

Chairman - Councillor M G Dodson

Present (for all or part of the meeting):-

Councillors:

R A James

A R McNaughton

A M Loughran

D P Rouxel

Also present:- Councillor R P Cooke, Resources Portfolio

Officers in attendance:-

J Aupers - Head of Transformation and Assurance

S Baddeley - Chief Internal Auditor and Risk Manager

J Dean - Democratic Services Officer

#### **AAC1 Minutes**

Minutes of the meeting held on 21 March 2023, as previously circulated, were agreed as a correct record.

#### **AAC2 Apologies**

Apologies for absence were received from Councillor P A Leason.

#### **AAC3 Internal Audit Annual Report**

Considered the report of the Chief Internal Auditor and Risk Manager presenting to the Committee progress of the Internal Audit Annual Report for 2022-23.

Mr Baddeley referred Members to the associated **APPENDIX 1** of the report before responding to questions concerning:-

- Audit reports issued in quarter 4
- Audit follow ups completed in quarter 4

Continuing, Members were referred to the associated **APPENDIX 2**, where clarification was provided arising from questions relating to:-

- Review of Internal Audit
- Managers Satisfaction Survey
- Provision of partial assurance

- Significant issues arising in 2022-23
- Audit performance
- Fraud and irregularity work

The Chief Internal Auditor and Risk Manager responded to direct questions regarding:-

- Staffing levels within the Internal Audit team
- Use of contractors relating to the audit of Building Control
- Timescale of associated follow up audits
- Performance of the Sections work
- Ad hoc tasks also carried out by the Team

Members then voted on the recommendation as set out, which was declared to be carried.

RESOLVED:- that in accordance with the powers delegated to the Committee the Internal Audit Annual Report for 2022-23 be noted.

#### **AAC4 Internal Audit Charter and Quality Assurance and Improvement Programme**

Considered the report of the Chief Internal Auditor and Risk Manager presenting the updated Internal Audit Charter and Quality Assurance and Improvement Programme.

During consideration of the report Members attention was drawn to:-

- The Internal Audit Charter (as set out in **APPENDIX 1**);
- The Quality Assurance and Improvement Programme (as set out in **APPENDIX 2**);

Mr Baddeley noted the minor changes made to the charter, and made specific reference to:-

- Mandate for Internal Audit
- The continued development of shared services (as set out in paragraph 5.3 of the Charter)
- Compliance with the Nolan principals
- Paragraphs 13.9 and 13.12 as set out on page 39 of the agenda

The Chief Internal Auditor and Risk Manager subsequently detailed **APPENDIX 2** of the report, noting its significant re-write from previous versions.

Members then voted on the recommendations as set out, which were declared to be carried.

RESOLVED:- that in accordance with the powers delegated to the Committee:

- a) the updated Internal Audit Charter be approved;
- b) the content of the updated Quality Assurance and Improvement Programme be noted.

**AAC5 Strategic Risk Register**

Considered a report setting out details of the Council's Strategic Risk Register as at 1 April 2023.

The Head of Transformation and Assurance highlighted paragraphs 3.1 and 5.7 of the report, and the associated appendices.

Members duly voted on the recommendations as set out, which were declared to be carried.

RESOLVED:- that in accordance with the powers delegated to the Committee the draft Strategic Risk Register and progress made in the identification and management of the strategic risks be noted.

**AAC6 Annual Governance Statement 2022-23**

Considered a report setting out the Annual Governance Statement for the year 2022-23.

The Head of Transformation and Assurance highlighted the following matters as contained within **APPENDIX 1** of the report:-

- The Governance Framework
- Review of Effectiveness
- Opinion on the Governance Framework
- Significant Governance Issues

Members subsequently voted on the recommendation as set out, which was declared to be carried.

RESOLVED:- that in accordance with the powers delegated to the Committee the Annual Governance Statement for 2022-23 be approved.

CHAIR