

## **AUDIT COMMITTEE ACTION SHEET**

<b>12<sup>TH</sup> JUNE 2013</b>				
<b>Agenda Item No.</b>	<b>Report</b>	<b>Action Required</b>	<b>Responsible Officer</b>	<b>Action Taken</b>
6	Collaborative Projects Arrangements	The protocol for collaborative projects should be developed to include the role of the Audit Committee	Chief Executive	Paper to this meeting.
7	Briefing meeting held on 22 <sup>nd</sup> February 2013	A further joint meeting to be arranged	Democracy and Governance Manager	Meeting took place on 7 <sup>th</sup> October. Paper prepared for the committee.
11	Internal Audit Progress Report	The Head of Finance to be invited to respond to outstanding recommendations for her section at a future meeting	Head of Finance	Completed at October meeting.

**30<sup>th</sup> JULY 2013**

<b>Agenda Item No.</b>	<b>Report</b>	<b>Action Required</b>	<b>Responsible Officer</b>	<b>Action Taken</b>
28	Certification of Grant Claims and Returns 2011/12	Outcomes from the WAO report for 2011/12 to be included in the 2012/13 report to show comparison	WAO	Not yet due.
29	Audit Committee Terms of Reference	Reinstate wording on information security in relation to computer systems.	Internal Audit Manager	Wording reinstated. Paper taken to Constitution Committee and Council 12 <sup>th</sup> November 2013.
30	Internal Audit Charter	Include more detail on police involvement in the undertaking of investigations into fraud and irregularities in consultation with appropriate Council officers	Internal Audit Manager	Completed. Paper taken to the Constitution Committee 16 <sup>th</sup> October 2013.
30	Internal Audit Charter	Include reference to the provision of advice from WAO in working alongside IA and AC	Internal Audit Manager	Completed. Paper taken to the Constitution Committee 16 <sup>th</sup> October 2013.
30	Internal Audit Charter	Reinstate text on efficient and effective use of resources	Internal Audit Manager	Completed. Paper taken to the Constitution Committee 16 <sup>th</sup> October 2013.

**25<sup>TH</sup> SEPTEMBER 2013**

<b>Agenda Item No.</b>	<b>Report</b>	<b>Action Required</b>	<b>Responsible Officer</b>	<b>Action Taken</b>
40	Risk Management	That the changes to the SARC process be reflected in the Annual Governance Statement for the year ending 31 March 2014.	Democracy and Governance Manager	Not yet due.
42	Internal Audit Progress Report	That future recommendation implementation reports indicate the original and new dates, together with a yes/no column to indicate whether the risk is acceptable to Internal Audit	Internal Audit Manager	Implemented for this meeting.
42	Internal Audit Progress Report	That the Head of Streetscene be invited to attend a future meeting to report on the fleet services review including the extent of use and cost of tracker systems	Internal Audit Manager	Head of Streetscene attended December meeting.
44	Forward Work Programme	Treasury Management Mid Year Update and the Corporate Assessment be moved to the December 2013 meeting	Internal Audit Manager	Papers presented to the December meeting.

**7<sup>TH</sup> OCTOBER 2013**

<b>Agenda Item No.</b>	<b>Report</b>	<b>Action Required</b>	<b>Responsible Officer</b>	<b>Action Taken</b>
49	Data Protection Audit by ICO	That progress reports on recommendation implementation and response to ICO be included on the FWP for March 2014	Internal Audit Manager	Implemented.
50	Implementation of Finance Audit Recommendations	That the Chief Executive liaise with the Internal Audit Manager on further work to the recommendations on the MTFP/MTFS	Chief Executive / Internal Audit Manager	Follow up review to take place, with updates to the current situation and to the recommendations.

**18<sup>TH</sup> DECEMBER 2013**

<b>Agenda Item No.</b>	<b>Report</b>	<b>Action Required</b>	<b>Responsible Officer</b>	<b>Action Taken</b>
58	Treasury Management – Mid Year Update	To circulate a written response to the Committee on the average reserve surplus (Cllr Bateman’s query)	Finance Manager Technical Accounting	Cllr Bateman has been invited to a meeting to discuss average investments as a result of reserves and cashflow surpluses.
58	Treasury Management – Mid Year Update	To include in the training session an explanation on the timing and availability of higher interest rates (Cllr Bateman’s query).	Finance Manager Technical Accounting	Training Session 27 <sup>th</sup> January 2014.
58	Treasury Management – Mid Year Update	To provide the committee with a breakdown of the Debt Maturity Profile graph (Cllr Banks’ request)	Finance Manager Technical Accounting	An additional appendix has been included in the January update report showing the data from which the graph is produced.
58	Treasury Management – Mid Year Update	To include in the training session examples of where debt on outstanding loans attracted high rates of interest and why it is not economical to reschedule these (Cllr Newhouse’s request)	Finance Manager Technical Accounting	Training Session 27 <sup>th</sup> January 2014.
58	Treasury Management – Mid Year Update	To include in the training session discussion on utilising a proportion of reserves for debt profiling	Finance Manager Technical Accounting	Training Session 27 <sup>th</sup> January 2014.

**18<sup>TH</sup> DECEMBER 2013**

<b>Agenda Item No.</b>	<b>Report</b>	<b>Action Required</b>	<b>Responsible Officer</b>	<b>Action Taken</b>
59	Corporate Governance	To report to the meeting on 25 <sup>th</sup> June 2014 on the budget setting process to aid the Committee in their role	Head of Finance	Added to the Forward Work Programme.
59	Corporate Governance	To e mail the Committee with results from the challenge stage of the returned AGS questionnaires in February 2014 and responses from O&S Chairs	Democracy and Governance Manager	Not yet due.
59	Corporate Governance	To respond to Cllr Bateman's query on the £7m overdraft facility	Finance Manager Technical Accounting	Cllr Bateman has been invited to a meeting to discuss the Council's overdraft facilities.
60	Informal Meeting between Audit Committee members and O&S Chairs / Vice Chairs	To raise at the next informal meeting the suggestion made by Mr Williams.	Internal Audit Manager.	Informal meeting proposed for 8 <sup>th</sup> April 2014.
60	Informal Meeting between Audit Committee members and O&S Chairs / Vice Chairs	To liaise with the Head of ICT and Customer Services on the 'spam' e mail problem experienced by Cllr Newhouse	Chief Executive	Cllr Newhouse contacted by ICT.

**18<sup>TH</sup> DECEMBER 2013**

<b>Agenda Item No.</b>	<b>Report</b>	<b>Action Required</b>	<b>Responsible Officer</b>	<b>Action Taken</b>
61	Size of Audit Committee	That the size of the Audit Committee be referred to the Constitution Committee with the preference for one lay member to be included, for recommendations to be made to the AGM.	Democracy and Governance Manager	Report to Group Leaders and Constitution Committee in March.
62	Internal Audit Progress Report	For future reports Appendix B to indicate whether these are regulatory, risk-based, other or advisory	Internal Audit Manager	To be actioned in March report.
62	Internal Audit Progress Report	For future reports Appendix D to cross reference recommendations awaiting implementation.	Internal Audit Manager	To be actioned in March report.
62	Internal Audit Progress Report	Appendix F – to report back on the outcome of work and to establish why this had not been identified earlier.	Head of Finance	Report back to this meeting.
63	Forward Work Programme	Report on the tendering of banking services to be brought to the January meeting.	Head of Finance	Paper presented to this meeting.