



ADUR & WORTHING
COUNCILS

16 March 2018

Joint Governance Committee
6.30pm on Tuesday 27 March 2018
Gordon Room, Town Hall, Worthing

Adur District Council: Councillors George Barton (Chairman), Kevin Boram (Vice-Chairman), Carol Albury, Ann Bridges, Jim Funnell, Paul Graysmark, Barry Mear and Geoff Patmore

Worthing Borough Council: Councillors Elizabeth Sparkes (Chairman), Lionel Harman (Vice-Chairman), Paul Baker, Callum Buxton, Jane Sim, Bryan Turner, Steve Wills and Mark Withers

Agenda

Part A	Page No.
1. Substitute Members	-
Any substitute members should declare their substitution.	
2. Declarations of Interest	-
Members and officers must declare any disclosable pecuniary interests in relation to any business on the agenda. Declarations should also be made at any stage such an interest becomes apparent during the meeting.	
If in doubt contact the Legal or Democratic Services representative for this meeting.	

3. Minutes	To approve the minutes of the Joint Governance Committee meeting held on 30 January 2018, copies of which have been previously circulated.	-
4. Public Question Time	To receive any questions from members of the public. <i>(Note: Public Question Time will operate for a maximum of 30 minutes.)</i>	-
5. Items Raised Under Urgency Provisions	To consider any items the Chairman of the meeting considers to be urgent.	-
6. Audit Progress Reports for both Adur District Council and Worthing Borough Council	To consider a report by the External Auditor, copy attached as item 6.	5
7. Certification of claims and returns annual report 2016/17 for Adur District Council	To consider a report by the External Auditor, copy attached as item 7.	25
8. Internal Audit Progress Report	To consider a report by the Acting Head of Internal Audit, copy attached as item 8.	35
9. 2018/19 Internal Audit Plan	To consider a report by the Acting Head of Internal Audit, copy attached as item 9.	57
10. Risk and Opportunity Management	To consider a report by the Director for Digital & Resources, copy attached as item 10.	63

11. Local Government Ombudsman Complaints 81

To consider a report by the Director for Digital & Resources, copy attached as item 11.

12. Amendments to the Constitution 91

To consider a report by the Monitoring Officer, copy attached as item 12.

Part B - Not for Publication - Exempt Reports

None.

Recording of this meeting

The Council will be voice recording the meeting, including public question time. The recording will be available on the Council's website as soon as practicable after the meeting. The Council will not record any discussions in Part B of the agenda where the press and public have been excluded.

For Democratic Services enquiries relating to this meeting please contact:

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01903 221073
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For Legal Services enquiries relating to this meeting please contact:

Susan Sale
Solicitor to the Councils
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susan.sale@adur-worthing.gov.uk

The agenda and reports are available on the Councils website, please visit www.adur-worthing.gov.uk

Adur District Council

Joint Governance Committee Progress Report

March 2018

The Members of the Joint Governance Committee
Adur District Council
c/o Worthing Town Hall
Chapel Road
Worthing
West Sussex
BN11 1HA

15 March 2018

Dear Members,

Audit Progress Report

We are pleased to attach our Audit Progress Report.

This progress report summarises the work we have undertaken since the last meeting of the Joint Governance Committee in January 2018. The purpose of this report is to provide the Committee with an update of our plans for the 2017/18 audit, to ensure they continue to be aligned with your service expectations.

Our audit is undertaken in accordance with the requirements of the Local Audit and Accountability Act 2014, the National Audit Office's 2015 Code of Audit Practice, the Statement of Responsibilities issued by Public Sector Audit Appointments (PSAA) Ltd, auditing standards and other professional requirements.

We welcome the opportunity to discuss this report with you as well as understand whether there are other matters which you consider may influence our audit.

Yours faithfully



Paul King
Associate Partner
For and on behalf of Ernst & Young LLP
Enc.

Contents

2017/18 audit	1
Timetable	3

In April 2015 Public Sector Audit Appointments Ltd (PSAA) issued ‘Statement of responsibilities of auditors and audited bodies 2015-16’. It is available from the Chief Executive of each audited body and via the [PSAA website](http://www.psa.co.uk) (www.psa.co.uk)

The Statement of responsibilities serves as the formal terms of engagement between appointed auditors and audited bodies. It summarises where the different responsibilities of auditors and audited bodies begin and end, and what is to be expected of the audited body in certain areas.

The ‘Terms of Appointment from 1 April 2015’ issued by PSAA sets out additional requirements that auditors must comply with, over and above those set out in the National Audit Office Code of Audit Practice (the Code) and statute, and covers matters of practice and procedure which are of a recurring nature.

This Annual Plan is prepared in the context of the Statement of responsibilities. It is addressed to the Audit Committee, and is prepared for the sole use of the audited body. We, as appointed auditor, take no responsibility to any third party.

Our Complaints Procedure - If at any time you would like to discuss with us how our service to you could be improved, or if you are dissatisfied with the service you are receiving, you may take the issue up with your usual partner or director contact. If you prefer an alternative route, please contact Steve Varley, our Managing Partner, 1 More London Place, London SE1 2AF. We undertake to look into any complaint carefully and promptly and to do all we can to explain the position to you. Should you remain dissatisfied with any aspect of our service, you may of course take matters up with our professional institute. We can provide further information on how you may contact our professional institute.

2017/18 audit

Financial statements audit

We issued our 2017/18 Audit Plan in January 2018 where we outlined how we intend to carry out our responsibilities as auditor, including our proposed audit approach.

Our interim procedures have confirmed that the risks identified in the Audit Plan remain appropriate. These were:

- Risk of Management Override
- Valuation of land and buildings
- Pension asset/liability valuation
- A Value for Money Conclusion risk regarding the Council's ability to plan its finances effectively to support the sustainable delivery of strategic priorities and maintain statutory functions.

Our audit plan has also been revised to include an additional risk related to the earlier deadline for the production of financial statements. We updated the committee verbally at its January 2018 meeting regarding this risk.

Second Interim Visit

We started our second interim visit on 19 February, to undertake outstanding documentation and walkthroughs of material systems and undertake early substantive testing of transactions.

To facilitate the provision of working papers and audit evidence, our audit programme now incorporates a client portal whereby officers can upload documents directly to our audit file in response to specific requests. This constitutes a secure means of document transfer. We have been using this during our interim visit and we would encourage officers to respond to requests for evidence as quickly as possible.

We have not identified any additional risks from our interim work that we need to make the Committee aware of.

Post Statements Audit

In view of the faster close this year, as compared to previous years, whereby the Council will have to publish its audited statement of accounts by 31 July 2018 for the 2017/18 financial year, we are looking to start our post statements work on the 2017/18 statement of accounts at the beginning of June 2018. Our post statements visit is scheduled to be completed by mid-July 2018.

We will continue to use our computer-based analytics tools to enable us to capture whole populations of your financial data, in particular payroll and journal entries.

We will also continue to use the client portal to request working papers and evidence for samples and in view of faster close, quick responses from officers will be critical to meeting the required deadline.

We will also review and report to the National Audit Office, to the extent and in the form required by them, on your whole of government accounts return.

We plan to present our audit results report, setting out the findings of our work and overall conclusions, to the Joint Governance Committee on 31 July 2018.

Value for Money Assessment

We have completed our planning work and expect to carry out our detailed work by the end of our post statements audit visit. We plan to report the results of this work to the Joint Governance Committee on 31 July 2018.

Timetable

For the 2017/18 financial year, the timetable for preparation and approval of accounts is brought forward to a draft accounts deadline of 31 May and an audit deadline of 31 July. In planning our work for 2017/18 we have planned our audit to meet these revised deadlines. We set out below a timetable showing the key stages of the audit, including the value for money work, and the deliverables we will provide to you through the 2017/18 committee cycle.

Audit phase	EY Timetable	Deliverable	Report to Committee	Status
High level planning	April 2017	Audit Fee Letter	2017	Completed
Risk assessment and setting of scope of audit	January 2018	Audit Plan	January 2018	Completed
Interim substantive testing of transactions	February / March 2018	Progress Report	March 2018	In progress - this document.
Year-end audit	June / July 2018	Audit results report to those charged with governance Audit report (including our opinion on the financial statements and a conclusion on your arrangements for securing economy, efficiency and effectiveness in your use of resources) Whole of Government Accounts Submission to NAO based on their group audit instructions Audit Completion certificate	July 2018	Work is planned to start at the beginning of June 2018 and be completed by mid-July.

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Worthing Borough Council

Joint Governance Committee Progress Report

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2016/17 audit	3
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2016/17 audit

Housing Benefit Certification

We received the final evidence to support our testing of the Councils 2016/17 Housing Benefit claim in early March 2018. This evidence has subsequently been reviewed by the audit team, allowing us to complete our detailed testing. At the time of writing, we are in the process of completing the final review of the work and drafting the qualification letter, which will be shared with officers before the claim is certified and sent to the DWP.

Timetable

For the 2017/18 financial year, the timetable for preparation and approval of accounts is brought forward to a draft accounts deadline of 31 May and an audit deadline of 31 July. We have planned our 2017/18 audit to meet these revised deadlines. We set out below a timetable showing the key stages of the audit, including the value for money work, and the deliverables we will provide to you through the 2017/18 committee cycle.

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Certification of claims and returns annual report 2016-17

Adur District Council

January 2018

The Members
Joint Governance Committee
Adur District Council
The Shoreham Centre
Pond Road
Shoreham-by-sea
West Sussex
BN43 5WU

17 January 2018
Ref: ADC/HB/2016-17

Direct line: 0118 928 1556
Email: pking1@uk.ey.com

Dear Members

Certification of claims and returns annual report 2016-17 Adur District Council

We are pleased to report on our certification and other assurance work. This report summarises the results of our work on Adur District Council's 2016-17 claims.

Scope of work

Local authorities claim large sums of public money in grants and subsidies from central government and other grant-paying bodies and must complete returns providing financial information to government departments. In some cases these grant-paying bodies and government departments require appropriately qualified auditors to certify the claims and returns submitted to them.

From 1 April 2015, the duty to make arrangements for the certification of relevant claims and returns and to prescribe scales of fees for this work was delegated to the Public Sector Audit Appointments Ltd (PSAA) by the Secretary of State for Communities and Local Government.

For 2016-17, these arrangements required only the certification of the housing benefits subsidy claim. In certifying this we followed a methodology determined by the Department for Work and Pensions and did not undertake an audit of the claim.

Summary

Section 1 of this report outlines the results of our 2016-17 certification work and highlights the significant issues.

We checked and certified the housing benefits subsidy claim with a total value of £19,734,923. We met the submission deadline. We issued a qualification letter – details of the qualification matters are included in section 1. Our certification work found errors, but these did not require amendments to the claim form.

Fees for certification and other returns work are summarised in section 2. The housing benefits subsidy claim fees for 2016-17 were published by the Public Sector Audit Appointments Ltd (PSAA) in March 2016 and are now available on the PSAA's website (www.psaa.co.uk).

We welcome the opportunity to discuss the contents of this report with you at the Joint Governance Committee meeting in March.

Yours faithfully

Paul King
Associate Partner
Ernst & Young LLP
Enc

Contents

1. Housing benefits subsidy claim.....	1
2. 2016-17 certification fees.....	3
3. Looking forward.....	4

1. Housing benefits subsidy claim

Scope of work	Results
Value of claim presented for certification	£19,734,923
Amended/Not amended	Amended
Qualification letter	Yes
Fee – 2016-17	£12,230
Fee – 2015-16	£27,019

Local Government administers the Government's housing benefits scheme for tenants and can claim subsidies from the Department for Work and Pensions (DWP) towards the cost of benefits paid.

The certification guidance requires auditors to complete three samples of 20 cases for authorities with a Housing Revenue Account (HRA), covering HRA Rent Rebate, Non-HRA Rent Rebate and Rent Allowance cases, plus an undefined sample of Modified Scheme Cases, where each of these are applicable to the Council.

Auditors must complete more extensive '40+' or extended testing if initial testing identifies errors in the calculation of benefit or compilation of the claim. 40+ testing may also be carried out as a result of errors that have been identified in the audit of previous years claims.

A summary of the key issues found is shown below:

Rent Rebates (Non HRA)

Testing of the initial sample identified no errors. However, in response to prior year errors, a 40+ sample of items was tested in order to identify errors in the assessment of claimant income. The population of Non-HRA Rent Rebate cases containing income was less than 40 items and therefore the full population was tested. As we tested the full population, the claim form was amended for the total error of £124.27.

Rent Rebates (HRA)

Our initial sample did not identify any errors.

However, in the prior year errors were identified in the assessment of claimant income and assessment of non-dependent deductions. One 40+ test was completed to assess calculation of claimant income assessments, which identified 1 case where benefit was overpaid as a result of incorrect earnings calculations and tax credits not updated from available information. We calculated an extrapolated error of £2,293.68, which was reported in our Qualification Letter.

A further 40+ test was completed to assess non-dependant income calculations. This testing found no errors in the calculation of non-dependant income and therefore there is no impact on the claim form.

Rent Allowances

Testing of the initial sample identified one case where incorrect calculation of self-employed earnings resulted in an understatement of prior year overpayment cell and one case where misclassification of overpayments resulted in an overstatement of the eligible overpayments cell.

As a result of the errors found within our initial testing, 40+ testing was performed on the effect of income errors on cell 94 and classification of overpayments in cell 114.

The 40+ sample for incorrect income calculations identified three cases where benefit had been overpaid and two cases where there was no impact on benefit from an incorrect assessment of income. In total this resulted in extrapolations of £3,814.80 relating to income errors, which was reported in our Qualification Letter.

The 40+ sample for classification of overpayments in cell 114 identified three cases where the overpayment had been misclassified, resulting in an extrapolated error of £265.52. This has been reported within our qualification letter.

No errors were identified on our initial sample in respect of the rent attribute and incorrect non-dependent deductions. However, we performed 40+ testing over these due to prior year errors identified. One error was identified from the rent 40+ where the incorrect figure was taken from the rent officer's referral resulting in an underpayment of benefit. Given the existence of only an underpayment no extrapolation has been performed, in line with certification guidance.

Extrapolations

The total of the extrapolations and errors in the qualification letter had the effect of increasing current year LA error and administrative delay overpayments by £6,374, therefore indicating that the Council was overclaiming subsidy for the period.

Where extrapolations impact the LA error and administrative delay overpayments balance, the DWP usually require that the extrapolation amount is repaid to the DWP.

The DWP review the combined LA error and administrative delay overpayments balance, taking the subsidy claim form value and the value of our extrapolations and, where this breaches the upper threshold, the total LA error and administrative delay overpayments incurred during the year are required to be repaid to the DWP. The LA error and administrative delay overpayments upper threshold was £103,788 and the total of the amended claim form total (£52,432) and the extrapolation effect on the LA error and administrative delay overpayments (£6,374) is £58,806. This is below both the upper and lower threshold (£92,256), and therefore the Council is entitled to full relevant subsidy on this amount.

2. 2016-17 certification fees

The PSAA determine a scale fee each year for the audit of claims and returns. For 2016-17, these scale fees were published by the Public Sector Audit Appointments Ltd (PSAA's) in March 2016 and are now available on the PSAA's website (www.psa.co.uk).

Claim or return	2016-17	2016-17	2015-16
	Actual fee £	Indicative fee £	Actual fee £
Housing benefits subsidy claim	12,230	12,230	27,019
Total:	12,230	12,230	27,019

Indicative fees for 2016-17 housing benefit subsidy certification work are based on final 2014-15 certification fees. PSAA reduced scale audit fees and indicative certification fees for most audited bodies by 25 per cent based on the fees applicable for 2014-15

3. Looking forward

2017/18

From 1 April 2015, the duty to make arrangements for the certification of relevant claims and returns and to prescribe scales of fees for this work was delegated to (PSAA) by the Secretary of State for Communities and Local Government.

The Council's indicative certification fee for 2017/18 is £27,019. This was set by PSAA and is based on final 2015/16 certification fees.

Details of individual indicative fees are available at the following web address:
<https://www.psa.co.uk/audit-fees/201718-work-programme-and-scales-of-fees/individual-indicative-certification-fees/>

We must seek the agreement of PSAA to any proposed variations to these indicative certification fees. We will inform the Chief Finance Officer before seeking any such variation.

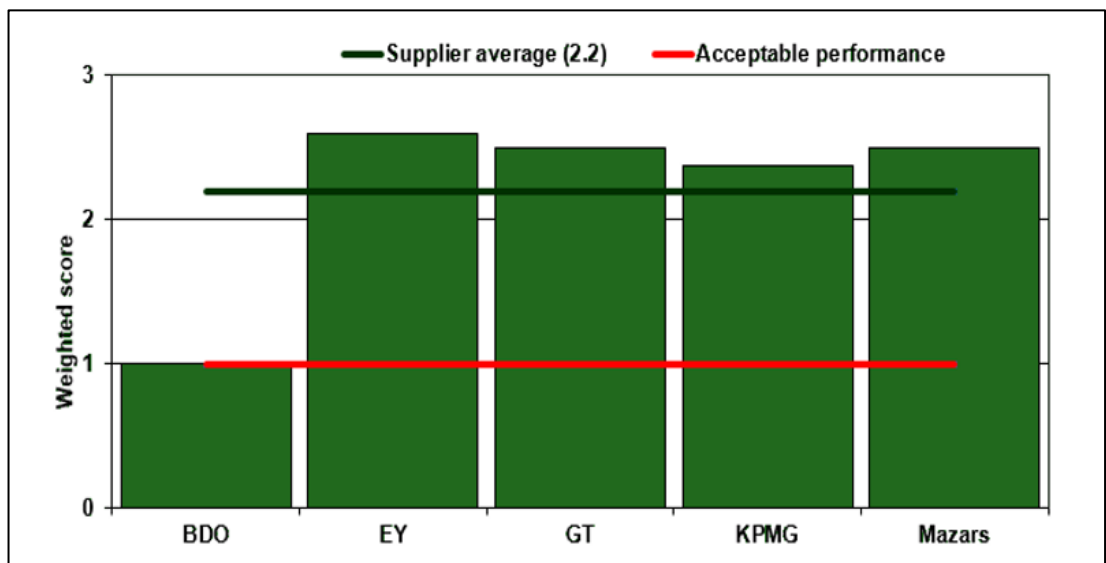
We note 2017/18 represents the first year that Adur District Council's Housing Benefit claim will be prepared in house, following withdrawal from the Census Partnership. We will work with officers to understand the data transfer process and ensure we have access to all records and evidence required for our audit procedures.

2018/19

From 2018/19, the Council will be responsible for appointing their own reporting accountant to undertake the certification of the housing benefit subsidy claim in accordance with the Housing Benefit Assurance Process (HBAP) requirements that are being established by the DWP. DWP's HBAP guidance is under consultation and is expected to be published around January 2018.

We would be pleased to undertake this work for you, and can provide a competitive quotation for this work.

We currently provide HB subsidy certification to 106 clients, through our specialist Government & Public Sector team. We provide a quality service, and are proud that in the PSAA's latest Annual Regulatory and Compliance Report (July 2017) we score the highest of all providers, with an average score of 2.6 (out of 3).



Additionally, as we have been appointed by PSAA in December 2017 as your statutory auditor we can provide a comprehensive assurance service, making efficiencies for you and building on the knowledge and relationship we have established with your Housing Benefits service.

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ADUR & WORTHING COUNCILS

Ward(s) Affected: N/A

INTERNAL AUDIT PROGRESS REPORT

REPORT BY THE ACTING HEAD OF INTERNAL AUDIT

Executive Summary

1. Purpose

This report seeks to update Members of this Committee with:

- 1.1 The current performance of the Internal Audit Section.
- 1.2 Summary information on the key issues raised in final audit reports issued since our last report to the Committee.
- 1.3 The current status on the implementation of agreed audit recommendations.
- 1.4 Progress on the implementation of actions arising from the ADC Tax Licensing fact finding audit.
- 1.5 Fraud work conducted by the Councils' Corporate Investigations Team.

2. Recommendations

2.1 Recommendation One

That the Committee note the contents of this report.

3. Context

3.1 Background

Each quarter, a report is produced for this Committee which details the Internal Audit Section's performance against the current Annual Internal Audit Plan and summarises the results of audit work carried out.

4. Issues for Consideration

4.1 Internal Audit Performance - 2017/18

The 2017/18 Annual Internal Audit Plan presented to the Joint Governance Committee on 28th March 2017 contained 511 days and 34 items of audit work to be undertaken by the Internal Audit Service during the year.

Since approval, the audit plan has been revised to accommodate requests to move audits to different parts of the year and to take account of changes in requirements. The current plan is summarised as:

Period	No of audits planned	No of days planned	% of days planned
Quarter 1 (April – June)	3	82	16.1%
Quarter 2 (July – September)	10	139.5	27.3%
Quarter 3 (October – December)	5	67	13.1%
Quarter 4 (January – March)	15	222.5	43.5%
	33	511	100%

As at 28th February, 437.75 days (86.2%) of the planned days had been delivered. Attached as **Appendix 1** is a summary of the current status of audits in the plan.

4.2 Final Audit Reports

Recommendations made in audit reports are categorised according to their level of priority as follows:

Priority 1	Major issues for the attention of senior management.
Priority 2	Other recommendations for local management action.
Priority 3	Minor matters.

Internal Audit's assurance opinions accord with an assessment of the controls in place and the level of compliance with these controls. During the course of an audit, a large number of controls will be examined for adequacy and compliance. The assurance level given is the best indicator of the system's control adequacy. The assurance levels and their associated explanations are:-

Full Assurance	There is a sound system of control designed to achieve the system objectives and the controls are being consistently applied.
Satisfactory Assurance	While there is a basically sound system, there are weaknesses that put some of the system objectives at risk, and/or there is evidence that the level of non-compliance with some of the controls may put some of the system objectives at risk.

Limited Assurance	Weaknesses in the system of controls are such as to put the system objectives at risk, and/or the level of non-compliance puts the system objectives at risk.
No Assurance	Control is generally weak, leaving the system open to significant error or abuse, and/or significant non-compliance with basic controls leaves the system open to error or abuse.

A summary of the final reports issued since our last report to this Committee, including the key issues raised, is attached as **Appendix 2**.

Since our report to the Committee in November 2017, thirteen reports have been finalised; ten of these was a Satisfactory Assurance, two were Limited Assurance and one was No Assurance. Twenty three P1 recommendations were raised within these reports.

Details of the Priority 1 and Priority 2 recommendations raised within these reports have been circulated to Members prior to the meeting in a separate briefing note.

4.3 Follow up of Audit Recommendations

In accordance with the Council's Follow-Up Protocol, we have continued following-up the status of implementation of recommendations contained in final audit reports. The Audit App is now used to monitor the implementation of recommendations.

Follow-up is undertaken to ensure that all recommendations raised have been successfully implemented according to the action plans agreed with the service managers. The Follow-up Protocol requires implementation of 80% of all priority 2 and 3 recommendations and 100% of priority 1 recommendations. The current performance in relation to these targets for the last 3 years is shown in the tables below:

Analysis of status of recommendations 2015/16

	Total Due	Imp	%	Carried Over (Not Impl'd)	%	FU & Overdue	%	FU & No Response	%	Total % NOT Impl'd	FU Not Due	Total
P1	45	41	91.1%	2	4.45%	2	4.45%	0	0%	8.9%	0	45
P2	89	70	78.7%	11	12.3%	8	9%	0	0%	21.3%	0	99
P3	20	14	70%	3	15%	3	15%	0	0%	30%	0	20
Total	154	125	81.2%	16	10.4%	13	8.4%	0	0%	18.8%	0	154

Analysis of status of recommendations 2016/17

	Total Due	Imp	%	Carried Over (Not Impl'd)	%	FU & Overdue	%	FU & No Response	%	Total % NOT Impl'd	FU Not Due	Total
P1	18	12	66.7%	0	0%	6	33.3%	0	0%	33.3%	0	18
P2	92	50	54.3%	9	9.8%	33	35.9%	0	0%	45.7%	0	92
P3	11	6	54.6%	0	0%	5	45.4%	0	0%	45.4%	0	11
Other	18	11	61.1%	0	0%	7	38.9%	0	0%	38.9%	0	18
Total	139	79	56.8%	9	6.5%	51	36.7%	0	0%	36.7%	0	139

Analysis of status of recommendations 2017/18

	Total Due	Imp	%	Carried Over (Not Impl'd)	%	FU & Overdue	%	FU & No Response	%	Total % NOT Impl'd	FU Not Due	Total
P1	1	1	100%	0	0%	0	0%	0	0%	0%	18	19
P2	1	1	100%	0	0%	0	0%	0	0%	0%	38	39
P3	1	1	100%	0	0%	0	0%	0	0%	0%	13	14
Other	0	0	0%	0	0%	0	0%	0	0%	0%	0	0
Total	3	3	100%	0	0%	0	0%	0	0%	0%	69	72

Attached as **Appendices 3, 4 & 5**, are tables which summarise the current follow-up status of recommendations made in final audit reports from audits contained in the 2015/16, 2016/17 and 2017/18 Audit Plans. The shaded boxes indicate where changes have occurred since our last report.

4.4 ADC Taxi Licensing – Fact Finding Report

In our report to the Committee on 27th November, we provided an update in respect of actions taken to address the findings and recommendations made in the ADC Taxi Licensing fact finding audit report.

At its' meeting on 30th January, the Committee requested a further update be brought to this meeting. Attached as **Appendix 6**, is the service's update and updated Action Plan and officers are in attendance to provide any further details and answer any questions if required.

4.5 Fraud

Since the Committee's meeting on 22nd November 2016 we have provided an update/summary of fraud work conducted within the Councils.

The update provided as **Appendix 7** details the work completed by the Councils' Corporate Investigations Team since April 2017.

5. Engagement and Communication

5.1 Internal Audit attends monthly meetings with the Chief Financial Officer on progress against the plan. Issues arising and potential plan changes are discussed both at these meetings and whenever necessary.

6 Financial Implications

6.1 There are no financial implications arising from this report.

7. Legal Implications

7.1 There are no legal matters arising as a result of this report.

Background Papers

None

Officer Contact Details:

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Sustainability & Risk Assessment

1. Economic

Matter considered and no issues identified.

2. Social

2.1 Social Value

Matter considered and no issues identified.

2.2 Equality Issues

Matter considered and no issues identified.

2.3 Community Safety Issues (Section 17)

Matter considered and no issues identified.

2.4 Human Rights Issues

Matter considered and no issues identified.

3. Environmental

Matter considered and no issues identified.

4. Governance

The report does not seek to meet any particular Council priority.

	Project	Joint	ADC only	WBC only	Field Work complete	Draft Issued	Final Issued	Assurance level	Assurance at previous audit
1	Leaseholder Charges		*		Y	Y	Y	No	No comparable previous audit
1	Gas Safety Inspections		*		Y	UR			
1	Housing Repairs		*		Y	Y	UR		
2	Firewall & Cyber Security	*			Y	Y	Y	Satisfactory	No previous audit
2	Compliance with the Data Protection Act	*			Y	Y	UR		
2	Fixed Assets	*			WIP				
2	Contract Management audit - Voluntary & Community contract	*			Y	Y	Y	Satisfactory	No previous audit
2	Corporate Governance	*			Y	Y	Y	Satisfactory	Satisfactory
2	Handyman Service	*			Y	Y	Y	Limited	No previous audit
2	Homelessness	*			Y	UR			
2	Budget Management	*			Y	Y	Y	Satisfactory	Satisfactory
2	Human Resources	*			Y	Y	Y	Limited	Limited
2	Debt Management	*			WIP				
3	Treasury Management		*		Y	Y	Y	Satisfactory	Satisfactory
3	Rent Collection and Collection of Arrears	*			Y	Y	Y	Satisfactory	Satisfactory
3	Cashiering	*			Y	Y	Y	Satisfactory	Satisfactory
3	Payroll	*			Y	Y	UR		
3	ICT Management & Strategy	*			Y	Y			
3	GDPR Readiness/Gap Analysis	*			Y	Y			
4	Creditors	*			Y	Y	Y	Satisfactory	Satisfactory
4	Debtors	*			Y	Y	Y	Satisfactory	Satisfactory
4	Revenues (Council Tax & NDR)	*			Y	Y			
4	Benefits	*			Y	Y	Y	Satisfactory	Satisfactory
4	General Ledger	*			Y	Y	Y	Satisfactory	Satisfactory
4	Capital Accounting	*			Y	Y	UR		
4	Academy Application audit	*			Y	Y			
4	Risk Management	*			Y	UR			
4	Garage Management		*		WIP				
4	Change Management	*			P				
4	Tax Risk assessments (IR35)	*			P				
4	Decorating Vouchers		*		P				
4	Compliance with Public Contacts Regulations 2015	*			P				
4	Mats - Governance & Management arrangements	*			P				

KEY

P In Planning stage

WIP Work In Progress

UR Under review

Key issues from finalised audits

Appendix 2

Audit Title	Assurance Level & Number of Issues	Summary of key issues raised
Benefits (2017/18)	Satisfactory (Two Priority 2 recommendations)	No P1 recommendations raised.
Budget Management (2017/18)	Satisfactory (Two Priority 2 recommendations)	No P1 recommendations raised.
Cashiering (2017/18)	Satisfactory (One Priority 2 and One Priority 3 recommendations)	No P1 recommendations raised.
Contract Management - Voluntary & Community Sector Infrastructure Support Service (2017/18)	Satisfactory (Two Priority 2 recommendations)	No P1 recommendations raised.
Corporate Governance & Ethical Standards (2017/18)	Satisfactory (Two Priority 2 recommendations)	No P1 recommendations raised.
Creditors (2017/18)	Satisfactory (Two Priority 3 recommendations)	No P1 recommendations raised.
Debtors (2017/18)	Satisfactory (Three Priority 2 recommendations)	No P1 recommendations raised.
General Ledger (2017/18)	Satisfactory (Three Priority 2 and Two Priority 3 recommendations)	No P1 recommendations raised.
Handyman Service (2017/18)	Limited (Five Priority 1, Five Priority 2 and One Priority 3 recommendations)	<p>The P1 recommendations were raised to address the need for:</p> <ul style="list-style-type: none"> - The completion of a Cost v Benefits analysis of the service and decide whether the provision of this non-mandatory service should continue in its current format; - The re-design of the Handyman Service request form to include a Data Protection Fair Processing statement; - A procurement exercise for the provision of the Service; - A DBS check for the acting handyman; and - Contract monitoring arrangements including performance management.
Human Resources (2017/18)	Limited (Three Priority 1 and Four Priority 2 recommendations)	<p>The P1 recommendations were raised to address the need for:</p> <ul style="list-style-type: none"> - The completion of all relevant checks for starters including the retention of evidence to support the completion of new employee checks (references, qualifications etc); - The completion of Right to Work checks the retention of evidence to support this; and - Introducing a means of centralised formal monitoring for the completion of mandatory training.

Audit Title	Assurance Level & Number of Issues	Summary of key issues raised
Leaseholder Charges (2017/18)	No Assurance (15 Priority 1, 21 Priority 2 and One Priority 3 recommendations)	<p>The P1 recommendations were raised to address the need for:</p> <ul style="list-style-type: none"> - A documented Leasehold Management Policy; - The update of the HMS to indicate which properties have leases which are considered “defective”; - Automatically generated invoices from the HMS; - Updating the leaseholder accounts to accurately reflect that the 2017/18 ground rent has been invoiced; - Establishing debt recovery procedures and undertaking these; - Management monitoring to ensure service standards are being met; - Establishing a laid down procedure to ensure Section 20B notices are issued whenever required; - Reviewing and updating the Section 20B notice to ensure it complies with legislative requirements; - A complete revamp of how major works are invoiced to ensure works are accurately billed; - Effecting a process whereby any potential works, where the costs may not be recoverable, are identified at the earliest opportunity; - Reviewing the Policy in respect of options available to leaseholders for payment of major works; - Effecting an approved process to ensure that any future loans/arrangements are correctly actioned; - Providing consistent information to leaseholders in respect of their long term payment options and the charges that are applied to any loan agreements; - Rationalise and define a Policy detailing where and how documentation to support leaseholders processes is to be retained; and - Rectification of the issue with indexing documents to Information @ Work and scanning outstanding documents to it.
Rent Collection (2017/18)	Satisfactory (One Priority 2 and One Priority 3 recommendations)	No P1 recommendations raised.
Treasury Management (2017/18)	Satisfactory (One Priority 2 and One Priority 3 recommendations)	No P1 recommendations raised.

	Joint Audit	Final Report Date	Assurance level	Recs not applicable for follow up	Total No of Recs	Number of agreed recs completed	Percentage of recs completed	Recs carried over into next audit	%of recs carried over	Number of recs outstanding	1	2	3	Percentage of recs outstanding	Key auditees	Comments
Chief Executive																
Corporate																
Delivery of Corporate Priorities & Surf's Up Agency	*	May-16	Satisfactory	1	2	2	100%									COMPLETE
Annual Governance Statements	*	N/A	N/A													N/A
Corporate Governance	*	Jul-16	Satisfactory	1	1			1	100%							NFA - Recommendation carried forward into 16/17 audit
Risk Management	*	May-16	Satisfactory		3	1	33%	2	67%							16/17 audit confirmed 2 recs carried over and one complete
Project Management	*															COMPLETE
Use of Consultants	*	Jun-16	Limited		11	11	100%									COMPLETE
Communications																
Communications	*	Mar-16	Limited	8												COMPLETE - new approach has superceeded recommendations made
Director for Economy																
Place & Investment																
Fixed Assets	*	Feb-17	Limited	1	5			5	100%							No update provided since Oct 17 - area is being re-audited at present so issues will be addressed and followed up as part of that audit.
Growth																
Planning Services	*	Sep-15	Satisfactory		2	2	100%									COMPLETE
Local Development Framework	*	Aug-16	Satisfactory		2	2	100%									COMPLETE
Community Infrastructure Levy	*	May-16	Satisfactory	2	1	1	100%									COMPLETE - JSC decision in Jan 18 negated the need for 2 recs.
Director for Communities																
Housing																
Housing Rents	ADC	Jun-16	Satisfactory		4	3	75%	1	25%							Audit in 16/17 confirmed that this rec is still outstanding so have been carried over into that audit
Adur Building Services DSO	ADC	Mar-16	Limited	2	15	15	100%									COMPLETE - Update provided on 2/11 confirmed remaining 2 recs have now been completed.
Wellbeing																
Public Health	*	Aug-16	Satisfactory		5	5	100%									COMPLETE
Empty Property Management	*	Jul-16	Satisfactory		4	4	100%									COMPLETE
Director for Customer Services																
Revenues & Benefits																
WBC Benefits	WBC	Jun-16	Satisfactory		3	3	100%									COMPLETE
CenSus - Council Tax	ADC	Mar-16	Satisfactory	1	4	4	100%									COMPLETE
Waste & Cleansing																
AWCS	*	Oct-15	Satisfactory		1	1	100%									COMPLETE
Customer Contact & Engagement																
Electoral Services	*	Aug-16	Limited	2	14	13	93%			1	0	1	0	7%	T Bryant	Outstanding rec being addressed with assistance from external contractor - deadline revised to Feb 2018
Building Control & Land Charges																
Building Control	*	Nov-15	Satisfactory		5	5	100%									COMPLETE
Director of Digital & Resources																
Finance																
General Ledger	*	Jun-16	Satisfactory		5	3	60%	2	40%							16/17 annual audit confirmed 3 recs as complete & 2 were reiterated in 16/17 report
Cashiering	*	Aug-16	Satisfactory		2	1	50%	1	50%							16/17 audit confirms this rec still to be actioned (procedures) has been reiterated in 16/17 report.
Creditors	*	Jul-16	Satisfactory		2			2	100%							16/17 audit confirmed both recs still O/S and were reiterated in 16/17 report.
Debtors	*	Apr-16	Satisfactory	1	2	2	100%									COMPLETE
Payroll	*	Apr-16	Satisfactory		4	2	50%	2	50%							16/17 audit confirms these recs are still to be actioned and have been reiterated in 16/17 report.
Corporate Fraud Management	*	N/A	No Opinion report													
Treasury Management	*	May-16	Satisfactory		2	2	100%									COMPLETE
Legal																

Design & Digital																
Freedom of Information Performance Management	*	Nov-15	Limited	4	5	5	100%									
	*	Oct-15	Satisfactory	5												
Delivery of Digital Strategy	*	Feb-17	Satisfactory		2	1	50%			1	0	1	0	50%	P Brewer	COMPLETE Update provided confirmed PM process has totally been revised & recs from this audit are now no longer applicable. One rec confirmed as complete - no update re outstanding rec
Business & Technical Services																
Decent Homes - report from 14/15 fact funding	ADC	Mar-16	Nil		28	28	100%									COMPLETE
Computer Audits																
IT Resilience	*	Apr-17	Limited	1	8	2	25%			6	2	4	0	75%	S Taylor	Update provided through Audit App confirmed all 5 are still in progress COMPLETE
Public Services Network	*	Sep-15	Satisfactory		3	3	100%									
Cloud Computing	*	Oct-16	Satisfactory		7	3	43%			4	0	1	3	57%	B Bastable/ K Rowe	Updates provided through Audit App confirmed no progress on 4 still outstanding
Google Mail post implementation review	*	Jan-17	Satisfactory		2	1	50%			1	0	1	0	50%	B Bastable	update provided via App -1 rec still needs progressing
					154	125	81%	16	10%	13	2	8	3	8%		

	Joint Audit	Final Report Date	Assurance level	Recs not applicable for follow up	Total No of Recs	Number of agreed recs completed	1	2	3	Other	Percentage of recs completed	Recs carried over into next audit	%of recs carried over	Number of recs outstanding	1	2	3	Other	Percentage of recs outstanding	Key auditees	Self Ass Issued	Comments
Chief Executive																						
Director for Economy																						
Culture																						
Theatres Catering	WBC	Nov-17	Limited		8									8	3	4	1		100%			No update provided on progress
Place & Investment	*	Feb-17	Satisfactory		10									10	1	7	2		100%	L Dine		No update provided on progress - recs need to be assigned now Head of Dept has left
Director for Communities																						
Housing																						
Rent Collection and Collection of Arrears	ADC	Jun-17	Satisfactory		3	3	0	2	1		100%											COMPLETE
Right to Buy	ADC	May-17	Satisfactory	1	4	4	0	3	1		100%											COMPLETE
Sheltered Accommodation	ADC	Jun-17	Satisfactory		5	5	1	4	0		100%											COMPLETE
Works to Void Properties	ADC	Jun-17	No		11	11	7	4	0		100%											COMPLETE
Wellbeing																						
Voluntary & Community - contract procurement	*	Feb-17	Limited		6	6	2	4	0		100%											COMPLETE
ADC Taxi Licensing fact find	ADC	Sep-17	No Opinion work	7	18	11	0	0	0	11	61%			7	0	0	0	7	39%	K Adderson		Action Plan is being regularly reviewed - detailed updates beign provided to JGC
Leisure																						
South Downs Leisure Trust - Contract Management	WBC	Jun-17	Satisfactory	2	4	4	1	3	0		100%											COMPLETE
Director for Customer Services																						
Revenues & Benefits																						
WBC Revenues (Council Tax & NDR)	WBC	Aug-17	Satisfactory	1	4	1	0	1	0		25%	3	75%									3 outstanding recs re-raised in 17/18 audit
WBC Benefits	WBC	Jun-17	Satisfactory		2	1	0	1	0		50%	1	50%									1 outstanding rec re-raised in 17/18 audit
CenSus - NDR	ADC	Jun-17	Satisfactory	3																		Recs no longer applicabel following return of Adur NDR to A & W
Waste & Cleansing																						
Fleet & Transport Management	*	Feb-17	Satisfactory		4	3	1	2	0		75%			1	0	1	0		25%	A Northeast		Update provided - 1 rec outstanding
Building Control & Land Charges																						
Local Land Charges	*	Aug-16	Satisfactory		4	2	0	2	0		50%			2	0	2	0		50%	M Perryman/ G Goacher		No update provided for 2 in progress
Director of Digital & Resources																						
Finance																						
Medium Term Financial Strategy	*	Nov-16	Full																			No recommendations to follow up
General Ledger	*	Jun-17	Satisfactory		5	2	0	2	0		40%	3	60%									17/18 confirmed 2 recs complete & 3 re-iterated
Capital Accounting	*	May-17	Satisfactory		1	1	0	0	1		100%				0							COMPLETE
Treasury Management	*	Apr-17	Satisfactory		1	1	0	0	1		100%											COMPLETE
Creditors	*	Mar-17	Satisfactory		2							1	50%	1	0	1	0		50%	Y Stillwell		17/18 audit confirmed outstanding rec cannot be addressed until implementation of new FMS
Debtors	*	Apr-17	Satisfactory	1	2	1	0	1	0		50%			1	0	1	0		50%	Y Stillwell		17/18 audit confirmed rec cannot be addressed until implementation of new FMS
Payroll	*	Apr-17	Satisfactory		9	8	0	7	1		89%	1	11%									17/18 audit re-iterated 1 rec.
Cashiering	*	May-17	Satisfactory	1	5	4	0	4	0		80%			1	0	1			20%	A Simmons		17/18 audit confirmed 1 rec still to be implemented
Invest to Save Schemes	*	Nov-16	Satisfactory		7									7	0	7	0		100%	E Thomas		No update provided
Legal																						
Corporate Governance	*	Jun-17	Satisfactory		5	1	0	1	0		20%			4	1	2	1		80%	S Sale/ S Gobey		17/18 annual confirmed these recommendations as still outstanding
Design & Digital																						
Risk Management	*	May-17	Satisfactory	1	3									3	0	2	1		100%	M Lowe		17/18 audit confirmed recs still outstanding
Business & Technical Services																						
Contract Management audit - Mobile Phones	*																					
Splashpoint Gym Equipment Fact Finding	WBC	N/A	No Opinion work	2																		No follow up required
Corporate Planned Maintenance Programme	*	Jun-17	Satisfactory		3	1	0	1	0		33%			2	1	1	0		67%	J Mandalan/R Bateman		No update provided re outstanding recs
Project Cost Control - Final Accounts - Project Closure	*	Feb-17	Satisfactory																			
Computer Audits																						
Remote Access protals/VPN	*	Apr-17	Satisfactory		2	1	0	1	0		50%			1	0	1	0					Update in App confirmed 1 rec as still outstanding.
Telecomm Management	*	Apr-17	Satisfactory	1	1	1	0	1	0		100%											COMPLETE
Cross Service Audits																						
Fire Risk Management	*	Jun-17	Satisfactory		10	7	0	6	1		70%			3	0	3	0					No update provided re outstanding 3 Adur Homes recs - owner recently left Council so ownership of rec needs to be re-assigned
Welfare Reform - Support to claimants	*																					
					139	79	12	50	6	11	57%	9	6%	51	6	33	5	7	37%			

	Joint Audit	Final Report Date	Assurance level	Recs not applicable for follow up	Total No of Recs	Number of agreed recs completed	1	2	3	Other	Percentage of recs completed	Recs carried over into next audit	%of recs carried over	Number of recs outstanding	2	3	Other	Percentage of recs outstanding	Key auditees	Comments		
Chief Executive																						
Director for Economy																						
Place & Investment																						
Fixed Assets	*																					
Director for Communities																						
Housing																						
Rent Collection and Collection of Arrears	ADC	Jan-18	Satisfactory		2									2	1	1	0	100%	P Turner	Action Plans are being drawn up to address the issues		
Leaseholder Charges	ADC	Mar-18	No		39									39	21	3	0	100%	C Anthill/ N Freeman			
Gas Safety Inspections	ADC																				COMPLETE - Decision taken to discontinue service therefore all other recs no longer applicable.	
Housing Repairs	ADC																					
Homelessness - Temporary Accommodation	*																					
Handyman Service	*	Jan-18	Limited	10	1	1	1	0	0	0	100%											
Garage Management	ADC																					
Decorating Vouchers	ADC																					
Wellbeing																						
Contract Management audit - Voluntary & Community contract	*	Feb-18	Satisfactory	1	1	1	0	1	0	0	100%											COMPLETE
Director of Digital & Resources																						
Finance																						
Budget Management	*	Dec-17	Satisfactory	1	1									1	1	0	0	100%	E Thomas	Recs to be followed up through Audit App when due		
General Ledger	*	Mar-18	Satisfactory		5									5	3	2	0	100%	J Gamlin			
Capital Accounting	*																					
Treasury Management	*	Dec-17	Satisfactory		2	1	0	0	1	0	50%			1	1	0	0	50%	P Coppleman			
Compliance with IR35 - Tax legislation	*																					
Creditors	*	Feb-18	Satisfactory		2									2	0	2	0	100%	Y Stillwell			
Debtors	*	Feb-18	Satisfactory	1	2									2	2	0	0	100%	S Montgomery			
Payroll	*																					
Cashiering	*	Mar-18	Satisfactory		2									2	1	1		100%	A Simmons			
Legal																						
Corporate Governance & Ethical Standards	*	Jan-18	Satisfactory		2									2	2	0	0	100%	S Sale	Recs to be followed up through Audit App when due		
Compliance with the Data Protection Act	*																					
Design & Digital																						
Risk Management	*																					
People																						
Human Resources	*	Feb-18	Limited	1	6									6	3	0	0	100%	H Christmas	Recs to be followed up through Audit App when due		
Revenues & Benefits																						
Revenues (Council Tax & NDR)	*																					
Benefits	*	Feb-18	Satisfactory		2									2	2	0	0	100%	P Tonking	Recs to be followed up through Audit App when due		
Computer Audits																						
Firewall & Cyber Security	*	Oct-17	Satisfactory		5									5	1	4	0	100%	J Jonker	Recs to be followed up through Audit App when due		
GDPR Readiness/gap analysis	*																					
Revs & Bens - Academy application	*																					
Mats - governance & management arrangements	*																					
Review of Technology Strategy	*																					
Contract Audits																						
Compliance with Public Contacts Regulations 2015	*																					
Cross Service Audits																						
Debt Management	*																					
Change Management	*																					
					72	3	1	1	1	0	4%	0	0%	69	38	13	0	96%				

Progress on the Taxi Audit action plan was last reported to JGC on 28/11/17.

Currently 18 out of 25 recommendations have been completed in full. Due to the re-profiling of the Digital enhancement programme, the 3 recommendations identified as requiring review and improvement with the introduction of a new management information system are on hold. The Digital Team have scheduled an initial scoping exercise starting in July 2018 and in the meantime practical scoping and requirements are being identified within the Licensing Team to enable the Digital Team to pick up and run with the brief in the summer.

The remaining 4 outstanding items are all scheduled for completion by the end of 2018 and are in hand. These concern the introduction of Disability and Equality awareness training, and subscribing to the DVLA online checking service. The recommendation that consideration be given to requesting that taxi drivers subscribe to the DBS update service has received positive feedback from the Joint Taxi Operational Planning Group on 6/2/18 and this will be taken forward to the Forums in May. There is an implication for the Councils, in that a reduction in the use of the service for checking drivers (if they self-service) may result in the loss of the DBS registration to Adur and Worthing as a whole. This will be taken forward with HR colleagues. Wider consultation is underway with regard to disabled access and wheelchair accessible vehicles. These issues were discussed at the November 2017 forums and brought to the February Joint Operational Group. Further work is still needed to consult with a wide range of disability groups and women's groups and other organisations with a wider transport interest.

The Service continues to benchmark with other Sussex Authorities, checking for best practice enabling continuous improvement. For example members of the team visited Arun Council Taxi Licensing in January 2018 and wider benchmarking will be ongoing.

KJA 20/02/18.

ADC Taxi Licensing Fact Find – Recommendations Action Plan Update 20/02/18

Ref	Recommendation	Action to be taken	By whom	Implementation date	Current
1.3.1	The draft Handbook should be expanded to include details of regular trade meetings, when consultations should occur and who with, the process for changing the tariff, procedures for dealing with complaints from the public about the conduct of taxi drivers, and the process for updating the Handbook.	Formal procedures and processes will be in an appendix to the handbook and will be a separate link on the website.	SJ	December 2017 Completed 29 Dec Website went live 2 Jan.	Completed - ADC Taxi Handbook Published. Formal Guidance & Protocol covering complaints, tariff, trade meetings etc. published on Website
1.3.2	Part 1 - All financial procedures (including procedures for receiving, recording and banking of licence fee income) should be documented. Furthermore, all procedures should be reviewed and updated when Northgate M3 is replaced.	Detailed procedures for recording the receiving of fees is already in place. These will be reviewed and updated on the introduction of a new IT system.	KJA	Part 1 completed Part 2 will be completed as part of the future Digital work is programme, but main action is closed.	Part 1 Completed Pending - The Digital work programme is delayed due to resourcing within the Digital Team
1.3.3	The draft Handbook should be finalised as soon as practicable in order that the Service are working to an approved and finalised set of policies and procedures.	Virtually complete and ready for publication just awaiting a decision on roof sign specification for Private Hire vehicles.	SJ	Completed. Published 29 Dec. Webpages went live 2 Jan.	Completed. Handbook published on website.
1.3.4	Before the draft Hackney Carriage & Private Hire Licensing Handbook is finalised, representations should be requested and considered from a wide range of local disability groups, women's groups and other organisations with a wider transport interest.	Public consultation completed including with the Mobility Access group. Mobility Access roadshow also held in Summer 2017. Currently consulting with the taxi forum on the Disabled Access Charter and Wheelchair Accessible Vehicles, which was taken to the Operational A&W Group in February 2018 and agreed to take to full trade meetings in May. Also working on linking up with issues of safety of women in the night time economy.	TB	Current Handbook signed off Dec 2017) (see 1.3.3) Sept 2018 start Review to extend consultation as described. WAVs and Disabled Persons Charter brought to recent Operational	Completed - signed off by Cllr Butcher & Mary D'Arcy Pending - Review of ADC & WBC handbooks planned for end of 2018. Consultation period programmed for November 2018 Disabled Charter and Disability & Equality Awareness

Ref	Recommendation	Action to be taken	By whom	Implementation date	Current
				Forum 22/11/17 for consultation and further discussed at meeting 6/02/18	Training agreed to take to full Trade Meetings in May 2018. Meeting favoured in house training as per the CSE training provided by officers.
1.3.5	Consideration should be given to the draft Handbook being reviewed by Legal Services before it is finalised.	All reports concerning applications, policy and handbook are forwarded at the draft stage to senior officers and the council's legal services who routinely make observation, suggestion and amendments.	TB	December 2017	Completed
1.3.6	Part 1: The checklist used for processing driver licence applications should be expanded to include attendance at disability awareness and CSE courses. Part 2: A separate checklist for processing vehicle licence applications should be adopted.	The driver licence checklist already includes sections on disability awareness and CSE and so does the M3 procedures include these. Vehicle licence checklist is already on the application form and also on M3 system's procedures.	TB	October 2017 Done.	Completed
1.3.7	Arrangements should be effected to ensure that all have attended the CSE course.	Monitoring is in place and record is made on individual's M3 record. Note - 460 drivers have completed a course, 46 are outstanding - next course dates 12/12/17.	TB	September 2017	Completed
1.3.8	DBS certificates received from applicants should be handled in accordance with the DBS Code of Practice, and should not be scanned onto M3. IN PLACE	It is not current procedure to scan DBS certificates on to the system. Any offences that show are recorded manually against the driver's file and DBS copy taken is destroyed securely as the Code of Practice dictates.	TB	September 2017 Done.	Completed

Ref	Recommendation	Action to be taken	By whom	Implementation date	Current
1.3.9	The Council should subscribe to the online facility for checking driving licence details provided by the DVLA.	Agreed will streamline procedures and provide up to date & accurate data including historic offences. The council will apply to be registered. The fee is £3,000 registration then only £1 per search. (Budget £500 pa)	SJ	April 2018 (new financial year) Application to be made December '17	In Train Application forms being prepared
1.3.10	When a renewal of a DBS check is due, the new DBS certificate should be viewed before the previous certificate's expiry date, and the certificate number should be recorded on M3.	This is Current process Issues: on occasion certs are delayed by the DBS service, sometimes for months particularly if the applicant has resided in the London area in the past. No new licences are issued without a complete DBS. Please see below.	See 1.3.11	See 1.3.11	Completed
1.3.11	Consideration should be given to requesting taxi drivers to subscribe to the DBS Update Service Consideration should be given to requesting taxi drivers to subscribe to the DBS Update Service.	Agreed. We do encourage them and would like to make it compulsory. This would eliminate any issues as identified at 1.3.10 (Costing £44.00 + £13.00 to applicant)	TB	Business case by January 2018. Subject to legal advice & possible Cttee Consideration. Advice from legal 1 Feb - that this is an administrative process and does not require Committee or Trade Consultation.	In Train Issue discussed by Operational A & W Group and trade members were supportive of change. A look at implications to rest of council of loss of DBS registration being embarked on
1.3.12	Consideration should be given to requiring existing drivers to undertake disability awareness training.	As part of the handbook review 2018 we will consult on this forming part of any renewal of a licence. It is compulsory for all new drivers to undertake this training currently.	SJ	September 2018 Brought to Operational A & W Group in Feb. Proposal broadly supported.	In Train Issue to be discussed at May Trade meetings

Ref	Recommendation	Action to be taken	By whom	Implementation date	Current
1.3.13	A review of the time taken to process licence applications should be conducted in order that any possible improvements in the procedure can be identified in order to reduce the length of time some applications are taken to process.	Current procedures have been streamlined and co-location of all staff at Portland House have improved communication and process oversight. Further improvements may be made as part of the digital programme work due to start in 2018	KJA	December 2017	Main action Completed Future improvements as part of the digital programme can be reviewed - delayed due to Digital resourcing-scoping July 2018?
1.3.14	Consideration should be given to the setting of service targets, including the time taken to respond to telephone calls and emails. Where targets are set, systems and processes should be put into place for the monitoring and reporting of such. This should include ensuring that the new Taxi Licensing system is capable of recording the time taken to progress each licence application through each stage of the application process and be able to produce performance reports, which should be regularly produced and reviewed by management. Where possible performance data should be regularly compared with data from other local authorities.	Team to agree service targets by Jan 2018	SJ	January 2018 Performance targets. And then new system to incorporate easy reporting of service performance targets. Benchmarking will be undertaken. Benchmarking exercise took place with Arun on 22 Jan. Further exercise planned with Crawley.	Part 1 Completed - Service Plan finalised 30.01.18 Manual monitoring to take place until new IT system introduced Benchmarking Exercise on-going
1.3.15	Cheque and cash income from licence fees should be banked at least weekly	Since the move to Portland House all revenue paperwork is completed and monies banked every week on a Wednesday.	TB	September 2017 Done, every Wednesday	Completed
1.3.16	The new Taxi Licensing system, which will replace Northgate M3, should be capable of producing income reports which can be reconciled with monies for banking.	Agreed	KJA	November 2018 - Subject to Digital Timetable (J-D 2018?)	Part of future digital programme Delayed due to resourcing in Digital Team - estimate scoping will commence July 2018.

Ref	Recommendation	Action to be taken	By whom	Implementation date	Current
1.3.17	The process for changing the hackney carriage tariff should be documented.	It is laid out in the legislation. Flow chart to be produced and added to Handbook appendices as per 1.3.1	TB	December 2017	Completed - Published on Website
1.3.18	When there is a change to the hackney carriage tariff, the new tariff advertised to the public in accordance with Section 65(2) of the Local Government (Miscellaneous Provisions) Act 1976 should be checked for accuracy. Furthermore, any press releases and written communications should be checked and reviewed by Legal Services before they are issued.	Agreed and checked by Licensing officer and Team Leader for Licensing.	SJ	October 2017 Worthing tariff increase successfully implemented November 2017.	Completed
1.3.19	Any change to the hackney carriage tariff should be notified to each taxi driver in writing at the earliest opportunity (after the end of the 14 day consultation period)) and should advise the effective date for the tariff increase and detail the arrangements for updating meters.	Agreed.	SJ	October 2017 Tested on introduction of new tariff in Worthing - November 2017.	Completed
1.3.20	The Licensing Office should retain details of any legal advice received from Legal Services.	File located on N:Drive but agree to also set up a dedicated legal file on shared Google Drive (if deemed secure under DPA) - requirements of new GDPR requirements from May 2018 to be reviewed	SJ	December 2017 Subject to check with Legal.	Completed - File on N Drive. Looking at feasibility of setting up secure Google file in accordance with GDPR.
1.3.21	Where a there is an allegation of misconduct by a Council officer, an Investigating Officer should be appointed by the Head of Service in accordance with the Disciplinary Policy. Furthermore all complaints about the Taxi Licensing service should be routed through the Corporate Complaints procedure and should be responded to in accordance with that procedure's guidelines.	Agreed. No allegations of misconduct have been received in 2017 - to be actioned as required Staff have been trained on the use of the corporate complaints procedure	JC	September 2017	Completed

Ref	Recommendation	Action to be taken	By whom	Implementation date	Current
1.3.22	Where a complaint about the Taxi Licensing service is investigated via the Corporate Complaints Procedure, a response should be sent to the complainant before the prescribed deadline.	Agreed See 1.3.1 will be produced as part of the suite of appendices to the handbook	JC	December 2017	Completed - Protocol & PH & R Enforcement Policy Published on Website
1.3.23	Procedures for investigating complaints received from the public about the conduct of taxi drivers should be fully documented.	See 1.3.1 will be produced as part of the suite of appendices to the handbook in the form of a handbook. Complaints are currently recorded on individuals M3 file and will be on the shared google enforcement file.	TB	December 2017	Completed - Protocol & PH & R Enforcement Policy Published on Website
1.3.24	Full details of action taken in response to a complaint about an individual taxi driver should be recorded on the M3 system.	They are and recorded on individuals M3 file and will be on the google enforcement file. See 1.3.23	TB	Dec 2017	Completed
1.3.25	Officers should ensure that all information provided to the Licensing Committee is complete and accurate.	Officers always endeavour to provide accurate, up to date and complete information to members. All committee papers are checked by legal and senior officers prior to publication.	SJ	September 2017	Completed

Officers:

SJ - Simon Jones - Team Leader Licensing

TB - Teresa Bowley - Taxi Licensing Officer

KJA - Kathryn Adderson - Public Health & Regulation Manager

JC - Jacqui Cooke - Head of Wellbeing

Corporate Investigations Team – Fraud update (statistical information from 1 April 2017 to 8 March 2018)

Update on work since last report to JGC in November 2017

In January 2018 the Corporate Investigations Team commenced a review on behalf of the Housing Department, of all 2148 persons currently on the Adur & Worthing Housing Register. This project is due to be completed by the end of April 2018. The Team are verifying every application for discrepancies and changes in circumstance, which may lead to re-banding of the application and/or removal from the register.

The Team have been working very closely with the Housing Solutions Team since commencing the Housing Register review on their behalf. There have been four successful investigations which have led to persons being removed from the register. People have been found to have significant undeclared capital from the sale of former properties, or to have not been resident in the area at all.

Since November, the Team has had five successful investigations leading to the recovery of the Adur Homes properties. There were for a variety of reasons, including undeclared ownership of another property and non-residency.

The Team also work closely with Housing Solutions regarding Homeless Applications and have provided information leading to four persons being found not homeless, after providing false statements regarding their circumstances.

The Team continues to cover investigations into all other aspects of Housing Fraud, including Right to Buy applications. They also verify information on a daily basis for the Housing Register, Successions, Transfers, Rent in Advance and Housing Allocations teams. This information, due to the urgency of the matters, is dealt with within 24 hours of receipt.

Type of fraud	Investigation	Result	Recovery/Saving £
Housing Tenancy	Tenancy fraud	5 successful investigations leading to recovery of Adur Homes properties	400,000
Homeless Assistance	Assisted Housing	4 declined homelessness applications	72,000
Total Recovery/Saving			472,000



ADUR & WORTHING
COUNCILS

Ward(s) Affected: N/A

2018/19 INTERNAL AUDIT PLAN

REPORT BY THE ACTING HEAD OF INTERNAL AUDIT

Executive Summary

1. Purpose

- 1.1 This report Asks Members to consider and approve the 2018/19 Internal Audit Plan.

2. Recommendations

2.1 Recommendation One

That the Committee consider whether there are any specific audits which they would like to see progressed in 2018/19 which are not currently contained within the proposed plan.

2.2 Recommendation Two

That the 2018/19 Audit Plan be approved.

3. Context

3.1 Background

Audit Plans have been presented annually to Members for approval since 1998.

When developing the Audit Plan approved by this Committee on 22 March 2016, a re-assessment of the Councils' audit universe was completed in order to focus reduced Audit resources on audits in high risk areas.

In drafting the proposed 2018/19 Audit Plan, attached as **Appendix A**, the Acting Head of Internal Audit considered this assessment and updated it by:

- Mapping the Councils' directorates and services against the risks contained within the Councils' corporate and service risk registers to identify potential audits;
- Mapping audits performed in recent years and current issues impacting on Local Government against the directorates and service areas to identify further potential audits; and
- Considering the requirements of the Chartered Institute of Internal Auditors (CIIA) International Standards which became effective from 1 April 2013.

4. Issues for Consideration

- 4.1 The proposed 2018/19 Internal Audit Plan consists of 32 audits and 511 days of work allocated as summarised below:

Category of Work	Type of Work	Number of Days
Audits of High Risk areas	System audits & annual testing of key financial and governance systems	289
Audits of High Risk areas	Cross service audits	20
ICT Audits	Specialist ICT related audits and Application Reviews	60
Contract Audits	Specialist reviews & Contract examination	40
NFI	Co-ordination & investigation of matches	22
Follow Up	Follow up to confirm implementation of agreed audit recommendations	20
Other	Management & Contingency	60
Total Days in Plan		511

- 4.2 An ongoing system of monitoring the progress of audit work against the plan is in place. Monthly progress is reported to the Chief Financial Officer and quarterly reports on progress are presented to this Committee. In accordance with the Terms of Reference, other reports may be presented to the Committee as necessary during the year.
- 4.3 The Committee is also asked to consider whether there are any specific areas of interest which they would like to see covered in the 2018/19 Audit Plan.

5. Engagement and Communication

- 5.1** The draft 2018/19 plan was discussed with the Chief Financial Officer, updated and issued to the Councils' Leadership Team and all Heads of Service for comment. Any comments received have been addressed within the proposed plan.

6. Financial Implications

- 6.1** This plan is based on the reduced audit plan agreed in order to achieve the savings reported to Overview & Scrutiny Committee on 26 November 2015.

7. Legal Implications

- 7.1** There are no legal matters arising as a result of this report.

Background Papers

None

Officer Contact Details:

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Sustainability & Risk Assessment

1. Economic

Matter considered and no issues identified.

2. Social

2.1 Social Value

Matter considered and no issues identified.

2.2 Equality Issues

Matter considered and no issues identified.

2.3 Community Safety Issues (Section 17)

Matter considered and no issues identified.

2.4 Human Rights Issues

Matter considered and no issues identified.

3. Environmental

Matter considered and no issues identified.

4. Governance

The report does not seek to meet any particular Council priority.

DRAFT 2018-19 AUDIT PLAN

CHIEF EXECUTIVE	DAYS	Q1	Q2	Q3	Q4	RISK REGISTER ISSUES	NOTES
COMMUNITIES		APR-JUN	JUL-SEP	OCT-DEC	JAN-MAR		
Adur Worthing Contract Services							
Waste Management	10	10				AWCS03, AWCS04, AWCS05	No previous audit - AWCS services audited in 2016/17
Environment							
Cemeteries & Crematoria	10	10					last audited in 2013/14
Housing							
Tenancy Management	10				10		postponed from 17/18 plan, Horizon Scanning
Private Sector Leasing	10		10				Horizon scanning. Last audited 2013/14
Right to Buy	10	10					
Rent Collection and Collection of Arrears	10			10		H12 & H13	Annual audit
Wellbeing							
Food Hygiene & Licensing for Businesses	10	10					last audited in 2012-13
Air/Water Quality & Pollution	10		10			W06	Horizon Scanning - No previous audit
DIGITAL & RESOURCES							
Business & Technical Services							
Pool Cars	8	8					Requested by Head of B&TS
Health & Safety	10				10		Requested by Director of Digital & Resources
Customer Contact							
Elections & Referenda	10		10			CC03	Last audited 2015-16
Customer & Digital Services							
Risk Management	10				10		Annual audit
Compliance with the Freedom of Information Act	10	10				CC06	Last audited in 2015/16
Financial Services							
General Ledger	10			10			Annual audit
Capital & Fixed Asset Accounting	8				8		Annual audit
Treasury Management	8				8		Annual audit
Creditors	10			10			Annual audit
Debtors	10			10			Annual audit
Payroll	10				10		Annual audit
Cashiering	10			10			Annual audit
Legal Services							
Corporate Governance	10		10				Annual audit
Revenues & Benefits							
Revenues (Council Tax & NDR)	25			25			Annual audit
Benefits	20			20			Annual audit
ECONOMY							
Culture							
Theatres Box Office	10		10				postponed from 17/18 plan
Place & Investment							
Asset Management	10			10		P106, Commercial income corporate risk - Amber	Annual audit
Planning & Development							
Economic Development	10	10				Economic uncertainty corporate risk - Amber	
Development Management	10				10	PD04, PD06	
COMPUTER AUDITS							
To be agreed following ICT Needs Assessment, possible coverage:-	60	15	15	15	15		
GDPR compliance							Gap analysis in 17/18, Horizon Scanning
Housing Repairs - Matsoft processes							
CONTRACT AUDITS							
Construction - Adur Civic Centre Phase 1	20		20			PD10, Major Project delivery corporate risk - Red	
Fire Doors	10			10		FS08, H02, H04	
Car Parks	10				10	FS08, BTS05	
CROSS SERVICE REVIEWS							
Emergency Planning & Business Continuity	10		10			BTS04 & Emergency Response corporate risk	Horizon Scanning
Energy Management	10	10					Horizon Scanning - No previous audit
OTHER							
Management & Admin							
Ad-Hoc/Contingency	20	5	5	5	5		
NFI Co-Ordination							
NFI Co-Ordination	10	2.5	2.5	2.5	2.5		
NFI Testing							
NFI Testing	12	3	3	3	3		
Follow Up							
Follow Up	20	5	5	5	5		
	511	118.5	120.5	155.5	116.5		

23.19%	23.58%	30.43%	22.80%
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ADUR & WORTHING COUNCILS

Joint Governance Committee
27 March 2018
Agenda Item 10

Ward(s) Affected:N/A

Risk and Opportunity Management

Report by the Director for Digital & Resources

Executive Summary

1. Purpose

1.1 This report provides the regular updates on the management of the Councils' risks and opportunities.

2. Recommendations

- 2.1 That the progress in managing risks and opportunities be noted;**
- 2.2 That the Committee consider if it would like any further information on any of the Risk/Opportunities; and**
- 2.3 That the Committee agree to receive a further progress report in September 2018.**

3. Context

- 3.1 The Committee has previously requested that progress update reports on the management of the Councils' risks and opportunities should be reported to the Committee to assist it in its role monitoring the effective development and operation of risk management and corporate governance in the Councils. The Committee has also requested that more detailed information be provided on the 'High/Red' Service Risks for each Directorate.

4. Issues for consideration

4.1 Progress continues to be made to monitor and review the full Risk and Opportunity registers:-

1. Regular reports on Corporate Risks are reported to the Councils Leadership Team for monitoring and review. Corporate Risks and Opportunities reflect the aims set out in the strategic vision (Platforms for our Places);
2. Executive Members receive regular reports on the details of Corporate Risks and Opportunities;
3. All Service Risks are regularly updated in consultation with Directors, Heads of Service, Departmental Management Team meetings and Risk and Opportunity management is being integrated into the culture and working practices of the organisation to ensure that Risks and Opportunities are identified in an open and honest manner ;
4. All risks and opportunities are monitored in separate risk and opportunity registers.

4.2 Details of the latest Risks and Opportunities can be viewed via the following links:-

[Corporate Risks and Opportunities](#)
[Communities Directorate Service Risks](#)
[Digital and Resources Directorate Service Risks](#)
[Economy Directorate Service Risks](#)

4.3 It should be noted that there is some information provided in the reports attached to the Risk and Opportunities registers which is of a commercially sensitive and/or confidential nature, therefore, these are not to become broader public documents at this stage but are used for internal management purposes only.

4.4 These regular Risk/Opportunities review techniques continue to expand the coverage of Risk and Opportunity management across the Councils and identification/updates of Risks and Opportunities is closing the gaps on Risks and Opportunity assessments.

5.0 A Summary of the Risk and Opportunities Management updates

5.1 A summary of the main changes to the Risks and Opportunities since the last update report is included in the table attached as Appendix A to this report. At the request of the Committee, this report also includes details of the mitigation measures in place for all 'High/Red' Risks in each Directorate/Service area and these are attached at Appendix B to the report.

5.2 There are currently 107 Risks and 15 Opportunities compared with 112 Risks and 16 Opportunities in the report in November 2017. A number of Risks have

had their assessment changed, some new Risks and Opportunities have been added, several removed and the details of these changes are set out in the Appendix A to this report.

6. Engagement and Communication

- 6.1 The Councils Leadership Team and Heads of Service have been consulted on the production of this report.

7. Financial Implications

- 7.1 There are no direct financial implications as a result of this report but there are some financial implications if the Risks/Opportunities occur.

8. Legal Implications

- 8.1 There are no legal matters arising as a result of this report. The Joint Governance Committee does have responsibility for receiving the annual risk report and also for monitoring the effective development and operation of risk and opportunity management.
- 8.2 Risk and Opportunity management is an important element in ensuring that service delivery objectives are achieved.

Background Papers

Adur and Worthing Councils Risk and Opportunity Management Strategy - 2016 - 2018

Officer Contact Details:-

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Sustainability & Risk Assessment

1. Economic

Matter considered. The Risks and Opportunities are directly linked to the projects and work streams that are in place to help deliver the commitments and activities contained in the Councils' strategic vision 'Platforms for our Places'. Some of these will impact on the economic development of the areas if they occur.

2. Social

2.1 Social Value

Matter considered. Some of the Risks and Opportunities do impact on communities.

2.2 Equality Issues

Matter considered. Some of the Risks and Opportunities refer to equalities issues.

2.3 Community Safety Issues (Section 17)

Matter considered. Some of the Risks and Opportunities may relate to crime and disorder issues.

2.4 Human Rights Issues

Matter considered and no direct issues identified.

3. Environmental

Matter considered and no direct issues identified.

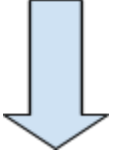
4. Governance

Matter considered. As part of good governance the Council's need to manage Risks and Opportunities. The Council's Risk and Opportunity Management Strategy sets out clear governance controls for the management of Risks and Opportunities and part of these include provision for the Service Risks and Opportunities to be considered quarterly by the Joint Governance Committee.

Updates on Risk and Opportunity Management

Risk & Opportunity Management Dashboard	March 2018 update	November 2017 update	June 2017 update
Corporate Risks & Opportunities	Risks - 8 Opportunities - 5	Risks - 7 Opportunities - 5	Risks - 7 Opportunities - 5
Service Risks & Opportunities	Environmental Services (AWCS and Environment) - 9 Risks Housing - 8 Risks/2 Opportunities Wellbeing - 6 Risks Business & Technical Services - 5 Risks Customer & Digital - 11 Risks Financial Services - 7 Risks/1 Opportunity Human Resources 6 Risks Legal Services - 2 Risks/1 Opportunity Revenues & Benefits - 5 Risks Culture - 11 Risks/5 Opportunities Place & Investment - 6 Opportunities Planning & Development (Incl Building Control & Land Charges) - 23 Risks/1 Opportunities	Environment - 4 Risks Housing - 11 Risks/ 2 Opportunities Wellbeing - 5 Risks AWCS - 5 Risks Business & Technical Services - 5 Risks Customer Contact & Engagement - 6 Risks Digital & Design - 6 Risks Financial Services - 8 Risks/ 1 Opportunity Human Resources - 6 Risks/ 1 Opportunity Legal Services - 2 Risks/ 1 Opportunity Revenues & Benefits - 5 Risks Building Control & Land Charges - 6 Risks/1 Opportunity Culture - 12 Risks/ 5 Opportunities Place & Investment - 6 Risks Planning & Development - 16 Risks	Environment - 3 Risks Housing - 10 Risks/ 2 Opportunities Wellbeing - 5 Risks AWCS - 7 Risks Building Control & Land Charges - 6 Risks/1 Opportunity Customer Contact & Engagement - 10 Risks Revenues & Benefits - 6 Risks Business & Technical Services - 6 Risks Digital & Design - 6 Risks Financial Services - 8 Risks/ 1 Opportunity Human Resources - 6 Risks/ 1 Opportunity Legal Services - 3 Risks/ 1 Opportunity Culture - 10 Risks/ 6 Opportunities Place & Investment - 7 Risks Planning & Development (Formerly Economic Growth) - 16 Risks

Number of High Risks on Service Registers	Environmental Services - 1 Housing - 6 Customer & Digital - 3 Financial Services - 3	Environment - 1 Housing - 7 AWCS - 1 Customer Contact & Engagement - 2 Digital & Design - 2 Financial Services - 3 Revenues & Benefits - 1 Culture - 4 Place & Investment - 1	Environment - 1 Housing - 5 AWCS - 1 Customer Contact & Engagement - 3 Revenues & Benefits - 1 Business & Technical Services - 2 Digital & Design - 2 Financial Services - 4 Human Resources -1 Culture - 4 Place & Investment - 1

 <p>Risks where assessment score has reduced since the previous report.</p>	<p>Environmental Services - Potential public safety issues due to driver health issues - Risk reduced to Medium from High</p> <p>Customer & Digital - Freedom of Information requests. Failure to comply with FOI responses - Risk reduced to Medium from High..</p> <p>Revenues & Benefits - Increasing dependency on Business Rates and Council Tax - Risk reduced to Medium from High.</p> <p>Culture - Theatres - Competition from new multiplex cinema - Risk reduced from High to Medium</p> <p>Culture - Evening security of all venues - Risk reduced from High to Medium</p> <p>Culture - Risk that the operational theatres vehicle is not replaced - Risk reduced from High to Medium</p> <p>Culture - Pavilion toilets refurbishment - Risk reduced from High to Medium</p> <p>Place & Investment - Shoreham Airport - Risk reduced from High to Medium</p>
<p>New Risks/Opportunities added since last report</p>	<p>Corporate - Emergency response</p> <p>Wellbeing - Not achieving an improvement to bathing water quality by end of September 2019.</p> <p>Planning and Development - New Monks Farm and Shoreham airport.</p>

	Planning and Development - Shoreham Harbour.
Risks/Opportunities removed since last report.	<p>Customer & Digital - Car Parking income</p> <p>Human Resources - Opportunity - HR shared working with others.</p> <p>Culture - Assembly Hall floor.</p> <p>Planning & Development - Failure to adopt Adur Local Plan</p>

APPENDIX B

Communities Directorate High Service Risks and Projects

Environmental Services

<u>Risk</u>	<u>Potential Effect</u>	<u>Internal Controls</u>	<u>Risk Impact</u>	<u>Risk Likelihood</u>	<u>Ownership</u>	<u>Risk Assessment</u>
Durrington Cemetery - Extension of Burial ground	Environment Agency (EA) have commented that extending the burial ground at this site is not acceptable after sampling of the ground. The effect would be that we may run out of burial space by the end of 2021.	Looking at alternative solutions including lining the burial space as an option if acceptable to the EA or looking at other areas at Durrington Cemetery to provide burial space. Continue to have dialogue with EA and Southern Water to discuss mitigating measures that will enable full earth burials to still take place on the planned extension area. Further ecological surveys requested by EA. Further ecological surveys complete Summer 2017. Hoping to use information gained to submit a Planning Application in Spring 2018 for conversion of the extra space for burial space. If Planning Permission is granted then the construction will begin in	Major	Likely	HES/DC	High

		Summer 2018 and then burials to start in Winter 2018.				
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Housing

<u>Risk</u>	<u>Potential Effect</u>	<u>Internal Controls</u>	<u>Risk Impact</u>	<u>Risk Likelihood</u>	<u>Ownership</u>	<u>Risk Assessment</u>
1. Compliance - Fire, Gas, electrical and water quality	<p>1. Death/injury/illness. - Fire/safety related; - water borne disease (legionella)</p> <p>2. Potential legal action and-or claims. - Legal action against accountable staff (up to Head of paid Service) - compensation and or other claims for injury etcl</p> <p>3. Financial risk -Of managing service failure and loss of accommodation</p> <p>4. Reputational risk -see above</p> <p>5. Loss of use of premises and personal impact to tenants as well as operational and financial risk to councils - see above</p> <p>1-5 Can result from a failure to comply with regulatory standards around Fire/Gas/Electrical and Water Safety and/or implement action plans agreed with WSFR and other bodies.</p>	<p>Compliance Manager appointed 2nd October 2017</p> <p>Adur Homes New Compliance Manager has introduced a weekly compliance review and actions</p> <p>Fire action plan agreed. Quarterly meetings being held with WSFRS - and all fire assessments from Keegans have been received. Ongoing FRAs to be completed as part of an agreement with Potter Raper and to include loft spaces, void risers and service cupboards. Works required will be assessed and prioritised according to risk.</p>	Extreme	Moderate	HH/DC	High

<p>2.Changes due to welfare reform including Housing Benefit changes</p>	<p>The changes taking place in the HB system (extending single room rate to over 35s, removing all HB from under 21's, freezing the LHA for 4 years. Will make it more difficult for both Councils to sustain tenancies and resolve people's housing problems by helping them into the private sector, and is causing homelessness acceptances and bed and breakfast /emergency temporary housing costs to increase.</p> <p>Loss of income both for Adur Homes and temporary accommodation.</p>	<p>Controlling and reducing rent arrears.</p> <p>Role of Tenancy Sustainment Officer and introductory Tenancy officer working with the most vulnerable and new tenants.</p> <p>Members Housing Improvement Board is aware of this risk and has identified it as one of its priorities.</p> <p>Southdown workers (Under contract from WSCC) focus on those identified as those affected by Welfare reform changes.</p> <p>Key staff from DWP meeting with key staff from both Councils regarding implementation of Universal Credit.</p> <p>Cross partner welfare reform partnership chaired by Director for Communities. .</p>	<p>Major</p>	<p>Likely</p>	<p>HH/DC</p>	<p>High</p>
<p>3. Failure to manage leaseholder services appropriately</p>	<p>Loss of income. Reputational damage.</p>	<p>Implementing improvement and outcomes plan from the Audit . Review resources to implement and run the service.</p> <p>Appointed Interim Temporary Leaseholder Services Manager to work with the Team to deliver the action plan.</p>	<p>Moderate</p>	<p>Very Likely</p>	<p>HH/DC</p>	<p>High</p>
<p>4. Rising costs of emergency and temporary accommodation</p>	<p>Increased pressure on general funds</p> <p>Councils have to spend money on expensive B&B type accommodation.</p>	<p>£3 million pot to buy properties.</p> <p>Programme to privately lease properties both in \hmos and individual properties</p>	<p>Major</p>	<p>Very Likely</p>	<p>HH/DC</p>	<p>High</p>

		<p>Actively working with landlords to increase supply Held open day in March 2017 to attract new landlords and to develop landlord incentive scheme.</p> <p>Change in approach to homeless prevention Including priority banding for those who would be owed a duty if they can make their own arrangements.</p> <p>Develop a homelessness strategy (Aim to make homelessness everyone's responsibility - At final consultation stage oct 2017.</p> <p>Provide people with more information on choices so that they can help themselves.</p> <p>Allocated a dedicated housing solutions officer dedicated to working with clients who are interested in private sector housing as an option (prevention)</p> <p>Joint project with Worthing Churches Homeless Project/Roffey Homes and the Council at Lyndhurst Road in Worthing to create new temporary accommodation - 37 units - 18 for the Councils.</p> <p>Parkfield scheme. Grant funding Worthing Homes to convert old children's centre into four flats (Homeless Prevention)</p>				
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<p>5. Overall Risk of increasing demand for housing advice and homelessness applications</p>	<p>Impact on front line service delivery for customer services in terms of Contact Centre and front line services from Portland House.</p> <p>Increased waiting time for housing advice and casework.</p> <p>Increased costs of temporary and emergency accommodation.</p> <p>Increased competition for limited affordable housing supply.</p> <p>Risk of not meeting legal obligations of the new Homelessness Reduction Act 2017</p>	<p>Triage system implemented to provide advice and guidance at the earliest opportunity to reduce presentations as homeless.</p> <p>Create more housing options for those at risk of homelessness via the housing solutions officer dedicated to seeking private sector accommodation</p> <p>Early identification of potentially vulnerable individuals and families to the development of multi agency pathways eg hospital discharge and care leavers. Better joint working with agencies to prevent crisis presentations.</p> <p>Improving Communication and digital offer to increase customer self service and understanding of alternatives with the aim to reduce administration and officer time processing applications.</p> <p>Working with partners across sussex in Sussex Home-Move Partnership to implement the new Home Connections System Better recording and case management.</p> <p>Improve the Housing Team performance.</p>	<p>Major</p>	<p>Very Likely</p>	<p>HH/DC</p>	<p>High</p>
<p>6. Housing Revenue Account - Financial sustainability as a result of Rent Reduction Policy and Rent collection levels</p>	<p>1. Financial</p> <p>-Reduced ability to Invest in capital expenditure to maintain buildings and properties and new homes</p> <p>2. Operational</p>	<p>30 year business plan shows the potential to outlive the issues highlighted if the service is able to raise rents post 2020</p> <p>Reviewing what services we offer with the budget available.</p>	<p>Major</p>	<p>Very Likely</p>	<p>HH/DC</p>	<p>High</p>

<p>- Impact on budget and service provision</p>	<p>- Limited ability to deliver good quality services and meet customer need</p> <p>-Ability to cover day to day repairs and maintenance</p> <p>3. Business Sustainability/failure</p> <p>-deficit budgets set for forthcoming years, any further uncertainty could result in business failure</p> <p>Background - Until 2020 the Government requires all social housing providers to reduce their rents by 1% each year.</p> <p>This creates a financial pressure over the next 3 years.(£0.68m in 2018/19 and by 2020/21 this will have increased to £1,944,000)</p> <p>Arrears level is running at 3.19% (£452,202). Good practice benchmark is 1%.</p> <p>Loss of income to the HRA.</p>	<p>Prudent management of revenue budget</p> <p>Senior Housing Manager meets with team weekly to review all rent accounts over £500 in arrears.</p> <p>Engagement with Wellbeing and Housing Solutions staff to promote budgeting and financial inclusion strategies</p>				
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Digital & Resources Directorate High Service

Risks and Projects

Customer & Digital

<u>Risk</u>	<u>Potential Effect</u>	<u>Internal Controls</u>	<u>Risk Impact</u>	<u>Risk Likelihood</u>	<u>Ownership</u>	<u>Risk Assessment</u>
<p>Corporate Contact Centre Technology & Demand</p> <p>High levels of failure demand and high volumes of transactional calls result in existing staff resources not being able to cope with demand.</p> <p>Lack of alternative channels (incl effective self serve)</p> <p>Failure of IT and/or telephony systems</p>	<p>Customers unable to get through, cases escalating, increases in complaints, loss of commercial opportunities, reputational damage, vulnerable customers unable to get assistance they need, high pressure for contact centre staff contributing to staff turnover and absence. Failure to resolve calls at first point of contact also affect efficiency.</p>	<p>Contact Centre: Recruiting and training of contact centre staff. Recruited to establishment levels January 2017, additional agency staff retained to cope with ongoing demand.</p> <p>Analysis of call demand through Avaya system to pinpoint and quantify failure demand</p> <p>Organisational focus and technology solutions needed on customer journey to move transactional calls away from phones to other channels including self serve.</p> <p>Service improvement in back office needed to address failure demand and address repeat calls.</p> <p>Work underway on Housing Repairs project highlighting opportunity but also identifying resources needed for transformation.</p> <p>Up to date location risk assessments and supplemented staffing levels.</p>	Major	Likely	HCD/DDR	High

		Future telephony solutions being explored as part of Digital Programme to improve resilience and functionality.				
IT disaster Recovery Plan and alternative data centre (Priority 1 Audit recommendation)	Councils unable to manage/recover IT services or prolonged recovery occurs following a disaster impacting on service provision to the public. This also covers partial/total loss of the IT data centre in Worthing Town Hall.	<p>DR plans are in place for every service detailing what actions will be taken in the event of IT failure.</p> <p>DPB has commissioned the development of Infrastructure as a Service options to host more applications off-site and reduce reliance on our own data centres.</p> <p>CenSus ICT have confirmed that the Veeam backup system is in place and working.</p> <p>Reports to JGC on a regular basis.</p> <p>DR tests were planned for May 2017 and October 2017 but were not completed due to unforeseen circumstances and to avoid further problems. Alternative date for another DR test has been scheduled for June 2018 including a reserve date.</p>	Major	Moderate	HCD/DDR	High
Staff are unable to take or make calls. Public are unable to contact the Council.	Significant reputational damage	Very close management of the supplier. This includes monthly supplier meetings. New and agreed escalation plan.	Major	Likely	HCD/DDR	High

		<p>Planning stages for a new solution.</p> <p>Rolling contract from November 2017 whilst we are seeking a replacement solution.</p>				
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Financial Services

<u>Risk</u>	<u>Potential Effect</u>	<u>Internal Controls</u>	<u>Impact</u>	<u>Likelihood</u>	<u>Ownership</u>	<u>Risk Assessment</u>
<p>Risk to overall financial position - Known areas of risk within the budget eg Income from demand led services, outcomes of job evaluation, Pay award higher than assumed.</p>	<p>1. Go over budget 2. Do not have resources to meet priorities.</p>	<p>Council holds reserves to manage the risk of lost income.</p> <p>Where a service has been identified as being at risk a close monitoring regime is put in place.</p> <p>17/18 continuing the enhanced monitoring for CLT for areas of commercial risk.</p> <p>Proactive control of discretionary spend implemented to help resolve areas of overspend elsewhere within the budget.</p>	<p>Major</p>	<p>Likely</p>	<p>CFO/DDR</p>	<p>High</p>

<p>Future resources from Government are less than assumed</p>	<p>Budget shortfall is understated leading to a greater level of savings. Particular issue in 19/20 Financial Year is likely due to Business rate changes</p>	<p>Assume that grant will reduce by at least 20% each year within the Medium Term Financial Plan and plan actions accordingly. • Lobby Government for an appropriate resource distribution. • Take action to reduce the overall cost of services or increase income</p> <p>Government has moved to a 4 year settlement which gives the Councils greater certainty about grant levels.</p> <p>Councils have signed up to the 4 year settlement to secure funding levels.</p> <p>Councils have responded to new Business Rate retention scheme proposals.</p> <p>Councils have responded to the fairer funding review consultation.</p>	<p>Major</p>	<p>Likely</p>	<p>CFO/DDR</p>	<p>High</p>
<p>General risk of not finding significant budget savings from both Councils.</p>	<p>Impact on ability to balance the budget to deliver the Corporate Priorities and priority services.</p>	<p>Options for addressing the budget gap contained in the outline forecast 2016/17 to 20/21 and</p>	<p>Major</p>	<p>Likely</p>	<p>CFO/DDR</p>	<p>High</p>

		<p>Budget Strategy report to JSC in December 2015.</p> <p>Budget Strategy agreed by JSC in July 2015.</p> <p>Budget Strategy for 2017 agreed by JSC in July 17 which set out budget process for forthcoming year including options to address the budget shortfall.</p> <p>Sufficient savings have been identified to balance the 18/19 budget.</p> <p>Balanced budget for 18/19 has been set.</p>				
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ADUR & WORTHING COUNCILS

Joint Governance Committee
27 March 2018
Agenda Item 11

Ward(s) Affected:N/A

Local Government Ombudsman Complaints

Report by the Director for Digital & Resources

Executive Summary

1.Purpose

1.1 This report provides further analysis on the most recent Local Government Ombudsman (LGO) complaints that have been processed by the Councils.

2. Recommendations

2.1 That the Committee notes the contents of the report and agrees to receive a further analysis of Local Government Ombudsman complaints in September 2018.

3. Context

3.1 The Commission for Local Administration in England was created by Part 3 of the Local Government Act 1974 to run the Local Government Ombudsman service. The Local Government Ombudsman investigates complaints by members of the public who, generally, have had complaints considered by the Local Authority, but still consider that they have been caused injustice by the administrative actions of Local Authorities and other bodies within the jurisdiction of the LGO.

3.2 The Committee has previously requested further analysis on the LGO complaints and as part of this ongoing analysis it received a report to its meeting on 26 September 2017.

4. Issues for consideration

4.1 A detailed analysis of the most recent ongoing LGO complaints is now provided in the table below which covers the period September 2017 to March 2018. This also includes information available on the outcomes of any decisions which were pending from the previous report on this matter to the Committee in September 2017:-

<u>Description of complaint</u>	<u>LGO decision</u>
<u>Adur District Council</u>	
Ref No: 565481 - Complaint that the Council increased, without notification, the taxi tariff in December 2016 which the complainant claims caused him a loss of income.	Upheld. Fault causing injustice found which the Council has suitably offered to put right by its apologies and offered to pay £75 compensation.
Ref No: 006512 - Complaint that the Council did not tell the complainant of her father's death and his property was subsequently burgled and money allegedly stolen. The complainant also disputes that her father owed Council Tax.	Not upheld. No fault found against Council. Not enough evidence provided to support allegations. Landlord and burglary issues are Police matters.
<u>Worthing Borough Council</u>	
Ref No 279747 - Complaint about the handling of a planning application by the Planning Committee and the handling of a complaint under the Council's complaints procedure.	Complaint upheld, fault found against the Council in the time taken to deal with the complaint at Stage 2 of the complaints procedure. Council recommended to apologise to complainant and pay £150 for time spent pursuing complaint.
Ref No 010152 - Complaint about the Council's housing review decision.	Complaint Partially upheld; The Council acted in line with policy when Banding complainant on the housing waiting list and so there is no fault. Records indicate complainant could not have moved out of Bed & Breakfast earlier because the second property needed repairs. The extended time in Bed & Breakfast resulted in breach of the Suitability Order & Council is at fault. Recommendation for Council to remedy the injustice, the Council should apologise and pay £100.

4.2 The Service areas which have been generating the recorded LGO complaints during the periods of reporting to the Committee since 2014 have been broken

down as follows:-

<u>Adur District Council</u>	
Planning	4 not upheld
Public Health & Protection	3 (1 upheld, 1 not upheld and 1 partially upheld)
Housing	1 (Partially upheld)
Census (Revenues & Benefits)	4 (2 not upheld, 1 partially upheld and 1 decision pending)
<u>Worthing Borough Council</u>	
Parks and Foreshore	2 not upheld
Housing Services	2 not upheld and 1 partially upheld.
Planning	2 not upheld and 1 upheld.
Revenues and Benefits	3 (1 upheld and 2 not upheld)
Democratic Services	1 (not upheld)
Financial Services	1 (not upheld)

5.0 Analysis of Complaints and compliments for 2017/18

- 5.1 At the meeting of the Committee in March 2017, a request was made for this report to also include some additional information on compliments received by the Councils. A summary of the most recent compliments received in Q3 2017/18 is attached in the appendix to this report.
- 5.2 Increased scrutiny and analysis of complaints and compliments continues to ensure that the available complaints and compliments data is accurate.

6.0 Financial Implications

- 6.1 There are no direct financial implications arising from this report but any upheld complaints by the Local Government Ombudsman might have some financial implications for the Councils.

7.0 Legal Implications

- 7.1 The role of the Local Government Ombudsman is governed by Part 3 of the Local Government Act 1974.

Background Papers

None.

Officer Contact Details:-

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Sustainability & Risk Assessment

1. Economic

Matter considered. Complaints may impact on economic development if they are related to those issues.

2. Social

2.1 Social Value

The outcomes from complaints may impact on our communities or individuals.

2.2 Equality Issues

Matter considered. No direct implications.

2.3 Community Safety Issues (Section 17)

Matter considered and no direct implications.

2.4 Human Rights Issues

Matter considered and no direct implications.

3. Environmental

Matter considered and there are no direct implications.

4. Governance

Matter considered. The outcomes from complaints might impact on the reputation of the Councils.

<u>Ref No</u>	<u>Service</u>	<u>Compliment</u>
691457	Mayor/Democratic Services	Email to say thank you to the Mayor regarding the honour paid to his father relating to the M.S.S Moore ceremony
692171	Customer & Digital (Parking)	Private message sent from Facebook - I just wanted to ask you to pass on my thanks to the man who was in the Buckingham Road car park office on Monday. I was walking back to the car park and there were some "street drinkers" hanging around outside the toilets at the other end (by the body shop) who were blocking the path. I said "excuse me please" and they started shouting at me. I was very scared (had my one year old son in the pushchair!) and when I got to the foyer bit by the ramp to pay, I was pleased to see your man just coming out the office. I asked him to stay with me while I paid- and then promptly burst into tears (very embarrassing!) - he stayed with me while I paid even though I hadn't explained why, and then as I was putting my son into the car, I saw him appear at the end and watch to make sure we had got into the car ok, without even knowing why (although he may have heard them shouting). Anyway long story but I didn't get the chance to thank him, and I was extremely grateful for his presence.
700713	II	Staff at Guildbourne car park were fantastic when helping a ladies heavily pregnant daughter with her shopping whilst her mother got the car. They did this even when there were long queues due to out of order machines. It made the member of public's day and they appreciated the kind gesture.
702041	II	Twitter message thanking parking for their concern for a member of the public who was detained under the Mental Health Act and who helped in calling the Police
714495	II	Member of public went back to his car at the High Street Multi Storey car park and couldn't find his Fiat 500. He believed it had been stolen, the staff treated him with courtesy and patience in order to locate the car. Albert Hooson searched for the car, and him and his colleague were very polite and understanding to this customer on a stressful day.
700733	Customer & Digital (Contact Centre)	Adur Homes repair customer called to praise Matt Orton on his handling of a recent repair issue. Matt made the process pleasant as he took a personal interest in her case and was a generally lovely guy who was willing to go above and beyond for her.
703403	II	On social sign in resident enquired about council tax move and wheelie bins as moving. Insight team replied back within 10 minutes with information regarding this service. Rachael (the resident) then replied back on Facebook - Best service EVER! Just spoke to Connor in customer service and he sorted the bins out for me! Thanks so so much for your help, we are so excited about the new home!
710277	II	Customer wanted to thank Matt Orton in the Contact Centre for booking him a bulky waste collection. He said he did a wonderful and courteous job.
710347	II	Customer called for assistance with her council tax due to suffering financial difficulties and needing to make an arrangement. States that; Nigel was an absolute diamond, a little ray of sunshine. He was kind and friendly and even though I kept him beyond his home time, he didn't mind at all. He absolutely put my mind at rest and has helped to reset the payments going forward so that I can keep to my payments. This may not seem a big thing but to me it has helped immensely to alleviate a bit of the pressure I have been under. I just want this amazing guy to get the thanks and recognition he deserves. I do hope you will please pass on my thanks to him and that he will get either a payrise or some sort of reward for his excellent customer service.
711967	II	Housing Benefit claimant emailing in to thank Customer Services as "each time my wife or I have called in to keep you informed of progress, we have been treated by your staff with efficiency and understanding".
712897	II	Customer called to express her gratitude to Matt Orton for being so calming and reassuring, when her cat went missing and how helpful he has been. She said he said and did exactly what she needed at that time and that he deserves a gold star.
713437	II	A customer from housing emailed Amanda Baker back to advise that they are now on the register and thanking her for her patience and genuine concern.
714519	II	Customer called to say Amanda in the Contact Centre had given him excellent customer service. He was very happy with the level of service provided and wanted to pass on his appreciation.

717887	II	Housing Benefit claimant thanking Natalie Buckman from the Shoreham Centre for her assistance in confirming receipt of benefit when being referred to the PDSA so their dog could get treatment.
717953	II	A compliment for a Customer Services Advisor on an AWCS call. There was a swift response from Guy when a customer called who had a fly tipped freezer outside her house. They found CCTV footage of this to help them identify the culprits.
720791	II	Email complimenting staff members who handled their council tax & electoral service registrations. States they were friendly, courteous & full of useful information making them feel welcome.
720853	II	Council Tax customer phoned especially to thank Customer Service Advisor for his help when discussing a Council Tax issue involving customers daughter.
721471	II	Customer came in to Portland House and brought in Christmas chocolates and mince pies by way of thanks to Jan White.
692325	Director for Digital & Resources	Senior Programme Manager thanking Paul Brewer for his attendance in the Government ICT 2.0 Conference and for his presentation.
722779	II	Twitter user complimenting Director for Digital & Resources on the digital service design blueprint for Local Government.
712921	Place & Investment	Email thanking Team for the fantastic job they are doing on a certain project. The officers are inclusive, enthusiastic and seem genuinely committed to help make a difference.
692171	Planning & Development	Customer complimented officer on the knowledge she provided to customers when showing plans of the replacement house with roof terrace next to the customers house.
692277	II	Thanks sent to Sarah Foster by email for help with a planning application.
692303	II	Resident thanking Gary Peck for letting them know an applicant withdrew a planning application. Thanking him for his help and doing a good job as always.
702019	II	Surveyor thanking Planning for acting positively and proactively in working together to deliver a constructive outcome.
703237	II	Customer thanking Hannah Barker for her assistance which is very much appreciated. Also commented on the excellent service.
705807	II	Resident contacted planning as they were needing evidence of the planning consent required to sell their property. Planning replied next working day with relevant information. The resident was very happy with the service and thankful for the prompt, helpful reply.
710031	II	Customer thanking Dawn Ayres for impressively efficient service when emailing.
715353	II	Conveyancer contacted us for information on planning permission. Viki Beer replied by email and then received thanks from the conveyancer regarding the information they needed and how helpful it will be.
718613	II	Planning replied to a customers email regarding a TPO the same day they emailed in. This led to the customer thanking Planning for their quick and excellent service.
718637	II	Gary Peck received a compliment from an architect stating how impressed he was with his swift response and the good news he could deliver. He was pleased to move forward with Mr Peck on the matter.
719589	II	Member of public sent a text message to Head of Service thanking him for a presentation.
720467	II	Member of public thanking planning support assistant for their efforts and fantastic customer service.
721505	II	Customer has sent a tweet saying "planning approved 2 weeks early! Thanks @adurandworthing only a few more to do, very happy developer client"
721525	II	Customer has sent a tweet saying "Planning approved 4 weeks early! Thanks @adurandworthing council, you guys are on fire, Very happy developer client"
722587	II	An email - You were a great help when we were considering buying the property and just wanted to say thank you for taking the time to guide us through the maze that is involved when creating a useful purpose for these two old buildings.

692213	Environmental Services (Parks)	Customer thanks to Stewart for his maintenance of Buckingham park green.
692231	Environmental Services (Waste & Cleansing)	Thanks sent for resiting the litter bin in the bowling green area of Church House gardens Tarring, removing the taking off point for children to jump onto shed roofs perhaps damaging them or hurting themselves
692253	II	The area around the residents house had been swept, even with all the parked cars around. Very impressed how quickly this was done as the pavement was becoming very slippery due to wet leaves.
703217	II	Customer wanted to express what a great job the council do in removing fly tipping. It makes a great deal of difference to the community.
708241	II	Customer used our bulky waste service and commented on the crews politeness, helpfulness and professionalism.
710133	II	Customer called to show her amazement and appreciation for the clean up done after the Tide of Lights. She saw the mess that was left afterwards and when she went for a walk the next morning, it was spotlessly clean all along the prom and she was very impressed.
715333	II	Customer pleased that their replacement large blue recycling bin was delivered the day after calling to request this. They were impressed with the efficient service.
716143	II	Customer wanted to thank AWCS for offering such a good service. She has used us several times for both home and business, and says we are nothing less than 100% polite, helpful and efficient. She ordered a green garden bin yesterday and within 2 hours it had been delivered. We knock spots off many a private company.
716169	II	Customer requested a green bin Monday and it arrived Tuesday. Pleased with the great service provided.
720131	II	Member of public thanking AWCS driver for coming back to collect his missed bin collection. He was impressed by the customer service of the team and their hard work.
721607	II	Worthing Minigolf have sent a tweet saying "@AdurWorthingCS promptly removing graffiti from our neighbouring kiosk - always doing a great job, often behind the scenes and also when we're often in bed @adurandworthing"
712871	Housing (Repairs & Maintenance)	I visited a customer who lives in Channel View, Whiterock Place, Southwick and was told that the new cleaners are very good and especially liked the bubble gum fragranced leaning fluid (foam) that they are using. They were especially please with the fresh pleasant smell left in the block that lasted for about five days.
717927	II	Customer called to praise the speed with which her leaky sink was fixed. She also extended that the gentleman that attended was very good, friendly and had a great attitude.
720739	II	Customer thanking Adur Homes workmen for fixing his fence all whilst being cheerful, tidying up after themselves and being polite and chatty.
719927	Housing Solutions	Thank you for quick and friendly response as usual.
721677	II	I would like to thank you all for your unwavering support for customer. She has come in today to share the good news about the banding change and your help with her arrears. As a school, we are now focusing our attentions on supporting Jamie to stay in school and finding the correct place for him. Thank you all once again for all your advice and help.
721697	II	Seeing you today has prompted me to say a belated thank you for all your help a few months ago. I wouldn't have got through the process without your knowledge and support. Thank your manager for allowing you to do it as well. Glad that flexibility in your role was granted. It has been a real rollercoaster past few months but in short I managed to sell house albeit cheaply, debts sorted, equity in bank, roof for the kids and I, looking forward and making plans. You really made a difference for us and went way above what you had to. I will always be indebted. Truly many thanks
721717	II	Thank you for your e-mail. Pleased that customer has been placed in Band A for which he is very grateful. Thank you for your involvement.
721735	II	You are a star. Many thanks to you and Catriona for providing this information. It is really helpful.

721657	Private Sector Housing	I just wanted to thank you for help during the problems with the tenancy. The landlord made a claim on the deposit of £625 and thanks to the information which you provided he was only awarded £90, I hope he has improved the flat and the next tenants are happier in the flat. Thanks again from myself and my son.
714943	Wellbeing (Environmental Protection)	Senior Environmental Health Officer Michael Lavender wrote to the manager of a public house regarding a noise complaint surrounding their Karaoke evenings. Customer replied thanking Michael for his help as the Karaoke was much better as they couldn't hear it was on after 8pm.
717985	Business & Technical Services	Customer emailed in to compliment us on the Christmas decorations and trees in Worthing town centre. She said the mini trees sparkling on the posts were wonderful from Rowlands Road to WH Smiths. It looked fantastic and she thanked the Council for the magnificent display.
721797	Revenues & Benefits	Housing Benefit applicant thanking Benefit Team Leader for their help in resolving an issue with regards to student finance.



Amendments to the Constitution

Report by the Monitoring Officer

1.0 Summary

- 1.1 This report seeks to update Members of the Joint Governance Committee with recent amendments made to the Councils' Constitutions by the Monitoring Officer, and asks Members to note those amendments.
- 1.2 The report seeks Members' approval, and recommendation to each Council, of revised terms of reference for the Joint Governance Committee.
- 1.3 The report also seeks Members' approval, and recommendation to each Council, of revised Council Procedure Rules relating to Motions on Notice.

2.0 Background

- 2.1 The Monitoring Officer has a duty to maintain an up-to-date version of the Constitution and to ensure that it is publicly available. The Monitoring Officer has the authority, as set out in Article 11 and at paragraph 3.9.24 of the Officer Scheme of Delegations in the Constitution, to "make minor and consequential amendments to the Constitution at any time".
- 2.2 The Joint Governance Committee within its terms of reference has the responsibility to monitor and review the operation of the Constitution to ensure that its aims and principles are given full effect.
- 2.3 Article 14.03 of the Constitution provides that changes to the Constitution will only be approved by the Full Council after consideration of the proposal by the Joint Governance Committee.
- 2.4 The purpose of the Constitution is to:
 - enable the Council to provide clear leadership to the community in partnership with citizens, businesses and other organisations;

- support the active involvement of citizens and encourage all sections of the Borough and District's communities to be involved in the Council's decision-making processes;
- help Elected Members represent their constituents more effectively;
- create a powerful and effective means of holding decision-makers to public account;
- ensure that no one will review or scrutinise a decision in which they were directly involved;
- ensure that those responsible for decision-making are clearly identified to local people and that they explain the reasons for their decisions;
- provide a means of improving the delivery of services to the community;
- balance speedy and reasoned decision-making with adequate checks and balances;
- place high standards of conduct and probity at the centre of decision-making.

3.0 Proposals

3.1 Part 3: Responsibility for Functions

3.1.1 Terms of Reference of the Joint Governance Committee

Part 3 of each Council's Constitution sets out the Terms of Reference of each Council Committee, and there are some changes required to the terms of reference for the Joint Governance Committee.

It is proposed that the Joint Governance Committee recommend to each Council that the following changes are made, with effect from 1st May 2018:

<p>Para 5.13 e to be expanded to note that the Committee shall co-opt one Member of Lancing Parish Council and one Member of Sompting Parish Council to advise them on Parish matters when under consideration, and that such co-opted Parish Members will be present in an advisory capacity only and not entitled to vote at such meetings.</p>	<p>To reflect provisions elsewhere including in particular the Standards Procedure Rules</p>
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<p>To add the function of granting dispensations to Councillors and Co-opted Members from requirements relating to interests set out in the Code of Members Conduct and the Localism Act 2011 in circumstances where the Monitoring Officer does not exercise his/her delegation</p>	<p>To give effect to the provisions of section 33 Localism Act 2011</p>
<p>To add the function of being able to co-opt, in an advisory capacity only, any person who is an Independent Person appointed by another Local Authority to advise the Joint Governance Committee or its Sub-Committee on such terms as the Joint Governance Committee may determine</p>	<p>To provide flexibility, particularly in circumstances where the Councils' Independent Persons may be unavailable, or conflicted.</p>
<p>To add the function of receiving an annual report from the Monitoring Officer on the local resolution and assessment of allegations of breaches of the Code of Conduct for Members, by Members of the District and Borough Council and the Parish Councils in the District of Adur.</p>	<p>To enable Members of the Joint Governance Committee to better fulfil their roles in respect of standards, ethics and probity.</p>
<p>To add a function relating to determining allegations that a Member of a Parish Council within the District of Adur has failed to comply with the relevant Parish Council Code of Conduct in accordance with the provisions of the Localism Act 2011</p>	<p>To comply with statutory requirements of the Localism Act 2011.</p>
<p>To add a function to the terms of reference of the Committee to include any other function imposed by statute</p>	<p>To provide flexibility and ensure completeness.</p>

3.1.2 Executive Member for Resources

The Leader at Worthing Borough Council has changed the name of the portfolio holder from 'Executive Member for Resources' to 'Executive Member for Digital and Resources' to better reflect the role and its responsibilities.

The Monitoring Officer proposes, under her delegated authority, to amend reference in Part 3 of the Worthing Constitution to the 'Executive Member for Resources' to the 'Executive Member for Digital and Resources', to be effective from 1st April 2018.

3.2 **Part 4: Rules and Procedures**

3.2.1 Council Procedure Rule 32: Members' Conduct

CPR 32 relates to Member Conduct at meetings and makes provision at 32.2 for the Chairman of a meeting to be able to stand during a debate, obliging other Members to be silent and seated. The title of the CPR implies the provision relates to only meetings of the Full Council, whilst it should apply equally to meetings of the Council's Committees and Sub-Committees.

It is proposed that the Monitoring Officer, under her delegations, amends the title of this provision to ensure it applies to all meetings of the Councils, their Committees and Sub-Committees, with effect from 1st April 2018.

3.2.2 Council Procedure Rule 14: Notices of Motion

CPR 14 relates to Notices of Motion at meetings of each Full Council. Experience recently has indicated that the procedures are not as efficient nor as clear as they could be. A complete revision of this procedure rule is therefore recommended.

The existing procedure rule and a proposed revised procedure rule are attached to this report as Appendix A.

The primary changes proposed can be summarised as follows:

- The reasons for the Director for Communities rejecting a Motion on Notice have been extended to mirror the circumstances when a public question may be rejected. The reasons now include where the motion is improper, out of order or not relevant, where it requires disclosure of confidential or exempt information, where it is substantially the same as a motion received and accepted in the past 6 months, where the proposal in the motion would be unlawful, and where it refers to legal proceedings taken or contemplated.
- A provision has been added that where the Council is involved in a consultation process, they will not accept a motion expressing support or objecting to the proposals.
- The number of motions to be accepted has been amended from no Member having more than 2 motions on the same agenda to the 3 largest political groups being entitled to bring 2 motions each on any agenda and any other group, or a Member not belonging to a political Group, one each.

- A provision has been included for automatic referral of any motion within the remit of any Council Committee, rather than previously this applied to only Executive and Regulatory Committees.
- Provision has been made for Motions which do not fall within the remit of any Committee, do not incur expenditure and are merely declaratory to be dealt with at the Council meeting where the Motion is received, whilst those that include a proposal for the Council to take substantive action to be considered at a future meeting.
- Provision has been made for Motions to be considered at Full Council to be dealt with in accordance with the rules of debate, and where they are not seconded there is a requirement for them to be so seconded after a 2 minute speech from the proposer, or fail. For motions being automatically referred to a Committee, the proposal is for them to be so referred without speech from the proposer or seconder, and for motions not seconded to fail.

It is proposed that the Joint Governance Committee recommends to each Council the adoption of a revised Council Procedure Rule 14 with effect from 1st May 2018.

3.2.3 Standards Procedure Rules

Paragraph 1.3 of the Standards Procedure Rules provides that the views of the Independent Person must be sought at the assessment stage and may be sought at any other stage of the procedure. This does not accord with the provisions of the Localism Act 2011 at section 28 which provides that the views of the Independent Person may be taken into account at the assessment stage and must be taken into account before determining a matter which it has been decided is to be investigated.

It is proposed that the Monitoring Officer, under her delegations, amend this error and publish amended Standards Procedure Rules with effect from 1st April 2018.

3.2.4 Scheme of Officer Delegations

3.2.4.1 Authorised / Proper Officers in relation to Public Health

Section 4.5 of the Scheme of Officer Delegations deals with formal appointments of Officers to act as Authorised or Proper Officers for specific purposes as required by various pieces of legislation to enable them to exercise statutory functions. Since the provision was initially drafted, legislation has changed and the list is currently far from complete or comprehensive.

It is proposed that the Monitoring Officer make the following amendments to paragraph 4.5 of the Officer Scheme of Delegations, with effect from 1st April 2018, which deals with the appointment of Authorised or Proper Officers for functions relating to Public Health to add the following legislation:

Pet Animals Act 1951

Caravan Sites and Control of Development Act 1960
Animal Boarding Establishments Act 1963
Riding Establishment Act 1964 and 1970
Scrap Metal Dealers Act 1964
Breeding of Dogs Act 1973 and 1991
Part 1 Local Government (Miscellaneous Provisions) Act 1976
Zoo Licensing Act 1981
Part 1 and Part 7 Local Government (Miscellaneous Provisions) Act 1982
Public Health (Control of Disease) Act 1984
Control of Pollution (Amendment) Act 1989
Clean Neighbourhoods and Environment Act 2005
Health Act 2006
Anti Social Behaviour, Crime and Policing Act 2014
Environmental Protection Act 1990
Environment Act 1995
Prevention of Damage by Pests Act 1949
Control of Pollution Act 1974
Dangerous Wild Animals Act 1976
Refuse Disposal (Amenity) Act 1978
Housing Act 1985, 1989 and 2004
Clean Air Act 1993
Pollution Prevention and Control Act 1999
Environmental Damage Regulations 2009
Health and Safety at Work Act 1974
Animal Welfare Act 2006
Building Act 1984

3.2.4.2 Functions in relation to Entry of Land or Premises

Section 4.7 of the Scheme of Officer Delegations deals with appointments of Officers authorised to enter land or premises in connection with their duties as required by various pieces of legislation to enable them to exercise statutory functions. Since the provision was initially drafted, legislation has changed and the list is currently far from complete or comprehensive.

It is proposed that the Monitoring Officer make the following amendments to paragraph 4.7 of the Officer Scheme of Delegations, with effect from 1st April 2018, which deals with the authorisation of Officers to enter land or premises to add the exercise of their duties in respect of functions under the following legislation:

Dangerous Wild Animals Act 1976
Riding Establishments Act 1964 and 1970
Building Act 1984

3.2.4.3 Delegations to the Head of Building Control and Land Charges

The post of Head of Building Control and Land Charges has now been deleted from the Council's Establishment List, and the responsibilities transferred to the Head of Planning and Development.

The Monitoring Officer therefore proposes to, under her delegated authority, transfer these delegations to the Head of Planning and Development, with effect from 1st May 2018. The Head of Planning and Development is, within the Scheme of Officer Delegations, still referred to as the Head of Growth (a previous Job Title) and therefore the Monitoring Officer will also rectify the Job Title accordingly.

3.2.4.4 Head of Environment and Head of Waste and Cleansing

The posts of Head of Waste and Cleansing and Head of Environment have been deleted from the Establishment List and the responsibilities transferred to the new post of Head of Environment and Waste. The Monitoring Officer therefore proposes to amalgamate and transfer the delegations to those of the Head of Environment and Waste, under her delegated authority, to be effective from 1st April 2018.

3.2.4.5 Head of Customer Services

The post of Head of Digital and Design has been removed from the Council's Establishment List and the post of Head of Customer Services is now known as Head of Customer and Digital Services. The Monitoring Officer proposes making consequential changes to the Officer Scheme of Delegations, with effect from 1st April 2018, under her delegated powers.

3.3 Part 5: Codes and Protocols

3.3.1 Code of Conduct for Council Officers

The public is entitled to demand of a local government Officer conduct of the highest standard and public confidence in an Officer's integrity is paramount. All duties must be performed by Officers with honesty, integrity, impartiality and objectivity. To this end the Councils have an Officer Code of Conduct which forms part of the Codes and Protocols of the Constitutions and also forms part of an employee's terms and conditions of employment. The Code makes similar provisions to that relating to Members and contained within the Members Code of Conduct.

The Code of Conduct for Officers has been reviewed by the Monitoring Officer, and it is proposed that minor amendments be made, with effect from 1st April 2018. The changes can be summarised as follows:

- To expand on the Council's Customer Care Standards which have recently been updated
- To provide that all additional employment must be declared, rather than the previous provision which related to Officers of a certain grade and above.
- To expand the provision that Council Officers having a financial interest in any contract must declare it, to include their spouse or partner too.
- To amend the provision that all relationships between Officers and Members be avoided, to provide that all relationships between Officers and Members are declared, to ensure transparency. Also to expand the provision to include relationships between Officers and other Officers.

- To amend, for consistency, to provide that all declarations, relating to additional employment, relationships, gifts and hospitality, and financial interests in contracts are made to Heads of Service in the first instance.

It is proposed that the amendments be made by the Solicitor to the Council under her delegated authority as they are considered to be minor. They are brought about from a desire to update the Code, ensure consistency and provide for relationships between Officers.

3.3.2: Protocol for Relationships Within the Councils

Mutual trust and respect between Members and Officers is at the heart of a Council's good governance arrangements. They are essential if the partnership necessary for the effective running of a Local Authority is to succeed. The Councils have a Protocol for Relationships Between Members and Officers of the Council which is designed to define roles and clarify responsibilities, avoid conflict and prevent duplication, to secure compliance with the law and internal practices, and to promote trust, openness, fairness and honesty.

The existing Protocol which forms part of each Councils' constitution has been reviewed by the Monitoring Officer and it is proposed that it be amended under delegated authority, to relate to relationships between Officers and other Officers within the Council as well as to relationships between Officers and Members. It is proposed that the amendments become effective on 1st April 2018.

4.0 Legal

- 4.1 Article 11, paragraph 11.03, of the Councils' Constitutions sets out the Functions of the Monitoring Officer and states "The Monitoring Officer has the delegated authority to make minor and consequential amendments to the Constitution at any time".

5.0 Financial implications

- 5.1 There are no financial implications arising from this report.

6.0 Recommendation

- 6.1 The Joint Governance Committee is recommended to:
- 6.1.1 Note the Monitoring Officer's use of her delegated powers to make minor and consequential amendments to the Constitution as set out at paragraph 3.1.2, 3.2.1, 3.2.3, 3.2.4, 3.3.1 and 3.3.2 in the report.
- 6.1.2 To recommend to each Council the adoption of the amended terms of reference for the Joint Governance Committee as set out in paragraph 3.1.1 of the report with effect from 1st May 2018.

- 6.1.3 To recommend to each Council the adoption of the amended Council Procedure Rule 14, relating to Motions on Notice, as set out in Appendix A to this report and paragraph 3.2.2 above, with effect from 1st May 2018.

Local Government Act 1972

Background Papers:

Adur District Council Constitution

Worthing Borough Council Constitution

Localism Act 2011

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Schedule of Other Matters

1.0 Council Priority

1.1 Good governance and up-to-date Constitutions support the Councils' priorities relating to partnership working.

2.0 Specific Action Plans

2.1 Matter considered and no issues identified.

3.0 Sustainability Issues

3.1 Matter considered and no issues identified.

4.0 Equality Issues

4.1 Matter considered and no issues identified.

5.0 Community Safety Issues (Section 17)

5.1 Matter considered and no issues identified.

6.0 Human Rights Issues

6.1 Matter considered and no issues identified.

7.0 Reputation

7.1 Good governance arrangements help to protect the reputations of the Councils.

8.0 Consultations

8.1 Matter considered and no issues identified.

9.0 Risk Assessment

9.1 The risk of not having an up-to-date Constitutions is that procedures and practices may not be transparent, fair and consistent and may increase the risk of legal challenge.

10.0 Health & Safety Issues

10.1 Matter considered and no issues identified.

11.0 Procurement Strategy

11.1 Matter considered and no issues identified.

12.0 Partnership Working

- 12.1 Constitution arrangements enable and support the governance of partnership working.

**EXISTING COUNCIL PROCEDURE RULE 14
ADOPTED 14 NOVEMBER 2016**

14.0 MOTIONS ON NOTICE AT FULL COUNCIL

14.1 Notice

- 14.1.1 Except for motions that can be moved without notice under Council Procedure Rule 15, written notice of every motion, signed by at least one Member, must be delivered to the Director for Communities not less than 10 clear working days before the date of the meeting. These will be entered in a book open to public inspection.
- 14.1.2 If the notice of motion is sent by electronic means, it shall be received not less than 10 clear working days before the day of the meeting at democratic.services@adur-worthing.gov.uk and acknowledgement of its receipt shall be obtained.
- 14.1.3 The Director for Communities will date and number the motion in the order in which it is received.
- 14.1.4 All notices of motion shall be sent direct to Full Council by the Director for Communities and shall have appended to them, by the Council Leadership Team, any relevant existing Council policies which shall determine the appropriate means of dealing with it.

14.2 Scope

Every motion shall be relevant to some matter in relation to which the Council has powers or duties or which affects the administration or condition of the Borough.

14.3 Motions set out in Agenda

- 14.3.1 Motions for which notice has been given will be listed on the agenda, subject to the exception below, in the order in which notice was received by the Director for Communities, unless the Member giving notice states, in writing, that they propose to move it to a later meeting or withdraw it.
- 14.3.2 Such motions will be placed on the agenda immediately before the consideration of exempt information items.
- 14.3.3 If the Director for Communities considers that the motion is improper, out of order or not relevant to any question affecting the administration or condition of the borough, he/she shall return the motion to the Member of the Council who sent it, stating that it will not be inserted on the agenda and providing reasons.

14.3.4 Motions accepted for inclusion shall have appended any relevant existing Council policies.

14.3.5 No Member shall have more than two motions on the same agenda.

14.4 Speaking to propose a Motion

14.4.1 If a motion has been signed by only one Member, the proposer may speak for a maximum of 2 minutes without the motion being seconded.

14.4.2 If the motion is then not seconded it shall fall.

14.4.3 If the motion is seconded then Rules 14.5 and 14.6 shall apply.

14.4.4 If a motion set out on the agenda is not moved by a Member who gave the notice or by some other Member on his or her behalf, it shall be treated as withdrawn and shall not be moved without fresh notice unless postponed by the Council.

14.5 Automatic Reference of Motions

Motions shall be dealt with as set out below:

14.5.1 If any part of the subject matter of any motion comes within the remit of the Executive, upon being moved and seconded, it shall be referred without discussion to the Executive for consideration and determination.

14.5.2 Subject to rule 14.5.3 below, if the subject matter of any motion comes within the remit of any Regulatory Committee (i.e. Planning and Licensing), upon being moved and seconded, it shall be referred without discussion to such Committee for consideration and determination.

14.5.3 Where the subject matter of a motion:

- (i) is not within the remit of the Executive or a Regulatory Committee; and
- (ii) does not include a proposal for the Council to take any substantive action; and
- (iii) does not incur any expenditure

then it may be considered by the Full Council at the meeting at which it appears in the agenda.

14.6 Attendance of mover at meeting of the Executive or a Committee

14.6.1 Where a motion has been referred by Full Council to the Executive or a Committee, the mover, or the seconder in the absence of the mover, shall be entitled to attend the relevant meeting of the Executive or Committee and to explain the motion.

- 14.6.2 The Member may answer questions from the Executive or Committee, for the purposes of clarification, prior to any debate and may sit with the Committee for the item in question.
- 14.6.3 The Member may not partake in the debate, nor vote upon the item.

AMENDED COUNCIL PROCEDURE RULE 14 PROPOSED TO BE ADOPTED 1ST MAY 2018

14.0 MOTIONS ON NOTICE AT FULL COUNCIL

14.1 Notice

- 14.1.1 Except for motions that can be moved without notice under Council Procedure Rule 15, written notice of every motion, signed by at least one Elected Member of the Council, must be delivered to the Director for Communities not less than 10 clear working days before the date of the meeting. These will be entered in a book open to public inspection.
- 14.1.2 If the notice of motion is sent by electronic means, and electronic signature will suffice, and it shall be received not less than 10 clear working days before the day of the meeting at democratic.services@adur-worthing.gov.uk. The Member must ensure they obtain an acknowledgement of its receipt.
- 14.1.3 The Director for Communities will date and number the motion in the order in which it is received.

14.2 Scope

- 14.2.1 Every motion shall be relevant to some matter in relation to which the Council has powers or duties or which affects the Borough.
- 14.2.2 Where a motion is received, the Director for Communities may reject it if, in his/her opinion, the motion:
- (a) is not relevant either to some matter in relation to which the Council has powers or duties or it does not affect the Borough; or
 - (b) is defamatory, frivolous, unlawful, vexatious or offensive; or
 - (c) refers to legal proceedings taken or anticipated by or against the Council; or
 - (d) is substantially the same as a motion which has been received and accepted in the past six months; or
 - (e) requires the disclosure of confidential or exempt information; or
 - (f) is improper, out of order or not relevant.

Where a motion is rejected by the Director for Communities, he/she shall return the motion to the Member of the Council who sent it, stating that it will not be inserted on the agenda and providing reasons.

14.2.3 Where the Council is in the process of consulting with the public on a proposal, or responding to a formal consultation process, no notice of motion expressing support or objecting to the proposals shall be accepted.

14.2.4 All accepted notices of motion shall be sent, via a report, direct to Full Council by the Director for Communities. Such report will include the procedure for consideration and determination of the motion.

14.2.5 The decision of the Director for Communities will be final.

14.3 Motions set out in Agenda

14.3.1 Accepted motions for which notice has been given will be listed on the agenda, subject to the exception below, in the order in which notice was received by the Director for Communities, unless the Member giving notice of the motion gives advance written notice that they intend to propose to defer the motion until the next meeting, or withdraw the motion.

14.3.2 Such accepted motions will be placed on the agenda immediately before the consideration of exempt information items.

14.3.3 The maximum number of accepted notices of motion to be presented at a Council meeting shall be as follows:

- The 3 largest Political Groups: 2 each Group
- Any other Group: 1 each Group

14.3.4 Any Member not belonging to a Political Group may present not more than 1 notice of motion.

14.3.5 Where Members of a Political Group submit more than the permitted maximum number of notices of motion the Group shall decide which of these it wishes to table. In the absence of such a decision, notices of motion from Members of a Group shall be taken in the order in which they are received up to the permitted maximum number.

14.4 Procedure for Consideration and Determination of a Motion

Motions shall be dealt with as set out below:

14.4.1 If any part of the subject matter of any motion comes within the remit of the Executive, upon being moved and seconded, it shall be noted by Council and referred without debate to the Executive for consideration and determination.

14.4.2 If any part of the subject matter of any motion comes within the remit of any Regulatory Committee (i.e. Planning and Licensing), upon being moved and seconded, it shall be noted by Council and referred without debate to such Committee for consideration and determination.

14.4.3 Subject to rules 14.4.1 and 14.4.2, if any part of the subject matter of any motion comes within the remit of any other Council Committee, upon being moved and seconded, it shall be noted by Council and referred without debate to the relevant Committee for consideration and determination.

14.4.4 Where the subject matter of a motion:

- (i) is not within the remit of the Executive, a Regulatory Committee or any other Council Committee; and
- (ii) does not incur any Council expenditure; and
- (iii) does not include a proposal for the Council to take any substantive action and is merely declaratory;

then it may be considered by the Full Council at the meeting at which it appears in the agenda.

14.4.5 Where the subject matter of a motion:

- (i) is not within the remit of the Executive, a Regulatory Committee or any other Council Committee; and
- (ii) does not incur any Council expenditure; and
- (iii) does include a proposal for the Council to take substantive action and is more than declaratory;

then it may be considered by a future meeting of the Full Council.

14.5 Speaking to propose a Motion

14.5.1 If a motion on the agenda at Full Council is to be referred automatically to the Executive, a Regulatory Committee or another Council Committee, in accordance with Council Procedure Rule 14.4, the proposer of the motion will confirm to the Mayor their proposal of the motion as set out in the report before Council without a speech.

14.5.2 If a motion on the agenda at Full Council is to be referred automatically to the Executive, a Regulatory Committee or another Council Committee, in accordance with Council Procedure Rule 14.4, the seconder of the motion will confirm to the Mayor their seconding of the motion as set out in the report before Council without a speech.

14.5.3 If a motion to be automatically referred has been signed by only one Member, the Mayor will invite another Member present to second the motion without a speech. If the motion is not seconded it falls without debate.

- 14.5.4 If a motion on the agenda at Full Council is not to be referred automatically in accordance with Council Procedure Rule 14.4, it shall be proposed and seconded in accordance with the rules of debate set out at Council Procedure Rule 16.
- 14.5.5 If a motion on the agenda is not to be automatically referred and has been signed by only one Member, the proposer may speak for a maximum of 2 minutes without the motion being seconded. If the motion is then not seconded it shall fall.
- 14.5.6 If a motion set out on the agenda is not moved by a Member who gave the notice or by some other Member on his or her behalf, it shall be treated as withdrawn and shall not be moved without fresh notice unless postponed by the Council.

14.6 Attendance of mover at meeting of the Executive or a Committee

- 14.6.1 Where a motion has been referred by Full Council to the Executive or a Committee, the mover, or the seconder in the absence of the mover, shall be entitled to attend the relevant meeting of the Executive or Committee and to explain the motion.
- 14.6.2 The Member may answer questions from the Executive or Committee, for the purposes of clarification, prior to any debate and may sit with the Committee for the item in question.
- 14.6.3 The Member may not partake in the debate, nor vote upon the item.