

Purpose:

To consider progress on the matters arising from previous Governance & Audit Committee meetings.

Recommendation: That members note progress on the matters arising and request corrective action if necessary.

Matters arising Schedule

BRAG status black - Completed matters, not closed							
ID	Action	Action Required	Due Date	Comments	Remedial Action	Remedial Action Due Date	Assigned To
1	development of communications plan - provision for sharing of best	<p>Extract from Mins of Mtg of GA Cttee - Dec 11</p> <p>Officers advised that Best Practice would be shared through the Communications Plan which was currently in development.</p> <p>please bear in mind the cttees suggestions re Sharing Best Practice when developing the associated Comms Plan.</p> <p>Please revise target date as appropriate - no timeline specified by Members</p>	01/06/2012	Best practice is shared whenever possible as evidence recently through the APSE awards, the Clean Britain Awards and various othe case studies. Achievements form part of board reports which are picked up by the communications team for sharing.	I need to check what this is in relation to.		Reeks, Alex
2	14 REVISED MEMBERS CODE OF CONDUCT, OPERATING PROCEDURE AND ASSOCIATED MATTERS ARISING FROM THE 2011 LOCALISM ACT (GA.07 12/13)	The Committee requested that the report in particular the arrangements for dealing with standards allegations be revised in order that they were gender neutral and Officers undertook to do such.	02/07/2012				Coughlan, Katie

3	13 PROGRESS REPORT IN RESPONSE TO ISSUES RAISED BY INTERNAL AUDIT IN RELATION TO WLDC PROJECT MANAGEMENT (GA.05 12/13)	EXTRACT FROM MINS OF MEETING The Committee further suggested that, in light of the views of some senior staff, the Core Management Team provide a response as to the future use of Sharepoint within the organisation, as well as a survey being undertaken with all staff to ascertain their views of the software package.	16/07/2012	Response provided at the last meeting with 3 new actions agreed.			Reeks, Alex
4	12 INTERNAL AUDIT PLAN 2011/2012 – QUARTER 4 PROGRESS REPORT AND INTERNAL AUDIT PLAN 2012/13 – APRIL PROGRESS REPORT (GA.06 12/13)	EXTRACT FROM MINS OF MEETING HELD ON 7/6/12 With regard to the outcome of the internal audit into the Use of Consultants, at the request of the Committee, the Financial Services Manager outlined the nature of those actions which had been agreed to improve assurance in the future. In doing so, he made reference to the report he had prepared for the Core Management Team and, again at the request of the Committee, undertook to submit this to the next meeting . PLEASE ADD ITEM TO FORWARD PLAN AS A MATTER OF URGENCY	30/07/2012	RS confirmed in briefing that this item was now complete.			Stone, Russell

5	12 INTERNAL AUDIT PLAN 2011/2012 – QUARTER 4 PROGRESS REPORT AND INTERNAL AUDIT PLAN 2012/13 – APRIL PROGRESS REPORT (GA.06 12/13)	<p>EXTRACT FROM MINS OF MEETING HELD ON 7/6/12</p> <p>Members expressed deep concern that “non compliance “ seemed to be a common theme amongst a number of the issues raised in recent audits and sought indication as to why this was and what was been done to overcome this. In response Officers advised of the recent staff re-alignment process which had been undertaken, and which had seen the introduction of clear management standards for personnel at a team manager and above level. The Committee requested that this document be submitted to their next meeting in September 2012.</p> <p>PLEASE ADD ITEM TO FORWARD PLAN ASAP</p>	30/07/2012	Russell confirmed in briefing that this item is complete.			Stone, Russell
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6	12 INTERNAL AUDIT PLAN 2011/2012 – QUARTER 4 PROGRESS REPORT AND INTERNAL AUDIT PLAN 2012/13 – APRIL PROGRESS REPORT (GA.06 12/13)	<p>EXTRACT FROM MINS OF MEETING 6/7/12</p> <p>In the ensuing debate, Members noted the less than positive comments from senior staff contained within the action plan and indicated they wished to further understand what the fundamental issues with Sharepoint were.</p> <p>Furthermore indication was sought and received that the timescales stated within the action plan were not now likely to be achieved and thus Members requested that the target dates be revised accordingly.</p> <p>PLEASE REVISE THE ACTION PLAN TIMESCALES AS REQUESTED AND PROVIDE REVISED DOCUMENT TO KATIE FOR CIRCULATION TO THE COMMITTEE</p>	30/07/2012	Carol confirmed in briefing that this item is complete			O'Shaughnessy, James
7	23 PRESENTATION / VERBAL ITEM - FUTURE USE OF SHAREPOINT WITHIN THE ORGANISATION AND ANY FURTHER PROGRESS ACHIEVED IN IMPLEMENTING THE AUDIT RECOMMENDATIONS RELATING TO PROJECT MANAGEMENT.	It was suggested that Members be provided with a demonstration of sharepoint and /or the extranet currently being developed.	30/10/2012	WORKSHOP OPEN TO ALL MEMBERS HELD ON 20 NOVEMBER			Anderson, Steve

BRAG status red - Overdue matters

ID	Action	Action Required	Due Date	Comments	Remedial Action	Remedial Action Due Date	Assigned To

BRAG status amber - deadline for completion flagged as at risk

ID	Action	Action Required	Due Date	Comments	Remedial Action	Remedial Action Due Date	Assigned To

BRAG status green - Outstanding matters, not yet due

ID	Action	Action Required	Due Date	Comments	Remedial Action	Remedial Action Due Date	Assigned To
1	future of public audit - watching brief topic	RESOLVED that the content of report GA.42 11/12, be received and noted and a 'watching brief' be kept on the issue of the Public of Future Audit at this stage.	01/05/2012	ongoing action			Stone, Russell

2	MEMBER TRAINING	<p>which, Officers outlined proposed training topics for the Committee namely:</p> <ul style="list-style-type: none"> - § Role of the Committee (priority) § Scrutiny of Accounts § Risk § Treasury Management § Standards § Role of Internal Audit and External Audit § Assurance Framework § Constitutional Matters § Fraud Awareness <p>Members were agreeable to the proposed topics and further suggested that emergency planning and business continuity be incorporated in the training programme. They further requested that consideration be given to varying the formats used to deliver such training. Officers undertook to arrange the first training session as a matter of urgency and details would be circulated to all Members in due course.</p>	30/07/2012	<p>This item is ongoing. Additional training was discussed at the committee briefing and a session will be organised shortly. Reassigned to Alan R.</p>	<p>Training to be organised by Alan Robinson</p>	25/01/2013	<p>Robinson, Alan</p>
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3	CIRCULATION OF CIPFA DOCUMENT	<p>EXTRACT FROM MINS OF MTG 7/06/12</p> <p>A member made reference to the CIPFA document used to gauge an Audit Committee's effectiveness and the Head of Internal Audit undertook to circulate the Matrix.</p> <p>PLEASE CIRCULATE DOCUMENT TO CTTEE OR PASS TO KATIE FOR HER TO CIRCULATE</p>	30/07/2012		Discussed at briefing, Lucy to provide document to N Calver to circulate.	20/12/2012	Pledge, Lucy
4	Telephone Protocol	Arising from the G&A Cttee on 3 November Cllr Welburn asked for consideration to be given to the Council's Telephone Answering Protocol	31/07/2012	<p>AR to meet with Cllr AW in the first instance to better understand the issues and then this matter will be raised at future meeting of the WMT .</p> <p>please add to forward plan for wmt.</p> <p>new protocol agreed and to be implemented shortly on completion of organising for Delivery. Duty Planner Schedule is also to be sent to Cllrs on a weekly basis following a request made a chairs briefing</p>	In progress	11/01/2013	Robinson, Alan

5	assurance mapping exercise currently being developed - member training / awareness session to be arranged	eXTRACT FROM MINS OF A MTG OF THE GA CTTEE - DEC 2011: "...There was a keen interest to gain greater understanding a.....suggested a short training session, covering the topic, be arranged for immediately prior to a future meeting of the Committee.	31/07/2012	Arrangements will be made in consultation with Lucy Pledge of LCC and Members advised accd	This item will be going to the March Committee Meeting	08/02/2013	Stone, Russell
6	training requirements	At its june mtg the committee resolved: the Governance and Audit Committee to look at the training requirements for substitutes on this Committee and this be added to the Workplan.	31/07/2012	This was a "lost" action. No action taken to date. not referenced in the review of constution. It suggested this matter be looked at by the Members Forum in the first instance Verbal Update to be provided to Members at the Meeting.	At the briefing it was requested that a list of trained substitutes for G and A be made available to members. G and A training to be automatically given to new members.	11/01/2013	Robinson, Alan
7	OFFER OF TRAINING	Officers again extended the previous offer to hold a training session for the Committee on the "Role of External Audit".	31/10/2012	Due to other commitments of External Audit Officers / Schedule of cttee meetings it is likely that this session will be held prior to December's meeting Update – Action delayed pending changes to delivery of external audit. Those members who attended the recent audit forum will have received an update on the pending changes.		11/01/2013	Coughlan, Katie

8	24 INTERNAL AUDIT PLAN 2012/13 – MAY TO AUGUST PROGRESS REPORT (GA.13 12/13)	Members made reference to the publication referred to on page 5 of the report “CIPFA / SOLACE Delivering Good Governance in Local Government – A Framework and Guidance” and indicated they would welcome a report summarising the outcome of the consultation at a future meeting.	07/12/2012	PLEASE ADD ITEM TO F PLAN FOR mARCH MEETING			Abbott, Rachel
9	27 ANNUAL GOVERNANCE STATEMENT AND ACTION PLAN (GA.15 12/13)	Arising from the debate, Members requested an update outside of the meeting, setting out the progress achieved in terms of Member Development and the number of 1-2-1s / appraisals which had now been completed.	12/12/2012				Robinson, Alan
10	23 PRESENTATION / VERBAL ITEM - FUTURE USE OF SHAREPOINT WITHIN THE ORGANISATION AND ANY FURTHER PROGRESS ACHIEVED IN IMPLEMENTING THE AUDIT RECOMMENDATIONS RELATING TO PROJECT MANAGEMENT.	Members requested that they be provided with, outside of the meeting, with details of the current financial cost to date of developing, implementing, refining and using the Sharepoint system within the Authority.	12/12/2012	At briefing it was agreed that Alex would do a full update on project management at the committee meeting as part of the annual governance statement action plan.	At Committee	20/12/2012	Reeks, Alex

11	32 USE AND ENGAGEMENT OF TEMPORARY STAFF AND CONSULTANTS (GA.21 12/13)	a similar report be submitted to the Committee in a year times and thus included within the Committee's Workplan.	12/12/2012	please add report to f plan and work plan			Stone, Russell
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