

## AUDIT AND RISK MANAGEMENT COMMITTEE - Outstanding Actions

Item	Action	Officer responsible	Progress updates/target
<b>Risk Update (general)</b>	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.
<b>Internal Audit Update Report</b>	<ol style="list-style-type: none"> <li>1. In respect of deferred audit reviews, it would be helpful to understand how far they had been deferred.</li> <li>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.</li> <li>3. The Head of Internal Audit and Risk Management advised that the Court of Protection Audit would be covered in the next report. <i>(added 25 June 2013)</i></li> </ol>	Paul Nagle/ Suzanne Jones	<ol style="list-style-type: none"> <li>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.</li> <li>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 on the agenda for 25 June 2013</li> </ol>
<b>Internal Audit Recommendations follow-up report</b>	<ol style="list-style-type: none"> <li>a) Next report to include a provision for new risks created by outsourcing and commissioning. <i>(added 25 June 2013)</i></li> <li>b) Deputy Town Clerk agreed that the timely implementation of Internal Audit recommendations would be included in Chief Officer appraisals.</li> <li>c) Improve performance in timely implementation of audit recommendations</li> </ol>	<ol style="list-style-type: none"> <li>a) Paul Nagle</li> <li>b) Susan Attard</li> <li>c) Paul Nagle</li> </ol>	<ol style="list-style-type: none"> <li>a) Will be included within September internal audit recommendations follow-up report.</li> <li>c) Further detailed analysis will be reported to September Committee. Report scheduled for 23<sup>rd</sup> September Chief Officer Group.</li> </ol>

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<b>Wider Issues affecting Exhibitions with Valuable Displays</b>	<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>	<p>Susan Attard</p>	<p>Susan Attard will meet with Nick Kenyon to ensure the arrangements are adequate <i>(added 25 June 2013)</i></p>
<b>International Centre for Financial Regulation</b>	<p>Chamberlain advised Members to await the outcome of the police report, before taking a view about risk assurance implications</p>	<p>Chris Bilisland</p>	<p>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</p>
<b>Inductions for New Members</b>	<p>1. Inductions for new Members had been held during April and the programme would be repeated in June/July.</p>	<p>P Nagle/C Al-Beyerty</p>	<p>One new Member had received an induction in Internal Audit and a further was in hand. Once both Members had been inducted in External Audit, this item could be removed. <i>(added 25 June 2013)</i></p>
<b>Planning Governance</b>	<p>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.</p>	<p>Susan Attard (Review to be led by the Town Clerk)</p>	<p>Scheduled for October ARM Committee.</p>
<b>Strategic Risk 16 – Data Protection</b>	<p>The Chairman stressed the importance of training for all Members and officers and asked for a further update, via the 'Outstanding Actions' list, to the September or October Meeting. <i>(Added 25 June 2013)</i></p>	<p>Neil Davies</p>	<p>An email was sent to all Members on 1st July, encouraging Members to attend one of the Data Protection briefings on 15th/17th July. An update on the numbers attending will be given at the meeting on 23rd July.</p> <p>An email is also to be sent to all Access to Information Network (AIN) reps following the ARMC meeting on 25th June. Training for all officers processing personal data remains</p>

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			mandatory under the Employee Data Protection Policy.
<b>Annual Governance Statement</b>	An External Member asked if there could be a stronger link with Police governance and this, along with any further amendments or adjustments would be delegated to the Town Clerk and Chief Executive, in consultation with the Chairman and Deputy Chairman of the Audit and Risk Management Committee. <i>(Added 25 June 2013)</i>	Neil Davies	A revised version will be circulated before the next ARMC meeting to incorporate Mr Ludlam's point and any significant changes between 25th June and signing of the accounts.
<b>Cash handling and Banking Audit</b>	The Committee would receive a full update in September <i>(Added 25 June 2013)</i>	Paul Nagle	Internal audit work is on-going and a full report will be provided to the September Committee.
<b>Local Audit and Accountability Bill</b>	The Bill has just 1 week left in the First House, so there was limited opportunity in parliamentary proceedings to suggest new arrangements. Officers agreed to explore the suggestion	Caroline Al-Beyerty/Remembrancer	
<b>General</b>	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