



## **MINUTES OF A MEETING OF THE AUDIT AND GOVERNANCE COMMITTEE HELD ON 28th OCTOBER 2021**

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

**Officers** Stefan Garner (Executive Director Finance), Andrew Wood (Audit Manager) and Tracey Pointon (Legal Admin & Democratic Services Manager)

**Visitors** Mark Stocks from Grant Thornton

### **34 APOLOGIES FOR ABSENCE**

Apologies for absence were received from Councillor J Chesworth

### **35 MINUTES OF THE PREVIOUS MEETING**

The minutes of the meeting held on 16<sup>th</sup> September 2021 were approved and signed as a correct record.

*(Moved by Councillor R Ford and seconded by Councillor Dr. S Peple)*

### **36 DECLARATIONS OF INTEREST**

There were no declarations of Interest.

### **37 APPOINTMENT OF EXTERNAL AUDITOR - RE ACCOUNTS COMMENCING 2023/2024**

Report of the Executive Director Finance (S151) to advise Members of the options process and legislative requirement to appoint External Auditors for the Accounting Periods from 2023/2024 and to seek Member endorsement of the recommended option for Cabinet & Council approval.

**RESOLVED:** That the Committee

Endorsed the report going forward to Cabinet to recommend to Council that the Authority opts into the appointing person arrangements made by the Public Sector Audit Appointments

(PSAA) for the appointment of External Auditors; and

Agreed that the Executive Director Finance (S151) confirms our interest in undertaking the opt in appointing process following ratification by Council and has delegated powers in relation to the appointing process.

*(Moved by Councillor R Ford and seconded by Councillor Dr. S Peaple)*

### **38 RISK MANAGEMENT QUARTERLY UPDATE - QUARTER 2**

Report of the Assistant Director Finance to report on the Risk Management process and progress for Quarter 2 of the 2021/22 financial year

RESOLVED: That committee  
endorsed the Corporate Risk Register.

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

### **39 COUNTER FRAUD UPDATE**

Report of the Audit Manager to provide Members with an update of counter fraud work completed this financial year, including an updated fraud action plan and fraud risk register; the updated Counter Fraud & Corruption Strategy; the updated Whistleblowing Policy; and the updated Anti Money Laundering Policy

RESOLVED: That Committee

1. Noted the updated report, including the updated fraud action plan and the fraud risk register,
2. Endorsed the refreshed Counter Fraud & Corruption Policy Strategy,
3. Endorsed the refreshed Whistleblowing Policy and;
4. endorsed the refreshed Anti Money Laundering Policy

*(Moved by Councillor M Greatorex and seconded by Councillor A Cooper)*

### **40 INTERNAL AUDIT QUARTERLY PROGRESS REPORT - QUARTER 2**

Report of the Audit Manager to provide Audit & Governance Committee with internal audit's progress report for the period to September 2021 (Quarter 2).

**RESOLVED:** That Committee

1. endorsed the progress report; and
2. endorsed the Audit Needs Assessment Report in relation to IT Audit Plan for 2021/2022

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

#### **41 AUDIT AND GOVERNANCE COMMITTEE TIMETABLE**

The Committee reviewed the timetable and the Chair informed the Committee that there may be a working Group/Audit and Governance Sub Committee set up to review for the Future High Street Fund Risk Management.

#### **42 EXCLUSION OF THE PRESS AND PUBLIC**

**RESOLVED:** That Members of the press and public be excluded from the meeting during consideration of the following item on the grounds that the business involves the likely disclosure of exempt information as defined in Paragraph 3 of Part 1 of Schedule 12A to the Local Government Act 1972.

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

#### **43 FUTURE HIGH STREETS FUND RISK MANAGEMENT**

Report of the Assistant Director - Growth and Regeneration to provide an update to the Committee to explain the approach to risk management for the Future High Streets Fund programme

Chair moved a motion to hold meetings of the Audit & Governance Sub Committee to review the Risk Management Report for the Future High Street Fund. Date to be confirmed then to be held quarterly.

*(Moved by Councillor M Summers and seconded by Councillor R Ford)*

#### **44 UPDATE ON THE AUDIT FINDINGS REPORT**

Mark Stocks, from Grant Thornton, updated the Committee on the Exempt part of the Audit findings Report. After a discussion no further information is required.

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Chair

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