

AUDIT & GOVERNANCE COMMITTEE

8 May 2024

Report of the Audit Working Group 27 March 2024

Report by Executive Director of Resources

RECOMMENDATION

1. The Committee is RECOMMENDED to note the report.

Executive Summary

2. The Audit Working Group (AWG) met on 27 March 2024. The group received and update on the implementation of management actions arising from the audits of Corporate and Statutory Complaints and Physical Security Systems, which were both undertaken during 2023/24.

Introduction

3. Attendance:
Full Meeting: Chairman Dr Geoff Jones. Councillors: Roz Smith, Glynis Phillips, Nigel Champken-Woods.

Officers: Full meeting: Sarah Cox, Chief Internal Auditor, Ian Dyson, Director of Finance Services, Shilpa Manek, Committee Officer, Paul Grant, Head of Legal,

Officers: Part meeting: Katherine Kitashima, Audit Manager, Clare Martin, Quality and Performance Manager, Suzette Langsbury, Team Leader, Customer Feedback Team, Victoria Baran, Deputy Director Adult Social Care, Jessie Dobson, Partnership Youth Development Manager, Vic Kureja, Director of Property Services, Anthony Hulsman, Head of FM, Andy Bradford, Operational Manager Health and Safety.

Apologies: Cllr Yvonne Constance OBE, Cllr Brad Baines

Matters to Report:

Internal Audit of Corporate and Statutory Complaints 2023/24

4. The audit of Corporate and Statutory Complaints was undertaken during 2023/24. The overall conclusion was graded Amber and noted that significant progress had been made in reducing the previous backlog of complaints and that further work was ongoing to improve the quality and timeliness of complaint

responses. The Audit & Governance Committee had requested that the Audit Working Group receive an update from officers on the agreed actions arising from the audit and that as well as officers from the Corporate Complaints Team, that officers from some of the directorates also attended to be able to discuss directorate responses to complaints.

5. Officers updated the group and confirmed that good progress has been made with the implementation of the management action plan. Five of the thirteen actions have already been fully implemented and the remaining eight actions are in progress with them all due for completion by the end of June 2024.
6. One of the agreed actions is to develop a leaflet which sets out the complaints process and what the customer should expect. The Audit Working Group felt that once this was produced this would be helpful to circulate to all members for information.
7. Officers from Adults directorate and Childrens directorate attended and briefed the group on how the directorates are working very closely with the Corporate Complaints team in improving the organisation's management, response and learnings from complaints.
8. The Audit Working Group were satisfied with the response taken to the issues identified within the Internal Audit report and will be updated on the implementation of the remaining actions through the routine Internal Audit follow up process.

Internal Audit of Physical Security Systems – Building Controls / CCTV 2023/24

9. The audit of Physical Security Systems was undertaken in 2023/24. The overall conclusion was graded Red. The audit focused on two specific areas of physical security: building access control and corporate CCTV systems. A number of key risks were identified in both areas. Officers attended the group and reported that significant progress had been made in implementing the agreed management actions. This has included creating a formal documented policy on building access security and a CCTV Policy, which at the time of the AWG meeting were due to be presented to CMT (Council Management Team) in April 2024.
10. The Audit Working Group were satisfied that the majority of actions had been implemented and no further follow up was required by the group.

Financial Implications

13. There are no direct financial implications arising from this report.

Comments checked by: Ian Dyson, Director of Finance Services
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Legal Implications

14. There are no direct legal implications arising from this report.

Comments checked by: Paul Grant, Head of Legal
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Lorna Baxter
Executive Director of Resources

Annex: None
Background papers: None

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March 2024.

Next AWG meeting: 22 May 2024.