. If next of kin details are confirmed, invoices will be issued to recover the overpayment.

Cyber Security

- 4.14. The cyber security agenda continues to make national headlines, and this is compounded with the current national restrictions caused by the world wide Covid 19 Pandemic. Cyber security risk continues to be reviewed and updated via the Corporate and ICT Risk Management Process, and in line with the National Cyber Security Centre (NCSC) and Local Government Association (LGA) Directives and Best Practices. The Council's ICT department continue to

employ a range of security measures to provide for digital and physical asset protection and during the year have successfully defended a variety of cyber related attacks. IT Security policies are reviewed annually and NCC's cyber security is externally certified against Cyber Essentials, the Public Services Network Code of Connection and the Data Security Protection Toolkit. Developments and updates on cyber security are taken to the Governance and Ethics Committee .

Adult Care Financial Services Department (ACFS)

- 4.15. The misuse of direct payments and intentional deprivation of assets continues to be a significant area of fraud nationally and across the Council.
- 4.16. The Council, through the actions of the ACFS, have developed a proactive approach and has in place rigorous measures to ensure that the misuse of Direct Payments is minimised wherever possible. This outcome is reflected in the table by preventative results. Subsequent to an audit of Direct Payments, ACFS have been involved in the development of the Direct Payment Policy which was finalised in February 2019, together with a revised Direct Payment Agreement and staff guidance which includes the Direct Payments Auditing and ACFS escalation process. The Council continues to proactively identify cases of misuse, resulting in invoices being issued for repayment and alternative 'managed' services being provided where necessary.
- 4.17. As mentioned above at paras 2.4 and 2.9b, the ACFS proactive approach to challenging and dealing with deliberate deprivation cases has become fully embedded within the financial assessment process. In-year cases continue to be identified following peaks in previous years where historic cases were revisited to challenge previous assessments. Where the challenge process identifies the intentional deprivation of assets, notional capital is used to reduce the contribution that would have been made by the Council. The proactive challenge by ACFS may not always identify a fraud but generates a saving to the Council. The annual report also identifies where recovery action has been undertaken in accordance with Section 70 of the Care Act 2014.

Risk & Insurance

- 4.18. The Risk and Insurance Team continues to use a 48-point checklist to screen claims on a risk basis to detect false, exaggerated and potential fraudulent cases. This proactive work has been supported with specific training for the Team provided through the Council's insurers, Zurich Municipal. This brings the opportunity to share knowledge and experience, along with access to industry networks and co-ordinated links with the City of London Police.
- 4.19. Each year, on average, the Council receives approximately 800 liability claims. These can be from employees or members of the public who are claiming for damage to property or injuries which have allegedly arisen from the Council's negligence. The majority of the claims result from accidents on the highway.
- 4.20. Each liability claim is thoroughly investigated, and payments are only made where we believe that the claim cannot be defended. In 2019-20, 451 claims were concluded without payment of damages, the estimated cost of these claims would have been approximately £2.2m. Because of the nature of the Council's insurance arrangements, had the claims not been dealt

with robustly the majority of the cost would have had to be funded by the Council. Eleven of these claims proceeded to trial and were successfully defended in Court.

- 4.21. All liability claims are screened for potential fraud. Four of the claims settled in 2019-20 had been flagged with an “amber” fraud status. Amber indicates that the Risk and Insurance Team had concerns about the credibility of the claim. All four claims were successfully defended. The initial estimated value of the four claims totalled £78,800.

Schools Finance

- 4.22. Advice on finance and governance continues to be provided by Schools Finance who continue to liaise with Internal Audit in relation to potential fraud cases. Schools Finance and Internal Audit liaise directly with head teachers and office managers through the school’s portal to disseminate counter fraud messages and alerts. Internal Audit have been involved in various cases during 2019/20 which have involved: cheque fraud and illegally accessing the bank account, totalling £63,193.
- 4.23. During 2019/20 School’s Finance have taken over responsibility for visiting schools to provide enhanced coordination of the counter fraud activity and dissemination of advice directly to schools. They continue to visit schools on a five-year basis to review internal controls and controls in relation to potential fraud risks. Findings from individual reviews have provided intelligence to identify areas of fraud risk and to disseminate warnings to others. This has been especially relevant during Covid 19 where the Internal Audit Team disseminated specific counter fraud advice to schools.

Blue Badges

- 4.24. Blue badge misuse continues to receive national recognition and has been identified as an area of increased risk. The Enforcement Team regularly undertakes spot checks of Blue Badges when used in parked vehicles to ensure that the badge is being used correctly. Whilst no fraud cases were identified by NCC in 2019/20, this normally results in Penalty Charge Notices issued when there is evidence that the badge holder is not present and a subsequent letter is sent warning of the potential implications for mis-use. The Blue Badge Team who administer the applications also continue to be vigilant to potential fraud and abuse and will alert the Enforcement Team of any suspicious applications including repeated claims of badges being lost. NCC is also assisted by the City Council and Police Compliance and Fraud Officer who will notify NCC of any cases of badge misuse taking place in the City and carry out any prosecutions in relation to those cases. The Blue Badge Team continues to participate in the National Fraud Initiative and using the information relating to deceased badge holders, the team subsequently cancelled 576 active badges. This is a priority area for increased counter fraud activity.
- 4.25. The team also process the Tell us once (death registrations) and cancel any badge that has been surrendered at the death registration appointment. This is a daily duty that is undertaken. Any reports of misuse or fraud by professionals or members of the public are raised with the enforcement team for action and notes placed on the badge holders’ electronic customer record. Last year the team cancelled 12 badges reported to have been stolen and 106 badges reported to have been lost.

5. Action Plan

5.1. The following sets out a summary of progress against the actions included in the previous annual fraud report, followed by new actions for 2020/21.

Action	Timescale	Responsibility	Progress & revised timescale
Respond to any issues identified by the data-washing exercise with Nottinghamshire Police	March 2019	Head of Internal Audit	Achieved – Established a protocol with GAIN to submit datasets every six months.
Pro-active work with the Travel & Transport team to respond to the threat of Blue Badge and Concessionary Travel Fraud	January 2019	Head of Internal Audit	Partially Achieved & Ongoing – Blue Badges have been cancelled using the latest NFI data. Ongoing work with Concessionary Travel regarding assurance checks and internal controls with a view on fraud controls as well.
Review of the Counter Fraud and Corruption Strategy and the Fraud Response Plan.	April 2020	Head of Internal Audit with the assistance of the Head of Legal Services	Achieved – both documents updated
Work with Legal Services to develop a proposed protocol for the pursuit of private and civil prosecutions. This will be included in a wider review of the Counter Fraud and Corruption Strategy and the Fraud Response Plan	April 2020	Head of Internal Audit with the assistance of the Head of Legal Services	Partially Achieved – Initial feedback with legal services. This will be taken forward as part of the 2020/21 action plan.
Pro-active work with the Group Manager – Procurement to assess vulnerability to contract management fraud.	November 2019	Head of Internal Audit	Achieved – Contract management audit complete – Limited Assurance. Working closely with the Group Manager Procurement on improvements to contract management systems and controls.
Update of the self-assessment for the Council's defences against	July 2019	ICT Service Manager	Achieved - Updated reports to Committee.

Action	Timescale	Responsibility	Progress & revised timescale
cyber fraud and review progress against the action plan			
Continue to support the Direct Payments Team to map and review processes for fraud/overpayment referrals	September 2019	Head of Internal Audit & Service Director Strategic Commissioning, Adult Access and Safeguarding	Achieved - Revised mapping has been completed.
Develop e-learning materials to respond to tax evasion risks arising from the Criminal Finances Act Policy	August 2019	Head of Internal Audit	Achieved – e-learning materials completed.
Disseminate insight and responses to fraud alerts through 'Team Talk' to coincide with International Fraud Awareness Week.	March 2020	Head of Internal Audit	Achieved – Also ongoing as updates planned every 6 months.
New actions for 2020/21			
Review the Fighting fraud and Corruption Locally strategy and complete Counter Fraud Checklists.	September 2020	Head of Internal Audit	Ongoing
Review the findings from the MHCLG – Fraud and Corruption in LG Procurement Work with the procurement team.	September 2020	Head of Internal Audit	Ongoing
Incorporate 'Post Payment Assurance' work within future pro-active work during the recovery phase of Covid 19	September 2020	Head of Internal Audit	Ongoing
Increased oversight of the risk management process to ensure that risks are appropriately managed.	March 2021	Head of Internal Audit	Ongoing
Continue to work with GAIN for data-washing exercises	March 2021	Head of Internal Audit	Ongoing
Review of the Counter Fraud and Corruption Strategy and the Fraud Response Plan.	March 2021	Head of Internal Audit with the assistance of the Head of Legal Services	Ongoing
Disseminate insight and responses to fraud alerts through 'Team Talk' to coincide with International Fraud Awareness Week.	March 2021	Head of Internal Audit	Ongoing

21 July 2020**Agenda Item: 9****REPORT OF THE CHAIRMAN OF THE GOVERNANCE & ETHICS COMMITTEE****GOVERNANCE & ETHICS COMMITTEE ANNUAL REPORT 2019/20****Purpose of the Report**

1. To approve a report to Full Council on the work of the Governance & Ethics Committee in 2019/20.

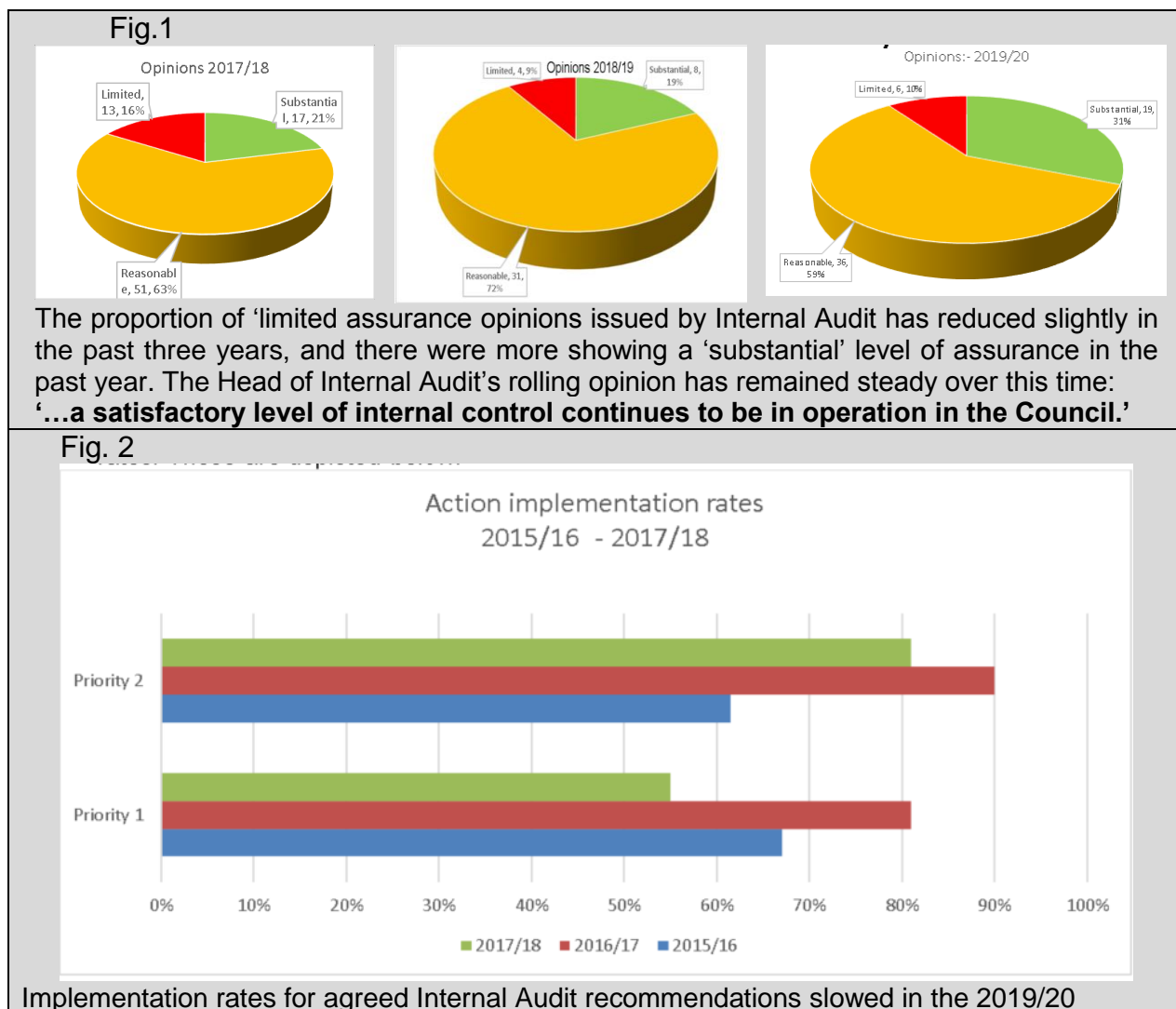
Information

2. The Governance & Ethics Committee was established following the County Council elections in May 2017, and it held its first meeting in June 2017. It is comprised of 11 County Councillors who meet 8 times per year.
3. The Committee's terms of reference are set out in the County Council's constitution. It is serviced regularly by professional officers working mostly in the Chief Executive's Department in the key functional areas of finance, internal audit, legal and democratic services, information management and corporate risk management. The Committee's role subsumed that of the former Audit Committee and it now extends further to incorporate wider responsibilities, for example relating to codes of conduct and dealing with alleged breaches of the codes.
4. At its meeting in July 2018, the Committee agreed to implement an annual report on how effectively it has discharged its key roles and responsibilities. This is the Committee's second annual report and it also sets out proposed priorities for the Committee in 2020/21.
5. The work of the Committee was unaffected by COVID-19 in 2019/20. The Committee's final meeting of the year was completed in early March 2020, just prior to the imposition of national lockdown restrictions. However, the suspension of the Council's Committee schedule from late March 2020 is having an inevitable impact on the Committee's work in the current financial year. This will compress the work of the Committee for the remainder of the year, and will necessitate careful prioritisation of its coverage in 2020/21.

Achievements against the Committee's terms of reference

6. **Appendix 1** presents a matrix of the key business dealt with by the Committee, mapped against each of its roles and responsibilities set out in the County Council Constitution. There are a number of notable achievements, summarised as follows:

- a) **Internal control framework:** the Committee has maintained its strong focus on supporting the work of Internal Audit, and it has received regular assurance from the service regarding the effectiveness of the Council's arrangements for governance, risk management and control. The follow-up of Internal Audit's recommendations has been flagged as a potential area of concern, as the implementation rate for Priority 1 recommendations has seen a decline compared with previous years. The reasons for this are often concerned with the complexity of the improvements being implemented, resulting in a slower than anticipated pace of delivery rather than a lack of commitment to the changes. The Committee renewed its resolve to drive agreed improvements through to implementation, continuing its practice of receiving both written and verbal updates to the Committee from senior managers.



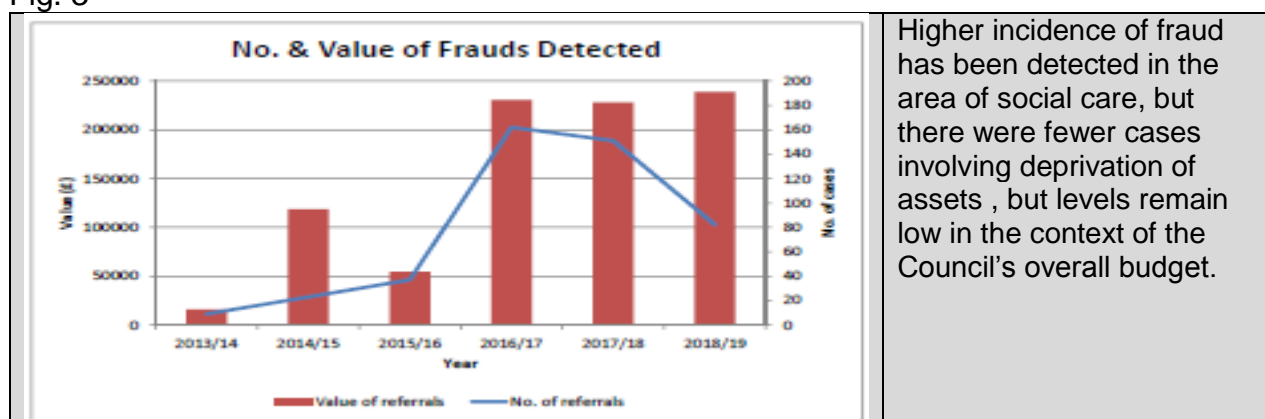
The Committee has been similarly supportive of the work of the Council's external auditors, again receiving updates on progress with the annual audit, and confirming an appropriate response from management to the findings and recommendations reported.

- b) **Development of the internal audit function:** The Committee approved a proposal for the restructure of the Internal Audit service and, as part of this, it was particularly pleased to support the establishment of an apprenticeship scheme to develop the next generation of internal auditors for the Council. The revised structure was implemented, and the

recruitment process progressed through the pandemic period with the result that the Council's first two Internal Audit Apprentices have now been appointed.

- c) **Assurance mapping:** this initiative developed further in 2019/20, following the Committee's decision to both retain the activity and to expand its scope. Two new areas of governance were added last year, and the Committee will receive the assurance from this work as soon as possible following resumption of its meeting schedule. It is expected that this area of activity will provide a key steer for where additional assurance needs to be provided to the Committee each year. Work is in hand to develop further the content and frequency of assurance feeds to the Committee around the Council's key governance processes, to complement the annual mapping exercise.
- d) **Counter-fraud:** the Committee considered the Annual Fraud Report and a six-monthly update, which continued to evidence that the incidence of fraud in the Council is low. Nonetheless, the Committee reinforced the zero tolerance approach where issues have arisen, and continued to encourage all staff and stakeholders to voice concerns wherever reasonable suspicions arise. The Committee has maintained oversight of the Council's pro-active counter-fraud programme, with particular attention given in 2019/20 to the relative strength of the Council's cyber security set-up. The annual reports for the Council's Whistleblowing scheme and the use of the Regulation of Investigatory Powers Act 2000 added further insight in this area.

Fig. 3



- e) **Annual Statement of Accounts and Annual Governance Statement:** The Committee received and approved these Statements for 2018/19 in accordance with the statutory timescales. The Committee received regular updates during the year on progress against the Annual Governance Statement's action plan, and it approved the annual refresh of the Local Code of Corporate Governance.
- f) **Standards of conduct and transparency:** The Committee considered progress with the review of the Council Constitution, and it agreed a way forward to address the points of discussion this raised. The six-monthly process to review councillors' use of resources and application of their Divisional Funds was retained (incorporating sample testing carried out by Democratic Services). Independent persons have been appointed, received training and attended meetings of the Committee. Showing near prescience of events to unfold, the Committee considered a pre-pandemic report on transparency and streaming of meetings.

Options were agreed to take this forward when the pandemic hit and prompted these actions to press forward with added pace.

- g) **Information Governance:** The Committee has received regular updates on progress with the Information Governance Improvement Programme, which is the Council's two-phase response to the changes necessitated by the enactment of the General Data Protection Regulations in May 2018. Continuing six-monthly updates have been agreed.
- h) **Local Government Ombudsman Reports and Complaints:** The Committee has taken a firm stance to be transparent in its approach to considering issues arising from service users' complaints about Council services. All decisions of the Ombudsman are scheduled for consideration by Committee at each meeting as the reports are received throughout the year. The relevant senior officers are invited to attend, where appropriate, to advise of actions taken where complaints have been upheld. Complaints received and dealt with through the Council's own arrangements have also been considered on a periodic basis, and the Committee approved a refresh of the corporate complaints procedure.
7. An aspect of the Committee's remit for which no assurance was received during the year was risk management. Due to the incidence of emergency planning and response events, it did not prove possible for progress reports and planned training for Members on this topic to be delivered by the Place Department Team responsible for this area. As signalled to Members in the course of the governance update reports in 2019/20, responsibility for risk management has now moved to the Chief Executive's Department's Assurance Group. It is anticipated that this will bring the opportunity for refreshed co-ordination with other assurance work delivered to the Committee by this Group.
8. The Committee has made appropriate use of the full range of powers delegated to it under the terms of the Constitution, as summarised below:

Delegated power	Summary of activity
Decision- making	Decisions have been taken at each Committee meeting in relation to the areas of activity within the Committee's remit
Policy development	Options for developing Council policy have been considered and progressed in relation to: <ul style="list-style-type: none"> • The Council's Constitution • Transparency and streaming of meetings
Performance review	Periodic updates of the service delivered by Internal Audit In relation to Internal Audit Self-assessment of the Council's arrangements for cyber security against National Audit Office guidance Progress against the Information Governance Improvement Plan Progress against the Annual Governance Statement Action Plan
Review of officers' decisions	Annual scrutiny of decisions taken by officers to waive financial regulations

Delegated power	Summary of activity
Consultation responses	Approved the response to a Government consultation on the financial transparency of Local Authority maintained schools
Staffing restructures	Review and approval of the proposed restructure of: <ul style="list-style-type: none"> • Internal Audit • Democratic Services

9. There have been no sub-committee meetings to investigate alleged breaches of the Councillors' Code of Conduct.




Member training and self-assessment

10. The Committee engaged with a self-assessment of its own effectiveness against the Institute of Internal Auditors' Guidance for Audit Committees. This identified two actions concerning the assurance the Committee receives from its Internal Audit service: to address persistent resourcing challenges in the service; and to develop a strategic audit plan to complement the 4-monthly, termly plans. Both of these actions were taken forward during the year.
11. A planned training item on the day-to-day work of Internal Audit was delivered jointly by staff from the Internal Audit service and from the Business Services Centre. This gave Members an insight into the current approach to audit assurance, whilst also highlighting an approach currently being progressed jointly between the two teams to the concept of continuous assurance. It is hoped the Committee will see this come to fruition in 2020/21.
12. The Committee is helping to progress the Member Engagement Programme, which includes the training and development offer for all County Councillors.

Priorities for 2020/21

13. The impact of the pandemic on the work of the Committee in 2020/21 has been significant. With a compressed agenda for the remainder of the year, it is important for the Committee to ensure its agendas are well prioritised and scheduled. This will ensure the Committee receives the key assurance it requires as the Council works through its recovery and renewal phase.
14. Assurance mapping is a key plank in the Committee's sources of assurance for fulfilment of its remit. The annual report from this activity in 2019/20 is to be reported to the Committee at the earliest opportunity, and it will make proposals for its continued development and use in 2020/21 and beyond. Key themes for suggested development will be:
- Areas of focus - proposing a close alignment with the Council's risk management process
 - Nature of assurance feeds – to complement the annual process with the establishment of continuous assurance feeds within the Council.
15. It is proposed that key priorities for the Committee in 2020/21 should embrace a blend of its core duties as set out in the Council's Constitution, along with developmental activities to help maintain a high degree of focus on governance and ethical values in the Council. It should also be a priority for the Committee to carry out appropriate training and development activities

for its members, to ensure all feel suitably skilled and confident in carrying out the important role they play in the Council's governance framework. The following are potential priorities in 2020/21 for Members to discuss:

	<p>Core business</p> <ul style="list-style-type: none"> ➤ Statement of accounts ➤ External audit plans and outcomes ➤ Internal Audit plans, outcomes and implementation of recommendations ➤ Counter-fraud – with a particular emphasis on the key, external threats and the Council's processes for recovering losses ➤ Oversight of complaints and Ombudsman reports – to continue the transparent approach adopted to date ➤ Information governance ➤ Corporate risk management ➤ Member conduct
	<p>Promoting strong governance and sound ethical values</p> <ul style="list-style-type: none"> ➤ Expansion of assurance mapping ➤ Arrangements for determining the Council's risk appetite ➤ Reviewing the Council's ethical framework ➤ Regular updates of the Annual Governance Statement ➤ Self-assessments against best practice guidance for governance and ethics ➤ Annual report to Full Council
	<p>Member training</p> <ul style="list-style-type: none"> ➤ Risk management concepts and their application using a case study approach ➤ Links with other county and regional audit committees ➤ Participation at regional and national conferences and seminars ➤ Introduction of more regular and targeted briefing sessions with key officers

Other Options Considered

16. The Committee agreed the implementation of an annual report of its activities at its meeting in July 2018. No other options were considered.

Reason for Recommendation

17. To provide assurance to the Council that the Governance & Ethics Committee is delivering against the terms of reference for the Committee, as set out in the Constitution.

Statutory and Policy Implications

18. This report has been compiled after consideration of implications in respect of crime and disorder, data protection and information governance finance, human resources, human rights, the NHS Constitution (public health services), the public sector equality duty, safeguarding of children and adults at risk, service users, smarter working, sustainability and the environment and where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

The remit of the Governance & Ethics Committee is to direct and receive assurance that the Council is meeting many of the issues identified above. Its work since establishment in May 2017 has addressed many of the above.

RECOMMENDATION

1) That Committee agrees the content of this report to formally appraise the County Council of the achievements of the Committee in 2019/20, and to set out the Committee's planned areas of work for the coming year.

Councillor Bruce Laughton
Chairman of the Governance & Ethics Committee

For any enquiries about this report please contact:

Rob Disney
Group Manager – Assurance

Constitutional Comments (SS 24/06/2020)

19. Governance and Ethics Committee is the appropriate body to consider the content of the report.

Financial Comments (SES 23/06/20)

20. There are no specific financial implications arising directly from this report.

Background Papers and Published Documents

Except for previously published documents, which will be available elsewhere, the documents listed here will be available for inspection in accordance with Section 100D of the Local Government Act 1972.

- None

Electoral Division(s) and Member(s) Affected

- All

SUMMARY OF WORK CARRIED OUT BY THE GOVERNANCE & ETHICS COMMITTEE AGAINST ITS TERMS OF REFERENCE

May 2019	Jun 2019	Jul 2019	Sep 2019	Nov 2019	Dec 2019	Jan 2020	Mar 2020
Council-wide Governance & Ethics							
Gov & Ethics Cttee annual report							
Assurance Mapping Annual Report 2018/19				Assurance Mapping 2019/20 - update			
Local Code of Corporate Governance annual review	Review of Council Constitution – scope and timescales		Governance Action Plan update				Governance Action Plan update
Annual Governance Statement 2018/19		Member Communication & Engagement Programme			Member Communication & Engagement Programme - update		
Committee on Standards in Public Life: Local Government Ethical Standards	National Audit Office review of governance in local government						
Annual statement of accounts							
Statement of accounts: Accounting policies		Statement of Accounts 2018/19					

SUMMARY OF WORK CARRIED OUT BY THE GOVERNANCE & ETHICS COMMITTEE AGAINST ITS TERMS OF REFERENCE

May 2019	Jun 2019	Jul 2019	Sep 2019	Nov 2019	Dec 2019	Jan 2020	Mar 2020
Internal control & external audit							
	Follow-up of Internal Audit Reports – implementation of agreed actions	Internal Audit Update and Plan	Internal Audit structure proposals	Internal Audit Update and Plan		Follow-up of Internal Audit Reports – implementation of agreed actions	Internal Audit Update and Plan
	CIPFA Statement on the Role of the Head of Internal Audit	Head of Internal Audit Annual Report 2018/19	Internal Audit Charter – annual update	Strategic Internal Audit Plan			
External audit risk assessment			External Audit Annual Letter 2019/19		External Audit progress report		External Audit Plan - 2019/20 audit
		National Audit Office Cyber Security Guidance – progress update	National Audit Office Cloud Services Guidance	Vacant Property Management – update on changes and progress		National Audit Office Cyber Security Guidance – progress update	Objection to the accounts 2015/16 – results of external audit investigation
			Financial transparency of Local Authority maintained schools – government consultation				

SUMMARY OF WORK CARRIED OUT BY THE GOVERNANCE & ETHICS COMMITTEE AGAINST ITS TERMS OF REFERENCE

May 2019	Jun 2019	Jul 2019	Sep 2019	Nov 2019	Dec 2019	Jan 2020	Mar 2020
Financial Regulations and counter-fraud							
Financial regulations waivers 2018/19	Annual Fraud Report 2018/19				Counter Fraud progress report		
					Whistleblowing update		
					Regulation of Investigatory Powers Act 2000 – annual report		
Risk management							
Information Governance – Data Protection & Freedom of Information							
Information Governance Action Plan		Information Governance Improvement Programme – update		Information Governance Action Plan			Information Governance Action Plan
Legal, democratic, complaints							
Local Government Ombudsman decisions	Local Government Ombudsman decisions	Local Government Ombudsman decisions	Local Government Ombudsman decisions	Local Government Ombudsman decisions	Local Government Ombudsman decisions	Local Government Ombudsman decisions	Local Government Ombudsman decisions
						Revised corporate complaints procedure	Democratic Services staffing structure

SUMMARY OF WORK CARRIED OUT BY THE GOVERNANCE & ETHICS COMMITTEE AGAINST ITS TERMS OF REFERENCE

May 2019	Jun 2019	Jul 2019	Sep 2019	Nov 2019	Dec 2019	Jan 2020	Mar 2020
Conduct standards							
Review of outside bodies		Use of resources by Councillors - update		Review of Council Constitution – procedure rules for committee meetings	Council Motion regarding transparency and streaming of meetings	Use of resources by Councillors - update	
Implement revised codes of conduct							
Alleged breaches of conduct							
Issues from members' allowances							
	Resources for Education Appeals Panel Members						
Councillors' divisional funds							
	Update on use of Councillors' Divisional Funds				Update on use of Councillors' Divisional Funds		
Statutory independent member recruitment							
Appointment of independent persons – endorsement of appointments			Appointment of independent persons – endorsement of appointment				

SUMMARY OF WORK CARRIED OUT BY THE GOVERNANCE & ETHICS COMMITTEE AGAINST ITS TERMS OF REFERENCE

May 2019	Jun 2019	Jul 2019	Sep 2019	Nov 2019	Dec 2019	Jan 2020	Mar 2020
Training & development							
		Internal Audit – presentation by Internal Audit & Business Services Centre					
		Institute of Internal Auditors' Guidance for Audit Committees – self-assessment					

7 September 2020**Agenda Item: 10****REPORT OF SERVICE DIRECTOR – FINANCE, INFRASTRUCTURE AND
IMPROVEMENT****GRANT THORNTON – EXTERNAL AUDIT UPDATE****Purpose of the Report**

1. To inform Members of the progress made to date on the external audit of the 2019/20 Statement of Accounts.

Information

2. The COVID19 emergency and the subsequent extension to the Local Authority audit timetable has had a significant impact upon the External Audit Plan as reported to Committee in March 2020. John Gregory, Engagement Lead (Grant Thornton) and Lorraine Noak, Audit Manager (Grant Thornton) will provide a verbal update to set out the progress that has been made to date on the external audit of the 2019/20 Statement of Accounts and the proposed timeline for bringing future reports to Committee.

Other Options Considered

3. The report is for comment only.

Reason/s for Recommendation/s

4. To provide information to Members on the progress made to date on the external audit of the 2019/20 Statement of Accounts

Statutory and Policy Implications

5. This report has been compiled after consideration of implications in respect of crime and disorder, data protection and information governance, finance, human resources, human rights, the NHS Constitution (public health services), the public sector equality duty, safeguarding of children and adults at risk, service users, smarter working, sustainability and the environment where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

Financial Implications

6. The anticipated total fees, excluding the indicative fee for grant claim certification, are £90,624 for Nottinghamshire County Council and £27,293 for the Nottinghamshire Pension Fund. This is in line with the initial proposal and budget provision is in place.

RECOMMENDATION/S

- 1) That Members comment upon the verbal presentation provided by our external auditors, Grant Thornton.

Nigel Stevenson

Service Director – Finance, Infrastructure and Improvement

For any enquiries about this report please contact:

Glen Bicknell, Senior Finance Business Partner, Financial Strategy and Compliance.

Constitutional Comments (21/08/2020 SS)

7. The proposal in this report is within the remit of the Governance and Ethics Committee

Financial Comments (20/08/2020 GB)

8. The financial implications are set out in the report.

Background Papers and Published Documents

Except for previously published documents, which will be available elsewhere, the documents listed here will be available for inspection in accordance with Section 100D of the Local Government Act 1972.

- None

Electoral Division(s) and Member(s) Affected

- All

7 September 2020**Agenda Item: 11****REPORT OF THE SERVICE DIRECTOR, CUSTOMERS, GOVERNANCE AND
EMPLOYEES****UPDATE ON USE OF THE COUNCILLORS' DIVISIONAL FUND****Purpose of the Report**

1. To present Committee with a six monthly update on the use of the Councillor's Divisional Fund (CDF) for the period 1 October 2019 – 31 March 2020 and to share the headline findings of a recent audit undertaken by Democratic Services staff.

Information**Background**

2. The CDF is a specific budget which enables each County Councillor to put forward proposals for expenditure in their electoral divisions which accord with the strategic objectives of the Council. Such payments are subject to compliance with the requirements of the CDF Policy.
3. Each Councillor receives an annual allowance of £5,000 to spend within each financial year. Any funds remaining unspent within this budget at the end of the financial year will be returned to corporate balances.
4. As part of the revised CDF Policy agreed by Policy Committee on 18 July 2018, a new requirement was introduced for reports on the use of the CDF to be brought to this Committee on a six monthly basis. This is the latest such report and details of the applications received from Councillors during the period 1 October 2019 – 31 March 2020 are included at **Appendix A** (N.B. payments to individuals have been anonymised where relevant).

Audit of Previously Processed Applications

5. Further to the Audit reported to the Committee in December 2019, Democratic Services are currently undertaking a further sample audit exercise following advice provided by Internal Audit colleagues.
6. The headline findings of the audit will be included within the next six monthly update report to the Committee.

New Online Process

7. The Committee, at its meeting of 18 December 2018, supported the development of a new online process for the application, processing and payment of CDF awards.
8. The online process was developed by the Business Services Centre in conjunction with Democratic Services and has been live since 9 May 2019. Democratic Services Officers from within the Governance Team have been processing applications online on behalf of Councillors. Once input, applications for payment are routed directly to the Account Payable Team who then make payment directly into the recipient's nominated bank account via a BACS bank transfer. This ensures that the recipient is in receipt of their payment 3 days following processing by Accounts Payable. All Councillors receive 7 days' notice prior to a payment being made. Presentation cheques are also available to Councillors if requested.
9. As part of the new process previously agreed, Councillors will be enabled to input their own applications directly, with assistance from the Group support officers where required. It is hoped that this option can be rolled out over the Autumn, with virtual awareness-raising sessions arranged via Teams for Councillors and Group support officers.

Other Options Considered

10. None – the report provides an update on expenditure as required in the revised CDF policy.

Reason/s for Recommendation/s

11. To update the Committee in line with the requirements of the CDF Policy and to highlight ongoing issues and future developments.

Statutory and Policy Implications

12. This report has been compiled after consideration of implications in respect of crime and disorder, data protection and information governance finance, human resources, human rights, the NHS Constitution (public health services), the public sector equality duty, safeguarding of children and adults at risk, service users, smarter working, sustainability and the environment and where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

RECOMMENDATION

- 1) That the Committee considers the CDF expenditure for the period 1 October 2019 – 31 March 2020 detailed in Appendix A and highlights any actions required.

Marjorie Toward

Service Director, Customers, Governance and Employees

For any enquiries about this report please contact:

Keith Ford, Team Manager, Democratic Services Tel. 0115 9772590

E-mail: keith.ford@nottsgov.uk

Constitutional Comments (SS 20/08/2020)

13. Governance & Ethics Committee is the appropriate body to consider the content of the report.

Financial Comments (RWK – 10/08/2020)

14. There are no specific financial implications arising directly from this report. The total budget for the Councillors Divisional Fund is £329,000. Any funds remaining unspent within this budget at the end of the financial year will be returned to corporate balances.

Background Papers and Published Documents

Except for previously published documents, which will be available elsewhere, the documents listed here will be available for inspection in accordance with Section 100D of the Local Government Act 1972.

- Budget summaries of CDF payments.

Electoral Division(s) and Member(s) Affected

- All

CDF Applications received from Councillors - 1 October 2019 – 31 March 2020

N.B. Payments to individuals not trading as businesses have been anonymised in line with Access to Information Rules.

Those recipients marked with an asterisk * are Covid-19 related applications processed early from the relevant Councillor's 2020/2021 funding allocation, to assist Councillors in meeting needs without delay.

<u>Councillor & Recipient</u>	<u>Amount £</u>	<u>Reason for application</u>
Cllr Reg Adair		
Robin Hood Rifles Cadet Corps of Drums	750.00	To support the cadets, travel to France and Belgium to perform at Gommecourt on the Somme
B B	200.00	To contribute towards the cost of a trip to Tanzania to aid with education of children and Young People
James Peacock Infant School	1,000.00	Contribution to purchase new books to improve children's reading
Ruddington Bowls Club	1,000.00	To repair the roof of the Pavilion in Elms Park used by the Ruddington community
Friends of Rushcliffe Country Park	750.00	To improve the attraction of the park to the public with the purchase of a large climb-on ladybird
Bunny Parish Council	500.00	To contribute towards the Bunny Parish Defibrillator Funding Campaign
Cllr Pauline Allan		
Arnold Eagles Girls and Ladies FC	300.00	To purchase kit for Under 12s Thunder Team
Bonington Players	250.00	To purchase tools and equipment for scenery making
Arnold in Bloom	250.00	To purchase badges and cups for awards evening, and to fix camera for photographic display
Warren Action Group	350.00	To support festive activities in the local community
Arnold Local History Group	500.00	Setting up the filing of old photos on the website
New Writers UK	500.00	Funding competition for new writers
1st Redhill Scout and Guide Group	800.00	Funding for new floor for hall
Gedling Play Forum	500.00	To contribute towards the cost of community play activities
St Marys Church	50.00	To help fund repair works to the church tower
Cllr Chris Barnfather		
Linby Parish Council	500.00	To contribute towards the cost of a power source for the Christmas Lights

Papplewick & Linby Cricket Club	200.00	To support the purchase and installation of a defibrillator at the Cricket Club
Newstead Events Group	200.00	To support the fireworks and bonfire display
Ravenshead Parish Council	200.00	Contribution to provide floral displays in former telephone kiosks and associated planting to beautify the village
Ravenshead Parish Council	200.00	To purchase additional lamp-post poppies and a commemorative figure of a soldier for Armistice Day celebrations
South Locality Youth Services	200.00	To provide a Christmas Party for the young members of the Newstead Youth Club
Hawthorne Primary School	300.00	Contribution towards the cost of pictures, a coffee maker and other practical equipment to support staff and many parent volunteers which assist in the new school
Ravenshead Memory Lane Group	200.00	To contribute towards the cost of admissions fees and bus hire for activities
Bestwood Village Christmas Tree Appeal	300.00	To purchase additional Christmas lights for Bestwood Village
S A W	200.00	To support a young scout nominated to attend the European Scouts Jamboree in Gdansk, Poland
Ravenshead Parish Council	200.00	Contribution towards a gazebo for any community organisation use
Ravenshead Parish Council	200.00	Contribution towards the Christmas Lights Switch On Party and for the lantern procession 2020
Cornwater Evergreens Foundation Trust	300.00	Contribution towards the installation of signage at the entrance to the Ravens Lodge Site
Friends of Bestwood Country Park	200.00	To fund the publication of a booklet to promote the use of Bestwood Country Park
Bestwood Village Parish Council	300.00	To replace piece of outdated and dangerous play equipment in children's play park
1st Larch Farm (St Peters) Scout Group	300.00	To fund necessary fire safety equipment at 1st Larch Farm Scouts HQ to ensure health and wellbeing of occupants
Together We Rise	200.00	Contribution towards the "Eat Bake Sing" community events
Cllr Joyce Bosnjak		
Mansfield Woodhouse Community Development Group	1,300.00	To support various community events such as the Band Concert etc
Mansfield Woodhouse Millennium Green	300.00	To purchase an industrial sized strimmer for use on the Green maintained by volunteers
The Triangle Group	100.00	To contribute towards wellbeing and fitness activities

Pleasley Vale Residents Association	150.00	To purchase capping stones for wall restoration in the community walled garden
Greek Community	175.00	Contribution towards a lunch for the elderly
Greek Community	200.00	To contribute towards the cost of an outing for the OAPS in Greek Community
Mansfield Woodhouse Community Development Group	150.00	To contribute towards 2 interpretation boards
Mansfield Woodhouse Community Development Group	100.00	To contribute towards VE Day celebrations
Mansfield Woodhouse Heritage Link	250.00	To contribute towards the cost of creating a copy of the local Roman villa mosaic next to Mansfield Woodhouse library
Mansfield Woodhouse Heritage Link	75.00	To contribute towards a small craft budget in a projects fund
Northfield Neighbourhood Management Team	250.00	To contribute towards a cooker and its installation for the Focus Point community project
Age Concern Mansfield	100.00	To contribute towards the cost of lunch club and outings for a group of elderly local community members
Mansfield Woodhouse Garden Holders Association	100.00	To contribute towards the cost of establishing an Allotment Group at Priory Road site
Mansfield Lawn Tennis Club Ltd	100.00	To contribute towards the cost of security improvements at the club
The Old Mansfield Woodhouse Society	68.75	To purchase 80 calendars showing images and photos of Old Mansfield Woodhouse
Maun Refuge	175.00	To support a series of pop-up restaurants in the town centre
Mansfield Rugby Club	125.00	To contribute towards the cost of a new strip and footballs for U13s
Cllr Ben Bradley		
Hope Lea Project	100.00	To contribute towards the cost of Christmas dinner for 100 local lonely or otherwise vulnerable people in Hucknall
Hucknall Sports Sat Red U7s	200.00	To provide a training kit for the newly formed U7's team
Ashfield Art Classes	140.00	To purchase materials for the Art Group
Linby Colliery Welfare Football Club	500.00	Funding towards development of new training facility
The Boys Brigade Nottingham Battalion Northern District	170.00	To support swimming gala and to bring children to an activity centre in Doncaster
F M	200.00	Funding towards specialist equipment for a pole vault athlete

Green Arrows Synchronised Swimming Club	213.00	Funding towards new PA equipment
The Red Lion	300.00	Contribution towards radio system and app for the Hucknall Pub Watch scheme
Hucknall Flight Test Museum	510.00	To waterproof the "Flying Bedstead" replica at the Flying High School, Hucknall
Each Amazing Breath CIC	375.00	Funding towards training 2 staff
*Shaun's Café	333.00	To provide wholesome meals to be packaged and given to the Hucknall food bank during the Covid-19 outbreak
Cllr Nicki Brooks		
Colwick Toddler Group	350.00	To replace old baby chairs, toys and play equipment
St John the Baptist C of E School	500.00	Contribution towards music/health purchases and activities
Literacy Volunteers	160.00	To contribute towards the cost of volunteers at St Johns Colwick, and Burton Joyce Primary
Netherfield Wildlife Group	100.00	Contribution to update the bird and wildlife guide
Netherfield Forum	250.00	Day trips such as Broadway Cinema for Sky Club members who have special needs
Netherfield and Colwick Senior Citizens Club	300.00	To fund day trips for members
Burton Joyce Parish Council	90.00	Repairs and revamp play equipment at Robert Recreation Ground
Cllr Andrew Brown		
Sutton Bonington Primary School	700.00	Towards the purchase of iPads for use by children to enhance their learning
Sutton Bonington Village Hall Committee	600.00	To help finance 2 new fire doors for village hall
Normanton-on-Soar Parish Council	400.00	Funding towards a joint VE Day celebration between Normanton on Soar, Zouch and Sutton Bonington
*East Leake Parish Council	500.00	To purchase food for food banks in the Leake area (Coronavirus)
Cllr Richard Butler		
Robin Hood Rifles Cadet Corps of Drums	350.00	To contribute to the cost of 6 cadets trip to the Somme and Menin Gates for a pilgrimage
J B	50.00	To contribute towards the cost of kit for an individual to take part in games within British ice hockey team
Culture, Learning and Libraries (Midlands)	50.00	To buy cakes and refreshments for Cotgrave Library family Christmas event and to purchase toys to be used in the library

Cotgrave C of E Primary School	438.00	Cost of coach to take children on a visit to Houses of Parliament
Little Kites Playgroup	150.00	To contribute towards the cost of a Christmas party for the children. For some, this will be their only treat this Christmas
Tollerton Community Trust	300.00	Contribution towards the launch of the Trust which is aiming to bring residents together to work on village projects
South Locality Youth Services	320.00	To provide gift vouchers and prizes for Cotgrave Youth Club Christmas Party
Wellspring Music CIC	200.00	To support "Dementia Awareness music sessions" at Church Farm Nursing Home
Cotgrave Candleby Lane School	550.00	To pay for a coach to take the Candleby Lane School choir to London where they have been invited to perform
Miss K S C	130.00	Contribute to the Hollygate Park resident's community Christmas celebrations
Kinoulton Village Hall	150.00	Contribution to cost of new village notice board for the village hall
Cotgrave C of E Primary School	182.00	Contribution to cost of schools DARE project
*Cotgrave Super Kitchen	175.00	To support the cost of food bags, disposable gloves and aprons at the kitchen (Coronavirus)
Cllr Steve Carr		
Oxjam Beeston Music Festival	250.00	Part contribution to expenses in hosting the 2019 Oxjam Beeston Music Festival
Via East Midlands Ltd	205.00	H Bar Arundel Drive
6th Beeston Scout Group	500.00	To contribute towards the cost of activities for the group
The Pearson Centre for Young People	404.00	To contribute towards the cost of the pantomime
Nottingham Casuals Rugby Football Club	500.00	Contribution towards kit for new youth rugby teams
The Bramcote and Stapleford Golden Jubilee Group	500.00	Cost of Hemlock Happening 2020
The Adam Cullen Skating Project	1,100.00	Equipment for Beeston Carnival
Alderman White School PTA	486.00	To purchase equipment for Duke of Edinburgh Award Scheme
15th Nottingham Lenton Abbey Scout Group	100.00	Upgrading driveway to comply with Disability Discrimination Act requirements
Cllr John Clarke		

Gedling Borough Council on behalf of Royal British Legion	355.80	Contribution towards costs for the Arnold Remembrance Event 10.11.19, for PA system, generator etc
Gedling Indoor Bowls Centre Ltd	300.00	Contribution towards a wheelchair ramp for disabled bowlers to access the bowling green
Nottingham Arts Theatre Ltd	200.00	To fund rehearsal space at the loco community centre in Netherfield for the Youth pantomime
New Writers UK	250.00	To support the children's countywide creative writing competition and poetry performance event
Phoenix Farm Methodist Church	250.00	To contribute towards a play surface for car park come play area
Nottingham Organ Society	300.00	Advertising events to bring music to the community
Carlton Lifesaving Club	250.00	Purchase of equipment to assist with coaching
Haywood Road Community Centre	400.00	Towards the redecoration of the main hall in the community centre
Gedling Borough Council	500.00	To contribute towards the cost of lamp post banners and interpretation panels
Positively Empowered Kids	500.00	To contribute towards the cost of an entrepreneurship project
We R Here	544.00	To contribute towards the cost of setting up a new office
Cllr Neil Clarke MBE		
Cropwell Bishop Youth Club	150.00	To contribute towards the cost of providing a family fun Christmas party
Cropwell Bishop Parish Council	120.00	To support the costs of hiring a film and costs of event Cropwell Bishop Senior Citizen Christmas Party
Cropwell Bishop Bridge Club	550.00	To purchase more tables for the bridge club
Bingham Community Events Group	450.00	To contribute towards the cost of supporting the Bingham Town Christmas lights switch on and purchase of lighting
The Sheldon Field	250.00	To purchase a rotary scythe to manage the wildflower meadow
Cropwell Bishop Parish Council	200.00	To assist with costs of special event to commemorate VE Day with a village party
Cropwell Football Club	200.00	To purchase 2 sets of kit for the newly formed football team
E Y	100.00	To contribute towards the training costs of a young person in a synchronised swimming group
Newton Parish Council	500.00	Contribution towards the creation of a friendship bench area
Rushcliffe Athletics Club	770.00	Contribution towards purchase of 16 training hurdles
Cllr John Cottee		

Keyworth Bowls Club	500.00	To replace light fittings and storage heaters with LED lights and digital panel heaters
Trustees of the Burnside Memorial Hall	300.00	To contribute towards extensive refurbishment work on the roof of the hall
Keyworth Cricket Club	250.00	Contribution towards costs of coaching course which will offer a higher level of coaching at the club
Robin Hood Rifles Cadet Corps of Drums	400.00	To contribute to the cost of 6 cadets trip to the Somme and Menin Gates for a pilgrimage
Sam Oldham Limited	300.00	Contribution towards individual competing in a gymnastics competition in Russia
Keyworth Cricket Club	500.00	To contribute towards the cost of bus hire for cricket club members to go to MCC Academy for a day trip
Keyworth Youth Club	500.00	Contribution towards replacement sofas and tables for the Keyworth Youth Club
Wysall Watercolour Group	300.00	Contribution towards the cost of an Art Fair for the group
*Keyworth Parish Council	1,500.00	To support the Covid-19 Food and Essential Supplies Relief Fund
Cllr Jim Creamer		
Gedling Borough Council	500.00	To contribute towards the cost of the Garden Competition and Good Neighbour Award for children in the summer holidays
Via East Midlands Ltd	77.50	Replacement Grit bin for Darley Avenue
Gedling Borough Council (Netherfield Locality Co-Ordinator)	1,000.00	To contribute towards the cost of a series of lectern style information boards
Literacy Volunteers	611.00	To support a literacy volunteer in a primary school in the area for a year, and to provide them with reading materials and games
Hetty's	400.00	To replace and upgrade 2 old computers
Age Concern Carlton and District	400.00	Contribution towards "Elderly Friendly Shopping Experience Project"
Foxhill Residents Fund	500.00	To contribute towards a bus trip to York
Carlton Lifesaving Club	300.00	One off training pack and course fees to increase number of instructors
Brickyard Youth Club	111.50	To purchase new sports equipment and coloured vests
1st Carlton Rainbow Guides	150.00	Assist with children's outing to Attenborough Nature Reserve
Gedling Play Forum	350.00	To replace the electric cooker at Wollaton Avenue community centre
Cllr Mrs Kay Cutts MBE		

E P	100.00	To contribute towards the cost of an individual attending a Girlguiding trip to Mexico
Radcliffe-on-Trent Preschool Playgroup	200.00	To defray the cost of equipment used by the playgroup
Radcliffe-on-Trent Neighbourhood Watch	200.00	Contribution towards new printing equipment
Wellspring Music CIC	200.00	To support the 'Dementia Care' project
Radcliffe-on-Trent Cricket Club	1,056.00	To purchase netting for the Cricket Club in advance of the 2020 season
E P	100.00	To contribute towards the cost of an individual attending a Girlguiding trip to Mexico
Cllr Samantha Deakin		
New Cross Community Links	500.00	To pay for a number of community wellbeing events in the New Cross area including publicity
Ashfield District Council	1,000.00	Supporting the creation of a junior park run on Sutton lawn
Hillocks Primary School	895.00	Contribution towards coach hire for "Cultural Week" visits to the museums and art galleries
Sutton Town Centre Group	1,000.00	Contribution towards Remembrance Day parade 11th November
Cllr Maureen Dobson		
Lovers Lane Primary School	500.00	To assist with repair to outside furniture
Newark and Sherwood District Council (Public Protection Unit)	200.00	To support the "Youth Bike Project"
Greenwood budget	67.30	To purchase a tree for South Clifton Parish Council
Coddington Village Hall	400.00	To assist with the repair of wall
Barnby in the Willows	500.00	To assist with the purchase of chairs for the village hall
Winthorpe Village Hall Trust	500.00	To assist with new chairs for the hall
Girton and Meering Parish Meeting	1,632.70	To assist with flood alleviation project
*PCC of Collingham	500.00	Supporting the villages of Collingham, Windthorpe, Langford, Holme and Besthorpe through the coronavirus
Cllr John Doddy		
Bramcote and Stapleford Golden Jubilee Group	2,000.00	To support the "Hemlock Happening"
Awsorth Parish Council	1,000.00	To contribute towards the resurfacing of the Parish Council car park
Trowell Parish Council	1,000.00	Contribution towards VE Day Celebrations

Cllr Boyd Elliott		
Paviors RFC	250.00	To contribute towards equipment and new kit
Spring Lane Farm Ltd	240.00	Supply Christmas trees for Calverton village
Lambley Parish Council	200.00	Contribution towards the clean-up following flooding at Lambley
*Lambley Volunteer Shopping and Assistance (LVSA)	500.00	To set up a food distribution and home delivery service for Lambley (Coronavirus)
Cllr Sybil Fielding		
Oasis Community Church Centre and Gardens	130.00	To fund cost of catering for a tea for former armed forces veterans in our district
Haggonfields Primary School	250.00	To help fund refurbishment of multi-use gaming area at Haggonfields School
The Guide Association Notts Special Project	200.00	Contribution towards the fund ref Guide Jamboree in Mexico 2020
Workshop MCVC	1,510.00	To fund a standard for a veteran's group
Balmoral TRA	210.00	To help fund transport costs
Cllr Kate Foale		
Beeston Community Resource CIO	200.00	To support the work of the guitar group who work with residents at risk of social isolation
Trent Vale Infant School	300.00	To support the school in improving the outdoor area
Think Children	200.00	To support one-to-one activities at Trent Vale and Beeston Rylands Primary Schools, to purchase equipment, art materials and toy kits for emotional wellbeing sessions
Broxtowe Community Celebration Group	250.00	To contribute towards the cost of the Season of Lights event
Beeston Musical Theatre Group	200.00	To support marketing and publicity costs
Beeston and District Civic Society	200.00	To further street art in Beeston to raise the profile of the town and to improve the environment
Beeston Football Club	300.00	Contribution towards the development of clubhouse to provide changing facilities etc
Literacy Volunteers	100.00	To support the work of literacy volunteers with children in schools in Beeston
Bramcote and Stapleford Golden Jubilee Group	150.00	To support the "Hemlock Happening"
Chilwell School	175.00	To purchase recycling bins for the classrooms

Music For Everyone	175.00	To contribute towards the cost of sending the Beeston Youth Band to the Music for Youth Festival
Cllr Stephen Garner		
Westfield Folkhouse Pantomime	450.00	For help with staging and props for the production of the 80 years production
NCC School Council Visits	66.00	To provide a coach for Berry Hill Primary School's visit to County Hall 08.10.19
10th Mansfield St Lawrence's Rainbows	200.00	To purchase materials for children for learning
St Peters Centre	250.00	To contribute towards a defibrillator for outside the church
Art Group	150.00	For paints and art materials for an elderly person's art group
6th Mansfield Boys Brigade	400.00	For tents and camping equipment for outdoor adventure pursuits
M B C Toddlers	200.00	For toys and educational products for children under 3
Mansfield Folk Festival	450.00	Hire of stage and sound equipment to facilitate music festival
Mansfield District Scout Council	250.00	To contribute towards a scouting camp for young people
Friends of Forest Road Park	400.00	For work in the community to plant bulbs and shrubs
Mansfield and Ashfield Echo	200.00	For electronic CD recordings for the blind and impartially sighted readers
St Lawrence Church	300.00	To contribute towards the cost of activities for the group
10th Mansfield Rainbows	134.00	To purchase materials for art activities
Friends of Berry Hill Park	200.00	For outside gardening equipment such as spades, litter pickers and tree pruners
Jigsaw Support Scheme	200.00	Contribution towards transport to take ex-servicemen to the seaside
Cllr Glynn Gilfoyle		
Oasis Community Church Centre and Gardens	130.00	To fund cost of catering for a tea for former armed forces veterans in our district
Rayton Spur Afternoon Club	150.00	To contribute towards a Christmas meal
Bassetlaw Olive Branch	100.00	To provide Christmas presents for families in Worksop who are in hardship
Bassetlaw District Council	150.00	To provide Christmas party for the residents of Priory Court Independent Living Centre
New Roots Housing Project	400.00	To provide contribution towards annual awards evening
Unison Retired Members	150.00	To contribute towards Christmas dinner for members
Worksop Christian Centre	200.00	Contribution towards event held for flood victims

Hetty's	200.00	To assist towards the purchase of new computer equipment
The Carlton Flyer	150.00	To support the weekend cycling event held in Worksop by former employees of Carlton Cycles and riders of their cycles
Police and Crime Commissioners Office	390.00	Contribution towards the PC McDonald memorial
Cllr Keith Girling		
Fire Crackers Cheer Squad	750.00	To purchase safety equipment
Hawtonville Methodist Church	300.00	To purchase chairs for the cub and scout group
Newark Town Council	400.00	To help pay towards the Newark Armed Forces Day
NSDC (Public Protection)	400.00	To support the "Youth Bike Project"
Newark Emmaus Trust	1,900.00	To replace the boiler in the youth accommodation
Newark Dementia Carers Group	1,000.00	To support the holiday fund for carers and sufferers of dementia
Cllr Kevin Greaves		
Oasis Community Church Centre and Gardens	130.00	To fund cost of catering for a tea for former armed forces veterans in our district
Worksop Stroke Club	1,000.00	To contribute towards the cost of a visit to Thursford Christmas Spectacular
Worksop Cricket and Sports Club (Flat Green Bowls)	1,000.00	To replace equipment ruined by the effect of flooding of the club
Knit and Natter Community Group	600.00	To contribute towards the cost of the event for VE Day
Elkesley Parish Council	1,000.00	To purchase grounds maintenance equipment
303 ATC Worksop Squadron	1,270.00	Purchase of adventure training materials and contribution to minibus fund
Cllr John Handley		
Brinsley Community Choir	350.00	The purchase of equipment for the choir to use on their performances
Brinsley Parish Council	500.00	To contribute to the cost of the Christmas activities particularly the children's Christmas party for 150 young people
Brinsley Womens Fellowship	200.00	To support their annual outing
Age Concern Eastwood	350.00	To support the introduction of themed lunches and the purchase of chefs clothing
Broxtowe Walk and Talk Group	200.00	Contribution towards public liability insurance

1st Greasley Scouts	400.00	Contribution towards the purchase of a new camping trailer
Breathe Easy Nottingham West	400.00	To purchase new equipment to replace that which has worn out by exercise groups
Brinsley Senior Citizens Tote	400.00	To support a day trip for OAPs in Brinsley
1st Greasley Guides	400.00	To purchase new camping equipment
2nd Brinsley and Underwood Scout Group	500.00	Purchase new equipment for the use of the scout group
Movement for All	250.00	Contribution towards tutor to go into homes to improve movement for the elderly
Brinsley Parish Council	500.00	To contribute towards VE Celebrations in Brinsley (Event cancelled due to Coronavirus money to be used for V J Day Celebrations)
Eastwood Primary Care Centre	250.00	To support the production of a road show for people with learning difficulties
Greasley Gathering	300.00	To support the family fun day in Greasley (2020 event cancelled due to Coronavirus money to be used for 2021 event)
Cllr Tony Harper		
Springbank Primary School	100.00	2 video clips for Christmas single to raise funds for Eastwood Memory Café
Eastwood Memory Café	150.00	Recording costs for Christmas CD - all proceeds to Memory Café
Eastwood Athletic Football Club	500.00	To purchase a respect flag and mesh barriers for the group
Eastwood Town Cricket Club	200.00	To purchase cricket equipment such as bats and gloves
Eastwood Peoples Initiative	500.00	Contribution towards a printer and kettle/urn
Eastwood Neighbourhood Watch	100.00	Funding towards updating website
Age Concern Eastwood	435.00	Contribution towards a drop curb to access the premises safely when dropping off elderly people
*Eastwood Peoples Initiative	500.00	To support additional costs incurred by working from home and supply goodie bags for those in need (Coronavirus)
*Eastwood Volunteer Bureau	1,000.00	To purchase food for food banks in the Eastwood area (Coronavirus)
*Eastwood Memory Café	500.00	Contribution towards the home delivery services and associated running costs (Coronavirus)
Cllr Errol Henry JP		
Gedling Borough Council	500.00	To contribute towards the cost of the Garden Competition and Good Neighbour Award for children in the summer holidays

Home-Start Nottingham	500.00	Contribute to the training of volunteers including room hire, refreshments, trainers and resources
Carlton St Pauls Parochial Church Council	500.00	Contribution towards various free community projects, breakfast club, messy church, over 60s high tea, Christmas dinner for singles
Via East Midlands Ltd	77.50	Replacement Grit bin for Darley Avenue
Hetty's	400.00	Contribution towards new computer equipment
Gedling Borough Council	1,000.00	Contribution towards the 50th Anniversary closure of Colwick programme of events, lamp post banners and interpretation panels
Hogarth Academy	600.00	Contribution towards a domestic violence training programme for pupils
Literacy Volunteers	611.00	To support a literacy volunteer in a primary school in the area for a year, and to provide them with reading materials and games
Age Concern Carlton and District	411.00	Promoting an age friendly environment shopping centre within Carlton Hill area
Foxhill Residents Fund	300.00	Contribution towards a bus trip for community residents
Gedling Play Forum	100.50	To replace the electric cooker at Wollaton Avenue community centre
Cllr Paul Henshaw		
Ashfield Court (MENCAP)	350.00	To support community activities and set up a gardening group for adults with Autism and Learning Difficulties
Brunts Charity Community Centre Social Fund	75.00	To contribute towards the cost of a Christmas meal for elderly residents
Salvation Army (Mansfield)	150.00	Contribution towards the purchase of a laptop to improve the efficiency of the food bank
Ladybrook Lights (Shops) Committee	250.00	To purchase Christmas lights and decorations for the Ladybrook shopping area for their Christmas festivities
Maun Refuge	400.00	Contribution towards equipment, ingredients and stall rental at the Mansfield Museum Christmas Market
Intake Farm Parents and Teachers Friends Association	876.00	To purchase outdoor gym equipment and lay a safety surface
Hetty's	250.00	A contribution towards the cost of new computer equipment
Disability Nottinghamshire	250.00	To provide specific help and advice for the disabled community and outreach in Ladybrook Community Centre
6th Mansfield St Marks Boys Brigade	250.00	Towards the cost of buying a celebratory badge for the groups 70th year anniversary
Mansfield Cats Protection	324.00	To purchase 20 scratching posts

Peace of Mind	250.00	To purchase a polytunnel cloche and kneeler to be used by the allotment group
Friends of Ladybrook Park	324.00	To purchase some shrubs, trees and plants for in and around Ladybrook Park
Cllr Tom Hollis		
Safer Huthwaite	350.00	To buy cones and hi-vis for road closure
K W	300.00	Contribution towards room hire, entertainment and buffet for local charity event for children with heart conditions
Dimensions Studio of Dance	200.00	To purchase dance equipment such as leotards and a dance bar
The Probus Club of Sutton-in-Ashfield	250.00	To buy tables, chairs and microphones for the group
Huthwaite Amateur Boxing Club	500.00	To purchase kits and boxing equipment
D M	1,000.00	Contribution towards equipment and transport costs to West Notts College
Carsic Tenants and Residents Association	216.00	To purchase new bingo machine and garden equipment
Cllr Vaughan Hopewell		
1st Forest Town Scout Group	125.00	To supply equipment such as tents and cooking equipment to take the scouts to an international camp
NCHA Ltd	150.00	To contribute towards Christmas celebrations for staff and residents at Crowther House
Senior Moments Social Group	150.00	A contribution towards coach trips for members in the Spring of 2020
Jigsaw (Hoarders Project)	125.00	To contribute towards set up costs for new offices
NCC School Council Visits	67.00	To provide a coach for Berry Hill Primary School's visit to County Hall 08.10.19
Via East Midlands Ltd	155.00	2 grit bins Whitney Close, Quines Hill Close, Forest Town
Willingham Court Lunch Club	300.00	To contribute towards a Christmas lunch and party for the residents of Willingham Court supported housing on Oak Tree estate
Family Action	150.00	A contribution towards a Christmas party event for children and families who engage with the South East Children's Centre
Friends of Oak Tree	125.00	A contribution towards the cost of the PTAs Winter 2019 events programme
Mansfield District Council (ref FLINT)	325.00	To contribute towards the cost of a Christmas meal for the elderly

Literacy Volunteers	150.00	To contribute towards the cost of a volunteer attending 5 East Mansfield primary schools and advancing children's' reading ability
Kingsway Hall Management Trust	250.00	To contribute towards replacement kitchen equipment
Hetty's	150.00	A contribution towards the cost of new computer equipment
Mansfield Community Choir	150.00	A contribution towards the cost of the choir's uniform and sheet music printing
Market Warsop Football Club	100.00	A contribution towards a new football strip for the Warsop U10s team
Jigsaw (Hoarders Project)	200.00	A contribution towards obtaining DBS checks, first aid and food hygiene training for new volunteers
Forest Town Nature Conservation Group	105.00	A contribution towards the cost of supplying tools and personal protection equipment to new volunteers
Forest Town Community Council	245.00	To contribute towards railings to be manufactured and installed around the remaining "Forest Town Boundary Stone"
Family Action	100.00	A contribution towards the cost of Easter activities for families and children across East Mansfield's children centres
Forest Town Guides	200.00	A contribution towards new camping equipment
Bellamy Road Tenants and Residents Association	175.00	A contribution towards a coach trip for families and the elderly residents of the Bellamy Road Estate
Forest Town and District U3A	200.00	To purchase a new laptop to enable the group's membership secretary to store members confidential details
Life Church South Mansfield	103.00	A contribution towards renewing toys and rugs for mums and toddlers' group "Little Treasures"
Cllr Richard Jackson		
Bramcote and Stapleford Golden Jubilee Group	250.00	Contribution towards the cost of Hemlock Happening
Literacy Volunteers	800.00	To support volunteers at Chetwynd, Eskdale, Sunnyside, The Lanes Primary Schools
Eskdale Junior School	350.00	To contribute towards costs relating to a computer club
Age Concern Chilwell	500.00	Contribution towards room hire for the luncheon club
Chilwell Community Centre	1,000.00	Contribution towards building improvements

Greenwood Community Centre	1,000.00	Contribution towards building improvements
Alderman Pounder School	1,000.00	Contribution towards new cycle shelter, part of healthy lifestyle and carbon footprint project
Cllr Roger Jackson		
Southwell Bramley Apple Festival	250.00	Contribution towards producing new banners to promote the festival
Southwell Town Council	250.00	To contribute towards the cost of road closure for the folk festival and the Morris men
Caythorpe Cricket Club	300.00	To buy new shirts for under-19s team
Lowdham Parish Council	300.00	Contribute towards new notice board in the village
Lowdham Parish Council	200.00	To help pay towards controlling a plague of rats that have appeared in the banks of the Cocker Beck in the village
Hoveringham Parish Council	198.40	To contribute towards new notice boards
*Lowdham Parish Council	500.00	To pay for food parcels for the old and vulnerable during the coronavirus pandemic
*Southwell Town Council	500.00	To pay for food parcels for the old and vulnerable during the coronavirus pandemic
Cllr Eric Kerry		
Beeston Football Club	2,500.00	To contribute towards the rebuilding of Trent Vale Sports Ground
Eskdale Junior School	2,000.00	To contribute towards costs relating to a computer club
Chetwynd Neighbourhood Forum	400.00	Contribution towards cost of additional marketing and communication materials for community engagement and consultation for the Neighbourhood Plan
Cllr John Knight		
Coxmoor Tenants & Residents Association	200.00	Contribution towards Christmas activities and party
Our Centre	2,800.00	To purchase office furniture, carpet and redecoration of kitchen
C H	200.00	To contribute towards a new kayak paddle
Kirkby Cats Home	50.00	To contribute towards the cost of new cat pens
Cllr Bruce Laughton		
Edingley Parish Council	250.00	Contribution towards the costs to get planning permission for a new play area
Bilthorpe Parish Council	570.00	Contribution towards the Christmas Lights Fund
Carlton on Trent Parish Council	250.00	Replacement battery and pads for defibrillator

Cllr John Longdon		
Friends of Trowell School	500.00	To contribute towards the purchase of a defibrillator for the school
Beeston Football Club	500.00	Contribution towards the development of clubhouse to provide changing facilities etc
Pegasus YFC	250.00	To assist in funding in Dugout Shelter
Bramcote and Stapleford Golden Jubilee Group	2,275.00	To support Hemlock Happening
Cllr Rachel Madden		
Kirkby Colliery Welfare Brass Band	500.00	To part fund the replacement of old musical equipment
Wesley Street Gardening Group	400.00	To provide skip for removal of non-organic materials
Kirkby Portland Cricket Club Ltd	1,500.00	Contribution towards the purchase of a mower
Cllr David Martin		
Via East Midlands Ltd	165.00	Refill 3 grit bins Smeath Road, Underwood Westdale Road, Jacksdale & Penrose Court, Selston
Tin Hat Centre	68.00	Materials for the Tin Hat knitting group
Cllr Diana Meale		
Brunts Charity Community Centre Social Fund	75.00	To contribute towards the cost of a Christmas meal for elderly residents
Maun Refuge	400.00	Contribution towards equipment, ingredients and stall rental at the Mansfield Museum Christmas Market
Intake Farm Parents and Teachers Friends Association	876.00	To purchase outdoor gym equipment and lay a safety surface
St Augustine's and St Barnabas PCC	100.00	To provide refreshments for children and supporters at a carol service at St Augustine's Church
Ladybrook Enterprises Ltd	100.00	To provide refreshments at a public open day and celebration event
Hetty's	500.00	To fund additional support sessions for families adversely affected by another person's drug or alcohol use
6th Mansfield Boys Brigade	200.00	To pay for activities for participants at the annual camp
Ladybrook Enterprises Ltd	533.00	Contribution towards improving security including CCTV and entry system
Cllr John Ogle		
Rampton Parish Council	200.00	To contribute towards the cost of hand dryers for the village hall

Markham Clinton Parish Council	500.00	To contribute towards the purchase of a defibrillator for the parish of Markham Clinton
St Peter and St Pauls Church	300.00	To contribute towards the cost of an information sign for community use
Via East Midlands Ltd	155.00	Grit bin for South Street, Bole
The Tuxford Mine of Information	375.00	To provide support for a community magazine
East Drayton Parish Clock Fund	600.00	To assist funding of repairs to parish clock and renovation of clock faces and dials
Dunham C of E Primary School	200.00	To provide sports and games equipment
North Leverton and Habbleshthorpe Parish Council	600.00	To replace a damaged fence in a playing field in North Leverton Village
Fledgelings Pre-school	400.00	Purchase of play equipment for nursery and playmats
Rampton Parish Council	370.00	Contribution to room hire for the Evergreen club
Cllr Philip Owen		
1st Nuthall Girls Brigade	800.00	Purchase of storage facility for equipment plus laptop for brigade work
NCC School Council Visits	224.00	Lunch for Mornington Primary & Larkfields Infants 31.01.20 School Council Visit
32nd Nottingham Boys Brigade	800.00	Purchase of flag, flagpole, new archery sets and BB jackets
1st Nuthall Scout Group	214.00	Purchase of camping equipment
Cllr Michael Payne		
Bonington Players	250.00	To purchase tools and equipment for scenery making
Arnold in Bloom	250.00	To purchase badges and cups for awards evening, and to fix camera for photographic display
Gedling Borough Council on behalf of Royal British Legion	200.00	Contribution towards costs for the Arnold Remembrance Event 10.11.19, for PA system, generator etc
The Royal British Legion Poppy Appeal	450.00	To contribute towards the cost of lamp post poppies in the Arnold North area
Warren Action Group	350.00	To support festive activities in the local community
Nottinghamshire Pride	250.00	To support one-off costs associated with Nottinghamshire Pride event

Good Shepherd PTA	250.00	To support specific Good Shepherd PTA project costs to help develop and enhance the experience for pupils at Good Shepherd school
Arnold Local History Group	250.00	To support the costs of the development of the group's website and associated issues
Friends of Killisick	250.00	To fund one-off costs for consultation events on plans to renovate the play park
St Marys Church	500.00	To help fund repair works to the church tower
Friends of Pinewood Association	400.00	To contribute towards the "Time to Enjoy Reading" project
Friends of the Hobbucks Nature Area	250.00	To support one-off costs associated with activities carried out by Friends of the Hobbucks Group
Ernehale Colts Football Club	450.00	To purchase kit, coaching gear and equipment for the Under 7s team
Eagles Nest Church	250.00	To purchase equipment and other resources for the "Fledgling Project"
Cllr John Peck		
Edwinstowe Village Hall Management Committee	250.00	Refurbishment of the village hall kitchen
Edwinstowe Parish Council	100.00	To contribute towards costs for the opening ceremony for the unveiling of a memorial
1st Edwinstowe Scout Group	100.00	Purchase invisibility vests and camp blankets for Edwinstowe Beavers
Edwinstowe Merry Women WI	200.00	To pay for equipment for Women's Institute activities
Edwinstowe Parish Council	120.00	Contribution towards the purchase of gifts to children from Santa at the Edwinstowe Lights switch on event
Edwinstowe Parish Council	2,630.00	Contribution towards installing four village gateway signs
Cllr Sheila Place		
Oasis Community Church Centre and Gardens	130.00	To fund cost of catering for a tea for former armed forces veterans in our district
Harworth and Bircotes First Community Association	200.00	To contribute towards various events including a pumpkin competition and a Christmas gala
Harworth Brass	150.00	Contribution towards an OPA's / Veterans concert and tea at Now Church 23.11.19
Primary School of St Mary and St Martin	150.00	Towards Christmas activities and festivities
Serlby Park Academy	500.00	Towards Christmas festivities

Harworth C of E Academy	150.00	Towards Christmas activities and festivities
Focus on Young People in Bassetlaw	200.00	Towards Christmas festivities
Langold Dyscarr Community Academy	150.00	Towards Christmas festivities
St Patricks Catholic Primary	300.00	Towards Christmas festivities and play area project
Blyth Players	200.00	To contribute towards the cost of costumes
Age Concern Harworth and Bircotes	150.00	Towards Christmas festivities
The Oldcotes Village Hall Fund	100.00	To support the village luncheon club for the retired/elderly members of Oldcotes Village
Agewell	150.00	Towards Christmas festivities
C W Moxon Ltd	220.00	Minibus to County Hall for school councils from Primary School
NCC School Council Visits	140.00	Lunch for various Blyth & Harworth Primary Schools 28.01.20 School Council Visit
Harworth Colliery FC	200.00	To contribute towards the cost of purchasing equipment
Harworth Methodist Church	500.00	Towards painting & decorating of Church and Hall, following repairs due to water damage
Harworth and Bircotes TRA	200.00	Towards coach cost for trips
Blyth Bulletin	100.00	To purchase Microsoft Office software and 2 memory sticks
L K	135.00	Contribution towards VE Day Celebrations
Cllr Liz Plant		
West Bridgford Liberty Singers	200.00	To support the purchase of new t shirts for the choir
Central West Bridgford Community Association	250.00	To contribute towards a community celebratory event including voluntary and community groups
Framework Housing Association	600.00	To contribute towards the activities for hostel residents
M C	200.00	Contribution towards an individual going on an expedition to Tanzania
Rushcliffe Community and Voluntary Service	400.00	Contribution towards a laptop
West Bridgford Infant School	600.00	To contribute towards the purchase of a defibrillator
Abbey and Lady Bay Children's Centre	300.00	To purchase bus passes to enable mums who are unable to afford transport access to domestic violence courses

The Friary	900.00	Contribution towards purchasing new kitchen cabinet doors and 2 dry fat fryers
Cllr Mike Pringle		
Parkrun Limited	500.00	To assist with the purchase of a lockable unit in which equipment can be stored safely
J T	500.00	To support transport costs for 49 residents to South Shields
New Disabled Action Team	500.00	To contribute towards the cost of transport for trips and National Disability Events
Lifespring Centre	1,000.00	To contribute towards the cost of resources for children with Autism
Walesby Sew Social	360.00	To assist in the cost of entrance and transport to the groups national executive conference
Nottinghamshire Mining Museum Ltd	340.00	To assist with transport costs for members to visit "The Peoples History Museum"
G S	250.00	To contribute to the costs of transport for "Danes Challenge"
*Lifespring Church	2,000.00	To allow purchase of food for distribution to those in need (Coronavirus)
Cllr Francis Purdue-Horan		
Langar Cum Barnstone Parish Council	100.00	To replace a memorial bench
Aslockton Parish Council	500.00	To contribute towards the cost of a security gate at the parish field
Langar-cum-Barnstone Parish Council	140.00	To contribute towards the cost of refurbishing two red phone kiosks in Barnstone which will house a defibrillator
Langar-cum-Barnstone Parish Council	310.00	To contribute towards the cost of the installation of a new all-weather play surface at Barnstone play area
Flintham Parish Council	500.00	Contribution towards a 6-foot bench to commemorate the 75th Anniversary of VE Day
Flintham Parish Council	111.00	To purchase 3 portable exterior lights for Flintham Fest and Flintham Community use
M C	200.00	To contribute towards the cost of an individual attending a scout jamboree in Poland
Aslockton and Whatton Village Fete	1,000.00	To contribute towards the cost of marquee hire and stall hire for the fete (Fete cancelled, money returned to NCC)
Orston Parish Council	220.00	To purchase a maypole for the VE celebrations
Bingham Town Council	700.00	Contribution to the publication of additional copies of the free Bingham Town Guide for residents

The Thomas Cranmer Centre	700.00	To assist towards the purchase of a portable stage for the Thomas Cranmer Centre for events
Langar Cum Barnstone Parish Council	100.00	To replace a memorial bench
Aslockton Parish Council	500.00	To contribute towards the cost of a security gate at the parish field
Cllr Mike Quigley MBE		
Barnby Moor Parish Council	1,000.00	Support towards improvements to village hall, including new toilet facilities
Goodwin Hall Management Committee	500.00	St George's Day in Retford providing entertainment to the local community and visitors. Grant to be spent on one-off expenditure, hire of PA system
Literacy Volunteers	100.00	To support the work of literacy volunteers with children in Hallcroft Infant School
Hallcroft Infant and Nursery School	400.00	To contribute towards the cost of transport to Sheffield and Harley galleries for pupil enrichment and broaden artistic horizons
Retford Charter Day	1,000.00	Help towards insurance and road closure for Retford Charter Day
Cllr Alan Rhodes		
Oasis Community Church Centre and Gardens	130.00	To fund cost of catering for a tea for former armed forces veterans in our district
Worksop Live at Home Scheme	200.00	To support funding of activities and Christmas decorations for older people in Worksop
J T W	200.00	To help fund Christmas party for local children in a disadvantaged part of Worksop
Carlton Bowls Club	200.00	To support the costs of travel and equipment for away matches
Focus on Young People in Bassetlaw	359.00	To support activities for children and young people in Bassetlaw
*Worksop Live at Home Scheme	200.00	To purchase water bottles for older people living at home (Coronavirus)
Cllr Kevin Rostance		
The Boys Brigade Nottingham Battalion Northern District	250.00	Contribution towards the cost of the swimming gala in November
Guardian Angels Bird Sanctuary	500.00	Contribution towards bringing animals and birds to visit schools and care homes in Hucknall
Hope Lea Project	300.00	To contribute towards the cost of providing a sensory room
Ashfield Art Classes	140.00	To purchase materials for the Art Group

Citizens Advice Bureau (Ashfield)	500.00	Support towards the AGM and volunteer awards at Ashfield Citizens Advice
The Boys Brigade Nottingham Battalion Northern District	50.00	Contribution towards the cost of the swimming gala in November
The Boys Brigade Nottingham Battalion Northern District	170.00	To support swimming gala and to bring children to an activity centre in Doncaster
F M	100.00	Funding towards specialist equipment for a pole vault athlete
Green Arrows Synchronised Swimming Club	164.00	Funding towards new PA equipment
The Red Lion	300.00	Contribution towards radio system and app for the Hucknall Pub Watch scheme
Hucknall Flight Test Museum	510.00	To waterproof the "Flying Bedstead" replica at the Flying High School, Hucknall
Each Amazing Breath CIC	900.00	Funding towards training 2 staff
*Shaun's Café	333.00	To provide wholesome meals to be packaged and given to the Hucknall food bank during the Covid-19 outbreak
Cllr Phil Rostance		
The Boys Brigade Nottingham Battalion Northern District	250.00	To support the boys brigade with girl's association camp reunion
Hucknall Community Dinner	150.00	To provide a Christmas dinner for residents with special needs and their carers
Hucknall Taking Steps	500.00	To fund 2 coach trips for walkers into Nottingham and towards Christmas party
Ashfield Art Classes	140.00	To purchase materials for the Art Group
Hucknall Hope Lea Project	600.00	To provide karaoke equipment and a PA system for the group for future drama projects
The Boys Brigade Nottingham Battalion Northern District	155.00	To support swimming gala and to bring children to an activity centre in Doncaster
F M	100.00	Funding towards specialist equipment for a pole vault athlete
Green Arrows Synchronised Swimming Club	123.00	Funding towards new PA equipment
The Red Lion	300.00	Contribution towards radio system and app for the Hucknall Pub Watch scheme
Each Amazing Breath CIC	525.00	Funding towards training 2 staff

*Shaun's Café	334.00	To provide wholesome meals to be packaged and given to the Hucknall food bank during the Covid-19 outbreak
Cllr Mrs Sue Saddington		
Averham, Kelham, Staythorpe Parish Council	150.00	To assist the villages to produce a village magazine
Newark Town Council	200.00	To contribute towards the cost of Armed Forces Day on 21st June 2020
All Saints Church	200.00	To contribute towards the cost of refurbishing the bells at Hawton Church
Rolleston Parish Council	200.00	Contribution towards the village festive fuddle
Fiskerton Cum Morton Parish Council	150.00	Contribution towards Christmas craft fair
Syerston Parish Meeting	200.00	Contribution towards VE Day Village Celebrations
Elston Parish Council	200.00	Contribution towards VE Day Village Celebrations
Farndon Residents Environment Group	250.00	Contribution towards special tools to clear overgrown trees and remove self-seeding trees
Rolleston Parish Council	200.00	Contribution towards VE Day Village Celebrations
Fiskerton Cum Morton Parish Council	200.00	Contribution towards VE Day Village Celebrations
East Stoke with Thorpe Parish Council	200.00	Contribution towards VE Day Village Celebrations
Averham, Kelham, Staythorpe WI	200.00	Contribution towards VE Day Village Celebrations
Bleasby Parish Council	200.00	Contribution towards VE Day Village Celebrations
Farndon Parish Council	200.00	Contribution towards VE Day Celebrations
Think Children - Newark	150.00	Contribution towards emotional wellbeing sessions/activities for disadvantaged children
Fiskerton Cum Morton Parish Council	120.00	Replace original springer seat which has broken on the children's playground
Elston Parish Council	75.00	Contribution towards new playground gate
Bleasby Parish Council	75.00	Contribution to purchase a gazebo for events in the Glebe field
Bleasby C of E Primary School	200.00	Contribution towards climate change and environment project
All Saints School Elston	200.00	Contribution towards eco-friendly project outside to include keeping chickens
St Peters Cross Keys Academy	200.00	Contribution towards a grandparent's celebration for VE Day

Cllr Andy Sissons		
Mansfield Welfare Rights	350.00	To contribute towards a software update and training
Bridge Street Methodist Church	200.00	To buy toys and games for children under 3 years old
Maun Conservation Group	400.00	To purchase litter picking and ground work tools and equipment
10th Mansfield St Lawrence's Brownies	200.00	To buy art materials for the group
Mansfield and District Childminders	150.00	Toys and games for under 3-year olds
Smith Street Social Club	150.00	To contribute towards the cost of community Christmas activities
Abbey Primary School	200.00	To help with costs to promote primary school pupil's education and wellbeing
Mansfield Harriers and Athletics Club	400.00	To contribute towards cross country and athletics events
St Peters Mums and Tots	250.00	Musical and educational toys for under 3-year olds
Westfield Folkhouse Pantomime	450.00	For staging and production of the 81st pantomime
8th Mansfield Scout Group	200.00	Contribution towards materials for activities and internet programs for the scouting group
Big Barn Lane Mother & Toddler Group	250.00	To purchase toys and games for children under 3 years old
Friends of Fisher Lane Park	400.00	For groundwork and planting bulbs and foliage within the community
The Forest Singers	200.00	For music sheets and programs
Mansfield Pentecostal Church	200.00	To buy toys for under 3-year olds
BA	150.00	To contribute towards the cost of an individual to travel to Russia for kickboxing world championships
St Marks Toddler Group	150.00	To purchase toys for infants under 3 years old
Indoor Curling Group U3A	150.00	To purchase equipment for indoor curling games
Cllr Helen-Ann Smith		
Starbox Community Gym	1,000.00	Setting up new youth club, purchase of pool table and materials
Hillocks Primary School	605.00	Contribution towards coach hire for "Cultural Week" visits to the museums and art galleries
1st Skegby Scout Group	1,875.00	Contribution towards security fencing
Cllr Tracey Taylor		

Misterton Area Partnership Ltd	300.00	Contribution towards purchase of new gazebos/marquee for use at annual parish community events
Walkeringham Village Hall Fund	200.00	To support costs of community Christmas meal for residents
N G	350.00	Contribution towards transport costs to Alton Towers for foster families to attend "The Big Convoy" event
Clarborough and Welham Parish Council	300.00	To support set up costs for community VE Day anniversary celebration events in May 2020
Harwell Residents Defibrillator Group	300.00	Towards purchase of cabinet for defibrillator for Harwell residents
Misterton Citizens Fund	200.00	Towards costs of hosting a community lunch for senior citizen residents of Misterton
Misson Parish Council	300.00	Towards costs of purchase of community Christmas tree and lights
Sutton-cum-Lound Parish Council	200.00	Towards cost of hiring venue and brass band for community Christmas event
Contact the Elderly	150.00	To support costs of venue, hire and refreshments for social meetings for elderly/solitary residents of Bassetlaw
Sutton-cum-Lound Village Hall Building Fund	295.00	Towards the costs of a new projector and bracket for the village hall
Misterton Area Partnership Ltd	250.00	Towards the installation of a memorial stone and blue plaque celebrating Henrietta Stockdale
Misson Community Association	300.00	Towards the costs of hosting community VE celebrations
Wiseton Cricket Club	350.00	Towards the costs of a new sports kit for all-age cricket team
Hayton Village Hall Fund	295.00	Towards the costs of hosting twice monthly activity sessions and community lunches
Everett-Fox School of Dance	160.00	Towards cost of costumes and staging for spring showcase event for local dance school
The Star	100.00	Towards costs of a scanner
Cllr Parry Tsimbiridis		
Mansfield Woodhouse Community Development Group	1,300.00	To support various community events such as the Band Concert etc
Mansfield Woodhouse Millennium Green	300.00	To purchase an industrial sized strimmer for use on the Green maintained by volunteers
The Triangle Group	100.00	To contribute towards wellbeing and fitness activities
Pleasley Vale Residents Association	150.00	To purchase capping stones for wall restoration in the community walled garden

Greek Community	175.00	Contribution towards a lunch for the elderly
Greek Community	200.00	To contribute towards the cost of an outing for the OAPS in Greek Community
Mansfield Woodhouse Community Development Group	150.00	To contribute towards 2 interpretation boards
Mansfield Woodhouse Community Development Group	100.00	To contribute towards VE Day celebrations
Mansfield Woodhouse Heritage Link	250.00	To contribute towards the cost of creating a copy of the local Roman villa mosaic next to Mansfield Woodhouse library
Mansfield Woodhouse Heritage Link	75.00	To contribute towards a small craft budget in a projects fund
Northfield Neighbourhood Management Team	250.00	To contribute towards a cooker and its installation for the Focus Point community project
Age Concern Mansfield	100.00	To contribute towards the cost of lunch club and outings for a group of elderly local community members
Mansfield Woodhouse Garden Holders Association	100.00	To contribute towards the cost of establishing an Allotment Group at Priory Road site
Mansfield Lawn Tennis Club Ltd	100.00	To contribute towards the cost of security improvements at the club
The Old Mansfield Woodhouse Society	68.75	To purchase 80 calendars showing images and photos of Old Mansfield Woodhouse
Maun Refuge	175.00	To support a series of pop-up restaurants in the town centre
Mansfield Rugby Club	125.00	To contribute towards the cost of a new strip and footballs for U13s
Cllr Steve Vickers		
Retford Civic Society	2,000.00	To contribute towards the cost of restoration of 60 signs
Contact the Elderly	150.00	To support costs of venue, hire and refreshments for social meetings for elderly/solitary residents of Bassetlaw
Goodwin Hall Management Committee	850.00	Contribution towards purchasing a flag and hiring a PA system
Cllr Keith Walker		
John Hunt Primary School	1,035.00	To contribute towards the cost of school outings
Chuter Ede Primary School	1,032.50	To contribute towards the cost of school outings at Hunters Road Site
Chuter Ede Primary School	1,032.50	To contribute towards the cost of school outings at Wolfit Avenue Site

Balderton Art Group	400.00	Contribution towards a trip to an art gallery and workshops for the group
St Giles Balderton PCC	1,000.00	To contribute towards the upgrade of the sound system
Cllr Stuart Wallace		
Chuter Ede Primary School	450.00	Towards the cost of pupils to attend DARE programme
Newark and Sherwood District Council (Public Protection Unit)	400.00	To support the "Youth Bike Project"
Newark Dementia Carers Group	450.00	To fund musicians to visit the group to work with people suffering from Dementia and mental health problems
1st Balderton Scout Group	500.00	Towards the cost of a scout camp during summer to develop young people's skills and confidence
Newark Town Council	400.00	In support of veterans attending Armed Forces Day and the events in Newark Town Square
1st Balderton St Giles Guides	550.00	To contribute towards camping equipment
Cllr Muriel Weisz		
New Generation Community Hub	800.00	To mark out the hall for a variety of sports activities, and purchase some sports equipment
St James Church Porchester	600.00	Contribution towards the costs of staging and PA for the Mapperley Community Christmas Switch-on
Arnold Eagles Girls & Ladies Football Club	250.00	Contribution towards kit for the team as they recruit new members
Literacy Volunteers	300.00	To contribute towards training materials for use by the volunteers
Gedling Climate Change Group	300.00	To contribute towards banners, leaflets and speakers' expenses to promote the groups purposes
Arnold Eagles Girls and Ladies FC	300.00	To contribute towards kit and equipment to expand the club's membership
Carlton Digby School	350.00	To contribute towards specialist sensory equipment
Cllr Andy Wetton		
None		
Cllr Gordon Wheeler		
R J	79.29	To contribute to the cost of a Syrian community family event
NCC School Council Visits	141.25	To provide lunch for Heymann Primary School's visit to County Hall 27.11.19
Trent Dementia Services Development Centre	175.00	To set up a working age Dementia Group to promote social activities

R J	126.50	To support towards a Syrian family event
Greythorn Primary Academy	250.00	To contribute towards a gardening club for a group of children at Greythorn
Jesse Gray Primary	300.00	To help with the cost of coach hire for a trip to the Houses of Parliament next year
St Giles Seniors	150.00	Towards the cost of minibus hire for St Giles Seniors
St Pauls Church	225.00	Contributions towards cutlery, crockery and initial food costs to start up a community/social evening eating project for those isolated
St Pauls Church "Our Place"	225.00	To contribute towards leaflets and food and drink costs
Nottingham Central Seventh Day Adventist Church	150.00	To contribute towards a community event to recognise achievements by local people
Heymann Primary School	330.00	To purchase board games and construction kits for indoor activities, and beanbags and soft balls for outdoor activities
Cruse Bereavement Centre (Notts Branch)	150.00	Contribution towards in-house training and the purchase of materials
Rugby Road Community Centre	175.00	To fund a community event for the elderly residents in sheltered accommodation
Via East Midlands Ltd	155.00	Grit Bin for Heymann Primary and Nursery School
NCC School Council Visits	95.20	To provide lunch for Jesse Gray School's visit to County Hall 06.12.19
Walcote Drive Community Centre	75.00	Contribution towards Christmas activities for residents of sheltered accommodation
Jesse Gray Primary	200.00	Funding towards plastic lettering for outside the school for the children of the school council
Rushcliffe Asian Community Association	200.00	To contribute towards the cost of "Keep Fit" sessions for the elderly members
Jesse Gray Primary	100.00	Funding towards plastic lettering for outside the school for the children of the school council
Cruse Bereavement Centre (Notts Branch)	180.00	Contribution to in-house training and purchase of materials
NCC School Council Visits	128.80	Lunch for Greythorn Primary 07.02.20 School Council Visit
*West Bridgford Community	250.00	Printing costs for leaflet ref buddying initiative in West Bridgford & travel expenses for volunteers (Coronavirus)
Cllr Jonathan Wheeler		
Hilton Grange Social Committee	250.00	To contribute towards a Christmas social event for the residents
Edwalton Primary Academy	250.00	To contribute towards a project around 'healthy relationships'
Leahurst Road Pre-School	200.00	Towards new signage for the nursery

GS Electrical	176.00	To install a new defibrillator at Edwalton Post Office
Radford Care Group	250.00	To contribute towards the cost of a training session for dementia carers
B C	226.00	To provide funding to a local para-athlete to compete and represent GB
Rushcliffe Community and Voluntary Service	200.00	Contribution towards a laptop
Cllr Yvonne Woodhead		
Rainworth Parish Council	450.00	To purchase rubber chippings to keep the skate park and surrounding areas weed free
Blidworth Colliery Welfare Cricket Club	200.00	To purchase cricket equipment
New Writers UK	250.00	To support the children's countywide creative writing competition and poetry performance event
Age UK Nottingham and Nottinghamshire	400.00	To help pay for a Planer Thicknesser for Men in Sheds, Blidworth
Sam's Workplace	300.00	Display board for an art event showcasing local arts and crafts
Rainworth and Blidworth Army Cadets	400.00	To support the purchase of a Remembrance Day flag
Spectrum Wasp	300.00	To support the visit to Mansfield Palace Theatre pantomime
Cornwater Evergreens Foundation Trust	250.00	To contribute towards the cost of an activities programme for older people
Blidworth Oaks Primary School	200.00	Contribution towards the purchase of musical instruments
Lake View Primary and Nursery School	200.00	Contribution towards waterproof suits for wet play
Joseph Whitaker Academy	250.00	To support students in activities outside of the curriculum
The Python Hill Academy	200.00	To support students with extra after school activities
Studio 96 Dance and Acro Academy	300.00	To give support to the purchase of a new dance floor to better support young people to dance
Nottingham Roosevelt Travelling Scholarship Memorial	500.00	Contribution towards the scholars learning experience to fulfil a once in a lifetime occurrence
Cllr Martin Wright		
Oak Tree Conservation Group	175.00	To contribute towards a Christmas meal

1st Forest Town Scout Group	125.00	To supply equipment such as tents and cooking equipment for scouts to take to an international camp
Oak Tree Conservation Group	175.00	To contribute towards a Christmas meal
NCHA Ltd	150.00	To contribute towards Christmas celebrations for staff and residents at Crowther House
Senior Moments Social Group	150.00	A contribution towards coach trips for members in the Spring of 2020
Jigsaw (Hoarders Project)	125.00	To contribute towards set up costs for new offices
NCC School Council Visits	67.00	To provide a coach for Berry Hill Primary School's visit to County Hall 08.10.19
Via East Midlands Ltd	155.00	2 grit bins Whitney Close, Quines Hill Close, Forest Town
Willingham Court Lunch Club	100.00	To contribute towards a Christmas lunch and party for the residents of Willingham Court supported housing on Oak Tree estate
Family Action	50.00	A contribution towards a Christmas party event for children and families who engage with the South East Children's Centre
Friends of Oak Tree	75.00	A contribution towards the cost of the PTAs Winter 2019 events programme
Mansfield District Council (ref FLINT)	275.00	To contribute towards the cost of a Christmas meal for the elderly
Literacy Volunteers	150.00	To contribute towards the cost of a volunteer attending 5 East Mansfield primary schools and advancing children's' reading ability
Kingsway Hall Management Trust	300.00	To contribute towards replacement kitchen equipment
Hetty's	150.00	A contribution towards the cost of new computer equipment
Mansfield Community Choir	150.00	A contribution towards the cost of the choir's uniform and sheet music printing
Market Warsop Football Club	100.00	A contribution towards a new football strip for the Warsop U10s team
Jigsaw (Hoarders Project)	200.00	A contribution towards obtaining DBS checks, first aid and food hygiene training for new volunteers
Forest Town Nature Conservation Group	105.00	A contribution towards the cost of supplying tools and personal protection equipment to new volunteers
Forest Town Community Council	245.00	To contribute towards railings to be manufactured and installed around the remaining "Forest Town Boundary Stone"
Family Action	100.00	A contribution towards the cost of Easter activities for families and children across East Mansfield's children centres
Forest Town Guides	200.00	A contribution towards new camping equipment

Bellamy Road Tenants and Residents Association	175.00	A contribution towards a coach trip for families and the elderly residents of the Bellamy Road Estate
Forest Town and District U3A	200.00	To purchase a new laptop to enable the group's membership secretary to store members confidential details
Life Church South Mansfield	103.00	A contribution towards renewing toys and rugs for mums and toddlers' group "Little Treasures"
Cllr Jason Zadrozny		
Ashfield District Council	3,750.00	To contribute towards the costs of bulb planting and minor environmental planting improvements

7 September 2020**Agenda Item: 12****REPORT OF THE SERVICE DIRECTOR, CUSTOMERS, GOVERNANCE AND
EMPLOYEES / MONITORING OFFICER****UPDATE ON USE OF RESOURCES BY COUNCILLORS****Purpose of the Report**

1. To present Committee with an update on the use of resources by Councillors.

Information**Background**

2. At the meeting of Full Council on 10 May 2018, a revised Code of Conduct for Councillors and Co-opted Members was agreed. The new Code included a range of protocols, including the Councillor and Co-opted Member Protocol for use of Resources (attached for the Committee's reference at **Appendix A**). This Protocol's guiding principles include the need to be mindful of costs and not using resources for political purposes.
3. Governance and Ethics Committee is responsible for taking an overview of this issue and this is the latest update for the Committee.

Room Hire for Councillor Surgeries

4. Councillors are expected to use County Council premises for surgeries and are encouraged to use local libraries particularly.
5. In line with the revised Code of Conduct and Use of Resources Protocol, the use of other venues requires the approval of Governance and Ethics Committee.
6. One of the two Councillors for Stapleford and Broxtowe Central Division booked a meeting room at Stapleford Town Council on 25 January 2020 to hold a public consultation meeting about highways maintenance and improvements. The room hire cost £30. Once it is possible to hold public meetings safely again in the future, the Councillor would like to hold such meetings on a quarterly basis. He uses this venue as it is a convenient location for Town Council Members as well as the public.

7. The Councillor for Nuthall and Kimberley Division has previously booked a meeting room at Nuthall Parish Council to hold case surgeries and would like to continue to use this venue due to its convenient location for both Nuthall and Kimberley residents and its car parking facilities.
8. The Councillor uses this venue as there are no suitable County Council premises in this Division (Kimberley Library has no disabled parking and no other parking outside). The cost for these monthly bookings is £12.50 each, exclusive of VAT. The County Council has received invoices for 11 bookings in 2019 at a total cost of £137.50 and for the three meetings held in 2020 up to March at a cost of £37.50. The Council has also received an invoice for £100 to cover the costs of the remaining eight bookings from April to December 2020.

Printing and Photocopying Costs

9. A breakdown of printing and photocopying costs for the period October 2019 to March 2020 is included at **Appendix B**.
10. The Committee's views are sought on the expenditure and whether any further information or actions are required on specific items of expenditure.

Other Issues

11. As agreed by the Committee in January 2019, the Team Manager – Democratic Services, from his monitoring of the relevant Democratic Services budgets, will highlight any areas of concern on an ongoing basis. Currently there are no specific wider issues raising concerns.

Reporting Frequency

12. In light of the lack of wider concerns currently it is proposed that these update reports should be submitted on an annual basis going forward. This can be reviewed in the future should concerns subsequently arise.
13. Where there are resource issues requiring the Committee's approval prior to the next update then separate reports will be submitted to cover those specific issues.

Other Options Considered

14. None – the report provides an update on expenditure as required in the revised Code of Conduct and the revised Councillor and Co-opted Member Protocol for use of Resources and seeks relevant approvals where required.

Reason/s for Recommendation/s

15. To update the Committee and seek relevant approvals in line with the requirements of the revised Code of Conduct and the revised Councillor and Co-opted Member Protocol for use of Resources.
16. The move to annual reporting on this issue reflects the current level of concerns but the frequency could be reviewed if felt necessary in the future.

Statutory and Policy Implications

17. This report has been compiled after consideration of implications in respect of crime and disorder, data protection and information governance finance, human resources, human rights, the NHS Constitution (public health services), the public sector equality duty, safeguarding of children and adults at risk, service users, smarter working, sustainability and the environment and where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

RECOMMENDATIONS

That the Committee:-

- 1) Considers the continued use of a meeting room at Stapleford Town Council as a venue for public consultation meetings on a quarterly basis at a cost of £30 per booking.
- 2) Considers the continued use of a meeting room at Nuthall Parish Council Focus Point as a venue for Councillor Surgeries at a cost of £12.50 per surgery, with eleven surgeries booked per year.
- 3) Considers the relevant resources expenditure for the period October 2019 to March 2020 and decides whether there is any further information required or any actions required on specific items of expenditure.
- 4) Agrees to move to an annual reporting cycle on this issue, with any Committee approvals required on specific resource issues to be covered through individual reports to the Committee.

Marjorie Toward

Service Director, Customers, Governance and Employees

For any enquiries about this report please contact:

Keith Ford, Team Manager, Democratic Services Tel. 0115 9772590

E-mail: keith.ford@nottscc.gov.uk

Financial Comments (RWK 12/08/20)

18. Governance and Ethics Committee is the appropriate body to consider the content of the report. If Committee resolves that any actions are required it must be satisfied that such actions are within the Committee's terms of reference.

Financial Comments (RWK – 10/08/2020)

19. All of the expenditure detailed in the report will be met from the existing revenue budget provision for Members Allowances and Expenses for which a sum of £1,860,068 is included in the 2020/21 revenue budget.

Background Papers and Published Documents

Except for previously published documents, which will be available elsewhere, the documents listed here will be available for inspection in accordance with Section 100D of the Local Government Act 1972.

- None

Electoral Division(s) and Member(s) Affected

- All

APPENDIX A



Nottinghamshire County Council

Councillors and Co-opted members – Protocol for Use of Resources

1. INTRODUCTION

This protocol provides rules on the use of Council resources in relation to your role as a Councillor.

The Council provides a range of support services and facilities to enable Councillors to carry out their duties. The full range of resources available and rules regarding use are set out in the **Schedule** attached to this protocol.

2. COUNCIL BUSINESS – WHEN THIS PROTOCOL APPLIES

Councillors may use Council facilities and resources in connection with the following Council business:

- Matters relating to the decision making process of the Council, e.g. Council and committee meetings
- Representing the Council on an outside body
- Holding division surgeries
- Meeting, communicating with and dealing with correspondence from residents, other Councillors, officers, Government officials, MPs etc. in connection with Council business
- Matters for discussion by a political group of the Council, so long as it relates mainly to the work of the Council and not your political party or group

3. PRINCIPLES FOR USE OF RESOURCES

- Councillors must be mindful of Council resources and must always seek to conduct business in the most cost effective way. Councillors must have regard to the need to ensure prudent and reasonable use of resources and value for money.
- Party political activities or individual campaigning do not form part of Council business and the Council's resources must not be used for these activities. This includes Council email addresses. The Council is prohibited by law from publishing any material which, in whole or in part, appears to be designed to affect public support for a political party or an individual Councillor, or to highlight their achievements.

- Use of resources for the purpose of representing individuals or small groups of residents is acceptable. However, high volume use of resources including sending out circulars and conducting wide-scale consultation exercises is not acceptable, even though these may involve Council business.
- In the interests of economy and the environment, Councillors are requested to use e-mail, or to hand-deliver, instead of using post wherever possible.
- Governance and Ethics Committee is responsible for oversight of use of resources including review of postage and photocopying costs incurred by individual Councillors and political groups. Committee is also responsible for considering requests for exceptions to be made. Committee reserves the right to charge Councillors for excessive use.

SCHEDULE

Equipment and Resources for Councillors

ICT Equipment - you will be provided with appropriate equipment for your full term of office.

If you have been provided with a phone, you will have access to unlimited calls and texts to standard numbers, with a 2GB monthly data limit. Any laptop or tablet devices have a 5GB monthly data limit. You will be required to meet the costs of any usage above those limits at a cost of 5p per MB.

You will be reminded of the terms and conditions around the appropriate use of these devices during your induction training.

On receipt of equipment Councillors are required to confirm that they have read the Councillors' ICT Acceptable Use Guidance.

Support for technical matters is supplied by the Council's ICT helpdesk. User training is available on the intranet.

Councillors' Webpages - the Council's Website includes a page for each Councillor. This page includes your contact details, photograph, and committee membership details. There is also a facility for you to provide regular updates on your activities as a Councillor. These webpages will be removed during all pre-election periods.

Arrangements for incoming mail – you will have a pigeonhole, located within your relevant group area (where applicable) for meeting papers and any mail sent to you at County Hall. Mail should be collected wherever possible but if you are not expected to be at County Hall for some time then you can ask for mail to be sent to your home address. Please discuss your specific requirements with your group researcher.

Arrangements for outgoing mail – there will be an outgoing mail tray located within your relevant group area (where applicable); this is the only mail tray you should use. The Council's corporate letter templates and window envelopes **must** be used in order to enable mail to be franked. If mail cannot be franked it is more expensive to post. Unless there are exceptional circumstances postage will be second class. Councillors should be economical in their use of post; volume use (anything in excess of 50 items) is not acceptable unless approved in advance by Governance and Ethics Committee. Use email or hand-deliver instead where possible. The Post Room reserves the right to open any post to ensure policies are being adhered to.

Stationery - a limited range of stationery is available from either your group researcher or Democratic Services. Stationery must not be adapted to include political logos. Photographs can be included but must be printed in black and white. The Multi-Function Devices are regularly re-stocked with printer paper; you should contact Facilities to re-stock if necessary rather than taking paper from other locations in the building; this is to ensure proper reporting to Governance and Ethics Committee regarding volumes used.

Printing– Photo security passes will enable you to print, scan and photocopy from the Multi-Function Devices located around County Hall. These will be the only printing facilities available, with the exception of Central Print. This is in order to ensure to ensure proper reporting to Governance and Ethics Committee regarding volumes used. In the interests of transparency and cost-effectiveness these facilities are only available when security passes as used. In accordance with the Council's Print Strategy **high volume copying and printing (any job involving 99 plus sides of paper) must be sent to Central Print as this is the cheapest option.** Due to the high costs associated with colour printing, you should always print /copy in black and white unless colour is required to enable the document to be understood. Councillors should be economical in their use of print.

Business Cards can be obtained from Democratic Services. You may request a supply of 500 cards to cover your full term of office. These cards should only include contact details for County Hall, to prevent any subsequent changes being required.

Room Hire for Surgeries – for your constituency surgeries you should seek to use meeting rooms that do not incur a charge to the Council. These can include community facilities and some Council premises. If no suitable premises are available an application for the cost of hiring an alternative venue will need to be approved by Governance and Ethics Committee

Disclosure and Barring Service checks – to undertake your role as a Councillor you need to have a Disclosure and Barring Service (DBS) check. Democratic Services will contact you about the process and documentation required to complete an electronic DBS application form. You may have a current DBS check, however there are very limited circumstances in which checks can be transferred. Democratic Services will advise you on this issue.

Nottingham City Transport Cards - a limited number of Nottingham City Transport Cards for official business travel on City buses are available for staff and Councillors from Reception at County Hall. These must be signed for and returned to County Hall reception after each use. At all times your chosen method of travel must be the most cost effective method, taking into account the value of time saved, anticipated subsistence and other expenses and any other relevant matters. More details are available in the Travel and Accommodation Policy.

Conferences – attendance at conferences, seminars and training events for which a fee is payable must be approved in advance by the relevant committee.

County Hall Essential Information

County Hall is open Monday to Friday, usually 6.30am to 6.30pm. The building is also usually open on Saturdays from 8.00am to 1pm. If you intend to continue working in an office after 6.30pm, you should inform the Facilities office on extension 73316.

Security pass. You will be issued with a security pass. Security is very important and you should wear your pass at all times on a County Council lanyard as you may be asked for identification. Your pass will operate the car park barrier, the reception barriers and the doors to secure areas of the County Hall campus.

Each card is individually programmed to provide access to particular areas in the building. Your initial pass will be a temporary version – this will be replaced with a new pass containing your photograph which, as well as giving you the relevant access rights, will also enable you to scan, copy and print from the large machines around the building (called Multi-Function Devices or MFDs).

Car Parking spaces for Councillors' exclusive use in connection with Council business are available in the Members' Car Park on the River Trent frontage. Drive around to the rear of County Hall and present your security pass at the barrier to allow access to this area. Unless you are on Council business you should pay for parking at times when members of the public are required to pay to use the Car Park, for example during cricket and football matches.

Office Accommodation is provided for Councillors' use. There are currently suites of rooms on the ground and first floors at County Hall. The allocation of accommodation will be confirmed as soon as possible after the election, after consultation with the political groups.

Confidential Waste bins are provided in all work areas for secure disposal of confidential or sensitive documents. Recycling bins are also provided.

Meeting rooms – meetings involving Councillors will usually be held in

Council Chamber	- main building, floor 1.
Committee rooms B & C	- main building, ground floor.
Rufford Suite	- Riverside block, floor 1.
Committee room A & Civic Suite	- Riverside block, ground floor.

Lifts are available to all floors within County Hall. There is also a wheelchair lift to the Rufford Suite and Riverview Restaurant.

Catering facilities are available. Rolls, beverages and other snacks can be bought from the snack bar in Reception. The Riverview restaurant in the Riverside block serves hot meals and sandwiches. Councillors are entitled to complementary drinks from within their group accommodation or from the snack bar.

Visitors to County Hall must sign in at the reception desk in the entrance foyer; all visitors will be provided with a temporary pass. They should sign out and return the pass on leaving the building.

Fire Alarms are tested at 10.00am on the first Wednesday of every month. A continuous ring signals the fire alarm and an intermittent ring signals a bomb alert. If you hear the alarm bell you must vacate the building at the nearest fire exit. Please make yourself aware of these with the posters placed around County Hall and be aware of the relevant assembly points.

COUNCILLORS' USE OF RESOURCES**Printing and Photocopying costs (over £10 threshold)**

The following costs for printing and photocopying have been recorded for Councillors during the period October 2019 – March 2020 (N.B. any other print charges for Councillors under the £10 threshold are not included):-

<u>DESCRIPTION</u>	<u>COST £</u>
Other print charges – Cllr Richard Butler	14.27
Other print charges – Cllr Chris Barnfather	20.36
Other print charges – Cllr Jim Creamer	13.45
Other print charges – Cllr Tracey Taylor	12.39
Other print charges – Cllr Neil Clarke	10.69

For information, the following costs for printing and photocopying have been incurred by Group support staff during the same period:-

	<u>COST £</u>
Team Leader Ruling Group	168.66
PA to Committee Chairs – Ruling Group	73.10
Member Support Officer	39.04
Executive Officer to the Leader	188.30
Research Officer (Mansfield Independents)	97.09
Conservatives and Mansfield Independents Group Officer Total:	566.19
Senior Research Officer to Opposition Group	34.80
Executive Assistant to Opposition Group	167.48
Labour Group Officer Total:	202.28
Research Officer to Opposition Group	28.19
Ashfield Independents Officer Total:	28.19
Officer Support to Chairman and Vice-Chairman (*as elements of the work for the Chairman and Vice-Chairman is not logged separately, this is an estimate figure based on a 33% proportion of the total printing recharge for this officer who also has other areas of responsibility) TBC	4.50
Business Cards for Chairman and Vice-Chairman	33.00
Chairman's Christmas Cards	175.00
Community Heroes certificates etc	114.00
Major Oak Pop Choir Charity Concert - Tickets	120.00
Major Oak Pop Choir Charity Concert – Posters	53.00
Curry and Cricket Charity Event – Tickets	115.00
Curry and Cricket Charity Event – Posters	53.00

7 September 2020**Agenda Item: 13****REPORT OF THE SERVICE DIRECTOR, CUSTOMERS, GOVERNANCE AND
EMPLOYEES****WORK PROGRAMME****Purpose of the Report**

1. To review the Committee's work programme for 2020-21.

Information

2. The County Council requires each committee to maintain a work programme. The work programme will assist the management of the Committee's agenda, the scheduling of the Committee's business and forward planning. The work programme will be updated and reviewed at each pre-agenda meeting and Committee meeting. Any member of the Committee is able to suggest items for possible inclusion.
3. The attached work programme includes items which can be anticipated at the present time. Other items will be added to the programme as they are identified. The meeting dates and agenda items are subject to review in light of the ongoing COVID-19 period.

Other Options Considered

4. None

Reason/s for Recommendation/s

5. To assist the Committee in preparing and managing its work programme.

Statutory and Policy Implications

6. This report has been compiled after consideration of implications in respect of crime and disorder, data protection and information governance finance, human resources, human rights, the NHS Constitution (public health services), the public sector equality duty, safeguarding of children and adults at risk, service users, smarter working, sustainability and the environment and where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

RECOMMENDATION

- 1) That Committee considers whether any changes are required to the work programme.

Marjorie Toward

Service Director, Customers, Governance and Employees

For any enquiries about this report please contact:

Keith Ford, Team Manager, Democratic Services Tel. 0115 9772590

E-mail: keith.ford@nottsc.gov.uk

Constitutional Comments (EH)

7. The Committee has authority to consider the matters set out in this report by virtue of its terms of reference.

Financial Comments (NS)

8. There are no financial implications arising directly from this report.

Background Papers and Published Documents

Except for previously published documents, which will be available elsewhere, the documents listed here will be available for inspection in accordance with Section 100D of the Local Government Act 1972.

- None

Electoral Division(s) and Member(s) Affected

- All

GOVERNANCE & ETHICS COMMITTEE - WORK PROGRAMME (AS AT 27 AUGUST 2020)

<u>Report Title</u>	<u>Brief summary of agenda item</u>	<u>Lead Officer</u>	<u>Report Author</u>
12 October 2020			
Governance Action Plan Update	To consider an update report on progress with the Action Plan.	Rob Disney	Simon Lacey
Approval of Statement of Accounts 2019-20	The timing of this agenda item is to be confirmed.	Nigel Stevenson	Glen Bicknell
Assurance Mapping Annual Report 2019-20	To consider the latest Assurance Mapping Annual Report	Rob Disney	Rob Disney
Internal Audit Recommendations - Action Tracking	To consider progress against previously agreed internal audit recommendations.	Rob Disney	Simon Lacey
Member Communication and Engagement Programme	To consider an update report on progress with this Programme.	Marjorie Toward	Heather Dickinson
Update on Local Government and Social Care Ombudsman Decisions	To consider any recent findings of the Local Government Ombudsman in complaints made against the County Council (item to be confirmed).	Marie Rowney	Jo Kirkby
25 November 2020			
Audit Findings Report	Grant Thornton's audit findings. Possibly to incorporate approval of Statement of Accounts	Nigel Stevenson	Glen Bicknell
Update on Local Government and Social Care Ombudsman Decisions	To consider any recent findings of the Local Government Ombudsman in complaints made against the County Council (item to be confirmed).	Marie Rowney	Jo Kirkby
Internal Audit 2020-21 Plan – Term 2	To consider progress in the latest monitoring term.	Rob Disney	Simon Lacey
6 January 2021			
Counter Fraud Update	To consider an update on actions taken to address potential fraud.	Nigel Stevenson	Rob Disney
Update on Local Government and Social Care Ombudsman Decisions	To consider any recent findings of the Local Government Ombudsman in complaints made against the County Council (item to be confirmed).	Marie Rowney	Jo Kirkby

Follow-up on Internal Audit Recommendations	To consider progress against previously agreed internal audit recommendations.	Rob Disney	Simon Lacey
1 February 2021			
Corporate Risk Management Update	To consider the latest update on this issue.	Rob Disney	Simon Lacey
Update on Local Government and Social Care Ombudsman Decisions	To consider any recent findings of the Local Government Ombudsman in complaints made against the County Council (item to be confirmed).	Marie Rowney	Jo Kirkby
31 March 2021			
Use of Councillor's Divisional Fund	To consider the latest six monthly monitoring report.	Marjorie Toward	Keith Ford
Internal Audit 2020-21 Plan – Term 3 and 2021-22 Plan Term 1	To consider progress in the latest monitoring term.	Rob Disney	Simon Lacey
Update on Local Government and Social Care Ombudsman Decisions	To consider any recent findings of the Local Government Ombudsman in complaints made against the County Council (item to be confirmed).	Marie Rowney	Jo Kirkby
Internal Audit Recommendations: Action Tracking	To consider progress against previously agreed internal audit recommendations.	Rob Disney	Simon Lacey
23 June 2021			
Annual Governance Statement 2020-21	To approve the annual statement.	Rob Disney	Simon Lacey
Update on Local Government and Social Care Ombudsman Decisions	To consider any recent findings of the Local Government Ombudsman in complaints made against the County Council (item to be confirmed).	Marie Rowney	Jo Kirkby
Assurance Mapping 2020-21	To consider this annual review of progress.	Rob Disney	Simon Lacey
Annual Fraud Report 2020-21	To consider this annual review of progress.	Rob Disney	Simon Lacey
Head of Internal Audit Annual Report 2020-21	To consider the Head of Internal Audit's latest annual report.	Rob Disney	Simon Lacey