

Meeting GOVERNANCE AND ETHICS COMMITTEE

Date Wednesday 13 June 2018 (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  
Kate Foale  
Errol Henry JP

Rachel Madden  
Phil Rostance  
Steve Vickers  
Keith Walker

**OTHER COUNCILLORS IN ATTENDANCE**

Councillor Jim Creamer

## OFFICERS IN ATTENDANCE

Sue Batty                      Adult Social Care, Health and Public Protection

Susan Bearman  
Glen Bicknell  
Paul Cannon  
Rob Disney  
Heather Dickinson  
Keith Ford  
Jayne Francis-Ward  
Jo Kirkby  
Nigel Stevenson  
Marjorie Toward  
Chris Townlow  
Clare Winter

Resources

## 1. MINUTES

The Minutes of the last meeting held on 2 May 2018, having been previously circulated, were confirmed and signed by the Chairman.

## **2. APOLOGIES FOR ABSENCE**

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

- Councillor Richard Butler had replaced Councillor Mike Quigley;
- Councillor Steve Vickers had replaced Councillor John Handley.

### **3. DECLARATIONS OF INTEREST BY MEMBERS AND OFFICERS**

None

### **4. GENERAL DATA PROTECTION REGULATIONS (GDPR) – MEMBER DEVELOPMENT SESSION**

Heather Dickinson (Head of Legal and Democratic Services), Paul Cannon (Senior Practitioner) and Jayne Francis-Ward (Corporate Director, Resources and Monitoring Officer) introduced this item which would involve Members of the Committee completing the various e-learning GDPR training modules at this and future meetings.

During discussions, Members raised concerns about ICT in relation to their specific roles and mobile working. Members highlighted the following specific issues related to ICT and GDPR for further consideration by ICT officers:-

- the possibility of Members being able to forward messages to personal e-mail accounts and access information using appropriately secure and affordable authentication software (as per the approach taken by other Councils and Magistrates Courts);
- the implications during a pre-election (purdah) period when Members were not allowed to use their Council e-mail addresses.

The first of the e-learning sessions for Members were deferred to the July meeting of the Committee.

#### **RESOLVED: 2018/025**

That the issues raised by Members be given further consideration by ICT officers.

### **5. INFORMATION GOVERNANCE IMPROVEMENT PROGRAMME**

Heather Dickinson (Head of Legal and Democratic Services) introduced the report which provided an update on the delivery of the Information Governance Improvement Programme.

During discussions Members raised the following issues:-

- the potential for former Councillors to continue to use constituents' information following elections;
- the need to feedback to Members on the positive impact which the work being undertaken by the Delivery Group was achieving.

#### **RESOLVED: 2018/026**

That a follow up report be submitted to the Committee in the next six months.

## **6. STATEMENT OF ACCOUNTS**

Glen Bicknell (Senior Accountant) gave a presentation on the Statement of Accounts which highlighted the various aspects of the Statement, including the narrative report, expenditure and funding analysis, a movement in reserves statement, comprehensive income and expenditure account, the balance sheet, and the notes to the accounts. The requirement for compliance with Accounting Policies was also underlined.

### **RESOLVED: 2018/027**

That the contents of the presentation be noted.

## **7. LOCAL GOVERNMENT OMBUDSMAN (LGO) DECISIONS – APRIL AND MAY 2018**

Jo Kirkby (Team Manager – Complaints and Information Team) introduced the report which detailed the LGO complaint decisions received in April and May 2018.

### **RESOLVED: 2018/028**

That no further, more detailed updates on progress on specific issues were required at this stage.

## **8. COUNCILLORS' DIVISIONAL FUND (CDF) – REVISED POLICY**

Jayne Francis –Ward (Corporate Director of Resources and Monitoring Officer) introduced the report which proposed revisions to the existing CDF policy.

During discussions, Members considered the merits of Members being able to carry forward funds to subsequent financial years. It was agreed that such carry forwards should continue to not be permitted

### **RESOLVED: 2018/029**

That the revised policy for the Councillor's Divisional Fund be recommended to Policy Committee for approval.

## **9. REVIEW OF OUTSIDE BODIES**

Jayne Francis –Ward (Corporate Director of Resources and Monitoring Officer) introduced the report which proposed the establishment of a cross party working group to consider and make recommendations to the Committee.

### **RESOLVED: 2018/030**

- 1) That a cross party working group consisting of the following Members be established to consider a revised process for appointing to and reviewing the Outside Bodies list:-

- Councillor Andy Sissons (Chair)
- Councillor Nicki Brooks
- Councillor Rachel Madden
- Councillor Keith Walker.

- 2) That a report be brought back to this Committee containing the recommendations of the cross party working group within the next six months.

#### **10. FINANCIAL REGULATIONS WAIVERS 2017/18**

Clare Winter (Group Manager, Procurement) introduced the report which informed Members about requests to waive the Financial Regulations in the period 1 April 2017 – 31 March 2018.

#### **RESOLVED: 2018/031**

That the detail contained in the report and the progress in keeping waivers to a minimum be supported.

#### **11. REVISED APPROACH TO INTERNAL AUDIT PLANNING**

Rob Disney (Head of Internal Audit) introduced the report which proposed a revised Internal Audit planning approach.

#### **RESOLVED: 2018/032**

- 1) That the Internal Audit service convert to a termly, four-monthly audit plan from August 2018.
- 2) That a formal proposal for a Term 2 Plan for 2018/19, for the period August 2018 to November 2018, be presented to the 25 July 2018 Committee meeting.
- 3) That the current period, April 2018- July 2018, be considered a transition period, with the outcome of Internal Audit's work in this period reported to the Committee.

#### **12. INTERNAL AUDIT COLLABORATION**

Rob Disney (Head of Internal Audit) introduced the report which proposed a collaborative working arrangement for Internal Audit with Assurance Lincolnshire.

#### **RESOLVED: 2018/033**

That the proposal to enter into the Assurance Lincolnshire Partnership be endorsed and recommended to Policy Committee for approval.

#### **13. INTERNAL AUDIT ANNUAL REPORT 2017-18**

Rob Disney (Head of Internal Audit) introduced the report which shared the Head of Internal Audit's Annual Report on the work carried out by Internal Audit in 2017/18 and his opinion on the adequacy of the Council's internal control environment.

The Chairman congratulated the audit team on the outcomes of the external assessment.

**RESOLVED: 2018/034**

That no further actions or follow-up reports were required.

**14. ANNUAL FRAUD REPORT 2017/18**

Rob Disney (Head of Internal Audit) introduced the report which presented the Annual Fraud Report.

**RESOLVED 2018/035**

- 1) That the contents of the Annual Fraud Report 2017/18 be noted.
- 2) That no concerns were raised by Members on the adequacy of the Council's current and planned arrangements for tackling fraud and corruption.

**15. ANNUAL WHISTLEBLOWING REPORT**

Jayne Francis –Ward (Corporate Director of Resources and Monitoring Officer) introduced the report which provided an update on whistleblowing concerns reported during 2017/18.

**RESOLVED 2018/036**

- 1) That no actions were required in relation to the issues contained within the report.
- 2) That the publication of a Whistleblowing news article in the Council's Team Talk departmental news bulletin be supported.

**16. WORK PROGRAMME**

**RESOLVED: 2018/037**

That the work programme be agreed, with no further changes required at this stage.

The meeting closed at 2.45pm.

CHAIRMAN