

AUDIT AND RISK MANAGEMENT COMMITTEE - Outstanding Actions

Item	Action	Officer responsible	Progress updates/target
Risk Update (general)	Review the language within risk guidance to avoid using terms with negative connotations.	Suzanne Jones/ Sabir Ali	To be included in the work on the risk management improvement plan, this will come back to the Committee in December.
Strategic Risk 2 – Supporting the Business City	Officers agreed to review gross risk score (likelihood 5:Almost Certain) before the next update report.	Paul Sizeland/ Sabir Ali	The Officer Strategic Risk Management Group recommended on 25 March 2013 to reduce this rating to 4 (Likely). To be confirmed within the Risk Update report for June
Strategic Risk 16 – Data Protection Breach	Will be considered further at the next Strategic Officer Group.	Susan Attard/ Sabir Ali	Discharged on 25 June Agenda
Strategic Risk 5 – Flooding in the City	Officer Strategic Risk Group to look at the rating in more detail, particularly the impact on public transport and the forthcoming relocation of the City Police to Walbrook Wharf and whether it should be 4, not 3.	Susan Attard/ Sabir Ali	Officer Strategic Risk Management Group recommended on 25 March 2013 to retain this rating at 3 (Moderate). To be confirmed within the Risk Update report for June
Public Sector Internal Audit Standards (PSIAS)	More clarity required on the definition of a 'Board' and the role of Audit Committees.	Chris Bilisland/ Paul Nagle	CIPFA's Local Government Application note published in April 2013. Report to Committee on PSIAS at the June meeting.
Internal Audit Update Report	<ol style="list-style-type: none"> 1. In respect of deferred audit reviews, it would be helpful to understand how far they had been deferred. 2. In respect of client feedback, it would be helpful to have a more detailed discussion on client feedback and understanding as to what is and should be measured. 3. Analysis should be undertaken to identify the percentage of Amber recommendations not hitting their original target dates 	Paul Nagle/ Suzanne Jones	<ol style="list-style-type: none"> 1. The September Audit update report will identify to when audit reviews have been deferred, as a result of audit plan changes in the first quarter of 2013/14. 2. The Business Support Director agreed to include a 'deep dive' review of customer satisfaction, as part of a future Agenda. A separate report is planned for the September 2013 meeting. Initial commentary is provided in Head of Internal Audit Annual Report and Opinion – paragraphs 26-28

AUDIT AND RISK MANAGEMENT COMMITTEE - Outstanding Actions

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			3. Discharged on this agenda within the Audit Recommendations Update report
Approval Regime for Officers' Expenses	Noted Town Clerk's responsibility for regularising the arrangements. Update provided to the March Committee.	Susan Attard	Following discussions with City of London Police, it has been agreed that the Chamberlain will authorise the Commissioner's expenses. The process as previously outlined is now fully operational for all Chief Officers.
Tender for new External Auditor for Non City Fund	Report to Court of Common Council in April, with a recommendation from the Independent Audit Panel of the chosen supplier.	Caroline Al-Beyerty	Report emailed to Members of the Audit and Risk Management Committee. The New External Auditors have been invited to meet members before the October ARM meeting.
Wider Issues affecting Exhibitions with Valuable Displays	The Deputy Town Clerk offered to feed back to the City Surveyor, with a recommendation to review training and re-training of security staff and consistency of deployment of staff.	Susan Attard/Peter Bennett	<p>Following the recommendation by the Chairman, a training review for Art Gallery security staff has been carried out. In addition to the general security training undertaken by in-house staff, it has been decided they will attend a specialist short course provided by the Tate Modern.</p> <p>The content of this course will cover the threat to art work and monuments: highlighting issues around vandalism; cut and tube thefts; copyright law; UV</p>

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			<p>light damage. The course will emphasise the importance of vigilant security officers: the benefits of patrols, thorough bag scanning, and will also explain the physical security measures: infra-red detection, alarm systems, CCTV camera sight lines and how criminals seek to infiltrate them. It is anticipated the one day course will take place in July for 6-8 of our security officers, at a cost of £500.00.</p> <p>The Barbican Centre Art gallery are of the view that the action is specific to the Guildhall Art Gallery, where security staff and procedures are very different. Internal security at the Barbican Art gallery does not form part of the general site security contracted provision. It is carried out by Gallery staff, who have said that they would be interested in the external training provided by the Tate and will be attending a session in August.</p>
International Centre for Financial Regulation	Chamberlain advised Members to await the outcome of the police report, before taking a view about risk assurance implications	Chris Bilsland	Further to the outcome of the police report, Members will be updated on risk assurance implications. At the time of despatching this agenda, the case had not been to Court
Committee Effectiveness Review	<ol style="list-style-type: none"> 1. A training needs assessment be conducted. 2. The Committee's Terms of Reference be strengthened to include overseeing anti-fraud and anti-corruption arrangements. 3. A Survey and Effectiveness Review of the Committee be undertaken annually. 	<ol style="list-style-type: none"> 1. Member Development Steering Group/P Nagle 2. Julie Mayer/Dan Hooper 3. Neil Davies 	<ol style="list-style-type: none"> 1. Inductions for new Members held in April and the programme will be repeated in June/July. The new ARM member received an induction in respect of Audit matters on the 13/6/13.

AUDIT AND RISK MANAGEMENT COMMITTEE - Outstanding Actions

			2. Revised ToRs were approved by the April Court
Post implementation Review of the Governance Arrangements	<ol style="list-style-type: none"> 1. Quorum to be amended to at least 3 Court of Common Council Members and at least 1 External Member. 2. The recommendation of the Report to the Court of Common Council, dated 6 December 2012 '<i>Post Implementation Review of the Governance Arrangements</i>' be agreed; i.e. that the Audit and Risk Management Committee set up an Independent Audit Panel to make recommendations to the Court of Common Council for the appointment of External Auditors. 	Julie Mayer/ Dan Hooper	See (2) above.
Planning Governance	A review of the Director of the Built Environment's new processes and procedures to be undertaken after their first year of operation, in the context of the governance concerns expressed by Alderman Anstee. It was agreed at ARM on 5 March that, in addition to being able to use 'external expertise', stakeholders should be included in the consultation.	Susan Attard (Review to be led by the Town Clerk)	<ol style="list-style-type: none"> 1. Scheduled for October ARM Committee. 2. Minutes/resolution from ARM 5 February 2013 added to Planning Committee Agenda for 15 April.
Drivers Jonas and Deloitte	Fee will be disclosed and an appropriate explanation would be given, showing the distinction between the roles of Drivers Jonas and Deloitte.	Caroline Al-Beyerty	Discharged on Agenda for 25 June 2013
General	There was a general agreement that the agenda packs for the Committee were rather lengthy. The Chairman suggested that cover reports be self-contained and asked the Chamberlain, Internal Audit and Town Clerk to consider more efficient ways of presenting information to Members.	All to note/action	On-going