

# Public Document Pack

AUDIT COMMITTEE  
4TH SEPTEMBER 2018

PRESENT: The Chair (B. Angell)  
The Vice Chair (Councillor Grimley)  
Councillors Hadji-Nikolaou, Parsons, Parton and  
Smith

Strategic Director of Corporate Services  
Head of Customer Experience  
Head of Strategic Support  
Audit and Risk Manager  
Information Technology Delivery Manager  
Democratic Services Officer (NA)

APOLOGIES: Councillor Huddleston

The Chair stated that the meeting would be recorded and the sound recording subsequently made available via the Council's website. He also advised that, under the Openness of Local Government Bodies Regulations 2014, other people may film, record, tweet or blog from this meeting, and the use of any such images or sound recordings was not under the Council's control.

## 21. MINUTES FROM THE PREVIOUS MEETING

The minutes of the meeting of the Committee held on 17th July 2018 were confirmed as a correct record and signed.

The Chair advised the Committee that a minor amendment had been made to the Statement of Accounts following the meeting on 17th July 2018.

## 22. DISCLOSURES OF PERCUINARY AND PERSONAL INTEREST

No disclosures were made.

## 23. QUESTIONS UNDER OTHER COMMITTEE PROCEDURES 12.8

No questions had been submitted.

## 24. UPDATE ON THE GENERAL DATA PROTECTION REGULATIONS (GDPR)

A report of the Head of Customer Experience was submitted (item 5 on the agenda filed with these minutes).

The Head of Customer Experience attended the meeting to assist the Committee with consideration of the item.

## **RESOLVED**

1. that a list of the data breaches for the past year be provided to the Committee following the meeting.
2. that the report be noted.

### Reasons

1. To provide the Committee with the information requested.
2. The Committee was content with the report and had no specific areas of concern or actions that it wished to include as part of its decision.

## 25. INTERNAL AUDIT PLAN - PROGRESS

A report of the Head of Strategic Support was submitted (item 6 on the agenda filed with these minutes).

The Audit and Risk Manager attended the meeting to assist the Committee with consideration of the item.

**RESOLVED** that the report be noted with the decision that resources will be identified to help ensure the audit plan is completed on time.

### Reason

The Committee was content with the report and had no specific areas of concern or actions that it wished to include as part of its decision.

## 26. RISK MANAGEMENT (RISK REGISTER) UPDATE

A report of the Head of Strategic Support was submitted (item 7 on the agenda filed with these minutes).

The Audit and Risk Manager attended the meeting to assist the Committee with consideration of the item.

**RESOLVED** that the report be noted.

### Reason

The Committee was content with the report and had no specific areas of concern or actions that it wished to include as part of its decision.

## 27. COUNCIL'S USE OF REGULATION OF INVESTIGATORY POWERS ACT (RIPA)

A report of the Head of Strategic Support was submitted (item 8 on the agenda filed with these minutes).

The Audit and Risk Manager attended the meeting to assist with consideration of the item.

**RESOLVED** that the report be noted.

## Reason

The Committee was content with the report and had no specific areas of concern or actions that it wished to include as part of its decision.

## 28. WORK PROGRAMME

A report of the Head of Strategic Support was submitted to enable the Committee to consider its work programme (item 9 on the agenda filed with these minutes).

RESOLVED that the Committee proceeds on the basis of the following work programme, which incorporates all decisions made at this meeting:

| ISSUE  | MEETING   |
|--|---|
| <b>Internal Audit Business</b>   | <b>Ongoing</b>  |
| Internal Audit Plan – Progress   | 27 <sup>th</sup> November 2018<br><br>Quarterly   |
| Risk Management (Risk Register)  | 27 <sup>th</sup> November 2018<br><br>Quarterly - detailed report every six months, exception report quarters in-between. |
| Council's Use of Regulation of Investigatory Powers Act (RIPA)                     | 27 <sup>th</sup> November 2018<br><br>Quarterly   |
| Treasury Management Mid-Year Review  | 27 <sup>th</sup> November 2018<br><br>Annually  |
| 2018/19 Treasury Management Statement, Annual Investment Strategy and MRP Strategy | 26 <sup>th</sup> February 2019<br><br>Annually  |
| 2019/20 Internal Audit Plan  | 26 <sup>th</sup> February 2019<br><br>Annually  |
| 2018/19 Review of the effectiveness of Internal Audit (Feedback from Panel)        | 11 <sup>th</sup> June 2019<br><br>Annually  |
| Internal Audit Charter   | 11 <sup>th</sup> June 2019<br><br>Annually (for approval)   |
| 2018/19 Members' Allowances Claimed  | 11 <sup>th</sup> June 2019<br><br>Annually  |
| Whistle Blowing and Anti-fraud, Corruption and Bribery                             | 11 <sup>th</sup> June 2019<br><br>Annually  |
| Environmental Audits – Report on   | 11 <sup>th</sup> June 2019  |

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| Outcomes   | Annually<br><u>Note</u> : Six month exception report where identified actions are not implemented by the target date.  |
| 2018/19 Treasury Management Outturn  | 11 <sup>th</sup> June 2019<br>Annually   |
| 2018/19 Statement of Accounts  | 16 <sup>th</sup> July 2019<br>(Accounts Meeting)<br>Annually   |
| 2018/19 Annual Governance Statement and Review of the Code of Corporate Governance | 16 <sup>th</sup> July 2019<br>(Accounts Meeting)<br>Annually   |
| 2018/19 Annual Internal Audit Report   | 10 <sup>th</sup> September 2019<br>Annually  |
| Annual IT Health Check (Code of Connection)<br>Confidential Report                 | 10 <sup>th</sup> September 2019<br>Annually  |
| Future of Local Public Audit   | Report on Government proposals considered 5 <sup>th</sup> July 2011.<br>Further report once final regulations/guidelines are known.<br><u>Note</u> :<br>Appointing Your External Auditor briefing note considered June 2016. |
| Policy for Engagement of External Auditors for non-audit work                      | Considered March 2013.<br>Review policy - date to be agreed  |
| <b>External Audit Business</b>   | <b>Ongoing</b>   |
| External Audit Progress Report and Technical Update                                | 4 <sup>th</sup> September 2018<br>Quarterly  |
| Certification of Claims and Returns (2018/19 Audit)                                | 26 <sup>th</sup> February 2019<br>Annually   |
| 2019/20 External Audit Plan  | 26 <sup>th</sup> February 2019<br>Annually   |
| 2018/19 Annual Governance Report   | 16 <sup>th</sup> July 2019<br>(Accounts Meeting)<br>Annually   |
| 2018/19 Annual Audit Letter  | 16 <sup>th</sup> July 2019<br>Annually   |

29. EXEMPT INFORMATION

Resolved that members of the public were excluded from the meeting during the consideration of the following item on the grounds that it would involve the likely disclosure of exempt information as defined in Paragraph 3 of Part 1 of Schedule 12A to the Local Government Act 1972 and it is considered that the public interest in maintaining the exemption outweighs the public interest in disclosing the information.

30. ANNUAL IT HEALTH CHECK

An exempt report of the Head of Customer Experience was considered regarding the Annual IT Health check (item 11 on the agenda filed with these minutes).

The Head of Customer Experience and the Information Technology Delivery Manager attended the meeting to assist with consideration of the item.

**RESOLVED** that the report be noted.

Reason

The Committee was content with the report and had no specific areas of concern or actions that it wished to include as part of its decision.

NOTES:

1. No reference may be made to these minutes at the Council meeting on 5th November 2018 unless notice to that effect is given to the Democratic Services Manager by five members of the Council by noon on the fifth working day following publication of these minutes.
2. These minutes are subject to confirmation as a correct record at the next meeting of the Audit Committee.