

## Audit and Governance Committee

MINUTES of the OPEN section of the Audit and Governance Committee held on Monday 22 February 2016 at 7.00 pm at Ground Floor Meeting Room G02C - 160 Tooley Street, London SE1 2QH

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**PRESENT:** Councillor Paul Fleming (Chair)  
Councillor Nick Dolezal  
Councillor Karl Eastham  
Councillor Renata Hamvas  
Councillor Andy Simmons

**OFFICER SUPPORT:** Jennifer Seeley, Director of Finance  
Gerri Scott, Strategic Director of Housing and Modernisation  
Marie Rance, Interim Head of Human Resources  
Jo Anson, Head of Financial Information and Governance  
Maureen McBain, Corporate Risk and Insurance Manager  
Mike Pinder, Head of Anti-Fraud and Internal Audit  
Dick Frak, Interim Director of Commissioning  
James Postgate, Commissioning Manager  
Chris Harris, Partner, RSM  
Angela Mason-Bell, Internal Audit Manager, RSM  
Paul Dossett, Engagement Lead, Grant Thornton  
Nick Taylor, Senior Audit Manager, Grant Thornton  
Victoria Foreman, Constitutional Officer

### 1. APOLOGIES

Apologies for absence were received from Councillor James Barber.

### 2. CONFIRMATION OF VOTING MEMBERS

Those members listed as present were confirmed as voting members for the meeting.

### 3. NOTIFICATION OF ANY ITEMS OF BUSINESS WHICH THE CHAIR DEEMS URGENT

There were no late items.

**4. DISCLOSURE OF INTERESTS AND DISPENSATIONS**

There were no disclosures of interest or dispensations.

**5. MINUTES**

**RESOLVED:**

The minutes of the meeting held on 11 November 2015 were agreed as a correct record and signed by the chair.

**6. 2015/16 THEMATIC REVIEW OF GOVERNANCE: HUMAN RESOURCES**

The committee heard from Gerri Scott, Strategic Director of Housing and Modernisation and Marie Rance, Head of Human Resources.

**RESOLVED:**

The audit and governance committee noted the progress in changes across human resources services and the achievements since September 2015.

**7. REPORT ON RETROSPECTIVE CONTRACT-RELATED DECISIONS**

**RESOLVED:**

1. The committee noted the retrospective contract decision detailed in the report.
2. The committee noted the actions taken by the Strategic Director of Children's and Adult Services to ensure that the risk of future retrospective contract decisions was minimised for the future.

**8. ANNUAL REPORT TO THE AUDIT AND GOVERNANCE COMMITTEE ON THE COUNCIL'S RISK REGISTER**

**RESOLVED:**

The committee noted the annual report on the council's risk register.

**9. PROGRESS REPORT ON THE WORK OF THE INTERNAL AUDIT AND ANTI-FRAUD TEAMS FOR THE PERIOD 1 OCTOBER 2015 TO 31 JANUARY 2016**

**RESOLVED:**

The committee noted the progress report on the work of the internal audit and anti-fraud teams for the period 1 October 2015 to 31 January 2016.

**10. INTERNAL AUDIT PLAN FOR 2016/17 AND UPDATED STRATEGY FROM 2016/17 TO 2020/21**

**RESOLVED:**

The committee approved the draft internal audit plan for 2016/17 and the revised internal audit strategy 2016/17 to 2020/21.

**11. GRANT THORNTON - INFORMING THE AUDIT RISK ASSESSMENT FOR SOUTHWARK COUNCIL AND SOUTHWARK PENSION FUND**

**RESOLVED:**

The committee noted the audit risk assessment for Southwark Council and Southwark Pension Fund.

**12. GRANT THORNTON - AUDIT PLANS FOR SOUTHWARK COUNCIL AND SOUTHWARK PENSION FUND AUDITS 2015/16**

**RESOLVED:**

The committee noted Grant Thornton's audit plans for Southwark Council and for the pension fund 2015/16.

**13. GRANT THORNTON - AUDIT AND GOVERNANCE COMMITTEE UPDATE FEBRUARY 2016**

**RESOLVED:**

The committee noted Grant Thornton's update, including the 2014/15 certification report.

**14. DRAFT WORK PROGRAMME FOR 2016/17**

**RESOLVED:**

1. The committee considered the proposed draft work programme for 2016/17 and agreed that, rather than select a single governance theme, it would identify a number of areas for consideration at future meetings, and also that the additions to the work programme as set out in paragraphs 9 and 10 of the report be added to the work programme.
2. The committee, subject to requested changes, agreed the work programme for 2016/17.

**15. ANNUAL REPORT TO COUNCIL ASSEMBLY ON WORK AND PERFORMANCE IN 2015/16**

**RESOLVED:**

1. The committee reviewed the draft self-assessment of good practice and indicated that further consideration to member training be given.
2. The committee agreed to forward the report on its work and performance in 2015/16 to council assembly.

The meeting ended at 8.57pm.

**CHAIR:**

**DATED:**