



**NOTES  
OF THE MEETING OF THE  
CORPORATE GOVERNANCE GROUP  
THURSDAY 6 JUNE 2013**

Held at 7.00 pm in the Council Chamber, Civic Centre, Pavilion Road  
West Bridgford

**PRESENT:**

Councillors G S Moore (Chairman), J R Bannister (Substitute for E A Plant), N A Brown, J E Cottee, G Davidson (Substitute for K A Khan), A M Dickinson, R Hetherington, J E Thurman and H Tipton

**ALSO IN ATTENDANCE:**

Councillor J A Cranswick  
C Williams            RSM Tenon

**OFFICERS PRESENT:**

R Caddy	Revenues and Benefits Manager
A Goodman	Member Support Officer
P Linfield	Service Manager - Finance and Commercial
P Steed	Executive Manager - Finance and Commercial
D Swaine	Executive Manager – Operations and Corporate Governance
J Wilkinson	Health & Safety Advisor

**APOLOGIES FOR ABSENCE:**

Councillors K A Khan and E A Plant

**1. Declarations of Interest**

There were none declared.

**2. Chairman's Remarks**

The Chairman welcomed Members and Officers to the first meeting of the municipal year.

**3. Notes of the Previous Meeting**

The notes of the meeting held on Wednesday 24 April 2013 were accepted as a true record.

**4. Health and Safety Annual Report 2012/13**

Members considered the Health and Safety Annual Report that set out the Council's occupational health and safety performance for the period 1 April 2012 to 31 March 2013. The report highlighted the key issues that elected Members needed to be aware of including details of new policies that had been implemented as part of the control measures within the corporate health and safety framework.

Furthermore, the report provided an indication of the effectiveness and success of the health and safety control measures the Council had in place, evidence of training delivered, progress towards meeting health and safety aims and objectives, and the number of accidents recorded.

The Health and Safety training needs of the Council's employees were identified in a number of ways including; Personal Development Reviews (PDR's), regular one to ones, team meetings and through the Executive Management Team. It was the role of the Health and Safety Advisor to ensure that training was consistent with the Council's duties and legal responsibilities. A rolling training programme was produced each year, which provided regular refresher training for existing employees, mandatory induction courses for new employees and significant practical on the job training. All health and safety training needs that had been identified in PDR's for this year had either been delivered or were programmed in for delivery in the first quarter of the new financial year. In January 2012 the Depot started a new initiative by developing a health and safety calendar with different safety topic for each month. Topics covered ranged from, slips, trips and falls, hand hygiene, wearing of personal protective equipment, safe reversing, mobile phone use.

In response to a question on how the effectiveness of e-learning courses was measured, the Executive Manager – Operations and Corporate Governance confirmed that all staff had to complete a test at the end of each module to demonstrate understanding.

In respect of the 69 % achievement for staff training on Legionella Awareness, Members were informed that all the appropriate staff who were involved in managing legionella at the Council's premises had been trained. However to ensure resilience, further training would be organised through the e-learning facility for additional staff to cover for in their absence. It was noted that all Legionella testing was carried out by external contractors.

The Health & Safety Advisor explained that the Council had four health and safety groups in place, the Corporate Health and Safety Group, the Employee Health and Safety Group, the One Great Depot Group and the Legionella and Asbestos Management Group, to ensure that there was a corporate approach to relevant issues.

The report stated that in line with its health and safety duties and responsibilities, the Council had a programme of policy review and implementation to support effective health and safety management. In accordance with the objectives agreed by the Group in May 2012, reviews of the hand arm vibration and management of legionellosis policies had been completed. The reviews of the Manual Handling policy and the Fire policy had also been completed and work on the Risk Assessment policy was ongoing. Initial work had also been undertaken early in the year to implement an electronic accident reporting package to record employee accidents. However, due to other priorities with the "MyHR system" further development work had been rescheduled and officers would continue to complete paper records.

The Health & Safety Advisor reported that although the number of reported accidents had slightly increased from last year, the amount remained low in comparison to the average for previous years. The amount of slip, trip and fall

incidents had more than doubled compared to last year, however it was noted that last year's figures were uncharacteristically low and 2011/12 was a milder winter with far fewer slipping accidents contributed by ice and snow.

During the twelve month period, five accidents had been reported to the Health and Safety Executive, as required by the RIDDOR (Reporting of Injuries, Diseases and Dangerous Occurrences Regulations) legislation, as the employee had over seven days off work.

There has been a scheduled inspection of our R2Go service in February 2013 by the Health and Safety Executive (HSE), as part of their inspection program of high risk areas. The outcome of the inspection was very positive, with no suggestions for improvements, and the Inspector gave his support to the work the Council was currently doing on risk assessments. The Fire Service carried out an inspection of Hound Road Hostel in October 2012. No significant items were identified and the Fire Officer made a number of minor recommendations, all of which have been actioned.

In respect of the accident figures for the leisure centres, Members were reminded that as these facilities were privately managed, responsibility for the health and safety lay with the companies that delivered the services. However as part of the work to oversee the delivery of the leisure contracts, and the contract management process the Council continually monitored the figures.

For the twelve month period from April 2012 to the end of March 2013 there had been 428 accidents by members of the public, compared to 491 for the same period in 2011/12 against a total usage of 1,363,468. Furthermore it was recognised that the figures included injuries sustained during sporting activities such as swimming, football and racquet sports, which were often outside the control of the leisure provider. The health and safety policies and practices of the leisure providers were closely monitored and scrutinised as a part of the regular meetings at both operational and strategic level. Each Leisure provider also reported annually to the Performance Management Board which compared their performance in relation to ten strategic objectives.

Members felt that in order to compare the performance of Parkwood and Carillion it would be useful for future reports to show the previous annual accident statistics.

**Action                    The Executive Manager – Operations and Corporate Governance to include annual accident statistics by leisure provider in future reports for comparison purposes**

It was AGREED that

- a) the significant progress made against the health and safety goals and objectives previously agreed by the Group for the financial year 2012/13 be noted, and
- b) the proposed health and safety objectives for 2013/14 as set out in the report be endorsed.

## 5. **Internal Audit Progress Report 2013/14**

Mr Williams, a representative from RSM Tenon, the Council's internal auditors, informed Members that in line with the audit plan, two reports had been issued since the last meeting of the Group, for the areas of Tendering and Treasury Management. He informed Members that the assurance level for Treasury Management was amber/green with two medium risk recommendations and Tendering was amber/red with four medium risk recommendations. There were currently seven audits in progress or at the draft stage and these would be presented to the next meeting of the Group.

In respect of the recommendation that all temporary investments over three months should be appropriately certified, Mr Williams confirmed that the issue related to two investments dating back to 2011/12. It was his understanding that the investments had been appropriately authorised at the time, however due to changes with Council's email system the documentation was no longer accessible. Mr Williams confirmed that this was a historic issue and that he was comfortable with the current arrangements.

## 6. **Internal Audit Annual Report 2012/13**

The Executive Manager - Finance and Commercial informed Members that due to delays to the audit programme, which had previously been reported, it had not been possible to finalise the Annual Report, including Internal Audit's Opinion and Level of Assurance. As a result, the Annual Report would now be presented to the meeting of the next meeting of the Group on 19 September 2013.

Work on the 2012/13 work programme had been completed and there were seven audits awaiting final responses from Executive Managers.

**Action            Member Services to arrange for the Internal Audit Annual Report 2012/13 to be moved to the meeting on 19 September 2013**

It was Agreed that:

- a) the Internal Audit Annual Report 2012/13 be presented to the meeting of the Group on 19 September 2013, and
- b) the Work Programme to amended to reflect this.

## 7. **Annual Governance Statement 2012/13**

The Service Manager - Finance and Commercial presented the Annual Governance Statement which would be included in the Statement of Accounts. He stated that the principles and the framework were unchanged from the previous year. The six core principles were drawn up in line with CIPFA (Chartered Institute of Public Finance and Accountancy) and SOLACE (Society of Local Authority Chief Executives) guidance.

The Group was informed that it was good practice for the Annual Governance Statement to be considered separately to the published accounts, which would

be presented to the Group for consideration at the meeting in September. In line with guidance, the Annual Governance statement would be based on the details set out in appendix 2 of the report.

The Group were informed that the Statement included three significant issues for the Council, these were:

- To meet the challenge of ensuring that the appropriate governance arrangements are in place for each of the major partnerships
- To mitigate the risks associated with the closedown of the accounts for 2011/12
- To manage a number of changes arising from the Localism Act and the Local Government Finance Acts, the welfare reform, introduction of Universal Credit, the issue of housing growth and the Cotgrave Masterplan.

In response to questions regarding the Council's Risk Management arrangements, the Executive Manager - Finance and Commercial confirmed that a full detailed report was considered by the Group last year. The Risk Register was currently being updated to reflect the new Senior Management structure and an update report was scheduled to be considered by the Group at its meeting on 7 November 2013.

It was AGREED that the details given in appendix 2 of the report be supported as the basis for the Annual Governance Statement to be included in the annual Statement of Accounts

## **8. Annual Report 2012/13**

The Chairman presented the Annual Report that provided a review of the work undertaken by the Corporate Governance Group in 2012/13. Members were informed that reports from all four scrutiny groups would be presented to Council on 26 September 2013.

The Group had considered the following topics during the year;

- Statement of Accounts
- External Auditors Annual Governance Report
- External Audit Plan
- Annual Governance Statement
- Health and Safety Annual Report
- Risk Management
- Financial Services and Treasury Management
- Revenue and Capital Budget Monitoring
- Internal Audit Strategy
- Internal Audit Progress
- Internal Audit Annual Report
- Fraud and Irregularities
- Certification of Grants and Returns Annual Report

It was AGREED that the report be approved and referred to Council for consideration.

## 9. **Fraud and Irregularities 2012/13**

The Revenues and Benefits Manager presented a report that outlined the successful detection of fraud by the Council in 2012/13. There had been no special fraud investigations during 2012/13 by Internal Audit to bring to Members attention. With regard to Council Tax and Housing Benefit Fraud there had been 72 cases investigated of which 16 cases had been found to be irregular and overpayments of £39,944 had been identified. The number of cases where sanctions had been applied had decreased from 29 in 2011/12 to 18 in 2012/13.

Members were informed that an exercise was undertaken during 2012/13 to review Council Tax Single Person Discounts. A total of 4,588 review forms were issued and this resulted in the removal of 135 discounts with an estimated value of £48,060. The Council had also participated in the Audit Commission's biennial data-matching exercise which involved reviewing Council Tax and Electoral Register data. Throughout 2012/13 a total of 863 matches were reviewed and this resulted in the removal of 89 single person discounts with an estimated value of £45,997.

It was AGREED that the update be noted.

## 10. **Finance Update**

The Executive Manager - Finance and Commercial informed the Group that the Council was on schedule to sign off the Statement of Accounts by 30 June 2013 and that there were no issues to bring to Members' attention.

The Chairman requested that the Finance Update remain as a standing item on the Agenda for the meeting on 19 September 2013.

In response to questions on whether the Finance Update should take the form of a written report, the Executive Manager - Finance and Commercial confirmed that the Group had requested verbal updates and that the need for such updates would be reviewed following the consideration of the Statement of Accounts and the external auditor's Annual Governance report at the Group's next meeting in September.

## 11. **Work Programme**

The Group considered the report of the Executive Manager – Operations and Corporate Governance that set out details of the proposed work programme for the municipal year 2013/14.

It was noted that the Internal Audit Annual Report 2012/13 had been moved to 19 September 2013, as a result of the preceding agenda item.

The Group AGREED the Work Programme as set out below:

Date of Meeting	Item
19 September 2013	<ul style="list-style-type: none"> <li>• Internal Audit Progress Report 2013/14</li> <li>• Internal Audit Annual Report 2012/13</li> <li>• Statement of Accounts 2012/13</li> <li>• External Auditors Annual Governance Report 2012/13</li> <li>• Revenue &amp; Capital Budget Monitoring</li> <li>• Treasury Management Update</li> <li>• Work Programme</li> </ul>
7 November 2013	<ul style="list-style-type: none"> <li>• Internal Audit Progress Report 2013/14</li> <li>• Annual Audit Letter</li> <li>• Revenue &amp; Capital Budget Monitoring</li> <li>• Health and Safety Interim report</li> <li>• Risk Management Update</li> <li>• Work Programme</li> </ul>
6 February 2014	<ul style="list-style-type: none"> <li>• Internal Audit Progress Report 2013/14</li> <li>• Treasury Management Update and Presentation</li> <li>• Risk Management Update</li> <li>• Revenue &amp; Capital Budget Monitoring</li> <li>• Work Programme</li> </ul>

The meeting closed at 8.10 pm.

**Action Sheet**  
**CORPORATE GOVERNANCE GROUP - THURSDAY 6 JUNE 2013**

Minute Number	Actions	Officer Responsible
3 Notes of the Previous Meeting	None	
4 Health and Safety Annual Report 2012/13	Include annual accident statistics by leisure provider in future reports comparison purposes	The Executive Manager – Operations and Corporate Governance
5 Internal Audit Progress Report 2013/14	None	
6 Internal Audit Annual Report 2013/14	Arrange for the Internal Audit Annual Report 2012/13 to be moved to the meeting on 19 September 2013	Member Services
7 Annual Governance Statement 2012/13	None	
8 Annual Report 2012/13	None	
9 Fraud and Irregularities 2012/13	None	
10 Finance Update	None	
11 Work Programme	None	