

# MINUTES OF AUDIT AND ETHICS COMMITTEE

14 FEBRUARY 2017

## PRESENT:

### Members of the Committee:

Mr P Dudfield (Chairman), Mr J Eves (Vice Chairman), Councillors Mrs Crane, Mistry and Roodhouse

### 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) and Paul Harvey (Assistant Manager – Grant Thornton)

## 27. MINUTES

The minutes of the meeting held 8 November 2016 were approved and signed by the Chairman.

## 28. APOLOGIES

An apology for absence from the meeting was received from Councillor Butlin.

## 29. APPOINTMENT OF EXTERNAL AUDITOR

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

**RESOLVED THAT – IT BE RECOMMENDED TO COUNCIL THAT** this Council opts in to the appointing person arrangements made by Public Sector Audit Appointments for the appointment of external auditors.

## 30. ANNUAL AUDIT LETTER 2015/16

The committee considered the report presented by the Financial Services Manager (Part 1 – Agenda Item 5).

**RESOLVED THAT** – the Annual Audit Letter 2015/16 be noted.

## 31. CERTIFICATION OF GRANTS – ANNUAL REPORT 2015/16

The committee considered the report presented by the Financial Services Manager (Part 1 – Agenda Item 6).

**RESOLVED THAT** – the Annual Report on the certification of the Council's grants and returns for 2015/16 be noted.

### **32. MANAGING HIGH PRIORITY STRATEGIC RISKS**

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

#### **RESOLVED THAT –**

- (1) the Strategic Risk Register be noted; and
- (2) the committee to continue with the current format and frequency of risk reporting.

### **33. FRAUD RESPONSE AND ACTION PLANS**

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

#### **RESOLVED THAT –**

- (1) the Fraud Response Plan be approved; and
- (2) the Counter Fraud Bribery and Corruption Action Plan be noted.

### **34. INTERNAL AUDIT IMPROVEMENT PLAN PROGRESS UPDATE**

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

#### **RESOLVED THAT –**

- (1) the Internal Audit Improvement Plan and Progress Update be noted; and
- (2) the updated Roles and Responsibility Statement be approved.

### **35. 2016/17 INTERNAL AUDIT PLAN UPDATE**

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

#### **RESOLVED THAT –**

- (2) the report be noted; and
- (1) the Corporate Assurance and Improvement Manager and his team be thanked for all their work.

### **36. DEVELOPMENT OF INTERNAL AUDIT PLAN FOR 2017/18**

The committee considered the report presented by the Corporate Assurance and Improvement Manager (Part 1 – Agenda Item 11).

#### **RESOLVED THAT –**

- (1) the process for developing the Internal Audit Plan for 2017/18 be approved; and
- (2) the committee to consider areas in which assurance is required from Internal Audit during 2017/18 and submit them to the Corporate Assurance and Improvement Manager via email.

**37. 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.

**38. HOUSING BENEFIT AND LOCAL COUNCIL TAX REDUCTION SCHEME VERIFICATION POLICY**

The committee considered the private report presented by the Benefits Manager (Part 2 – Agenda Item 1).

**RESOLVED THAT** – the proposed changes to the verification of claims for Housing Benefit and Local Council Tax Reduction for implementation from 1 April 2017 be approved.

**39. HEALTH AND SAFETY INTERNAL AUDIT REPORT**

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

**RESOLVED THAT** –

- (1) the report be noted; and
- (2) the Safety and Resilience Manager and the Property Manager be invited to the next meeting of the committee to present a progress update on the action plan.

**40. BENN HALL INTERNAL AUDIT REPORT**

The committee considered the private report presented by the Corporate Assurance and Improvement Manager (Part 2 – Agenda Item 3).

**RESOLVED THAT** –

- (1) the report be noted; and
- (2) the Head of Growth and Investment be invited to the next meeting of the committee to present a progress update on the action plan.

**41. WHISTLE BLOWING INCIDENTS – STANDING ITEM – TO RECEIVE ANY UPDATES**

There were no issues to report.

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

There were no issues to report.

**CHAIRMAN**