



# Rutland County Council

Catmose Oakham Rutland LE15 6HP.  
Telephone 01572 722577 Email [governance@rutland.gov.uk](mailto:governance@rutland.gov.uk)  
DX28340 Oakham

Minutes of the **MEETING of the AUDIT AND RISK COMMITTEE** held in the Council Chamber, Catmose on Tuesday, 24th April, 2018 at 7.00 pm

**PRESENT:** Miss G Waller (Chairman)

Mr I Arnold

Miss R Burkitt

Mr G Conde

Mrs J Fox

Mr A Lowe

**APOLOGIES:** Mr J Lammie

**OFFICERS** Mrs Debbie Mogg

Director for Resources

**PRESENT:** Mr Dave Brown

Director for Places (Environment, Planning & Transport)

Mr Saverio Della Rocca

Assistant Director for Finance

Ms Rachel Ashely-Caunt

Head of Internal Audit

Mrs Gill Curtis

Head of Service – Lifelong Learning

Mrs Kim Cross

Clerk

**OTHER  
ATTENDEES:**

Mr N Begy

Deputy Leader and Portfolio Holder for Planning Policy and Planning Operational, Highways & Transportation, Communications

Mr G Brown

Portfolio Holder For Regulatory Services, Waste Management, Property Services, Culture & Leisure, Finance Including Revenues And Benefits And Internal Audit

Mr D Wilby

Portfolio Holder for Lifelong Learning, Early Years, Special Educational Needs & Disabilities, Inclusion

## 783 MINUTES

The minutes of the Audit and Risk Committee held on 30 January 2018 were confirmed and signed by the Chairman.

## 784 MATTERS ARISING

Ms Ashley-Caunt gave an update on minute number 554 d). Main Registered Providers and the HCA (now Homes England) were consulted. Responses were received from Spire and from the HCA. The responses raised some issues which had been considered. As at the end of March, the following view had been reached by officers:

That for sites where there is a planning requirement to have a local sales restriction [typically rural exception sites and some other rural sites], the Council should seek a clause in new section 106 agreements requiring the Council to be notified following commencement of marketing of a property for resale.

**785 DECLARATIONS OF INTEREST**

There were no Declarations of Interest in respect of items on the agenda.

**786 PETITIONS, DEPUTATIONS AND QUESTIONS**

No Petitions, Deputations or Questions had been received from members of the public.

**787 QUESTIONS FROM MEMBERS**

There were no questions received from Members.

**788 NOTICES OF MOTION**

There were no notices of motion received from Members.

**The remaining business on the agenda was taken in the order as appears in these minutes.**

**789 INTERNAL AUDIT UPDATE**

Report No. 74/2018 was received from the Head of Internal Audit, Ms Rachel Ashely-Caunt. The purpose of the report was to update Members on the progress made in delivering the 2017/18 annual internal audit Plan and outcomes from audit assignments completed since the last Committee meeting.

During discussion the following points were noted:

- a) A copy of the Safer Rutland audit report was provided at Appendix F for information, as agreed with the Chair of the Committee.
- b) Mrs Mogg confirmed the majority of outstanding actions for the Resources directorate would be covered by the GDPR work that was being undertaken.
- c) Appendix F – Safer Recruitment in Schools 2017/18  
Mrs Curtis confirmed Safer Recruitment training is available to all schools and settings in Rutland, all of which receive regular education bulletins, with safeguarding updates, and notification of training sessions; an Annual Safeguarding through Education Audit was sent to all schools and settings and out of county settings where our children are placed on Monday, the audit requested names of school staff and Governors trained in Safer Recruitment and the dates they received the training, so far a positive response had been received.

**RESOLVED**

- i. The Committee **NOTED** the Internal Audit update report (Appendix A).

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Mrs Curtis and Mr Wilby left the meeting at 7.48pm

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## 790 EXTERNAL AUDIT UPDATE

Report No. 77/2018 was received from the Director for Resources. The purpose of the report was to update the Committee on the progress in respect of the external audit for 2017/18.

### RESOLVED

- i. The Committee **NOTED** the progress report from the external auditors, KPMG LLP and in particular that no concerns had been raised in respect of their audit work to date

## 791 INTERNAL AUDIT PLAN 2018/19

Report No. 75/2018 was received from the Head of Internal Audit. The purpose of the report was to seek the Committee's approval of the Internal Audit Plan for 2018/19 and the Internal Audit charter, in line with the Public Sector Internal Audit Standards.

During discussion the following points were noted:

- a) Members discussed whether an internal audit around an element of the St Georges project should be added to the 2018/19 audit plan. The Committee did not agree a specific area for review but the Chair agreed to meet with Ms Ashley-Caunt and other officers to discuss this further.

### RESOLVED

- i. The Committee **REVIEWED** and **APPROVED** the Internal Audit Plan for 2018/19 and the Internal Audit Charter; and
- ii. **GAVE** authority to the Assistant Director – Finance to make changes to the audit Plan 2018/19 in consultation with the Chair of the Audit & Risk Committee.

## 792 HIGHWAYS MAINTENANCE CONTRACT: INTERNAL AUDIT REPORT

Report No. 76/2018 was received from the Director for Places (Environment, Planning & Transport). The purpose of the report was to present the findings of the highways Maintenance Contract 2016/17 audit and to inform Members of the actions taken in response to this.

### RESOLVED

- i. The Committee **NOTED** the Highways Maintenance Contract 2016/17 report and the actions taken by Officers to address issues raised.

- ii. The Committee **AGREED** that a further update on any outstanding issues would be provided in June 2018.

### 793 ANNUAL GOVERNANCE STATEMENT

Report No. 72/2018 was received from the Director for Resources. The purpose of the report was to meet the statutory requirement for the Council to approve an AGS for inclusion in its published Statement of Accounts (SoA) for 2017/18. In advance of formal approval in July, The Committee was invited to consider an early draft.

During discussion the following points were noted:

- a) Members advised on any issues they wished to see addressed or expanded upon in the Annual Governance Statement (AGS), the issues raised were as follows:
  - I. A more detailed explanation would be included in the final AGS regarding RCC partnerships.
  - II. Acknowledgement within the AGS that the Council was working on the financial position and that the current situation was not tenable forever without taking other action.
  - III. Committee requested that a separate section on The Officers Mess project at St Georges Barracks be included.

### RESOLVED

- i. The Committee **CONSIDERED** whether the Annual Governance Statement (AGS) fairly represented the governance framework in place at the Council and **ADVISED** on any issues they wished to see addresses or expanded upon in the Annual Governance Statement.

### 794 REGULATION OF INVESTIGATORY POWERS ACT 2000 (RIPA) UPDATE

A verbal update was received from the Director for Resources, Mrs Mogg confirmed the powers of RIPA had not been used this quarter and gave a nil report.

### 795 ANY OTHER URGENT BUSINESS

There were no items of urgent business.

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**The Chairman declared the meeting closed at 8.43 pm.**

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