
NOTICE OF MEETING

GOVERNANCE & AUDIT & STANDARDS COMMITTEE

FRIDAY, 25 SEPTEMBER 2015 AT 2.30 PM

CONFERENCE ROOM A - CIVIC OFFICES

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Membership

Councillor Simon Boshier (Chair)
Councillor Ian Lyon (Vice-Chair)
Councillor John Ferrett
Councillor Steve Hastings
Councillor Hugh Mason
Councillor Phil Smith

Standing Deputies

Councillor Ryan Brent
Councillor Ken Ferrett
Councillor Scott Harris
Councillor Lynne Stagg
Councillor David Tompkins
Councillor Matthew Winnington
Councillor Rob Wood

(NB This Agenda should be retained for future reference with the minutes of this meeting.)

Please note that the agenda, minutes and non-exempt reports are available to view online on the Portsmouth City Council website: www.portsmouth.gov.uk

Deputations by members of the public may be made on any item where a decision is going to be taken. The request should be made in writing to the contact officer (above) by 12 noon of the working day before the meeting, and must include the purpose of the deputation (for example, for or against the recommendation/s). Email requests are accepted.

A G E N D A

1 Apologies for Absence

2 Declarations of Members' Interests

3 Minutes from the meeting held on 26 June 2015 (Pages 1 - 8)

To confirm the minutes of the meeting held on 26 June 2015 as a correct record.

RECOMMENDED that the minutes of the meeting held on 26 June 2015 be confirmed and signed by the Chair as a correct record.

4 Updates on Actions identified in the minutes

5 Annual Governance Statement 2014/15 (Pages 9 - 56)

The purpose of the report is to seek approval from the Governance & Audit & Standards Committee (G&A&S) for the council's finalised Annual Governance Statement (AGS) for 2014/15 and the proposed framework that will be put in place to monitor progress.

RECOMMENDED that the Governance and Audit and Standards Committee:

- a) **Note the progress and recommendations made against the 2013/14 annual governance issues as set out in Appendix A**
- b) **Approves the Annual Governance Statement 2014/15 for publication as set out in Appendix B**
- c) **Approves the 2015 Local Code of Governance for publication as set out in Appendix C**
- d) **Confirm the monitoring process for the next AGS cycle.**

6 Statement of Accounts 2014/15 - (to follow)

Chair to sign off.

(Note that the annual governance statement must be signed off first).

7 External Audit Annual Results Report 2014/15 - Ernst & Young (Pages 57 - 78)

Chair to sign the Letter of Representation.

8 Sector Update Report from External Auditor (Pages 79 - 90)

Sector Update from External Auditor for discussion and noting.

9 Performance Management Update Q1 (Pages 91 - 112)

Purpose: To report significant performance issues, arising from Q1 performance monitoring, to Governance and Audit and Standards committee and highlight areas for further action or analysis.

RECOMMENDED that the Governance and Audit and Standards Committee are asked to:

1) note the report; and

2) comment on the performance issues highlighted in section 4, and governance issues in section 6, including agreeing if any further action is required

3) Agree the actions proposed in section 5.

10 Treasury Management Outturn 2014/15 (Pages 113 - 136)

(To this Committee for information - also going to Cabinet and Council)

Purpose.

The Chartered Institute of Public Finance and Accountancy's (CIPFA) Prudential Code requires local authorities to calculate prudential indicators before the start of and after each financial year. Those indicators that the Council is required to calculate at the end of the financial year are contained in Appendix A of this report.

The CIPFA Code of Practice on Treasury Management also requires the Section 151 Officer to prepare an annual report on the outturn of the previous year. This information is shown in Appendix B of the report.

RECOMMENDED that the Governance and Audit and Standards Committee receive the report and note the recommendations relating to Appendices A and B as set out in paragraph 2 of the report.

11 Revision of Investment Strategy and Treasury Management Monitoring Report for the First Quarter of 2015/16 (Pages 137 - 154)

(To this Committee for information - also going to Cabinet and Council)

The purpose of the report is to amend the Investment Strategy to allow the Council to invest in 5 year equity trackers and to increase the geographical investment limits and the variable interest rate exposure limit. Appendix A contains the Treasury Management Monitoring Report which aims to inform members and the wider community of the Council's Treasury Management position at 30 June 2015 and of the risks attached to that position.

RECOMMENDED that recommendations 1. to 6. set out in paragraph 2 of the attached report be noted.

12 Persistent Complainants Policy (Pages 155 - 164)

The purpose of the report is to bring to the attention of the Governance & Audit & Standards Committee the revised Persistent Complainants Policy attached as appendix A. The policy has been updated to ensure continued best practice in complaint investigation and complaint management.

RECOMMENDED that the Governance & Audit & Standards Committee approve the Persistent Complainants Policy for use across Portsmouth City Council.

13 Revision of Corporate Complaints Policy (Pages 165 - 172)

The purpose of the report is to bring to the attention of the Governance & Audit & Standards Committee the revised Corporate Complaints Policy attached as appendix A. The policy has been updated to ensure continued best practice in complaint investigation and complaint management.

RECOMMENDED that the Governance & Audit & Standards Committee approve the Corporate Complaints Policy for use across Portsmouth City Council.

14 Local Government Ombudsman Annual Review report - Information only (Pages 173 - 178)

The purpose of the report is to bring to the attention of the Governance & Audit & Standards Committee the Annual Review by the Local Government Ombudsman dated June 2015 regarding the complaints it has considered against Portsmouth City Council for the year 2014/2015.

15 Audit Performance Status Report to 24 August for Audit Plan 2015/16 (Pages 179 - 194)

This report is to update the Governance and Audit and Standards Committee on the Internal Audit Performance for 2015/16 to 24th August 2015 against the Annual Audit Plan, highlight areas of concern and areas where assurance can be given on the internal control framework.

RECOMMENDED

(1) That Members note the Audit Performance for 2015/16 to 24th

August 2015

- (2) That Members note the highlighted areas of control weakness for the 2015/16 Audit Plan**

16 Volunteer Policy and cover report (Pages 195 - 224)

The purpose of the report is to seek the Committee's approval of the PCC Volunteer Policy.

RECOMMENDED that the Committee

- (1) Approve the PCC Volunteer policy (attached as Appendix A) and
(2) Recognise the supporting PCC volunteer good practice guide to support the operational application of the policy (attached as Appendix B)**

17 Exclusion of Press and Public

(NB The appendix to the Data Breaches report is exempt so if members wish to discuss this, they will need to pass the resolution below)

That in view of the contents of the following item on the agenda the Committee is RECOMMENDED to adopt the following motion:

“That, under the provisions of Section 100A of the Local Government Act, 1972 as amended by the Local Government (Access to Information) Act, 1985, the press and public be excluded for the consideration of the following items on the grounds that the reports contain information defined as exempt in Part 1 of Schedule 12A to the Local Government Act, 1972”.

The public interest in maintaining the exemption must outweigh the public interest in disclosing the information.

Under the Local Authorities (Executive Arrangements) (Meetings and Access to Information) England Regulations 2012, regulation 5, the reasons for exemption of the listed items is shown below.

Members of the public may make representation as to why the item should be held in open session. A statement of the Council's response to representations received will be given at the meeting so that this can be taken into account when members decide whether or not to deal with the item under exempt business.

(NB The exempt/confidential committee papers on the agenda will contain information which is commercially, legally or personally

sensitive and should not be divulged to third parties. Members are reminded of standing order restrictions on the disclosure of exempt information and are invited to return their exempt documentation to the Senior Local Democracy Officer at the conclusion of the meeting for shredding.)

<u>Item</u>	<u>Exemption Para No.*</u>
18 Data Security Breach Reporting - Exempt Appendix 1	1,2 and 3
1. Information relating to any individual	
2. Information that is likely to reveal the identity of an individual	
3. Information relating to the financial or business affairs of any particular person (including the authority holding that information)	
18 Data Breaches (Pages 225 - 226)	

The purpose of the report is to inform the Committee of any Data Security Breaches and actions agreed/taken since the last meeting.

RECOMMENDED that Members of the Governance & Audit & Standards Committee note the breaches (by reference to Exempt Appendix A) that have arisen and the action determined by the Corporate Information Governance Panel (CIGP).

Information

Members of the public are now permitted to use both audio visual recording devices and social media during this meeting, on the understanding that it neither disrupts the meeting or records those stating explicitly that they do not wish to be recorded. Guidance on the use of devices at meetings open to the public is available on the Council's website and posters on the wall of the meeting's venue.