

# Agenda

## Audit and governance committee

Date: **Wednesday 29 November 2017**

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Time: **2.00 pm**

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Place: **Committee Room 1, Shire Hall, St. Peter's Square,  
Hereford, HR1 2HX**

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Notes: Please note the time, date and venue of the meeting.

For any further information please contact:

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If you would like help to understand this document, or would like it in another format, please call Caroline Marshall on 01432 260249 or e-mail [caroline.marshall3@herefordshire.gov.uk](mailto:caroline.marshall3@herefordshire.gov.uk) in advance of the meeting.

# **Agenda for the meeting of the Audit and governance committee**

## **Membership**

**Chairman**                      **Councillor PD Newman OBE**  
**Vice-Chairman**            **Councillor ACR Chappell**

**Councillor CR Butler**  
**Councillor EPJ Harvey**  
**Councillor RJ Phillips**  
**Councillor J Stone**  
**Councillor LC Tawn**

## Agenda

		Pages
1.	<p><b>APOLOGIES FOR ABSENCE</b></p> <p>To receive apologies for absence.</p>	
2.	<p><b>NAMED SUBSTITUTES (IF ANY)</b></p> <p>To receive details any details of members nominated to attend the meeting in place of a member of the committee.</p>	
3.	<p><b>DECLARATIONS OF INTEREST</b></p> <p>To receive any declarations of interest by Members in respect of items on the agenda.</p>	
4.	<p><b>MINUTES</b></p> <p>To approve and sign the minutes of the meeting held on 20 September 2017.</p>	9 - 20
5.	<p><b>QUESTIONS FROM MEMBERS OF THE PUBLIC</b></p> <p>To receive questions from members of the public.</p> <p><i>Deadline for receipt of questions is 5.00 pm on 24 November 2017. Accepted questions will be published as a supplement prior to the meeting. Please submit questions to: <a href="mailto:councillorservices@herefordshire.gov.uk">councillorservices@herefordshire.gov.uk</a></i></p>	
6.	<p><b>QUESTIONS FROM COUNCILLORS</b></p> <p>To receive any questions from councillors.</p> <p><i>Deadline for receipt of questions is 5.00 pm on 24 November 2017. Accepted questions will be published as a supplement prior to the meeting. Please submit questions to: <a href="mailto:councillorservices@herefordshire.gov.uk">councillorservices@herefordshire.gov.uk</a></i></p>	
7.	<p><b>POTENTIAL DATA BREACH - RECORD OF OFFICER DECISION</b></p> <p>To provide the audit and governance committee with a requested briefing on a recent potential data breach following publication of a record of officer decision and of the controls in place to manage publication of records of officer decisions in future.</p>	21 - 24
8.	<p><b>INFORMATION ACCESS</b></p> <p>To inform the committee of performance in the council's information access and information governance which includes areas of complaints, data breaches and requests for information made to the council over the municipal year 2016/17, so that the committee can be assured that high standards of openness and transparency are adhered to and that high standards of conduct are promoted.</p>	25 - 32
9.	<p><b>PROGRESS REPORT ON 2017/18 INTERNAL AUDIT PLAN</b></p> <p>To update members on the progress of internal audit work and to bring to their attention any key internal control issues arising from work recently completed.</p>	33 - 62

<b>10. TRACKING OF INTERNAL AUDIT RECOMMENDATIONS</b>	63 - 76
To review progress in implementation of audit recommendations.	
<b>11. CORPORATE RISK REGISTER</b>	77 - 86
To consider the status of the council's corporate risk register in order to monitor the effectiveness of the performance, risk and opportunity management framework. Since the risk register was last reported to committee, three new risks have been added and two removed.	
<b>12. COUNCIL CONSTITUTION</b>	87 - 92
To consider how to undertake the 2018 annual review of the constitution.	
<b>13. CONFIDENTIAL REPORTING CODE (WHISTLEBLOWING)</b>	93 - 96
To agree the process and timetable for undertaking the scheduled biennial review of the confidential reporting (whistleblowing) code .	
<b>14. CODE OF CONDUCT QUESTIONS</b>	97 - 100
To consider questions raised at Council on 13 October 2017. The two questions raised relate to this committee's function to promote and maintain high standards of conduct by members and co-opted members of the Council.	
<b>15. INTERNAL CONTROL WORKING GROUP UPDATE</b>	101 - 104
To update the committee on the progress of the internal control working group.	
<b>16. EXTERNAL AUDIT PROGRESS REPORT</b>	105 - 126
To review the external auditor's progress report and update.	
<b>17. EXTERNAL AUDIT ANNUAL AUDIT LETTER - 2016/17</b>	127 - 146
To receive the external auditor's annual audit letter for 2016/17 and determine whether further action or inclusion in the committee's work programme is appropriate.	
<b>18. WORK PROGRAMME UPDATE</b>	147 - 150
To provide an update on the committee's work programme for 2017/18.	