

Governance Committee

Tuesday, 26th March, 2024, 6.00 pm

Shield Room, Civic Centre, West Paddock, Leyland PR25 1DH and
[You Tube](#)

Agenda

1 Apologies for absence

2 Declarations of Interest

Members are requested to indicate at this stage in the proceedings any items on the agenda in which they intend to declare an interest. Members are reminded that if the interest is a Disclosable Pecuniary Interest (as defined in the Members' Code of Conduct) they must leave the room for the whole of that item. If the interest is not a Disclosable Pecuniary Interest, but is such that a member of the public could reasonably regard it as being so significant that it is likely that it would prejudice their judgment of the public interest (as explained in the Code of Conduct) then they may make representations, but then must leave the meeting for the remainder of the item.

3 Minutes of the Last Meeting

(Pages 3 - 6)

Minutes of the meeting held on Tuesday, 6 February 2024 attached to be agreed and signed as a correct record.

4 Key Contracts and Partnerships Framework Refresh

(Pages 7 - 18)

Report of the Director of Change and Delivery attached.

5 Internal Audit Plan April to September 2024

(Pages 19 - 24)

Report of the Head of Audit and Risk attached.

6 Exclusion of the press and public

To consider the exclusion of the press and public for the following items of business on the ground that it involves the likely disclosure of exempt information as defined in Paragraph 1 of Part 1 of Schedule 12A to the Local Government Act 1972.

By Virtue of Paragraph 1: Information relating to an individual.

Condition:

Information is not exempt if it is required to be registered under-

The Companies Act 1985

The Friendly Societies Act 1974

The Friendly Societies Act 1992

The Industrial and Provident Societies Acts 1965 to 1978

The Building Societies Act 1986 (recorded in the public file of any building society, within the meaning of the Act)

The Charities Act 1993

Information is exempt to the extent that, in all the circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information.

Information is not exempt if it relates to proposed development for which the local planning authority may grant itself planning permission pursuant to Regulation 3 of the Town & Country Planning General Regulations 1992(a).

7 Internal Audit Plan April to September 2024 - Appendix B

(Pages 25 - 34)

Report of the Head of Audit and Risk attached.

Chris Sinnott
Chief Executive

Electronic agendas sent to Members of the Governance Committee Councillors Colin Sharples (Chair), Wesley Roberts (Vice-Chair), Damian Bretherton, Peter Gabbott, Pete Pillinger, Margaret Smith and Angela Turner

The minutes of this meeting will be available on the internet at www.southribble.gov.uk

Forthcoming Meetings

6.00 pm Thursday, 23 May 2024 - Shield Room, Civic Centre, West Paddock, Leyland PR25 1DH

Minutes of	Governance Committee
Meeting date	Tuesday, 6 February 2024
Committee members present:	Councillors Colin Sharples (Chair), Wesley Roberts (Vice-Chair), Damian Bretherton, Peter Gabbott, Pete Pillinger and Will King
Officers present:	Chris Moister (Director of Governance), Louise Mattinson (Director of Finance and Section 151 Officer), Jean Waddington (Principal Financial Accountant), Dawn Highton (Head of Audit & Risk), Jacqui Murray (Senior Auditor), Hollie Walmsley (Head of Human Resources) and Clare Gornall (Democratic and Member Services Officer)
Other attendees (in person):	Georgia Jones, External Auditor (Grant Thornton)
Attending virtually:	Councillor Kath Unsworth; and Adam Nickson, Head of Property and Development
Apologies:	Councillor Mrs Margaret Smith and Councillor Ange Turner
Public:	0

A video recording of the public session of this meeting is available to view on [YouTube here](#)

35 Apologies for absence

Apologies were received from Councillor Mrs Margaret Smith and Councillor Angela Turner.

It was noted that Councillor Will King was present as a substitute for Councillor Mrs Smith.

36 Declarations of Interest

There were no declarations of interest.

37 Minutes of the Last Meeting

Resolved: That the minutes of the meeting held on Tuesday, 28 November 2023 be agreed and signed as a correct record.

Agenda Item 3

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38 Internal Audit Progress Report

Jacqui Murray, Senior Auditor presented a report advising members of the work undertaken in respect of the Internal Audit Plan from September 2023 to December 2023 and to give an appraisal of the Internal Audit Service performance to date.

It was noted that the Internal Audit Reviews, Physical Security and Environmental Controls (Appendix C) and Driving Licence Checks (Appendix D) were given a "Limited" assurance rating and the Heads of Service were in attendance to answer questions from the Committee. The report detailed the relevant management actions and deadlines for implementation arising from the review.

Adam Nickson, Head of Property and Development, was asked about implementation of actions for Physical Security and Environmental Controls. He explained that they were just waiting for more quotes in order to be able work out costs, which should be in the next week or so. He reassured the Committee that the actions should be implemented as soon as possible.

Resolved: - That the position with regard to the Internal Audit Plan.

39 External Auditor's Report

Georgia Jones, External Auditor (Grant Thornton) presented the External Auditor's Annual Report 2022/23.

A question was asked about the Civica Property Assets Management System which had been recently introduced. It was agreed that written feedback would be provided after the meeting.

With regard to the key recommendations in respect of procurement (page 12), Chris Moister, Director of Governance explained that officers were looking to address under resourcing as part of a restructure and would be changing the approach to procurement in preparation for new legislation coming into force this year. He indicated that specialisms would be built into the team e.g. for ICT procurement. So far four posts had been filled and there was one outstanding vacancy (the manager post).

Resolved: That the Auditor's Annual Report 2022/23 be noted.

40 Final Audit Findings Report

Georgia Jones, External Auditor (Grant Thornton), presented the Final Audit Findings Report for year end 31 March 2023.

Resolved: That the report be noted.

41 Statement of Accounts 2022/23

Jean Waddington, Principal Financial Accountant, presented the final Statement of Accounts 2022/23, updating the Committee on the adjustments made to the accounts since 28 November 2023, following completion of the external audit by Grant Thornton.

Agenda Item 3

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Since 28 November 2023 Grant Thornton identified four adjustments required to the accounts which had been discussed with the Director of Finance and her team. These amendments had now been agreed and the 2022/23 accounts updated accordingly. The full list of adjustments were set out at paragraph 12 of the report and also at Appendix D of the Audit Findings Report.

Resolved: Further to the approval of the Draft 2022/23 Statement of Accounts at the Governance Committee on 28 November 2023, the Committee approve the statements which have been amended during the completion of the external audit to include the adjustments detailed in paragraph 12 of the report.

42 Risk Management Strategy

The Head of Audit and Risk, Dawn Highton presented a report requesting approval to a revised Risk Management Strategy which had been reviewed and updated to include the Council's risk appetite and escalation processes.

The report indicated that the Strategy had last been updated and presented to the Committee in March 2021.

Following a member query, Dawn Highton indicated that the Corporate Risk Register is considered at Committee twice a year.

Resolved: That the revised Risk Management Strategy be approved.

Chair

Date

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Agenda Item 4



Report of	Meeting	Date
Director of Change and Delivery	Governance Committee	Tuesday, 26 March 2024

Key Contracts and Partnerships Framework Refresh

Is this report confidential?	No
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Is this decision key?	Not applicable
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Purpose of the Report

1. To present the Key Contracts and Partnerships Framework (included at Appendix A).

Recommendations to Governance Committee

2. To consider the updated Key Contracts and Partnerships Framework for approval by Executive Cabinet.

Reasons for recommendations

3. To ensure the framework remains fit for purpose and supports aligned ways of working within shared services.

Other options considered and rejected

4. To not refresh the framework, which would result in the identified improvements not being implemented. This has been rejected as it would not ensure the framework remains fit for purpose.
5. To not share the updated framework with Chorley Council. This would mean that shared officers must adhere to different framework criteria, in some cases for contracts monitored by both councils. This has been rejected as it would not support aligned ways of working.

Corporate priorities

6. The report relates to the following corporate priorities:

An exemplary council	Healthy and happy communities
Opportunities for everyone	Green and clean neighbourhood

Agenda Item 4

Background to the report

7. The Key Contracts and Partnerships Framework sets out monitoring arrangements for contracts and partnerships where their significance justifies additional scrutiny. The framework was first introduced in 2021.
8. South Ribble's Key Contract and Partnerships Framework currently monitors 13 contracts, of which 10 are also included within Chorley Council's Key Contracts and Partnerships framework. These are reported to Senior Management team jointly due to the contracts/partnerships being in common across the councils, and to Cabinet on an annual basis. Areas reported include progress against objectives, known risks or issues, and financial stability.
9. The framework refresh proposes to create a shared framework with Chorley Council, to support aligned ways of working for shared services staff while ensuring the framework remains fit for purpose.

Outlining the Refreshed Framework

10. The council is involved in many contracts and partnerships, with many different partners. The framework differentiates the level of governance and risk management required based on the following criteria:
 - Their financial value
 - Their impact on the delivery of the council's strategic objectives
 - How reliant the Council is on the proposed partner for service delivery
 - There is a significant degree of risk
 - The length/timescales of the commitment are significant
11. The updated framework has looked at best practice from other organisations, compared the existing frameworks and considered internal audit recommendations to create improvements.
12. Changes to the framework include:

Key Changes	Rationale
An aligned framework across Chorley and South Ribble	There are a number of similarities in the existing frameworks for each council which are available here and here . Aligning the frameworks will support officers who are working across both councils as a number of key contracts or partnerships are shared across Chorley and South Ribble. Reporting and separate lists of each contract/ partnership will remain sovereign for each council.
Introducing a checklist for identifying key contracts and partnerships	The introduction of standardised criteria will provide greater clarity for the reasons why the contracts and partnerships included on the framework are more significant and justify additional scrutiny.
Reformatting Layout	The new layout provides a clear diagram of the framework process, and the actions needed at each stage. This should improve the framework's functionality as a reference document for officers.

Agenda Item 4

Introducing a governance self-assessment for responsible officers to complete	A a checklist of required governance arrangements, has been introduced to set clear expectations for the governance arrangements that need to be in place for key contracts or partnerships. As the checklist will be referred to at each monitoring update, it should also support and maintain officer awareness of governance expectations.
Spot Checks	Spot checks will be introduced to ensure governance arrangements are in place.
Updating the role of the responsible officer	To reflect current expectations of responsible officers.

13. The framework's function as a reporting mechanism to members remains unchanged, with annual monitoring reports being presented to the Cabinet. These provide an update against the contracts or partnerships annual objectives, set new objectives for the financial year, and provide additional reassurances with comments on contract/partnership financial stability and monitoring arrangements.

14. The current contracts and partnerships monitored by the framework are provided in the below table. These will be reviewed against the updated criteria areas after the framework is refreshed.

Contract/Partnership	Purpose
South Ribble Leisure	To provide leisure facilities to residents
Firmstep	To deliver the Customer Relationship Management system
City Deal	To enable growth in South Ribble and Preston by delivering infrastructure to support 17,000 new homes and 620,000 new jobs.
IDOX	To provide planning, land changes, environment, and licensing software (Regulatory Services)
NEC	To provide Electronic Document Management System software.
Civica (Financial System)	To provide core financials system software and maintenance.
Shared Services	Sovereign councils working together with shared functions to deliver council services.
Local Plan	To develop and deliver the Central Lancashire local plan for 2024.
Select Move	To provide a sub-regional choice-based lettings scheme with a common allocations policy.
Enghouse	Telephony, to provide the functionality for omnichannel contact centre
Goss	Website module- content management system
Blackpool Council (Payroll)	To provide a payroll and expense service for all employees and elected member.
Capita	To provide Revenues and Benefits Software and a Remote Support Service

Agenda Item 4

15. Alongside the refresh of the framework, a separate piece of work is taking place to review all of the partnerships and collaborative working arrangements across the council to ensure that they are driven by good practice, are joined up, and are not duplicating each other.

Climate change and air quality

16. The work noted in this report does not impact the climate change and sustainability targets of the Councils Green Agenda and all environmental considerations are in place.

Equality and diversity

17. The work outlined in this report does not pose any equality and diversity implications. As a reference document for staff, consideration has been made to ensure the document is accessible.

Risk

18. A key function of the framework is the identification and management of risk. The Key Contracts and Partnerships Framework provides a mechanism for mitigating the risk to service delivery through monitoring and management.

Next Steps

19. Following feedback from Governance Committees, the final framework will be presented to Cabinet in for approval.

20. Once the framework is approved, next steps will be:

- Review of included contracts and partnerships – Summer 2024
- Launch staff training and embed the new framework – Summer 2024
- Update GRACE risk register

Comments of the Statutory Finance Officer

21. There are no direct financial implications arising from this report. A review of the financial forecasts for contracts is included within the quarterly financial monitoring reports.

Comments of the Monitoring Officer

22. There are no concerns with what is proposed from a Monitoring Officer perspective.

Appendices

Appendix A – Key Contracts and Partnerships Framework

Report Author:	Email:	Telephone:	Date:
Caroline Winstanley (Transformation Co-Ordinator)	caroline.winstanley@southribble.gov.uk		20.02.2024

Key Contracts and Partnerships Framework

2024



WORKING TOGETHER

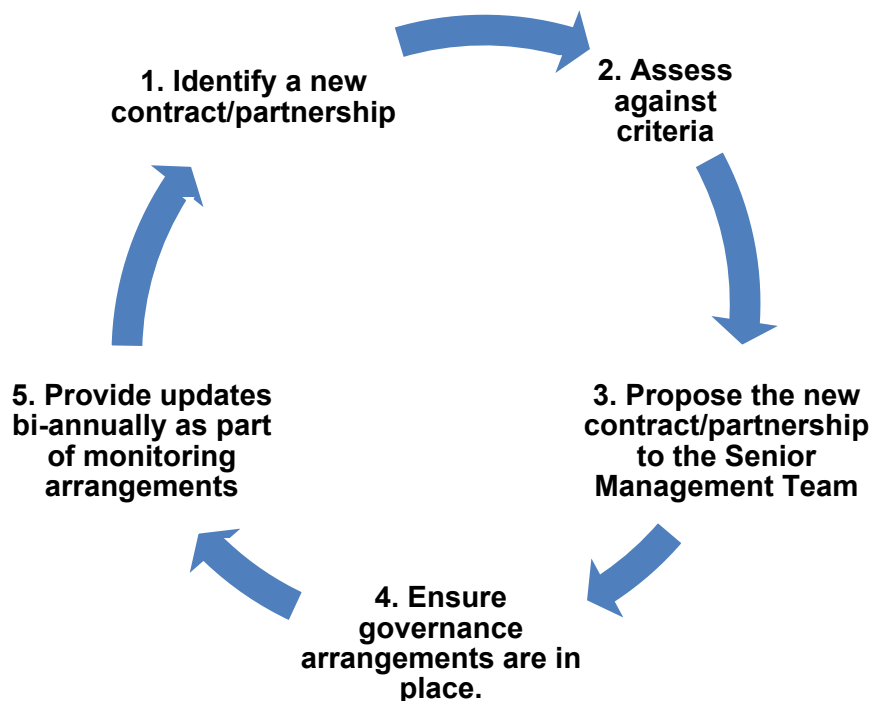
Aim of the framework

At Chorley Council and South Ribble Borough Council, we work in partnership with key contractors to supply services on our behalf and with key partners to deliver high quality services to our residents. The two local authorities share a Senior Management Team, and an increasing number of contracts are either shared or managed by shared services officers. The shared Key Contracts and Partnerships Framework reflects this arrangement by aligning existing monitoring processes across the two local authorities.

The aim of the framework is to provide a fit for purpose, robust and streamlined mechanism to monitor the performance of key contracts and partnerships, ensuring these are effective, efficient, and providing value for money for the Councils. The framework details the criteria used to identify key contracts and partnerships, the monitoring arrangements used to ensure strong governance and delivery, and the responsibility of the relevant officers to enable this feedback process.

Key stages

To ensure that we are effectively identifying key partnerships or contracts, and are monitoring them sufficiently, we have defined the key stages for applying the framework.



Step 1. Identifying a new contract or partnership

It is important to define what we mean by a key contract or partnership:

- Contractual arrangements with organisations, both to provide services on behalf of the Council and to supply the Council with products and services to support the running of Council services.
- Organisations from various sectors that the Council brings together to improve outcomes for local people by working together.

The Councils are involved in many contracts and partnerships. It is important to outline the reasons why some contracts or partnerships warrant additional governance and monitoring than others. We define this below, with a key contract or partnership to meet three or more of the following criteria:

- **Financial** – the contract costs the council £100k or more per annum.
- **Corporate Priorities** – the contract or partnership will significantly impact the delivery of one or more of the Council's corporate priorities.
- **Risk** – there is a high amount of risk associated with the contract or partnership.
- **Length** – the contract or partnership is for five or more years.
- **Resource** – there will be a large reliance on the proposed partner/contractor for service delivery.

Step 2. Assessing against criteria

The criteria set out above determines whether a contract or partnership should be considered key, and therefore subject to monitoring as outlined in this framework. Determining whether a contract or partnership is key will be down to the Responsible Officer by carrying out an assessment against the set criteria. A matrix tool to carry out the assessment is available at Appendix A.

Step 3. Adding new contracts and partnerships

New contracts and partnerships that fall under the remit of this framework should be presented to SMT to consider whether they are 'key' and should be included on the framework. This will take place alongside the bi-annual Key Contracts and Partnership monitoring update that is collated by the Transformation and Partnerships team and presented to the Senior Management Team. This can be facilitated by submitting the completed matrix from appendix A to the Transformation and Partnerships team.

Step 4. Governance

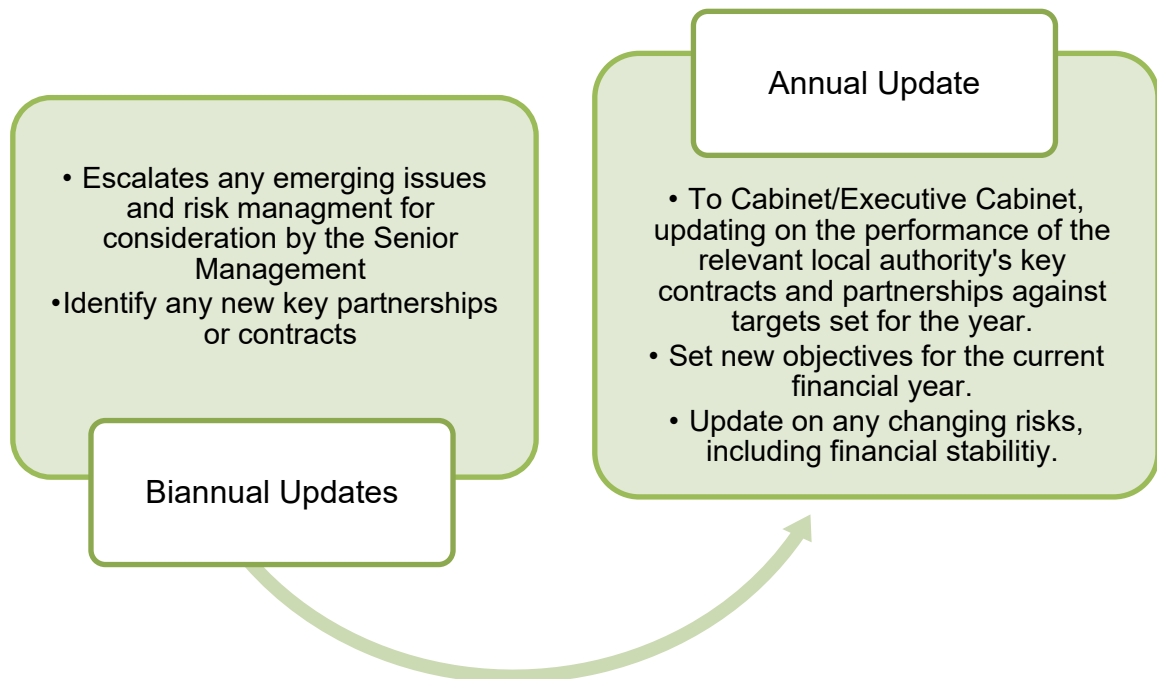
Following the decision to enter into a new key contract or partnership, control measures and governance arrangements should be set out in an agreement or contract.

At the point of entering into a key contract or partnership, the responsible officer should ensure there are governance arrangements in place taking into consideration the areas outlined below. A governance self-assessment is available in appendix A to support officers with this.

- **Aims and objectives**; there should be a common vision and agreed objectives that are aligned with the Council's strategic objectives.

- **Roles and responsibilities;** there needs to be clear roles and responsibilities of the Council and the key partners which should be supported by clear reporting lines and a decision-making framework.
- **Decision making procedures;** there needs to be some alignment between the Council's decision-making processes and timetables with the partners. This enables decisions with significant policy or financial implications to be planned carefully and executed effectively. Key contract or partnership representatives should have sufficient authority to commit their organisations to a particular course of action.
- **Risk management:** good risk management is key to delivering successful outcomes and this should be captured in a joint risk register.
- **Equality and diversity monitoring (includes Integrated Impact Assessment);** the Council will work with partner organisations to promote equality and diversity in line with the Council's procedures. The agreement should include a statement on how the partnership will operate on the basis of principles that actively value the benefits of diversity and ensure fair treatment and equality of opportunity.
- **Anti-Fraud and corruption;** partners of the Council and all companies with whom it is contracted, will be fully informed of the procedures the Council has in place to combat fraud.
- **Data quality:** it is critical that any information or data supplied to the Council to monitor performance, make decisions or allocate resources is robust with relevant data sharing and data quality protocols should be in place.
- **Whistleblowing policy:** the Council should take active steps to ensure that key contractors providing services on behalf of the Council either have their own whistle blowing arrangements in place or adopt the Council's.
- **Safeguarding vulnerable adults and children;** the Council is committed to safeguarding and promoting the welfare of children and vulnerable adults and to delivering services for children and vulnerable adults that promote best practice. It expects representatives, colleagues and partners to share this commitment. Partners should refer to the Council's safeguarding policies which set out the Council's guidance on protection procedures and specifies the roles and responsibilities of the Council's representatives.
- **Business continuity arrangement:** there should be effective, relevant business continuity arrangements that are maintained throughout the life of the partnership or contract.
- **Dispute prevention and resolution controls;** the partnership agreement should also contain agreement variation and dispute resolution mechanisms so that if problems arise they are resolved quickly and amicably.
- **Exit strategies;** develop a clear exit strategy for all of its key contracts and partnerships in order to mitigate the financial, reputational and other risks that could materialise. Notice periods and exceptions to notice periods should also be included.

Step 5. Monitoring



To ensure that key contracts and partnerships are monitored proportionately to their significance, the framework sets out a range of controls and measures. These safeguard the success of the contracts and partnerships and ensure that they achieve the priorities and goals outlined in the Corporate Strategy of the relevant Council.

Formal monitoring will take place through a biannual update to SMT and an annual update to the Cabinet/ Executive Cabinet of each Council.

This formal monitoring should supplement ongoing contract management and monitoring at a service level through operational meetings, board meetings and updates to executive members as general good practice.

Role of the Responsible Officer

The Responsible Officer is the person responsible for one or more key contracts and/or partnerships. They should have strategic and operational insight and be one of the key contacts for that contract or partnership.

The Responsible Officer is expected to adhere to this framework and support the reporting mechanism by engaging in the monitoring cycle.

Additional oversight arrangements

Oversight of key contracts and partnerships will also be the responsibility of:

- **Senior Management Team:** Provides oversight of the framework and risk management.

- **Transformation and Partnerships:** responsible for maintaining the framework, compiling the scheduled updates, providing relevant training to responsible officers, as well as support with the five stages outlined within this framework.

Date of next scheduled review: January 2027

Appendix A – Criteria

The below table shows the five different categories of significance used to define whether a contract or partnership is key.

Criteria	Yes/No
Financial – The contract costs the council £100k or more per annum.	
Corporate Priorities – The contract will significantly impact the delivery of one or more of the Council's corporate priorities	
Risk – There is a high amount of risk associated with the contract (e.g. disruption to core services, £100k+ financial impact not manageable within existing funds, systems unavailable for multiple days)	
Length – The contract is for 5 or more years	
Resource – There will be a large reliance on the proposed partner/contractor for service delivery	

For a contract or partnership to be included as part of the framework, they should meet at least three of the above criteria.

Governance Self-Assessment:

Governance Area	Yes/No – where these are not in place what plans are in place to implement them?
Aims and objectives: there should be a common vision or agreed objectives in place.	
Roles and responsibilities: roles and responsibilities of the Council and the key partner/contractor have been agreed and are clear.	
Decision making procedures: any decisions required by the partnership aligns with the Councils decision-making processes and timetables with the partners.	
Risk Management: a joint risk register has been created, and is on GRACE for regular updates	
Business continuity arrangements: effective arrangements are in place and are maintained.	
Data Sharing Agreement: for contracts/partnerships that require data sharing. A robust DSA has been drafted and signed by all relevant partners.	
For partnerships: Memorandum of Understanding has been drafted and signed by all relevant parties	

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Agenda Item 5



Report of	Meeting	Date
Head of Audit and Risk	Governance Committee	Tuesday, 26 March 2024

Internal Audit Plan April to September 2024

Is this report confidential?	Yes
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Purpose of the Report

1. This report sets out the programme of work to be undertaken by the Internal Audit Service. The Internal Audit Plan is the vehicle by which audit workload is identified and prioritised.

The main purposes of the report are to:

- Remind members of the respective roles of managers and Internal Audit to maintain a sound system of governance and internal control within the Council;
- Provide details of the Internal Audit Plan and associated performance indicators;

Recommendations

2. That the Committee approve the Internal Audit Plan and associated indicators.

Reasons for recommendations

3. Governance Committee approval of the Internal Audit Plan is a requirement of the Public Sector Internal Audit Standards.

Other options considered and rejected

4. Not applicable.

Corporate priorities

5. The report relates to the following corporate priorities: (Please bold one)

An exemplary council	Healthy and happy communities
Opportunities for everyone	Green and clean neighbourhood

Agenda Item 5

The Role of Management and Internal Audit

6. The responsibility for implementing a strong system of governance and internal control within the Council lies primarily with the Shared Senior Management Team. Directors and Heads of Service need to ensure that they maintain effective control procedures not least because services and business systems are subject to on-going change.
7. Internal Audit is an independent appraisal function whose core objective is to evaluate and report on the adequacy of the Council's system of governance, risk management and internal control. In the main this is achieved through an annual programme of reviews, following a detailed risk assessment of audit need.

Development of the Internal Audit Plan

8. Professional standards for Internal Audit in local government specify that "the Chief Audit Executive must establish risk-based plans to determine the priorities of the internal audit activity, consistent with the organisation's goals."
9. To enable Internal Audit to be flexible and responsive to ongoing changes in priorities, strategy, operational arrangements, external factors that may increase the Council's exposure to risk and keep pace with to emerging risks across the organisation, it has been previously agreed with the Governance Committee that Internal Audit Plan is only developed for April to September. The process is then to revisit the audit needs analysis and to liaise with key stakeholders to consider any new and emerging risks to identify the work plan for October to March 25.

Compilation of the Audit Plan

10. The Internal Audit Plan April – September has been constructed after taking into consideration the following:
 - The Council's priorities / strategic plan;
 - A review of corporate strategies;
 - The corporate risk register;
 - Information taken from other assurance processes within, and external to, the Council, including External Audit and inspection reports;
 - Direct engagement with Directors;
 - The skills, knowledge and experience of audit staff;
 - Professional judgement on the risk of fraud and error;
 - Annual Governance Statement and Service Assurance Statements.
11. The Internal Audit Plan contains the programme of reviews for the period of April 24 to September 24 and is shown at **Appendix A**. This clearly shows the link between the work of Internal Audit, strategic and operational risks and corporate objectives. The reviews are clearly highlighted with the quarter for completion. The plan also details our involvement with key project teams assisting with advice and guidance on risk management, internal control and governance.

Agenda Item 5

Internal Audit Reviews of South Ribble Leisure Limited

12. It has again been agreed that the Internal Audit Service will provide 75 audit days to South Ribble Leisure Limited (SRLL). Whilst the outcome of each audit review will be reported to the Board of the Directors, the Governance Committee will receive an annual opinion on the adequacy and effectiveness of the internal control, risk management and governance arrangements for SRLL.

Audit Resource

13. The plans for both the Council and SRLL will be completed solely by the in-house team with external support procured for the specialist ICT reviews. Over the past 12 months, the Service profile has changed with the introduction of a further Trainee Auditor post. The current level of resource is detailed in the table below:

Head of Audit and Risk	0.6 FTE
Senior Auditor	0.8 FTE
Auditor	0.8 FTE
Trainee Auditor	2 x FTE
Bought in resource	30 days

Internal Audit Performance Indicators

14. For the forthcoming period of April 24 to March 25, there is no change to the performance indicators or targets. Progress will be monitored throughout the period and reported to the Governance Committee three time per year.

Performance Indicator	Target
% of Planned time used	90%
% of Audit Plan completed	90%
% satisfaction rating (assignment level)	90%
% of agreed actions implemented by management	90%

Progress against the 23-24 Internal Audit Plan

15. Since our last progress report to the Committee in January 2024, the Internal Audit Review of Community Infrastructure Levy has been completed. This received a limited assurance rating and a full copy of the report is attached at Appendix B. Given the significance of the findings, we agreed action dates with a relatively short timescale.

Climate change and air quality

16. The work noted in this report does not impact the climate change and sustainability targets of the Councils Green Agenda and all environmental considerations are in place.

Agenda Item 5

Equality and diversity

17. The material presented and discussed in this report has no direct implications on equality and diversity.

Risk

18. Risks are outlined through the body of the report.

Comments of the Statutory Finance Officer

19. No comments.

Comments of the Monitoring Officer

20. No comments.

Background documents

There are no background papers to this report.

Appendices

Appendix A – Internal Audit Plan April to September 2024

Appendix B - Internal Audit Review of Community Infrastructure Levy

Report Author:	Email:	Telephone:	Date:
Dawn Highton (Head of Audit & Risk)	dawn.highton@southribble.gov.uk	01772625625	13.3.24

Internal Audit Plan - April 2024 to September 2024	QTR	SRBC	Rationale	Links to Risk Registers (strategic & operational) / Corporate Plan Projects / Business plans / Annual Governance Statement (AGS)
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CORPORATE AREAS				
Annual Governance Statement	1	15	To support the Annual Governance Statement	AGS
Anti-Fraud & Corruption	ALL	1	Review and update of probity policies / fraud alerts	AGS
NFI	1&2	2.5	Review / Investigation of 2024 matches	AGS
CUSTOMER & DIGITAL				
Customer Services				
Sundry Debtors	2	10	Key Financial System – focus on raising invoices within Services	Operational risk
ICT				
Corporate Network access	2	7.5	Management of active directory, third party and member access	Operational risk
Streetscene / Neighbourhoods				
Fuel consumption	2	15	Risk based review	Operational / financial / fraud risk
PROPERTY AND PLANNING				
Development Management				
Development Management	2	15	Risk based review	Operational risk
Project Support - CIL	1 & 2	2.5	Pro active support	Operational / Financial risk
Assets and Property				
CCTV	1	15	Compliance with the Code of Practice	Compliance review

Internal Audit Plan - April 2024 to September 2024	QTR	SRBC	Rationale	Links to Risk Registers (strategic & operational) / Corporate Plan Projects / Business plans / Annual Governance Statement (AGS)
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COMMUNITIES				
Holiday activities and food	1	15	Risk based review	Operational
CHANGE AND DELIVERY				
UKSPF Funding	1	15	Governance review	Corporate plan
GOVERNANCE				
Gifts and Hospitality	1	5	Review of compliance with code of conduct (members)	AGS
GENERAL AREAS				
Post Audit Reviews	ALL	5	Follow up of agreed actions	
Contingency / Irregularities	ALL	2.5	Unplanned reviews / contingency	
Residual Work from 2023-2024	1	10	Finalise 23/24 reviews	
Committee Reporting / Effectiveness Review	All	5	Preparation of reports and attendance at Governance Committee	
TOTALS		141		

Agenda Item 7

By virtue of paragraph(s) 1 of Part 1 of Schedule 12A of the Local Government Act 1972.

Document is Restricted

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