



# Minutes

## AUDIT AND STANDARDS COMMITTEE

<b>Date:</b>	Thursday, 16 June 2016
<b>Venue:</b>	Town Hall, St Annes.
<b>Committee Members:</b>	Councillor John Singleton, JP (Chairman) Councillors Delma Collins, Peter Collins, Roger Lloyd, Edward Nash, Graeme Neale.
<b>Other Councillors:</b>	Councillor Sue Fazackerley
<b>Officers Present:</b>	Tracy Morrison, Savile Sykes, Dean Francis and Katharine McDonnell

### 1. Declarations of interest

Members were reminded that any disclosable pecuniary interests should be declared as required by the Localism Act 2011 and any personal or prejudicial interests should be declared as required by the Council's Code of Conduct for Members. There were no declarations of interest.

### 2. Confirmation of minutes

RESOLVED: To approve the minutes of the Audit and Standards Committee meeting held on 17 March 2016 as a correct record for signature by the Chairman.

### 3. Substitute members

There were no substitutes.

### Standards Information Item

### 4. Issues raised with the Monitoring Officer

The Committee received the Monitoring Officer's periodic report regarding standards issues raised since the previous report in January 2016.

Tracy Morrison, Monitoring Officer, outlined to members the process for dealing with allegations of misconduct by elected members, and where the Committee's role would fall. Ms Morrison advised that one of the matters reported was currently under investigation and would come before the Audit and Standards Committee in due course.

### Audit Decision Items

### 5. Code of Corporate Governance

Tracy Morrison, Director of Resources, presented the updated Code of Corporate Governance. The Code of Corporate Governance helped to provide a framework for the council's corporate governance systems. It set out core principles, and provided a self-assessment for managers to ensure sound governance systems were in place.

It was RESOLVED to adopt the updated Code of Corporate Governance in place of the existing code.

#### 6. Annual Governance Statement

Tracy Morrison, Director of Resources, presented the Annual Governance Statement. She explained that preparation and publication of an annual governance statement was necessary to comply with Regulation 4(3) of the Accounts and Audit Regulations 2015, forming part of the Annual Statement of Accounts.

Ms Morrison explained that the Corporate Governance Group, having met to review the effectiveness of the Council's governance framework, had identified a number of minor issues to be addressed over the coming year, these included the group noting that the Council's risk management provision was in a period of transition due to a sudden serious illness and subsequent retirement; to review the Council's work with partners particularly with regard to the partner's risk registers; that work would be undertaken to publicise the contracts register and tenders in line with the government's transparency agenda; and that there would be a relaunch of the corporate project management guidelines and the corporate equality and diversity training.

Following questions and discussion, the committee RESOLVED to approve the Annual Governance Statement for signature by the Chief Executive and the Leader of the Council.

#### 7. Internal Audit Annual Report 2015-2016

Savile Sykes, Head of Internal Audit, presented the Internal Audit Annual Report for 2015/16. Mr Sykes provided a comprehensive overview of the report, in particular drawing the committee's attention to the audit opinion. He also referred to the issue of the effectiveness of the Council's risk management arrangements following the post holder's sudden retirement following serious ill health. In addition, he drew members' attention to the resultant impact on the audit team's work, as one post had been held vacant for several months and staff had undertaken additional responsibilities to cover the risk management and insurance provision.

Mr Sykes concluded by advising of the overall improved implementation and implementation rate of 98.9% for agreed internal audit recommendations.

In response to questions and concerns from committee regarding delayed planned audit work and risk management arrangements, Mr Sykes stated that for reasons outlined in the report, he was prepared to give reasonable assurance as to the adequacy and effectiveness of the Council's risk management, internal control and governance processes.

Following discussion the committee RESOLVED

- (1) To approve the annual report of the Head of Internal Audit; and
- (2) To confirm the report provided substantive assurance regarding the Council's control environment in terms of the overall adequacy and effectiveness of the controls and processes in place to achieve the objectives of the Council;
- (3) To review the timeframe and completion date for the annual exercise to test the Council's planned response to business disruption; and
- (4) To thank the Audit Team and the staff for the implementation rates.

#### Audit Information Items

The Committee received the following information items:

#### 8. Risk Management Annual Report

The committee noted the Risk Management Annual Report, and four identified risks and subsequent action plans. The committee requested that an up to date time line be brought to the September 2016 meeting of the committee in regards to Cyber Attack Prevention Action Plan. Ms Morrison advised that in regards to the Action Plan, the substantive work had been completed but had been held in abeyance for review by the new ICT Manager, who had recently been appointed but would not be in post for a couple of months.

#### 9. Regulation of Investigatory Powers Act (RIPA) 2000: Authorisations

The Committee was presented with the quarterly report on the Regulation of Investigatory Powers Act 2000: Authorisations. It was noted that for the quarter to end of March 2016, there were no authorised operations.

It was RESOLVED that the Committee note the information in the report.

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