

Time Commenced: 6.00pm
Time Finished: 7.45pm

AUDIT AND ACCOUNTS COMMITTEE

8 December 2014

Present: Councillor Tittley (Chair)
Councillors Ashburner, Campbell, Davis, Harwood, Hezelgrave and Turner

In attendance
Phil Jones and Tony Parks – Grant Thornton
Paul Robinson – Strategic Director of Neighbourhoods
Janie Berry – Monitoring Officer
Richard Boneham – Head of Governance and Assurance
Ray Poxon – Head of Procurement
Martyn Marples – Director of Finance and Procurement
Jan Willis – Interim Strategic Director of Resources
Zoe Bird – Payroll Manager

31/14 Apologies for Absence

An apology for absence was received from Councillor Sandhu.

32/14 Late Items

In accordance with Section 100(B) (4) of the Local Government Act 1972, the Chair agreed to admit the following late item on the grounds that it should be considered as a matter of urgency because a decision was required before the next meeting:

- Payroll 2013-2014 Audit Report Progress Update

33/14 Declarations of Interest

There were no declarations of Interest.

34/14 Minutes

The minutes of the meeting held on 24 September 2014 were agreed as a correct record and signed by the Chair.

35/14 Central Midlands Audit Partnership

The Committee considered a report from the Vice Chair on the activity of the Central Midlands Audit Partnership.

It was noted that a meeting was due to take place on 10 December 2014 to consider Audit collaboration /partnership across Derbyshire. It was suggested that any model

should be based on the CMAP model.

Resolved

- 1. To note the report.**
- 2. To support the suggestion that the CMAP model be the base of any discussion around Audit collaboration / partnership across Derbyshire.**

36/14 Reporting on Waivers

The Committee considered a report which set out details of 3 waivers during the period 3 September to 6 November 2014.

Broken down by directorate we have.

		Approval route		
Directorate	Number of Waivers	Departmental	Urgent	Cabinet
Resources	2	1	1	
AHH	1		1	
Total Number of Waivers	3	1	2	

Resolved to note the report.

37/14 The Annual Audit Letter

The Committee considered a report which set out the Annual Audit Letter for the Council from the external auditors Grant Thornton. The letter outlined the key issues arising from the auditors work. Phil Jones (Director and Tony Parks (Audit Manager) attended the meeting on behalf of Grant Thornton.

Committee Members raised concerns about the 'certificate' not being issued. The reasons for the certificate not being issued were set out in the report. In respect of the recommendations it was noted that in recommendation 2 the responsible officer was the Director of Legal and Democratic Services.

The committee requested an update on recommendation1 at the next meeting.

Resolved

- 1. To note the Annual Audit Letter for the year ending 31 March 2014.**
- 2. To request an update on recommendation1 at the next meeting.**

38/14 Continuing to Deliver Value to Derby City Council

The Committee considered a report from the external auditor Grant Thornton on continuing to deliver value for money to Derby City Council.

Resolved to note the report.

39/14 Annual Health and Safety Report for 2013/14

The Committee considered the annual health and safety report for 2013/14. The report covered the key health and safety performance and actions during 2013/14, including the results of the year's audit and inspection programme, team training activity, accident and aggressive incident statistics and a summary of service activity and achievements.

Members of the Committee expressed concern about the recording of attendance at mandatory training.

Resolved

- 1. To note the report**
- 2. To request an update on the recording of attendance at mandatory training in 6 months.**

40/14 Regulation of Investigatory Powers Act 2000 – Policy Review

The Committee considered a report which stated that on an annual basis the Council was required to undertake a 'fitness for purpose' test of its Regulation of Investigatory Powers Act 2000 Policy known as 'Covert Surveillance' Policy. The Council had determined that this test was undertaken by the Audit and Accounts Committee. The Council's policy along with associated application forms was published on iDerby. The Inspection undertaken by the Office of Surveillance Commissioners in 2013, recommended amendments to the policy and these had been incorporated as part of the Inspection Action Plan which had been previously reported to the Audit and Accounts Committee.

Resolved

- 1. To note the Council's Regulation of Investigatory Powers Act 2000 Policy had been reviewed and determined as being fit for purpose by members of the Committee.**
- 2. To note the progress being made against the agreed Action Plan as detailed in Appendix 3 of the report.**

41/14 Insurance and Risk Management Update

The Committee considered a report which provided an overview of the key issues within the Insurance and Risk Management service.

Members of the Committee expressed concern that the service needed to be better resourced to provide resilience in the Insurance and Risk Management service particularly in relation to IT.

Resolved

- 1. To note the continuing developments in the insurance and risk function.**
- 2. To request an update on the Strategic Risk Register to the March 2015 meeting.**
- 3. To request an update at each future meeting on progress being made on improving resilience within the function.**
- 4. To recommend the Interim Strategic Director of Resources and Cabinet Member for Governance and Transformation to provide extra resources to help build resilience in the Insurance and Risk Management service.**

42/14 Audit and Accounts Committee – Self Assessment

The Committee considered a report which set out the action plan to address the areas for further improvement identified by the self assessment of the effectiveness of the Audit and Accounts Committee.

Resolved

- 1. To approve the draft action plan.**
- 2. To request updates on progress on the plan at future meetings.**

**43/14 Compliance with NHS Information Governance Toolkit -
Update**

The Committee considered a report which provided an update on the Council's progress with obtaining compliance with the NHS Information Governance Toolkit.

Resolved

- 1. To request updates on progress with the actions set out in appendix 2 of the report at future meetings.**
- 2. To invite the Vice Chair of the Committee to future meetings of the Risk**

Management Board.

44/14 Local Government Transparency Code 2014

The Committee considered a report which outlined the requirements of the Local Government Transparency Code 2014 (the Code). The code set out the minimum data that local authorities should be publishing, the frequency it should be published and how it should be published.

Resolved

- 1. To note the report.**
- 2. To request an update on how the Council was meeting the requirements of the Code at the March 2015 meeting of the Committee.**

45/14 Internal Audit Progress Report

The Committee considered the Internal Audit progress report covering the period 1 June to 31 October 2014.

Resolved to note the report.

46/14 Governance Update

The Committee considered a report which provided an update on the developments being made within the Council's governance framework.

Resolved to note the actions and progress being made to enhance the governance framework.

47/14 Protecting the Public Purse

The Committee considered a report which provided Members with a synopsis of the Audit Commission's latest national report on fraud in local government and the updated checklist for those responsible for governance, to reflect the results of its annual fraud survey.

Resolved to note the Audit Commission report.

48/14 Exclusion of Press and Public

To consider a resolution to exclude the press and public during consideration of the following items:

“that under Section 100(A) of the Local Government Act 1972, the press and public be

excluded from the meeting during discussion of the following item on the grounds that it involves the likely disclosure of exempt information as defined in paragraph 3 of Part 1 of Schedule 12A of the Act and that the public interest in maintaining the exemption outweighs the public interest in disclosing the information”

49/14 Payroll 2013 – 2014 Audit Report Progress Report

The Committee considered a report which gave an update on the payroll service and the controls and procedures adopted following the 2013-14 internal audit report and the subsequent management responses and actions.

Resolved

- 1. To note the improvements in procedures and quality monitoring within the payroll service following internal audit findings during the last internal audit cycle.**
- 2. To note the 2014-15 interim audit findings as a benchmark on the progress made since the 2013-14 audit.**

Minutes End