

# **Audit, Governance and Standards Committee**

Monday 7 February 2022  
7.00 pm  
160 Tooley Street, London SE1 2QH

## **Supplemental Agenda No.1**

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#### **Contact**

Virginia Wynn-Jones on 020 7525 7055 or email: [virginia.wynn-jones@southwark.gov.uk](mailto:virginia.wynn-jones@southwark.gov.uk)  
Webpage: [www.southwark.gov.uk](http://www.southwark.gov.uk)

Date: 2 February 2022

<b>Item No.</b> 8.	<b>Classification:</b> Open	<b>Date:</b> 7 February 2022	<b>Meeting Name:</b> Audit, governance and standards committee
<b>Report title:</b>		Internal audit plan 2022-23	
<b>Ward(s) or groups affected:</b>		All	
<b>From:</b>		Strategic Director of Finance and Governance	

### RECOMMENDATIONS

1. That the audit, governance and standards committee note the report, as attached at Appendix A.
2. That the committee consider any amendments they would like to suggest to the draft internal audit plan.

### BACKGROUND INFORMATION

3. This report sets out the draft six-month internal audit plan for 2022-23. The plan is presented as a draft for discussion to the Audit, Governance and Standards Committee. The internal auditors welcome the committee's views on the plan and any areas that the committee would consider relevant for inclusion.

### Policy implications

4. This report is not considered to have direct policy implications.

### Community impact statement

5. This report is not considered to contain any proposals that would have a significant impact on any particular community or group.

### Resource implications

6. If there are direct resource implications in this report, such as the payment of fees, these will be met from existing budget provision.

### Consultation

7. There has been no consultation on this report.

### SUPPLEMENTARY ADVICE FROM OTHER OFFICERS

8. None required.

**Reasons for lateness**

9. Information for this report was being consulted on by a variety of partners, and feedback was unavailable till after the report deadline.

**Reasons for urgency**

10. This meeting is the last meeting of the audit, governance and standards committee before the start of the new council year, when this work programme will begin.

**BACKGROUND DOCUMENTS**

Background Papers	Held At	Contact
None		

**APPENDICES**

No.	Title
Appendix A	Internal audit plan 2022-23

**AUDIT TRAIL**

<b>Lead Officer</b>	Duncan Whitfield, Strategic Director of Finance and Governance	
<b>Report Author</b>	Angela Mason-Bell, Greg Rubins, BDO	
<b>Version</b>	Final	
<b>Dated</b>	2 February 2022	
<b>Key Decision?</b>	No	
<b>CONSULTATION WITH OTHER OFFICERS / DIRECTORATES / CABINET MEMBER</b>		
<b>Officer Title</b>	<b>Comments sought</b>	<b>Comments included</b>
Director of Law and Governance	No	N/A
Strategic Director of Finance and Governance	No	N/A
<b>Cabinet Member</b>	No	No
<b>Date final report sent to Constitutional Team</b>		2 February 2022



# **INTERNAL AUDIT PLAN 2022-23**

## **London Borough of Southwark**

*Six-month plan April to September 2022 - Draft for Discussion*

*Presented to the Audit, Governance and Standards Committee*

*7 February 2022*



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# 1. AUDIT RISK ASSESSMENT

## 1.1 Background

BDO LLP has been appointed as internal auditors to the London Borough of Southwark to provide the Council with assurance on the adequacy of internal control arrangements, including risk management and governance. Our role at the Council will also be aimed at helping management to improve risk management, governance and internal control, so reducing the effects of any significant risks.

We report to the Strategic Director of Finance and Governance, as the Council's section 151 officer, on an operational basis. The Engagement Partner, Greg Rubins, is the Council's Chief Audit Executive.

Responsibility for the Council's internal control arrangements remains fully with management, who should recognise that internal audit can only provide 'reasonable assurance' and cannot provide any guarantee against material errors, loss or fraud.

Our risk based approach to Internal Audit uses the Council's own risk management process and risk register as a starting point for audit planning as this represents the client's own assessment of the risks to it achieving its strategic objectives.

The extent to which we can rely on management's own perception of risk largely depends on the maturity and effectiveness of the Council's own risk management arrangements. In estimating the amount of audit resource required to address the most significant risks, we have also sought to confirm that senior management's own assessment of risk accurately reflects Southwark Council's current risk profile. In drafting the plan and strategy, we mapped the audits to the corporate risk register and departmental risk registers to confirm adequate work was being undertaken on key risk areas.

## 1.2 Planned approach to internal audit 2022-23

Due to the imminent appointment of a new Chief Executive and potential changes to the administration in light of the forthcoming elections, we have agreed with the Strategic Director of Finance and Governance to prepare an initial six-month internal audit plan. The proposed Internal Audit programme for April to September 2022 is shown from page 10.

To prepare the internal audit plan, we have held discussions with chief officers for each of the Council's departments, to identify the priorities for the first six months of the year. The plan also captures internal audits that have been deferred from 2021-22.

The plan is presented as a draft for discussion to the Audit, Governance and Standards Committee. We would welcome your views on the plan and any areas that you would consider relevant for inclusion.

Following discussion by the Committee, the internal audit plan will be presented to a collective meeting of the Chief Officer's Team for agreement of specific timings before the start of the new financial year. A final version of the six-month plan will be circulated to the Committee under the email protocol.

Overall, the plan is set within the context of a multi-year approach to internal audit planning, such that all areas of key risks would be looked at over a three-to-five-year audit cycle. An indicative strategic plan for the latter six months of 2022-23 and for 2023-24 is shown from page 17, along with previous years' audits, for reference. This will be extended to include 2024-25 when the full internal audit plan for 2022-23 is prepared.

To develop the full internal audit plan for 2022-23, discussions will be held with chief officers over the summer months, and the updated plan and strategic plan will be presented to the Audit, Governance and Standards Committee in September 2022.

### 1.3 Individual audits

When we scope each review, we will reconsider our estimate for the number of days needed to achieve the objectives established for the work and to complete it to a satisfactory standard in light of the control environment identified within the Council.

In determining the timing of our individual audits we will seek to agree a date which is convenient to the Council and which ensures availability of key management and staff.

As we undertake planning for each audit, we will continue to work with the Council's anti-fraud team to identify areas to include to provide assurance on the management of the risk of fraud.

### 1.4 Variations to the Plan

We will keep the programme under continuous review during the year and will introduce to the plan any significant areas of risk identified by management during that period.

Where changes to the planned audits are required during the year, these will be agreed with the departmental directors and the Strategic Director of Finance and Governance and reported to the Audit, Governance and Standards Committee.

We also review the strategic plan each year to ensure we remain aware of your ongoing and emerging risks and opportunities and new priorities or projects. Over the coming pages, we have mapped your key risks along with the audit work we are undertaking, demonstrating that we are focussing on your most important issues.

## 2. MAPPING THE COUNCIL'S TOP CORPORATE RISKS TO THE INTERNAL AUDIT STRATEGIC PLAN

Ref.	The Council's Top Corporate Risks, as reported in the Draft Annual Governance Statement 2021-22	Planned Internal Audits by Year				
		2019-20 (for reference)	2020-21 (for reference)	2021-22 (for reference)	2022-23	2023-24
1	<b>Post-Pandemic Recovery</b> Slow or sporadic post pandemic economic recovery associated with uncertain government financial support to local authorities and strain on the welfare system leads to increased levels of unemployment and other societal fragmentation; consequentially, increased demand for council services such as social care, welfare and emergency support and housing results in potential for conflicting demands on funding available.	-	-	Financial planning & budget monitoring Service reviews	Borough Plan Service reviews	Service reviews
2	<b>Cyber Security, IT, Data and Information Management</b> Total or partial loss of significant core business systems, inadequate data security and the system becoming unfit to meet business needs results in impaired service delivery and performance and impacts on resident satisfaction impacting on the reputation of the council and staff productivity and morale.	Records management Shared ICT service	Contact centre Cyber security Mobile device management Software asset management	Cyber security (reliance on third party assurance) Data protection Disaster recovery Hornbill Service Desk	Cloud security Other reviews tbc	tbc
3	<b>Acute Socio-Economic Factors</b> Failure or lack of capacity to react to wider economic and socio-economic trends, including recession, unemployment and potential impact on levels of homelessness, market forces (e.g.,	Homelessness TMOs	Housing Allocations TMOs	Buyback of property Housing revenue account	Asylum seekers and refugees Community engagement	TMOs

Ref.	The Council's Top Corporate Risks, as reported in the Draft Annual Governance Statement 2021-22	Planned Internal Audits by Year				
		2019-20 (for reference)	2020-21 (for reference)	2021-22 (for reference)	2022-23	2023-24
	London housing market), international and domestic migration, post Brexit developments and inflation, that creates either funding shortfalls or compromises the delivery of council services.			Housing tenancy management TMOs TMOs use of reserves	Statutory disrepairs Temporary accommodation TMOs	
4	<b>Welfare Reform</b> Changes to the welfare support system create direct and indirect financial pressures on the council through increased demand for all services to those affected by the changes creating the potential for capacity and resource shortfalls.	No recourse to public funds	Direct payments Supported living	Adoption service All age disability service Continuing healthcare Contract mobilisation Older people's services	Home to school transport Mental health services Partnership commissioning Special educational needs	Integrated Care Systems
5	<b>Medium Term Financial Planning</b> The continued uncertainty regarding local government funding beyond 2022-23 presents the council with significant challenges in presenting balanced medium term financial strategies and in preparing and presenting longer term budget options which reflect the council's priorities and ambitions and safeguard the provision of mandatory functions.	Key financial systems audits Mosaic payments	Key financial systems audits Fraud protocols Mosaic payments	Departmental response to schools in financial difficulty Financial planning & budget monitoring Key financial systems audits Mosaic payments Schools budget and financial strategy audits	Key financial systems audits Mosaic payments	Mosaic payments

Ref.	The Council's Top Corporate Risks, as reported in the Draft Annual Governance Statement 2021-22	Planned Internal Audits by Year				
		2019-20 (for reference)	2020-21 (for reference)	2021-22 (for reference)	2022-23	2023-24
6	<b>Transformation and Major Projects</b> Unforeseen events and/or adverse reaction to council programmes result in the failure of (or the serious delay to) key capital projects or to direct housing delivery projects causing damage to the council's ability to meet the borough's long-term housing and investment needs and resulting in short term financing	Major works Regeneration programme	New housing programme	Major works	Capital programme management New home programme Regeneration programme	
7	<b>Legal and Regulatory - Government Policy</b> Legislative and / or financial changes, including current and future loss of funding or international factors stemming from changes in government policy, seriously impact on the delivery of balanced budgets for council services and the council's ability to meet either the pressures created by changes in demand for services or the opportunities due to lack of capacity.			Financial planning	Involvement in the temporary accommodation budget recovery board	
8	<b>Unforeseen Major Event</b> An unforeseen major event occurs which affects critical services and the council's ability to deliver business as usual resulting in financial strain and impacts on the resilience and wellbeing of staff.	-	-	Covid19 expenditure Covid19 reviews (Children and Adults Services) Emergency planning	Covid-19 related expenditure	
9	<b>Asset Management</b> Failure to invest appropriately in the maintenance or management of the council's assets, to have clear sight of responsibility for assets, or a sudden and unforeseen event	-	-	Asset Management Commercial property portfolio	-	-

Ref.	The Council's Top Corporate Risks, as reported in the Draft Annual Governance Statement 2021-22	Planned Internal Audits by Year				
		2019-20 (for reference)	2020-21 (for reference)	2021-22 (for reference)	2022-23	2023-24
	which may give rise to unacceptable future liabilities.			Facilities management Highway's maintenance		
10	<b>Failure of Key Provider</b> The unexpected failure of a key provider / partner / contractor resulting in serious disruption to a critical service and potential increased expenditure and need for resources to provide an alternative solution with resulting potential reputational damage.	Management of fairer future policy with regards to procurement	-	Contracts register Management of fairer future policy with regards to contracts	Supplier resilience	-
11	<b>Climate Emergency</b> Impact of the climate change strategy creates capacity, financial or practical operational challenges and pressures with the potential for reputational damage for any failure in delivery.	-	Climate emergency strategy	-	Climate emergency implementation	
12	<b>Fraud</b> Process, control, or management failure particularly during periods of significant change, economic and social hardship and ongoing funding reductions leads to an increase in fraudulent activity resulting in financial and legislative consequences for the council and the potential for reputational damage.	Risk of fraud considered routinely as part of scoping internal audit reviews	Risk of fraud considered routinely as part of scoping internal audit reviews	Anti-facilitation of tax evasion Risk of fraud considered routinely as part of scoping internal audit reviews	Risk of fraud considered routinely as part of scoping internal audit reviews	Risk of fraud considered routinely as part of scoping internal audit reviews

Ref.	The Council's Top Corporate Risks, as reported in the Draft Annual Governance Statement 2021-22	Planned Internal Audits by Year				
		2019-20 (for reference)	2020-21 (for reference)	2021-22 (for reference)	2022-23	2023-24
13	<b>Health &amp; Safety</b> Failure to provide adequate provision of protection of staff, elected members, residents and all relevant stakeholders leading to their safety and / or mental health and wellbeing being compromised.	-	Community safety partnerships Tree management Travel assistance	Health and safety Youth offending service	Building control Building safety Safeguarding Compliance with HR procedures Compliance with sickness absence procedures	

### 3. INTERNAL AUDIT OPERATIONAL PLAN 2022-23 - six months April to September 2022

Ref.	Area	Audit Sponsor	Days	Indicative Timing	Outline Scope of the Review
<b>Chief Executive's Department</b>					
<b><u>Planning</u></b>					
CX34	Building control	Director of Planning and Growth	15	Q2	A review of the council's arrangements for compliance with the Building Control Regulations.
<b>Total</b>			<b>15</b>		
<b>Children's and Adults Services Department</b>					
<b><u>Adult Social Care</u></b>					
CAS06	Mental health services	Director of Adult Social Care	15	Q1	Assurance on the governance, record keeping and controls around care needs assessments, approval of care packages and provision, and agreement for payment of care costs.
CAS08	Safeguarding - adults	Director of Adult Social Care	20	Q2	A review of the controls in place to ensure that adults within the Council's care are properly safeguarded and statutory requirements are met.
CAS13	Covid-19 pandemic related expenditure	Director of Adult Social Care	15	Q1	Assurance over the accuracy and completeness of reported spend with regards to Covid-19 related expenditure.

Ref.	Area	Audit Sponsor	Days	Indicative Timing	Outline Scope of the Review
<b>Children's Social Care</b>					
CAS22	Supporting families grant	Director of Children's Social Care	15	Quarterly	Confirmation for a sample of 10% of claims of eligibility under the Council's supporting families' outcomes plan. The scheme may change during 2022-23, the internal audit approach will be updated accordingly.
<b>Education</b>					
CAS41	Adult learning services	Director of Education	15	Q1	A review of the processes and controls in place over the decisions on which services to offer, is the right audience being targeted and is the level of take up being considered when decisions are made alongside financial viability.
CAS44	Pupil registry systems and school attendance	Director of Education	15	Q1	A review of the controls over the completeness and accuracy of the pupil registry systems.
CAS46	Special Educational Needs (SEN)	Director of Education	20	Q2	A review focusing upon the processes that support the quality of data used to inform decision making.
<b>Total</b>			<b>115</b>		
<b>Schools</b>					
SCH	Schools internal audit plan	Director of education	50	Ongoing	Internal audit of schools' governance and financial systems and controls, covering areas such as budget management, deficit recovery plans, procurement and purchases, payroll and income. All schools are subject to an internal audit at least once in every four years, the nature of the audit is determined in discussion with the Director of Education, finance and school improvement teams. A follow up audit is carried out for those schools that receive a limited assurance opinion.  The days also include time for working with the Council in delivering training and awareness to head teachers and school business managers.
<b>Total</b>			<b>50</b>		

Ref.	Area	Audit Sponsor	Days	Indicative Timing	Outline Scope of the Review
<b>Environment and Leisure Department</b>					
<b><u>Communities</u></b>					
EL36	Tenancy management organisations (TMOs) - cyclical compliance audits	Director of Communities	30	Q1	A review of a sample of two to three TMOs considering financial management, procurement, and statutory compliance, including health and safety, fire risk assessment and asbestos.
EL39	Community engagement	Director of Communities	20	Q2	A review of community engagement strategy with a particular focus on the equalities framework and how communities are informing the development of Council priorities and policies. The review will consider the lessons learned from the Covid-19 pandemic and how this is informing future approaches to community engagement and the impact on governance structures. This will be an advisory review and will include benchmarking with other London boroughs.
<b><u>Climate Emergency</u></b>					
EL63	Climate emergency strategy and green economy plans	Strategic Director of Environment and Leisure / Director for Climate Change	25	Q2	A review of the implementation of the agreed climate emergency strategy, including adequacy of supporting plans, resourcing and identification and development of capital investment proposals. This will include the plans relating to the corporate facilities estate.
<b>Total</b>			<b>75</b>		
<b>Finance and Governance Department</b>					
FG09	Complaints	Director of Law and Democracy	20	Q1	Review of the council's response to complaints, clarity of roles and responsibilities, documentation, timeliness of responses and closure of cases.
FG22	Pensions administration	Strategic Director of Finance and	15	Q2	An annual rolling programme, which commenced in 2019-20: - Pension fund management arrangements and controls overflows

Ref.	Area	Audit Sponsor	Days	Indicative Timing	Outline Scope of the Review
		Governance / Pensions Manager			<ul style="list-style-type: none"> <li>of monies around the system</li> <li>- Maintenance of records, including policies and procedures, joiners and leavers to the schemes, refunds, contributions (plus AVCs) and annual benefits statements</li> <li>- Pension bank account management and controls</li> <li>- Pensions payments / payroll (new system due to be rolled out)</li> <li>- Admitted bodies.</li> </ul>
<b>Total</b>			<b>35</b>		
<b>Housing and Modernisation Department</b>					
<b><u>Asset Management</u></b>					
HM07	Building safety	Director of Asset Management	20	Q1	Assurance over the Council's preparedness for the implementation of the Building Safety Bill and Fire Safety Act. The Council has 70 high rise blocks, and significant buildings for which it is responsible.
HM09	Southwark Building Services / repairs and maintenance	Director of Asset Management	25	Q2	Review of the implementation of the service improvement plan, to incorporate a review of the performance management culture within the service. This review will follow on from the first review of the service completed in Q4 of 2021-22.
<b><u>Resident Services</u></b>					
HM41	Voids	Director of resident services	15	Q1	Controls over housing voids and timeliness of action to enable the re-letting of the property, including remedial works and checks.
HM46	Temporary Accommodation	Strategic Director of Finance and Governance (Chair)	10	Q1/Q2	Involvement (open invitation) to the budget recovery board established by the Council with regards to temporary accommodation. We will provide appropriate challenge to areas such as governance, robustness of the information and data presented to the board and the control framework. Our specific role is to be agreed in discussion with the Council. This will be advisory.

Ref.	Area	Audit Sponsor	Days	Indicative Timing	Outline Scope of the Review
<b>Regeneration and New Homes Programme</b>					
HM71	New homes programme	Director of Asset Management	20	Q2	Assurance on the project management arrangements, including procurement and contract management, and programme governance with regards to this area of significant expenditure and priority for the council.
HM72	Major regeneration programme & projects	Director of Planning and Growth	25	Q1	Assurance on the project management arrangements, including procurement and contract management, and programme governance with regards to this area of significant expenditure and priority for the council. A sample of projects will be selected for testing.
<b>Total</b>			<b>115</b>		
<b>IT Audit Plan</b>					
IT audit 1	Areas to be confirmed	Head of IT and Digital Services	25	Q1	The Shared Technology Service risk assessment is being updated and the identification of audits across the tri-borough partnership is to be completed in February 2022. Two audits will be completed by BDO in the first six months of the year.
IT audit 2	Area to be confirmed	Head of IT and Digital Services	25	Q2	
<b>Total</b>			<b>50</b>		
<b>Council Wide Reviews</b>					
TR09	Hospitality and gifts register, register of interests and bribery and corruption	Corporate Governance Panel/ Director of Law and Democracy	20	Q1	A review of the Council's arrangements for the declaration of gifts and hospitality, declarations of interest and management of bribery and corruption risks.
TR10	Use of consultants / payments to individuals outside of PAYE / IR35	Corporate Governance Panel / Chief Officers	20	Q2	A review of the controls around the appointment / procurement of consultants and advisers used by the council, and compliance with IR35 requirements in terms of employment status.

Ref.	Area	Audit Sponsor	Days	Indicative Timing	Outline Scope of the Review
		Team			
TR12	Sickness absence management, monitoring and reporting	Director of HR / Corporate Governance Panel	25	Q1	A review of departments (managers) compliance with the Council's sickness absence management, monitoring and reporting requirements across the Council. The audit will consider the extent to which there may be under reporting.
TR13	Compliance with HR policies and procedures	Director of HR / Corporate Governance Panel	25	Q2	A review of departments (managers) compliance with the Council's HR policies and procedures, the specific scope is to be agreed with the audit sponsor.
TR20	Supplier resilience	Strategic Director of Finance and Governance	25	Q2	A review of the arrangements in place to manage the risk of supplier / provider failure. This will include assurance that the key mitigations to this corporate risk are in place and working effectively, to include procurement and contracting processes, evaluation of third sector grant programmes, contingency and business continuity plans to be maintained and backup contractors in place where appropriate.
<b>Total</b>			<b>115</b>		

## 4. INTERNAL AUDIT PLAN SUMMARY 2022-23- six months April to September 2022

Department / Audit Activity	No. of days - six months April to September 2022 2022-23
Chief Audit Executive Role	10
Chief Officer Team Reviews	-
Chief Executive's Department	15
Childrens and Adults Services	115
Environment and Leisure	75
Finance and Governance	35
Housing and Modernisation	115
IT Audits	50
Key Financial Systems	-
Schools	50
Thematic reviews / Council wide audits	115
<b>TOTAL</b>	<b>580*</b>

*\* The total time includes general management time for monthly catch-up calls with the Strategic Director of Finance and Governance, attendance at Senior Management Team and Corporate Governance meetings, for undertaking overall planning and for follow up work.*

*The full annual plan in previous years has totalled 1,030 days.*

## 5. INTERNAL AUDIT STRATEGIC PLAN 2022-23 to 2023-24 (indicative)

Ref.	Audit	Audit Sponsor	2017-18 (for ref.)	2018-19 (for ref.)	2019-20 (for ref.)	2020-21 (for ref.)	2021-22 (for ref.)	2022-23	2023-24
<b>Chief Officer Team Reviews</b>									
COT1	Senior management restructure, skills and capacity	Chief Officers Team							
COT2	Borough plan delivery	Chief Officers Team						✓	
COT3	Covid-19 expenditure	Strategic Director of Finance and Governance					✓		
<b>Chief Executive's Department</b>									
CX01	Emergency planning and resilience	Director of Strategy and Economy	✓				✓		
CX02	Communications and media	Head of External Affairs							✓
<b>Human Resources</b>									
CX10	Staff recruitment and vetting	Director of HR	✓						✓
CX11	Apprenticeships levy	Director of HR		✓					
<b>Planning</b>									
CX33	Planning applications and s106 agreements	Director of Planning and Growth			✓				
CX34	Building control	Director of Planning and Growth			✓			✓	
CX35	Movement (Transport) policy	Director of Planning and Growth				✓			

Ref.	Audit	Audit Sponsor	2017-18 (for ref.)	2018-19 (for ref.)	2019-20 (for ref.)	2020-21 (for ref.)	2021-22 (for ref.)	2022-23	2023-24
CX36	Land charges	Director of Planning and Growth	✓						
CX37	Community infrastructure levy	Director of Planning and Growth				✓			
<b>Children's and Adults Department</b>									
<b>Adult Social Care</b>									
CAS01	Adult day care provision	Director of Adult Social Care		✓					
CAS02	Client finances	Director of Adult Social Care	✓		✓				✓
CAS03	Appointeeships	Director of Adult Social Care			✓				
CAS04	All age disability service	Director of Adult Social Care					✓		
CAS05	Better care fund (BCF)	Strategic Director of Childrens and Adults		✓					
CAS06	Mental health services	Director of Adult Social Care			✓			✓	
CAS07	Older people's services	Director of Adult Social Care		✓			✓		
CAS08	Safeguarding - adults	Director of Adult Social Care		✓				✓	
CAS09	Social care staff recruitment	Director of Adult Social Care	✓						
CAS10	Substance misuse	Director of Adult Social Care	✓			✓			
CAS11	Direct payments	Director of Adult Social Care				✓			✓
CAS12	Continuing healthcare	Director of Adult Social Care					✓		
CAS13	Covid-19 pandemic related payments	Director of Adult Social Care						✓	

Ref.	Audit	Audit Sponsor	2017-18 (for ref.)	2018-19 (for ref.)	2019-20 (for ref.)	2020-21 (for ref.)	2021-22 (for ref.)	2022-23	2023-24
<b>Children's Social Care</b>									
CAS20	Adoption service	Director of Children's Social Care				✓			
CAS21	Payments to children and families	Director of Children's Social Care			✓				
CAS22	Supported families grant claims (previously Troubled families)	Director of Children's Social Care	✓	✓	✓	✓	✓	✓	
CAS23	Children's quality assurance unit	Director of Children's Social Care					✓		
CAS24	Foster carers	Director of Children's Social Care	✓		✓				✓
CAS25	Placements - children in care service	Director of Children's Social Care		✓					
CAS26	Safeguarding	Director of Children's Social Care	✓					✓	
CAS27	Legal fees	Director of Children's Social Care		✓					
CAS28	Youth offending service	Director of Children's Social Care					✓		
CAS29	Care Leavers	Director of Children's Social Care						✓	
CAS30	Asylum seekers and refugees	Director of Children's Social Care						✓	

Ref.	Audit	Audit Sponsor	2017-18 (for ref.)	2018-19 (for ref.)	2019-20 (for ref.)	2020-21 (for ref.)	2021-22 (for ref.)	2022-23	2023-24
<b>Commissioning</b>									
CAS15	Supported living	Director of Commissioning				✓			
CAS31	Community equipment	Director of Commissioning			✓				
CAS33	Commissioning of services	Director of Commissioning		✓					✓
CAS34	Contract Management	Director of Commissioning					✓		
CAS35	Partnership Commissioning (Advisory)	Director of Commissioning						✓	
<b>Education</b>									
CAS41	Adult learning services	Director of Education		✓				✓	
CAS42	Home to school transport	Director of Education	✓					✓	
CAS43	Music service	Director of Education		✓					✓
CAS44	Pupil registry systems and school attendance	Director of Education						✓	
CAS45	School admissions	Director of Education				✓			
CAS46	Special educational needs (SEN)	Director of Education			✓			✓	
CAS47	Traded services	Director of Education						✓	
CAS48	Travel assistance	Director of Education				✓			
CAS49	Departmental response to schools in financial difficulties	Strategic Director of Childrens and Adults / Director of Education					✓		

Ref.	Audit	Audit Sponsor	2017-18 (for ref.)	2018-19 (for ref.)	2019-20 (for ref.)	2020-21 (for ref.)	2021-22 (for ref.)	2022-23	2023-24
<b>Department Wide Audits</b>									
CAS63	Mosaic operational audit / payments	Children's and Adults Services Directors	✓	✓	✓	✓		✓	✓
CAS54	BUPA overpayments	Strategic Directors of Children and Adults Services & Finance and Governance				✓	✓		
CAS65	Covid-19 response and operational models	Childrens and Adults Board					✓		
CAS66	Integrated Care Systems	Childrens and Adults Board							✓
<b>Schools</b>									
SCH	Schools - cyclical programme*	Director of Education	✓	✓	✓	✓	✓	✓	✓
<b>Environment and Leisure Department</b>									
<b>Highways</b>									
EL01	Highways maintenance	Director of Environment	✓				✓		
EL02	Cleaner, greener, safer programme	Director of Environment			✓				
<b>Leisure and Culture</b>									
EL11	Cemeteries and crematoria	Director of Leisure						✓	
EL12	Library service	Director of Leisure	✓				✓		
EL13	Leisure services	Director of Leisure	✓				✓		

Ref.	Audit	Audit Sponsor	2017-18 (for ref.)	2018-19 (for ref.)	2019-20 (for ref.)	2020-21 (for ref.)	2021-22 (for ref.)	2022-23	2023-24
EL14	South Dock marina	Director of Leisure				✓			✓
EL15	Youth service	Director of Leisure		✓				✓	
EL16	Parks	Director of Leisure			✓				✓
EL17	Play service	Director of Leisure			✓				
EL18	Tree management service	Director of Leisure				✓			
<b>Regulatory Services</b>									
EL21	CCTV	Director of Environment		✓					
EL22	Enforcement	Director of Environment			✓				
EL23	Licencing	Director of Environment		✓			✓		
EL24	Parking management & estates parking permits	Director of Environment		✓				✓	
EL25	Markets	Director of Environment		✓				✓	
<b>Service Development</b>									
EL31	Corporate energy / greener borough	Director of Environment	✓						
<b>Communities</b>									
EL35	No recourse to public funds	Director of Communities	✓		✓			✓	
EL36	Tenancy management organisations (TMOs) - cyclical compliance audits	Director of Communities		✓	✓	✓	✓	✓	✓

Ref.	Audit	Audit Sponsor	2017-18 (for ref.)	2018-19 (for ref.)	2019-20 (for ref.)	2020-21 (for ref.)	2021-22 (for ref.)	2022-23	2023-24
EL37	Tenancy Management organisations - use of reserves	Director of Communities					✓		
EL38	Community projects	Director of Communities	✓		✓				
EL39	Community engagement	Director of Communities		✓				✓	
<b><u>Traded Services</u></b>									
EL41	Materials	Director of Environment	✓		✓				✓
EL42	Pest control	Director of Environment			✓				
EL43	Southwark building services	Director of Environment		✓			✓	✓	
EL44	Street lighting and signs	Director of Environment							✓
<b><u>Waste and Cleansing</u></b>									
EL51	Commercial waste	Director of Environment		✓					✓
EL52	Fleet contract and strategy management	Director of Environment					✓		
EL53	Estates cleaning	Director of Environment		✓					
EL54	Grounds maintenance	Director of Environment	✓					✓	
EL55	Waste contract / PFI	Director of Environment		✓					✓
EL56	Trading standards, food safety and health & safety	Director of Environment						✓	
<b><u>Public Health</u></b>									

Ref.	Audit	Audit Sponsor	2017-18 (for ref.)	2018-19 (for ref.)	2019-20 (for ref.)	2020-21 (for ref.)	2021-22 (for ref.)	2022-23	2023-24
EL57	Health in all policies	Director of Public Health and Wellbeing		✓					
EL58	Public health priority area	Director of Public Health and Wellbeing			✓				
EL59	Social regeneration framework	Director of Public Health and Wellbeing							
<b>Department Wide Audits</b>									
EL61	Volunteer management	Director of Leisure / Director of Environment			✓				
EL62	Debt management	All Directors				✓			
EL63	Climate emergency	Strategic Director of Environment and Leisure / Director for Climate Change				✓		✓	
EL64	Service assurance / change programme reviews	Strategic Director of Environment and Leisure					✓	✓	
<b>Finance and Governance Department</b>									
<b>Legal Services</b>									
FG01	Electoral register and elections	Director of Law and Democracy	✓				✓		
FG02	Case management system (Visualfiles)	Director of Law and Democracy	✓						✓
FG03	Barristers' framework	Director of Law and Democracy			✓				
FG04	Member / officer protocol	Director of Law and Democracy					✓		

Ref.	Audit	Audit Sponsor	2017-18 (for ref.)	2018-19 (for ref.)	2019-20 (for ref.)	2020-21 (for ref.)	2021-22 (for ref.)	2022-23	2023-24
FG05	Whistleblowing	Director of Law and Democracy			✓				
FG06	Members allowances	Director of Law and Democracy		✓					
FG07	Contracts register	Director of Law and Democracy					✓		
FG08	Litigation protocols	Director of Law and Democracy				✓			
FG09	Complaints	Director of Law and Democracy						✓	
<b>Professional Services</b>									
FG11	Housing revenue account (HRA)	Acting Director of Finance					✓		
FG12	Capital expenditure management	Strategic Director of Finance and Governance						✓	
<b>Information Governance</b>									
FG21	Data Protection and GDPR preparedness / compliance	Head of Information Governance	✓	✓			✓		
FG22	Pensions administration	Head of Information Governance			✓	✓	✓	✓	✓
FG23	Insurance	Head of Information Governance					✓		
<b>Exchequer Services</b>									
FG31	Home ownership - mortgages	Director of Exchequer Services			✓				
FG32	Home ownership - charges to leaseholders	Director of Exchequer Services		✓				✓	
FG33	Home ownership - garages	Director of Exchequer Services			✓				

Ref.	Audit	Audit Sponsor	2017-18 (for ref.)	2018-19 (for ref.)	2019-20 (for ref.)	2020-21 (for ref.)	2021-22 (for ref.)	2022-23	2023-24
FG34	Enforcement agents, rent arrears and write offs	Director of Exchequer Services		✓				✓	
FG35	Client services	Director of Exchequer Services			✓				✓
FG36	Contact centre	Director of Exchequer Services		✓		✓			
<b>Department wide reviews</b>									
FG41	Service assurance reviews	Strategic Director of Finance and Governance					✓	✓	
<b>Key Financial Systems</b>									
KFC01	Council tax	Director of Exchequer Services	✓		✓		✓		
KFC02	NNDR	Director of Exchequer Services	✓	✓	✓		✓		✓
KFC03	Housing rents	Director of Exchequer Services	✓	✓	✓	✓		✓	
KFC04	Accounts receivable /debt management	Director of Exchequer Services			✓	✓			✓
KFC05	Payroll and HR	Director of Exchequer Services/ Head of HR (CEX)	✓	✓	✓	✓	✓	✓	✓
KFC06	General ledger	Acting Director of Finance		✓			✓		
KFC07	Accounts payable	Director of Exchequer Services	✓	✓	✓	✓	✓	✓	✓
KFC08	Treasury management	Acting Director of Finance	✓			✓			
KFC09	Housing benefits	Director of Exchequer Services	✓	✓	✓		✓		✓
KFC10	Suspense accounts management	Director of Exchequer Services	✓		✓		✓		

Ref.	Audit	Audit Sponsor	2017-18 (for ref.)	2018-19 (for ref.)	2019-20 (for ref.)	2020-21 (for ref.)	2021-22 (for ref.)	2022-23	2023-24
KFC11	SAP scheme of delegation and authorisations	Director of Exchequer Services				✓			
<b>Housing and Modernisation Department</b>									
<b><u>Asset Management</u></b>									
HM01	Apex asset management system	Director of Asset Management	✓				✓		
HM02	Engineering services	Director of Asset Management	✓ (as part of HM01)				✓ (as part of HM01)		
HM03	Gas servicing	Director of Asset Management	✓ (as part of HM01)				✓ (as part of HM01)		
HM04	Housing adaptations	Director of Asset Management	✓						✓
HM05	Housing investment and decision making	Director of Asset Management	✓						
HM06	Major works	Director of Asset Management			✓		✓		✓
HM07	Building Safety	Director of Asset Management						✓	
HM08	Statutory disrepairs	Director of Asset Management / Director of Law and Democracy			✓				✓
HM09	Southwark building services / repairs and maintenance	Director of Asset Management		✓				✓	
<b><u>Customer Experience</u></b>									
HM21	Blue badges and freedom passes	Director of Customer Experience			✓				

Ref.	Audit	Audit Sponsor	2017-18 (for ref.)	2018-19 (for ref.)	2019-20 (for ref.)	2020-21 (for ref.)	2021-22 (for ref.)	2022-23	2023-24
HM23	Coroners	Director of Customer Experience						✓	
HM24	Customer experience and resolution / complaints	Director of Customer Experience				✓			
HM25	Housing solutions - applications and allocations	Director of Customer Experience		✓		✓			✓
HM26	Housing solutions - homelessness	Director of Customer Experience			✓			✓	
HM27	Housing solutions - other services	Director of Customer Experience	✓						
HM28	MySouthwark home owners agency	Director of Customer Experience	✓						
HM29	Channel shift	Director of Customer Experience		✓					
HM30	Registrars	Director of Customer Experience			✓			✓	
HM31	Sales and acquisitions, including right to buy	Director of Customer Experience		✓			✓		
HM32	Integration of customer based systems	Director of Customer Experience	✓						
HM33	Demolitions	Director of Customer Experience				✓			
HM34	Customer Access Strategy	Director of Customer Experience					✓		

Ref.	Audit	Audit Sponsor	2017-18 (for ref.)	2018-19 (for ref.)	2019-20 (for ref.)	2020-21 (for ref.)	2021-22 (for ref.)	2022-23	2023-24
<b><u>Resident Services</u></b>									
HM41	Voids	Director of Resident Services			✓			✓	
HM42	Multi-agency working / data sharing	Director of Resident Services	✓						
HM43	Housing tenancies	Director of Resident Services	✓				✓		
HM44	Sheltered housing	Director of Resident Services			✓				
HM45	Supported accommodation hostels (family hostels)	Director of Resident Services			✓				
HM46	Temporary accommodation	Director of Resident Services		✓				✓	
<b><u>Facilities Management</u></b>									
HM51	Corporate facilities management	Head of Facilities Management	✓				✓		
HM52	Health and safety	Head of Facilities Management	✓	✓			✓		
<b><u>Modernise Programme</u></b>									
HM53	Modernise programme	Strategic Director of Housing and Modernisation		✓					
<b><u>New Homes Programme and Regeneration</u></b>									
HM71	New homes programme	Director of New Homes Programme				✓		✓	
HM72 (was CX21)	Major regeneration programmes & projects	Director of Planning and Growth	✓		✓			✓	

Ref.	Audit	Audit Sponsor	2017-18 (for ref.)	2018-19 (for ref.)	2019-20 (for ref.)	2020-21 (for ref.)	2021-22 (for ref.)	2022-23	2023-24
HM73 (was CX22)	Commercial property portfolio	Director of Planning and Growth					✓		
<b>Information Technology Audits</b>									
IT01	Network security	Head of IT and Digital Services	✓				✓		
IT02	IT disaster recovery and business continuity planning	Head of IT and Digital Services	✓				✓		
IT03	IT shared service arrangements	Head of IT and Digital Services		✓	✓				
IT04	Change control	Head of IT and Digital Services		✓					
IT05	Website security and maintenance	Head of IT and Digital Services			✓				
IT06	Cloud strategy	Head of IT and Digital Services			✓				
IT07	Cyber security	Head of IT and Digital Services				✓	✓ (reliance on third party assurance)	✓	
IT08	Cloud security	Head of IT and Digital Services						✓	
IT09	Mobile device management	Head of IT and Digital Services				✓			
IT10	Software asset management	Head of IT and Digital Services				✓			
<b>Thematic Audits / Council Wide Reviews</b>									
TR01	Access to services	Corporate Governance Panel	✓						
TR02	Commercialisation	Corporate Governance Panel							

Ref.	Audit	Audit Sponsor	2017-18 (for ref.)	2018-19 (for ref.)	2019-20 (for ref.)	2020-21 (for ref.)	2021-22 (for ref.)	2022-23	2023-24
TR03	Business continuity planning (now combined with Emergency planning)	Corporate Governance Panel / Head of Chief executive's office		✓					
TR04	Health and safety	Corporate governance panel / departmental leads			✓				
TR05	Fairer futures - procurement framework	Corporate Governance Panel / Director of Law and Democracy	✓		✓		✓		✓
TR06	Fairer futures - contract management	Corporate Governance Panel / Director of Law and Democracy					✓		
TR07	Financial planning and budget monitoring	Chief Officers Team	✓				✓		
TR08	Governance	Corporate Governance Panel	✓						
TR09	Hospitality and gifts register, register of interests and bribery and corruption	Corporate Governance Panel / Director of Law and Democracy	✓					✓	
TR10	Use of consultants / payments to individuals outside of PAYE / IR35	Corporate Governance Panel / Chief Officers Team			✓			✓	
TR11	Voluntary sector engagement	Strategic Directors							
TR12	Sickness absence management, monitoring and reporting	Director of HR / Corporate Governance Panel						✓	
TR13	Compliance with HR policies and procedures	Director of HR / Corporate Governance Panel						✓	

Ref.	Audit	Audit Sponsor	2017-18 (for ref.)	2018-19 (for ref.)	2019-20 (for ref.)	2020-21 (for ref.)	2021-22 (for ref.)	2022-23	2023-24
TR14	Records management	Strategic Director of Finance and Governance / Corporate Governance Panel			✓				
TR15	Data and information management	Strategic Director of Finance and Governance / Corporate Governance Panel			✓		✓		
TR16	Risk Management	Corporate Governance Panel					✓		
TR17	Fraud protocols	Strategic Director of Finance and Governance				✓			
TR18	Off contract expenditure	Strategic Director of Finance and Governance / Corporate Governance Panel	✓						
TR19	Corporate credit cards	Strategic Director of Finance and Governance				✓			
TR20	Supplier resilience	Strategic Director of Finance and Governance						✓	

# APPENDIX I

## Internal Audit Charter - Role and Scope of Internal Audit

### Purpose of this charter

This Charter formally defines internal audit's purpose, authority and responsibility and is a requirement of Public Sector Internal Audit Standards (PSIAS).

This Charter establishes internal audit's position within the London Borough of Southwark ("the Council") and defines the scope and limitations of internal audit activities and its relationship with the Audit, Governance and Standards Committee and Senior Management.

Final approval resides with the Council, in practice the charter shall be reviewed and approved annually by management and by the Audit, Governance and Standards Committee on behalf of the Council.

### Internal audit's mission

Internal audit's mission is to enhance and protect organisational value by providing risk-based and objective assurance, advice and insight.

### Standards for the Professional Practice of Internal Auditing

The internal audit function undertakes its work in line with PSIAS which encompass the mandatory elements of the IIA's International Professional Practices Framework, including the Core Principles for the Professional Practice of Internal Auditing, the Code of Ethics, the International Standards for the Professional Practice of Internal Auditing, and the Definition of Internal Auditing as set out by the Global IIA.

### Internal audit's purpose

Internal audit provides independent, objective assurance and consulting activity designed to add value and improve the organisation's operations. It helps the organisation accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes.

Internal audit acts primarily to provide the Audit, Governance and Standards Committee with the information necessary for it to fulfil its own responsibilities and duties. Implicit in internal audit's role is that it supports the organisation's management to fulfil its own risk, control and compliance responsibilities. The range of work performed by internal audit is set out in PSIAS and not repeated here.

### Internal audit's authority

Internal audit staff are authorised to:

- ▶ Have full, free and unfettered access to all of the organisation's records, property, and personnel relevant to the performance of engagements; whilst being accountable for the confidentiality and safeguarding of such records and information.
- ▶ Obtain assistance from the necessary organisation's personnel in relevant engagements, as well as other specialised services from within or outside the organisation.

The Head of Internal Audit will have unrestricted access to the Audit, Governance and Standards Committee and retain the right to meet *in camera* with the Audit, Governance and Standards Committee, without management present.

Internal audit has no authority or management responsibility for any of its engagement subjects.

Internal audit will not make any management decisions or engage in any activity which could reasonably be construed to compromise its independence.

### Internal audit's role in fraud, bribery and corruption

Management, not internal auditors are responsible for the prevention and detection of fraud, bribery and corruption. Auditors will, however, be alert in all their work to risks and exposures that could allow fraud or corruption as well as seeking to identify indications that fraud and corruption may have been occurring. Audit procedures alone, even when performed with due professional care, cannot guarantee that fraud and corruption will be detected. In the event that internal audit suspects a fraud, this will be referred to appropriate management in the first instance and then the Audit, Governance and Standards Committee.

### Internal audit's responsibility

The Head of Internal Audit is responsible for all aspects of internal audit activity, including strategy, planning, performance, and reporting.

Internal audit will:

#### Strategy

- ▶ Develop and maintain an Internal Audit Strategy
- ▶ Review the Internal Audit Strategy at least annually with management and Audit, Governance and Standards Committee.

#### Planning

- ▶ Develop and maintain an Internal Audit Plan to fulfil the requirements of this Charter and the Internal Audit Strategy
- ▶ Engage with management and consider the organisation's strategic and operational objectives and related risks in the development of the Internal Audit Plan
- ▶ Review the Internal Audit Plan periodically with management and adjust the plan as necessary to respond to any changes in business risks, operations, systems and controls
- ▶ Present the Internal Audit Plan, including updates, to the Audit, Governance and Standards Committee for periodic review and approval

- ▶ Prepare an internal audit budget sufficient to fulfil the requirements of this Charter, the Internal Audit Strategy, and the Internal Audit Plan
- ▶ Submit the internal audit budget to the Audit, Governance and Standards Committee for review and approval annually
- ▶ Coordinate with and provide oversight of other control and monitoring functions, including risk management, compliance and ethics, and external audit
- ▶ Consider the scope of the work of other assurance providers for the purpose of providing optimal audit coverage to the organisation.

### Performance

- ▶ Implement the Internal Audit Plan
- ▶ Maintain professional resources with sufficient knowledge, skills and experience to meet the requirements of this Charter, the Internal Audit Strategy and the Internal Audit Plan
- ▶ Allocate and manage resources to accomplish internal audit engagement objectives
- ▶ Establish and maintain appropriate internal auditing procedures incorporating best practice approaches and techniques
- ▶ Monitor delivery of the Internal Audit Plan against the budget
- ▶ Ensure the ongoing effectiveness of internal audit activities
- ▶ Ensure the principles of integrity, objectivity, confidentiality and competency are upheld.

### Reporting

- ▶ Issue a report to management at the conclusion of each engagement to confirm the results of the engagement and the timetable for the completion of management actions to be taken
- ▶ Provide periodic reports to management and the Audit, Governance and Standards Committee summarising internal audit activities and the results of internal audit engagements
- ▶ Provide periodic reports to management and the Audit, Governance and Standards Committee on the status of management actions taken in response to internal audit engagements
- ▶ Report annually to the Audit, Governance and Standards Committee and management on internal audit performance against the goals and objectives set out in the internal audit plan and any agreed key performance indicators
- ▶ Report as needed to the Audit, Governance and Standards Committee on management, resource, or budgetary impediments to the fulfilment of this Charter, the Internal Audit Strategy, or the Internal Audit Plan
- ▶ Inform the Audit, Governance and Standards Committee of emerging trends and issues that could impact the organisation.

### Effective internal audit

Our internal audit function is effective when:

- ▶ It achieves the purpose and responsibility included in the internal audit charter

- ▶ It conforms with the Standards
- ▶ Its individual members conform with the Code of Ethics and the Standards
- ▶ It considers trends and emerging issues that could impact the organisation.

The internal audit activity adds value to Southwark Council (and its stakeholders) when it considers strategies, objectives and risks, strives to offer ways to enhance governance, risk management and control processes and objectively provides relevant assurance.

We will agree with you an audit plan for a total number of days activity. Once agreed, we will turn this into a cash budget which we will work to, in order to ensure that you have certainty around the fees you will pay us.

#### **Access to records and confidentiality**

There are no limitations to internal audit's right of access to the Council's officers, records, information, premises, or meetings which it considers necessary to fulfil its responsibilities.

When the auditors receive confidential information about your affairs it shall at all times be kept confidential, except as required by law or as provided for in regulatory, ethical or other professional pronouncements applicable. All information will be maintained in line with appropriate regulations, for example the Data Protection Act 2018.

#### **Coordination and reliance with other assurance providers**

In co-ordinating activities internal audit may rely on the work of other assurance and consulting service providers.

A consistent approach is adopted for the basis of reliance and internal audit will consider the competency, objectivity, and due professional care of the assurance and consulting service providers. Due regard will be given to understanding of the scope, objectives and results of the work performed by other providers of assurance and consulting services.

Where reliance is placed upon the work of others, internal audit is still accountable and responsible for ensuring adequate support for conclusions and opinions reached by the internal audit activity.

#### **Internal audit's commitments to Southwark Council**

Internal audit commits to the following:

- ▶ Working with management to improve risk management, controls and governance within the organisation
- ▶ Performing work in accordance with PSIAS
- ▶ Complying with the ethical requirements of PSIAS
- ▶ Dealing in a professional manner with Trust/Council staff, recognising their other commitments and pressures
- ▶ Raising issues as they are identified, so there are no surprises and providing practical recommendations
- ▶ Liaising with external audit and other regulators to maximise the assurance provided to the Council

- ▶ Reporting honestly on performance against targets to the Audit, Governance and Standards Committee.

### Independence and internal audit's position within the organisation

To provide for internal audit's independence, its personnel and any contractors will report to internal audit function, who reports to the Audit, Governance and Standards Committee. The Head of Internal Audit has free and full access to the Chair of the Audit, Governance and Standards Committee.

Internal audit reports administratively to the Chief Executive or Strategic Director of Finance and Governance who provides day-to-day oversight.

The appointment or removal of internal audit will be performed in accordance with established procedures and subject to the approval of the Chair of the Audit, Governance and Standards Committee.

The internal audit service will have an impartial, unbiased attitude and will avoid conflicts of interest and perform engagements in such a manner that there are no quality compromises and judgement on audit matters is not subjugated to others.

If the independence or objectivity of the internal audit service is impaired, details of the impairment will be disclosed to either the Chief Executive or the Chair of the Audit, Governance and Standards Committee, dependent upon the nature of the impairment.

The internal audit service is not authorised to perform any operational duties for the organisation; initiate or approve accounting transactions external to the internal audit service; or direct the activities of any the organisation employee not employed by the internal auditing service, except to the extent such employees have been appropriately assigned to service or to otherwise assist the internal auditor.

### Internal audit's scope

The scope of internal audit activities includes all activities conducted by the organisation. The Internal Audit Plan identifies those activities that have been identified as the subject of specific internal audit engagements.

The provision of assurance services is the primary role for internal audit in the UK public sector. This role requires the chief audit executive to provide an annual internal audit opinion based on an objective assessment of the framework of governance, risk management and control.

**Assurance engagements** involve the objective assessment of evidence to provide an independent opinion or conclusions regarding an entity, operation, function, process, system or other subject matter. The nature and scope of the assurance engagement are determined by internal audit.

**Consulting engagements** are advisory in nature and are generally performed at the specific request of management. The nature and scope of consulting engagements are subject to agreement with management. When performing consulting services, internal audit will maintain objectivity and not assume management responsibility.

### Quality Assurance Improvement Programme (QAIP)

The internal audit function will maintain a QAIP. As required by PSIAS an external assessment of the service will be performed at least every five years. The programme will include an evaluation of the internal audit activity's conformance with The Standards and an evaluation of whether the

internal auditors apply The IIA's Code of Ethics. The plan will assess the efficiency and effectiveness of internal audit and identify opportunities for improvement.

### Periodic reporting on compliance against Professional Standards

Internal audit will periodically report to the Audit, Governance and Standards Committee to:

- ▶ Confirm the independence of the function on at least an annual basis.
- ▶ Report annually on conformance with The IIA's Code of Ethics and the Standards.
- ▶ Confirm the maintenance of a QAIP, and
- ▶ Report on the results of internal assessments and the results of the external quality assessments (undertaken at least once every 5 years by a qualified, independent assessment team).

### Approval and validity of this Charter

This Charter shall be reviewed and approved annually by management and by the Audit, Governance and Standards Committee on behalf of the Council.

### Internal audit performance measures and indicators

The tables below contain some of the performance measures and indicators that are considered to have the most value in assessing the efficiency and effectiveness of internal audit.

The Audit, Governance and Standards Committee should approve the measures which will be reported to each meeting and / or annually as appropriate. In addition to those listed here we also report on additional measures as agreed with management and included in our Progress Report.

**Table One: Performance measures for internal audit**

Measure / Indicator
<p><b><i>Audit Coverage</i></b></p> <p>Annual Audit Plan delivered in line with timetable</p> <p>Actual days are in accordance with Annual Audit Plan</p>
<p><b><i>Relationships and customer satisfaction</i></b></p> <p>Customer satisfaction reports - overall score at average at least 3.5 / 5 for surveys issued at the end of each audit.</p> <p>Annual survey to Audit, Governance and Standards Committee to achieve score of at least 70%</p> <p>External audit can rely on the work undertaken by internal audit (where planned)</p>
<p><b><i>Staffing and Training</i></b></p> <p>At least 60% input from qualified staff</p>
<p><b><i>Audit Reporting</i></b></p> <p>Issuance of draft report within 3 weeks of fieldwork 'closing' meeting</p> <p>Finalise internal audit report 1 week after management responses to report are received.</p>

**Audit Quality**

High quality documents produced by the auditor that are clear and concise and contain all the information requested.

Positive result from any external review

**Management and staff performance measures and indicators**

The following three indicators are considered good practice performance measures but we go beyond this and report on a suite of measures as included in each Audit, Governance and Standards Committee progress report.

**Table Two: Performance measures for management and staff**

Measure / Indicator
<p><b><i>Response to terms of reference and reports</i></b> Audit sponsor to respond to terms of reference within one week of receipt and to draft reports within two weeks of receipt</p>
<p><b><i>Implementation of recommendations</i></b> Audit sponsor to implement all audit recommendations within the agreed timeframe</p>
<p><b><i>Co-operation with internal audit</i></b> Internal audit to confirm to each meeting of the Audit, Governance and Standards Committee whether appropriate co-operation has been provided by management and staff</p>

**BDO key contacts**

Name	Grade	Contact
Greg Rubins	Partner and Chief Audit Executive	<a href="mailto:Greg.Rubins@bdo.co.uk">Greg.Rubins@bdo.co.uk</a> 07710 703441
Aaron Winter	Director	<a href="mailto:Aaron.Winter@bdo.co.uk">Aaron.Winter@bdo.co.uk</a> 07442 851 860
Angela Mason-Bell	Senior Manager	<a href="mailto:Angela.Mason-Bell@bdo.co.uk">Angela.Mason-Bell@bdo.co.uk</a> 07813 000319
Lilian Eshun-Brown	Manager	<a href="mailto:Lilian.Eshun-Brown@bdo.co.uk">Lilian.Eshun-Brown@bdo.co.uk</a>
Curtis Yapp	Assistant Manager	<a href="mailto:Curtis.Yapp@bdo.co.uk">Curtis.Yapp@bdo.co.uk</a>
Antony Hadjirousos	IT Audit Manager	<a href="mailto:Antony.Hadjirousos@bdo.co.uk">Antony.Hadjirousos@bdo.co.uk</a>
Swetha Saseendran	IT Assistant Manager	<a href="mailto:Swetha.Saseendran@bdo.co.uk">Swetha.Saseendran@bdo.co.uk</a>

**FOR MORE INFORMATION:****Greg Rubins**

+447710703441

greg.rubins@bdo.co.uk

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<b>Item No.</b> 12.	<b>Classification:</b> Open	<b>Date:</b> 7 February 2022	<b>Meeting</b> Audit, Governance & Standards Committee
<b>Report title:</b>		Member Induction Programme 2022	
<b>Ward(s) or groups affected:</b>		All	
<b>From:</b>		Doreen Forrester-Brown, Director of Law & Governance and Monitoring Officer	

## RECOMMENDATIONS

1. To note the establishment of the director-led Member Induction and Learning & Development Task & Finish Group.
2. To note the objectives and outcomes for the Member Induction and Learning & Development Programme 2022.
3. To note and approve the draft Member Induction and Learning & Development Programme 2022.

## BACKGROUND INFORMATION

4. On 19 February 2018 Audit Governance & Standards Committee received a report entitled Southwark Member Induction Programme 2018. The report noted the completion of the project to rollout mobile technology to all Members and sought approval of the draft Member Induction Programme 2018.
5. Local Elections will take place on 5 May 2022; it is expected that several Members will be elected to the Council who are new to the role. This report details the steps the Council will take to ensure that new and returning Members are supported to undertake their role in the Council and maintain high standards of conduct.
6. In October 2021 the Monitoring Officer established the Member Induction Task & Finish Group. The Monitoring Officer leads the Group and is supported by the Director of Strategy & Economy. Directors from all departments of the Council are represented in the Group. However responsibility for developing and delivering the Induction and Learning & Development Programme is the responsibility of our Strategic Learning & Development Partner and Interim Learning & Development Partner - Member Induction. The core group officer list is attached at **Appendix 1**.

## Member Induction and Learning & Development Programme 2022

7. Duncan Whitfield, the Strategic Director of Finance & Governance is the project sponsor. The core group report into Corporate Governance Panel and to the

Chief Officer Team through the project sponsor, Duncan Whitfield. Audit Governance & Standards Committee have responsibility for promoting and maintaining high standards of conduct by elected members. The Induction, training and development of elected representatives is important to ensure they have a good understanding of the governance framework of the council.

## **KEY ISSUES FOR CONSIDERATION**

### **Objective of the Member Induction Programme 2022**

8. The objective of the initial stage of the programme is Member Induction. This element of the programme takes place between May-July 2022. Its objective is to ensure that newly-elected and re-elected Members to Southwark on 5 May 2022 are inducted into their roles in council business, decision-making, and how to be effective councillors when exercising their community leadership role. The overarching objective of member induction is to provide elected members with an understanding of how to discharge their role as an elected representative of Southwark and provide a basic understanding of the governance framework of the council.
9. The induction programme is therefore designed to support the promotion of effective community leadership and skilled decision making. It is also important, through induction, to promote and maintain high standards of conduct and good governance at a standard suitable for the office and responsibilities they hold.
10. The second stage of the programme from late July to October will be designed to ensure that there are additional opportunities for Members to attend key workshops they may have missed, mop up sessions or additional areas of training identified during the Induction period. There will also be a separate programme designed for Cabinet Members.

### **Member Learning & Development Programme 2022**

11. The Member Induction Learning & Development Programme 2022 is attached in **Appendix 2**.
12. The Appendix provides a draft overview of the Member Induction and Learning & Development programme with tentative dates. This is work in progress and is subject to further discussion with the Group Whips, training facilitators and the Task & Finish Groups.
13. In developing the Member Learning & Development Programme, Organisational Transformation have taken into account the rapid change to the delivery of learning across the organisation since the Covid-19 pandemic and have implemented the **Southwark approach to learning**.
14. The learning and development offer is focused on empowering members to work, learn, manage and lead effectively through a flexible approach to learning, 70:20:10. This approach aims to create an environment where Members can 'learn by doing' (70%), learn by working with others (20%) and learn in the

classroom (10%). It also embraces digital opportunities to extend the reach and speed of access to learning.

15. The programme includes Induction for Members where key learning has been identified to support them in carrying out their roles. The Member Handbook and Learning & Development programme will make recommendations for essential and refresher courses for Members. It will note, in line with the approach taken by other Local Authorities, that Members are required to undertake specified training in order for them to be able to sit on / Chair various Committees in accordance with the Constitution, such as Planning and Licensing Committee.
16. The allocation of financial resources in planning the Learning & Development programme has been carefully planned to ensure the Council achieves value for money in what is a competitive market with limited organisations who have the capacity to support the programme. Every effort should be made by Members to attend courses that have been organised to maximise attendance and resources.

### **Core Principles of the Programme**

17. The following core principles will drive the Member Induction and L&D Programme:
  - a. **Digital by default.** Where possible, training and induction will be delivered through online courses, which can be completed at a time convenient to members, using My Learning Source. Members will have access to a range of courses and information via their individual account. Members will also have a range of e-learning modules, which can be accessed via the Local Government Association platform to help develop their knowledge to support their role.
  - b. **Self-managing by councillors.** Induction will be based on a clear framework; members will be encouraged to take a proactive approach to their induction that works for them, is designed by them, and is based on their lifestyle, day to day pressures and own learning styles. Attendance and take up of programmes will be monitored.
  - c. **Prioritised and phased.** There will be clarity on what members absolutely *must* do, but recognising what is *nice to have* and so prioritising effort accordingly. This is about recognising that bombarding members with information and training in the days and weeks after the election may have the opposite effect to effective induction. Instead, the induction process should seek to phase activity prioritising the 'must dos' and important training early on, leaving 'nice to haves' to later phases and making the transition to 'business as usual'.
  - d. **High quality.** The quality of content of the induction must be high in addition to the IT kit to support the training. Significant improvements have been made in IT following the move to the shared service. Further details of the IT offer is contained in paragraphs 28-30.

- e. **Feedback and evaluation.** Members will be asked for constant feedback throughout the induction and more formally build in an evaluation on point in delivery to help learn lessons for the development of future programmes.

### **Learning and Feedback from the 2018 Induction Programme**

18. The feedback from the 2018 programme was generally very positive and well received by members. Members felt they had been given an overview of council business, and an understanding of their role as an elected Councillor of Southwark had been gained. Examples of comments received were: 'Very helpful and relevant', 'Excellent', 'Needed to be longer or provide a follow up' and 'Helpful in understanding the member role'.
19. Other feedback received indicated that the programme was very intense, with essential or role-specific inductions running 3 to 4 evenings a week from May to July making it difficult to maintain a work-life balance.
20. In response to that feedback the 2022 programme has been amended to:
- Phase the programme over a longer period;
  - Provide greater clarity over prioritisation of training particularly for newly elected members;
  - The movement of more training to on-line which means that members can access the training at a time that works for them.

### **New Learning & Development Areas**

21. Since May 2018 the council has changed; there is a new Borough Plan containing new commitments, there has also been the declaring of a Climate Emergency, a global pandemic and the impact of Covid-19 on communities in Southwark, and Southwark Stands Together with our commitment to stand against racism and injustice. In response to this, the Induction Programme has been developed to include the following areas:
- a. **Wellbeing and Health & Safety**  
Over the last four years there has been an increase in incidences of physical, verbal and written abuse by the public towards Members. The Group Whips have also raised concerns about the safety of Members at Ward Surgeries and when engaging with constituents in the community. To support Members, additional courses have been identified to build their confidence and make them more aware of how to keep themselves safe. The following courses are available: Personal Safety for Members (e-learning), Members & Social Media, and dealing with complex and difficult casework. Members also have access to personal safety information provided by the Local Government Association and the Police.
- b. **The Health of the Borough**  
The aim is to provide Members with an understanding of the health, social & economic impact of Covid-19 on the borough's population and interventions to address this. Members will have an understanding of health and wellbeing in the borough, along with the inequalities that exist between communities

and population groups. They will gain an understanding of the immediate and longer-term health, social and economic impacts of the COVID-19 pandemic on our residents.

**c. Climate Change**

The Council declared a Climate Emergency in 2019 and produced a Climate Change Strategy in 2021. Climate Change is a key priority for the Council. Southwark is actively working to reduce its carbon footprint. Workshops will provide an introduction to the topic and enable Members to understand their role in tackling climate change and the carbon neutral target. They will also develop an understanding of how every decision will have an impact on these targets.

**d. Equalities**

The Borough Plan and Southwark Stands Together strengthened the Council's commitment to tackling racism and inequality. Enhanced equalities training will be provided to ensure Members fully understand Equalities Legislation, and how this relates to their role as elected representatives. The Equality Framework is about tackling inequalities, promoting equality and valuing diversity: to be a borough where all feel included, respected, treated fairly, appropriately and able to access services which understand and meet diverse needs.

### **Member Development Portal**

22. The Councillor Resource area on My Learning Source will be redesigned to ensure that the learning and development offer is clearly signposted so that all Members can see at a glance what they are required to do.
23. A Member Induction Implementation Task & Finish Group has been set up to look at delivery of the workshops and resources that are need to be uploaded onto the Portal.
24. Currently the areas on the Members resource portal include:
  - Learning & Development Matrix
  - Digital Skills
  - Member Induction e-Handbook
  - Local Government Association
  - Information Commissioners Office
  - Chartered Institute of Public Finance Accountancy
  - Local Government Information Unit
  - London Councils
  - Mobile Device Resources

### **Local Government Association Portal**

25. London Councils and the Local Government Association offer a comprehensive learning platform for Members. To access Members will be required to set up an account. Once they have registered with a username and password it will take 24 hours before their account becomes active. The Local Government Association

has a range of resources, which are accessible to Members. These include an e learning platform, a New Councilor Hub, and Councilor Workbooks where Members can easily access information 24 hours a day.

26. Once their account become activated, Members will have access to the following modules listed below:

• Biodiversity for councils	• Local Government Finance
• Commissioning Council services	• Planning
• Community engagement and leadership	• Police and crime panels
• Councillor Induction	• Scrutiny for councillors
• Equality, Diversity & Inclusion	• Stress management and personal resilience
• Facilitation and conflict resolution	• Supporting mentally healthier communities

27. The Local Government Association also have a platform called LG Plus where they collate and publish data for more than 9,000 types of metrics describing local authorities, wards and many other geographies. Members are able to access the data directly via the data tool or in themed reports written by the LGA. Information is presented in maps, charts or tables and comparisons can be made between wards and other local authorities. Membership to access this data is being explored.

### **Member IT and Digital Support**

28. Since May 2018 the delivery of our IT function has moved to a shared service arrangement with Brent and Lewisham. Further with increased remote working and considerable demands on the shared service from all authorities, it is important to clarify for all Members the service and support they can expect to receive in relation to IT and digital training.
29. An order has been placed for laptops for new members and it is planned to deploy these as far as possible within 24 hours of election results being announced. New members will be invited to collect their IT equipment from Tooley St and a named lead engineer will coordinate this activity. Basic initial guidance on using the equipment will be provided by the on-site engineers as part of the handover, more in-depth training will be provided by our Digital Learning Partners as part of the induction programme the following week. The named lead engineer will ensure that any technical issues reported by new members during the first week are swiftly resolved and on-site engineers will be present during the IT Training sessions of the induction programme to address any technical issues that arise.
30. The support processes for Members are currently being reviewed with the intent to offer an improved support service. These processes will be documented within a Members IT Policy which will also describe the IT hardware and software to be

provided to members and contain links to all relevant IT usage policies.

### **Member Handbook**

31. The Member Handbook is an e-handbook which was produced as part of the Member Induction Programme in 2018. It is accessible to all members via the members' section of My Learning Source.
32. The handbook aims to support members in carrying out their duties as a councillor and providing general guidance. The e-handbook is being updated for 2022 to take account of changes that have occurred within the council in the past four years. These include updates on members' IT kit, how members can make an enquiry, policy framework (Borough Plan, Climate change) and departmental staffing structures.

### **Member Enquiries**

33. Members will be provided with training on the icasework Members Portal, when they attend the Member Enquiry sessions provided as part of the induction programme. The newly introduced icasework Members Portal provides Councillors with the chance to log their own casework directly, this provides them with a reference immediately and allows them to track the progress of that casework. Members will also be provided with a copy of the Members Procedure document which will provide guidance on the process.

### **Meet the Officers Session**

34. An important part of the induction is to provide members with a broader understanding on how the council works, who is responsible for what at a senior level, the different configuration of departments and services and how these work together across the council.
35. The induction programme will therefore include a 'Meet the Officers' session. This will be an open session for Members to meet officers in a relatively informal setting. The purpose being to learn about what the council does and how it is organised, the specific role of senior officers and their teams and provide opportunities to ask questions about how the council works. An 'overview' document outlining the different departments and services within the Council will be provided alongside the event.
36. The session will be held in person in the late afternoon / early evening, most likely to take place in June (dates to be confirmed). Although there is hope that the impact of Covid on our borough will be reduced by the summer, officers will look at options to hold the event online as an alternative.

### **Cabinet Member Induction**

37. The election of a new Council will lead to a new Cabinet. It will be for the Leader of the Council, in discussion with officers, to work through how best to support any new Cabinet including what induction activity may be required.

## **Community, equalities (including socio-economic) and health impacts**

### **Community impact statement**

38. The Borough Plan details the key priorities for the Council. This report explains how the Member Induction and Learning & Development Programme 2022 will support the promotion of effective community leadership and skilled decision making. It is also important, through induction, to promote ethical decisions, maintain high standards of conduct and good governance at a standard suitable for the office they hold.

### **Equalities (including socio-economic) impact statement**

39. Southwark is a diverse borough and tackling inequalities is a key priority for the Council. The Induction and Learning & Development Programme has been developed to ensure that Members have a good understanding of equalities legislation, the Council's Equalities Framework and SST.

### **Health impact statement**

40. There are no health impacts arising from this report, however the programme does include better training and support for Members around wellbeing and Health & Safety. Public Health have developed a module entitled the health of the borough which will support Members in understanding the health data and health inequalities across Southwark.

### **Climate change implications**

41. The use of more online training should reduce the requirement for Members to attend face-to-face training and thereby support the Council in reducing our carbon footprint and become carbon neutral by 2030.

### **Resource implications**

42. The cost for the Member Induction and Learning & Development Programme 2022 will be met from the Member Training budget. An additional six months' resources has been engaged to support the development of the programme

### **Legal implications**

43. Please see the comments of the Director of Law and Governance.

### **Financial implications**

44. The cost of the programme will be met from the existing Member Learning and Development budget.

## Consultation

45. The Task and Finish Group and the Group Whips have been consulted on the Induction and Learning & Development Programme. Corporate Governance Panel were consulted on the programme and their comments have been incorporated. The Council have also worked closely with the Local Government Association, London Councils and external training organisations and individuals when developing the programme.

## SUPPLEMENTARY ADVICE FROM OTHER OFFICERS

### Director of Law & Governance

46. The Council has a duty under Section 27 of the Localism Act 2011 to promote and maintain high standards of conduct by its members. Some Members, including Members of Planning Applications Committee and Licensing Sub-Committee, are required to attend designated training to ensure they are up to date with current legislation and practice. Decisions made by Members who have not attended such training could be open to challenge.
47. Member training and development is essential to ensure that Members are given the knowledge and skills to perform their roles effectively.

### Strategic Director of Finance & Governance

48. The financial implications relating to the proposals contained in this report will be met from existing resources.

### Reasons for lateness

49. Information for this report was being consulted on by a variety of partners, and feedback was unavailable till after the report deadline.

### Reasons for urgency

50. This meeting is the last meeting of the audit, governance and standards committee before the elections on 5 May 2022, when the induction programme will begin.

## BACKGROUND DOCUMENTS

Background Papers	Held At	Contact
None		

## APPENDICES

No.	Title
Appendix 1	Core Group Officer List
Appendix 2	Member Learning & Development Programme 2022

**AUDIT TRAIL**

<b>Lead Officer</b>	Doreen Forrester-Brown, Director of Law and Governance	
<b>Report Author</b>	Doreen Forrester-Brown, Director of Law and Governance	
<b>Version</b>	Final	
<b>Dated</b>	31 January 2022	
<b>Key Decision?</b>	No	
<b>CONSULTATION WITH OTHER OFFICERS / DIRECTORATES / CABINET MEMBER</b>		
<b>Officer Title</b>	<b>Comments Sought</b>	<b>Comments Included</b>
Director of Law & Governance	Yes	Yes
Strategic Director of Finance & Governance	Yes	Yes
<b>Cabinet Member</b>	No	No
<b>Date final report sent to Constitutional Team</b>	31 January 2022	

## Appendix 1: Core Group Officer List

Name	Job role
Duncan Whitfield	Strategic Director of Finance & Governance
Doreen Forrester-Brown Stephen Gaskell	Chair of Senior Board Vice Chair
Chidi Agada & Norman Coombe Representative from Legal Constitutional Team  Everton Roberts	Deputy Programme Leads  Scrutiny
Richard Selley Dionne Lowndes	Director of Customer Services Chief Technology Officer
Tashoy Ashley Deborah Gordon	Strategic Learning and Development Partner Learning & Development Partner - Member Induction
Beth Penwarden	Strategy and Change Manager
Louise Neilan	Head of External Affairs
Stephen Douglass	Director of Communities
Geraldine Chadwick	Interim Senior Finance Manager
Matt Clubb Sangeeta Leahy Cheryl Russell Alasdair Smith Dominic Cain Stephen Platts / Colin Wilson	Director of Environment Director of Public Health Director of Resident Services Child Protection Lead Exchequer Services Planning and Growth

# SOUTHWARK MEMBER INDUCTION AND LEARNING & DEVELOPMENT PROGRAMME 2022



70-20-10 APPROACH TO LEARNING



## Southwark Council Members Induction and Learning & Development Programme 2022

Southwark Council's Members Induction and Learning & Development Programme 2022 has been designed to support all newly- elected councillors – whether

- this is the first time that you have been elected to Southwark Council,
- you are returning after a period away from the Council, or
- you have been re-elected from the 2018 – 2022 term.

The induction programme has been designed to help ensure that Councillors are prepared for their roles in the new Council to:

- effectively represent their communities
- maintain the highest standards of conduct and ethics
- contribute to the good governance of Southwark and actively encourage community participation and citizen involvement in decision-making
- deal with individual casework and act as an advocate for constituents in resolving particular concerns or grievances

The learning and development offer is focused on empowering members to work, learn, manage and lead effectively through a flexible approach to learning, 70:20:10. This approach aims to create an environment where Members can 'learn by doing' (70%), learn by working with others (20%) and learn in the classroom (10%). It also embraces digital opportunities to extend the reach and speed of access to learning.

**You will be responsible for managing your learning.** We have developed a 3-month Induction programme, which is accessible for both new and returning Councillors. To maximise impact and to make the best use of our financial resources, we ask that you attend courses that have been allocated to you, or that you have registered for. We will review attendance on organised workshops to identify what will be planned for the autumn. If for any reason you need to cancel, we ask that you notify us 48 hours in advance by [learning@southwark.gov.uk](mailto:learning@southwark.gov.uk)

Newly elected Councillors should take the time to consider which sessions are essential for you to attend, and also any other sessions which you might also like to attend. In some popular or essential cases (for instance, training on the Council's safeguarding duties) the Council has timetabled multiple training sessions – however members need only attend one of these. All training will either take place virtually on Team or Zoom, or face to face in 160 Tooley Street unless otherwise advertised.

If you are Chairing or sitting on Scrutiny Panels, you will need to undertake the required training before can do this.

#In order to help Members navigate around the various resources we have developed a key to identify which key learning you will need to do. Please refer to the following key to help you.

KEY – WHAT TO ATTEND	
<b>E</b>	<b>Essential Training</b>
<b>R</b>	<b>Recommended Training</b>
<b>O</b>	<b>Optional Training</b>
<b>@</b>	<b>E-Learning Course</b>
<b>WB</b>	<b>LGA Workbook</b>

Please note that this programme is still in development and may be subject to change.  
**SOUTHWARK MEMBER INDUCTION AND LEARNING & DEVELOPMENT SCHEDULE**

	DATE		TIME	EVENT TITLE	DETAILS OF EVENT	WHO SHOULD ATTEND				TRAINER	NOTES
						All Members	Committee Members	E Learning available	LGA Workbook		
MAY	Thurs	5	All day	<b>COUNCIL ELECTIONS</b>							
	Fri	6	9.00 - 17.00	<b>Collection of I.T Equipment</b>	Members to be issued with laptops, mobile phones etc.	E				Roger Todd	Once I.T Kit has been collected I.T immediate I.T support can be provided
			10.00 - 13.00 14.00 - 16.00	<b>Member Induction I.T Training</b>	All members will have an in-depth overview of the technology, work devices and business applications they will have access to, and get an understanding of the key features required to use them.	R				Jamie Buist	
	Sat	7	9.00 - 17.00	<b>Collection of I.T Equipment</b>	Members to be issued with laptops, mobile phones etc.	E				Roger Todd	Once I.T Kit has been collected I.T immediate I.T support can be provided
	Mon	9	10.00 – 12.00	<b>Welcome session &amp; signing of declaration of office</b>	All councillors must sign the declaration of office with the Council’s monitoring officer. They also need to have their photographs taken, which will be used for ID cards and the councillors section on the council’s website etc.	E				Chidilim Agada / Doreen Forrester-Brown	
	Tues	10	18.00 – 20.00								
	Wed	11	10.00 – 12.00								
	Thurs	12	18.00 – 20.00								
MAY	Mon to Fri	9 - 13 May	10.00 - 13.00 14.00 - 16.00	<b>Member Induction I.T Training</b>	All members will have an in-depth overview of the technology, work devices and business applications they will have access to, and get an understanding of the key features required to use them.	R				Jamie Buist	
MAY	Mon	16	17.00 - 18.30	<b>How the Council Works / Decision Making at Southwark Council</b>	The session will provide an overview of the Council’s responsibilities and decision-making.	E				Chidilim Agada / Doreen Forrester-Brown	

DATE	TIME	EVENT TITLE	DETAILS OF EVENT	WHO SHOULD ATTEND				TRAINER	NOTES	
				All Members	Committee Members	E Learning available	LGA Workbook			
		19.00 - 20.30	<b>Being an Effective Councillor</b>	This session focuses on how to be an effective councillor in your ward	E		@	WB	Local Government Association	
<b>Tues</b>	<b>17</b>	10.00 - 11.30	<b>Meet the Officers</b>	This is an opportunity for members to meet key officers and understand their role at the council, and how officers support members.	E	E			Stephen Gaskell & Amy-Grace Whillans-Welldrake	
		18.00 - 19.30	<b>Effective Committee Membership</b>	This session focuses on how to be an effective councillor in your ward	E	E			Local Government Association	
<b>Wed</b>	<b>18</b>	18.00 - 19.30	<b>Code of Conduct and Standards training for members</b>	For Members to have an understanding of the standard of conduct expected.	E		@		Bethan Evans	
		16.00 - 17.30	<b>Being an effective scrutiny member and Core Questioning Skills</b>	Questioning skills are a key tool for councillors working on scrutiny committees – this session explores different questioning styles and impact	R	E			Ian Parry	Centre for Governance & Scrutiny
<b>Thurs</b>	<b>19</b>	16.00 - 17.30	<b>Introduction to Scrutiny</b>	To introduce members to the role of the scrutiny committees in Southwark's governance structure and the outward looking role in respect of partner and community organisations.	R	E		WB	Sunita Sharma	Centre for Governance & Scrutiny
		17.00 - 18.30	<b>Being an effective scrutiny member and Core Questioning Skills</b>	Questioning skills are a key tool for councillors working on scrutiny committees – this session explores different questioning styles and impact	R	E	@	WB	Ian Parry	Centre for Governance & Scrutiny
<b>Fri</b>	<b>20</b>	18.00 - 19.30	<b>Introduction to Scrutiny</b>	To introduce members to the role of the scrutiny committees in Southwark's governance structure and the outward looking role in respect of partner and community organisations.	R	E	@	WB	Sunita Sharma	Centre for Governance & Scrutiny

DATE	TIME	EVENT TITLE	DETAILS OF EVENT	WHO SHOULD ATTEND				TRAINER	NOTES		
				All Members	Committee Members	E Learning available	LGA Workbook				
		16.00 - 17.30	<b>Personal Safety Skills for Members</b>	This session focuses on face-to-face personal safety and areas councillors should consider in their public facing role.	E			WB	Bethan Evans		
MAY	Mon	23	14.00 - 16.00	<b>Practical Equality Diversity &amp; Inclusion</b>	To ensure that members understand the importance of key concepts, the leadership opportunity afforded to members on this agenda and avoiding common errors	E			WB	David Weaver	Suganya Naveenan
	Tues	24	10.00 - 11.30	<b>Casework &amp; Advocacy</b>	To ensure that members are adequately equipped to manage constituent enquiries and work effectively with officers whilst avoiding common errors	E		@	WB	Clare Johnson & Michelle Peak	Local Government Association
			18.00 - 19.30	<b>Member/ Officer Relationships</b>	This session focuses on effective member/ officer relationships	E				Local Government Association	
	Wed	25	16.30 - 18.30	<b>Members &amp; Social Media</b>	To consider the opportunities offered to members by social media to reflect on danger zones and to identify best practice and practical tips	R				Bethan Evans	
			19.00 - 20.30	<b>Personal Safety Skills for Members</b>	This session focuses on face-to-face personal safety and areas councillors should consider in their public facing role.	E			WB	Bethan Evans	
	Thurs	26	18.00 - 19.30	<b>Members &amp; Social Media</b>	To consider the opportunities offered to members by social media to reflect on danger zones and to identify best practice and practical tips	R			WB	Bethan Evans	

DATE	TIME	EVENT TITLE	DETAILS OF EVENT	WHO SHOULD ATTEND				TRAINER	NOTES		
				All Members	Committee Members	E Learning available	LGA Workbook				
		14.00 - 15.30	<b>Casework &amp; Advocacy</b>	To ensure that members are adequately equipped to manage constituent enquiries and work effectively with officers whilst avoiding common errors	E		@	WB	Clare Johnson & Michelle Peak		
Fri	27	17.00 - 18.30	<b>Being an Effective Councillor</b>	This session focuses on how to be an effective councillor in your ward	E		@	WB	Local Government Association		
		17.30 - 19.00	<b>Safeguarding</b>	Improve understanding / knowledge of safeguarding. This session is set-up to help councillors find out more about their role, and what support is available to them, in keeping people safe from harm and abuse.	E				Hannah Edwards & Safeguarding Leads in Children's & Adults		
MAY / JUNE	Mon	30	HALF TERM & BANK HOLIDAYS								
	Tues	31									
	Wed	1									
	Thurs	2									
	Fri	3									
JUNE	Mon	6	16.00 - 18.00	<b>Practical Equality, Diversity &amp; Inclusion</b>	To ensure that members understand the importance of key concepts, the leadership opportunity afforded to members on this agenda and avoiding common errors	E		@	WB	David Weaver	
			16.00 - 17.30	<b>Code of Conduct and Standards training for members</b>	Member have an understanding of the standard of conduct expected.	E				Bethan Evans	
	Tues	7	16.00 - 18.30	<b>Effective Public Speaking as a Councillor</b>	To provide councillors with approaches and techniques to make an effective contribution when speaking	R				Bethan Evans	
			19.00 - 20.30	<b>Member/ Officer Relationships</b>	This session focuses on effective member/ officer relationships	E				Local Government Association	

DATE	TIME	EVENT TITLE	DETAILS OF EVENT	WHO SHOULD ATTEND				TRAINER	NOTES		
				All Members	Committee Members	E Learning available	LGA Workbook				
<b>Wed</b>	<b>8</b>	16.00 - 17.30	<b>Being an effective scrutiny member and Core Questioning Skills</b>	Questioning skills are a key tool for councillors working on scrutiny committees – this session explores different questioning styles and impact	R	E	@	WB	Ian Parry	Centre for Governance & Scrutiny	
<b>Thurs</b>	<b>9</b>	17.30 - 19.00	<b>Local Government Finance</b>	An overview of local government finance particularly in the context of Southwark’s budget 2021-22 and the impact of wider changes attached to local government finance. It includes the role of finance in member decision making.	E		@	WB	Duncan Whitfield & Local Government Association		
		16.00 - 17.00	<b>A brief overview of the Exchequer service pm</b>	To provide knowledge/overview of the service areas, types of enquiries received and support available/referral points.	R				Dominic Cain		
<b>Fri</b>	<b>10</b>	10.00 - 11.30	<b>Effective Committee Membership</b>	This session focuses on how to be an effective councillor in your ward	E				Duncan Whitfield & Local Government Association		
<b>JUNE</b>	<b>Mon</b>	<b>13</b>									
	<b>Tues</b>	<b>14</b>	16.00 - 18.00	<b>The Future of Technology</b>	The session will give a high-level briefing of the role of technology in services we deliver to residents.	R				Davinia Fell	
	<b>Wed</b>	<b>15</b>	15.00 - 16.30	<b>Being an effective scrutiny member and Core Questioning Skills</b>	Questioning skills are a key tool for councillors working on scrutiny committees – this session explores different questioning styles and impact	R	E	@		Ian Parry	Centre for Governance & Scrutiny
	<b>Thurs</b>	<b>16</b>	18.00 - 19.30	<b>Health &amp; Wellbeing at Southwark Council</b>	Understand the health, social & economic impact of covid19 on the borough’s population and interventions to address this	R				Chris Williamson	
	<b>Fri</b>	<b>17</b>	17.00 - 18.30	<b>Safeguarding</b>	Improve understanding / knowledge of safeguarding. This session is set-up to help councillors find out more about their role, and what support is available to them in keeping people safe from harm and abuse.	E				Hannah Edwards & Safeguarding Leads in Children’s & Adults	

DATE	TIME	EVENT TITLE	DETAILS OF EVENT	WHO SHOULD ATTEND				TRAINER	NOTES	
				All Members	Committee Members	E Learning available	LGA Workbook			
JUNE	Mon	20								
	Tues	21	10.00 - 12.00	<b>Climate Change</b>	An Introduction to Climate Change and for Members to develop knowledge to ask the right questions to review reports and challenge proposals	R			Chris Page	
			15.00 - 16.30	<b>Casework &amp; Advocacy Skills</b>	To ensure that members are adequately equipped to manage constituent enquiries and work effectively with officers whilst avoiding common errors	E		@	WB	Clare Johnson & Michelle Peak
	Wed	22	18.00 - 19.30	<b>Being an effective scrutiny member and Core Questioning Skills</b>	Questioning skills are a key tool for councillors working on scrutiny committees – this session explores different questioning styles and impact	R	E	@	Ian Parry	Centre for Governance & Scrutiny
	Thurs	23	17.00 - 18.30	<b>Health &amp; Wellbeing at Southwark Council</b>	Understand the health, social & economic impact of covid19 on the borough's population and interventions to address this	R			Chris Williamson	
	Fri	24	16.00 - 17.30	<b>Safeguarding</b>	Improve understanding / knowledge of safeguarding. This session is set-up to help councillors find out more about their role, and what support is available to them in keeping people safe from harm and abuse.	E			Hannah Edwards & Safeguarding Leads in Children's & Adults	
JUNE / JULY	Mon	27	10.00 - 12.00	<b>Practical Equality, Diversity &amp; Inclusion</b>	To ensure that members understand the importance of key concepts, the leadership opportunity afforded to members on this agenda and avoiding common errors	E		@	David Weaver	
	Tues	28	17.00 - 18.30	<b>Local Government Finance</b>	An overview of local government finance particularly in the context of Southwark's budget 2021-22 and the impact of wider changes attached to local government finance. It includes the role of finance in member decision making.	R		@	Duncan Whitfield & Local Government Association	

Appendix 1: Core Group Officer List

DATE	TIME	EVENT TITLE	DETAILS OF EVENT	WHO SHOULD ATTEND				TRAINER	NOTES
				All Members	Committee Members	E Learning available	LGA Workbook		
Wed	29	15.00 - 16.00	<b>A brief overview of the Exchequer service</b>	To provide knowledge/overview of the service areas, types of enquiries received and support available/referral points.	R			Dominic Cain	
		18.00 - 20.00	<b>Meet the Officers</b>	This is an opportunity for members to meet key officers, understand their role at the council, and how officers support members.	E			Stephen Gaskell & Amy-Grace Whillans-Welldrake	
Thurs	30	14.00 - 16.00	<b>Climate Change</b>	An Introduction to Climate Change and for Members to develop knowledge to ask the right questions to review reports and challenge proposals	R			Chris Page	
Fri	1	10.00 - 11.30	<b>The Future of Technology</b>	The session will give a high-level briefing of the role of technology in services we deliver to residents.	R			Davinia Fell	
JULY	Mon	4							
	Tues	5	17.30 - 19.00	<b>Health &amp; Wellbeing at Southwark Council pm</b>	Understand the health, social & economic impact of covid19 on the borough's population and interventions to address this	R		Chris Williamson	
	Wed	6							
	Thurs	7	17.00 - 18.30	<b>Effective Public Speaking as a Councillor pm</b>	To provide councillors with approaches and techniques to make an effective contribution when speaking	R		Bethan Evans	
	Fri	8							
✓	Mon	11							
	Tues	12	16.00 - 17.30	<b>Planning Committee Training for Members am</b>	This session focuses on equipping new members with the key skills and knowledge required for sitting on and contributing effectively to the Planning Committee	O	E	Local Government Association	
	Wed	13	18.00 - 19.30	<b>Meet the Officers am</b>	This is an opportunity for members to meet key officers, understand their role at the council and how officers support members.	E		Stephen Gaskell & Amy-Grace Whillans-Welldrake	

DATE	TIME	EVENT TITLE	DETAILS OF EVENT	WHO SHOULD ATTEND				TRAINER	NOTES
				All Members	Committee Members	E Learning available	LGA Workbook		
Thurs 14	17.00 - 18.30	<b>Planning Committee Training for Members pm</b>	This session focuses on equipping new members with the key skills and knowledge required for sitting on and contributing effectively to the Planning Committee	O	F			Local Government Association	
Fri 15									
Mon 18									
Tues 19	18.00 - 20.00	<b>Practical Equality, Diversity &amp; Inclusion</b>	To ensure that members understand the importance of key concepts, the leadership opportunity afforded to members on this agenda and avoiding common errors	E		@		David Weaver	
Wed 20	17.00 - 18.30	<b>Meet the Officers</b>	This is an opportunity for members to meet key officers, and understand their role at the council and how officers support members.	E				Stephen Gaskell & Amy-Grace Whillans-Welldrake	
Thurs 21									
Fri 22									
JULY	Mon 25	<b>SUMMER HOLIDAYS</b>							
	Tues 26								
	Wed 27								
	Thurs 28								
	Fri 29								

## LOCAL GOVERNMENT ASSOCIATION

The Local Government Association provides a wide range of resources, training and support for members that can be accessed via their website

### E-learning modules

As a Member, you also have access to the Local Government Association e learning platform. Completing e-learning modules will help to deepen your knowledge of local government and help you to build the leadership skills you need to work effectively within the Southwark community.

You can use the platform to create a bespoke learning programme – choosing the modules most relevant to your individual needs and interests, and undertake your learning around all your other commitments.

The table below contains a list of the current available modules that are available to you. To access you will need to create an account by using the following link [LGA E Learning Platform](#)

• Biodiversity for councils	• Local Government Finance
• Commissioning Council services	• Planning
• Community engagement and leadership	• Police and crime panels
• Councillor Induction	• Scrutiny for councillors
• Equality, Diversity & Inclusion	• Stress management and personal resilience
• Facilitation and conflict resolution	• Supporting mentally healthier communities
• Handling complaints for service improvement	• Supporting your constituents with complex issues
• Handling intimidation	• The effective ward councillor
• Holding Council meetings online	• UK General Data Protection Regulation
• Influencing skills	• Licensing & regulation

### COUNCILLOR WORKBOOKS

The Local Government Association also provides a diverse range of Councillor Workbooks, which help Members to extend their knowledge and understanding of their role, and will keep you up to date with current legislation, research and developments including Supporting residents with complex issues, Engaging Young People and more. These can be accessed in the following link <https://www.local.gov.uk/councillor-workbooks> or clicking on the topic below that you want to find more information.

• <a href="#">Acting on climate change</a>	• <a href="#">Engaging young people</a>	• <a href="#">Neighbourhood and community engagement</a>
• <a href="#">Being an effective ward councillor</a>	• <a href="#">Equality, diversity and inclusion</a>	• <a href="#">Neighbourhood planning</a>
• <a href="#">Bribery and fraud prevention</a>	• <a href="#">Facilitation and conflict resolution</a>	• <a href="#">Planning</a>
• <a href="#">Chairing skills</a>	• <a href="#">Handling casework</a>	• <a href="#">Scrutiny</a>
• <a href="#">Commissioning services</a>	• <a href="#">Handling complaints for service improvement</a>	• <a href="#">Scrutiny of finance</a>
• <a href="#">Community leadership</a>	• <a href="#">'Health in All Policies' (HiAP) and COVID-19</a>	• <a href="#">Stress management and personal resilience</a>
• <a href="#">Councillor / officer relations</a>	• <a href="#">Influencing skills</a>	• <a href="#">The local pathway to net zero</a>
• <a href="#">Creating a 'fit for the future' organisation</a>	• <a href="#">Local government finance</a>	• <a href="#">The role of leaders and cabinet members during the COVID-19 pandemic</a>
• <a href="#">Effective opposition during COVID-19, reset and recovery</a>	• <a href="#">Mentally healthier places</a>	• <a href="#">Supporting residents with complex issues</a>
• <a href="#">Working with town and parish councils</a>		

<b>Item No.</b> 17.	<b>Classification:</b> Open	<b>Date:</b> 7 February 2022	<b>Meeting Name:</b> Audit, governance and standards committee
<b>Report title:</b>		Annual work programme for the following year (2022-23)	
<b>Ward(s) or groups affected:</b>		All	
<b>From:</b>		Strategic Director of Finance and Governance	

## RECOMMENDATIONS

1. That the audit, governance and standards committee consider the proposed draft work programme for 2022-23 and whether they would wish to make amendments to arrangements as set out in paragraphs 8 and 9 of this report, or in respect of any other matters.
2. That the audit, governance and standards committee, subject to any requested changes, agree the work programme for 2022-23 set out in Appendix 2.

## BACKGROUND INFORMATION

3. Since its establishment in March 2007, the committee has agreed a work programme for the forthcoming year. Amendments to the programme to take account of changing circumstances can be made throughout the year.
4. The purpose of this report is to set out possible areas of work for consideration to enable members to agree a programme for 2022-23.

## KEY ISSUES FOR CONSIDERATION

5. In considering items for inclusion, it may be helpful to do this within the framework of the committee's purpose, as set out in the constitution. This is set out in the constitution to be:
  - Independent assurance of the adequacy of the council's governance arrangements, including 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
  - Oversight of the financial reporting process
  - Scrutiny of the treasury management strategy and policies
  - A framework to promote and maintain high standards of conduct by councillors, co-opted members and church and parent governor representatives.
6. The committee's terms of reference, as approved by council assembly, cover functions relating to audit activity, the regulatory framework, accounts, treasury management and

the council's standards framework. They are attached at Appendix 1 as they may further help the committee to determine items to be included in its work programme.

7. Using the 2020-21 revised work programme as a starting point, a draft programme for 2022-23 has been included at Appendix 2 for the committee's consideration. Items shown in brackets are standing items which will be brought forward as they arise. The draft programme is based on meetings of the committee being held in June 2022, July 2022, September 2022, November 2022, February 2023 and June 2023.

#### **Areas of governance for review**

8. During 2020-21 and 2021-22, the committee invited chief officers to attend and discuss departmental governance. The programme was suggested on the understanding that this would be likely to take two years to see all the chief officers
9. Members are asked to consider whether they would wish to continue this approach. If they do not wish to continue this approach, they are asked to identify an alternative approach to the review of governance.
10. There remains a need to ensure flexibility in terms of emerging issues which come to light through items already on the committee's agenda. For example, a review of audit recommendations and progress on their implementation may highlight a need to request the attendance of individuals at a future meeting to help explain action taken. The draft programme therefore includes a standing item relating to review of the committee's work plan. There may also be a need to review the work programme to take account of any changes which may be agreed to the council's constitution during the year.
11. Items have been grouped in line with its functions, in order to ensure that there is appropriate coverage of the committee's key roles as defined in its terms of reference.
12. Training will continue to be provided for members on the role of the committee, and development needs will continue to be monitored to enable appropriate training to be provided as opportunities arise.
13. The committee is asked to consider whether the attached draft work programme reflects its priorities for the next year or whether there are other amendments which it would wish to see included.

#### **Policy implications**

14. This report is not considered to have direct policy implications.

#### **Community impact statement**

15. The decision to agree a work programme for next year is considered not to have a significant impact on any particular community or group.

#### **Resource implications**

16. There are no direct resource implications in this report.

**Consultation**

17. There has been no consultation on this report.

**SUPPLEMENTARY ADVICE FROM OTHER OFFICERS**

18. None required.

**Reasons for lateness**

19. Information for this report was being consulted on by a variety of partners, and feedback was unavailable till after the report deadline.

**Reasons for urgency**

20. This meeting is the last meeting of the audit, governance and standards committee before the start of the new council year, when this work programme will begin.

**BACKGROUND DOCUMENTS**

Background Papers	Held At	Contact
None.		

**APPENDICES**

No.	Title
Appendix 1	Extract from the constitution – Part 3K Audit and governance
Appendix 2	Draft work programme for 2022-23

**AUDIT TRAIL**

<b>Lead Officer</b>	Duncan Whitfield, Strategic Director of Finance and Governance	
<b>Report Author</b>	Virginia Wynn-Jones, Principal Constitutional Officer	
<b>Version</b>	Final	
<b>Dated</b>	28 January 2022	
<b>Key Decision?</b>	No	
<b>CONSULTATION WITH OTHER OFFICERS / DIRECTORATES / CABINET MEMBER</b>		
<b>Officer Title</b>	<b>Comments sought</b>	<b>Comments included</b>
Director of Law and Democracy	No	No
Strategic Director of Finance and Governance	No	No
<b>Cabinet Member</b>	No	No
<b>Date final report sent to Constitutional Team</b>		28 January 2022

## **Extract from the constitution – Part 3K Audit and governance committee**

### **ROLE AND FUNCTIONS**

#### **Introduction**

The purpose of the audit, governance and standards committee is to provide:

1. Independent assurance of the adequacy of the council's governance arrangements, including its standards regime, the risk management framework and the associated control environment.
2. 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.
3. Oversight of the financial reporting process.
4. Scrutiny of the treasury management strategy and policies.
5. A framework to promote and maintain high standards of conduct by councillors, co-opted members and church and parent governor representatives.

#### **Audit activity**

6. To approve the internal audit charter
7. To approve the risk based internal audit plan, including resource requirements.
8. To approve any significant proposed advisory services, additional to those included in the audit plan.
9. To receive information on the appointment, departure, resignation or change in chief audit executive.
10. To receive in-year summaries of internal audit and anti-fraud activity and the internal audit annual report and opinion and to consider the level of assurance it can give over the council's corporate governance arrangements.
11. To receive reports dealing with the management and performance of the provider of internal audit services, including the performance of the chief audit executive.
12. To receive reports from internal audit on agreed recommendations not implemented within a reasonable timescale.
13. To consider the external auditor's annual letter, relevant reports and the report to those charged with governance.
14. To consider specific reports as agreed with the external auditor.
15. To comment on the scope and depth of external audit work and to ensure it gives value for money.

16. To have oversight over the appointment of the external auditor.
17. To commission work from internal and external audit.

### **Accounts**

18. To review and approve the annual statement of accounts and specifically to consider compliance with appropriate accounting policies and whether there are any concerns arising from the financial statements or from the audit that need to be brought to the attention of the council.
19. To consider the external auditor's report to those charged with governance on issues arising from the audit of the accounts.

### **Treasury management**

20. To review and scrutinise the treasury management strategy and policies.

### **Governance activity**

21. To review any issue referred to it by the chief executive or a strategic director, or any council body.
22. To monitor the effective development and operation of risk management in the council.
23. To monitor the effective development and operation of corporate governance in the council and to agree actions necessary to ensure compliance with best practice.
24. To monitor council policies on 'whistle-blowing', the 'corporate anti-fraud strategy' and the council's complaints processes.
25. To receive reports from the statutory officers under the council's whistle blowing policy.
26. To provide strategic oversight on the use of the powers regulated by the Regulation of Investigatory Powers Act 2000 and to receive in-year reports on operational use.
27. To oversee the production of and agree the council's annual governance statement.
28. To review the council's compliance with its own and other published standards and controls.
29. To receive reports on retrospective contract related decisions as set out in contract standing orders.
30. To receive reports from the monitoring officer on any serious breach of the contract standing orders or procurement guidelines.

**Standards activity**

31. To advise the council on the adoption or revision of the members' code of conduct, the member and officer protocol and the communication protocol.
32. To monitor the operation of the members' code of conduct, the member and officer protocol and the communication protocol.
33. To monitor and advise on training provided for councillors, co-opted members and church and parent governor representatives.
34. To deal with any standards related complaints referred to it and any report from the monitoring officer on any matter which is referred to him or her.
35. To receive reports from the monitoring officer on unlawful expenditure and probity issues.
36. To consider the withholding of allowances from individual members (including elected members and co-opted members) in whole or in part for non-attendance at meetings, or, for elected members only, for failure to attend required training.
37. To establish the following sub-committees:
  - to consider complaints of misconduct against elected councillors and co-opted members
  - to consider civic awards.

**Annual report**

38. To report annually to all councillors on its work and performance during the year.

**MATTERS RESERVED FOR DECISION****Matters reserved for decision by the main committee**

39. The matters reserved for decision to the committee are as set out in the role and functions, other than those functions delegated to the relevant sub-committee.

**Matters reserved for decision by the conduct sub-committee**

40. To consider complaints of misconduct against elected councillors and co-opted members.

**Matters reserved for decision by the civic awards sub-committee**

41. To grant civic awards.
42. To consider the process by which the decisions with respect to civic awards applications are to be taken and to make recommendations to the standards committee.
43. To appoint non-voting co-opted members of the civic awards sub-committee.

APPENDIX 2

Draft Work Programme for 2022-23

Items shown in brackets (✓) are standing items which will be brought forward if they arise

Item	Meeting date						Commentary
	June 2022	July 2022	September 2022	November 2022	Feb 2023	June 2023	
<b>General</b>							
Annual work programme for following year					✓		Draft work programme for the committee – Constitutional Officer
In-year review of work programme	(✓)	(✓)	(✓)	(✓)		(✓)	Standing item – to pick up emerging issues
Annual report of audit, governance and standards committee					✓		Report on committee’s work and performance to be submitted to all councillors each year – Constitutional Officer
<b>Internal Audit activity</b>							
Internal audit plan and strategy for internal audit, Internal audit charter					✓		Proposed internal audit programme for future years, and to agree the internal audit charter – Strategic Director of Finance and Governance
Annual report and opinion on internal audit and anti-fraud		✓					Including review of effectiveness of system of internal audit and Strategic Director of Finance and Governance’s opinion on system of internal control and report on internal audit contractor and Strategic Director of Finance and Governance (chief audit executive) performance, and annual progress report on the anti-fraud services and special investigations team - Fraud manager
Progress report on the work of internal audit and anti-fraud	✓		✓	✓	✓	✓	Issues raised and progress on implementation of recommendations, including approval of any

Item	Meeting date						Commentary
	June 2022	July 2022	September 2022	November 2022	Feb 2023	June 2023	
							significant additional advisory services – Strategic Director of Finance and Governance
<b>External Audit activity</b>							
Audit fee letters (including pension fund)	✓						Annual fee letters setting out indicative fees and planned work/outputs for the relevant year for the council and pension fund – Grant Thornton
Audit plans (including pension fund)					✓		Audit plans setting out audit work to be undertaken for audit of financial statements for the council and pension fund, including approval of any significant additional advisory services – Grant Thornton
Value for Money report (annual audit letter) (Grant Thornton)	✓						Annual audit letter (AAL) providing a summary of Grant Thornton's assessment of the council for the year, drawing from audit of financial statements and work undertaken to assess VfM – Grant Thornton
Audit findings reports (ISA 260) – including pension fund)			✓				Annual governance report (AGR) summarising findings from audit of financial statements and work to assess VfM arrangements – Grant Thornton
Informing the audit risk assessment for the council (including pension fund)	✓					✓	Item on oversight of management's processes in relation to risks of fraud/error, compliance with relevant laws and regulations and gong concern – Grant Thornton
Audit update report	(✓)	(✓)	(✓)	(✓)	(✓)	(✓)	Standing item – update on work being planned or undertaken – Grant Thornton

Item	Meeting date						Commentary
	June 2022	July 2022	September 2022	November 2022	Feb 2023	June 2023	
<b>Governance and standards activity</b>							
Annual governance statement (with accounts)	✓	✓					A mandatory statement setting out the council's governance arrangements – Departmental Finance Manager (Corporate and Central Services)
Retrospective approvals to contract decisions	(✓)	(✓)	(✓)	(✓)	(✓)	(✓)	Standing item, if required – contract standing orders require retrospective contract decisions over £100k for the purpose of obtaining guidance to inform future decision making – Director of Law and Governance
Risk management and insurance					✓		Report on key risks – Head of Financial and Information Governance
Progress report on implementation of external audit recommendations	(✓)	(✓)	(✓)	(✓)	(✓)	(✓)	Standing item – progress made in implementing external audit recommendations (including audit findings) – Strategic Director of Finance and Governance
Outcomes of the whistleblowing policy				✓			Annual report to consider outcomes of the whistleblowing policy – Director of Law and Democracy
Review of complaints made under Code of Conduct					✓		Annual report on complaints made under Code of Conduct – Head of Corporate Team
Report on operational use of Regulation of Investigatory Powers Act 2000					✓		Annual report on use of powers under RIPA – Head of Corporate Team
Review of member and officer protocol and communications protocol				✓			Annual review of protocols, with recommendations for changes as needed – Head of Corporate Team

Item	Meeting date						Commentary
	June 2022	July 2022	September 2022	November 2022	Feb 2023	June 2023	
Establishment of sub-committees	✓						Report to establish sub-committees in line with committee's role and functions – Principal Constitutional Officer
Appointment of non-voting members of the civic awards sub-committee					✓		Report to appoint the non-voting co-opted members of the civic awards sub-committee for 2019-20 – Principal Constitutional Officer
Member induction and training				✓			Report on member induction and training (pre-election years and if required in other years)
Areas of governance for review during year		(✓)	(✓)	(✓)	(✓)		To invite officers to attend meetings to discuss governance arrangements
Corporate governance framework	(✓)	(✓)	(✓)	(✓)	(✓)	(✓)	Standing item – to include e.g. council policies within remit of audit, governance and standards committee; other areas as identified: pensions governance; code of governance
Budget challenge and governance	(✓)	(✓)	(✓)	(✓)	(✓)	(✓)	Standing item – to monitor budget challenges as required, including processes and governance, throughout the year
<b>Accounts</b>							
Statement of accounts	✓	✓					Annual statement of accounts for consideration and approval – Strategic Director of Finance and Governance
<b>Treasury Management</b>							
Review of the policy and strategy				✓			Review of treasury management policy and strategy – Strategic Director of Finance and Governance

**COMMITTEE: AUDIT, GOVERNANCE AND STANDARDS COMMITTEE (OPEN AGENDA)**

**NOTE:** Original held in Constitutional Team; all amendments/queries to Virginia Wynn-Jones, Constitutional Team on 020 7525 7055 or [virginia.wynn-jones@southwark.gov.uk](mailto:virginia.wynn-jones@southwark.gov.uk)

**COPIES****COUNCILLORS**

Councillor James McAsh (Chair)	1
Councillor Graham Neale (Vice-chair)	By email
Councillor Humaira Ali	By email
Councillor Dora Dixon-Fyle	By email
Councillor Tom Flynn	By email
Councillor Andy Simmons	1
Councillor Michael Situ	By email

**RESERVES**

Councillor Radha Burgess	By email
Councillor Sunil Chopra	By email
Councillor Nick Dolezal	By email
Councillor Karl Eastham	By email
Councillor Hamish McCallum	By email

**OTHER COUNCILLORS**

Councillor Rebecca Lury	By email
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**LAW AND DEMOCRACY**

Norman Coombe	By email
Doreen Forrester-Brown	By email

**COMMUNICATIONS**

Louise Neilan	By email
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**CONSTITUTIONAL TEAM**

Virginia Wynn-Jones	By email
---------------------	----------

**INDEPENDENT PERSONS**

Mr Musa Chungo	By email
Ms Amrit Mangra	By email

**FINANCE AND GOVERNANCE**

Duncan Whitfield	By email
Timothy Jones	By email

<b>BDO (Internal Auditors) – Greg Rubins</b>	By email
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**GRANT THORNTON**

Ciaran McLaughlin	By email
Grant Thornton	
110 Bishopsgate	
London EC2N 4AY	

Matthew Dean	By email
Grant Thornton	
110 Bishopsgate	
London EC2N 4AY	

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