

## Audit and Governance Committee Action Log

Purpose: The action log records actions recorded in the minutes of Audit and Governance Committee meetings and provides an update on officer responses.

### Minutes of the meeting 30 September 2022

Minute	Report title	Lead officer	Action	Response	Status
Item 3	Minutes of the last meeting and Action Log	John Pye, Chair	<ul style="list-style-type: none"> <li>Members to be sent a survey to complete which would help in assessing the performance of the Committee</li> </ul>	Survey and Skills Audit sent to Members	Closed
			<ul style="list-style-type: none"> <li>Members to submit details of their relevant experience and past training.</li> </ul>		Open
			<ul style="list-style-type: none"> <li>Having received the results of the survey, Officers to submit a report for the next meeting outlining where they felt the Committee had weaknesses with proposals for addressing these.</li> </ul>	This to be deferred until the January meeting.	Open
			<ul style="list-style-type: none"> <li>Officers to organise online development sessions on financial and project management.</li> </ul>	Added to the Committee development programme for the new year	Closed
Item 4	Improvement Framework including Review of Governance	Gordon Mitchell/ Jodie Townsend	<ul style="list-style-type: none"> <li>That a report from the IIB be delivered at the next meeting on 2 December and that the Committee then take a view on frequency of reporting and whether it would be helpful to observe a future IIB meeting.</li> <li>That the workplan agenda item be moved up the agenda for the next meeting and that discussion be had on the strength and weaknesses of the Committee, the findings of the Governance review, and proposals be given for a revised workplan regarding the Improvement Framework.</li> </ul>	<p>The IIB have yet to meet so a report from them will not be forthcoming until the new year. An Improvement Plan update report scheduled for the December meeting.</p> <p>The workplan agenda item has been scheduled as the first substantive item on the agenda for the meeting on 2 December.</p>	Open
Item 6	Subsidiary Companies Governance Report	Jon Alsop/ Edwina Adfehinti	1. A full management update to be brought to the next meeting of the Committee on 2 Dec which would report on:	Scheduled	Closed

			<ul style="list-style-type: none"> <li>• How the authority was now managing the subsidiary companies and what the current arrangements were</li> <li>• What the key concerns were and a timeline for them to be addressed</li> <li>• How the authority was responding to the recommendations of the internal audit.</li> <li>• A view on the added value of the companies to the Authority's activity.</li> </ul> <p>2. Officers to report to the CA Board that a minimal assurance opinion on the governance of subsidiary companies had been issued by Internal Audit and that the Audit and Governance Committee had requested a full management report be presented at their next meeting.</p> <p>.</p> <p>.</p>	The Monitoring Officer reported the minimal assurance rating to the Board at their meeting on 19 November 2022	Closed
Item 7	Review of Corporate Risk Register & Risk Register Improvements	Chris Bolton	<p>1. A risk management and risk appetite training session to be held before the next meeting of the Committee.</p> <p>2. The Committee to receive the full risk register and include in the accompanying narrative the top five risks and a summary of the movement of risks over time.</p> <p>.</p>	<p>Scheduled for 21.11.22</p> <p>Item on the agenda for the meeting on 02.12.22</p>	<p>Closed</p> <p>Closed</p>
Item 8	Work Programme	Anne Gardiner	the workplan agenda item would be moved up the agenda so that a comprehensive discussion could be had.(see item 4)	See above	Closed

#### Minutes of the meeting 29 July 2022

Minute	Report title	Lead officer	Action	Response	Status
Item 4	Improvement Framework Including Review of Governance	John Pye, Chair	The Committee to reflect on its role and seek improvements on how information is received and how the behaviour of members is overseen as part of a	This has been added to the workplan as an agenda item for the meeting in January.	Open

			'lessons learned' agenda item for the December meeting.		
Item 7	Internal Audit Annual Report	Daniel Harris	That a comment regarding the incidence and significance of a negative opinion in the sector be included in the auditors' final report.	Scheduled for the December meeting	Open

Minutes of the meeting 30 June 2022

Minute	Report title	Lead officer	Action	Response	Status
Item 5 Action 2	As above	Jon Alsop/ Anne Gardiner	An item on 'lessons learned' from the External Auditor's intervention be added to the Committee's work plan for consideration in early 2023.	Scheduled for January	Closed
Item 6 Action 1	Member Officer Protocol	Jodie Townsend	The Committee would review the Member Officer Protocol in six months' time and annually thereafter.	Scheduled for January	Closed

Minutes of the meeting 11 March 2022

Minute	Report Title	Lead Officer	Action	Response	Status
6.9	Internal Audit Progress Report	Edwina Adefehinti / Mark Parkinson	The Monitoring Officer to update the Committee on the progress of the externally commissioned work being carried out on HR Policies	At present we have 18 policies that need formal ratification by the Authority. These are presently being quality assured by specialist external resources before being submitted to the Employment Committee for agreement. A final summary report will then be provided to the CA Board.	Closed
11.7	Terms of Reference – Climate Change Working Group	Adrian Cannard /Anne Gardiner	That a further update report be scheduled for six months' time.	Scheduled for December	Closed

12.7	Financial Strategies	Robert Emery / Anne Gardiner	That a development session on Financial Strategies be arranged for the Committee at the beginning of the next municipal year.	Scheduled for January	Closed
14.5	Draft Annual Report	Anne Gardiner	That the Committee reviews its work in six months' time to reflect on its integration with the CPCA.	Scheduled for March	Closed

Minutes of the meeting 28<sup>th</sup> January 2022

Minute	Report title	Lead officer	Action	Response	Status
2.2	Chair's Announcements	Chris Bolton/Anne Gardiner	Committee requested that they receive a further development session on project management which would report on value for money, provide hard numbers and qualitative aspects for the members to consider.	Added to the Committee's development programme for the new year	Closed