



MINUTES OF A MEETING OF THE AUDIT AND GOVERNANCE COMMITTEE HELD ON 9th JUNE 2021

PRESENT: Councillor M Summers (Chair), Councillors R Ford (Vice-Chair), J Chesworth, A Cooper, M J Greatorex, Dr S Peale and P Thurgood

Officers Andrew Barratt (Chief Executive), Lynne Pugh (Assistant Director Finance) and Tracey Pointon (Legal Admin & Democratic Services Manager)

Visitors Mark Stocks from Grant Thornton

1 APOLOGIES FOR ABSENCE

There were no apologies for absence

2 MINUTES OF THE PREVIOUS MEETING

The minutes of the meeting held on 23rd March 2021 were approved and signed as a correct record.

(Moved by Councillor M Summers no seconder due to change of Committee Members)

3 DECLARATIONS OF INTEREST

There were no declarations of Interest.

4 ROLE OF THE AUDIT COMMITTEE

Presentation given by Mark Stocks from Grant Thornton on the Role of the Audit Committee

5 UPDATE FROM EXTERNAL AUDITORS

Verbal update received from Mark Stocks from Grant Thornton, the external auditors. Mark informed the committee that the Audit of Final Accounts will be starting and carried out remotely.

Committee thanked the team for their hard work in producing the accounts.

6 REGULATION OF INVESTIGATIVE POWERS ACT 2000

The report of the Assistant Director – Partnerships to present the Committee with the annual reports to demonstrate to elected members that the Council is complying with its own Code of Practice when using RIPA as specified in the Council's Code of Practice for carrying out surveillance under the Regulation of Investigatory Powers Act 2000 (RIPA)

RESOLVED: That

The Audit and Governance Committee endorsed the RIPA monitoring report for 2020/21

(Moved by Councillor M Summers and seconded by Councillor John Chesworth)

7 INTERNAL AUDIT ANNUAL REPORT (INCLUDING QUARTER 4 PROGRESS RESULTS)

The report of the Principal Auditor to update the Committee on the Internal Audit's Annual Report (Appendix 1), which includes results for the quarter 4 to 31 March 2021.

Chair sought clarification on the ICT Assurance Summary (pg 42) regarding access to the council's systems by non-managed devices via secure VPN.

CE will provide a response to the Committee

RESOLVED: That

the Committee noted the Internal Audit's Annual Report which included the results for the quarter 4 to 31 March 2021.

(Moved by Councillor J Chesworth and seconded by Councillor R Ford)

8 PUBLIC SECTOR INTERNAL AUDIT STANDARDS / QUALITY ASSURANCE & IMPROVEMENT PROGRAMME

To report on Internal Audit's compliance with the Public Sector Internal Audit Standards (PSIAS) and the Quality Assurance and Improvement Programme (QAIP).

RESOLVED: That

1. the Committee endorsed the Internal Audit's compliance with the Public Sector Internal Audit Standards and;
2. endorsed the Quality Assurance and Improvement Programme

(Moved by Councillor M Greatorex and seconded by Councillor P Thurgood)

A third recommendation was agreed that the Committee congratulate the Internal Audit team on the professionalism shown in compiling this report

(Moved by Councillor S Peaple and seconded by Councillor M Summers)

9 ANNUAL GOVERNANCE STATEMENT & CODE OF CORPORATE GOVERNANCE

Report of the Chief Executive to submit the refreshed Annual Governance Statement and Code of Corporate Governance for Audit & Governance Committee's approval.

RESOLVED: That

1. Committee approved The Annual Governance Statement (for inclusion in the annual statement of accounts) and;
2. Approved the Code of Corporate Governance

(Moved by Councillor S Peaple and seconded by Councillor A Cooper)

10 RISK MANAGEMENT QUARTERLY UPDATE

Report of the Assistant Director Finance to report on the Risk Management process and progress for the 2020/21 financial year.

After a discussion the committee asked for clarification if 'Brexit' is still a risk and could it now be removed from the Risk Register. CE confirmed the risk may be lowered on the next quarterly update report.

Chair sought clarification on the risk note stating there was a higher than normal staff turnover. CE to update

Chair asked whether the system access note on emergency planning was still relevant. CE to update.

RESOLVED: That

the Committee endorsed the Corporate Risk Register

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

11 AUDIT AND GOVERNANCE COMMITTEE TIMETABLE

The Committee reviewed the timetable.

The Chair requested a private meeting to be arranged with the external auditors and the Audit & Governance Committee after the next meeting.

Chair