

MINUTES OF AUDIT AND ETHICS COMMITTEE

29 JUNE 2017

PRESENT:

Members of the Committee:

Mr P Dudfield (Chairman), Mr J Eves (Vice-Chairman) and Councillor Pacey-Day

Officers:

Mannie Ketley (Head of Corporate Resources and Chief Financial Officer), Chris Green (Corporate Assurance and Improvement Manager), Chris Blundell (Financial Services Manager) and Veronika Beckova (Democratic Services Officer)

In attendance:

Grant Patterson (Director – Grant Thornton)

1. MINUTES

The minutes of the meeting held 4 April 2017 were approved and signed by the Chairman.

2. APOLOGIES

Apologies for absence from the meeting were received from Councillors Miss Lawrence and Roodhouse.

An apology for absence from the meeting was received from Paul Harvey (Assistant Manager – Grant Thornton).

3. DRAFT STATEMENT OF ACCOUNTS 2016/17

The committee considered the report presented by the Financial Services Manager (Part 1 – Agenda Item 4).

RESOLVED THAT –

- (1) the Financial Services Team be thanked for their work; and
- (2) the Draft Statement of Accounts 2016/17 be noted.

4. RISK MANAGEMENT STRATEGY

The committee considered the report presented by the Corporate Assurance and Improvement Manager (Part 1 – Agenda Item 5).

RESOLVED THAT – IT BE RECOMMENDED TO CABINET THAT the Risk Management Strategy be approved.

5. UPDATED PUBLIC SECTOR INTERNAL AUDIT STANDARDS AND SELF-ASSESSMENT

The committee considered the report presented by the Corporate Assurance and Improvement Manager (Part 1 – Agenda Item 6).

RESOLVED THAT –

- (1) the amendments to the Public Sector Internal Audit Standards be noted;
- (2) the proposed safeguarding arrangements be approved subject to a change in the wording in relation to fraud investigation in the Corporate Assurance and Improvement Manager's areas of operational responsibility.
- (3) the annual self-assessment against Public Sector Internal Audit Standards be noted; and
- (4) the updated quality assurance and improvement plan be approved.

6. ANNUAL REPORT TOF THE CORPORATE ASSURANCE AND IMPROVEMENT MANAGER

The committee considered the report presented by the Corporate Assurance and Improvement Manager (Part 1 – Agenda Item 7).

RESOLVED THAT – the report be noted.

7. ANNUAL GOVERNANCE STATEMENT 2016/17

The committee considered the report presented by the Corporate Assurance and Improvement Manager (Part 1 – Agenda Item 8).

The committee was informed that some layout changes to the document will be carried out prior to submission of the final document to Council in September.

The Chairman requested that an update on the progress of delivery of last year's action plan (page 12 of the appendix) and the updated action plan (page 13 of the appendix) be presented at the committee's meeting in January 2018.

RESOLVED THAT – IT BE RECOMMENDED TO COUNCIL THAT the Annual Governance Statement be approved.

8. MOTION TO EXCLUDE THE PUBLIC UNDER SECTION 100(A)(4) OF THE LOCAL GOVERNMENT ACT 1972

RESOLVED THAT – under Section 100(A) (4) of the Local Government Act 1972 the public be excluded from the meeting for the following items on the grounds that

they involved the likely disclosure of information defined in paragraphs 1 and 2 of Schedule 12A of the Act.

9. WHISTLE BLOWING INCIDENTS – STANDING ITEM – TO RECEIVE ANY UPDATES

There were no issues to report.

10. FRAUD AND CORRUPTION ISSUES – STANDING ITEM – TO RECEIVE ANY UPDATES

One issue is currently being investigated by the Corporate Assurance and Improvement Manager. The committee will be kept informed of the progress.

CHAIRMAN