

To: Members of the Audit Committee

Notice of a Meeting of the Audit Committee

Wednesday, 29 February 2012 at 11.00 am

County Hall



Peter G. Clark
County Solicitor

February 2012

Contact Officer: **Geoff Malcolm,**
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Membership

Chairman – Councillor David Wilmshurst
Deputy Chairman - Councillor Charles Mathew

Councillors

Alan Armitage
Tony Crabbe
Roy Darke

A.M. Lovatt
Larry Sanders
C.H. Shouler

Lawrie Stratford

Co-optee

Dr Geoff Jones

Notes:

Date of next meeting: 18 April 2012

***10.00am-10.50am (prior to the Committee meeting). Informal briefing for all members:
'Adult Information System' (AIS) in Meeting Room 1.***

Lead Officer: Simon Kearey, Social & Community Services

The Cabinet Member for Finance & Property has a standing invitation to attend and speak on agenda items within his portfolio

The Chairman (or Deputy Chairman) of the Strategy & Partnerships Scrutiny Committee has a standing invitation to attend and speak on agenda items

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Declarations of Interest

This note briefly summarises the position on interests which you must declare at the meeting. Please refer to the Members' Code of Conduct in Part 9.1 of the Constitution for a fuller description.

The duty to declare ...

You must always declare any "personal interest" in a matter under consideration, i.e. where the matter affects (either positively or negatively):

- (i) any of the financial and other interests which you are required to notify for inclusion in the statutory Register of Members' Interests; or
- (ii) your own well-being or financial position or that of any member of your family or any person with whom you have a close association more than it would affect other people in the County.

Whose interests are included ...

"Member of your family" in (ii) above includes spouses and partners and other relatives' spouses and partners, and extends to the employment and investment interests of relatives and friends and their involvement in other bodies of various descriptions. For a full list of what "relative" covers, please see the Code of Conduct.

When and what to declare ...

The best time to make any declaration is under the agenda item "Declarations of Interest". Under the Code you must declare not later than at the start of the item concerned or (if different) as soon as the interest "becomes apparent".

In making a declaration you must state the nature of the interest.

Taking part if you have an interest ...

Having made a declaration you may still take part in the debate and vote on the matter unless your personal interest is also a "prejudicial" interest.

"Prejudicial" interests ...

A prejudicial interest is one which a member of the public knowing the relevant facts would think so significant as to be likely to affect your judgment of the public interest.

What to do if your interest is prejudicial ...

If you have a prejudicial interest in any matter under consideration, you may remain in the room but only for the purpose of making representations, answering questions or giving evidence relating to the matter under consideration, provided that the public are also allowed to attend the meeting for the same purpose, whether under a statutory right or otherwise.

Exceptions ...

There are a few circumstances where you may regard yourself as not having a prejudicial interest or may participate even though you may have one. These, together with other rules about participation in the case of a prejudicial interest, are set out in paragraphs 10 – 12 of the Code.

Seeking Advice ...

It is your responsibility to decide whether any of these provisions apply to you in particular circumstances, but you may wish to seek the advice of the Monitoring Officer before the meeting.

If you have any special requirements (such as a large print version of these papers or special access facilities) please contact the officer named on the front page, but please give as much notice as possible before the meeting.

AGENDA

1. Apologies for Absence and Temporary Appointments

2. Declarations of Interest - see guidance note

3. Minutes (Pages 1 - 4)

To approve the minutes of the meeting held on 18 January 2012 (**AU3**) and to receive information arising from them.

4. Petitions and Public Address

5. Treasury Management - Risk and Governance

11:10

As requested at the last meeting the Head of Corporate Finance will give a presentation on the risk and governance aspects of Treasury Management.

The Committee is RECOMMENDED to note the position.

6. Audit Working Group - 16 February 2012 (Pages 5 - 14)

11:50

Report by Chief Internal Auditor (**AU6**).

The report summarises the matters arising at the most recent meeting of the Audit Working Group (AWG).

The Committee is RECOMMENDED to:

- a) *note the report;*
- b) *approve the AWG terms of reference; and*
- c) *approve the timings and initial work programme for the AWG in 2012/13.*

7. Audit Committee Annual Report 2011 (Pages 15 - 28)

12:10

On 29 November 2006 the Committee adopted a process for preparing the report to

Council in respect of the Committee's performance on the implementation of its Work Programme, as follows: 'The Chairman & Deputy Chairman in consultation with the Assistant Head of Finance (Audit) to draft the report for comment by the Opposition Group Spokesman and the Chairman of the Audit Working Group and submission to the Committee.'

The Committee is RECOMMENDED to endorse the Annual Report to Council 2011 (AU7).

8. Internal Audit Services - Internal Audit Strategy 2012/13 (Pages 29 - 40)

12:30

Report By Chief Internal Auditor (AU8).

The paper details the Internal Audit Strategy, including the resources available and how we will be delivering our service in 2012/13. Work plans will be prepared on a quarterly basis and will be presented to the Audit Committee for approval.

The Committee is RECOMMENDED to approve the Internal Audit Strategy.

9. Timing of Meetings (Pages 41 - 42)

12:50

Report by County Solicitor & Monitoring Officer (AU9).

The Committee currently meets six times a year on a Wednesday morning. The County Council's senior management team meets every week at this time. Both the County Council Management Team and the Audit Committee require the continued focus and support of the Council's Chief Officers. Consequently, it is suggested that the Council's strategic management and its control arrangements would be enhanced by avoiding any clash between these meetings. This report therefore seeks the Committee's approval for an alteration in the timing of the Committee from Wednesdays at 11.00 a.m. to a new time of Wednesdays at 2.00 p.m.

The Committee is RECOMMENDED to agree, and to RECOMMEND to Council, that future meetings of Audit Committee should take place in the afternoon from 2.00 p.m.

10. Audit Committee Draft Work Programme 2012/13 (Pages 43 - 46)

1:10

The Committee is RECOMMENDED to determine its Work Programme for 2012/13 (AU10).

1:15 Close of meeting

An explanation of abbreviations and acronyms is available on request from the Assistant Head of Finance (Audit).

Pre-Meeting Briefing

There will be a pre-meeting briefing at County Hall on **23 February 2012** at **4pm** for the Chairman, Deputy Chairman and Opposition Group Spokesman.