

AUDIT AND GOVERNANCE COMMITTEE

PROGRESS WITH ACTIONS AGREED OR REPORTED
AT PREVIOUS MEETINGS

REPORTED FOR INFORMATION ONLY

MINUTE NUMBER AND ACTION	PROGRESS	COMPLETED
<p>49 EXTERNAL AUDIT PLAN 2012/13 (28/03/13) It was agreed that that the emerging issues from the Audit Plan would be considered at the relevant Member/Officer groups.</p>	<p>Emerging issues were discussed at the November and January Member Officer Group meetings. Further discussion is planned for the next meeting of the Fraud Member Officer Group.</p>	<p>In progress</p>
<p>50 INTERNAL AUDIT PLAN 2013/14 (28/03/13) It was agreed that</p> <ul style="list-style-type: none"> • When a more detailed audit plan is available it will be shared with the specialist Member groups appointed by the Committee. • Once guidance has been published all aspects of service delivery will be reassessed to ensure that there is proper migration to the new requirements and audit documents will then be updated to reflect the revised obligations. 	<p>The Audit Plan is shared with Members as part of the annual and interim internal audit update reports to the Committee.</p> <p>Report on new standards considered at meeting on 27/06/13. An annual assessment of the arrangements against the Standards forms is part of the Annual Governance Statement process.</p>	<p>Yes</p> <p>Yes</p>
<p>51 AUDIT AND GOVERNANCE SELF ASSESSMENT (28/03/13) Agreed that the detailed outcome of the review of the system of Internal Audit will be considered by the Committee as part of the Annual Governance Statement approval process.</p>	<p>Draft AGS discussed at Committee on 27/6/13 with final AGS due to be agreed on 27/9/13. Review included as part of evidence pack distributed to Members.</p>	<p>Yes</p>

ACTION	PROGRESS	COMPLETED
<p>52 WHISTLEBLOWING (28/03/13) Agreed that a further review of the Policy be carried out in 2013/14 and that it would include a survey of staff awareness and views on the arrangements.</p>	<p>Update report is included on the Work Plan for March 2014. Staff survey to be completed following the introduction of an e-learning package.</p>	<p>In progress.</p>
<p>53 RISK MANAGEMENT UPDATE (28/03/13) Agreed that</p> <ul style="list-style-type: none"> • The Committee identify an area of risk on which to receive a briefing at the next meeting; Commissioning and Services Delivery Chains was duly identified. • The Risk Register from the Welfare Reform Working Group be brought to the next meeting. 	<p>The Executive Director of Strategic Commissioning attended the meeting on 27/06/13 to brief members on this.</p> <p>Risk Register from the Welfare Reform Working Group made available to the Committee.</p>	<p>Yes 27/06/13</p> <p>Yes 27/06/13</p>
<p>55 COMPLIANCE WITH REGULATION OF INVESTIGATORY POWERS ACT 2000 (RIPA) (28/03/13) That a report be submitted to the Committee on the Inspectors findings and recommendations following his visit on 2 May 2013.</p>	<p>Considered at the meeting on 27/06/13</p>	<p>Yes 27/06/13</p>
<p>56 WORK PLAN 2012/13 (28/03/13) Agreed that</p> <ul style="list-style-type: none"> • A report be brought to the Committee on the provision of training for Standards Hearings and on whether the agreed processes for dealing with complaints under the Members Code of Conduct should be reviewed. • That there be a report to the Committee on insurance arrangements for elected members. 	<p>Deferred, to come forward in March 2014.</p> <p>To be referred to the Corporate Risk Management Group for incorporation in their report, and to the Insurance Team, and to come forward in due course.</p>	

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<p>5 INTERNAL AUDIT ANNUAL REPORT 2012/13 (27/06/13) Agreed that the Chief Operating Officer discuss concerns regarding compromise agreements with the appropriate HR Officer or Member Group.</p>	<p>(Rachel Musson) Discussed this with the Chief Executive and with the CLB and was advised that any agreements are managed on a case by case basis.</p>	<p>Yes 27/09/13</p>
<p>6 DRAFT ANNUAL GOVERNANCE STATEMENT 2012/13 and 13 WORKPLAN 2013/14 (27/06/13) That the Chief Operating Officer report back on the most appropriate forum to measure and monitor improvement of organisation of culture.</p>	<p>Rachel Musson - Discussed with the Chief Executive and the Leader who advised that this will be dealt with by Cabinet and the CLB.</p>	<p>Yes 27/09/13</p>
<p>7 DRAFT STATEMENT OF ACCOUNTS 2012/13 (27/06/13) That information on earmarked reserves and the schools balances be forwarded to Members.</p>	<p>This information was circulated on 01/07/2013.</p>	<p>Yes 1/07/13</p>
<p>8 ANNUAL REPORT ON RISK MANAGEMENT (27/06/13) That the Corporate Risk Management Group, the Chairman, the Executive Director of Strategic Commissioning and Cllr Marren consider further the most appropriate way of including the allocation of a measurement/score of risk on all on all written reports.</p>	<p>In progress, discussed at the Corporate Risk Management Group and to be discussed with the Corporate Leadership Team.</p>	<p>In progress</p>
<p>9 AUDIT COMMITTEE UPDATE (27/06/13) That detailed financial information around emerging issues and developments be circulated to Members direct.</p>	<p>Circulated to Committee Members on 1/07/2013</p>	<p>Yes 1/07/2013</p>
<p>10 PUBLIC SECTOR INTERNAL AUDIT STANDARDS AND AUDIT CHARTER UPDATE (27/06/13) That further updates be brought to the Committee as and when necessary.</p>	<p>-</p>	<p>Yes 27/09/13</p>

ACTION	PROGRESS	COMPLETED
<p>13 WORK PLAN 2013/14 (27/06/13) That the Monitoring Officer, the Member/Officer Group and Cllr Marren discuss further the appropriateness of the requested Cardiff Review of 6 procurement invoices and report back to the Committee in due course.</p>	<p>The issue was discussed at the relevant Member Officer Group and it was decided not to proceed with this at this particular time.</p>	<p>Yes 15/11/14</p>
<p>23 PUBLIC SECTOR INTERNAL AUDIT STANDARDS AND AUDIT CHARTER UPDATE (27/06/13) That the finalised documents be considered by the Committee at its meeting on 28/11/13</p>	<p>The Committee approved the Internal Audit Charter on 28 November and further updates will be brought to the Committee as and when necessary.</p>	<p>Yes 28/11/13</p>
<p>25 RISK MANAGEMENT UPDATE (27/09/13) CR9 – Workforce identified as the risk for consideration at the next meeting of the Committee.</p>	<p>As the meeting on 28/11/13 had been convened to deal with specific items of business this is on the agenda for the meeting in January 2014.</p>	<p>In progress</p>
<p>26 COMPLIANCE WITH CONTRACT PROCEDURE RULES (27/09/13) That further reports on the process, and its robustness be brought to the Committee as part of the regular monitoring of the Annual Governance Statement Action Plan.</p>	<p>A further report will be submitted on 27 March 2014.</p>	
<p>34 2012/13 AUDIT FINDINGS ACTION PLAN (28/11/13) 1. That there be an all Member briefing on governance issues relating to Alternative Service Delivery Vehicle's in advance of the next Audit and Governance Committee. 2. That there be a report back to a future meeting of the Committee on its terms of reference.</p>	<p>Actioned. To be included on January 2014 Agenda.</p>	<p>17/12/13 In progress</p>

ACTION	PROGRESS	COMPLETED
<p>39 ANTI-FRAUD AND CORRUPTION ARRANGEMENTS – UPDATE (28/11/13) That an annual fraud report be submitted to the Committee on an annual basis.</p>	<p>To be completed during the 2014/15 financial year.</p>	
<p>40 ANNUAL REPORT OF CORPORATE COMPLAINTS AND THE LOCAL GOVERNMENT OMBUDSMAN’S ANNUAL REVIEW 2012/13 (28/11/13) That staff be thanked for their effort in reducing the number of complaints received.</p>	<p>The thanks of the Committee have been passed on to the Compliance and Customer Relations Team as they are responsible for the management of the Corporate Complaints process.</p>	<p>Yes December 2014</p>
<p>41 WORK PLAN 2012/13 (28/11/13) With ref to minute 27 of the last meeting arrangements be made for the newly formed Standards Working Group, comprising Cllrs Wray, L Brown, Hardy and Hogben, to meet as soon as possible.</p>	<p>This is to meet asap after the arrival of Anita Bradley (Head of Legal Services and Monitoring Officer) on 3 February 2014.</p>	