

Audit and Standards Committee

Date and Time - **Wednesday 27 July 2022 – 6.30 pm**

Venue - **Council Chamber, Town Hall, Bexhill-on-Sea**

Councillors appointed to the Committee:

B.J. Drayson (Chair), R.B. Thomas (Vice-Chair), J. Barnes, Mrs M.L. Barnes, P.C. Courtel, K.M. Harmer (ex-officio), L.M. Langlands and C.A. Madeley.

Audit Independent Person: Mr Patrick Farmer

AGENDA

1. MINUTES

To authorise the Chair to sign the minutes of the meeting of the Audit and Standards Committee held on 20 June 2022 as a correct record of the proceedings.

2. APOLOGIES FOR ABSENCE

3. ADDITIONAL AGENDA ITEMS

To consider such other items as the Chair decides are urgent and due notice of which has been given to the Head of Paid Service by 12 Noon on the day of the meeting.

4. DISCLOSURE OF INTERESTS

To receive any disclosure by Members of personal and disclosable pecuniary interests in matters on the agenda, the nature of any interest and whether the Member regards the personal interest as prejudicial under the terms of the Code of Conduct. Members are reminded of the need to repeat their declaration immediately prior to the commencement of the item in question.

PART A - STANDARDS REPORTS - NONE

PART B - AUDIT REPORTS

5. REVIEW OF THE CONSTITUTION - PART 3, RESPONSIBILITY FOR

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For all enquiries please contact

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**FUNCTIONS - RECOMMENDATIONS OF THE CONSTITUTION REVIEW
STEERING GROUP** (Pages 3 - 22)

6. **ROTHER DC HOUSING COMPANY GOVERNANCE MONITORING** (Pages 23 - 32)
7. **ANNUAL GOVERNANCE STATEMENT 2021/22** (Pages 33 - 44)
8. **TREASURY MANAGEMENT UPDATE REPORT** (Pages 45 - 52)
9. **WORK PROGRAMME** (Pages 53 - 54)

Malcolm Johnston
Chief Executive

Agenda Despatch Date: 19 July 2022

Rother District Council

Report to: Audit and Standards Committee

Date: 27 July 2022

Title: Review of the Constitution - Part 3, Responsibility for Functions - Recommendations of the Constitution Review Steering Group

Report of: Malcolm Johnston, Chief Executive

Ward(s): -

Purpose of Report: To present amendments to Part 3, Responsibility for Functions of the Constitution for approval and adoption.

Officer

Recommendation(s): **Recommendations to COUNCIL:** That

- 1) the proposed amendments to Part 3, Responsibility for Functions of the Council's Constitution be approved and adopted;
- 2) the Chief Executive be granted delegated authority to amend the Planning Committee functions in light of legal advice;
- 3) the Human Resources Committee be scheduled to meet twice per year in April and October;
- 4) the Licensing and General Purposes Committee be scheduled to meet three times per year in January, May and September (a reduction of one); and
- 5) Group Leaders be requested to nominate Members to be appointed to the Human Resources Committee in accordance with the political balance requirements as set out in this report, provided that the Leader of the Council is one of the appointees from the relevant allocation.

Introduction

1. As Members may recall, earlier this year at the Annual Council Meeting, full Council approved a revised Constitution following the review undertaken by the Constitution Review Steering Group (CRSG).
2. At that time, it was noted that Part 3, Responsibility for Functions and Part 8, Delegations to Officers were still to be completed and would follow in the coming months.
3. The responsibility for considering and recommending changes to the Constitution has now moved from the Overview and Scrutiny Committee to this Committee, as set out in Article 15. This report brings forward the proposed amendments to Part 3, Responsibility for Functions. Work on Part 8, Delegations to Officers would commence following conclusion of the management reorganisation that was currently underway and was expected to be reported to Members by the end of year.

Considerations and Recommendations

4. The proposed amendments to Part 3, Responsibility for Functions, is set out at Appendix 1, with all proposed amendments shown. Relevant Heads of Service have been consulted and any amendments have been incorporated as well as amendments made as a consequence of changes to the Constitution already agreed.

Members' attention is drawn to the following:

Full Council – amendments pick up previous decisions.

Cabinet – clarification regarding membership of Cabinet; reference to the Employers Side function of the Local Staff Joint Committee removed as no longer exists.

Audit and Standards – Membership and restrictions on appointments clarified and general improvements.

- 3.3 (11) – New – Audit and Standards Committee now appoints an Audit Independent Person.
- 3.4 (9) and (10) - Regulatory framework amended to include new Constitutional role.
- 3.6 Standards Functions – (2) to include requirement to report annually to Full Council on ethical standards matters and (4) Member / Officer protocol.

Human Resources Committee - NEW

Licensing and General Purposes Committee

- Streamlined functions recommended by the Head of Environmental Services, Licensing and Community Safety – use a catch-all approach.
- General Licensing and Taxi and Private Hire Licensing Panels – as recommended by the Head of Environmental Services, Licensing and Community Safety.

Overview and Scrutiny Committee

Referral to the previously agreed Article 6 and streamlined so as not to duplicate information.

Substitute Scheme

This has been moved into Council Procedure Rules.

Planning Committee

A review of functions in comparison with Wealden District Council's Planning Committee functions has been undertaken, with proposed amendments shown in RED. The purple text is contained within our current functions and not in Wealden's. This section has been passed to the Council's Legal Service, provided by Wealden for their review. It is proposed that the Chief Executive be granted delegated authority to agree the final version of the delegations should there be any changes to that presented here.

Consequential Additional Recommendations – HR Committee

5. Until the concept of a new HR Committee had been agreed by Council in May, the consequential recommendations had not been formulated. The following matters therefore need to be considered and recommended to Council.

HR Committee

- The HR Committee be convened to meet in April and October each year, with the first meeting taking place in October 2022. Group Leaders be invited to nominate Members to be appointed to the Committee in accordance with the political balance requirements, with one of the seats allocated to the Leader of the Council, from the Leader's political grouping. The allocation being as follows:

Conservative Group = 3 seats

Liberal Democrat = 2 seats

Association of Independents = 2* seats

*one of these seats must be allocated to the Leader of the Council.

Licensing and General Purposes Committee

6. Due to the reduction in workload for the Licensing and General Purposes Committee, the Licensing and General Purposes Committee be scheduled to meet three times per year (a reduction of one). It is recommended that the Committee meets in January, May and September.

Environmental Implications

7. Rother District Council's Environment Strategy sets out the Council's vision for reducing our impact on the environment and our commitment to make Rother District carbon neutral by 2030.
8. By regularly reviewing the way the Council operates will ensure that the Council continues to change and adapt to help reduce its carbon footprint and the Constitution will continue to evolve to meet the challenge.

Risk Management

9. The Council is required to have an up-to-date Constitution available at all times. The risk of having a Constitution that is difficult to understand may lead to Members and officers not acting in accordance with the Constitution which could result in potential challenge, maladministration and reputational damage.

Conclusions

10. Members are asked to consider and recommend this further part of the Constitution to Council.

Other Implications	Applies?	Other Implications	Applies?
Human Rights	No	Equalities and Diversity	No
Crime and Disorder	No	Consultation	No
Environmental	Yes	Access to Information	No

Risk Management		Yes	Exempt from publication	No
Chief Executive:	Malcolm Johnston			
Report Contact Officer:	Lisa Cooper, Democratic Services Manager			
e-mail address:	lisa.cooper@rother.gov.uk			
Appendices:	Appendix 1 – Proposed Amendments – Part 3 Responsibility for Functions			
Relevant previous Minutes:	OSC21/60 – Overview and Scrutiny CB21/103 – Cabinet C22/15 – Council			

Part 3

Responsibility for Functions

1. Council

1.1 **Membership:** All 38 Elected Members **of the Council.**

1.2 Functions and Delegations

- (a) Adopting and changing the Constitution, **save for consequential legislative and other minor amendments delegated to the Chief Executive and Monitoring Officer***.
- (b) Approving or adopting the policy framework and the budget in accordance with Article 4 of the Constitution including the **Corporate Plan, and any Plans and Strategies which the Council has decided should be adopted.**
- (c) Subject to the urgency procedure contained in the Access to Information Procedure Rules in Part 4 of this Constitution, making decisions about any matter in the discharge of an Executive function which is covered by the policy framework or the budget where the decision maker is minded to make it in a manner which would be contrary to the policy framework or contrary to/or not wholly in accordance with the budget.
- (d) Appointing the Leader of the Council.
- (e) Agreeing and/or amending the terms of reference for Committees, deciding on their composition and making appointments to them.
- (f) The appointment of any individual:
 - (1) to any office other than an office in which they are employed by the authority;
 - (2) to any body other than –
 - (i) the authority;
 - (ii) a joint Committee of two or more authorities; or
 - (3) to any Committee or Sub-Committee of such a body,
 and the revocation of any such appointment; *
- (g) Adopting an allowances scheme under Article 2.5.
- (h) Changing the name of the District (Section 74 of the Local Government Act 1972).
- (i) Changing the name of a Parish (Section 75 of the Local Government Act 1972).

- (j) Conferring the title of Honorary Alderman or admitting to be an Honorary Freeman (Section 249 of the Local Government Act 1972).
- (k) Petitioning for a charter to confer borough status (Section 245b of the Local Government Act 1972).
- (l) Confirming the appointment of the Head of Paid Service **the Monitoring Officer and Chief Finance Officer (Section 151 Officer)**.
- (m) **Taking the final decision to dismiss the Head of Paid Service, Monitoring Officer and Chief Finance Officer (Section 151 Officer)**.
- (n) Making, amending, revoking, re-enacting or adopting bylaws and promoting or opposing the making of local legislation or personal Bills.
- (o) **Adopting a Code of Conduct and agreeing any amendments to it.**
- (p) All other matters which, by law, must be reserved to Council.

*(*Local choice functions determined at the discretion of the Council to be the responsibility of the Council rather than the Executive).*

2. Cabinet

2.1 **Membership:** Leader and at least one but no more than nine further Members of the Council, **one of whom will be appointed by the Leader as the Deputy Leader.**

2.2 **Restrictions on Membership**

- (1) **Members of Cabinet are excluded by statutory rules from appointment to any Overview and Scrutiny Committee as either a Substantive or Substitute Member.**
- (2) **The Chair and Vice-Chair of the Council are excluded by statutory rules from appointment to the Cabinet.**

2.3 **Functions and Delegations**

- (1) To propose the budget and policy framework for approval by the Council.
- (2) To carry out all of the Council's functions and take all decisions except:
 - (a) those reserved to Council, the Audit and Standards Committee, **Human Resources Committee**, Licensing and General Purposes Committee and Planning Committee; and
 - (b) those delegated to the officers,

providing those decisions are within the approved budget and policy framework; and
- (3) To refer matters including the review of strategies and policies to the Overview and Scrutiny Committee for consultation, investigation and report.

3. Audit and Standards Committee

3.1 Membership:

- (1) Eight Members of the Council in accordance with political balance, excluding Members of the Executive.
- (2) Two non-voting co-opted Members of Parish and Town Councils wholly in the Council's area, nominated by the Rother Association of Local Councils in respect of standards-related matters.
- (3) Two non-voting Independent Persons appointed in accordance with Section 28(7) of the Localism Act 2011 in respect of Standards-related matters.
- (4) One non-voting Audit Independent Person in respect of audit-related matters.

3.2 Restrictions on Membership

The Leader of the Council is excluded by statutory rules from appointment as Chair of the Audit and Standards Committee and the Council has chosen to exclude all Members of Cabinet from appointment to the Audit and Standards Committee.

Audit Functions

3.2 Functions and Delegations

Statement of Purpose

When carrying out the Audit functions and delegations, the purpose of the Committee is to provide independent assurance of the adequacy of the risk management framework and the associated control environment, independent scrutiny of the authority's financial and non-financial performance to the extent that it affects the authority's exposure to risk and weakens the control environment, and to oversee the financial reporting process.

3.3 Audit Activity

- (1) To consider the Audit Manager's annual audit report and opinion, and a summary of internal audit activity.
- (2) To approve the internal audit strategy, plan and monitor performance.
- (3) To consider summaries of internal audit reports setting out the main audit findings and level assurance given to each area reviewed.
- (4) To consider reports from internal audit on agreed recommendations not implemented and consider their impact on the overall control environment.
- (5) To ensure there is an effective working relationship between external audit and internal audit.
- (6) To consider the External Auditor's annual planning letter and comment on the scope and depth of external audit work and ensure it gives value for money.
- (7) To consider the External Auditor's annual governance report regarding issues

affecting the control environment and governance reporting.

- (8) To consider the Council's audit risk assessment response to the External Auditor.
- (9) To consider specific reports as agreed with the External Auditor.
- (10) To consider the governance arrangements for the management and monitoring of the Council's significant partnerships and wholly or partly owned council commercial entities.
- (11) To consider and recommend to Council the appointment of one Audit independent person.

3.4 Regulatory Framework

- (1) To maintain an overview of the procurement procedure rules, financial procedure rules and codes of conduct and behaviour (other than the Code of Conduct for Members).
- (2) To review any issue referred to it by the Chief Executive, or any council body.
- (3) To monitor the effective development and operation of risk management and corporate governance in the Council.
- (4) To monitor council policies on 'Raising Concerns at Work' and the anti-fraud and corruption strategy and the Council's complaints process.
- (5) To oversee the production of the Council's Annual Governance Statement and to recommend its adoption.
- (6) To consider the Council's arrangements for corporate governance and agreeing necessary actions to ensure compliance with best practice.
- (7) To consider the Council's compliance with its own and other published standards and controls.
- (8) To ensure effective scrutiny of the treasury management strategy and policies.
- (9) To monitor and review the operation of the Constitution to ensure that the aims and principles of the Constitution are given full effect.
- (10) To consider and recommend to Council and proposed changes to the Constitution.

3.5 Accounts

- (1) To review the annual statement of accounts. Specifically to consider whether appropriate accounting policies have been followed and whether there are concerns arising from the financial statements or from the audit that need to be brought to the attention of the Council. To agree the signing of the accounts following the review.
- (2) Approving the Authority's statement of accounts, income and expenditure and balance sheet or records of receipts and payments (as the case may be). (The

Accounts and Audit Regulations).

- (3) To consider the External Auditor's annual audit report on issues arising from the audit of the accounts.

Standards Functions

3.6 Functions and Delegations

- (1) To promote and maintain high standards of conduct by Members and Co-opted Members of the Council. [Section 27(1)]
- (2) To report annually to Full Council on ethical standards matters.
- (3) To consider and recommend to Full Council the Members' Code of Conduct dealing with the conduct expected of Members and Co-opted Members of the Council when acting in that capacity [Section 27(2)] and including provision in respect of the registration and disclosure of
 - a) Pecuniary interest; and
 - b) Interests other than pecuniary interests. [Section 28(2)]
- (3) To consider and recommend to Full Council revisions to the existing Code of Conduct or adopt a replacement Code of Conduct. [Section 28(5)]
- (4) To consider and recommend to Full Council any other code or protocol relating to standards of conduct throughout the Council, including the Member / Officer protocol and the Officer Code of Conduct.
- (5) Duty to put in place arrangements to investigate and make decisions on written allegations that a Member or Co-opted Member of the Council has failed to comply with the Code of Conduct. [Section 28(6)]
- (6) To consider and recommend to Council the appointment of one or more independent persons for the following purposes:
 - a) To give the Council views on any allegations it has decided to investigate, before a decision is reached;
 - b) At the discretion of the Council, to give the Council views on any other allegations; and
 - c) At the discretion of a Member, Co-opted Member or Member of a Parish or Town Council, to give the Member views on any allegations relating to the behaviour of that Member. [Section 28(7)]
- (7) Power to have regard to a Member's or Co-opted Member's failure in complying with the Code of Conduct, in deciding whether to take action in relation to that Member and what action to take.
- (8) To consider and recommend to Full Council the making of Standing Orders to provide for the exclusion of a Member or Co-opted Member of the Council from a meeting while any discussion or vote takes place in which that person may not participate. [Section 31(10)]
- (9) Power to grant a Member or Co-opted Member a dispensation from the restriction on speaking and/or voting when any matter in which that person has

a disclosable pecuniary interest is to be considered at a meeting of the Council or any of its committees, sub-committees, joint committees or joint sub-committees. **To be exercised by the Monitoring Officer.**

- (10) Power to revise and keep under review all other codes and protocols relating to standards of conduct throughout the Council, including the Member / Officer Protocol and the Officer Code of Conduct.
- (11) Overview of complaints handling and Local Government and Social Care Ombudsman investigations, including the power to make payments or other benefits in cases of maladministration etc. (Section 92 of the Local Government Act 2000).

4. Human Resources Committee

4.1 Membership:

Seven Members of the Council appointed in accordance with political balance requirements, one of which will be the Leader of the Council, whose Portfolio contains Human Resources.

- 4.2 The Human Resources committee considers all matters relating to Human Resources within the council. This includes the approval of policies and staff retention packages. The committee receives reports from the Human Resources Manager twice a year on the operational management of the organisation, highlighting fluctuations in trends on indicators affecting the staff resources of the Council, such as sickness, recruitment and equal opportunities.

Functions and Delegations

- 1. Functions relating to Local Government pensions, etc. (Regulations under section 7, 12 or 24 of the Superannuation Act 1972 (c. 11)).
- 2. Power to appoint staff, and to determine the terms and conditions on which they hold office (including procedures for their dismissal) (Section 112 of the Local Government Act 1972).
- 3. To determine annual pay awards within existing Council policy and budgetary provision.
- 4. Duty to make arrangements for proper administration of financial affairs etc. (Section 151 of the Local Government Act 1972).
- 5. Power to appoint officers for particular purposes (appointment of “proper officers”) (Section 270(3) of the Local Government Act 1972).
- 6. The making of agreements with other local authorities for the placing of staff at the disposal of those other authorities.*
- 7. Any other duties and powers in relation to the employment of staff not listed above.

(*Local choice functions determined at the discretion of the Council to be the responsibility of the Human Resources Committee rather than the Executive).

5. Licensing and General Purposes Committee

5.1 **Membership:** 12 Members of the Council.

5.2 **Mandatory Licensing and General Purposes Committee Training**

Members appointed to the Licensing and General Purposes Committee must attend mandatory licensing training, as prescribed by Legal Services before being selected to serve on a Licensing Panel. It will also be necessary for Members to attend continuous refresher training as and when provided.

5.3 **Functions and Delegations**

To carry out all of the Council's functions as set out below and take all decisions except those delegated to the officers, provided that:

- (a) Any Member of the Council (who is not a Member of the Committee) may speak at meetings of the Committee on an issue which alone affects the Ward which the Member represents on the Council;
 - (b) Any other Member of the Council (who is not a Member of the Committee) may speak at meetings of the Committee only on invitation by the Chair of the Committee;
 - (c) Three Members of the Committee may, at a meeting of the Committee when a resolution is under consideration and before it is passed, veto any item being dealt with in such manner and require submission to the Council for confirmation.
- 1. To recommend to Council the adoption of statutory Licensing Policies.
 - 2. To set fees and charges for licences and permits.
 - 3. To adopt standard conditions for licences.
 - 4. To designate consent and prohibited streets for the purposes of street trading.
 - 5. To agree hackney carriage fares.
 - 6. Duties and powers in relation to elections and parish councils.
 - 7. Any other duties or powers not being an Executive function or function of another committee.

6. General Licensing Panel (Licensing Sub-Committee)

6.1 **Membership:** Three Members of the Licensing and General Purposes Committee.

Ward Members can address a General Licensing Panel only if they have made a relevant representation or have been asked to represent the views of objectors who have made relevant representations within the prescribed timescales. There is no general right to address a General Licensing Panel as Ward Member.

6.2 Functions and Delegations

1. Powers for the grant (with conditions), refuse, suspend or revoke:

Approved premises, consents, licences, notices, permits and registrations issued or received by the Council;
that are not solely designated as Executive functions;
except those delegated to the Taxi and Private Hire Panel.

2. The determination of an appeal against any decision made by or behalf of the authority, not delegated to the Taxi and Private Hire Panel.

7. Taxi and Private Hire Licensing Panel (Licensing Sub-Committee)

- 7.1 **Membership:** Three Members of the Licensing and General Purposes Committee.

7.2 Functions and Delegations

1. Powers for licensing hackney carriages, hackney carriage and private hire drivers, private hire operators and vehicles: These provisions include the issues of grant (with conditions), refusal, suspension, and revocation of driver, operator and vehicle licences, and applications for exemptions.
2. Power to administer penalty points under the Council's Penalty Scheme for drivers and operators reported to the Panel for breaches of the scheme.
3. Determine appeals in relation to the licensing of hackney carriages, hackney carriage and private hire drivers, private hire operators and vehicles.

8. Overview and Scrutiny Committees

- 8.1 **Membership: 12 Non-Executive Members of the Council**

- 8.2 **General Role and Specific Functions**

The General Role and Functions of the Overview and Scrutiny is set out in Article 6 of this Constitution.

- 8.3 **Task and Finish Groups**

In fulfilling their functions, Overview and Scrutiny Committees may, between them, create up to a maximum of four active Task and Finish Groups at any one time. The size, quorum and political make up to be at the discretion of the Overview and Scrutiny Committees, with membership open to non Members of

the Council. In creating such Task and Finish Groups, consideration needs to be given to ensure that no “undue burdens” are placed on one specific service area.

9. Planning Committee

9.1 **Membership:** 14 Substantive Members of the Council. One substitute Member may be appointed by each political group on the Committee.

9.2 **Mandatory Planning Committee Training**

Members appointed to the Planning Committee must attend an annual mandatory training session, as prescribed by the Development Manager and in consultation with the Chair of the Planning Committee, before taking part in the decision making process. This applies to both Substantive and Substitute Members. It will also be necessary for Planning Committee Members to attend continuous refresher training as and when provided, and advisory for Substitute Members.

9.3 **Functions and Delegations**

To carry out all of the Council’s functions as set out below and take all decisions except those delegated to the officers, provided that:

- (a) in relation to the determination of all applications for planning permission (including applications for development made by the Council) a reference to full Council may be made by any three Members of the Committee indicating that it is their wish that an application be referred to full Council.

A reference to full Council must include, at the time of reference, a proposed motion of either refusal or approval with, in the case of refusal, the reasons for refusal and in the case of approval, any condition to be attached thereto; the item printed in the Council agenda will contain the Committee recommendation with the counter motion which may be moved.

- (b) in relation to all non-application matters, any other Member of the Council (who is not a Member of the Committee) may speak at meetings of the Committee only on invitation by the Chair of the Committee.

1. Power to determine applications for planning permission (Sections 70(1)(a) and (b) and 72 of the Town and Country Planning Act 1990 (c.8)).
2. Power to determine applications to develop land without compliance with conditions previously attached (Section 73 of the Town and Country Planning Act 1990).
3. Power to grant planning permission for development already carried out (Section 73A of the Town and Country Planning Act 1990).
4. Power to decline to determine applications for planning permission (Section 70A of the Town and Country Planning Act 1990).

5. Duties relating to the making of determinations of planning applications (Sections 69, 76 and 92 of the Town and Country Planning Act 1990 and Articles 8, 10 to 13, 15 to 22 and 25 and 26 of the Town and Country Planning (General Development Procedure) Order 1995 (S.I. 1995/419) and directions made thereunder).
6. Power to determine applications for planning permission made by a local authority, alone or jointly with another person (Section 316 of the Town and Country Planning Act 1990 and the Town and Country Planning General Regulations 1992 (S.I. 1992/1492))
7. Power to make determinations, give approvals and agree certain other matters relating to the exercise of permitted development rights (Parts 6, 7, 11, 17, 19, 20, 21 to 24, 26, 30 and 31 of Schedule 2 to the Town and Country Planning (General Permitted Development) Order 1995 (S.I. 1995/418)).
8. Power to enter into agreements regulating development or use of land (Section 106 of the Town and Country Planning Act 1990) **and to determine applications to discharge or modify planning obligations under Section 106A and respond to appeals under Section 106B.**
9. Power to issue a certificate of existing or proposed lawful use or development (Sections 191(4) and 192(2) of the Town and Country Planning Act 1990) **and Article 24 and Schedule 4 of the Town and Country (General Development Procedure) Order 1995).**
10. Power to serve a completion notice (Section 94(2) of the Town and Country Planning Act 1990).
11. Power to grant consent for the display of advertisements (Section 220 of the Town and Country Planning Act 1990 and the Town and Country Planning (Control of Advertisements) Regulations 1992) **and to enforce against advertisements displayed in contravention of the regulations under the said regulations and under Sections 224 and 225 of the Town and Country Planning Act 1990.**
12. Power to authorise entry onto land **and to obtain (Sections 196A 324 and 325 of the Town and Country Planning Act 1990) and to prosecute for wilful obstruction under S.196C and 325.**
13. Power to require the discontinuance of a use of land **or alternation or removal of development (Section 102 of the Town and Country Planning Act 1990) and to prosecute breaches under Section 189 and enforce compliance under Section 190.**
14. Power to serve a planning contravention notice, breach of condition notice or stop notice (Sections 171C, 187A and 183(1) of the Town and Country Planning Act 1990).
15. Power to issue an Enforcement Notice (Section 172 of the Town and Country Planning Act 1990) **and a stop notice under Section 183; to withdraw, waive or relax and enforcement notice under Section 173 and a stop notice under Section 183(7); to prosecute for breaches of an enforcement notice under Section 179 and a stop notice under Section 187 of the Town and Country Planning Act 1990.**

16. Power to apply for an injunction restraining an actual or apprehended breach of planning control (Section 187B of the Town and Country Planning Act 1990).
17. Power to determine applications for hazardous substances consent, and related powers (Sections 9(1) and 10 of the Planning (Hazardous Substances) Act 1990 (c. 10)).
18. Duty to determine conditions to which old mining permissions, relevant planning permissions relating to dormant sites or active Phase I or II sites, or mineral permissions relating to mining sites, as the case may be, are to be subject (Paragraph 2(6)(a) of Schedule 2 to the Planning and Compensation Act 1991, paragraph 9(6) of Schedule 13 to the Environment Act 1995 (c. 25) and paragraph 6(5) of Schedule 14 to that Act).
19. Power to require proper maintenance of land (Section 215(1) of the Town and Country Planning Act 1990) and respond to appeals under Sections 217 and 218. The power to prosecute under Section 216 and to carry out works in default and recover costs under Section 219.
20. All the powers given to the Council under the Planning (Listed Buildings and Conservation Areas) Act 1990 and including without prejudice to the generality of the foregoing the following powers:
 - (a) Power to determine applications for listed building consent, and related powers (Sections 16, 17, 27 and 33 of the Planning (Listed Buildings and Conservation Areas) Act 1990 (c.9)).
 - (b) Power to determine applications for conservation area consent (Section 16(1) of the Planning (Listed Buildings and in Conservation Areas) Act 1990, as applied by Section 74(3) of that Act).
 - (c) Duties relating to applications for listed building consent and conservation area consent (Sections 13 and 14 of the Planning (Listed Buildings and in Conservation Areas) Act 1990 and regulations 3 to 6 and 13 of the Town and Country Planning (Listed Buildings and Conservation Areas) Regulations 1990 and paragraphs 8, 15 and 22 of Department of the Environment Circular 14/97).
 - (d) Power to serve a building preservation notice, and related powers (Sections 3 and 4 of the Planning (Listed Buildings and in Conservation Areas) Act 1990).
 - (e) Power to issue enforcement notices in relation to demolition of unlisted building in conservation area (Section 38 of the Planning (Listed Buildings and Conservation Areas) Act 1990).
 - (f) Power to compulsorily acquire a listed building in need of repair and to serve a repairs notice (Sections 47 and 48 of the Planning (Listed Buildings and Conservation Areas) Act 1990) and the payment of compensation under Sections 49-51 and the power to acquire land by agreement under Section 52.
 - (g) Power to apply for an injunction in relation to a listed building. (Section 44A of the Planning (Listed Buildings and Conservation Areas) Act 1990).
 - (h) Power to execute urgent works and recover expenses (Sections 54 and 55 of the Planning (Listed Buildings and Conservation Areas) Act 1990).
 - (i) Power to prosecute for breaches of the Planning (Listed Buildings and Conservation Areas) Act 1990.

21. Power to make and confirm a tree preservation order under Sections 198 to 201 of the Town and Country Planning Act 1990 and the Town and Country Planning (Trees) Regulations 1999 (S.I. 1999/1892) and to compensate for loss or damage pursuant to an order under Sections 203-205 of the Town and Country Planning Act 1990.
22. Power to enforce the duty in Section 206 to replace trees the subject of a tree preservation order by the service of a notice under Section 207 and to the execution of works and the recovery of costs under Section 209 of the Town and Country Planning Act 1990.
23. Power to prosecute for a contravention of a tree preservation order under Section 210 of the Town and Country Planning Act 1990.
24. Power to enforce the preservation of trees in a conservation area by a prosecution under Section 211 and to enforce the duty to replace trees in conversation areas under Section 213 of the Town and Country Planning Act 1990.
25. The power under Section 214A of the Town and Country Planning Act 1990 to apply to the court for injunction for an actual or apprehended offence under Sections 210 or 211 of the said 1990 Act.
26. All the powers given to the Council under the Building Act 1984 and by all orders and regulations made thereunder and without prejudice to the generality of the foregoing the power to issue a notice under Section 36 Building Act 1984 to pull down, alter or remove works carried out contrary to the Building Regulations or carried without plans having been deposited or not in compliance with the requirement in plans that have been passed; together with the power under that Section to carry out works in default and to recover the costs incurred by the Council. The power to pay for reports under Section 37 and to defend appeals under Section 39 and 40 Building Act 1984.
27. All the powers given to the Council in respect of building works, the condition, use and safety of buildings and premises under the Public Health Acts 1875 – 1961, the Fire Precautions Act 1971, the Defective Premises Act 1972, the Highways Act 1980, the Chronically Sick and disabled Act 1970, the Clean Air Act 1993, the Disability Discrimination Act 1996 and the East Sussex Act 1984 including any statutory amendments made thereto and all orders and regulations made thereunder.
28. All the powers given to the Council under the Hedgerows Regulations 1997 (S.I. 1997/1160), and Part 8 of the Anti-Social Behaviour Act 2003.
29. Making of Limestone Pavement Orders (Section 34(2) of the Wildlife and Countryside Act 1981 (c. 69)).
30. Power to extinguish, divert and create footpaths and bridleways pursuant to Sections 116-121 Highways Act 1980; the power to apply to the Secretary of State to make an order extinguishing vehicular rights on the highway under Section 249 of the Town and Country Planning Act 1990 and to extinguish public rights of way over land held for planning purposes under Section 251 following the procedures set out in Section 252; the power to make an order to stop up or divert any footpath or bridleway to enable development to be

carried out under Section 257 of the Town and Country Planning Act 1990 or under Section 258 where the land is held for planning purposes subject to confirmation under Section 259.

31. Power to serve a planning contravention notice to obtain information relating to land under Section 171C and to prosecute under Section 171D of the Town and Country Planning Act 1990 for a failure to comply with the notice; the power to service a notice requiring particulars of a person's interest in land under Section 16 of Local Government (Miscellaneous Provisions) Act 1976 including the power to prosecute for a failure to comply with the notice.
32. Power to enter into agreements with respect to means of access (Section 35 of the Countryside and Rights of Way Act 2000 (c.37)).
33. Power to provide access in absence of agreement (Section 37 of the Countryside and Rights of Way Act 2000).
34. Any other Planning issue appropriate for delegation to the Planning Committee.

*(*Local choice functions determined at the discretion of the Council to be the responsibility of the Planning Committee rather than the Executive).*

9.4 Planning Committee – Other Matters

1. Formal Site Visits – Members of the Planning Committee are expected to attend formal site visits organised by officers. Members who are not present at the formal site visits will be permitted to stay and contribute to the debate and vote on the relevant application(s).
2. Member Referrals – Members who have called in a planning application to be considered by the Planning Committee must attend the relevant meeting, send a Member on their behalf or provide an apology / reason for non-attendance. **In the interests of ethics and probity Members are NOT able to call in an application in which they have a disclosable pecuniary interest or personal and prejudicial interest.**

9.5 Members' Rights to Speak at Planning Committee

- (1) Members of the Council who are not Members of the Planning Committee may attend and speak to planning applications at meetings of the Committee for a maximum of five minutes.
- (2) Members of the Council who are not Members of the Planning Committee may attend and speak to planning applications at meetings of the Committee that are subject to the public speaking scheme for a maximum of five minutes which may be interspersed throughout the Committees' deliberations.
- (3) Members of the Council who are not Members of the Planning Committee who attend and speak to planning applications at meetings of the Committee that are subject to the public speaking scheme are encouraged to submit a brief summary of the issues in advance of the meeting to be circulated to Members of the Planning Committee.
- (4) The Chair of the Planning Committee will exercise discretion at all times in relation speakers and the length of time allowed to speak.

Parish and Town Council Speaking Rights at Planning Committee

- (1) A formally nominated representative of a relevant Parish or Town Council may register to speak at a Planning Committee meeting on:

- an individual householder planning application;
- any minor/other planning application including any non-major planning application (i.e. listed planning consents or developments up to nine units or up to 1,000sqm of commercial floor space; and
- any major planning application of 10 units and above or above 1,000sqm of commercial floor space.

subject to the following restrictions:

- a) the Parish or Town Council must have made a submission on the application before the Agenda was published;
 - b) pre-registered their wish to speak, confirmed they are the formally nominated representative of the Parish or Town Council, identified the agenda item they wish to speak to and confirmed their contact details;
 - c) only one representative may register to speak in favour of or against any application and at the meeting may only speak for a maximum of five minutes;
 - d) where the application relates to a development on the parish boundary, only one speaker will be permitted as nominated by the Parish or Town Council by resolution.
- (2) Planning applications which are decided by officers under the Council's scheme of delegation do not come before the Planning Committee and Parish or Town Council speaking rights do not apply in respect of them.
- (3) The Chair of the Planning Committee will exercise discretion at all times in relation speakers and the length of time allowed to speak.

9.6 Public Speaking Rights at Planning Committee

- (1) A member of the public may register to speak at a Planning Committee meeting on:

- an individual householder planning application;
- any minor/other planning application including any non-major planning application (i.e. listed planning consents or developments up to nine units or up to 1,000sqm of commercial floor space; and
- any major planning application of 10 units and above or above 1,000sqm of commercial floor space.

subject to the following restrictions:

- a) the member of the public must have made a submission on the application before the Agenda was published;

- b) pre-registered their wish to speak, identified the agenda item they wish to speak to and confirmed their contact details;
 - c) where the application before the Committee is an individual householder planning application only one member of the public may register to speak in favour of or against the application and at the meeting may only speak for a maximum of five minutes;
 - d) where the application before the Committee is a 'minor application' no more than two members of the public may register to speak in favour of or against the application and at the meeting each person may only speak for a maximum of five minutes;
 - e) where the application before the Committee is a 'major application' no more than three members of the public may register to speak in favour of or against the application and at the meeting each person may only speak for a maximum of five minutes.
- (2) Planning applications which are decided by officers under the Council's scheme of delegation do not come before the Planning Committee and public speaking rights do not apply in respect of them.
- (3) Planning Applications that have already been subject to the public speaking scheme and deferred and reconsidered by the Planning Committee will not usually be subject to public speaking at the subsequent meeting unless any new material planning information has been presented. Each case will be decided on its merits by the Development Manager, in consultation with the Chair of Planning Committee.
- (4) The Council's Code of Practice for the scheme can be found on the website at the following link:
- <http://www.rother.gov.uk/speakingatplanningcommittee>

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Rother District Council

Report to:	Audit and Standards Committee
Date:	27 July 2022
Title:	Rother DC Housing Company Governance Monitoring
Report of:	Malcolm Johnston, Chief Executive / Joe Powell, Chief Operating Officer (Rother DC Housing Company Ltd)
Purpose of Report:	To provide an update on the present governance arrangements of Rother DC Housing Company and the arrangements for the local authority's governance of its wholly owned company.
Officer Recommendation(s):	It be RESOLVED: That the present governance arrangements of Rother DC Housing Company Ltd and the arrangements of the local authority's governance of its wholly owned company be noted.

Introduction

1. On 27 July 2020, Cabinet approved the Articles of Association and the Shareholders Agreement and appointed directors to enable the incorporation of Rother District Council's local housing company (Minute CB20/21 refers). Note that the company recently changed its name from Alliance Homes (Rother) Limited to Rother DC Housing Company Ltd (RDCHC).
2. The report will provide an update on the governance arrangements of RDCHC as well as the Council's arrangements for the governance of RDCHC. The update has been informed by a recent report, 'Local Authority Company Review Guidance (Local Partnerships LLP 2021)', a link to which can be found within the reference documents section of this report. It is recommended that all officers and Members of the Council with an interest in the governance of RDCHC review sections 1 to 4 of this guidance.
3. The purpose of RDCHC governance arrangements is to ensure that RDCHC has enough freedom to achieve its objectives; while the Council has enough control to ensure that its investment is protected, returns on investment can be secured and that RDCHC activity is in keeping with the strategic objectives of the Council. The strategic objectives of RDCHC can be found within its published Business Plan 2022-25 (Minute CB21/86 refers).
4. The Audit and Standards Committee (A&SC) consider the governance arrangements for the management and monitoring of the Council's significant partnerships, hence it is the appropriate body to receive updates on the governance of RDCHC. The Overview and Scrutiny Committee (OSC) is the responsible body for scrutinising Council performance and that of its wholly owned entities. Once resources allow, the company intends to provide one standalone report to both the OSC and A&SCs. This will enable each committee

to review their focus area of responsibility, whilst having sight of the wider aspects.

5. Appendix 1 provides an overview of the present RDCHC structure, the shareholder's governance arrangements for its company and the interface between the two entities.
6. At the time of writing, the Blackfriars development remains a Council-led corporate plan project that is governed and overseen by the Council's Corporate Project Board. RDCHC continues to regularly review the Blackfriars scheme with the shareholder representative in order to continue to support the delivery of the Blackfriars project on terms to which all agree.

Governance Overview

Company governance

7. RDCHC Articles of Association were produced with Trowers & Hamlins to provide a framework for the governance of RDCHC. RDCHC has also recruited the services of a company secretary from the Council's shared legal service with Wealden District Council to support RDCHC's compliance with its Articles of Association and the Companies Act 2006.
8. RDCHC has been undertaking a review of its governance arrangements, since the appointment of a new Chief Operating Officer (COO) in January 2022. RDCHC and the Council have thus recognised the need for a more detailed review and has recently appointed an external consultant to undertake a review and position appraisal. The consultant is the former development director of a large housing development organisation, as well as presently supporting several other local authority housing companies. The review will focus on governance arrangements, as well as RDCHC's business plan and the performance of the development at Blackfriars.
9. Appendix 2 includes an outline of the governance arrangements and staffing resources the shareholder and company could adopt. The structure is an initial proposal that has been informed by advice from a range of sources including commissioned law firms, other local authority-owned housing companies and the Local Partnership LLP guidance. The structure is subject to further refinement by RDCHC and the shareholder representative, following the present review being undertaken by RDCHC's external consultant.
10. RDCHC has developed an issues and risk log and associated action plan for addressing a range of outstanding tasks related to governance that must be tackled to fulfil the ambitions of RDCHC's board and shareholder representative. The review to date has provided assurance to RDCHC's board that the Articles of Association and Shareholder Agreement are broadly effective and fit for purpose; however, there are aspects relating to governance that require improvement, these are summarised below:
 - a. Skills and resources - the level of resourcing and requisite skills and expertise for RDCHC to operate effectively in the longer-term. The COO function requires a professional with the requisite time, experience, skills and expertise for overseeing the delivery of RDCHC's ambitious business plan objectives. In addition, RDCHC's board is limited to political Members

and may require executive Members of the Council as well as independent non-executive Members with a range of knowledge and expertise from the financial management and residential property development sectors. The Board and officers are in the process of identifying appropriate personnel as part of the wider review that is underway.

- b. Company business plan - The function of the business plan, and RDCHC's performance against it, should provide the Council with comfort that its financial, social and environmental objectives can be met. The performance of RDCHC is reviewed on a weekly basis, between relevant officers of RDCHC and the Council. One issue identified is that the business plan contains several competing objectives, inherited from the shareholder, all of which may not be achievable in equal measure, within a fluctuating and uncertain economic environment. RDCHC is working to improve the detail within the business plan to include scheme appraisals, supporting financial analysis and communications and marketing approaches.
- c. Service Level Agreement (SLA) – the SLA between the Council and the shareholder, which defines the scope of the roles being undertaken by Council officers on behalf of RDCHC, is still being finalised. Appendix 1 indicates the various roles and responsibilities of company officers to the extent that the risk of conflicts of interest emerging is minimised; however, there is a need to finalise these arrangements into a formal SLA. Trowers & Hamlin has been instructed to support with producing this document which will be forthcoming.
- d. Internal audit – RDCHC anticipates the need to commission routine audits of its governance and financial procedures as part of the review.

Council governance of its company

- 11. RDCHC is not a department of the Council and is a non-contracting entity, albeit one that is wholly owned by the Council. RDCHC and its shareholder must avoid the risk that RDCHC drift into the status of a Teckal company. Teckal companies are subject to complex regulation and are subject to the same procurement regulations as the Council. Therefore, a Teckal company would not possess the same independence and agility to operate as a non-contracting entity. RDCHC continues to consult with its legal contractor Trowers & Hamlin to properly ensure the company's non-contracting status is maintained.
- 12. RDCHC continues to review with the shareholder representative the Council's arrangements for governing its company. The Shareholder's Agreement sets out the terms upon which the Council will participate in RDCHC as its shareholder. As with the Articles of Association, this document has been produced in consultation with legal support and has broadly been assessed as fit for purpose at this stage, although amendments may be required following the review.
- 13. The shareholder representative is presently reviewing how to achieve the requisite resources and structure to ensure RDCHC has enough freedom to operate, while ensuring its investment is protected, returns on investment can be secured and that company activity is in keeping with the strategic objectives of the Council. As already indicated, an initial structure and resource outline is attached at Appendix 2.

Next steps

14. At the time of writing, RDCHC is embarking upon a review of its governance arrangements and business plan; it expects this to be completed by the late summer 2022. The scope of the review will also inform the Council as to how it might adequately structure and resource itself to oversee the governance of RDCHC and ensure that its investment and return on investment is protected and that the values and strategic objectives of the Council are maintained.

Conclusion

15. RDCHC is still a relatively new entity and is embarking upon a high risk and marginally viable project at Blackfriars while it also finalises implementing its governance and finance policies and procedures. The report details several improvements that need to be achieved within both RDCHC's internal governance arrangements and the governance structures of the Council so that the requisite controls on RDCHC can be achieved, while allowing RDCHC the freedom to operate as a commercial entity and deliver the Council's objectives.

Financial Implications

16. There will be costs associated with the detailed review, which will be reported to Members, upon its conclusion.

Legal Implications

17. External legal advice has been obtained by both the Council and RDCHC in terms of their respective roles and functions.

Human Resources Implications

18. The human resource implications are detailed within the main body of the report.

Risk Management

19. The Council has approved up to £80m of investment in RDCHC for it to achieve its business plan objectives. The level of investment in RDCHC and its present marginally viable development at Blackfriars is a risk for the Council and the scheme must remain viable if it is to be delivered successfully. The governance arrangements of RDCHC and Council need to be robust, open and transparent, as well as adequately and appropriately resourced, to ensure that the investment is protected, risks are minimised, and RDCHC's business plan objectives achieved.

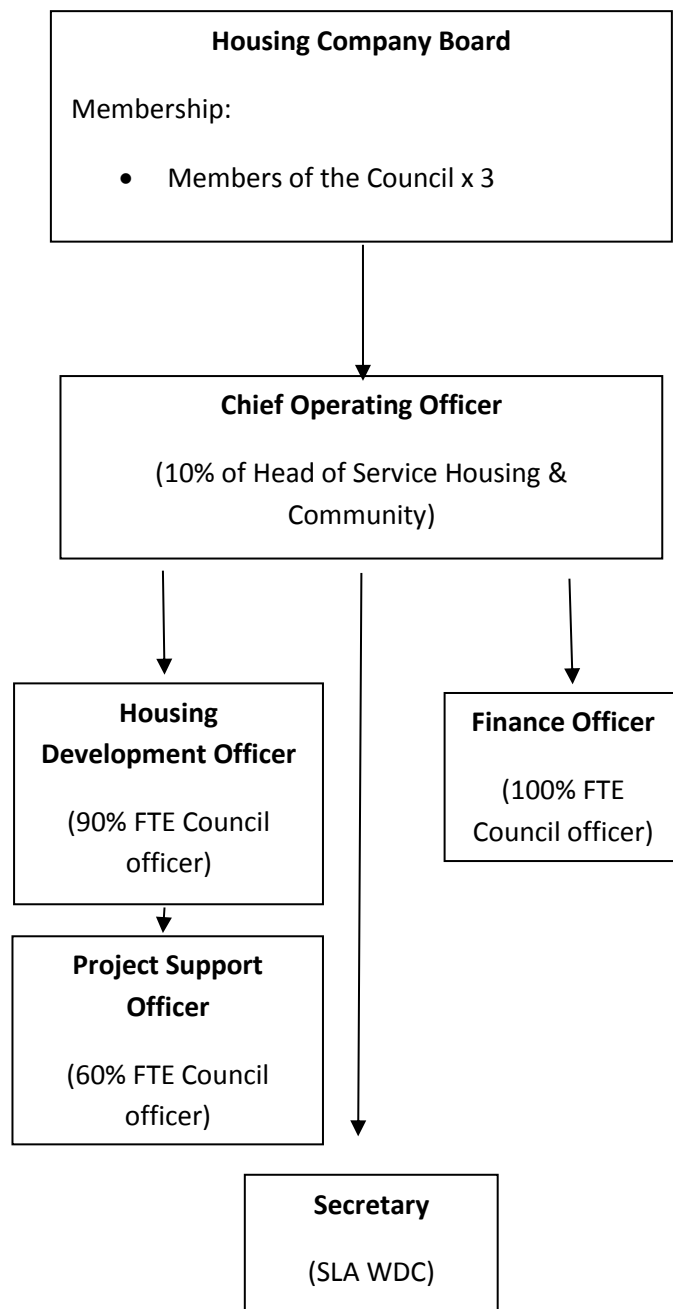
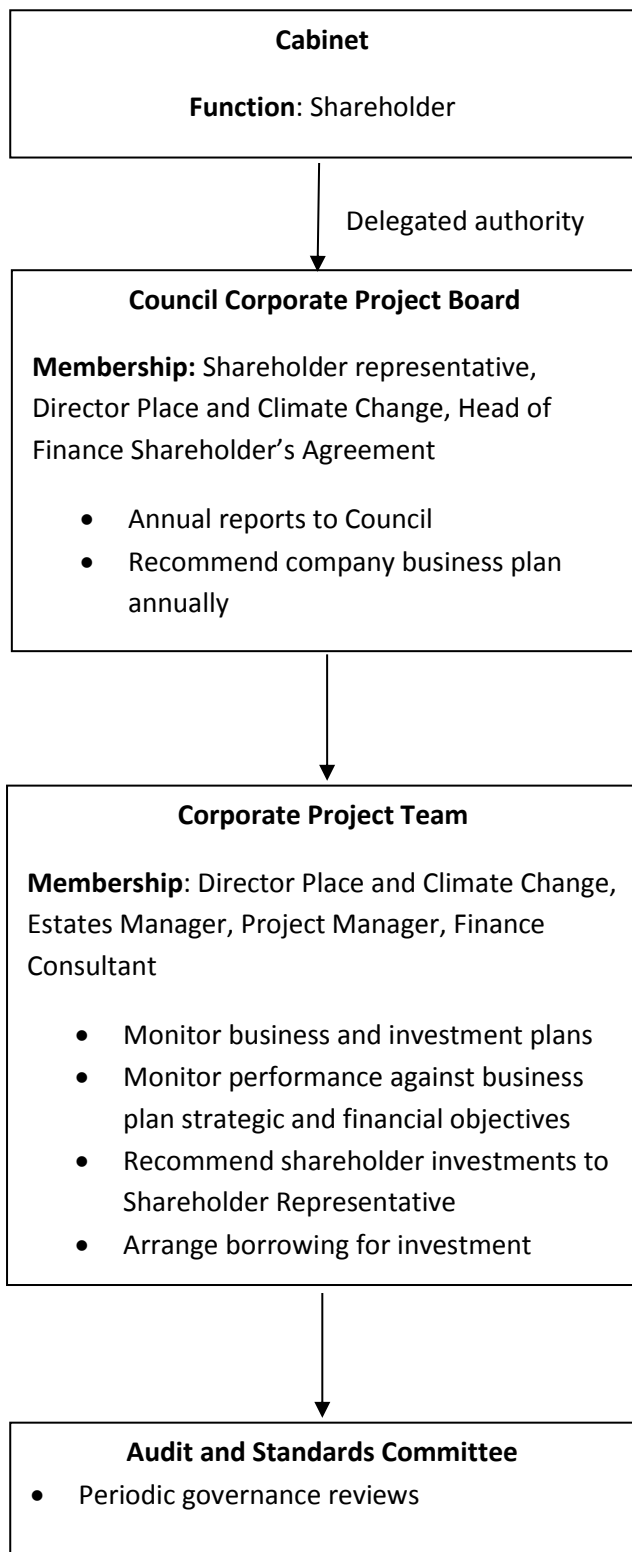
Other Implications	Applies?	Other Implications	Applies?
Human Rights	No	Equalities and Diversity	No
Crime and Disorder	No	External Consultation	No
Environmental	No	Access to Information	No
Risk Management	Yes	Exempt from publication	Yes/No

Chief Executive:	Malcolm Johnston
Report Contact Officer:	Malcolm Johnston

e-mail address:	malcolm.johnston@rother.gov.uk
Appendices:	A Governance of Housing Company (present) B Housing Company Governance Framework
Relevant Previous Minutes:	CB20/21 CB21/86
Background Papers:	Local Partnerships Local-authority company review guidance v1.pdf (localpartnerships.org.uk)
Reference Documents:	None

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Governance of Housing Company (present)



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Housing Company Governance framework

1. The purpose of this document is to demonstrate the structure and level of staffing resource required for the company to govern itself and operate effectively. In addition, the document will demonstrate how the Council, as shareholder, might resource and govern itself so it can protect its investment in the company and ensure its objectives are being met effectively.
2. The structure is an initial proposal that has been informed by advice from a range of sources including commissioned law firms, other local authority-owned housing companies and relevant guidance. The structure is subject to further refinement by the company and the shareholder representative, following the present review being undertaken by the company's external consultant.

Governance and resource risks

3. There is a risk of a conflict of interest for officers who are reporting to both the company board in a housing company context and the Council CEO in a Council context.
4. There is a risk that without dedicated officer support the shareholder representative and the Council may not be able to adequately monitor the company's performance against its stated objectives and Key Performance Indicators.
5. There is a risk that inadequate staff resources in the company mean it is not able to achieve its objectives.
6. There is a risk that the company board is ineffective in its management of the company if the directors do not have the full range of skills and experience required to oversee a development company.



Rother District Council

Report to: Audit and Standards Committee

Date: 27 July 2022

Title: Annual Governance Statement 2021/22

Report of: Antony Baden, Chief Finance Officer

Purpose of Report: To consider and agree the annual governance statement including reviewing the main governance issues affecting the Council during 2021/22.

Officer

Recommendation(s): It be **RESOLVED**: That:

- 1) the Annual Governance Statement be approved; and
- 2) the Statement be signed by the Leader of the Council and the Chief Executive.

Introduction

1. Governance comprises of the systems, processes, cultures and values by which local government bodies are directed and controlled. Through these four elements, they are held accountable by and engage with their communities. Good governance ensures that an organisation is doing the right things, in the right way, for the right people, and in a timely, open and accountable manner. There is a strong correlation between effective governance and effective service delivery, so in order to deliver the Council's ambitions strong governance arrangements are essential.
2. The Annual Governance Statement (AGS) at Appendix A comprises an assessment of governance arrangements and internal controls across the whole organisation against the Council's Code of Corporate Governance and whether these are supported by robust assurance processes. This review includes:
 - the robustness of the risk management, performance management, financial management, legal and regulatory, IT and human resources processes and having the evidence to support that these are in place;
 - the governance arrangements in place for the management of partnerships;
 - the work and effectiveness of the internal audit function; and
 - assurances from those managing the business that the processes in their area of business are robust and compliant.
3. The Accounts and Audit Regulations require that the Council reviews, at least annually, its governance arrangements and, following this, agrees an AGS for publication. It is still a requirement for the Council to demonstrate its awareness of where weaknesses exist within its governance arrangements and to develop and implement appropriate improvement plans. The annual review has assessed the Council against its Code of Corporate Governance. In

undertaking the annual review, the following sources of assurance were considered:

- Head of Service self-assessments of their service areas;
- Internal Audit reports for 2021/22;
- Annual Review of Internal Audit;
- External Audit reports; and
- Any other external review of Council services.

Review of Governance Issues

4. The review looked at issues arising from the various sources of assurance outlined above. The outcome of the review is set out in the Statement under the heading of Significant Governance Issues.

Conclusion

5. This report shows the robust approach the Council takes to ensuring good governance. The issues highlighted through inspection, both internal and external, provide assurance that the controls and procedures in place provide Members with a high degree of assurance. The report highlights the areas where improvement is required and highlights the risks to the Council and its partners resulting from the poor economic climate and the associated impact on funding in the public sector.

Other Implications	Applies?	Other Implications	Applies?
Human Rights	No	Equalities and Diversity	No
Crime and Disorder	No	External Consultation	No
Environmental	No	Access to Information	No
Risk Management	No	Exempt from publication	No

Report Contact Officer:	Antony Baden
e-mail address:	Antony.Baden@rother.gov.uk
Appendices:	Appendix A – Annual Governance Statement
Relevant Previous Minutes:	None.
Background Papers:	None.
Reference Documents:	None.

ROTHER DISTRICT COUNCIL ANNUAL GOVERNANCE STATEMENT

Scope of Responsibility

Rother District Council (RDC) is responsible for ensuring that its business is conducted in accordance with the law and proper standards, and that public money is safeguarded, properly accounted for, and used economically, efficiently and effectively. RDC also has a duty under the Local Government Act 1999 to make arrangements to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness.

In discharging this overall responsibility, RDC is responsible for putting in place proper arrangements for the governance of its affairs, which facilitate the effective exercising of its functions. This also includes making arrangements for the management of risk.

RDC has approved and adopted a local code of corporate governance, which is consistent with the principles of the CIPFA/SOLACE Framework Delivering Good Governance in Local Government. A copy of the Code is on the RDC website or can be obtained from the Council's Monitoring Officer, Town Hall, Bexhill-on-Sea, East Sussex, TN39 3JX or telephone 01424 787273. This statement explains how RDC has complied with the code and meets the requirements of regulation 4(2) of the Accounts and Audit Regulations 2015 in relation to the publication of a statement on internal control.

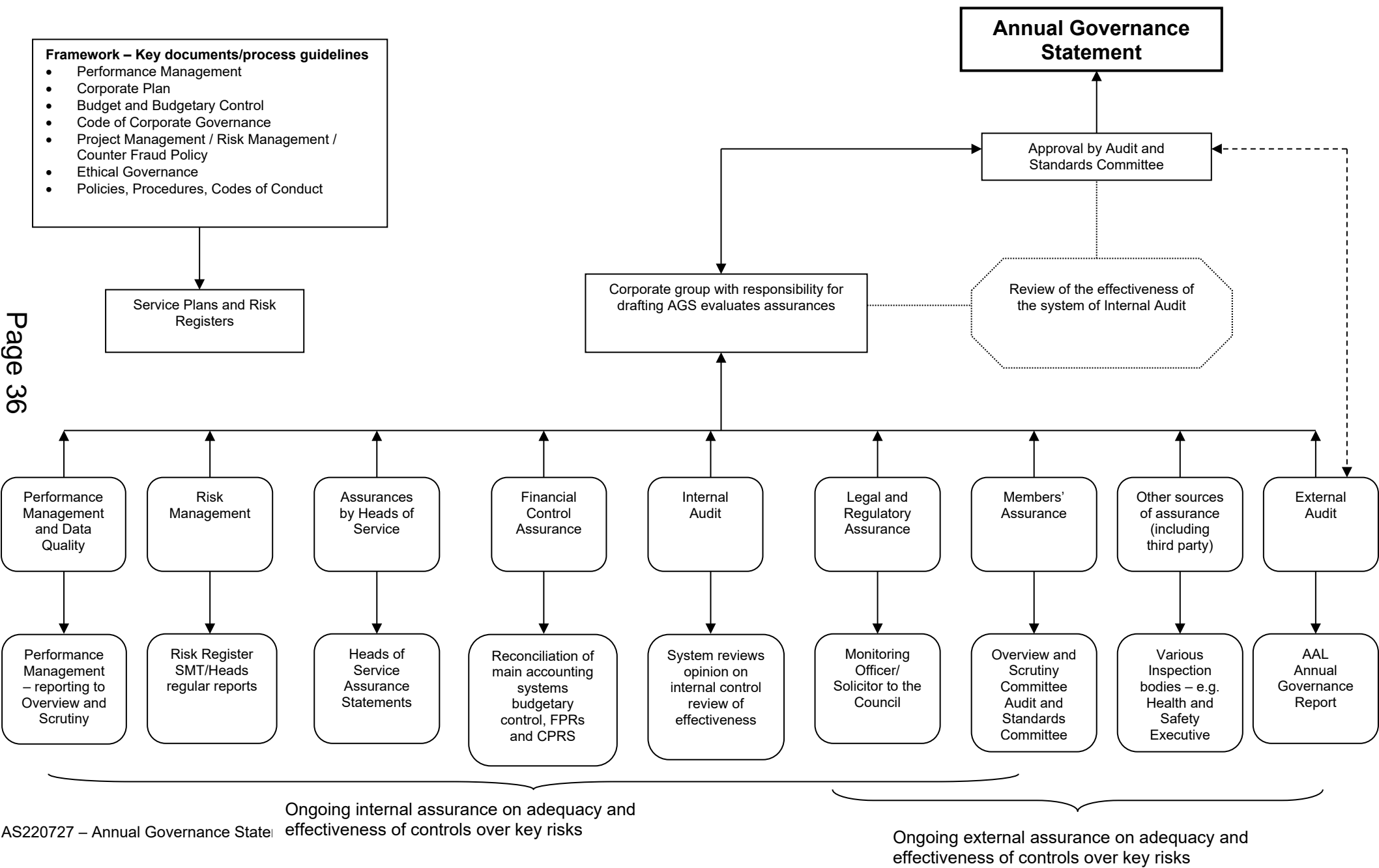
The Purpose of the Governance Framework

The governance framework comprises the systems, processes, culture and values by which the authority is directed and controlled. It enables the authority to monitor the achievement of its strategic objectives and to consider whether those objectives have led to the delivery of appropriate, cost-effective services.

The system of internal control is a significant part of that framework and is designated to manage risk to a reasonable level. It cannot eliminate all risk of failure to achieve policies, aims and objectives and can therefore only provide reasonable rather than absolute assurance of effectiveness. It is based on an on-going process designed to identify and prioritise the risks to the achievement of Rother's policies, aims and objectives, to evaluate the likelihood of those risks being realised and their impact should they be realised, and to manage them efficiently, effectively and economically.

The governance framework has been in place at Rother for the year ended 31 March 2022 and up to the date of approval of the statement of accounts.

ANNUAL GOVERNANCE FRAMEWORK TO 31 MARCH 2022



Review of Effectiveness

RDC has responsibility for conducting, at least annually, a review of the effectiveness of its governance framework including the system of internal control. The review of effectiveness is informed by the work of the Chief Executive within the authority who has responsibility for the development and maintenance of the governance environment, the Audit Manager's annual report, and also by comments made by the external auditors and other review agencies and inspectorates. The way the Council complied with the Code of Corporate Governance is explained below:

PRINCIPLE A – Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law

Legal and Regulatory Assurance

The role of Solicitor to the Council entails oversight of all the Council's legal dealings, including as necessary the sealing or signing of formal legal documents. The role of Monitoring Officer entails oversight of the Council's ethical framework, oversight of the Council's Constitution including the proper allocation of functions between the executive, regulatory and scrutiny limbs of the democratic machinery, and the statutory duty to report direct to full Council with respect to any breach of law. Key to the performance of the Monitoring Officer is the vetting of the agenda, reports and minutes of all meetings.

The Deputy Chief Executive appointed in January 2022 is the Council's Monitoring Officer, which was a post previously held by the Democratic Services Manager who now becomes the Deputy Monitoring Officer. The Council's Legal Services are provided by Wealden District Council and their lead officer is the appointed Solicitor to the Council.

Members' Assurance – Audit and Standards Committee

During 2021/22, the Audit and Standards Committee (A&SC) received and scrutinised quarterly reports from the Audit Manager on the reviews carried out and progress against the plan and the year-end report includes a formal opinion of the adequacy, reliability and effectiveness of the Council's Internal Control systems.

In carrying out its responsibilities for Standards matters, the Committee also includes three Independent Person(s) and two Parish and Town Councillor representatives, who usually attend meetings of the A&SC twice a year, when standards related matters are considered. Under the Localism Act 2011, the Standards regime changed and Councils were given the responsibility of setting their own Codes of Conduct and procedures for dealing with complaints against Members. The Monitoring Officer is now able to assess all complaints after consultation with one of the Independent Persons and determine what actions, if necessary, should be taken. All valid complaints are reported to the A&SC for information bi-annually. Sanctions for dealing with Councillors who may have breached the Code of Conduct are significantly reduced under the current regime.

In addition to its statutory responsibilities, the Council has also vested in the Committee the overview of complaints handling and Local Ombudsman investigations. In this regard, the Committee receives a bi-annual report and an annual report on the Council's whole year performance. The Council has since the financial year end, created a new role and now appointed an independent person for the Audit responsibilities of the A&S Committee.

Anti-Fraud and Corruption Framework

All officers and Members are signed up to the Council's Anti-Fraud and Corruption Framework. The Framework is made up five separate but related documents, namely:

- ✓ Anti-Fraud and Corruption Strategy
- ✓ Fraud Response Plan
- ✓ Anti-Bribery Policy
- ✓ Anti-Money Laundering Policy
- ✓ Whistleblowing Policy

The Whistleblowing policy places emphasis on the agreed ethical values of Members and employees, providing protection for individuals to raise concerns in confidence about suspect behaviour and ensuring that any concerns raised are properly investigated.

PRINCIPLE B – Ensuring openness and comprehensive stakeholder engagement

Full Council, Cabinet, Regulatory and Scrutiny meetings are available to view live on the Council's website and can be viewed after the meeting using the link from the relevant meeting on the website as well as being open to the public to attend in person. All agenda papers, reports and decisions made by the Council are published on the Council's website together with details of forthcoming consultation exercises, surveys and public meetings, except those determined as exempt from publication.

The Council's consultation charter sets out how it engages with stakeholders and partners. The Council website has a section called "Ask the Leader!" where the Leader of the Council will answer question posted online. The Council has a public question time scheme which allows the public to put questions to the appropriate Member of Cabinet or Committee Chairman at full Council meetings. Anyone who works or lives in the Rother District can submit one written question to full Council attended by all the elected Councillors.

PRINCIPLES C AND D - Defining, optimising and achieving outcomes

Rother's new Corporate Plan 2020-2027 was adopted by Full Council on 5 July 2021. The Corporate Plan provides the strategic direction for the Council and shapes the work programmes and Service Plans throughout this period. The overarching vision of the Corporate Plan is to put customers at the heart of everything the council does. It also sets out the following key themes:

- Financial Stability

- Increasing the supply of affordable homes across the district
- Protecting the natural environment and tackling climate change
- Empowering our people and strengthening processes and resources
- Delivering more effective services
- Prosperity and economic development

The Corporate Plan sets out several priority objectives which are underpinned by key actions, milestones and targets. An annual report setting out progress against the Corporate Plan is reported to Overview and Scrutiny Committee on an annual basis. This also provides an opportunity to review data about the district, national policy, and the external context to determine whether any changes are needed to the Corporate Plan. The programmes and projects within the plan are also monitored on a quarterly basis by Members through the Corporate Programme Board.

Rother's Performance Framework is reviewed annually by Overview and Scrutiny Committee who make recommendations to Cabinet on what measures should form part of our Key Performance Indicators to be monitored regularly by the Committee. These reports also allow the opportunity for exception reporting of performance indicators monitored by services that need focus. Overview and Scrutiny Committee recommends action and resource allocation for consideration by Cabinet where appropriate.

PRINCIPLE E – Developing capacity and capability

A key element of the Council's service planning is to maximise the investment in staff through staff training to ensure we have the necessary skills for the future. All employees' training and development needs are considered as part of their annual appraisal. The Council is a member of the Sussex Training Consortium which provides access to cost effective training for all Councils across East and West Sussex. The Council works across a broad set of partnerships and collaborative arrangements and uses commissioning and procurement processes to maximise capacity by delivering services in the most effective and efficient way.

Although recruiting to professional posts is becoming increasingly difficult due to skills shortages in several areas, the Council has for some time had a very effective process for training and developing its own talent from within. Although not a quick fix it has helped to mitigate skills shortages across certain service areas.

PRINCIPLE F – Managing risks and performance

Risk Management

The Council has an approved Risk Management Policy and Strategic Integrated Framework. This document shows the role both Members and officers have in the identification and minimisation of risk. Progress has been made to further embed risk management within the organisation and is now driven by risk and corporate governance forming an integral part of meetings of the Corporate Management Team (SMT). Desk top exercises were held on a regular basis prior to the pandemic to test identified risks against our Business Continuity planning and these will need to be

restarted in 2021. Risk Management is a feature of all new projects and is an integral part to the service planning process. Day to day management and monitoring processes and procedures are in place but work continues to improve the awareness of all staff. The corporate risk register forms an integral part of the Council's risk management process and is now available throughout the Council's services.

Financial Control Assurance

A regular process of reconciling the main accounting systems is in place. Budget monitoring is produced monthly for all budget managers and regular reports have been submitted to the Senior Leadership Team and Cabinet. The quality of reporting is continually under review by Finance and improvements have been during 2021/22.

Internal Audit

Each year an Internal Audit plan of work is agreed by the Chief Executive, the Section 151 Officer and the Audit and Standards Committee. Most of the audit work planned in 2021/22 was completed by the financial year end. This work included the core financial audits and several other audits that had been categorised as high/medium risk within the Audit Plan.

The Audit Manager reports monthly to the Chief Executive and quarterly to the A&SC on the audit reviews that have been undertaken, highlighting any significant recommendations that have been made. In addition, the Chief Executive reviews the effectiveness of Internal Audit annually.

The Accounts and Audit Regulations 2015 state that ultimate responsibility for maintaining a sound system of internal control rests with the Council, but this has been delegated to the Chief Finance Officer (as s.151 Officer). The assessment of the control environment is made by reviewing Internal Audit report recommendations and the production of the Annual Governance Statement.

At Audit & Standards Committee on the 20th June 2022 the Internal Audit Manager reported that of the audit reports completed in 2021/22, three received a limited assurance rating although of the 69 control objectives examined only one had not been met. The quarterly Internal Audit activity reports also showed that most of the expected controls are in place and no significant concerns were found with the internal control environment. As a result, the Internal Audit Manager's overall opinion on the Council's framework of governance, risk management and control in 2021/22 deemed that it was adequate and effective, (minute AS22/12).

External Audit

External audit provides the Council with an Annual Audit Letter and an Annual Governance report, which reports on the Council's financial performance, value for money and a review of the effectiveness of the governance arrangements.

PRINCIPLE G – Implementing good practices in transparency, reporting, and accountability

All Council decisions are published online together with supporting information to outline why that decision was chosen above other options. The Council has developed both its website and the format of Council reports to improve transparency and accessibility.

The Council reports performance against targets and financial targets on a regular basis. This reporting incorporates services provided by all models of delivery including services shared with other authorities, partnerships and contracted out services. All high-risk audit recommendations are reported to the A&SC, to ensure that officers undertake any follow up actions as appropriate.

Significant Governance Issues

In terms of internal control, there have been areas where weaknesses which have been identified through the review of compliance to the local code of corporate governance, Managers' Assurance Statements, Internal Audit and the work of the A&SC and these are commented on below. In addition, there are areas where, due to external factors, these have potential to adversely impact on the Council.

Governance issues arising from the review of the Local Code of Corporate Governance

There are no outstanding issues to report from previous years, and the work carried out by Internal Audit in 2021/22 did not highlight any significant concerns regarding the internal control environment

Other issues and areas of emerging risk that may impact on the Council include:

Local Government Funding Review and Business Rate Retention Scheme reset – the Government's review of local government funding and business rates has been further delayed by at least another year. This continues to be a significant source of uncertainty over the Council's financial stability.

Achieving a balanced budget – as a result of the above uncertainty and the projected funding shortfall in the Medium-Term Financial Plan, pressure remains on the Council to deliver savings and additional income up to £2.2 million by 2024/25. The current plan includes the delivery of savings of £1.7 million through the devolvement of services to alternative providers including Town and Parish Councils. Failure to deliver these will result in difficulties in achieving a balanced revenue budget without recourse to using a major proportion of the Council's reserves. The Council's plans to deliver savings were further developed during 2021/22 and are overseen by the Corporate Programme Board following a decision by Cabinet on the 28th March 2022 (CB21/98) to merge the Financial Stability Programme and the Protecting Discretionary Service Strategy into a single project.

Joint Working – It is expected that the Council will continue with its programme of delivering services jointly with other bodies where it helps to maintain or improve

services at a reduced cost. The Council has 3 main shared services. Building Control and Legal services are provided by Wealden District Council. The shared Environmental Health and Licensing Service with Wealden is provided by this authority. Shared services provided by another Council could limit the Council's ability to maintain the quality of a service, particularly in the short term. The provision of a shared service for another Council does reduce the Council's flexibility and ability to redirect its resources when committed to delivery of a service for another Council. The Council also jointly procures a number of major contracts including waste collection and street cleaning and grounds maintenance.

Loss of staff and recruitment – Several internal and external factors are having a negative impact on staff morale. Whilst no compulsory redundancies are currently planned, the current financial challenges could reduce morale and increase the risk of staff turnover. This could result in the loss of knowledge and experience which the Council relies upon moving forward. In addition, the recruitment of professional level Local Government posts continues to be problematic. There are a range of factors influencing this, but seasoned professionals and specialists are becoming a real issue for Local Government and in particular, semi-rural Councils such as Rother. The Council's ability to deliver services and projects can be severely compromised by the inability to recruit, combined with the retirement of qualified and experienced staff. The COVID-19 pandemic has negatively impacted some recruitment. However, going forward the changes in working practice brought about in response to the pandemic has increased the flexibility of the Council can offer prospective employees, in particular homeworkers. In addition, the Council continues to employ and train apprentices which can include professional roles.

Property Investment - The Council has a Property Investment Strategy (PIS) for the acquisition and development of commercial property in the district. The strategy enables the Council to invest primarily to stimulate economic activity/regeneration. Recent activity has focused on development opportunities which will bring jobs and yield a return in the longer term but will require time to bring to fruition. The Property Investment Panel carefully considers all property investment opportunities and seeks professional advice before making acquisitions but there are significant financial risks if the Council embarks on more speculative investments. As most property investment is funded through borrowing, returns are very sensitive to increases in interest rates.

U4BW ERP Implementation Project – The project has moved to a fine-tuning phase with no further work planned other than scheduled upgrades. The required elements of the Income Manager module are now fully operational. Mastercard are discontinuing their payment services with Unit 4 and will be replaced by Capita. Development work on the Expenses and Self-Service modules has paused whilst alternative delivery options are explored.

Major Projects – The Council is undertaking several high-profile projects with the aim of delivering housing and economic regeneration to the district. The Council has also established a wholly owned housing company to deliver the new housing. The projects are managed by special projects team in the Acquisitions, Transformation and Regeneration Service. The Corporate Programme Board has regular oversight of all the major projects and progress is reported annually through the Corporate Plan monitoring report.

Trading with European Union and Northern Ireland – the full ongoing impact of the Country's exit from the European Union remain unclear on the activities of the Council and its supply chain. The new trading agreement has resulted in increased work for the environmental health service issuing export health certificates. As trade recovers, the demands on the shared service with Wealden District Council will increase further.

Pandemic – Although all restrictions in place during the Covid-19 pandemic have now been removed there is still an on-going impact on the Council's staffing resources in terms of dealing with on-going outbreaks of Covid-19. The cost of this is generally funded by Government but that source of funding is likely to end after 21/22 (although unspent funding can be carried forward into the next financial year) and the Council will need to consider the 'business as usual' implications into the future.

Climate Change Emergency – The Council's Climate Change Steering Group has had oversight of the delivery of the Council's Environment Strategy. During 2021/22 work has been underway to develop the Council's carbon baseline. The next steps will be to develop a carbon descent plan which will quantify (carbon saved and cost) the interventions the Council can take to reduce its carbon emissions balanced against any carbon offsetting. Several projects have been progressed and monitoring continues through the Steering Group.

Joint Waste Collection and Street Cleaning Contract – The Council's waste and street cleansing contract is managed through the Joint Waste and Recycling Committee (made up of representatives from Rother, Wealden and Hastings Councils). This committee meets quarterly, and the agenda and minutes are available on the Council's website.

We propose over the coming year to take steps to address these matters to further enhance our governance arrangements. We are satisfied that these steps will address the need for improvements that were identified in our review of effectiveness and will monitor their implementation and operation as part of our next annual review.

Cllr Doug Oliver
Leader of the Council
On behalf of Rother District Council

Malcolm Johnston
Chief Executive
On behalf of Rother District Council

Rother District Council

Report to: Audit and Standards Committee

Date: 27 July 2022

Title: Treasury Management Update Report

Report of: Antony Baden – Chief Finance Officer

Purpose of Report: To note the Council's treasury activities for the first financial quarter ending the 30 June 2022.

Officer

Recommendation(s): It be **RESOLVED:** That the report be noted.

Introduction

1. The Council's Investment Strategy requires regular reports to be presented to this Committee on its treasury management activities. In managing these, the Council has implemented the Department of Levelling Up, Housing and Communities investment guidance and followed the Chartered Institute of Public Finance and Accountancy's Code of Practice on Treasury Management.
2. The investment activity to date conforms to the approved strategy and the Council has had no liquidity difficulties. Members are reminded that investment activity is also reported through the Members' Bulletin. This report focuses on the financial period ending 30 June 2022 and is based on the latest available data.

Financial Investments review

3. As at 30 June 2022, the Council's total investments were about £37m with £18m invested in short term call accounts and Property Funds. The remaining £19m is held in the General account, but Members will note that a significant element of this balance relates to cash owed to public bodies, e.g. council tax precepts, shares of business rates.
4. The Council's investments are predicted to yield interest income of £532,000 in 2022/23. As in previous years, its Property Funds are predicted to yield a good return, with income currently predicted to be about £342,000, which would yield returns of between 3.52% and 3.72%. Also, due to the recent increases in interest rates, higher than expected returns (£190,000) are also predicted to be gained from its call accounts. The investment portfolio and Property Fund values are detailed in Appendix A.

Borrowing

5. The Council's Capital Financing Requirement (CFR) shows how much of its capital expenditure is financed by borrowing and is summarized in Appendix B. The pandemic again slowed the pace of programme delivery in 2021/22 however, it has already accelerated in the first quarter of 2022/23 and is expected to continue doing so throughout the year. Members will also note that

the capital programme will again be reviewed for affordability as part of the Medium-Term Financial Planning process.

6. The value of outstanding loans as at 30 June 2022 is £27.152m and the borrowing portfolio is also shown in Appendix B. This is now well below the Council's forecast CFR of £85.657m as shown in Appendix A, although the difference will decrease as the programme delivery accelerates and the Council's borrowing requirement increases.
7. Officers will continue to keep borrowing policy under review and use internal balances where possible to minimize borrowing costs.

Treasury and Prudential Indicators

8. The Council's Authorised and Operational external borrowing limits are shown in Appendix C and were approved by Cabinet on 7 February 2022 as part of the Council's Capital Strategy. Members will note that the current borrowing levels shown in Appendix B remain comfortably within both limits.
9. The ratio of Net Financing Costs (NFC) to the Net Revenue Stream is predicted to be 5.69% by the end of the financial year, which is 6.13% lower than the original budget. This is due to the delays referred to in paragraph 5 and the additional investment income referred to in paragraph 4, which reduces the NFC. The Prudential Indicators are shown in Appendix C.

Non-Treasury Investments

10. The table below shows property rental income for the year against the approved budget and is split between existing assets and those purchased through the Property Investment Strategy (PIS):

Property Type	Budget 2022/23	Q1 Forecast Income	Variance	Return on Investment
	£	£	£	%
Non-PIS	864,615	918,815	(54,200)	6.36%
PIS	1,104,550	1,651,050	(546,500)	3.03%
Total	1,969,165	2,569,865	(301,725)	

11. The additional Non-PIS rent income is due to the rental income from the second floor of Amherst Road. The additional PIS rent income is due to the purchase of Buckhurst Place. Both leases were agreed after Council had approved its budget. Appendix D gives more detail on those properties purchased as part of the PIS.

Economic Update and Outlook

12. There have been no significant developments since the draft 2021/22 Treasury Management update reported to this Committee on 20 June 2022. However, Members will be aware that the economic outlook remains extremely uncertain and difficult to predict, because the same issues that were dominating the economic scene last time very much remain in place. Officers will continue to monitor closely all economic activity and will report any major changes to Members at the earliest opportunity.

Conclusion

13. The investment activity conforms to the approved strategy and the Council has no liquidity difficulties.

Other Implications	Applies?	Other Implications	Applies?
Human Rights	No	Equalities and Diversity	No
Crime and Disorder	No	External Consultation	No
Environmental	No	Access to Information	No
Risk Management	No	Exempt from publication	No

Chief Executive:	Malcolm Johnston
Report Contact Officer:	Antony Baden
e-mail address:	antony.baden@rother.gov.uk
Appendices:	Appendix A – Investments Portfolio Appendix B – Capital Financing Requirement & Borrowing Portfolio Appendix C – Prudential Indicators
Relevant Previous Minutes:	None
Background Papers:	Capital Strategy Report to Cabinet, 7 February 2022 Treasury Management and Annual Investment Strategies Report to Cabinet, 28 February 2022
Reference Documents:	None

Investments Portfolio

Deposit	Type of account	Maturity Date	Amount £	Interest Rate	Share %
Lloyds - General (RFB)	Call	N/A	18,531,244	1.15%	50.72%
Bank of Scotland (RFB)	Call	N/A	16	0.00%	0.00%
Barclays - Call Account (NRFB)	Call	N/A	5,004,262	0.05%	13.70%
Santander - Call Account	Call	N/A	2,999,214	0.41%	8.21%
Santander - 31 Day Notice Account	31 Days Notice	N/A	2,000,000	0.32%	5.47%
CCLA Local Authority Property Fund	Long Term	N/A	5,000,000	3.72%	13.69%
HERMES Property Fund	Long Term	N/A	2,999,998	3.52%	8.21%
Total			36,534,733		100.00%
Total managed in-house			28,534,736		
Total managed externally			7,999,998		
Total Treasury Investments			36,534,733		

Property Funds

Name of Property Fund	Original Investment Value	Value as at 30th June 2022	Value as at 31st Mar 2022	Change
	£	£	£	£
CCLA Local Authority Property Fund	5,000,000	5,579,590	5,579,590	0
HERMES Property Fund	2,999,998	3,396,851	3,250,474	146,377
Total	7,999,998	8,976,441	8,830,064	146,377

- Note – The value of the CCLA fund will be updated once the quarterly customer statement has been received.

Capital Financing Requirement

Capital Financing Requirement (CFR)	2022/23 Original Budget £ (000)	2022/23 Quarter 1 Forecast £ (000)
Opening Balance	25,551	25,551
Add unfinanced capital expenditure	75,876	60,758
Less Minimum Revenue Provision (MRP)	(1,053)	(652)
Closing Balance	100,375	85,657

Current Borrowing Portfolio

Borrowing position as at 30th June 2022					
Properties	Amount o/s	Interest Rate	Term	Type	Full Year Repayments
14, Terminus Road	£431,384	2.59%	50	Annuity	£16,102
14, Terminus Road	£431,332	2.58%	50	Annuity	£16,070
Beeching Road	£1,596,542	2.39%	50	Annuity	£56,729
Various	£1,000,000	2.24%	50	Maturity	£22,400
Glovers House & Barnhorn Road	£8,231,481	2.48%	50	Annuity	£297,572
Various	£6,220,986	1.78%	50	Annuity	£190,804
Various	£9,239,784	1.65%	50	Annuity	£273,881
Total Borrowing	£27,151,509				£873,558

Treasury Indicators (Borrowing Limits)

Treasury Indicators	30th June 2022 £ (000)
Authorised Limit for External Debt	98,629
Operational boundary for External Debt	93,629
Gross External Debt (actual)	27,152
Remaining Authorised Limit for External Debt	71,477

Prudential Indicators

Prudential Indicators	2022/23 Original Budget £ (000)	2022/23 Quarter 1 Forecast £ (000)
Capital Financing Requirement (CFR)	100,375	85,657
Annual Change in CFR	74,823	60,106
In-Year Borrowing Requirements	75,876	60,758
Ratio of Financing costs to Net Revenue Stream (%)	11.82%	5.69%

Properties purchased through the Property Investment Strategy

2022/23 Draft Property Investment Performance						
Property	Purchase Price £	Acquisition Costs £	Total Cost of Purchase £	Annual Rent Income £	Annual Running Costs £	Net Surplus £
14 Terminus Road	850,000	37,485	887,485	(106,000)	2,050	(103,950)
16 Beeching Road	825,000	45,133	870,133	(92,750)	950	(91,800)
18-40 Beeching Road	825,000	60,638	885,638	(90,300)	9,232	(81,068)
1-7, Wainwright Road	1	358,129	358,130	0	0	0
Glovers House, Bexhill	7,450,000	393,952	7,843,952	(475,000)	542	(474,458)
Land at Barnhorn Green, Bexhill	600,000	12,387	612,387	0	0	0
Market Square, Battle	3,075,000	181,184	3,256,184	(195,000)	162	(194,838)
35, Beeching Road, Bexhill (headlease)	675,000	0	675,000	(100,000)	100	(99,900)
64, Ninfield Road, Sidley	100,000	0	100,000	(9,000)	64	(8,936)
Buckhurst Place	9,650,000	539,500	10,189,500	(583,000)	0	(583,000)
Total	24,050,001	1,628,408	25,678,409	(1,651,050)	13,100	(1,637,950)

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AUDIT AND STANDARDS COMMITTEE

WORK PROGRAMME 2022 – 2023	
DATE OF COMMITTEE	SUBJECT
Wednesday 27 July 2022	<p>Part A – Standards Reports (none scheduled)</p> <p>Part B – Audit Reports</p> <ul style="list-style-type: none"> • Constitution Review – Responsibility for Functions Part 3 • Rother DC Housing Company Governance Monitoring • Annual Governance Statement 2021/22 • Treasury Management Update Report
Monday 26 September 2022	<p>Part A – Standards Reports (none scheduled)</p> <p>Part B – Audit Reports</p> <ul style="list-style-type: none"> • Grant Thornton – Audit Progress Report and Sector Update • Statement of Accounts 2021/22 • Internal Audit Report to 30 June 2022 • Treasury Management Update – Quarter 2 • Risk Management Update
Monday 5 December 2022	<p>Part A – Standards Reports</p> <ul style="list-style-type: none"> • Code of Conduct Complaints Monitoring and other Standards Matters • Local Government Ombudsman Complaints Monitoring and Annual Review 2021/2022 <p>Part B – Audit Reports</p> <ul style="list-style-type: none"> • Internal Audit Report to 30 September 2022 • Treasury Management Update – Quarter 3
Monday 20 March 2023	<p>Part A – Standards Reports (none scheduled)</p> <p>Part B – Audit Reports</p> <ul style="list-style-type: none"> • Grant Thornton – Audit Progress Report and Sector Update • Grant Thornton – External Audit Plan 2022/23 • Internal Audit Report to 31 December 2022 • Internal Audit Plan 2023/24 • Review of Internal Audit 2022/23 • Annual Property Investment Update • Treasury Management Update • Accounting Policies 2022/23 • Risk Management Update

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