

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

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	

Background papers:	Audit and Governance Committee agenda papers – on the Council's Democracy Portal
List of appendices:	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"> • Anti-Fraud and Corruption Strategy • Anti- Money Laundering Policy & Procedure • Anti- Bribery Policy & Procedure 	Policy and Framework document on the Agenda for this meeting.	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.	Report coming to this meeting.	Richard Boneham

Meeting Date	Item	Resolution	Comments	Responsible Officer
3 November 2021	Minute Extract from Children and Young People Scrutiny Review Board - Special Needs Provision Recommendation to Audit & Governance Committee	To recommend that this is included in Internal Audit's quarter 4 SEND audit. To set up a small working group made up of the Committee Chair, Vice-chair, Head of Internal Audit and Strategic Director of Corporate Resources to address this matter alongside Internal Audit.	Audit has been scoped and is due to commence in January 2022.	Richard Boneham

Appendix 2

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

Ref	Issue	Comment	Proposed Action	Progress Made
	Actions Arising From The Self-Assessment in 2017/18 that are still outstanding			
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	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.	The handbook is now available via Internal Audit's Sharepoint page.

Ref	Issue	Comment	Proposed Action	Progress Made
		the Committee at its meeting on 20 March 2018 that		
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.
	Actions Arising From 2019/20 Self Assessment			
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 to each member's skills and knowledge.	The 2021/22 Self- Assessment will be discussed at the January 2022 meeting. This will be picked up as part of this exercise.