

## **AUDIT AND STANDARDS COMMITTEE**

Monday, 12th November, 2018  
Time of Commencement: 7.00 pm

<b>Present:-</b>	Councillor Paul Waring – in the Chair
Councillors	S. Dymond, S. Burgess, M. Stubbs, G. Burnett, B. Panter and A. Fox-Hewitt
Officers	Geoff Durham - Mayor's Secretary / Member Support Officer, Simon Sowerby- Business Improvement Manager, Interim Executive Director - Resources and Support Services - Jan Willis, Nesta Barker - Head of Environmental Health Services and John Tradewell - Acting Chief Executive / Head of Paid Service
Also in Attendance	Mr P Jones (Grant Thornton) Ms T Barker-Phillips (Grant Thornton)

### 1. **APOLOGIES**

Apologies were received from Councillor Pickup

### 2. **MINUTES OF PREVIOUS MEETINGS**

**Resolved:** That the minutes of the meeting held on 24 September, 2018 be agreed as a correct record.

### 3. **DECLARATIONS OF INTEREST**

There were no declarations of interest stated.

### 4. **CORPORATE RISK MANAGEMENT REPORT FOR THE PERIOD JULY TO SEPTEMBER, 2018 (QUARTER 2)**

Consideration was given to a report informing Members of the progress made by the Council in enhancing and embedding risk management for the period July to September, 2018.

Members were advised that there were no overdue risk reviews. There had been three risk level increases and these were outlined in Appendix A (number 7). There had been no new risks identified and no issues since the last meeting.

Councillor Stubbs enquired about a risk in relation to 'EE' that had been identified at a previous meeting and was advised that this had been a billing issue and was now resolved.

**Resolved:** (i) That point 2.1.1 showing the number of overdue risks be noted.

- (ii) That point 2.2.1 advising of the risk level increases be noted.
- (iii) That point 2.2.2 regarding the new risks identified between July to September, 2017 be noted.
- (iv) That point 4 be noted.
- (vi) That Appendix A be noted.

**5. HEALTH AND SAFETY SIX MONTH REPORT, 2018-19**

Consideration was given to a report informing Members of issues and trends regarding health and safety at the Council.

A copy of the health and safety report was attached to the agenda.

Members were advised of the updates to Council Policies that had now been updated. These were listed at paragraph 2.2 of the report.

The Health and safety Policy had now been implemented for Castle House.

Members attention was drawn to section 5 of the Health and Safety Six Month Report which showed that there had been 95 non-reportable accidents and three RIDDOR (Reporting of Injuries, Diseases and Dangerous Occurrences Regulations, 2013). None of the three reported incidents were investigated by the Health and Safety Executive.

Members were shown a lone worker device which had been rolled out to staff members who had been identified as lone workers.

Councillor Burgess asked if there was a 'safe-room' within Castle House. The Council's Head of Environmental Health Services, Mrs Nesta Barker advised that there was an evacuation policy and that an 'invacuation' procedure and lock-down was currently being investigated.

Councillor Panter enquired about the two periods of long absence and was advised that these were RIDDOR incidents.

Councillor Stubbs queried why the number of days' absence were increasing and made reference to four long absences. Mrs Barker advised that due to the number of accidents, the reporting arrangements had been altered.

**Resolved:** That the report be noted.

**6. TREASURY MANAGEMENT HALF YEARLY REPORT 2018/19**

Consideration was given to a report regarding the Treasury Management Half Yearly report for 2018-19.

The Council's Interim Executive Director – Resources and Support Services, Ms Jan Willis advised Members that it had been a relatively quiet period and everything had been carried out in line with Policy.

Members' attention Was drawn to Appendix 1, paragraph 3. The target rate for returns had been exceeded. The first half of the year had been better where it had been below the budgeted figure.

Paragraph 7, referring to the 'borrowing position' showed that some short-term borrowing would be necessary to cover short-term cash flow defecits.

**Resolved:** That the Treasury Management Half-Yearly report for 2018-19 be received.

**7. ANNUAL AUDIT INSPECTION LETTER**

The Annual Audit Inspection Letter was considered and received by this Committee at its meeting in September.

Mr Phil Jones of Grant Thornton advised that the 'significant asset' referred to on page 37 of the agenda related to J2.

**Resolved:** That the information be received.

**8. QUARTERLY REPORT : ADOPTION OF INTERNAL AUDIT HIGH RISK RECOMMENDATIONS AND SUMMARY OF ASSURANCE 1 JULY TO 30 SEPTEMBER 2018**

Consideration was given to a report regarding any outstanding high risk recommendations for Quarter 2 – July to September, 2018 and requesting approval to requested actions and target dates. Also to provide Members with an assurance opinion on internal controls.

Ms Willis apologised that the chart at Appendix 1 had printed in portrait and not landscape and handed a sheet to Members containing the information.

At a previous meeting, Members had requested the more detailed information in relation to Outstanding Audit Recommendations. Members' attention was drawn to the high risk item relating to the new refuse service – sickness management. There was a need to review the trigger points and how sickness management could be handled.

In addition, the time recording system was overdue.

The other risks were low to medium and the majority of the risks listed were not due for implementation yet

**Resolved:** That the actions of officers and levels of assurance be noted.

**9. INTERNAL AUDIT PROGRESS REPORT - QUARTER 2 2018/19**

Consideration was given to a report updating Members on the work undertaken by the Internal Audit section during July to September, 2018.

Members were advised that the delivery of the Audit Plan was on schedule and that there were no major concerns.

Councillor Stubbs asked that updates be brought back to this Committee.

The Acting Chief Executive, John Tradewell picked up on 'varied risks' advising that there had been a lot of HR issues recently and that an Interim Head of Human resources was to be brought in.

Councillor Stubbs suggested that the way in which reports were produced was slightly flawed in that if areas weren't risks 'as yet' why were they being flagged up. The Chair agreed and suggested that, if Members felt that there was no need to see risks until they were overdue then this could be applied to future reports.

**Resolved:** That the information be received.

10. **URGENT BUSINESS**

Councillor Stubbs enquired as to whether the Chair/Vice-Chair of this Committee had received notice of the change of Section 151 Officer.

Mr Tradewell explained that the suspension of the current Section 151 Officer had resulted in the Deputy Section 151 Officer picking up this role. Resources needed to be brought in and Ms Willis would be formally appointed at the next meeting of Full Council. Mr Tradewell apologised for the Chair/Vice- Chair not being notified.

**COUNCILLOR PAUL WARING**  
**Chair**

Meeting concluded at 7.32 pm