

AGENDA

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

- Committee - **GOVERNANCE & AUDIT COMMITTEE**
- Date & Time - **Friday, 15th February, 2019 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	

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

Date: Wednesday, 6 February 2019

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	5 - 11
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>QUARTER 3 2018-19 RISK REPORT</u> Report of Maxine O'Mahony, Executive Director for Strategy & Governance.	To Follow
9. <u>ANNUAL GRANT CERTIFICATION REPORT 2017/18</u> Report of the Head of External Audit.	12 - 22
10. <u>2018/19 AUDIT PLANNING REPORT</u> Report of the External Auditor E&Y.	23 - 62
11. <u>STRATEGIC AND ANNUAL INTERNAL AUDIT PLANS 2019/20</u> Report of the Head of Internal Audit and the Internal Audit Manager.	63 - 91
12. <u>AUDIT COMMITTEE SELF-ASSESSMENT EXERCISE & ACTION PLAN</u> Report of the Head of Internal Audit, presented by the Internal Audit Manager.	92 - 101

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13. <u>TREASURY MANAGEMENT POLICY & STRATEGY 2019-20</u> Report of Christine Marshall, Executive Director Commercialisation & S151 Officer.	102 - 146
14. <u>ACCOUNTING POLICIES 2018-19</u> Report of Christine Marshall, Executive Director Commercialisation & S151 Officer.	147 - 161
15. <u>COUNTER FRAUD CORRUPTION AND BRIBERY POLICY, WHISTLEBLOWING POLICY AND MONEY LAUNDERING POLICY</u> Report of Christine Marshall, Executive Director Commercialisation & S151 Officer.	162 - 213
16. <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.	214
17. <u>NEXT MEETING</u> To note the arrangements for the next meeting on Wednesday , 5 June 2019 at 10.00am in the Norfolk Room (please note change of day and time).	
18. <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".	
19. <u>QUARTER 3 2018-19 RISK REPORT - APPENDIX 2</u>	To follow