

**AUDIT AND GOVERNANCE COMMITTEE – 23 SEPTEMBER 2013**

**ACTION PLAN**

<b>MINUTE NO.</b>	<b>MATTER</b>	<b>CURRENT STATUS</b>	<b>RAG</b>	<b>TARGET DATE</b>	<b>OWNER</b>
<b><u>Actions arising from meeting held on 24 September 2012:</u></b>					
17	Combined Heat and Power installation at GL1.	Included in action 23 from meeting of 24 June 2013.	Carried Forward	-----	RW
17	Purchase of software with a modern stock control facility at The Guildhall.	The stock control facility is part of a broader system requirement for the Guildhall operations. A new Manager has now been appointed at the Guildhall, who will review existing processes and systems and develop a business case for a new system as required. This will include stock control functionality.	A	31.03.14	SG
20	Risk Management – identify the four outstanding services and current progress. Notify Members by email of the new areas and deadline dates.	Update on Service risk registers is now a standing agenda item for meetings of the Audit & Governance Committee – <b>Action complete</b>	Complete	-----	TR
20	Risk Register to be in place by the end of September/mid-October.	Register produced, as part of actions above - <b>Action complete</b>	Complete	-----	KB
21	Internal Audit Plan 2012/13 – Fixed Asset Register to be in place.	Detailed spreadsheet in place. Currently evaluating a system linked to the financial ledger	A	Priority	KB

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21	Arrange internal meetings to monitor the audit.	Meetings underway and ongoing – <b>Action complete</b>	Complete	-----	Clr Llewellyn / PG
22	Annual report on internal complaints.	Report on agenda for 18.03.13 – <b>Action complete</b>	Complete	18.03.13	PG
24	Statement of Accounts – revised audit plan based on the current risks to be presented to the next meeting.	Revised Internal Audit Plan presented to Audit & Governance meeting on 26.11.12 – <b>Action complete</b>	Complete	26.11.12	TR
25	Completion of the audit plan.	Update on the completion of the Audit provided by KPMG on 26.02.13 – <b>Action complete</b>	Complete	26.02.13	KPMG
25	ISA 260 report to be presented at the next meeting.	ISA 260 report considered at meeting on 26.03.13 – <b>Action complete</b>	Complete	26.03.13	KPMG
25	Sign off audit report on the Council's financial statements.	Accounts and Audit process and report signed off 28.02.13 – <b>Action complete</b>	Complete	28.02.13	KPMG / PG
25	Following the November meeting, provide monthly updates on the audit process to Members.	Accounts and Audit process report signed off 28.02.13 – <b>Action complete</b>	Complete	28.02.13	PG / TR / KB
<b><u>Actions arising from meeting held on 26 November 2012:</u></b>					
29	Risk Management / Risk Register – update to be provided at the next meeting.	Update provided at Audit & Governance meeting 18.03.13 - <b>Action complete</b>	Complete	18.03.13	TR

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29	Fixed Asset Register – consider options for a suitable system.	Fixed Asset Register is a regular standing agenda item for the Audit & Governance Committee	Complete	-----	KB
29	Internal Complaints – annual report to be presented at the Committee at the end of the municipal year.	Presented to Audit & Governance meeting on 18.03.13 – <b>Action complete</b>	Complete	18.03.13	SM
32	A special meeting to be arranged in the New Year to consider the audit of accounts and outstanding items.	Meeting held on Accounts and Audit process and report signed off – 26 & 28.02.13 – <b>Action complete</b>	Complete	26.02.13 & 28.02.13	PG / TR / KB
32	Audit of accounts – provide monthly updates by email to Members.	Accounts and Audit process and report signed off – 26 & 28.02.13 – <b>Action complete</b>	Complete	26.02.13 & 28.02.13	PG
34	RIPA – annual update and external inspection report to be presented to the Committee each year.	Report due to come to Audit & Governance on 25.11.13	G	25.11.13	SM
35	Business Rates Pooling – annual report to be presented to the Committee.	Report due to come to Audit & Governance in June 2014	G	24.06.14	PG
<b><u>Actions arising from special meeting held on 28 February 2013:</u></b>					
4 (1)	A Peer Review to be arranged as soon as possible with involvement from the Chair and Vice Chair of the Audit & Governance Committee to ensure that the terms of reference include areas of concern to the Committee.	Ongoing – <b>Action complete</b>	Complete	11 <sup>th</sup> – 13 <sup>th</sup> December 2013	PG

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<b><u>Actions arising from meeting held on 18 March 2013:</u></b>					
15	Internal Audit – Quarterly Monitoring Report – Members to see some of the action plans produced by Service Managers following internal audits.	Further clarification required from Chair and Vice Chair	A	By 30.09.13	TR
<b><u>Actions arising from meeting held on 24 June 2013:</u></b>					
23	Combined Heat and Power Installation.	Following investigative works it has been identified that the CHP plant at GL1 is not functioning correctly. In order to resolve this matter, officers will be employing the services of a third party expert (quotes are currently being sought) to identify what measures can be taken to improve the installation. We would anticipate that survey work will be completed by the end of November. Allowing for due process, procurement procedures and subject to budgetary provision, we believe that remediation/improvement works will be undertaken first quarter 2014.	A	31.03.14	RW
23	Internal Audit – Quarterly Monitoring Report – a representative from the Markets to be invited to the Committee.	The Group Manager Audit & Assurance to contact Sheila McDaid to attend the meeting in September – <b>Action complete</b>	Complete	23.09.13	TR
29	Internal Audit – Quarterly Monitoring Report – the Payroll Client Manager to be invited to the Committee	The Corporate Director of Resources to contact Sarah Tilling to attend the meeting in September – <b>Action complete</b>	Complete	23.09.13	PG

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33	Annual Governance Statement 2012/13 – deferred to the next meeting in September.	This item has been added to the agenda for the September meeting – <b>Action complete</b>	Complete	23.09.13	PG
33	2012/13 Financial Services Improvement Plan to be presented at the next meeting.	This item has been added to the agenda for the September meeting – <b>Action complete</b>	Complete	23.09.13	PG
36	Treasury Management Strategy 2013/14 – Audit & Governance Committee to receive training to monitor achievements	Provisionally booked for start of the meeting.	G	23.09.13	PG
38	Annual Complaints Monitoring – the Monitoring Officer to provide further details regarding the 28 complaints relating to Customer Services.	Email sent to the Audit & Governance Committee on 28.06.13 - <b>Action complete</b>	Complete	-----	SM

**PLEASE NOTE:** Rolling agenda items requested by the Committee have not been included above but have been included on the Audit and Governance Work Programme.