

## AUDIT AND RISK MANAGEMENT COMMITTEE - Outstanding Actions

Item	Action	Officer responsible	Progress updates/target
<b>Internal Audit Recommendations follow-up report</b>	<p>Deputy Town Clerk agreed that the timely implementation of Internal Audit recommendations would be included in Chief Officer appraisals.</p> <ol style="list-style-type: none"> <li>1. For Chief Officer Appraisals, held in April/May each year, the Corporate Performance and Development Team will gather information from Internal Audit relating to the whole of the financial year being reviewed, and provide that to the Town Clerk.</li> <li>2. The Corporate Performance and Development Team also contact Internal Audit prior to every Chief Officer Performance Improvement Meeting (with the Deputy Town Clerk) to gather the most up-to-date information on un-implemented recommendations, and other relevant issues. After each meeting, feedback is provided to Internal Audit.</li> </ol>	Susan Attard/Neil Davies	<ol style="list-style-type: none"> <li>1. Expected May 2014. End of Year Information has been provided by internal audit.</li> <li>2. This procedure is in place for every Chief Officer Performance Improvement Meeting</li> </ol>
<b>Internal Audit Planning</b>	Provide members with the 5 year plan	Paul Nagle	Actioned – March 2014
<b>Internal Audit Update report</b>	Provide members with a further update at the end of March	Paul Nagle	Actioned – 7 <sup>th</sup> April 2014
<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.	Chamberlain	An individual had been charged and the Committee would receive an update on the outcome of the Court Hearing.
<b>Agenda Management</b>	Report authors should avoid repeating background detail contained in previous reports on the same subject, for example, in the Strategic Risk reports. As an alternative, it would be more helpful to keep this information in an appendix. It would also be helpful to summarise key changes since the previous reports, under a separate heading, after 'background' on the report template.	All to note/action	On-going.
<b>Internal Audit Peer Review</b>	Scheduled for the last week of February 2014	Paul Nagle	Complete - Outcome on May Committee Agenda.

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<b>Strategic Risk Review (SR5) – Flooding in the City</b>	The engineering solutions be investigated further, by the Planning and Transportation Committee, along with the effect of the overtopping of the dams at Hampstead Heath and the outcome be reported to the Audit and Risk Management Committee	Paul Beckett	Resolution sent to the Planning and Transportation Committee on 6 February 2014. P&T Committee considered a report on flood risk matters on 25 <sup>th</sup> February, which included the ARM Committee's concerns and their resolution. Consultation on the draft Local Flood Risk Management Strategy will follow for several months. The ARM Committee will receive an update in June/July.
<b>Committee Effectiveness Review</b>	To include the feedback from Chairmen who have attended the Committee when their strategic risks were considered	Neil Davies	Effectiveness Review to be presented to the Committee in July.
<b>New Strategic Risk SR17 – Safeguarding</b>	Roll out further, possibly beyond the department, where necessary and update the Committee in due course. Add the names of the control owners.	Chris Pelham	The new Corporate Safeguarding Policy was agreed by the Chief Officers Group. A process for identifying Safeguarding Champions across the key departments is underway with an initial meeting for all the champions planned for May. A safeguarding awareness campaign for staff and members of the community is currently being developed and due to be launched by July.
<b>Risk Management Update</b>	The risk review programme to be developed further, to include departmental top risks and inviting Chief Officers, in rotation, to attend the Committee to discuss their departmental risk registers	Paul Nagle/Suzanne Jones/Sabir Ali	New review programme will be presented to the Committee once new procedure agreed with Chairman. New programme intended to commence in September 2014.

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<b>Annual Governance Statement - Methodology</b>	Following to be added: <ul style="list-style-type: none"> <li>• The Review of the Corporation's Role as BHE Trustee (Agenda Item 22)</li> <li>• Recent achievements in Internal Audit and Risk Management (Agenda Item 9)</li> <li>• Pro-active investigations and prosecutions (Agenda Item 11)</li> </ul>	Neil Davies	AGM to be presented to the Committee in May.
<b>BHE Trustee Review</b>	The Audit and Risk Management Committee receive a further, composite report looking at the BHE trustee responsibilities and their application to the project.	Caroline Al-Beyerty Michael Cogher	Report to July meeting