

# AGENDA

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

- Committee - **GOVERNANCE & AUDIT COMMITTEE**
- Date & Time - **Friday, 1st December, 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 J. Plaskett, Independent Lay Advisor	Mrs L.H. Monument
Mr W.P. Borrett (Chairman)	Mr M. J. Nairn
Mr P S Wilkinson (Vice-Chairman)	Mr J Newton
Mr P.J. Hewett	

**PERSONS ATTENDING THE MEETING ARE REQUESTED TO TURN OFF MOBILE TELEPHONES**

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

Date: Wednesday, 22 November 2017



**PART A - ITEMS OPEN TO THE PUBLIC**

	<u>Page(s) herewith</u>
<b>1. <u>MINUTES</u></b> To confirm the minutes of the meeting held on 29 September 2017.	5 - 8
<b>2. <u>ACTIONS ARISING FROM THE MINUTES (IF ANY) (STANDING ITEM)</u></b>	
<b>3. <u>APOLOGIES</u></b> To receive apologies for absence.	
<b>4. <u>URGENT BUSINESS</u></b> 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.	
<b>5. <u>DECLARATION OF INTERESTS</u></b> 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.	
<b>6. <u>NON-MEMBERS WISHING TO ADDRESS THE MEETING</u></b> To note the names of any non-members wishing to address the meeting.	
<b>7. <u>TRAINING (STANDING ITEM)</u></b> To note if there are any training issues/ requests.	
<b>8. <u>RISK MANAGEMENT POLICY REVIEW</u></b> Report of Greg Pearson, Corporate Improvement & Performance Manager.	9 - 28
<b>9. <u>QUARTER 2 2017-18 RISK REPORT</u></b> Report of Greg Pearson, Corporate Improvement & Performance Manager.	29 - 41
<b>10. <u>FOLLOW UP REPORT ON INTERNAL AUDIT RECOMMENDATIONS</u></b> Report of Emma Hodds, Head of Internal Audit.	42 - 56
<b>11. <u>PROGRESS REPORT ON INTERNAL AUDIT ACTIVITY</u></b> Report of Emma Hodds, Head of Internal Audit.	57 - 91
<b>12. <u>TREASURY MANAGEMENT POLICY &amp; STRATEGY 2018-19</u></b> Report of Christine Marshall, Executive Director Commercialisation.	92 - 135

	<u>Page(s)</u> <u>herewith</u>
<b>13. <u>TREASURY MANAGEMENT MID YEAR REPORT 2017-18</u></b>	136 - 146
Report of Christine Marshall, Executive Director Commercialisation.	
<b>14. <u>WORK PROGRAMME</u></b>	147
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.	
<b>15. <u>NEXT MEETING</u></b>	
To note the arrangements for the next meeting to be held on Friday, 16 February 2017.	
<b>16. <u>EXCLUSION OF PRESS AND PUBLIC</u></b>	
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”.	
<b>17. <u>QUARTER 2 2017-18 RISK REPORT - APPENDIX</u></b>	148

**MEMBERS ARE REMINDED OF THE TRAINING SESSION THAT WILL TAKE PLACE IMMEDIATELY FOLLOWING THE MEETING (PLEASE REFER TO WORK PROGRAMME FOR FURTHER DETAILS)**