



## **MINUTES OF A MEETING OF THE AUDIT AND GOVERNANCE COMMITTEE HELD ON 24th OCTOBER 2019**

**PRESENT:** Councillor M Summers (Chair), Councillors M Bailey (Vice-Chair), C Cooke, J Faulkner, M Oates and P Thurgood

**Officers** Stefan Garner (Executive Director Finance), Lynne Pugh (Assistant Director Finance), Zoe Wolicki (Assistant Director People) and Rebecca Neill (Head of Audit & Governance and Monitoring Officer)

**Visitors** Laurelin Griffiths

### **27 MINUTES OF THE PREVIOUS MEETING**

The minutes of the meeting held on 25<sup>th</sup> July 2019 were approved and signed as a correct record.

*(Moved by Councillor J Faulkner and seconded by Councillor M Oates)*

### **28 APOLOGIES FOR ABSENCE**

Apologies for absence were received from Councillor M Greatorex

### **29 DECLARATIONS OF INTEREST**

There were no declarations of Interest.

### **30 ANNUAL AUDIT LETTER 2018/19**

The Annual Audit Letter 2018/19 of Grant Thornton (External Auditor) was considered.

**RESOLVED:** That Members;

Endorsed the Annual Audit Letter for Tamworth Borough Council.

*(Moved by Councillor M Bailey and seconded by  
Councillor C Cooke)*

**31 REVIEW OF THE ANNUAL REPORT ON THE TREASURY MANAGEMENT SERVICE AND ACTUAL PRUDENTIAL INDICATORS 2018/19**

The Executive Director Finance provided an overview of the Annual Report on the Treasury Management Service and Actual Prudential Indicators 2018/19 approved by Council on 10<sup>th</sup> September 2019.

**RESOLVED** That Members

Considered the Annual Report on the Treasury Management Service and Actual Prudential Indicators 2018/19, as detailed at Annex 1 and proposed minor amendments to be included in future reports

*(Moved by Councillor J Faulkner and seconded by Councillor C Cooke)*

**32 RISK MANAGEMENT QUARTERLY UPDATE**

The Assistant Director Finance reported on the Risk Management process and progress to date for the current financial year.

**RESOLVED** That Members,

Endorsed the Corporate Risk Register

*(Moved by Councillor P Thurgood and seconded by Councillor M Bailey)*

**33 LOCAL GOVERNMENT AND SOCIAL CARE OMBUDSMAN ANNUAL REVIEW 2018/19**

The Assistant Director People advised the Committee of the contents of the Local Government and Social Care Ombudsman's (LGSCO) Annual Report Letter for the year ended 31<sup>st</sup> March 2019 in relation to complaints against the Council.

**RESOLVED** That Members;

Endorsed the Annual Review Letter and summary of complaints, enquiries and decisions made as attached at Appendix 1 and wished to place on record their thanks to all of the staff at Tamworth Borough Council.

*(Moved by Councillor M Summers and seconded by Councillor M Oates)*

**34 REGULATION OF INVESTIGATORY POWERS ACT 2000**

The Assistant Director Partnerships updated the Committee on the Council's Code of Practice for carrying out surveillance under the Regulation of Investigatory Powers Act 2000.

**RESOLVED** That Members

Endorsed the RIPA monitoring report for the quarter to 30 September 2019 circulated for information.

*(Moved by Councillor M Summers and seconded by Councillor M Bailey)*

**35 INTERNAL AUDIT UPDATE REPORT - QUARTER 2**

The Head of Audit and Governance & Monitoring Officer reported on the outcome of Internal Audit's review of the internal control, risk management and governance framework in the second quarter of 2019/20, which provided Members with assurance of the operation of the Internal Audit function and enabled any particularly significant issues to be brought to the Committee's attention.

**RESOLVED** That Members;

Considered the attached report and endorsed the proposed revised system for 'follow up' of audit recommendations

*(Moved by Councillor M Summers and seconded by Councillor P Thurgood)*

**36 COUNTER FRAUD UPDATE**

The Head of Audit and Governance & Monitoring Officer provided Members with an update of counter fraud work completed to Quarter 2 of the 2019/20 financial year.

**RESOLVED** That Members;

Noted this report and endorsed the latest fraud action plan at **Appendix 1** and fraud risk register at **Appendix 2**.

*(Moved by Councillor M Bailey and seconded by Councillor C Cooke)*

**37 REVIEW OF THE COUNTER FRAUD AND CORRUPTION POLICY STATEMENT, STRATEGY AND GUIDANCE NOTES AND WHISTLEBLOWING POLICY**

The Head of Audit and Governance & Monitoring Officer sought members' approval to the refreshed counter fraud and corruption policy statement, strategy and guidance notes and whistleblowing policy.

**RESOLVED** That Members

Approved the refreshed counter fraud and corruption policy statement, strategy and guidance notes and whistleblowing policy and delegated authority to the Head of Audit & Governance to make minor amendments to these policies should they arise

*(Moved by Councillor J Faulkner and seconded by Councillor M Bailey)*

**38 REVIEW OF ANTI MONEY LAUNDERING POLICY**

The Head of Audit and Governance & Monitoring Officer sought Members approval to the refreshed anti-money laundering policy.

**RESOLVED** That Members,

Approved the refreshed anti-money laundering policy and delegated authority to the Head of Audit & Governance to make minor amendments to this policy should the need arise

*(Moved by Councillor J Faulkner and seconded by Councillor M Bailey)*

**39 AUDIT AND GOVERNANCE COMMITTEE TIMETABLE**

The Committee reviewed the timetable.

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Chair