

Report sponsor: Strategic Director of Corporate Resources  
Report author: Democratic Services Officer

## **Audit & Governance Committee – Outstanding Resolutions**

### **Purpose**

- 1.1 At its meeting on 5 February 2020, the Audit and Accounts Committee resolved:
  - to agree that a Resolution Tracking report be included in future agendas of the Audit and Accounts Committee.
- 1.2 Outstanding resolutions and actions are attached at Appendices 1 and 2 of the report.
- 1.3 Any completed resolutions and actions will be removed after the meeting.

### **Recommendations**

- 2.1 To track and review the outstanding resolutions and actions at Appendices 1 and 2 of the report.

### **Reasons**

- 3.1 To provide the Audit and Accounts Governance with the opportunity to track and review any outstanding resolutions arising from meetings of that Committee.

### **Supporting information**

- 4.1 Appendix 1 lists outstanding resolutions arising from meetings of the Audit and Governance Committee.
- 4.2 Appendix 2 lists the outstanding proposed actions arising from The Self-Assessments in 2017/18 & 2019/20.
- 4.3 For an exhaustive list of resolutions, refer to minutes of the meetings of the Audit and Governance Committee on the Council's Democracy Portal at the following link:

[https://democracy.derby.gov.uk/Committees/tabid/101/ctl/ViewCMIS\\_CommitteeDetails/mid/734/id/1894/Default.aspx](https://democracy.derby.gov.uk/Committees/tabid/101/ctl/ViewCMIS_CommitteeDetails/mid/734/id/1894/Default.aspx)

## Public/stakeholder engagement

5.1 None.

## Other options

6.1 None.

## Financial and value for money issues

7.1 None arising from this report.

## Legal implications

8.1 None arising from this report.

## Climate implications

9.1 None.

## Other significant implications

10.1 None.

This report has been approved by the following people:

Role	Name	Date of sign-off
Legal		
Finance		
Service Director(s)		
Report sponsor	Simon Riley – Strategic Director of Corporate Resources	
Other(s)	Alex Hough - Head of Democracy	

<b>Background papers:</b>	Audit and Governance Committee agenda papers – on the Council's Democracy Portal
<b>List of appendices:</b>	Appendix 1 - Outstanding Resolutions Appendix 2 - Proposed Actions Arising from The Self-Assessments in 2017/18 & 2019/20

## Audit and Governance Committee

### Outstanding Resolutions

Meeting Date	Item	Resolution	Comments	Responsible Officer
27 January 2021	Audit and Accounts Committee – Outstanding Resolutions	<p>To agree that to maintain the Head of Internal Audits independence, he should not be responsible for writing the following strategy, policies and procedures and that other officers should be identified</p> <ul style="list-style-type: none"> <li>• Anti-Fraud and Corruption Strategy</li> <li>• Anti- Money Laundering Policy &amp; Procedure</li> <li>• Anti- Bribery Policy &amp; Procedure</li> </ul>	<p>A small group has been formed to review the current policies/strategies. The revised policies will be brought to the January 2022 Committee meeting.</p>	Simon Riley (Sponsoring Officer)

Meeting Date	Item	Resolution	Comments	Responsible Officer
16 June 2021	Audit and Governance Committee – Draft Work Programme 2021/22	To set up a working group to examine the Committee's Terms of Reference.	The Working Group is reviewing the Terms of Reference. Any revisions will be brought to the January 2022 meeting for consideration by the Committee.	Richard Boneham

Meeting Date	Item	Resolution	Comments	Responsible Officer
29 September 2021	Annual Governance Statement 2020/21	To include a reference to the Climate Emergency and a reference to the Committee's name change in the Annual Governance Statement.	The AGS will be updated for the comments made by the Committee prior to sign-off in November	Simon Riley

## Appendix 2

### Proposed Actions Arising From The Self-Assessments in 2017/18 & 2019/20

Ref	Issue	Comment	Proposed Action	Progress Made
	<b>Actions Arising From The Self-Assessment in 2017/18 that are still outstanding</b>			
11	Are new Committee members provided with an appropriate induction	Although this was not flagged as a weakness in the self-assessment, one response suggested that a manual/handbook was produced that contains all the relevant information that members of the Committee need to perform their role. This addition was agreed by the Committee at its meeting on 20 March 2018 that	Officers produce a handbook for all members of the Audit and Accounts Committee which provides all the information that is required for Committee members to fulfil their role effectively.	<p>The handbook is being drafted. Other priorities have meant that completion has slipped. It is hoped that a draft will be completed by 30<sup>th</sup> April 2021.</p> <p>June 21 update:</p> <p>The handbook is designed to be a "living document" and will go live via Internal Audit's Sharepoint page which should be completed in the next couple of months. This will enable the Head of Internal Audit to keep the handbook and reference material up to date.</p>

Ref	Issue	Comment	Proposed Action	Progress Made
				<p>RB – July 21- The key areas of the handbook have been drafted. When Internal Audit's Sharepoint page goes live, the Chair will review the content to make sure it meets the Committee's needs.</p> <p>RB - Sept 21 – The handbook is now on Sharepoint. The Chair of Committee has agreed to review the content before it goes live.</p> <p>RB – Oct 21 – The Chair of Committee has reviewed the content. The content will be tidied up and the handbook made available to all Committee members by 1<sup>st</sup> December 2021.</p>
19	Are meetings free and open without political influences being displayed?	Some Members felt that the Committee meetings were still being used to make political statements	The Chair reminds each Member that the Committee should be apolitical and shuts down any such activity.	Ongoing action - The need for the Committee to be apolitical is made clear to all members within the Committee's induction process. The Chair is aware of the need to prevent members of the committee making political statements in meetings.
	<b>Actions Arising From 2019/20 Self Assessment</b>			
20/6	Has the committee evaluated whether and how it is adding value to the organisation?	Two members thought that the committee evaluated whether and how it is adding value to the Council.	This is all about the Committee members understanding it's role and remit. This action will be linked to the induction process and	Being developed as part of the Knowledge and skills exercise.

Ref	Issue	Comment	Proposed Action	Progress Made
			to each member's skills and knowledge.	<p>RB - July 21 – To be run in conjunction with the review of the Committee Terms of Reference.</p> <p>RB – Oct 21 – This was due to be discussed at the Terms of Reference Working Group on 27<sup>th</sup> October.</p>