

Governance, Risk and Audit Committee



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29th November 2021

A meeting of the **Governance, Risk and Audit Committee** of North Norfolk District Council will be held in the **Council Offices, Holt Road, Cromer, NR27 9EN** on **Tuesday, 7 December 2021** at **2.00 pm**.

At the discretion of the Chairman, a short break will be taken after the meeting has been running for approximately one and a half hours

Members of the public who wish to ask a question or speak on an agenda item are requested to notify the committee clerk 24 hours in advance of the meeting and arrive at least 15 minutes before the start of the meeting. This is to allow time for the Committee Chair to rearrange the order of items on the agenda for the convenience of members of the public. Further information on the procedure for public speaking can be obtained from Democratic Services, Tel: 01263 516047, Email: matthew.stembrowicz@north-norfolk.gov.uk.

Anyone attending this meeting may take photographs, film or audio-record the proceedings and report on the meeting. Anyone wishing to do so must inform the Chairman. If you are a member of the public and you wish to speak on an item on the agenda, please be aware that you may be filmed or photographed.

Please note that Committee members will be given priority to speak during the debate of agenda items

Emma Denny
Democratic Services Manager

To: Mr J Rest, Mr S Penfold, Mr C Cushing, Mr H Blathwayt, Dr P Bütikofer and Mr P Fisher

All other Members of the Council for information.

Members of the Management Team, appropriate Officers, Press and Public



**If you have any special requirements in order
to attend this meeting, please let us know in advance**

If you would like any document in large print, audio, Braille, alternative format or in a different language please contact us

Chief Executive: Steve Blatch

Tel 01263 513811 **Fax** 01263 515042 **Minicom** 01263 516005

Email districtcouncil@north-norfolk.gov.uk **Web site** www.north-norfolk.gov.uk

A G E N D A

1. TO RECEIVE APOLOGIES FOR ABSENCE

2. SUBSTITUTES

3. PUBLIC QUESTIONS

To receive public questions, if any.

4. ITEMS OF URGENT BUSINESS

To determine any items of business which the Chairman decides should be considered as a matter of urgency pursuant to section 100B(4)(b) of the Local Government Act 1972.

5. DECLARATIONS OF INTEREST

1 - 2

Members are asked at this stage to declare any interests that they may have in any of the following items on the agenda. The code of conduct for Members requires that declarations include the nature of the interest and whether it is a disclosable pecuniary interest.

6. MINUTES

3 - 12

To approve as a correct record, the minutes of the meeting of the Governance, Risk & Audit Committee held on 28th September 2021.

7. CIVIL CONTINGENCIES REPORT

13 - 18

Summary:	Annual report from the Resilience Manager on Civil Contingencies.
Options considered:	This is a briefing report only.
Conclusions:	Not applicable.
Recommendations	To note the report and the council's contributions to the Norfolk Resilience Forum and the response to the Covid-19 pandemic.
Reasons for Recommendations:	A better understanding of the challenges in the past year and the role of the Norfolk Resilience Forum in emergency preparedness planning and incident response will help to discharge our obligations under the Civil Contingencies Act, 2004.

LIST OF BACKGROUND PAPERS AS REQUIRED BY LAW

(Papers relied on to write the report, which do not contain exempt information and which are not published elsewhere)

N/A

Cabinet Member(s)	Ward(s) affected
Nigel Lloyd	All

Contact Officer, telephone number and email: Emily Capps, Assistant Director for Environmental and Leisure Services. Emily.capps@north-norfolk.gov.uk 01263 516274

8. EY EXTERNAL AUDIT PLAN 2019/20

19 - 60

To review and note the EY External Audit Plan.

9. **PROGRESS REPORT ON INTERNAL AUDIT ACTIVITY: 21 SEPTEMBER 2021 TO 29 NOVEMBER 2021** 61 - 72

Summary: This report examines the progress made between 21 September 2021 to 29 November 2021 in relation to delivery of the annual internal audit plan for 2021/22.

Conclusions: A total of two final reports from quarter two are provided for the Committee's to review.

Recommendations: **It is recommended that the Committee notes internal audit progress within the period covered by the report.**

Cabinet member(s):
All

Ward(s) affected:
All

Contact Officer, telephone number,
and e-mail:

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10. FOLLOW UP ON INTERNAL AUDIT RECOMMENDATIONS 21 73 - 86
SEPTEMBER 2021 TO 29 NOVEMBER 2021

Summary: This report provides an overview of progress made in implementing agreed audit recommendations due for completion within the period covered by this report.

Conclusions: Progress continues to be made in addressing audit recommendations.

Recommendations: **It is recommended that the Committee notes management action taken to date regarding the delivery of audit recommendations.**

Cabinet member(s):
All

Ward(s) affected:
All

Contact Officer, telephone number,
and e-mail:

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11. EXTERNAL AUDIT PROCUREMENT EXERCISE

87 - 90

Summary: This report provides an update on the options for the upcoming procurement of external audit provider, currently appointed through a joint procurement exercise undertaken by Public Sector Audit Appointments (PSAA) Ltd.

Options considered: The options considered are:
1. NNDC opts in to the PSAA Ltd joint procurement exercise
2. NNDC pursues its own procurement exercise
Option 1 is the officer preference, as outlined within the paper.

Conclusions: Although the sector has experienced issues with audit timescales following the first PSAA procurement exercise, officers do not believe that opting out of this exercise and procuring directly would solve these issues. NNDC would also miss out on economies of scale arising from a joint procurement, and would risk fewer (or no) bidders coming forward.

Recommendations: **That the Committee recommends to Full Council that NNDC opt-in to the PSAA joint procurement exercise, while also providing feedback to them on how the process could be improved.**

Reasons for Recommendations: To enable more cost effective procurement of external auditors, which is a statutory requirement.

LIST OF BACKGROUND PAPERS AS REQUIRED BY LAW

(Papers relied on to write the report, which do not contain exempt information and which are not published elsewhere)

None

Cabinet Member(s)	Ward(s) affected
Eric Seward	All

Contact Officer, telephone number and email:
Lucy Hume (Chief Technical Accountant) lucy.hume@north-norfolk.gov.uk 01263 516246

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| 12. | PROCUREMENT EXEMPTIONS REGISTER 1ST SEPTEMBER - 11TH NOVEMBER 2021 | 91 - 92 |
| | To review and note the Procurement Exemptions Register. | |
| 13. | CORPORATE RISK REGISTER | 93 - 130 |
| | To review and note the Corporate Risk Register. | |
| 14. | GOVERNANCE, RISK AND AUDIT COMMITTEE UPDATE AND ACTION LIST | 131 - 132 |
| | To monitor progress on items requiring action from the previous meeting, including progress on implementation of audit recommendations. | |
| 15. | GOVERNANCE, RISK AND AUDIT COMMITTEE WORK PROGRAMME | 133 - 134 |
| | To review the Governance, Risk & Audit Committee Work Programme. | |
| 16. | EXCLUSION OF THE PRESS AND PUBLIC | |
| | To pass the following resolution, if necessary: | |
| | “That under section 100A(4) of the Local Government Act 1972 the press and public be excluded from the meeting for the following items of business on the grounds that they involve the likely disclosure of exempt information as defined in part 1 of schedule 12A (as amended) to the Act.” | |