### **AUDIT AND STANDARDS COMMITTEE**

Wednesday, 7th September, 2022 Time of Commencement: 7.00 pm

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Present: Councillor Paul Waring (Chair)

Councillors: Holland Stubbs

Whieldon Brockie

Apologies: Councillor(s) Panter, Talbot and Mr Butters

Substitutes: Councillor Philip Reece (In place of Councillor Stephanie Talbot)

Officers: Daniel Dickinson Head of Legal & Governance

/Monitoring Officer

Sarah Wilkes Head of Finance / S151 Officer

Clare Potts Chief Internal Auditor

Also in attendance: Councillor Stephen Sweeney Deputy Leader of the Council

and Portfolio Holder - Finance, Town Centres and Growth

### 31. **DECLARATIONS OF INTEREST**

There were no declarations of interest stated.

## 32. MINUTES OF PREVIOUS MEETING

**Resolved:** That the minutes of the meeting held on 27 June 2022 be

agreed as a correct record.

### 33. INTERNAL AUDIT UPDATE QUARTER 1

The Chief Internal Auditor presented the Quarter 1 internal audit update covering the period 1 April – 30 June 2022. During the period 2 audits had been completed – Council Tax and NNDR 2021/22 Health Check and Treasury Management 2021/22 Health Check – both audits had received a 'good' opinion which was the highest level available.

A number of audits remained in progress as set out in the report.

The report listed the total number of recommendations made compared to those outstanding; there had been 293 recommendations of which 264 had been implemented. Members noted a high number of outstanding recommendations fell within the Chief Executive's department and asked if there were reasons for this. The Auditor explained that this reflected the high number of work areas that fell within the department such as all financial matters.

**Resolved**: that the report be received.

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# 34. CORPORATE RISK MANAGEMENT REPORT - QUARTER 4 2021-22 AND QUARTER 1 2022 - 23

The committee considered the Quarter 4 Risk Management Report for 2021/22 and the Quarter 1 Risk Management Report for Quarter 1 2022/23.

The Head of Legal/Governance presented the report. Appendix B showed the higher level risks which were reviewed at least monthly.

Section 2 outlined the current position with the recommendations on risk management; of which one recommendation had been classed as medium risk and proposed that an enhancement be made to the corporate risk register to ensure risks were clearly mapped to the council's corporate priorities. This work was underway and would continue to be developed as the council restructure programme progressed.

#### Resolved: that

- (a) The work on the risk management audit be noted.
- (b) The Sustainable Environment profile linking service objectives with corporate priorities be noted.
- (c) The position that there are 19 overdue risk reviews during Q4 and Q1 be noted.
- (d) The update on the corporate risks as set out in Appendix B be noted.
- (e) The Chair will identify individual risk profiles for the committee to consider at the next meeting.

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### 35. COMMITTEE WORK PLAN

The committee considered the work plan for the year. A proposal was made to include a report on the Town Deal spend versus budget and progress with the project against timescales but this was defeated.

**Resolved**: that the work plan be noted.

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## 36. **URGENT BUSINESS**

There was no Urgent Business.

# Councillor Paul Waring Chair

Meeting concluded at 7.23 pm