

ACTIONS

<u>ACTIONS FROM THE GOVERNANCE AND AUDIT MEETING HELD ON 22 September 2022</u>			
MINUTE NO.		ITEM	RESPONSIBLE OFFICER
15. 22/23		<u>Q1 RISK REPORT</u>	
✓		<p>One of the changes to the Risk Register was the moving of Technology Infrastructure Failure to the operational Risk Register – members felt that it was too soon to remove it from the Strategic Risk Register.</p> <p>MINUTED MEETING RESPONSE: Members were advised that a risk around the more generic risk of IT failure would be added to the next iteration of the Risk Register.</p> <p>UPDATE: Actioned as requested.</p>	Corey Gooch
16. 22/23		<u>Q1 TREASURY REPORT 2022/2023</u>	
✓		<p>In response to members questioning whether the Council’s borrowings of £67.456million at a rate of 3.48% (Section 5 – Borrowing) was a fixed rate, it was confirmed that it was. Members requested that this be specified in future reports.</p> <p>UPDATE: Actioned as requested.</p>	Sean Howsam
18. 22/23		<u>PROGRESS REPORT ON INTERNAL AUDIT ACTIVITY 2022/2023</u>	
x	(a)	<p><u>Housing Needs, Allocations, Homelessness and Housing Register Recommendation 1</u> (Important) – Full assessments of homelessness applications be completed as soon as possible after the application is received. Performance in this regard should be monitored to ensure that applications are assessed within a pre-determined timescale.</p> <p>MINUTED MEETING RESPONSE: Members were advised that this was almost consistently being achieved. A target date of 10 working days had been set and following a recent sample it was noted that an average of 12 working days was currently being achieved. Samples confirming this would be provided.</p>	Gemma Johnson

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x	(b)	<p><u>Housing Needs, Allocations, Homelessness and Housing Register</u> Recommendation 2 (Important) – All decision letters to be uploaded to the relevant case.</p> <p>MINUTED MEETING RESPONSE: Members were advised that this was being achieved and that samples confirming this would be provided.</p>	Gemma Johnson
✓	(c)	<p><u>Private Sector Housing</u> Recommendation 7 (Important) – The Council’s PSH Team review its approach to overseeing administration of empty homes to align to the priorities within the Empty Homes Strategy whilst at the same time taking into account the actual numbers of empty properties in the district and available resources. Members commented on the delay to the Team’s work as a result of the delay in obtaining information from the Council Tax department. Did the Authority have an escalation process to deal with this?</p> <p>MINUTED MEETING RESPONSE: The Assistant Director Finance advised that the information should be provided by PSPS and as client liaison officer with regard to this, she would ensure that this was progressed.</p> <p>UPDATE: This action was completed, and information received as needed.</p>	Sam Knowles

		<u>OUTSTANDING ACTIONS FROM PREVIOUS GOVERNANCE & AUDIT COMMITTEE MEETINGS</u>	
9. 22/23		<p><u>28 JULY 2022</u> <u>Q4 Risk Report</u></p>	
*	(a)	<p>Members had not yet been offered training as stated in the ‘external communications breakdown’ risk mitigation narrative. When would this take place?</p> <p>MINUTED MEETING RESPONSE: Training had been undertaken for senior officers and would be rolled out to members after the 2023 election, for the new municipal year.</p>	Shaun Gibbons Christine Morgan

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		<p>UPDATE: Democratic Services will liaise with Communications to ensure this area is covered in member training following the 2023 District Elections.</p>	
✓	(b)	<p>Concerns were raised regarding Change4Lincs and members asked how the service could be improved. Was the contract being managed?</p> <p>MINUTED MEETING RESPONSE: The Assistant Director – Finance would liaise with the Homelessness Reduction and Private Sector Improvement Manager to understand how the Change4Lincs contract worked and establish whether additional support was required. Details would be provided in the next Risk Report.</p> <p>UPDATE: Assistant Director – Wellbeing and Community Leadership responded as follows: The Change4Lincs Team who are jointly funded with other districts, also work specifically with cases who are rough sleeping or at risk of rough sleeping but who the Council does not owe a statutory accommodation duty to. We continue to ensure that this team provides the impact and performance that is required.</p>	<p>Sam Knowles Gemma Johnson Corey Gooch Emily Spicer</p>
10. 22/23		<p><u>28 JULY 2022</u> <u>GOVERNANCE AND AUDIT COMMITTEE WORK PROGRAMME</u></p>	Sam Knowles
✓	(a)	<p><u>Regarding Appendix B:</u></p> <p>Pensions training would be arranged for Committee members in the near future;</p> <p>UPDATE: Pensions training has been arranged for 6 December 2022 to be led by L.C.C. officer Claire Machej.</p>	
*	(b)	<p>Draft Accounts training had been arranged for 8 September 2022.</p> <p>UPDATE: The planned training was postponed due to extenuating circumstances. Draft Accounts training will be arranged after the auditor’s field work was completed.</p>	
41. 21/22		<p><u>17 MARCH 2022</u> <u>AUDIT COMMITTEE SELF-ASSESSMENT EXERCISE</u></p>	
*		<p>Question 4 - Is the role and purpose of the audit committee understood and accepted across the authority? - A member-style</p>	<p>Christine Morgan Andrea Tait</p>

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	<p>bulletin to be considered to highlight the work of the Committee. The Head of Internal Audit commented that the Committee should discuss this and potentially add the suggestion to its programme of work. She also advised of an example of a good leaflet that had been used by other authorities a number of years ago which the Committee could consider using.</p> <p>UPDATE: To be considered as part of the training plan being developed.</p>	<p>in liaison with Matt Waller Sam Knowles Chairman</p>
*	<p>Question 6 – Are the arrangements to hold the committee to account for its performance operating satisfactorily? - This response had moved to a yes, following research of the approach taken at other Councils. It was confirmed that in line with the guidance, the Committee reports to full Council and produces a report annually as an assessment of their performance. The Head of Internal Audit confirmed that by producing an annual report to Council, this area would be satisfied.</p> <p>UPDATE: To be introduced. Governance and Audit Committee 19 January 2023 to consider what information to include within the annual report.</p>	<p>Christine Morgan Andrea Tait in liaison with Sam Knowles Chairman</p>
*	<p>Question 18 – Has the Committee obtained feedback on its performance from those interacting with the committee or relying on its work? - The Committee considered the answer to be ‘yes’ to this question however, it had been agreed that feedback would be requested at year end from officers interacting with them. The Head of Internal Audit commented that surveys could be undertaken at end of year – Internal Audit would send a survey to the Chairman of the Committee to obtain feedback on Internal Audit’s work, and they would also send out a survey to officers to obtain feedback on their interaction with the Governance and Audit Committee. The results would then be shared with the Committee. The Chairman asked for confirmation that this action would sit with Internal Audit and the Head of Internal Audit responded that it would, and that the action would be passed over to the new auditor in due course.</p> <p>UPDATE: It was noted that Internal Audit would undertake this function at end of year.</p>	<p>Matt Waller Internal Audit</p>
*	<p>Question 15 – Has the membership of the committee been assessed against the core knowledge and skills framework and found to be satisfactory? - It had been suggested that the CIPFA Audit Committee Core Knowledge and Skills Framework be</p>	<p>Sam Knowles</p>

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		<p>circulated to Committee members annually, and that if any gaps were identified, training should be requested.</p> <p>UPDATE: To be incorporated as part of the Training Plan.</p>	
42. 21/22		<p><u>17 MARCH 2022</u> <u>GOVERNANCE AND AUDIT COMMITTEE WORK PROGRAMME</u></p>	
* * *	<p>(a)</p> <p>(b)</p> <p>(c)</p>	<p>Training package:</p> <ul style="list-style-type: none"> • List of future training topics appended to the report was correct and where possible (for common areas), should be aligned across the three authorities within the S&ELCP. • Training to be opened up to all other interested members. • Pensions and cyber security to be the first areas for training <p>UPDATE: Development of the Training Plan is in progress, and these areas to be taken forward. Pensions training arranged for 6 December 2022.</p>	Sam Knowles