

Meeting GOVERNANCE AND ETHICS COMMITTEE

Date Wednesday 24 July 2019 (commencing at 1.00 pm)

membership

Persons absent are marked with `A`

COUNCILLORS

Bruce Laughton (Chairman)
Andy Sissons (Vice-Chairman)

Nicki Brooks
Richard Butler
Steve Carr **A**
Kate Foale
Errol Henry JP

Phil Rostance
Helen-Ann Smith
Keith Walker
Jonathan Wheeler

OTHER COUNCILLORS IN ATTENDANCE

John Longdon
Yvonne Woodhead

OFFICERS IN ATTENDANCE

Jill Norman
Colin Pettigrew

Children, Families and Cultural Services

Caroline Agnew
Glen Bicknell
Adam Crevald
Rob Disney
Keith Ford
Andrew Howarth
Laura Mulvany-Law
Marie Rowney
Sarah Stevenson
Keith Palframan
Marjorie Toward
Matthew Walker

Chief Executive's Department

OTHER ATTENDEES

John Gregory
Lorraine Noak

Grant Thornton (External Auditors)

1. MINUTES

The Minutes of the last meeting held on 12 June 2019, having been previously circulated, were confirmed and signed by the Chairman.

2. APOLOGIES FOR ABSENCE

No apologies for absence were received.

The following temporary changes of membership for this meeting only were noted:-

- Councillor Richard Butler had replaced Councillor John Handley
- Councillor Helen-Ann Smith had replaced Councillor Rachel Madden.

3. DECLARATIONS OF INTEREST BY MEMBERS AND OFFICERS

None

4. UPDATE ON LOCAL GOVERNMENT & SOCIAL CARE OMBUDSMAN (LGSCO) DECISIONS MAY 2019 – JUNE 2019

Laura Mulvany-Law, Senior Complaints Practitioner, introduced the report which detailed the LGSCO decisions received in this latest monitoring period.

Colin Pettigrew, Corporate Director – Children, Families and Cultural Services and Jill Norman, Temporary Group Manager, Integrated Children's Disability Service presented further background information and responded to Members' queries on the issue of Education, Health and Care Plans.

RESOLVED: 2019/043

That no actions were required in relation to the issues contained within the report.

5. INFORMATION GOVERNANCE IMPROVEMENT PROGRAMME UPDATE

Caroline Agnew, Data Protection Officer / Programme Manager, introduced the report which detailed progress in delivering the Council's Information Governance Improvement Programme.

RESOLVED: 2019/044

That a further update to the Committee be scheduled in the work programme for January 2020.

6. UPDATE ON THE NATIONAL AUDIT OFFICE CYBER SECURITY AND INFORMATION RISK GUIDANCE FOR AUDIT COMMITTEES

Adam Crevald, Group Manager, Customer & Service Design, introduced the report which provided an updated assessment of the Council's current position against the questions contained within this advice from the National Audit Office.

RESOLVED: 2019/045

That a further update be submitted to the Committee in January 2020.

7. STATEMENT OF ACCOUNTS 2018-19

Glen Bicknell, Senior Accountant, introduced the report which shared the results of the external audit of the Statement of Accounts 2018-19 and the External Audit Report 2018-19 and sought the Committee's approval for the Audited Statement of Accounts 2018-19 and the letters of representation issued in relation to the external audit.

John Gregory, Director of Grant Thornton, summarised the findings of the external audit. He highlighted that discussions were ongoing with Council officers about a number of control recommendations which had been made. These were not significant recommendations and would not prevent Members from approving the Statement of Accounts. A further report highlighting the outcomes of these discussions would be submitted to the next meeting of the Committee on 11 September 2019.

RESOLVED: 2019/046

- 1) That the letters of representation be approved.
- 2) That the Statement of Accounts 2018/19 be approved.

8. AUDIT TRAINING – PRESENTATION BY INTERNAL AUDIT AND THE BUSINESS SUPPORT CENTRE

Sarah Stevenson, Group Manager, Business Support Centre and Employee Services Centre and Andrew Howarth, Senior Auditor, gave a presentation about the internal audit process which highlighted previous practice, the current approach and planned improvements, illustrated through an audit of payroll services.

Members welcomed the presentation and felt that similar presentations on a periodic basis would help the Committee develop its understanding and insight into relevant areas of practice.

RESOLVED: 2019/047

That the contents of the presentation be noted and further presentations on areas of practice within the Committee's remit be arranged.

9. INTERNAL AUDIT 2018-19 TERM 3 REPORT AND 2019-20 TERM 2 INTERNAL AUDIT PLAN

Rob Disney, Group Manager, Assurance, introduced the report which informed Members of the work carried out by Internal Audit in Term 3 of 2018-19 and sought Members' views on the Internal Audit Plan for Term 2 of 2019-20.

The Chairman welcomed Matthew Waller, Principal Auditor for Assurance Lincolnshire to the meeting. Mr Waller was on a temporary placement within the Internal Audit team as a means of sharing best practice as part of the collaboration arrangement with Lincolnshire.

RESOLVED: 2019/048

- 1) That no further actions were required at this stage.
- 2) That the planned coverage of Internal Audit's work in Term 2 of 2019/20 was appropriate to deliver assurance to the Committee in priority areas.

10. HEAD OF INTERNAL AUDIT'S ANNUAL REPORT FOR 2018-19

Rob Disney, Group Manager, Assurance, introduced his Annual Report for 2018-19, including his opinion on the adequacy of the Council's arrangements for governance, risk management and control.

RESOLVED: 2019/049

That no actions or follow-up reports were required as a result of this report.

11. INSTITUTE OF INTERNAL AUDITORS' GUIDANCE FOR AUDIT COMMITTEES

Rob Disney, Group Manager, Assurance, introduced the report which outlined the guidance issued by the Chartered Institute of Internal Auditors (IIA) for audit committees and implications for the Council's own arrangements and practices.

RESOLVED: 2019/050

That the intention to bring a proposed restructure of the Internal Audit Section to the Committee after the summer be noted and the development of a longer term internal audit strategy be approved.

12. MEMBER COMMUNICATION AND ENGAGEMENT PROGRAMME

Marjorie Toward, Service Director, Customers, Governance and Employees, introduced the report which sought approval for a cross cutting programme of work to improve the nature, content and timeliness of communications with elected Members.

RESOLVED: 2019/051

- 1) That the proposed scope and workstreams of the Member Communication and Engagement Programme of work, as set out in Appendix A and within the report, be approved.
- 2) That an update report on the Programme's progress be brought to the Committee in November 2019.

13. UPDATE ON USE OF RESOURCES BY COUNCILLORS

Keith Ford, Team Manager, Democratic Services, introduced the report which provided an update on the use of resources by Councillors and their support staff.

RESOLVED: 2019/052

That no further information or actions were required on the resolutions on this topic agreed by the Committee at the 30 January 2019 meeting or on the resources expenditure for the period November 2018 – March 2019.

14. WORK PROGRAMME

RESOLVED: 2019/053

That the work programme be agreed.

The meeting closed at 2.32 pm.

CHAIRMAN