

Public Document Pack

Date of meeting Monday, 16th November, 2015
Time 7.00 pm
Venue Training Room 1 - Civic Offices, Merrial Street,
Newcastle-under-Lyme, Staffordshire, ST5 2AG
Contact Julia Cleary

Audit and Risk Committee

SUPPLEMENTARY AGENDA

PART 1 – OPEN AGENDA

1a Minutes (Pages 3 - 6)

Members: Councillors Burgess, Dymond (Vice-Chair), Loades, Owen, Pickup (Chair), Waring and Hambleton

PLEASE NOTE: The Council Chamber and Committee Room 1 are fitted with a loop system. In addition, there is a volume button on the base of the microphones. A portable loop system is available for all other rooms. Should you require this service, please contact Member Services during the afternoon prior to the meeting.

Members of the Council: If you identify any personal training/development requirements from any of the items included in this agenda or through issues raised during the meeting, please bring them to the attention of the Democratic Services Officer at the close of the meeting.

Meeting Quorums :- 16+= 5 Members; 10-15=4 Members; 5-9=3 Members; 5 or less = 2 Members.

FIELD_TITLE

Officers will be in attendance prior to the meeting for informal discussions on agenda items.

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AUDIT AND RISK COMMITTEE

Monday, 28th September, 2015

Present:- Councillor Ms Sarah Pickup – in the Chair
Councillors Burgess, Loades, Owen, Waring and Hambleton

1. APOLOGIES

Apologies were received from Cllr Dymond and Mr Butters.

2. MINUTES OF PREVIOUS MEETINGS

Resolved: That the minutes of the previous meeting be agreed as a correct record.

3. DECLARATIONS OF INTEREST

There were no declarations of interest stated.

4. CORPORATE RISK MANAGEMENT REPORT APRIL TO JUNE 2015

A report was submitted to inform Members of the progress made by the Council in enhancing and embedding risk management for the period April to June 2015, including progress made in managing identified corporate risks.

Officers confirmed that a report would be going to November Cabinet in relation to the Planning Peer Review.

Some Concerns were raised in relation to Members not adhering to officer advice as mentioned on page 12 of the agenda and that this risk appeared to be too closely linked with the peer review and should take into consideration other areas such as capital, communication and the 5 year housing supply.

Officers stated that there were some risks such as these that would not be included in the report as they were on the strategic profiles for the Executive Directors but not rated high enough to be considered by the Committee.

Resolved:

That the Committee:

(a) Scrutinise the progress that had been made in managing the risks identified within the Strategic, Operational, Project and Partnership Risk Registers, where applicable.

(b) Note the point 2.1.1 showing no overdue risk reviews.

(c) Note the point 2.2.1 showing risk rating changes.

(d) Note the explanation at point 2.3 for the delay in implementing the Planning Peer Review Action Plan.

(d) Note the new risks that have been identified between April to June 2015.

(e) Identify, as appropriate, individual risk profiles to be scrutinised in more detail at the next meeting of the Committee.

5. PLANNED AUDIT FEE FOR 2015/2015

Resolved: That the planned audit fee for 2015/2016 be noted.

6. STATEMENT OF ACCOUNTS 2014/2015 AND EXTERNAL AUDITOR'S AUDIT FINDINGS REPORT

A report was submitted requesting that the Committee approve the statement of accounts, receive the external auditor's Audit Findings Report for 2014/15 and agree the Letter of Representation to the Auditor.

Officers drew the Committee's attention to one control weakness that had been identified on page 108 of the agenda and detailed on page 117.

The Committee thanked Grant Thornton and Dave Robert and his team for their hard work in preparing the Statement of Accounts.

Resolved:

- a) That the Statement of Accounts 2014/15 be approved and signed by the person presiding at the meeting.
- b) That the Audit Findings Report for 2014/15 be received.
- c) That the Letter of Representation be approved for signature by the Council's Section 151 Officer.

7. CONSULTATION RE "TELLING THE STORY" IN RELATION TO THE FORMAT OF THE STATEMENT OF ACCOUNTS

A report was submitted requesting the Committee to consider and approve the response to be made to the consultation by the Chartered Institute of Public Finance and Accountancy (CIPFA) in respect of "Telling the Story" in relation to changes proposed to the format of the Statement of Accounts.

Officers requested that comments be fed back to them over the next few days.

Resolved:

- a) That the response set out at Appendix 1 be considered and approved for forwarding to CIPFA as the Council's response.

8. INTERNAL AUDIT PROGRESS REPORT

A report was submitted on the work undertaken by the Internal Audit section during the period 1st April to 30th June 2015. The report identified the key issues raised.

Members queried whether safeguarding was being taken into consideration and whether it was linked to whistleblowing.

Officers confirmed that procedures were in place in relation to safeguarding and that all staff had already undertaken an eLearning safeguarding training course.

Resolved:

Members considered any issues that they wanted to raise with Cabinet and, or Executive Directors.

9. QUARTERLY REPORT: ADOPTION IN INTERNAL AUDIT HIGH RISK RECOMMENDATIONS AND SUMMARY OF ASSURANCE 1ST APRIL TO 30TH JUNE 2015

A report was submitted to update the Committee in relation to any outstanding high risk recommendations and where necessary to request Members' approval to the Executive Directors requested actions in respect of the recommendations and proposed target dates.

The report also provided Members with an assurance opinion on internal controls over Council Services.

Members queried whether this included IT risks and the communication of information to members as there were some concerns that supplementary agenda items may not reach members in time.

Resolved: That the actions of officers and levels of assurance be noted

10. URGENT BUSINESS

There was no Urgent Business.

**COUNCILLOR MS SARAH PICKUP
Chair**

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