



Audit and Governance Committee

Meeting: Monday, 22nd July 2019 at 6.30 pm in Civic Suite, North Warehouse, The Docks, Gloucester, GL1 2EP

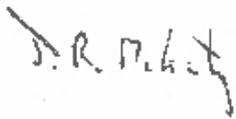
Membership:	Cllrs. Melvin (Chair), Brooker (Vice-Chair), Hampson, Lugg, D. Norman, Taylor and Wilson
Contact:	Democratic and Electoral Services 01452 396126 democratic.services@gloucester.gov.uk

AGENDA

1.	APOLOGIES To receive any apologies for absence.
2.	APPOINTMENT OF CHAIR AND VICE-CHAIR To confirm the appointments made at the Annual Meeting of Council of Councillor Melvin as Chair and Councillor Brooker as Vice-Chair of the Committee.
3.	DECLARATIONS OF INTEREST To receive from Members, declarations of the existence of any disclosable pecuniary, or non-pecuniary, interests and the nature of those interests in relation to any agenda item. Please see Agenda Notes.
4.	MINUTES (Pages 7 - 12) To approve as a correct record the minutes of the meeting held on 11 March 2019.
5.	PUBLIC QUESTION TIME (15 MINUTES) To receive any questions from members of the public provided that a question does not relate to: <ul style="list-style-type: none"> • Matters which are the subject of current or pending legal proceedings, or • Matters relating to employees or former employees of the Council or comments in respect of individual Council Officers
6.	PETITIONS AND DEPUTATIONS (15 MINUTES) To receive any petitions and deputations provided that no such petition or deputation is in relation to: <ul style="list-style-type: none"> • Matters relating to individual Council Officers, or • Matters relating to current or pending legal proceedings

7.	<p>AUDIT AND GOVERNANCE COMMITTEE OUTSTANDING MATTERS (Pages 13 - 14)</p> <p>To consider any outstanding matters.</p>
8.	<p>STATEMENT OF ACCOUNTS</p> <p>To receive the report of the Head of Policy and Resources concerning the Council's Statement of Accounts (report to follow).</p>
9.	<p>TREASURY MANAGEMENT UPDATE - ANNUAL REPORT 2018/19 (Pages 15 - 24)</p> <p>To receive the report of the Head of Policy and Resources concerning the Annual Report on Treasury Management.</p>
10.	<p>DELOITTE EXTERNAL AUDIT REPORT 2018/19 (ISA 260 TO THOSE CHARGED WITH GOVERNANCE)</p> <p>To receive the report of the Council's External Auditor (report to follow).</p>
11.	<p>ANNUAL REPORT ON INTERNAL AUDIT ACTIVITY 2018/19 (Pages 25 - 68)</p> <p>To receive the Head of Audit Risk and Assurance's Annual Report on Internal Audit Activity.</p>
12.	<p>ANNUAL GOVERNANCE STATEMENT, LOCAL CODE OF CORPORATE GOVERNANCE AND COUNCIL WIDE ASSURANCE MAP 2018/19 (Pages 69 - 110)</p> <p>To receive the joint report of the Head of Policy and Resources and the Head of Audit Risk Assurance seeking approval of the Annual Governance Statement 2018/19.</p>
13.	<p>STRATEGIC RISK REGISTER UPDATE AND RISK MANAGEMENT ACTION PLAN 2019/20 (Pages 111 - 136)</p> <p>To receive the report of the Head of Audit Risk Assurance concerning the Strategic Risk Register and the Risk Management Action Plan 2019/20.</p>
14.	<p>PROVISION OF AN INTERNAL AUDIT EXTERNAL QUALITY ASSESSMENT (EQA) (Pages 137 - 142)</p> <p>To receive the joint report of the Head of Policy and Resources and the Head of Audit Risk Assurance regarding recommendations for the way forward in relation to the provision of the independent quality assessment of Internal Audit.</p>
15.	<p>THE REVIEW OF THE EFFECTIVENESS OF THE AUDIT AND GOVERNANCE COMMITTEE - ACTION PLAN (Pages 143 - 152)</p> <p>To receive the report of the Head of Audit Risk Assurance concerning the outcomes and associated action plan in respect of reviewing the effectiveness of the Audit and Governance Committee</p>
16.	<p>MEMBERS APPOINTED TO OUTSIDE BODIES BY THE COUNCIL (Pages 153 - 162)</p> <p>To receive the report of the Corporate Director concerning the scope, content and timescales for an Audit Study of the contribution of Councillors appointed to outside bodies by the City Council.</p>
17.	<p>AUDIT AND GOVERNANCE COMMITTEE WORK PROGRAMME (Pages 163 - 164)</p>

	To consider the Work Programme.
18.	<p>EXCLUSION OF PRESS AND PUBLIC</p> <p>To consider the following resolution:</p> <p>“That the press and public be excluded from the meeting during the following item of business on the grounds that it is likely, in view of the nature of proceeding, that if members of the press or public are present during consideration of this item there will be disclosure to them of exempt information as defined in Part 1 of Schedule 12A of the Local Government Act 1972 as amended.”</p> <p>Item 19 Paragraph 3: Financial or business affairs.</p>
19.	<p>AMENDMENT TO ANNUAL TREASURY MANAGEMENT STRATEGY (Pages 165 - 168)</p> <p>To receive the report of the Head of Policy and Resources seeking approval to amend Treasury Management Practice 1 (TMP1).</p>
20.	<p>DATE OF NEXT MEETING</p> <p>Monday 16 September 2019.</p>



Jon McGinty
Managing Director

Date of Publication: Friday, 12 July 2019

NOTES

Disclosable Pecuniary Interests

The duties to register, disclose and not to participate in respect of any matter in which a member has a Disclosable Pecuniary Interest are set out in Chapter 7 of the Localism Act 2011.

Disclosable pecuniary interests are defined in the Relevant Authorities (Disclosable Pecuniary Interests) Regulations 2012 as follows –

<u>Interest</u>	<u>Prescribed description</u>
Employment, office, trade, profession or vocation	Any employment, office, trade, profession or vocation carried on for profit or gain.
Sponsorship	Any payment or provision of any other financial benefit (other than from the Council) made or provided within the previous 12 months (up to and including the date of notification of the interest) in respect of any expenses incurred by you carrying out duties as a member, or towards your election expenses. This includes any payment or financial benefit from a trade union within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992.
Contracts	Any contract which is made between you, your spouse or civil partner or person with whom you are living as a spouse or civil partner (or a body in which you or they have a beneficial interest) and the Council (a) under which goods or services are to be provided or works are to be executed; and (b) which has not been fully discharged
Land	Any beneficial interest in land which is within the Council's area. For this purpose "land" includes an easement, servitude, interest or right in or over land which does not carry with it a right for you, your spouse, civil partner or person with whom you are living as a spouse or civil partner (alone or jointly with another) to occupy the land or to receive income.
Licences	Any licence (alone or jointly with others) to occupy land in the Council's area for a month or longer.
Corporate tenancies	Any tenancy where (to your knowledge) – (a) the landlord is the Council; and (b) the tenant is a body in which you, your spouse or civil partner or a person you are living with as a spouse or civil partner has a beneficial interest
Securities	Any beneficial interest in securities of a body where – (a) that body (to your knowledge) has a place of business or land in the Council's area and (b) either – i. The total nominal value of the securities exceeds £25,000 or one hundredth of the total issued share capital of that body; or ii. If the share capital of that body is of more than one class, the total nominal value of the shares of any one class in which you, your spouse or civil partner or person with

whom you are living as a spouse or civil partner has a beneficial interest exceeds one hundredth of the total issued share capital of that class.

For this purpose, "securities" means shares, debentures, debenture stock, loan stock, bonds, units of a collective investment scheme within the meaning of the Financial Services and Markets Act 2000 and other securities of any description, other than money deposited with a building society.

NOTE: the requirements in respect of the registration and disclosure of Disclosable Pecuniary Interests and withdrawing from participating in respect of any matter where you have a Disclosable Pecuniary Interest apply to your interests and those of your spouse or civil partner or person with whom you are living as a spouse or civil partner where you are aware of their interest.

Access to Information

Agendas and reports can be viewed on the Gloucester City Council website: www.gloucester.gov.uk and are available to view five working days prior to the meeting date.

For enquiries about Gloucester City Council's meetings please contact Democratic Services, 01452 396126, democratic.services@gloucester.gov.uk.

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Recording of meetings

Please be aware that meetings may be recorded. There is no requirement for those wishing to record proceedings to notify the Council in advance; however, as a courtesy, anyone wishing to do so is advised to make the Chair aware before the meeting starts.

Any recording must take place in such a way as to ensure that the view of Councillors, Officers, the Public and Press is not obstructed. The use of flash photography and/or additional lighting will not be allowed unless this has been discussed and agreed in advance of the meeting.

FIRE / EMERGENCY EVACUATION PROCEDURE

If the fire alarm sounds continuously, or if you are instructed to do so, you must leave the building by the nearest available exit. You will be directed to the nearest exit by council staff. It is vital that you follow their instructions:

- You should proceed calmly; do not run and do not use the lifts;
- Do not stop to collect personal belongings;
- Once you are outside, please do not wait immediately next to the building; gather at the assembly point in the car park and await further instructions;
- Do not re-enter the building until told by a member of staff or the fire brigade that it is safe to do so.