

SOUTH LAKELAND DISTRICT COUNCIL

South Lakeland House, Kendal, Cumbria LA9 4UQ

www.southlakeland.gov.uk



**You are requested to attend a meeting of
the Audit Committee
on Thursday, 5 December 2019, at 6.30 p.m.
in the Georgian Room, Kendal Town Hall**

Committee Membership

Councillors

Stephen Coleman (Chairman)
Tracy Coward (Vice-Chairman)
Philip Dixon
John Holmes
Kevin Holmes
Kevin Lancaster
Matt Severn

Note – Where relevant, agendas for Members are labelled “Private Document Pack” and contain exempt information within the papers. Any relevant pages are marked as restricted within Agendas labelled “Public Document Pack”.

Tuesday, 26 November 2019

Linda Fisher, Legal, Governance and Democracy Lead Specialist (Monitoring Officer)

For all enquiries, please contact:-

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AGENDA

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PART I

1 APOLOGIES

To receive apologies for absence, if any.

2 MINUTES

To authorise the Chairman to sign, as a correct record, the minutes of the meeting of the Committee held on 19 September 2019.

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3 DECLARATIONS OF INTEREST

To receive declarations by Members of interests in respect of items on this Agenda.

Members are reminded that, in accordance with the revised Code of Conduct, they are required to declare any disclosable pecuniary interests or other registrable interests which have not already been declared in the Council's Register of Interests. (It is a criminal offence not to declare a disclosable pecuniary interest either in the Register or at the meeting.)

Members may, however, also decide, in the interests of clarity and transparency, to declare at this point in the meeting, any such disclosable pecuniary interests which they have already declared in the Register, as well as any other registrable or other interests.

If a Member requires advice on any item involving a possible declaration of interest which could affect his/her ability to speak and/or vote, he/she is advised to contact the Monitoring Officer at least 24 hours in advance of the meeting.

4 LOCAL GOVERNMENT ACT 1972 - EXCLUDED ITEMS

To consider whether the item in Part II of the Agenda should be considered in the presence of the press and public.

5 AUDIT COMMITTEE 2019/20 WORK PROGRAMME

To consider progress against the Committee's 2019/20 Work Programme.

11 - 14

External Audit

6 EXTERNAL AUDITOR'S PROGRESS REPORT AND UPDATE

To consider a summary of the External Auditor's progress to date and emerging issues and developments that may be relevant to the Council.

15 - 28

Internal Audit

7 INTERNAL AUDIT PROGRESS REPORT 2019/20

To consider progress achieved in 2019/20 in delivering the Internal Audit Annual Plan, including one final Internal Audit Report and an update on progress achieved in implementing recommendations from previous internal audit reviews.

29 - 66

Accounts

8 ACCOUNTING POLICIES 2019/20

67 - 88

To consider the accounting policies for the 2019/20 financial year to be used in the preparation of the Statement of Accounts for the financial year ending 31 March 2020.

Regulatory Framework

9 RISK MANAGEMENT UPDATE

89 - 128

To consider the Council's Strategic Risk Register.

10 AUDIT COMMITTEE RISK REGISTER

129 - 138

To consider the updated Audit Committee Risk Register.

11 REVIEW OF LOCAL CODE OF GOVERNANCE

139 - 174

To consider the results of the review of the Council's Local Code of Governance and an update on the progress in implementing the Annual Governance Statement action plan.

12 REVIEW OF CONSTITUTION

175 - 180

To consider recommended amendments to the Constitution.

13 REVIEW OF WHISTLEBLOWING

181 - 192

To consider the results of the review of the Council's Whistleblowing Policy.

14 REVIEW OF EFFECTIVENESS OF AUDIT COMMITTEE

193 - 212

To consider the results of the annual review of the Audit Committee's effectiveness.

Financial Issues

15 OTHER SIGNIFICANT FINANCIAL ISSUES

To receive a verbal update from the Finance Lead Specialist (Section 151 Officer) on any other significant financial issues.

PART II

Private Section (exempt reasons under Schedule 12A of the Local Government Act 1972, as amended by the Local Government (Access to Information) (Variation) Order 2006, specified by way of paragraph number)

16 CUSTOMER CONNECT PROGRAMME MANAGEMENT

213 - 230

- *Paragraph 3 - Information relating to the financial or business affairs of any particular person (including the authority holding that information)*

Further to AUD/13, to consider an update on the management of the Customer Connect Programme.