



7 December 2021

<b>Committee</b>	Audit and Governance Committee
<b>Date</b>	Wednesday, 15 December 2021
<b>Time of Meeting</b>	2:00 pm
<b>Venue</b>	Tewkesbury Borough Council Offices, Severn Room

## **ALL MEMBERS OF THE COMMITTEE ARE REQUESTED TO ATTEND**

### **Agenda**

#### **1. ANNOUNCEMENTS**

When the continuous alarm sounds you must evacuate the building by the nearest available fire exit. Members and visitors should proceed to the visitors' car park at the front of the building and await further instructions (during office hours staff should proceed to their usual assembly point; outside of office hours proceed to the visitors' car park). Please do not re-enter the building unless instructed to do so.

In the event of a fire any person with a disability should be assisted in leaving the building.

#### **2. APOLOGIES FOR ABSENCE AND SUBSTITUTIONS**

To receive apologies for absence and advise of any substitutions.

#### **3. DECLARATIONS OF INTEREST**

Pursuant to the adoption by the Council on 26 June 2012 of the Tewkesbury Borough Council Code of Conduct, effective from 1 July 2012, as set out in Minute No. CL.34, Members are invited to declare any interest they may have in the business set out on the Agenda to which the approved Code applies.



	Item	Page(s)
<b>4. MINUTES</b>	To approve the Minutes of the meeting held on 15 September 2021.	1 - 8
<b>5. AUDIT AND GOVERNANCE COMMITTEE WORK PROGRAMME</b>	To consider the Audit and Governance Committee Work Programme.	9 - 14
<b>6. EXTERNAL AUDITOR'S PROGRESS REPORT</b>	To consider the external auditor's report on progress against planned outputs.	15 - 37
<b>7. APPOINTMENT OF EXTERNAL AUDITOR</b>	To recommend to Council that the Public Sector Audit Appointments (PSAA) invitation to 'opt-in' to the sector led national scheme for the appointment of external auditors for the five financial years commencing 1 April 2023 be accepted.	38 - 44
<b>8. COUNTER FRAUD AND ENFORCEMENT UNIT UPDATE</b>	To consider the update on the work of the Counter Fraud and Enforcement Unit.	45 - 50
<b>9. CORPORATE RISK REGISTER</b>	To consider the risks contained within the Corporate Risk Register and assurance that the risks are being effectively managed.	51 - 73
<b>10. ANNUAL SAFEGUARDING UPDATE</b>	To consider the annual report to give assurance as to the level of the Council's compliance with its safeguarding duty and to note the Section 11 self-assessment submission to the Assurance Panel, attached at Appendix 1.	74 - 82
<b>11. DISCRETIONARY HOUSING PAYMENTS FOLLOW-UP</b>	To consider the progress made against implementation of the audit recommendations in relation to Discretionary Housing Payments.	83 - 87
<b>12. STATUS OF INTERNAL AUDIT RECOMMENDATIONS</b>	To consider the status of the internal audit recommendations.	88 - 109
<b>13. DATA PROTECTION OFFICER ANNUAL REPORT</b>	To receive the annual report on the actions undertaken during the year and to consider the action plan, attached at Appendix 1, to further improve the Council's General Data Protection Regulation (GDPR) arrangements.	110 - 120

**DATE OF NEXT MEETING**  
**WEDNESDAY, 23 MARCH 2022**  
**COUNCILLORS CONSTITUTING COMMITTEE**

Councillors: C M Cody, P A Godwin, D W Gray, H C McLain (Vice-Chair), P D McLain, H S Munro, V D Smith (Chair) and P E Smith. One vacancy.

### **Substitution Arrangements**

The Council has a substitution procedure and any substitutions will be announced at the beginning of the meeting.

### **Recording of Meetings**

In accordance with the Openness of Local Government Bodies Regulations 2014, please be aware that the proceedings of this meeting may be recorded and this may include recording of persons seated in the public gallery or speaking at the meeting. Please notify the Democratic Services Officer if you have any objections to this practice and the Chairman will take reasonable steps to ensure that any request not to be recorded is complied with.

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.