

AUDIT AND GOVERNANCE COMMITTEE

20 September 2021

Present – The Chairman (Councillor Hull) and Councillors Handley, Lis, Mercer, Noland, Place.

Officers – Chief Finance Officer (s151 Officer), Solicitor to the Council and Monitoring Officer, Performance Manager and Exchequer, Finance Manager and Democratic Services and Scrutiny Officer.

Apologies for absence were received from Councillors Wheeler, Barrett, Harbron and Independent Person Greg Robinson.

Start: 6.30pm

Finish: 7.30pm

Resolved – That the minutes of the meeting held on 28 June 2021 were approved as a correct record.

Minutes for Report

AC.405 **Risk Management 2020/2021 Final Audit Report**

Gill Hoyes submitted a report which presented the final Risk Management 2020/21 Audit. The Audit was undertaken as part of the annual plan for 202/21 and sought to determine compliance with key control objective KCO1, 'the Council's Risk Management function is operating effectively'. There were 9 recommendations, one priority one, seven priority two and one priority three, none of which were yet due for implementation.

Resolved – That, the final Risk Management 2020/2021 Audit Report is noted.

AC.406 **Corporate Risks Local Government Reorganisation**

The Chief Finance Officer (s151) introduced himself and handed over to the Performance Manager and Exchequer. The Performance Manager and Exchequer verbally updated Members on the Corporate Risks relating to Local Government Reorganisation, the report was due to go to the Risk Management Group Meeting which would then be presented to the Audit and Governance Committee.

Resolved – That, the progress of the Corporate Risks Local Government Reorganisation Report is noted.

AC.407 **Internal Audit Recommendations Q1**

Gill Hoyes introduced a report which presented the Internal Audit Plan 2021/22. Members noted that Internal Audit had recently taken over responsibility of the production of the report and the Audit and Fraud Services Manager intended to develop the format of the report to give a complete picture. Members noted that during 2020/21 the Internal Audit team

focused on ensuring that the arrangements for Covid-19 financial support were robust and fraud risk was minimised. There were three recommendations outstanding, none of which were priority 1, two recommendations were expected to be completed during Q2 2021/22.

Resolved – That, the progress against Internal Audit Recommendations at Q1 is noted.

AC.408

Internal Audit Recommendations Q2

The Audit Services and Fraud Manager introduced the Q2 Report which followed the previous Q1 Report. Members were pleased to be informed of the good progress made in order to clear outstanding actions. There were 14 recommendations outstanding, only one of which was priority 1. Members were pleased to note that 5 recommended actions were expected to be completed during Q2 2021/22. Members were pleased to hear the Audit Services and Fraud Manager was considering the addition of a summary column.

Resolved – That, the progress made against Internal Audit Recommendations at Q2 is noted.

AC. 409

Internal Audit Progress Report 2021/2022

The Audit Services and Fraud Manager presented a report which updated members on the progress made against the 2021/22 Internal Audit plan up to 6 September 2021. Members were pleased the position was looking positive and work was on course to finish as expected.

Resolved – That, the progress against the 2021/22 Internal Audit plan is noted.

AC.410

Business Continuity & Disaster Recovery 2020/21 Final Audit Report

The Audit Services and Fraud Manager introduced a report which presented the final Business Continuity and Disaster Recovery 2020/21 Audit Report. The Audit was undertaken as part of the annual audit plan for 2020/21 and sought to determine compliance with key control objectives KCO1, KCO2, KCO3, KCO4 and KCO5. There were eight recommendations none of which were priority one.

Resolved – That, the final Business Continuity & Disaster Recovery 2020/21 Audit Report is noted.

AC.411

S106 Audit Report

The Internal Auditor gave a detailed verbal update and overview of the S106 Audit Report as requested by the Committee at the previous meeting. Members noted the ten tests undergone in the review process. Members expressed serious concern with regards to the lack of responses from key senior officers and suggested the Chair of Planning Committee be notified of the Audit Report. Members also requested that officers report back to this Committee any further advancements.

Resolved – That the Chair of Planning is notified of the S106 Audit report and the verbal update is noted.

AC.412 **General Data Protection Regulation (GDPR) 2019/20 Final Audit Report**

The Audit Services and Fraud Manager introduced a report which presented the final General Data Protection Regulation Audit Report which was undertaken as part of the annual audit plan for 2019/20 and sought to determine compliance with key control objectives KCO1 – KCO13 inclusive. Nine recommendations were made in total, five at Priority 2 and four at Priority 3.

Resolved – 1) That, the final General Data Protection Regulation 2019/20 Audit Report is noted.

\$AC.413 **Data Security 2020/21 Final Audit Report**

The Audit Services and Fraud Manager introduced a report which presented the Data Security Audit Report which was undertaken as part of the annual audit plan for 2020/21 and sought to determine compliance with key control objectives KCO1 and KCO2. Members noted that during the Covid-19 pandemic cyber threats had increased but despite this the Audit was awarded a good level of assurance. Members were pleased to be informed that all recommendations had been implemented.

Resolved – That, the final Data Security Audit Report is noted.

AC. 414 **Any Other Business**

The Solicitor to the Council and Monitoring Officer informed Members that this would be the Democratic Services and Scrutiny Officer's last Committee Meeting and thanked her for her support over the years.

Minutes for Decision

Chairman.