

## 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 – DISCHARGED ON AGENDA FOR 17/9/2013</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– DISCHARGED ON AGENDA FOR 17/9/2013</li> <li>3. Outcome from Appointeeship and Court of Protection Audit is included within Internal Audit Update report - DISCHARGED ON AGENDA FOR 17/9/2013</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. DISCHARGED ON AGENDA FOR 17/9/2013</li> <li>b) On-going</li> <li>c) Further detailed analysis will be reported to September Committee. DISCHARGED ON AGENDA FOR 17/9/2013</li> </ol>

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<b>International Centre for Financial Regulation</b>	Chamberlain advised Members to await the outcome of the police report, before taking a view about risk assurance implications.	Chris Bilisland	Further to the outcome of the police report, Members will be updated on risk assurance implications and advised of the likely timings, which are currently difficult to predict. Once they are known, there might be scope to look into 'lessons learned' in terms of audit and risk processes.
<b>Inductions for New Members</b>	Inductions for new Members had been held during April and the programme would be repeated in June/July.	P Nagle/C Al-Beyerty	One new Member had received an induction in Internal Audit. Once both Members had been inducted in External Audit, this item can be removed.
<b>Planning Governance</b>	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)	The Deputy Town Clerk advised that an initial challenge meeting would be arranged for early September and the review was on track for reporting to the October Audit and Risk Management Committee. Chairman and Deputy Chairman were provided with an update on 12 August.
<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>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 mandatory under the Employee Data Protection Policy.</p>	Neil Davies	<p>The Chairman commented that the recent induction session on Data Protection might have benefitted from having a facilitator/external trainer. Officers agreed to take this suggestion on board for future sessions.</p> <p>A Member also pointed out the need to identify the control owners of the mitigating factors on the documentation, as those individuals should be the first to identify when the control was being breached. It was agreed to annotate the forms</p>

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			accordingly, starting with SR16, but it would be applied across the Board.
<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. WILL BE DISCHARGED by 17/9/2013
<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. Following a question from a Member, it was also agreed that a review of holidays taken by the relevant individuals would also be performed, to identify if the control to take regular holidays had been applied in this case.
<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. Members were subsequently advised that 'lobbying' was only possible on current issues.	Caroline Al-Beyerty	If City's Cash accounts are published, then the new External Auditors should be involved.
<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