

Notice of Audit and Governance Committee

Date: Thursday, 28 October 2021 at 6.00 pm

Venue: Committee Suite, Civic Centre, Poole BH15 2RU



Membership:

Chairman:

Cllr J Beesley

Vice Chairman:

Cllr L Williams

Cllr M F Brooke
Cllr D Brown
Cllr D Butt

Cllr L Fear
Cllr A Filer
Cllr M Phipps

Cllr T Trent

All Members of the Audit and Governance Committee are summoned to attend this meeting to consider the items of business set out on the agenda below.

The press and public are welcome to view the live stream of this meeting at the following link:

<https://democracy.bcpCouncil.gov.uk/ieListDocuments.aspx?MIId=4847>

If you would like any further information on the items to be considered at the meeting please contact Bob Hanton or email democratic.services@bcpCouncil.gov.uk

Press enquiries should be directed to the Press Office: Tel: 01202 118686 or email press.office@bcpCouncil.gov.uk

This notice and all the papers mentioned within it are available at democracy.bcpCouncil.gov.uk

GRAHAM FARRANT
CHIEF EXECUTIVE

20 October 2021



Available online and
on the Mod.gov app



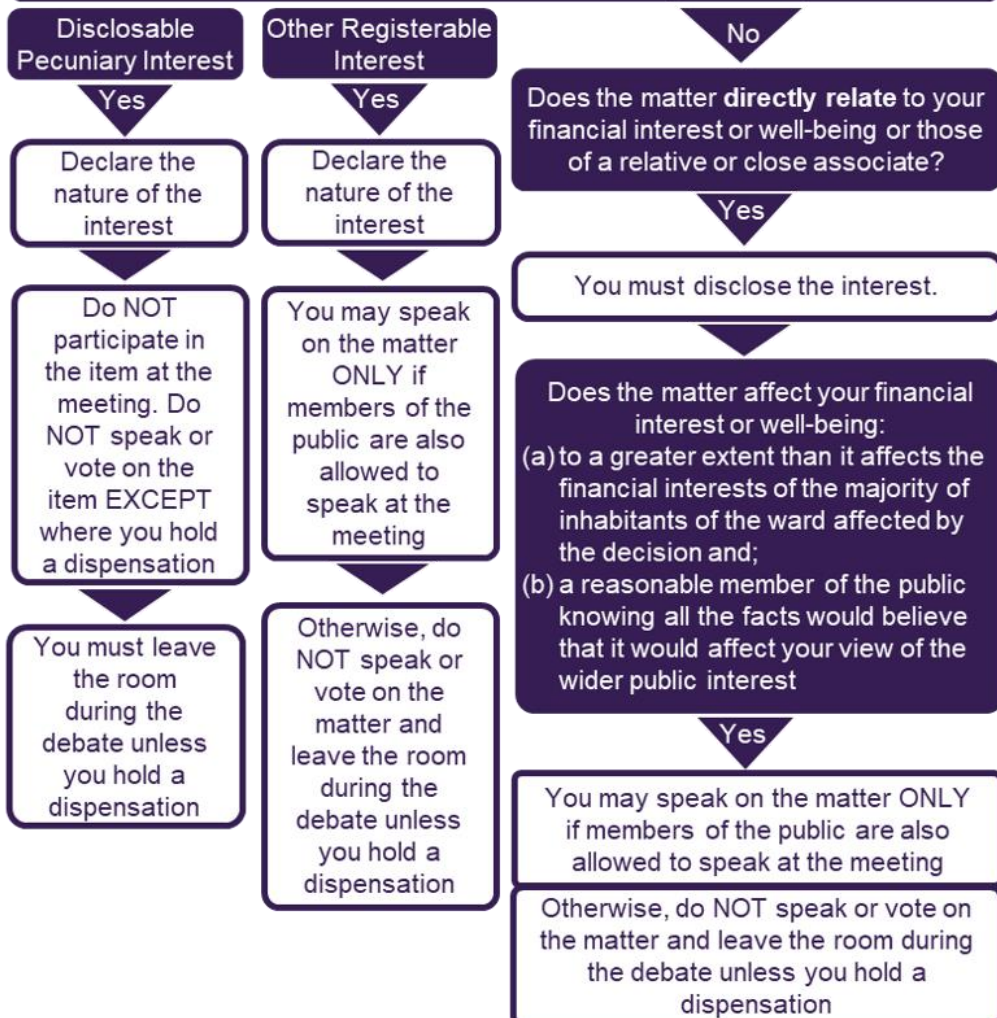
Maintaining and promoting high standards of conduct

Declaring interests at meetings

Familiarise yourself with the Councillor Code of Conduct which can be found in Part 6 of the Council's Constitution.

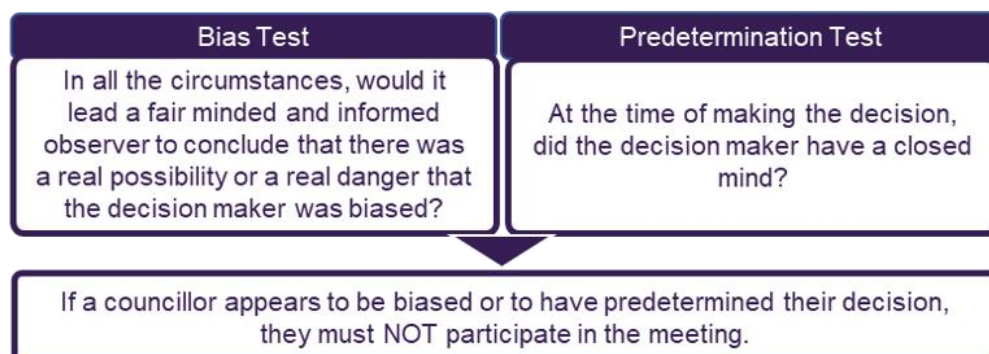
Before the meeting, read the agenda and reports to see if the matters to be discussed at the meeting concern your interests

Do any matters being discussed at the meeting directly relate to your registered interests?



What are the principles of bias and pre-determination and how do they affect my participation in the meeting?

Bias and predetermination are common law concepts. If they affect you, your participation in the meeting may call into question the decision arrived at on the item.



For more information or advice please contact the Monitoring Officer
(susan.zeiss@bcpcouncil.gov.uk)

Selflessness

Councillors should act solely in terms of the public interest

Integrity

Councillors must avoid placing themselves under any obligation to people or organisations that might try inappropriately to influence them in their work. They should not act or take decisions in order to gain financial or other material benefits for themselves, their family, or their friends. They must declare and resolve any interests and relationships

Objectivity

Councillors must act and take decisions impartially, fairly and on merit, using the best evidence and without discrimination or bias

Accountability

Councillors are accountable to the public for their decisions and actions and must submit themselves to the scrutiny necessary to ensure this

Openness

Councillors should act and take decisions in an open and transparent manner. Information should not be withheld from the public unless there are clear and lawful reasons for so doing

Honesty & Integrity

Councillors should act with honesty and integrity and should not place themselves in situations where their honesty and integrity may be questioned

Leadership

Councillors should exhibit these principles in their own behaviour. They should actively promote and robustly support the principles and be willing to challenge poor behaviour wherever it occurs

AGENDA

Items to be considered while the meeting is open to the public

1. Apologies

To receive any apologies for absence from Councillors.

2. Substitute Members

To receive information on any changes in the membership of the Committee.

Note – When a member of a Committee is unable to attend a meeting of a Committee or Sub-Committee, the relevant Political Group Leader (or their nominated representative) may, by notice to the Monitoring Officer (or their nominated representative) prior to the meeting, appoint a substitute member from within the same Political Group. The contact details on the front of this agenda should be used for notifications.

3. Declarations of Interests

Councillors are requested to declare any interests on items included in this agenda. Please refer to the workflow on the preceding page for guidance.

Declarations received will be reported at the meeting.

4. Confirmation of Minutes

To confirm and sign as a correct record the minutes of the Meeting held on 9 September 2021.

7 - 12

5. Public Issues

To receive any public questions, statements or petitions submitted in accordance with the Constitution. Further information on the requirements for submitting these is available to view at the following link:-

<https://democracy.bcpCouncil.gov.uk/documents/s2305/Public%20Items%20-%20Meeting%20Procedure%20Rules.pdf>

The deadline for the submission of public questions is four clear working days before the meeting.

The deadline for submission of a public statement is 12 noon on the day before the meeting.

The deadline for the submission of a petition was 10 working days before the meeting.

6. Health & Safety and Fire Safety Update

This report details progress made on the delivery of Health & Safety and Fire Safety governance arrangements for BCP Council and highlights:

- Ongoing Covid 19 response and the recovery
- Implementation of Governance framework
- Reporting of Health and Safety and fire safety to the board

13 - 18

- An overview of service delivery

7. Emergency Planning & Business Continuity Update

19 - 30

Emergency planning and business continuity activity in BCP Council over the reporting period has continued to be predominantly focused on the ongoing response to COVID-19 and concurrent risks, managing the consequences arising from these, and transitioning to living safely with COVID-19 as part of normal business. The BCP and Local Resilience Forum (LRF) command structures have therefore flexed considerably over this period to meet the demands of an ever-changing picture with new sets of challenges.

The other main area of activity has been implementing the BCP Resilience Governance Framework approved by Corporate Management Board (CMB) in September 2020, the overall purpose of which is to strengthen and embed the statutory duties of emergency planning and business continuity and develop a resilience culture. The framework also provides the necessary governance to support delivery and oversight of these statutory duties.

This report also provides an update on national developments in resilience, due in part to the experiences of COVID-19.

8. Treasury Management Monitoring report for the period April to September 2021

31 - 38

This report sets out the monitoring of the Council's Treasury Management function for the period 1 April 2021 to 30 September 2021. A surplus of £626k will be achieved through lower borrowing costs due to historically low interest rates and higher cash balances held by the authority.

The report also provides a brief update to the changing regulatory environment on Treasury Management.

9. Risk Management – Corporate Risk Register Update

39 - 58

This report updates councillors on the position of the council's Corporate Risk Register. The main updates are as follows:

- No new risks have been added to the council's Corporate Risk Register during the quarter.
- Corporate Risk CR17 - Risk to Reputation of Place & Council if summer arrangements are not managed – has been de-escalated and is now being considered at service risk level.
- There have no changes to risks scores during the quarter.

Each of the risks have been reviewed including the Actions Completed and the Actions Proposed.

10. Internal Audit - Quarterly Audit Plan Update

59 - 66

This report details progress made on delivery of the 2021/22 Audit Plan for the period July to September (inclusive) 2021. The report highlights that:

- Eight audit assignments have been completed (one 'Substantial', six 'Reasonable' and one 'Partial' audit opinions);
- Twenty audit assignments are in progress;

- Implementation of audit recommendations is satisfactory;

An action plan is in place to address the issues raised during a recent Public Sector Internal Audit Standards external assessment.

11. Annual Report of Internal Audit Counter Fraud Work and Whistleblowing Referrals 2020/21	67 - 78
<p>This report details counter fraud work carried out by Internal Audit to provide assurance on the Council's response to combating fraud & corruption.</p> <p>Internal Audit have investigated all allegations of suspected fraud or financial irregularity in a proportionate manner.</p> <p>One formal whistleblowing referral for the Council was received and investigated by Internal Audit during 2020/21.</p> <p>[PLEASE NOTE: Appendix A to this report is Restricted - Should the Committee wish to discuss the detail of Appendix A the meeting will be required to move into Confidential (Exempt) Session].</p>	
12. External Audit - Core Financial System IT Audit Report 2020/21	79 - 110
<p>The attached report provides the findings from Grant Thornton's review of IT general controls for BCP Council applications identified as relevant to the financial audit.</p> <p>The report includes an overview of the IT audit findings which were assessed as 4 'Significant Deficiency', 7 'Deficiency' and 1 'Improvement Opportunity' issues.</p> <p>Management have provided a response to all issues raised.</p>	
13. External Audit - Audit Progress Report 2020/21 & Sector Update	111 - 126
<p>Grant Thornton, as the Council's appointed External Auditors, have produced a report which provides an update to Audit & Governance Committee on their progress to date in delivering their responsibilities.</p> <p>The report states that the proposed target completion date for their fieldwork is 30th November 2021 and they aim to give their opinion on the financial statements by the end of December 2021. Reasons (and context) for the delay in issuing the opinion against the target date of 30 September 2021 are included in the report.</p> <p>The report also includes a summary of the 'What can be learned from Public Interest Reports?' publication by Grant Thornton, along with a link to the full publication.</p>	
14. Forward Plan (refresh)	127 - 130
<p>This report sets out the reports to be received by the Audit & Governance Committee for the 2021/22 municipal year.</p>	

No other items of business can be considered unless the Chairman decides the matter is urgent for reasons that must be specified and recorded in the Minutes.