

## **Audit, Governance and Standards Committee**

MINUTES of the OPEN section of the Audit, Governance and Standards Committee held on Monday 10 February 2020 at 6.30 pm at Ground Floor Meeting Room G02A - 160 Tooley Street, London SE1 2QH

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**PRESENT:** Councillor James McAsh (Chair)  
Councillor Humaira Ali  
Councillor Dora Dixon-Fyle MBE  
Councillor Andy Simmons  
Councillor Dan Whitehead  
Councillor Tom Flynn

### **1. APOLOGIES FOR ABSENCE**

Apologies were received from Councillor Nick Dolezal.

### **2. CONFIRMATION OF VOTING MEMBERS**

The members present were confirmed as the voting members.

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

The chair agreed to accept item 10: Audit plans (including pension fund) as late and urgent.

### **4. DISCLOSURE OF INTERESTS AND DISPENSATIONS**

There were none.

### **5. MINUTES**

The minutes of the meeting of 11 September 2019 were agreed as a correct record and signed by the chair.

**6. GOVERNANCE CONVERSATION: STRATEGIC DIRECTOR OF CHILDREN'S AND ADULTS' SERVICES**

David Quirke-Thornton, the strategic director of children's and adults' services, presented to the committee.

Officers undertook to circulate a diagram of the governance arrangements of the children's and adults' services department to the committee.

**7. SHARED ICT SERVICE - UPDATE**

Fabio Negro, MD of the shared IT service, and Emma Marinos, director of Modernise, presented to the committee. Members had questions of the officers.

**8. BDO INTERNAL AUDIT AND ANTI-FRAUD PROGRESS REPORT**

BDO presented to the committee. The committee had questions of BDO.

BDO undertook to bring back an update on housing sub-letting risks.

**RESOLVED:**

1. That the audit, governance and standards committee noted BDO's internal audit and anti-fraud progress report, as attached at Appendix A of the report.

**9. INTERNAL AUDIT STRATEGY AND OPERATIONAL PLAN 2020-21**

BDO presented to the committee. The committee had questions of BDO.

**RESOLVED:**

1. That the audit, governance and standards committee noted the internal audit strategy and operational plan, attached as Appendix A of the report.

**10. AUDIT PLANS (INCLUDING PENSION FUND)**

Grant Thornton presented the report. Members had questions for Grant Thornton.

**RESOLVED:**

1. That the audit, governance and standards committee noted the external audit plan for Southwark Council, attached as Appendix A of the report.
2. That the audit, governance and standards committee noted the external audit plan for Southwark Council's Pension Fund, attached as Appendix B of the report.

**11. ANNUAL REPORT ON CORPORATE RISK AND INSURANCE**

Officers presented the report. Members had questions of the officers.

**RESOLVED:**

1. That the audit, governance and standards committee noted the annual report on corporate risk and insurance.
2. That the audit, governance and standards committee reviewed the current corporate risk register and provided comments to officers for their consideration.

**12. REPORT ON THE OPERATIONAL USE OF THE REGULATION OF INVESTIGATORY POWERS ACT 2000**

Officers presented the report. Members had questions of the officers.

**RESOLVED:**

1. That the committee noted the information relating to the use of RIPA for the period shown in the report.

**13. REVIEW OF THE COMPLAINTS MADE UNDER THE CODE OF CONDUCT**

Officers presented the report.

**RESOLVED:**

1. That the committee noted the report.

**14. REVIEW OF MEMBER AND OFFICER PROTOCOL AND COMMUNICATIONS PROTOCOL**

Officers presented the report. Members had questions of the officers.

**RESOLVED:**

1. That the committee noted the report.
2. That the committee recommended to council assembly that the Member and Officer Protocol be amended as shown in Appendix 1 of the report, with one additional amendment set out below:
  56. [...] Similarly 'computer' means an electronic device used for storing and processing information, such as desktop and notebook computers (laptops) and hand held devices (such as ~~BlackBerrys~~ mobile devices).

**15. WHISTLEBLOWING COMPLAINTS AND OUTCOMES AND UPDATE TO POLICY**

Officers presented the report.

**RESOLVED:**

1. That the committee noted the report.

**16. ANNUAL REPORT ON THE WORK AND PERFORMANCE OF THE AUDIT, GOVERNANCE AND STANDARDS COMMITTEE IN 2019-20**

Officers presented the report. Members had questions of the officers.

Members undertook to complete the self-assessment questionnaires and return them to the committee clerk by May 2020.

**RESOLVED:**

1. That the audit, governance and standards committee forward this report on its work and performance in 2019-20 to all councillors with no amendments.

**17. DRAFT WORK PROGRAMME FOR 2020-21**

Officers presented the report. Members had questions of the officers.

**RESOLVED:**

1. That the audit, governance and standards committee considered the proposed draft work programme for 2020-21 and agreed to continue the governance arrangements started this year.
2. That the audit, governance and standards committee agreed the work programme for 2020-21 set out in Appendix 2 of the report.

**18. APPOINTMENT OF NON-VOTING CO-OPTED MEMBERS OF THE CIVIC AWARDS SUB-COMMITTEE FOR 2019-20**

This item was considered in closed session.

**RESOLVED:**

That the committee considered the nominations for the positions of co-opted members of the audit, governance and standards (civic awards) sub-committee outlined in closed Appendix 1 and agreed the nominations.

Meeting ended at 8.30 pm

**CHAIR:**

**DATED:**