

Audit and Standards Committee

Monday 12 October 2020

10:00

Meeting to be conducted using TEAMS

John Tradewell
Director of Corporate Services
2 October 2020

A G E N D A

1. **Apologies**
2. **Declarations of Interest**
3. **Minutes of the Meeting held on 30 July 2020** (Pages 1 - 6)
4. **Annual Report on Information Governance** (Pages 7 - 16)
Report of the Director of Corporate Services.
5. **Cabinet Office - National Fraud Initiative** (Pages 17 - 20)
Report of the County Treasurer.
6. **Final Accounts 2019/20 Progress Report**
Verbal report from Ernst and Young.
7. **Code of Conduct for Members - Report on the Management of Complaints** (Pages 21 - 26)
Report of the Director of Corporate Services.
8. **Parental Leave Policy for Members** (Pages 27 - 36)
Report of the Deputy Leader and Cabinet Member for Economy and Skills.
9. **Forward Plan** (Pages 37 - 44)

10. Exclusion of the Public

The Chairman to move:-

“That the public be excluded from the meeting for the following items of business which involve the likely disclosure of exempt information as defined in the paragraphs of Part 1 of Schedule 12A (as amended) of the Local Government Act 1972 as indicated below”.

PART TWO **(reports in this section are exempt)**

11. **Exempt Minutes of the Meeting held on 30 July 2020** (Pages 45 - 52)
12. **Strategic Property and Asset Management Audit Review - Progress Report** (Pages 53 - 68)
- Report of the Assistant Director for Commercial and Assets. (Exemption Paragraph 3)
13. **Joint Funding and Billing - CCGs Continuing Healthcare - Final Audit Report 2019/20** (Pages 69 - 96)
- Report of the County Treasurer. (Exemption Paragraph 3)
14. **Special Guardianship Payments - Final Audit Report 2020/21** (Pages 97 - 136)
- Report of the County Treasurer. (Exemption Paragraph 3)
15. **Update on Approved Mental Health Professionals - Implementation of Previous Recommendations** (Pages 137 - 144)
- Report of the Director of Health and Care. (Exemption Paragraph 3)

Membership

Derek Davis, OBE	Ann Edgeller
Martyn Tittley (Chairman)	David Brookes
Carolyn Trowbridge (Vice-Chairman)	Richard Ford
Ross Ward	Helen Fisher
Bernard Williams	Philip Atkins, OBE
Paul Northcott	Keith Flunder
Susan Woodward	Keith James
Alastair Little	

Minutes of the Audit and Standards Committee Meeting held on 30 July 2020

Present: Martyn Tittley (Chairman)

Attendance

Derek Davis, OBE	Ann Edgeller
Carolyn Trowbridge (Vice-Chairman)	David Brookes
Bernard Williams	Richard Ford
Paul Northcott	Philip Atkins, OBE
Susan Woodward	Keith Flunder
Alastair Little	Keith James

Apologies: Helen Fisher

PART ONE

1. Declarations of Interest

Sue Woodward and Philip Atkins declared an interest in item 4 “Local Government Association (LGA) – Consultation on Draft Model of Conduct for Members” as they were both Members of the LGA Board and Peer Mentors.

2. Minutes of the Meeting held on 28 January 2020

RESOLVED: That the minutes of the meeting held on 28 January 2020 be approved as a correct record and signed by the Chairman.

3. Local Government Association - Consultation on Draft Model Code of Conduct for Members

The Committee considered a report of the Director of Corporate Services seeking the views on the Local Government Association’s (LGA) Draft Model Code of Conduct for Members for use across the Country. The Draft Code had been published prior by the LGA to ‘lockdown’ but progress had been delayed until the recent issue of a consultation questionnaire, which was attached to the report. The questionnaire had been circulated to all Members of the Council earlier in the month and a small number of responses had been received.

The Committee expressed concern that there wasn’t a clear distinction between receiving hospitality and a gift from a friend and from a constituent. It was also felt that the £25 threshold for registering gifts was too low and didn’t give a Member the opportunity to develop any relationship with their community or take part in any activity which Members were invited to. Members wanted to see the threshold raised and a clearer definition of hospitality and gift.

Regarding Social Media, it was felt that this was an area that needed to be developed by the LGA and there was not enough guidance in the model code. The Committee was reminded that this Authority had recently agreed a much tighter and more robust clause in its own Code of Conduct.

RESOLVED:

- a) That the report be received.
- b) That Officers research the threshold what other Local Authorities allow for gifts and hospitality.
- c) That Officers, in conjunction with the Chairman, draft a response to the questionnaire and circulate it to Members of the Committee for further comment prior to submission.

4. Internal Audit Charter 2020/21

The Committee considered the revisions made to the Internal Audit Charter which had originally been approved by this Committee in June 2014. The revised Charter covered all requirements of the latest Public Sector Internal Audit Standards, the latest Local Government Application Note, and the latest CIPFA Statement regarding the role of the Head of Internal Audit in Public Service Organisations.

RESOLVED: That the Internal Audit Charter 2020 be noted.

5. Forward Plan 2020/21

The Committee was informed that the Forward Plan had been amended to reflect the changes that had been made to this Committee meetings as a result of the Covid-19 pandemic.

RESOLVED: That the Forward Plan be noted.

6. Code of Corporate Governance - Update

The updated Code of Corporate Governance and resultant action plan had been produced in line with the CIPFA SOLACE framework 'Delivering Good Governance in Local Government' which was published in April 2016.

The Code was reviewed every year to ensure that it remained up to date and relevant. The main changes were highlighted in yellow in the report and the code had been expanded to include greater emphasis on partnerships, outcomes, interventions and transparency agendas.

The Committee was informed that following a recent Internal Audit review the service had been awarded a substantial assurance opinion.

RESOLVED: The Code of Corporate Governance and action plan be approved.

7. Fraud Risks - The Impact of COVID-19.

The Committee received a presentation which provided an overview of the impact of Covid-19 on the fraud environment and associated fraud risks as well an update on how the Authority has reacted to the risks which had arisen from Covid-19, particularly relating to possible fraudulent activity against the Council.

The Presentation was attached to the agenda paperwork. The main fraud scenarios seen during the Covid-19 pandemic were listed as: Bank mandate fraud; Impersonation fraud; Application fraud; Cyber-enabled fraud; and Procurement and Supply chain fraud.

Following a question on the Authority's capacity to tackle the increasing levels of fraud, the Committee was reassured that systems were in place in terms of dedicated fraud resources and all the auditors had the ability to investigate fraud case, but one of the key tools the authority had related to data analytics to highlight areas of concern quickly which can then be investigated. Whistleblowing cases would continue to be picked up and prioritised in the normal way.

With regard to the levels and types of fraud experienced in Staffordshire and the level of increase during the pandemic, Members requested a report on any learnings for this period and also any audit that had taken place on the Personal Protective Equipment (PPE) contract. The Committee was informed that an audit of PPE had been carried out at the request of the IMT group. In addition, a lessons learnt exercise had been carried out by the IMT through the Civil Contingency's Unit and subject to the Units approval, the report could be brought to this Committee for consideration.

It was felt that training for Members and other organisations such as the NHS or partners who the Council work closely with would be useful to ensure that everyone was prepared and able to identify fraud at an early stage. It was also noted that Staffordshire Police were undertaking joint training with the Council on Cyber Security in August.

RESOLVED:

- a) That the presentation be noted.
- b) That subject to the Civil Contingencies Units agreement, a report on the lessons learnt through the pandemic be brought to the Committee for consideration.
- c) That Elected Members receive training on fraud prevention through the Member Development induction programme.

8. Internal Audit Outturn Report 2019/20

The Committee considered the report of the County Treasurer which summarised the work undertaken by Internal Audit in respect of the 2019/20 annual plan. Officers provided a verbal summary of the report at the meeting for the benefit of Members.

It was noted that part of the report contained exempt information which would be considered later on the agenda.

Several audits were carried out within the Special Educational Needs and Disabilities (SEND) area and some high-level issues have been raised which will be kept under

review in 2020/21 including Education Health and Care Plans (EHCP). Also, it was noted that whilst the review of the Strategic Property function was again awarded a limited assurance, significant improvements had been made, most notably the development of a revised decision-making structure for property related matters. The weaknesses resulting from the limited assurance reviews would continue to be a key focus for the 2020/21 Internal Audit Plan. Further details relating to the top risk and limited reviews would be discussed in the confidential part of the agenda.

Concern over the income arrangements in schools was expressed. The Committee was informed that a Schools Governing Body would be informed if problems were highlighted where there was non-compliance with regulations. It was felt that County Councillors may be able to support schools in their wards if this was needed.

RESOLVED:

- a) That the report be noted.
- b) That the Chairman, on behalf of the Committee, write to all School Governing Bodies suggesting that they are more rigorous in their financial monitoring. As part of this, Internal Audit will produce a document setting out the key control weakness themes highlighted during the 2019/20 audit reviews for further consideration by Schools.

9. Exclusion of the Public

RESOLVED: That the public be excluded from the meeting for the following items of business which involved the likely disclosure of exempt information as defined in the paragraphs of Part1 of schedule 12A of the Local Government Act 1972 indicated below.

The Committee had a short break at 11.30am and reconvened at 11.40am

The Committee proceeded to consider the following items:

10. Exempt Minutes of the Meeting held on 28 January 2020

RESOLVED – That the minutes of the meeting held on 28 January 2020 be confirmed and signed by the Chairman.

11. SEND Transformation (exemption paragraph 3)

- a) SEND (Special Educational Needs and Disabilities) Joint Inspection - Final Audit Report 2019/20
- b) SEND Transformation - Governance: Decision Making Groups - Final Audit Report 2019/20
- c) SEND Transformation - Governance - Local Hubs - Final Audit Report 2019/20

- 12. Sales 2 Cash Including Debt Recovery Function and Debt Management - Final Audit Report 2019/20 (exemption paragraph 3)**
- 13. People Strategy - Final Audit Report 2019/20 (exemption paragraph 4)**
- 14. Children and Families System Transformation Place Based Approach Final Audit Report 2019-20 (exemption paragraph 3)**
- 15. Ofsted Improvement Plan - Final Audit Report 2019/20 (exemption paragraph 3)**
- 16. Cyber Security Strategy Review - Final Audit Report 2019/20 (exemption paragraph 7)**
- 17. Care Director - Citizen Portal - Final Audit Report 2019/20 (exemption paragraph 3)**
- 18. Internal Audit Outturn Report 2019/20 - Counter Fraud & Corruption Work Appendix 2 (exemption paragraph 7)**

Chairman

Local Members Interest
N/A

Audit and Standards Committee - Monday 12 October 2020

Annual Report on Information Governance – 1 April 2019 to 31 March 2020

Recommendations

I recommend that:

- a. The Committee note the information contained in this report.

Report of the Director of Corporate Services

Summary

Background

1. This report is designed to give the Audit and Standards Committee assurance how SCC are complying with the following legislation:
 - a. Data Protection Act 2018 and GDPR
 - b. Freedom of Information Act 2000
 - c. Environmental Information Regulations 2004
 - d. RIPA
 - e. Local Government Transparency Code 2014
2. The compliance with this range of legislation is monitored and administered through various national commissioner roles including the Information Commissioner, Surveillance Commissioner and Interception of Communications Commissioner. These commissioners have powers to impose penalties, including monetary penalties and custodial sentences on organisations or individuals who breach these rules.

Information Rights

Data Protection

3. Under the Data Protection Act individuals have a right to access their own information, known as a Subject Access Request. Ensuring compliance with Access to Information is the overall responsibility of the Information Governance Unit. However, Families First manage children's requests separately. Compliance statistics for Families First and IGU are included at **Appendix 1**.

Freedom of Information

4. Freedom of Information performance in SCC is monitored on a quarterly basis and published on the internet. The benchmark set by the Information Commissioner

for an acceptable service is 85% of requests answered with 20 working days. Freedom of Information statistics can be found at **Appendix 2**.

Information Security

5. Local Authorities continue to face challenges to ensure that appropriate information security is in place therefore the County Council remains focussed on working towards ensuring that resilient procedures are employed across the Authority.
6. The authority continues to be subject to a high-level of cyber-attacks. It is not believed that the authority is being specifically targeted but more as an inevitable consequence for any organisation that has a high level of activity on the internet. In particular denial of service attacks have seen an increase both directly attacking the Authority's network but also that of our Internet Service Provider and this can lead to significant disruption to the network. An increase in malware email campaigns (software which is specifically designed to disrupt or damage a computer system) has led to limits being placed on downloading executable files.
7. The Council continues to develop the Cyber Security Incident Plan in case of a cyber-attack.
8. The Council continues to invest in appropriate software and hardware to combat security threats and works closely with its Internet Service Provider to improve its security and to ensure the earliest possible warning of cyber-attacks. The firewall hardware and software continue to provide protection to our network. The council is currently looking to invest in a Security and Information Events (SIEM) solution.
9. The Information Governance Unit record all reported security incidents and investigate where necessary. Security incidents include both physical and electronic data. All incidents will be followed up with the appropriate manager to receive assurance from the service that recommendations have been implemented. A total of 202 incidents were reported between April 2019 and March 2020 which is the highest level of incidents since we began formally recording. This is an average of 17 per month. 8 incidents were reported to the Information Commissioner's Office, no further action was taken. Details of Security Incidents are also included at **Appendix 2**.
10. Staffordshire County Council has successfully been granted Public Services Network (PSN) accreditation for 2019. PSN is a key part of Government ICT Strategy and accreditation means that the authority can continue access a secure network that facilitates the safe access of Government shared services. The safety of PSN is paramount and to achieve accreditation the authority had to satisfy a Code of Connection containing over 60 different security controls. This included an externally procured Pen test carried out in August 2019 where there were no critical or high actions. A stress test was carried out on CareDirector portal and Staffordshire ICT are scheduling more test with Nessus.
11. Staffordshire County Council has also been accredited with Cyber Essentials Tier 1 for the second year running.

Governance

12. Governance of information requirements is provided through the Corporate Governance Working Group, Information Governance Unit, Senior Information Risk Owner (SIRO) Data Protection Officer (DPO) and for Health and Care, the Caldicott Guardian.
13. An Information Asset Register (IAR) identifies information that enables the organisation to perform its business functions and all rules associated with the management of that information. Further work to improve the IAR is being scheduled.
14. Staffordshire County Council has a comprehensive retention schedule, which identifies the statutory and business requirements for how long a record should be kept.
15. The NHS IG Toolkit is an online system which allows organisations to assess themselves or be assessed against Information Governance policies and standards. The NHS require the County Council to be compliant with the toolkit to enable integrated working between the County Council and NHS bodies, including connection to systems and the transfer and sharing of sensitive personal data. In March 2019 Staffordshire County Council obtained compliance to the latest local authority version of the toolkit for the whole County Council.

Training and Guidance

16. All new starters must complete the Privacy, Data protection and Cyber security e-learning modules as part of the induction process. All staff can complete a suite of Information Governance e-learning modules.
17. The new DOJO videos have been rolled out and a further set of videos designed for members were released in March 2020.

Regulation of Investigatory Powers Act

18. Staffordshire County Council is entitled to use the Regulation of Investigatory Powers Act for carrying out covert surveillance as part of our statutory duties. All applications for surveillance must be approved by a Magistrate. In 2019 there were 3 Directed Surveillance applications made. No operations involving Covert Human Intelligence Sources were undertaken.
19. Access to Communications Data from communication are processed by the National Anti-Fraud Network (NAFN). No requests have been made or processed. A new Code of Practice has been issued and further work will take place to comply before 27 May 2019.
20. RIPA training was delivered in November 2019 for the high-level policy requirements and a practitioners training day was delivered in December. A further course scheduled for March had to be postponed due to COVID-19. A

reviewed RIPA policy and new guidance on use of social media for investigation will be delivered in 2020. A RIPA inspection is also due during 2020.

March 2020 COVID-19

21. From March the Information Governance Team were responsible for the downloading and dissemination of data relating to the Staffordshire residents who were deemed Extremely Vulnerable to the virus.
22. This has been a very challenging time with the high volumes of inconsistent data the team have ensured accurate and timely reports to IMT. As the volumes increased, IGU enlisted the help of ICT and the procedure is now more streamlined with automated dashboards.
23. The team deserve praise for their hard work and dedication over the past several months.

Equalities Implications

24. There are no equalities implications arising as a result of this report.

Legal Implications

25. Failure to comply with legislation or legal requirements (i.e. Data Protection Act, Regulation of Investigatory Powers Act) can result in external censure, financial loss (including fines and compensation) and reputational damage.
26. Failure to comply with the Regulation of Investigatory Powers Act can result in censure by the Surveillance Commissioner, including reporting to Parliament, and judgement by the Investigatory Powers Tribunal.

Resource and Value for Money Implications

27. Continued adherence to good information assurance practice will help to ensure that the Council does not suffer financial loss through fine(s) for breaches.

Risk Implications

28. Any risks identified are subject to inclusion within the Authority's risk register and are dealt with as a matter of priority accordingly.
29. It is a key part of the Committee's role to give assurance to the Authority and the council taxpayers that the public resources invested in the Authority are being properly managed. This report is one way by which that assurance can be given.

List of Background Documents/Appendices:

Appendix 1 – Subject Access Requests

Appendix 2 – Freedom of Information Requests, Information Security Incidents, Training Stats

Contact Details

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Appendix 1 Subject Access Requests

Corporate Services Actioned by IGU												
	Apr-19	May-19	Jun-19	Jul-19	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19	Jan-20	Feb-20	Mar-20
No. SAR received (non-complex)	6	12	13	5	4	5	9	7	5	8	8	2
No. SAR received (complex)	1	0	0	2	1	0	0	0	1	0	1	2
Total SAR received	7	12	13	7	5	5	9	7	6	8	9	4
No. SAR completed on time	7	12	12	6	4	5	9	7	6	8	9	N/A
% SAR completed on time	100%	100%	92.30%	85.70%	80%	100%	100%	100%	100%	100%	100%	N/A

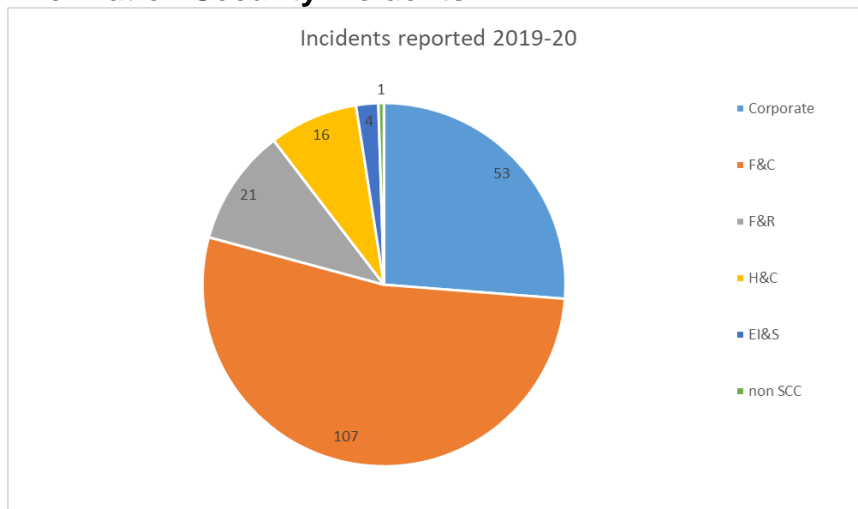
Families and Communities												
	Apr-19	May-19	Jun-19	Jul-19	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19	Jan-20	Feb-20	Mar-20
No. SAR received (non-complex)	18	12	9	15	14	15	15	17	7	18	13	16
No. SAR received (complex)	4	3	4	4	5	11	9	8	6	6	8	5
Total SAR Received	22	15	13	19	19	26	24	25	13	24	21	21
No. SAR completed on time (non-complex)	7	3	2	6	3	12	15	15	6	16	12	On going
% SAR completed on time (Non-Complex)	39%	25%	22%	40%	21%	80%	100%	88%	86%	89%	92%	On going
No. SAR completed on time (complex)	1	2	0	2	2	5	4	5	3	On going	On going	On going
% SAR completed on time (Complex)	25%	67%	0%	50%	40%	45%	44%	63%	50%	On going	On going	On going

Appendix 2

Freedom Of Information and Environmental Information Requests

	Apr-19	May-19	Jun-19	Jul-19	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19	Jan-20	Feb-20	Mar-20	Total
FOI	114	107	108	131	93	123	116	124	80	118	133	86	1333
Overdue	12	3	4	5	4	8	5	4	2	8	9	*	64*
EIR	10	9	19	12	20	2	9	8	9	19	16	21	154
Overdue	1	0	0	0	0	0	1	0	0	1	1	1	5

Information Security Incidents



Corporate	53
F&C	107
F&R	21
H&C	16
EI&S	4
non-SCC	1
Total	202

Training Statistics

Module	Completed in last 2 years	Staff completion rate %
Data Protection Essentials	2404	63.41%
Privacy	1418	37.40%
Cyber Security	2172	57.29%

Local Members Interest
N/A

Audit and Standards Committee - Monday 12 October 2020

Cabinet Office – National Fraud Initiative 2020

Recommendation

I recommend that:

- a. The Committee receive the report on the requirements of the Cabinet Office's National Fraud Initiative (NFI) 2020.

Report of the County Treasurer

Report

Background

1. The NFI is a data matching exercise conducted by the Cabinet Office under its data matching powers set out in the Local Accountability and Audit Act 2014. The NFI which started in 1996 continues to prove an effective tool for detecting and preventing fraud and error across the UK. The 2018/19 NFI identified fraud and overpayments totalling £245 million, this compares with £292 million in 2016/17, and takes the cumulative fraud and error identified to £1.93 billion since the first NFI exercise in 1996. At Staffordshire County Council, the 2018/19 NFI exercise resulted in recovery being sought for £108,237 of errors identified.
2. The NFI matches data provided by approximately 1,200 participating organisations from across the public and private sectors against data provided by other participants and key data sets provided by government departments and other national agencies to help prevent and detect fraud.
3. The NFI 2020 exercise will involve the County Council submitting payroll (and pension payroll) and other relevant data to the Cabinet Office on behalf of the County Council. Potential matches are then referred back to authorities for investigation.
4. The remainder of this committee report provides details of Internal Audit's work in relation to the notification and data extraction processes that underpin the NFI 2020 exercise.

Notification

5. Participants in the data matching exercise are required to inform individuals that their data will be processed; as required by Part 6 of the Local Audit and Accountability Act 2014, which is referred to as the 'fair processing' notice. For the NFI 2020 exercise, the fair processing notice for employees is 'layered', which comprised of 3 layers of notices as follows:

- a. **Summary Notice** – to provide individuals whose data is to be matched, with the minimum of information but with links to where more detailed information can be found. Employees have been notified of our participation in the NFI via “The Knot” email news bulletin in September 2020. School employees were also notified via the “School Bag” in September 2020. Pensioners were notified in the spring 2020 issue of “In-Contact Magazine” distributed to all Local Government Pension Scheme (LGPS) members. Notice for Blue Badge holders and Travel Pass holders is incorporated into the application processes.
 - b. **Condensed Text** - A summary of the Cabinet Office’s data matching exercise is located on the County Council’s intranet and website (links/references to these are given in the summary notices) as well as in hard copy on request; and
 - c. **Full Text** – is on the Cabinet Office’s website and includes an explanation of the legal basis for the data matching exercise. Condensed text directs readers to the Full Text source.
6. The benefit of applying the layered approach is to provide different audiences with appropriate fair processing information, for example individuals who require more than the summary explanations can access the ‘condensed text’ notices’ or full details as required.

Data Submission

7. The Cabinet Office released guidance / instructions for the NFI 2020 data matching exercise and required submission of the following data from the County Council to perform the NFI exercise:
- a. Payroll (which includes members’ allowances and expenses);
 - b. Pension payroll;
 - c. Trade creditor’s payment history and standing data; and
 - d. Transport passes & permits (Blue Badges).
8. In March 2020, the Cabinet Office identified an update to the NHS Act in 2006 which meant that the Direct Payment and Residential Care Home data sets now fall into the definition of “patient” data. There are restrictions on the NFI matching of patient data in the Local Audit and Accountability Act. The Cabinet Office NFI team are currently working with the Department of Health and Social Care to change the legislation to enable this data match going forwards. It is anticipated that these data sets will be matched at a future date.
9. Both the payroll and pension data will be collected for the period 1st April to 30th September 2020.
10. The payroll data will be used to identify individuals who may be committing employment fraud by failing to work their contracted hours because they are employed elsewhere or are taking long-term sickness absence from one employer and working at another employer at the same time. Payroll data will also be

matched against visitors with UK Visas. The aim of this match is to identify any instances of overseas persons working in this country where the UK visa has expired or does not permit them to be in employment.

11. The pension data will be used to identify instances where an occupational pensioner has died but the pension is still being paid.
12. Transport pass data will be collected as at 30th September 2020 from the County Council's Smartcitizen System. The data will be used to identify instances where the pass/permit holder has died.
13. Blue Badge holder data will be submitted directly to the Cabinet Office by the badge issuing supplier, Valtech. The Blue Badge holder data will be matched against DWP records to identify blue badge holders who have died, and to other organisations to identify individuals who hold more than one Blue Badge.
14. Trade Creditors data will be collected from the Council's Financial Information System, My Finance for the three-year period 1st October 2017 to 30th September 2020. The data will be checked to identify instances of duplicate payments being made, duplicate creditor records and VAT overpayments. This data is also checked against payroll data to identify employees who have interests in businesses which may cause a conflict of interest.
15. Following completion of each data extraction, the data files will be uploaded to the Cabinet Office via a secure link between 9th October 2020 and 1st December 2020.
16. It is envisaged that the output will be returned to the County Council for filtering and examination on 28th January 2021 via the secure NFI software. Detailed enquiries on the matches identified will be undertaken by the County Council's staff. This work will be monitored on an on-going basis and progress reports will be presented to the Audit and Standards Committee at regular intervals.
17. By way of further information, the Cabinet Office is currently developing additional data matches to help combat fraud related payments made to help mitigate the impact of covid 19, such as business rates relief and business support grants. Details are not yet finalised, however, at this time it is not anticipated that these additional areas of the NFI will require any additional data submission from the County Council. No additional fee will be levied on Local Authorities for the NFI work linked to the Covid19 emergency response.

Equalities Implications and Climate Change Implications

18. There are no direct implications arising from this report.

Legal Implications

19. Participation in the 2020 data matching exercise is mandatory under Part 6 of the Audit and Accountability Act 2014.

Resource and Value for Money Implications

20. The Cabinet Office fee for participating in the exercise is £3,800, excluding VAT (a £50 increase on previous years). This will be billed in one instalment between January and March 2021. In order to encourage organisations to submit data promptly a penalty fee system has been implemented that will result in addition costs for late or incomplete data. If applied to a County Council this would represent a further cost of £190. We do not anticipate this applying to SCC. Internal Audit has allocated 8 days within the Council's Counter fraud work plan 2020/21 for the facilitation of fair processing notices and data uploads prior to data upload.

Risk Implications

21. This work supports the Council's risk management processes.

List of Background Documents:

Code of data matching practice for the National Fraud Initiative
Proposed Work Programme and Scale of Fees, including Covid-19 Counter Fraud Measures

Contact Details

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Local Members Interest
N/A

Audit and Standards Committee - Monday 12 October 2020

Code of Conduct for Members – Report on the Management of Complaints (January 2019 – September 2020)

Recommendation

I recommend that:

- a. The Committee note the information contained in this report and make any recommendations that they think fit to assist in respect of the management of Member complaints.

Report of the Director of Corporate Services

Report

Complaints Management and Number of Cases January 2019 – September 2020

1. My usual practice is to report to this Committee's March meeting each year on the management of complaints against elected members during the preceding calendar year. Due to COVID 19 I was unable to report in March 2020. The deadlines for the publication of the Annual Audit and Accounts and the Annual Governance Statement have been extended to 30 November 2020. I have therefore collated the information on complaints for the full period January 2019 to September 2020 in order to bring members up to date on activity and to correspond, as closely as possible, with the production of the Annual Governance Statement.
2. The County Council has its own Code of Conduct for members prepared in accordance with the requirements of the Localism Act 2011 and adopted in 2012. Members of the County Council endeavour to maintain their reputation of high standards of behaviour. Their commitment to those standards is illustrated by the fact that earlier this year in advance of any national action by either the Local Government Association or Central Government, the Council's Code was updated in line with a number of the recommendations in the Committee for Standards in Public Life's (CSPL) report on their Review of Ethical Standards in Public Life. Those changes related, in the main, to Declarations of Interest and the addition of a specific clause in the Code on the use of Social Media.
3. More recently this Committee has considered the Local Government Association's Draft Model Code of Conduct for Members, which was called for by the CSPL. Formal observations, including members' input, on the Draft have been submitted to the Association and include calls for improvements to the proposed provisions both on Social Media and treating others with respect and for more effective sanctions.

4. Whilst members might aim to adopt high standards of conduct all of the time, there are occasions when members of the public are unhappy about the way a member of the County Council has behaved. The Localism Act 2011 requires local authorities to have arrangements in place, including provisions for the involvement of an 'Independent Person' to deal with formal complaints against members.
5. Members of the public wishing to lodge a complaint about a member can do so either on-line or in writing to the Monitoring Officer. At an early stage the Monitoring Officer assesses the allegation and consults one of the Independent Persons on whether the allegation, if proved, involves a breach of the Code. If this is the case a further assessment is made on whether the issue can be dealt with by the Monitoring Officer under delegated authority, or, in serious cases, by a Panel of members.

Complaints considered by the Monitoring Officer

6. These are complaints for which the Monitoring Officer, in consultation with the Independent Person, feels that appropriate remedy would be:
 - a. a formal apology by the member concerned to the complainant
 - b. training, or both.

Complaints considered by a Panel of the Audit and Standards Committee

7. Where the Monitoring Officer, in consultation with the Independent Person, thinks that it is not appropriate for the Monitoring Officer to deal with the complaint or that more serious sanctions might be appropriate, the complaint will be referred to a Panel of up to five members taken from the full membership of this Committee. The sanctions available are wider including recommendations that the member be removed from a particular committee or outside body and the issuing of an appropriate press release.
8. The Authority has three Independent Persons - Mr Arthur Goldstraw, Mr Tom Roach and Mrs Christina Robotham.

Issues dealt with during January 2019 – September 2020

9. In this reporting period 12 complaints were received and concluded. There is currently one further complaint under consideration. Details of the reasons for the 12 complaints and agreed action are shown at Appendix 1 to this report. As members will see, the complaints fall into 4 broad categories: Use of Social Media, Failure to respond to correspondence, Attitude towards constituent and comments made by individual members. All have been considered in line with the agreed process and have involved consultation with an Independent Person. The actions listed demonstrate the respect held by members for the Code of Conduct, with swift action taken by those found to be at fault with 'lower level' breaches, and formal action taken on those breaches that merit formal action.

10. The summary of complaints also demonstrates the importance of the Council's action in early 2020 to strengthen its Code in relation to the use of Social Media.

Legal Implications

11. The County Council is required to have a formal complaints procedure for the handling of complaints about elected members.

Risk Implications

12. Compliance with the requirement to have a Code of Conduct for members and a local process to deal with alleged breaches of that Code arrangements addresses the risk of challenge to the governance arrangements of the Council.

List of Background Documents/Appendices:

Appendix 1 - Complaints against Elected Members - January 2019 - September 2020

Contact Details

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E-Mail Address:	Julie.plant@staffordshire.gov.uk

Appendix 1

Complaints against Elected Members January 2019 - September 2020

	Case No.	Complaint details	Action
2019			
	2019/1	Failure to respond to correspondence/engage with action group	Evidence of correspondence exchanges by/on behalf of member - Following consultation with IP, not pursued further under complaints process
	2019/2	Comments perceived to be disrespectful	Review of circumstances and consultation with IP- no breach of Code therefore not pursued further under complaints process
	2019/3	Alleged slanderous and threatening comments on Social Media	Referred to Members Panel/Leader recommended to take action
	2019/4	Abusive behaviour	Processed through Complaints system. Member requested to apologise to complainant
	2019/5	Abusive posts on Social Media	Referred to Members Panel/Leader recommended to take action
Page 25	2019/6	Alleged slanderous comments on Social Media	Review of context of comments found them to be part of political exchanges. IP and MO deemed complaint to be politically motivated - not pursued further under complaints process
	2019/7	Failure to respond timely to correspondence	Not found to have been an unreasonable delay- IP and MO agreement not to pursue further under complaints process
	2019/8	Inappropriate remarks on Social Media	No Breach - context was lead up to general election. IP and MO deemed political exchanges - not pursued further under complaints process
	2019/9	Inappropriate/hostile/personal behaviour and comments on Social Media	Not found to be intentionally personal/acting as Community Champion- not pursued further under complaints process
2020			
	2020/1	Failure to respond to correspondence	Member immediately responded to correspondent when made aware of complaint - not pursued further under complaints process
	2020/2	Dismissive comments (re Equality) during Committee discussion (same incident as 2020/03 below)	Comments considered by IP and MO to be of general nature re urgency of business to be addressed by the Council and not intended to be personally offensive - not pursued further under complaints process
	2020/3	Dismissive comments (re Equality) during Committee discussion (same incident as 2020/02 above)	Comments considered by IP and MO to be of general nature re urgency of business to be addressed by the Council and not intended to be personally offensive - not pursued further under complaints process
	2020/4	Failure to maintain confidentiality of complainant's information	live' case - currently being processed

Local Members Interest
N/A

Audit and Standards Committee - Monday 12 October 2020

Parental Leave Policy for Members

Recommendation

I recommend that:

- a. The Parental Leave Policy for Members and accompanying procedure are considered and commented upon by Members of the Audit and Standards Committee.

Report of the Deputy Leader and Cabinet Member for Economy and Skills

Summary

What is the Select Committee being asked to do and why?

1. The Audit and Standards Committee are requested to consider and comment upon the Parental Leave Policy for Members and accompanying procedure.

Report

2. The principal aims of the Policy are:
 - a. To provide a positive environment for Members with family responsibilities so that our cross-section of members are representative of our community. Families are at the heart of Staffordshire County Council and as such wishes to champion an environment to support Members.
 - b. This policy offers guiding principles for members to be able to continue to fulfil their role whilst benefiting from Parental Leave.

Link to Strategic Plan

3. Support more families and children to look after themselves, stay safe and well.

Link to Other Overview and Scrutiny Activity

4. In April 2019, a report was presented from County Councillor Sue Woodward. This followed a survey that was sent to female Councillors on gender issues. The recommendation was that a small Working Group of Members be formed to investigate this matter in further detail and report back their findings to the Corporate Review Select Committee:

5. The working group membership included:

- a. Councillor Philip White (Chairman)
- b. Councillor Tina Clements
- c. Councillor Phil Hewitt
- d. Councillor Julia Jessel
- e. Councillor Paul Snape
- f. Councillor Carolyn Trowbridge
- g. Councillor Victoria Wilson
- h. Councillor Susan Woodward

6. In their discussions and supported by officers from Member & Democratic Services and HR, the working group have drafted a Parental Leave Policy for Members and accompanying procedural notes.

List of Background Documents/Appendices:

Appendix 1 – Parental Leave Policy for Members

Appendix 2 – Procedure for Parental Leave Policy for Members

Contact Details

Assistant Director:	Ann-Marie Davidson, County Solicitor
Report Author:	Chris Ebberley
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E-Mail Address:	chris.ebberley@staffordshire.gov.uk

Parental Leave Policy for Members

1. Principal / Aim of the Policy

- 1.1. To provide a positive environment for Members with family responsibilities so that our cross-section of members are representative of our community. Families are at the heart of Staffordshire County Council and as such wishes to champion an environment to support Members.
- 1.2. This policy offers guiding principles for members to be able to continue to fulfil their role whilst benefiting from Parental Leave.

2. Leave Provisions of the Policy

- 2.1. Maternity Leave Provisions: An Elected Member can take up to 52 weeks 'leave' away from their Member duties after the birth of their child in the child's first year.
- 2.2. Antenatal Appointments: All Members will be supported in attending antenatal appointments whether for themselves or for their partners.
- 2.3. Still Birth: If still birth occurs before 24 weeks of pregnancy, Members are not entitled to maternity leave however discretion given for shorter period of leave of absence. If still birth occurs after 24 weeks of pregnancy full maternity benefits and leave apply of up to 52 weeks following birth.
- 2.4. Breast Feeding Facilities: The promotion of breast-feeding is a priority in the UK. Exclusive breast-feeding for the first six months of life offers major health advantages to mothers and babies, so it is important that mothers are enabled to continue breast-feeding when they return to their Councillor duties.

2.5. Whilst on Maternity Leave should a female Member wish to attend any Council Meetings and need to be able to breast-feed their infant they will not be precluded from entering the chambers and participating in proceedings. Similarly, if a Member needs to bottle-feed their infant, again they will not be precluded from doing this.

2.6. Adoption Leave Provisions: A member can take up to 52 weeks leave away from their Member duties after the placement of their child in the first 12 months of the child's first year.

2.7. Paternity Leave / Maternity Support Leave Provisions: A member who is the Father/ Significant other responsible for child & mother well-being at the time of the birth can take up to 2 weeks 'leave' away from their duties after the birth of their child.

2.8. Shared Parental Leave Provisions: A member can take up to 50 weeks 'leave' away from their Member duties, less any time the mother of the newborn child has taken as maternity leave (minimum of 2 weeks must be taken by mother).

2.9. Parental Leave Provisions: A member can take up to 13 weeks leave from their Member Duties, up to their child's 18th birthday. A Member can only take a maximum of 4 weeks in any one year.

3. Basic Allowance & Special Responsibility Allowance during Parental Leave

3.1. There will be no change to a Members allowance as a result of any time taken for any of the provisions of this policy.

4. Practical Guiding Principles for Parental Leave

An accompanying paper sets out the procedure for an Elected Member who would like to take Parental Leave.

4.1. Special Responsibility Allowance (SRA)

- 4.1.1. Basic and SRA will not be affected by a Member taking Parental Leave. Replacement member / nomination undertaking the duties to be paid SRA if they are not currently in receipt of a SRA. [Link to Nomination Process](#).
- 4.1.2. Where the Chair is on Parental Leave, the Vice Chair should cover duties.
- 4.1.3. Wherever possible duties should be spread across more than one other Member.

4.2. Responding to Emails

- 4.2.1. Members are responsible for putting on an out of office message redirecting queries to a designated /alternative member. However, if they still wish to respond to emails/ correspondence whilst taking Parental Leave, they are at liberty to undertake this activity.

4.3. Local Divisional Duties and Nomination Process

- 4.3.1. Wherever possible, Members who take Parental Leave will be able to nominate another Member to deal with local issues in their Division. It will be the responsibility of the Member to hold discussions with their preferred nomination to arrange this. Where this hasn't been possible, the Member taking Parental Leave will need to raise this with their

relevant Political Group Leader.

4.3.2. Where a Member has limited alternatives to nominate due to low political representation, the Leader / Deputy Leader will decide with the Member the most appropriate way in which their divisional duties can be covered.

4.4. Attendance at Meetings

4.4.1. There is a legal duty under the Local Government Act 1972 to attend a meeting of the Council within a 6 month period. However, an exception is where the Council Meeting agrees to a request for an extended leave of absence prior to the expiration of that 6 month period. Members who are taking long term Parental Leave (such as Maternity) may still attend such meetings if they wish to do so (see notes on breast-feeding).

4.5. Parental Bereavement Leave

4.5.1. The new Parental Bereavement Leave and Pay Act will give all employed parents a day-one right to 2 weeks' leave if they lose a child under the age of 18 or suffer a stillbirth from 24 weeks of pregnancy from April 2020. Employed parents will also be able to claim allowance for this period, subject to meeting eligibility criteria.

Parental Leave Policy for Members

Procedure for Members Taking Parental Leave

The steps outlined below, set out the procedure for an Elected Member who would like to request Parental Leave as per the Parental Leave Policy for Members (2020).

1. Make formal notification (in writing) to appropriate Group Leader to have period of absence covered by the Policy.

Application should state:

- Reason for leave notification i.e.
 - Maternity¹
 - Paternity²
 - Adoption³
 - Shared Parental Leave⁴
 - Parental Leave⁵
- Expected duration of absence in weeks (and expected return date)

2. Group Leader to acknowledge notification for leave (within 3 working days)

Group Leader forwards **notification** to Member & Democratic Services (MaDS)

3. MaDS office arrange meeting⁶ as appropriate (to take place as practicable as possible) between:

- Leader of the Council
- Representative of Senior Leadership Team
- Other Party Group Leader (should the request come from a Member of that Group)

Meeting takes place to:

- Consider notification
- Initial discussion on who will pick up duties whilst Member is taking parental leave

¹ S4 of MAPP Policy

² S47 of MAPP Policy

³ S18.2 and 22.1 of MAPP Policy

⁴ S30.1 of MAPP Policy

⁵ S51 of MAPP Policy

⁶ Or telephone conference call if deemed more appropriate i.e. leave is requested is of a sensitive nature

- Address any other matters arising from Member’s leave including support that may be required

4. The Member should, ahead of leave start date:

- Set up an out of office message within Outlook⁷
- Include details of who will pick up constituency casework (will usually be a Member from within same district/borough)⁸
- If in receipt of SRA, the Member should agree with the Leader of the Council, or Leader of the Opposition, as appropriate who will take on SRA position responsibilities. The general guiding principles are:
 - Cabinet Member responsibilities will pass to Cabinet colleague
 - Cabinet Support Member responsibilities will pass to appropriate Cabinet Member
 - Community Cabinet Support Member responsibilities will pass to Cabinet Member for Communities
 - Committee Chairman responsibilities will pass to appointed Vice Chairman
 - Leader of the Opposition responsibilities will pass to Deputy Leader of the Opposition
 - Deputy Leader of the Opposition responsibilities will pass to nominated opposition Member
 - Opposition Vice Chairman of Select Committee responsibilities will pass to nominated opposition Member
- Notify MaDS of arrangements

5. MaDS to inform relevant officers of arrangements:

- Senior and Wider Leadership Team
- Chairmen of appropriate committees
- Communications Team

6. When to apply

Type of Leave	When	Maximum duration of leave permitted
Maternity	By the end of the 15th week before her expected week of childbirth (EWC) or as soon as is reasonably practicable of the	Up to 52 weeks ‘leave’ away from their Member duties after the birth of their child in the child’s first year.

⁷ Template to be provided by MaDS

⁸ Expected that the Member taking leave will consult with Group Leader and designated ‘cover’ to agree

Type of Leave	When	Maximum duration of leave permitted
	following: <ul style="list-style-type: none"> • that she is pregnant • of the expected week of childbirth (EWC) • of the date her maternity leave will begin. This cannot be earlier than the beginning of the 11th week before the expected week of childbirth. 	
Paternity	Before the 15th week before the baby is expected or in the case of adoption within 7 days of being notified that a child has been matched, unless it is not reasonably practicable, you must inform your manager in writing of the following: <ul style="list-style-type: none"> • That you intend to take paternity leave the week the baby is due/or in the case of adoption the week the child is expected to be placed for adoption and the date when you were notified that you were matched with a child for adoption; • whether you wish to take one or two weeks leave; and • when you want the leave to start⁹ 	Up to 2 weeks 'leave' away from their duties after the birth of their child.
Adoption	Within 7 days of being told they have been matched with a child (or as soon as is reasonably practicable)	Up to 52 weeks leave away from their Member duties after the placement of their child in the first 12 months of the child's first year.
Shared Parental	At least 8 weeks before date of leave	Up to 50 weeks 'leave' away from their Member duties, less

⁹ You can change your mind about the start date of leave provided you give your Group Leader at least 28 days notice, unless this is not reasonably practicable.

Type of Leave	When	Maximum duration of leave permitted
Leave		any time the mother of the new born child has taken as maternity leave (minimum of 2 weeks must be taken by mother).

7. Returning to Office¹⁰

If a Member is returning to their duties at the end of their full maternity / adoption / shared parental leave entitlement they will not have to give any further notification to their Group Leader.

It will be assumed that the Member is returning to their duties at the end of their maternity/adoption / shared parental leave on the date previously notified.

If the Member intends to return early, they should provide 8 weeks' notice, otherwise they simply return at the end of the period.

8. What if leave period falls across administration period i.e. County Council Election?

If, when the application for leave is being made, it becomes apparent that the duration of leave takes place over the next County Council Election, it will be assumed that the leave period will cease on the final date of the administration unless re-elected¹¹.

¹⁰ S41 of MAPP Policy

¹¹ By way of an example, the term of office for the 2017-2021 expires on Thursday 6th May 2021

Audit and Standards Committee Forward Plan 2020/21

If you would like to know more about our work programme, please get in touch with Lisa Andrews, Head of Audit & Financial Services, 01785 276402 or Lisa.Andrews@staffordshire.gov.uk

Item and lead officer	Date of meeting	Links with Council strategic commissioning priorities	Detail	Action/Outcome
20 April 2020 - CANCELLED				
Strategic Risk Register - Update Report of the Director of Corporate Services Lead Officer: Lisa Andrews	Deferred to December 2020			
Annual Report on Information Governance Report of the Director of Corporate Services Lead Officer: Tracy Thorley	Deferred to 12 th October 2020			
Annual Report of the work of the Audit & Standards Committee Report of the Director of Corporate Services Lead Officer: Lisa Andrews	Deferred to April 2021			
Internal Audit Charter 2020/21 Report of the County Treasurer Lead Officer: Debbie Harris	Deferred to 30 th July 2020			
Internal Audit Plan 2020/21 Report of the County Treasurer Lead Officer: Debbie Harris	Circulated remotely for approval			
Development of an assurance framework Report of County Treasurer Lead Officer: Debbie Harris	Deferred to February 2021			
External Audit Plan 2019/20 Report of Ernst & Young	To be confirmed			

Item and lead officer	Date of meeting	Links with Council strategic commissioning priorities	Detail	Action/Outcome
Staffordshire Pension Fund Audit Planning Report 2019/20 Report of Ernst & Young	To be confirmed			
Proposed changes to the Constitution As required	As required			
Forward Plan for the Audit and Standards Committee Lead Officer: Lisa Andrews	All meetings			
PART TWO EXEMPT Internal Audit Special Investigation/limited/ Top Risk Areas reports (Part 2 items)	As required			Part 2 items - Exemption paragraph 3.
PART TWO EXEMPT Cyber Essentials Update: Tracy Thorley/Natalie Morrisey	To be confirmed		Regular Update to members on Multi agency exercise in November 2019	
02 June 2020 - CANCELLED				
Code of Corporate Governance – Update Report of the Director of Corporate Services Lead Officer: Lisa Andrews Head of Audit and Financial Services	Deferred to 30 th July 2020			
Internal Audit Outturn Report 2019/20 Report of the County Treasurer Lead Officer: Debbie Harris	Deferred to 30 th July 2020			
Report of the Standards Panel. Report of the Director of Corporate Services. Lead Officer: Ann-Marie Davidson	To be confirmed			
Local Government Audit Committee Briefing – update report of Ernst & Young	Deferred to 12 th October 2020			
Proposed changes to the Constitution As required	As required			
Forward Plan for the Audit & Standards Committee Lead Officer: Lisa Andrews, Head of Audit &	Deferred to 30 th July 2020			

Item and lead officer	Date of meeting	Links with Council strategic commissioning priorities	Detail	Action/Outcome
Financial Services				
PART TWO Exempt – Internal Audit Special Investigations/Reports of Limited Assurance/Top Ten Risk Areas	Deferred to 30 th July 2020			
PART TWO Exempt Update on Property Governance – Implementation of previous recommendations.	Deferred to 12 th October 2020			
PART TWO Exempt Update on Deer Call Out Services – Implementation of previous recommendations.	Deferred to 12 th October 2020			
PART TWO Exempt Update on Approved Mental Health Professionals – Implementation of previous recommendations.	Deferred to 12 th October 2020			
30 July 2020				
National Code of Conduct for Elected Members. Report of the Director of Corporate Services Lead Officer: Julie Plant				
Internal Audit Charter 2020/21 Report of the County Treasurer Lead Officer: Debbie Harris				
Forward Plan for the Audit and Standards Committee Lead Officer: Lisa Andrews				
Code of Corporate Governance – Update Report of the Director of Corporate Services Lead Officer: Lisa Andrews Head of Audit and Financial Services				
Fraud Risks – The Impact of COVID 19 Presentation by Lisa Andrews & Debbie Harris				
Internal Audit Outturn Report 2019/20				

Item and lead officer	Date of meeting	Links with Council strategic commissioning priorities	Detail	Action/Outcome
Report of the County Treasurer Lead Officer: Debbie Harris				
Annual Governance Statement 2019-20 Report of the Director of Corporate Services Lead Officer: Lisa Andrews	Deferred to 12 October 2020			
Training on Statement of Accounts	Deferred to 12 October 2020			
Statement of Accounts 2019-20 Presentation and Report of County Treasurer Lead Officer: Rachel Spain	Deferred to 12 October 2020			
Report to those charged with Governance (ISA 260) a) Staffordshire County Council Report of Ernst & Young	Deferred to 12 October 2020			
Report to those charged with Governance (ISA 260) b) Staffordshire Pension Fund Report of Ernst & Young	Deferred to 12 October 2020			
Local Government Audit Committee Briefing – update report of Ernst & Young	Deferred to 12 October 2020			
Proposed changes to the Constitution As required	As required			
PART TWO EXEMPT Internal Audit Special Investigation/limited/ Top Risk Areas reports (Part 2 items).	As required			
12 October 2020				
Annual Report on Information Governance Report of Director of Corporate Services Lead Officer: Tracy Thorley, Head of Business Support & Compliance & Natalie Morrissey, Information Governance Manager	Moved from April 2020			

Item and lead officer	Date of meeting	Links with Council strategic commissioning priorities	Detail	Action/Outcome
Code of Conduct for Members - Report on the Management of Complaints Report of Director of Corporate Services Lead Officer: Julie Plant				
Member's Family Policy Report of Director of Corporate Services Lead Officer: Chris Ebberley				
National Fraud Initiative (2020) Report of the County Treasurer Lead Officer: Debbie Harris				
Final Accounts 2019/20 Progress Report – verbal report of Ernst & Young	Moved from July 2020			
Proposed changes to the Constitution As required	As required			
Forward Plan for the Audit and Standards Committee Lead Officer: Lisa Andrews				
PART TWO EXEMPT Internal Audit Special Investigation/limited/ Top Risk Areas reports (<i>Part 2 items</i>).	As required			
PART TWO Exempt Update on Property Governance – Implementation of previous recommendations.	Moved from July 2020			
PART TWO Exempt Update on Approved Mental Health Professionals – Implementation of previous recommendations.	Moved from July 2020			
8 December 2020 (2pm start)				
Annual Governance Statement 2019-20 Report of the Director of Corporate Services Lead Officer: Lisa Andrews	Moved from 12 October 2020			
Training on Statement of Accounts	Moved from 12 October			

Item and lead officer	Date of meeting	Links with Council strategic commissioning priorities	Detail	Action/Outcome
	2020			
Statement of Accounts 2019-20 Presentation and Report of County Treasurer Lead Officer: Rachel Spain	Moved from 12 October 2020			
Report to those charged with Governance (ISA 260) a) Staffordshire County Council Report of Ernst & Young	Moved from 12 October 2020			
Report to those charged with Governance (ISA 260) b) Staffordshire Pension Fund Report of Ernst & Young	Moved from 12 October 2020			
Health, Safety and Wellbeing Performance Annual Report Report of Director of Corporate Services Lead Officer: Becky Lee				
Strategic Risk Register - Update Report of the Director of Corporate Services Lead Officer: Lisa Andrews				
Internal Audit Plan 2019/20 – Update Report of the County Treasurer Lead Officer: Debbie Harris				
Proposed changes to the Constitution	As required			
Forward Plan for the Audit and Standards Committee Lead Officer – Lisa Andrews				
PART TWO EXEMPT Internal Audit Special Investigation/limited/ Top Risk Areas reports (Part 2 items).	As required			
Update on SEND WSOA and Implementation of previous audit recommendations (including the work of Family Improvement Boards. Report of Assistant Director for Education				

Item and lead officer	Date of meeting	Links with Council strategic commissioning priorities	Detail	Action/Outcome
Strategy and Improvement (to include as appropriate Cabinet Member for Education and SEND and Chairmen of Family Improvement Boards)				
PART TWO Exempt Update on Deer Call Out Services – Implementation of previous recommendations	Moved from July 2020			
9 February 2021				
External Audit Plan 2020/21 Report of Ernst & Young				
Staffordshire Pension Fund Audit Plan 2020/21 Report of Ernst & Young				
Development of an assurance framework Report of County Treasurer Lead Officer : Debbie Harris	Moved from April 2020			
Proposed changes to the Constitution	As required			
Forward Plan for the Audit and Standards Committee Lead Officer – Lisa Andrews				
PART TWO EXEMPT Internal Audit Special Investigation/limited/ Top Risk Areas reports (Part 2 items).	As required			
12 April 2021				
Annual Report on Information Governance Report of the Director of Corporate Services Lead Officer: Tracy Thorley				
Annual Review of the effectiveness of the Audit & Standards Committee – Update Report of the Director of Corporate Services Lead Officer: Debbie Harris				

Item and lead officer	Date of meeting	Links with Council strategic commissioning priorities	Detail	Action/Outcome
Annual Report of the work of the Audit & Standards Committee Report of the Director of Corporate Services Lead Officer: Lisa Andrews				
Internal Audit Charter 2021/22 Report of the County Treasurer Lead Officer Lisa Andrews				
Internal Audit Plan 2021/22 Report of the County Treasurer Lead Officer: Debbie Harris				
Proposed changes to the Constitution	As required			
Forward Plan for the Audit and Standards Committee Lead Officer: Lisa Andrews				
PART TWO EXEMPT Internal Audit Special Investigation/limited/ Top Risk Areas reports (Part 2 items).	As required			

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<p>Membership</p> <p>Derek Davis, OBE Alastair Little Martyn Tittley (Chair) Ann Edgeller Paul Northcott Richard Ford Carolyn Trowbridge (Vice Chair) Ross Ward Bernard Williams Sue Woodward</p>	<p>Philip Atkins, OBE David Brookes Helen Fisher Keith Flunder Keith James</p>	<p>Calendar of Future Committee Meetings (All meetings at 10.00 a.m. unless otherwise stated)</p> <p>20 April 2020 22 June 2020 30 July 2020 12 October 2020 8 December 2020 ****14:00 9 February 2021 21 April 2021</p> <p>Meetings usually take place at County Buildings, Martin Street, Stafford ST16 2LH</p>
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of the Local Government Act 1972

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