

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 Other(s)	Simon Riley – Strategic Director of Corporate Resources 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/ Action	Comments	Responsible Officer
26 January 2022	Committee Terms of Reference	<p>To agree to the request of the Working Group that the three additional reports detailed in paragraph 4.7 are included in future Committee Work Programmes.</p> <ul style="list-style-type: none"> A report on the level and adequacy of insurance arrangements – also to highlight number of claims etc An annual report outlining all activity involving the Council by external regulators An annual report on assurance around partnership governance 	<p>These additional reports are now included on the 2022/23 Work Programme for the following meetings:</p> <ul style="list-style-type: none"> Insurance - October 2022 External Regulators – March 23 Partnership Governance – March 23 	Richard Boneham

Meeting Date	Item	Resolution/ Action	Comments	Responsible Officer
15 June 2022	Appointment of Independent Persons to the Audit and Governance Committee	Resolved to delegate authority to the Chair to investigate the potential for advertising for independent members to ensure that they are represented on the Committee and to bring a report back to the September meeting of the Committee.	An exercise to benchmark payments to Co-opted members against other local authorities has been completed. The Head of Democracy and the Head of Internal Audit need to meet with the Chair to go through the findings of the	Alex Hough/Richard Boneham

			benchmarking and then bring a report to the November meeting.	
15 June 2022	Internal Audit Annual Report 2021-22 and Head of Internal Audit Opinion	Members of the Committee referred to internal audit awareness training for staff and suggested that training be rolled out to staff wherever possible.	The Head of Internal Audit is re-evaluating the best approach to achieve this training.	Richard Boneham
15 June 2022	Audit and Governance Committee – Draft Work Programme 2022/23	“Forest for the Future” - To ask relevant officers and decision-makers to attend the next meeting of the Committee to allow an opportunity for the decision-making process to be explored.	Forest for the Future is on the agenda for this meeting.	

Meeting Date	Item	Resolution/ Action	Comments	Responsible Officer
27 July 2022	Final Statement of Accounts 2020/21 – verbal update	To write to EY with the dates for future meetings and to express the Committee’s disappointment at their non-attendance and delays.	Action completed	
27 July 2022	Final Statement of Accounts 2020/21 – verbal update	To request that EY provide a written update on the statement of accounts.	EY have informed the Council that they do not plan to commence the 21/22 Audit until January 2023.	
27 July 2022	Final Statement of Accounts 2020/21 – verbal update	To write to the LGA, CIPFA and Highways England encouraging them to resolve issues relating to highways infrastructure assets.	A draft letter has been prepared and is being considered by the Committee Chair.	
27 July 2022	CIPFA Financial Management Code	The Head of Strategy and Performance added that an update could be provided on the commissioning aspects of the better together programme at the March 2023 meeting.	This has been added to the work programme	Sarah Walker

27 July 2022	2021/22 year-end risk assurance report	The Committee agreed to request that the risk owner for the waste treatment plant provided a written update to the Committee.	<p>As the Committee is aware, Derby City and Derbyshire County Councils are currently engaged in litigation with Resource Recovery Solutions (Derbyshire) Limited (in administration) regarding the termination of the Project Agreement for the development and operation of the NWTF, to determine the estimated fair value of the contract. The risk of an adverse outcome to this process is captured on the Council's Strategic Risk Register at SR14. In order to protect the Councils' position in respect of the litigation, Officers cannot give any further update at the current time.</p> <p>The Councils are continuing to consider the long-term future of the NWTF, and a report will be brought to Cabinet in due course.</p>	
27 July 2022	2021/22 year-end risk assurance report	It was noted that the strategic and directorate risk registers were available on MiDerby. The Head of Strategy and Performance agreed to provide Committee members with the links to view these registers.	A link has been shared with Committee members.	
27 July 2022	Annual Report and Review of Performance 2021/22	The Chair asked for the report to be amended to reflect Cabinet Member's titles from the 2021-22 municipal year.	Following discussions with Heather the report has not been amended. There were a number of changes during 2021/22 and some councillors have since left which makes translating this retrospectively extremely challenging.	Sarah Walker

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			
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.