

Governance, Risk and Audit Committee



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16th June 2020

A meeting of the **Governance, Risk and Audit Committee** of North Norfolk District Council will be held in the **remotely via Zoom** on **Tuesday, 16 June 2020** 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 T Adams, Mr C Cushing, Mrs J Stenton and Mr J Toye

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

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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

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

1 - 8

To approve as a correct record, the minutes of the meeting of the Governance, Risk & Audit Committee held on 3rd December 2019.

7. PROGRESS REPORT ON INTERNAL AUDIT ACTIVITY: 13 MARCH 2020 TO 4 JUNE 2020

9 - 36

Summary: This report examines the progress made between 13 March 2020 to 4 June 2020 in relation to delivery of the annual internal audit plan for 2019/20.

Conclusions: Progress in relation to delivery of the internal audit plan is in line with expectations; and positive assurance has been awarded in the audit reviews finalised in this period.

Recommendations: **It is recommended that the Committee notes the outcomes of the assurance audit completed between 13 March 2020 to 4 June 2020.**

Cabinet member(s):
All

Ward(s) affected:
All

Contact Officer, telephone number,
and e-mail:

Faye Haywood, Internal Audit
Manager for North Norfolk DC
01508 533873, fhaywood@s-norfolk.gov.uk

8. FOLLOW UP ON INTERNAL AUDIT RECOMMENDATIONS 21 NOVEMBER 2019 TO 31 MARCH 2020 37 - 46

Summary: This report provides an overview of progress made in implementing agreed audit recommendations due for completion between 21 November 2019 to 31 March 2020.

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: Faye Haywood, Internal Audit Manager for North Norfolk DC
01508 533873, fhaywood@s-norfolk.gov.uk

Summary: This report concludes on the internal audit activity undertaken during 2019/20, it provides an annual opinion concerning the organisation's framework of governance, risk management and control and concludes on the effectiveness of internal audit and provides key information for the annual governance statement.

Conclusions: On the basis of Internal Audit work performed during 2019/20, the Head of Internal Audit is able to give a reasonable (positive) opinion on the framework of governance, risk management and control at North Norfolk District Council.

- Recommendations:**
1. **Receive and consider the contents of the Annual Report and Opinion of the Head of Internal Audit.**
 2. **Note that a reasonable audit opinion has been given in relation to the framework of governance, risk management and control for the year ended 31 March 2020.**
 3. **Note that the opinions expressed together with significant matters arising from internal audit work and contained within this report should be given due consideration, when developing and reviewing the Council's Annual Governance Statement for 2019/20.**
 4. **Note the conclusions of the Review of the Effectiveness of Internal Audit.**

Cabinet member(s):
All

Ward(s) affected:
All

Contact Officer, telephone number,
and e-mail:

Emma Hodds, Head of Internal
Audit
01508 533791, ehodds@s-norfolk.gov.uk

10. **RISK MANAGEMENT POLICY/Framework AND CORPORATE RISK REGISTERS** 63 - 106

Summary: This report highlights recent and proposed improvements to both the Corporate Risk Register (CRR) and the Risk Management Policy and Framework as part of the Council's ongoing improvements to the governance framework.

Options considered: Not to update the Policy and Framework.

Conclusions: The improvements outlined within the report will help both officers and Members to monitor and track any outstanding actions designed to help mitigate and manage the various corporate risks.

Recommendations:

- 1. To note and adopt the Risk Management Policy and Framework**
- 2. To note the Risk Registers.**

Reasons for Recommendations: Better understanding our risk appetite and embedding risk management will help to support the aspirations contained within the Corporate Plan and help to support the delivery of the MTFS and the desire to achieve financial sustainability without reliance on central government grants.

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)

Cabinet Member(s)	Ward(s) affected
	All

Contact Officer, telephone number and email:
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Emma Duncan +441263 516045, Emma.Duncan@north-norfolk.gov.uk

11. GOVERNANCE, RISK AND AUDIT COMMITTEE UPDATE AND ACTION LIST 107 - 108

To monitor progress on items requiring action from the previous meeting, including progress on implementation of audit recommendations.

12. GOVERNANCE, RISK AND AUDIT COMMITTEE WORK PROGRAMME 109 - 110

To review the Governance, Risk & Audit Committee Work Programme.

13. 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.”