

MINUTES OF AUDIT AND ETHICS COMMITTEE

26 MARCH 2019

PRESENT:

Members of the Committee:

Mr J Eves (Vice-Chairman in the Chair), Councillors Mistry, Pacey-Day and Roodhouse

Officers:

Mannie Ketley (Head of Corporate Resources and Chief Financial Officer), Jane Heppel (Interim Financial Services Manager), Chris Green (Corporate Assurance and Improvement Manager), Michelle Dickson (Communities and Projects Manager) and Veronika Beckova (Democratic Services Officer)

In attendance:

Mary Wren (Assistant Manager – Grant Thornton)

32. MINUTES

The minutes of the meeting held 23 October 2018 were approved and signed by the Vice-Chairman.

33. APOLOGIES

Apologies for absence from the meeting were received from Councillor Cranham, Mr P Dudfield (Chairman) and Grant Patterson (Director – Grant Thornton).

34. DECLARATIONS OF INTEREST

Item 1 of Part 2 – Grants to Community Groups Internal Audit Report – Councillor Mistry (non-pecuniary interest as defined by the Council's Code of Conduct for Councillors by virtue of being a member of the Grants Working Party).

Item 1 of Part 2 – Grants to Community Groups Internal Audit Report – Councillor Roodhouse (non-pecuniary interest as defined by the Council's Code of Conduct for Councillors by virtue of being the spouse of a member of the Grants Working Party).

35. STATEMENT OF ACCOUNTS 2018/19

The committee considered the report presented by the Head of Corporate Resources and Chief Financial Officer (Part 1 – Agenda Item 4).

RESOLVED THAT – the Council's accounting policies for 2018/19 be approved.

36. CERTIFICATION OF CLAIMS AND RETURNS – ANNUAL REPORT 2017/18

The committee considered the report presented by Grant Thornton, the Council's appointed external auditor (Part 1 – Agenda Item 5).

RESOLVED THAT – the annual report on the certification of the Council's claims and returns for 2017/18 be noted.

37. EXTERNAL AUDIT PLAN 2018/19

The committee considered the report presented by Grant Thornton, the Council's appointed external auditor (Part 1 – Agenda Item 6).

RESOLVED THAT – the External Audit Plan and proposed fee for 2018/19 be approved.

38. RISK MANAGEMENT STRATEGY

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

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

39. ROLE AND EFFECTIVENESS OF THE AUDIT AND ETHICS COMMITTEE

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

RESOLVED THAT –

- (1) the report be noted; and
- (2) a subcommittee of the Audit and Ethics Committee be established to consider the role and effectiveness of the committee in more depth and develop a deliverable action plan;
- (3) the Monitoring Officer be invited to the meetings of the subcommittee.

40. 2018/19 INTERNAL AUDIT PLAN – PROGRESS UPDATE

The committee considered the report presented by the Corporate Assurance and Improvement Manager (Part 1 – Agenda Item 9).

The Corporate Assurance and Improvement Manager provided an update on the delivery position of the Internal Audit Plan.

RESOLVED THAT –

- (1) the report be noted; and
- (2) the proposed amendments to the internal audit plan be approved.

41. 2019/20 INTERNAL AUDIT PLAN

The committee considered the report presented by the Corporate Assurance and Improvement Manager (Part 1 – Agenda Item 10).

RESOLVED THAT – the internal audit plan for 2019/20 be approved.

42. 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, 2 and 3 of Schedule 12A of the Act.

43. GRANTS TO COMMUNITY GROUPS INTERNAL AUDIT REPORT

The committee considered the private report presented by the Corporate Assurance and Improvement Manager (Part 2 – Agenda Item 1).

The Communities and Projects Manager attended the meeting to provide an update on the action plan and answer questions.

RESOLVED THAT – the report be noted.

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

There were no issues to report.

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

One case is being currently investigated by the Corporate Assurance and Improvement Manager.

RESOLVED THAT – the committee be updated on the outcome of the investigation at a future meeting.

CHAIRMAN