



# Audit, Governance and Standards Committee

Thu 2 Feb  
2017  
7.00 pm

Committee Room 2  
Town Hall  
Redditch

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**If you have any queries on this Agenda or any of the decisions taken or wish to exercise any access to information rights, please contact**

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# Audit, Governance and Standards

## Committee

Thursday, 2nd February, 2017

7.00 pm

Committee Room 2, Town Hall

## Agenda

### Membership:

Cllrs:	David Thain (Chair) Jane Potter (Vice-Chair) Tom Baker-Price Natalie Brookes Michael Chalk	Andrew Fry Mark Shurmer Rachael Smith Pat Witherspoon
Independent Member:	Dave Jones (non-voting co-opted – for Audit and Governance)	
Feckenham Parish Council Representative	Alan Smith (non-voting co-opted – for Standards)	

<b>1. Apologies and named Substitutes</b>	To receive the apologies for absence and details of any Councillor nominated to attend the meeting in place of a member of the Committee.
<b>2. Declarations of Interest</b>	To invite Councillors to declare any Disclosable Pecuniary Interests and/or Other Disclosable Interests they may have in items on the agenda, and to confirm the nature of those interests.
<b>3. Minutes</b> (Pages 1 - 10)	To confirm as a correct record the minutes of the meeting of the Audit, Governance and Standards Committee held on 22nd September 2016.  (Minutes attached)
<b>4. Monitoring Officer's Report - Standards Regime</b> (Pages 11 - 14)  Head of Legal, Equalities and Democratic Services	To receive a report from the Monitoring Officer, together with any updates from the Feckenham Parish Council Representative(s), on any standards regime matters of relevance to the Committee.  (Report attached)  <b>(Astwood Bank &amp; Feckenham Ward)</b>

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<b>5. Grant Thornton - Progress Report and Update</b> (Pages 15 - 32)	To update Members on Grant Thornton's progress in delivering their responsibilities as the Council's external auditors, and on relevant sector issues, developments and publications.  (Report attached)
<b>6. Grant Thornton - Annual Audit Letter 2015/16</b> (Pages 33 - 54)	To present Members with Grant Thornton's Annual Audit Letter which summarises the key findings from the work carried out at the Council for the year ended 31st March 2016.  (Report attached)
<b>7. Treasury Management Strategy Statement and Investment Strategy 2017/18 to 2019/20</b> (Pages 55 - 80)  Executive Director, Finance and Resources	To approve, for recommendation to Council, the strategy statement for treasury management and investments in order to comply with the Local Government Act 2003.  (Report attached)  <b>(No Direct Ward Relevance)</b>
<b>8. Compliance Team Update</b> (Pages 81 - 84)  Head of Customer Access and Financial Support	To update Members on the work of the Compliance Team following the transfer of benefits fraud to the Department for Work and Pensions Single Fraud Investigation Service in February 2016.  (Report attached)  <b>(No Direct Ward Relevance)</b>
<b>9. Internal Audit - Progress Report</b> (Pages 85 - 112)	To present a progress report of internal audit work for 2016/17.  (Report attached)  <b>(No Direct Ward Relevance)</b>

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<p><b>10. Internal Audit - Draft Audit Plan 2017/18</b> (Pages 113 - 122)</p>	<p>To present the Council's Provisional Internal Audit Operational Plan for 2017/18 and confirm the performance indicators for the Worcestershire Internal Audit Shared Service for 2017/18.</p> <p>(Report attached)</p> <p><b>(No Direct Ward Relevance)</b></p>
<p><b>11. April - September Financial Savings Monitoring Report 2016/17</b> (Pages 123 - 126) Executive Director, Finance and Resources</p>	<p>To report to the Committee the monitoring of savings for 2016/17 and the delivery of savings and additional income for the period April 2016 to September 2016.</p> <p>(Report attached)</p> <p><b>(No Direct Ward Relevance)</b></p>
<p><b>12. Committee Action List and Work Programme</b> (Pages 127 - 132) Chief Executive</p>	<p>To consider the Audit, Governance and Standards Committee's Action List and Work Programme.</p> <p>(Action List and Work Programme attached)</p>
<p><b>13. Calendar of Meetings 2017/18</b> Chief Executive</p>	<p>Members are asked to note the following meeting dates of the Committee for the 2017/18 Municipal Year:</p> <ul style="list-style-type: none"> <li>• Thursday 6th July 2017;</li> <li>• Thursday 21st September 2017;</li> <li>• Thursday 1st February 2018; and</li> <li>• Thursday 26th April 2018.</li> </ul> <p>All meetings are due to commence at 7.00pm.</p> <p><u>Statement of Accounts Briefing</u></p> <p>There will also be an Officer Briefing for all members of the Committee on the Statement of Accounts in early/mid September, prior to the Committee's formal consideration of the audited financial statements at the 21st September 2017 meeting. The date for the Officer Briefing has not yet been finalised but it is anticipated that this will take place on either 5th or 7th September.</p>

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## 14. Exclusion of the Public

Should it prove necessary, in the opinion of the Chief Executive, to exclude the public from the meeting at any point during the proceedings in relation to any item(s) of business on the grounds that either exempt and/or confidential information is likely to be divulged, the following resolution(s) will be moved:

"That under Section 100 I of the Local Government Act 1972, as amended, it/they involve the likely disclosure of exempt information as defined in Part I of Schedule 12A to the Act, as amended, the relevant paragraphs of that part being (*...to be specified by the Chairman at the meeting*), and that it is in the public interest to do so.", and/or

"That under Section 100 A of the Local Government Act 1972, as amended, it/they involve the likely disclosure of confidential information which would be in breach of an obligation of confidence."

**The paragraphs under Part 1 of Schedule 12A to the Act are as follows:**

**Subject to the "public interest" test, information relating to:**

- **Para 1 – any individual;**
- **Para 2 – the identity of any individual;**
- **Para 3 – financial or business affairs;**
- **Para 4 – labour relations matters;**
- **Para 5 – legal professional privilege;**
- **Para 6 – a notice, order or direction;**
- **Para 7 – the prevention, investigation or prosecution of crime**

**may need to be considered as 'exempt'.**