

AGENDA

NOTE: In the case of non-members, this agenda is for information only

- Committee - **GOVERNANCE & AUDIT COMMITTEE**
- Date & Time - **Friday, 24th February, 2017 at 10.00 am**
- Venue - **Norfolk Room, Conference Suite, Elizabeth House, Dereham**

Members of the Committee requiring further information, or with specific questions, are asked to raise these with the appropriate officer at least two working days before the meeting. If the information requested is available, this will be provided, and reported to Committee.

Members

Mr W.P. Borrett (Chairman)	Mrs L.H. Monument
Mr P S Wilkinson (Vice-Chairman)	Mr M J Nairn
Mr P.J. Hewett	Mr M Taylor

PERSONS ATTENDING THE MEETING ARE REQUESTED TO TURN OFF MOBILE TELEPHONES

Democratic Services
Elizabeth House, Walpole Loke,
Dereham Norfolk, NR19 1EE

Date: Wednesday, 15 February 2017

PART A - ITEMS OPEN TO THE PUBLIC

	<u>Page(s) herewith</u>
1. <u>MINUTES</u> To confirm the minutes of the meeting held on 9 December 2016.	5 - 12
2. <u>ACTIONS ARISING FROM THE MINUTES (IF ANY) (STANDING ITEM)</u>	
3. <u>APOLOGIES</u> To receive apologies for absence.	
4. <u>URGENT BUSINESS</u> To note whether the Chairman proposes to accept any item as urgent business, pursuant to Section 100(B)(4)(b) of the Local Government Act 1972.	
5. <u>DECLARATION OF INTERESTS</u> The duties to register, disclose and not to participate for the entire consideration of the matter, 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. Members are also required to withdraw from the meeting room as stated in the Standing Orders of this Council.	
6. <u>NON-MEMBERS WISHING TO ADDRESS THE MEETING</u> To note the names of any non-members wishing to address the meeting.	
7. <u>TRAINING (STANDING ITEM)</u> To note if there are any training issues/ requests.	
8. <u>REVIEW OF STANDARDS LOCAL ARRANGEMENTS</u> Report of Maxine O'Mahony, the Executive Director Strategy & Governance & Monitoring Officer.	13 - 33
9. <u>PROCESSES IN PLACE FOR REVIEWING FINANCIAL & CORPORATE PERFORMANCE</u> Report of the Executive Director, Commercialisation (S151 Officer).	34 - 37
10. <u>ANNUAL CERTIFICATION REPORT (FOR INFORMATION)</u> External Audit, Ernst & Young LLP.	38 - 45
11. <u>BRECKLAND 2016/17 AUDIT PLAN</u> External Audit, Ernst & Young LLP.	46- 63

	<u>Page(s)</u> <u>herewith</u>
12. <u>PROGRESS REPORT ON INTERNAL AUDIT ACTIVITY</u> Report of the Internal Audit Consortium Manager.	64 - 98
13. <u>FOLLOW-UP REPORT ON AUDIT RECOMMENDATIONS</u> Report of the Internal Audit Consortium Manager.	99 - 103
14. <u>STRATEGIC AND ANNUAL INTERNAL AUDIT PLANS 2017/18</u> Report of the Internal Audit Consortium Manager.	104 - 132
15. <u>EXTERNAL QUALITY ASSESSMENT OF INTERNAL AUDIT</u> Report of the External Audit Consortium Manager.	133 - 147
16. <u>STRATEGIC RISK REGISTERS/QUARTERLY UPDATE - RISK MANAGEMENT</u> Report of the Corporate Improvement & Performance Manager. Appendix B, the restricted part of this report is attached at agenda item 20 below.	148 - 158
17. <u>WORK PROGRAMME</u> A copy of the Committee's work programme is attached. The Committee is asked to consider whether any additions, deletions or amendments to the programme are required.	159
18. <u>NEXT MEETING</u> To note the arrangements for the next meeting to be held on Friday, 9 June 2017 at 10.00am in the Norfolk room.	
19. <u>EXCLUSION OF PRESS AND PUBLIC</u> To consider the following resolution: "That under Section 100(4)(A) of the Local Government Act 1972, the press and the public be excluded from the meeting for the following item of business on the grounds that it involves the likely disclosure of exempt information as defined in paragraphs 3 and 4 of Schedule 12A to the Act".	
20. <u>RESTRICTED STRATEGIC RISK REGISTERS/QUARTERLY UPDATE - RISK MANAGEMENT</u> BDC Restricted Strategic Risk Report - Appendix B	160