

Audit and Governance Committee – Tracking Decisions 2022/23

Minute No.	Resolution	Progress
26 July 2021 Minute 11 – Counter Fraud Services Annual Report 2020/21	<p>The Audit and Governance Committee agreed to:</p> <ol style="list-style-type: none"> 1. note the Counter Fraud Services Annual Report 2020/21 2. recommend that Ken Johnson meets with the relevant Cabinet Member to discuss the report, specifically with regards to how fraud awareness should be publicised. 	<p>Progress:</p> <p>Item 1 – Complete – no further action required.</p> <p>Item 2 – Ongoing - the recommendation from committee was forwarded onto Ken Johnson for his action.</p> <p>Update – this was discussed at 11.10.21 meeting under “tracking resolutions” and it was agreed that Brendan Arnold (Service Director for Finance) would liaise with Ken Johnson (Counter Fraud Services Manager) regarding the action to meet with the relevant Cabinet Member to discuss the Fraud report, specifically with regards to how fraud awareness should be publicised; this would be prioritised.</p> <p><i>Update:</i> Ongoing – briefing documents were in preparation and the engagement was expected in the near future.</p> <p>Update from January meeting: Minute 53: “Members were advised that a meeting was to be scheduled with the Leader within the next few weeks to discuss the management of fraud risk within the organisation. Officers were also exploring ways to produce metrics around fraud risk with the aim of providing this to the committee in the future.”</p> <p>Update – July 2022 – The Leadership of the Council changed – officers were in the process of arranging to meet with the new Leader.</p>

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<p>26 July 2021 Minute 12 – Committee Training Programme</p>	<p>The Audit & Governance Committee agreed:</p> <ol style="list-style-type: none"> 1. that as part of the training programme, Ian Fyfield would be approached as well as other external providers to deliver training, and that training would be offered to all Members of the Council when considered appropriate to do so; 2. that the development of the training programme for the Audit and Governance Committee would include a closer look at how the committee operated going forward, specifically with regards to its terms of reference; the Chair, Vice Chair and key officers would discuss potential solutions; 3. to endorse the programme of training being developed. 	<p>Progress:</p> <p>Item 1 – Ongoing – the training programme is still being developed however approach has been made to Ian Fyfield as suggested and currently awaiting a response. . All members were invited to a training session run by Grant Thornton on 6 September 2021. <i>Update</i> - Initial discussions had been had with Ian; this as well as the training programme would be considered and progressed by the new Head of Governance, Performance and Risk.</p> <p>Item 2 – Ongoing - arrangements were being made as to the review of the committee’s terms of reference. <i>Update</i> – a working group had met on 8 November 2021 and an update would be discussed at November committee meeting. The terms of reference were to be discussed at 14 January 2022 committee meeting.</p> <p>Item 3 – Complete – no further action required.</p> <p>Update: this would be considered by the Sub Group of the Audit and Governance Committee and would be monitored as part of their tracking document.</p>
<p>Minute 20 - Tracking Resolutions 11 October 2021</p>	<p>It was agreed that Brendan Arnold (Service Director for Finance) would liaise with Ken Johnson (Counter Fraud Services Manager) regarding the action to meet with the relevant Cabinet Member to discuss the Fraud report, specifically with regards to how fraud awareness should be publicised; this would be prioritised.</p>	<p>Please refer above to counter fraud report progress (minute 11) for update.</p>
<p>29 November 2021 Minute 36 Tracking Resolutions</p>	<p>It was agreed that the Chair and Vice Chair would discuss the issues surrounding the public availability of the Grant Thornton Governance Review report and</p>	<p>Date: November 2021 Progress: This is being progressed.</p>

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	would report back to the Audit & Governance Committee with an update.	
29 November 2021 Minute 42 Risk and Opportunity Management Strategy 2020/2022	<p>The Audit and Governance Committee agreed to note the Risk and Opportunity Management Strategy 2020 – 2022.</p> <p>It was also agreed that Members would be provided with a process note describing the flow of the risk management process and would provide a timeline. A recent example of how something had been on the register and had been changed would also be provided.</p>	<p>Date: November 2021</p> <p>Progress: The risk management framework is currently under review and officers of the Performance and Risk Team have met with other local authorities in the region and consulted with a Devon Audit Partnership risk specialist to identify best practice, provide assurance against our approach and consider how the current framework may be developed. An update is likely to be available at the March Audit and Governance meeting with requested information.</p> <p>The flow of risk management will be emailed to Members.</p>
29 November 2021 Minute 48 Health & Wellbeing Board Change to Terms of Reference	The Audit & Governance Committee agreed to defer the Health and Wellbeing Board – Changes to the Terms of Reference document to the January 2022 committee meeting.	<p>Date: November 2021</p> <p>Progress: Due to the development of the Integrated Care System for Devon the Health and Wellbeing Board will undertake a full review of its terms of reference, to ensure alignment with the ICS and Local Care Partnership. A further report will be brought to A&G in March.</p> <p>Update: This item will be considered by the Sub Group of the Audit and Governance Committee for their consideration and would be monitored as part of their tracking document.</p>
14 January 2022 Minute 56 Audit and Governance Committee Terms of Reference	<p>The Audit and Governance Committee agreed:</p> <ol style="list-style-type: none"> 1. That the Audit and Governance Committee move to a scheduled five meetings per year. <p><i>Reason: To ensure the required meeting time is available for members to adequately perform the core audit role.</i></p>	<p>Date: January 2022</p> <p>Progress:</p> <ol style="list-style-type: none"> 1. Complete - 5 meetings have been scheduled for the 22/23 calendar of meetings. 2. Ongoing – this will be scheduled into the work programmes for all committees mentioned. 3. This will be actioned when appropriate.

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	<p>2. That the Chair makes a report and on the activity of the Audit and Governance Committee to Cabinet on a half yearly basis and to Council on an annual basis.</p> <p><i>Reason: This recommendation seeks to increase the profile and influence of the Audit and Governance Committee by providing regular updates and recommendations to Cabinet and an Annual Report to Council in line with CIPFA best practice.</i></p> <p>3. That when considering areas of strategic risk the Audit and Governance Committee make recommendations to other parts of the Council’s democratic governance structure.</p> <p><i>Reason: This recommendation seeks to increase the profile of, and manage the committee’s workload, through closer working with other parts of the democratic governance structure.</i></p> <p>4. That the committee adopt the CIPFA model terms of reference outlined at appendix I with the inclusion of the overview of the council’s family of companies (2.11) and the ethical framework (7)</p> <p><i>Reason: This recommendation ensures that the committee can focus on its core functions and maintain strategic oversight of the operation of the Council’s family of companies and ethical framework.</i></p> <p>5. That the committee establishes a non-proportional subcommittee with responsibility for councillor,</p>	<p>4. Complete – the committee agreed to this</p> <p>5. Complete – the committee agreed to this – arrangements are being made</p> <p>6. Complete</p> <p>7. Ongoing – a meeting will be convened to discuss this</p>
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	<p>constitution, and civic issues, the ethical framework and electoral oversight functions.</p> <p><i>Reason: This will enable the parent committee to remain focused on core audit issues and allow the Audit and Governance Committee to benefit from the input of councillors who hold a high level of knowledge and expertise in respect of constitutional issues.</i></p> <p>6. That the number of independent members is maintained, but the requirement to have one independent member to remain quorate is removed.</p> <p><i>Reason: The input of independent members will continue to be essential to the work of the committee. This recommendation will allow meetings to take place whilst providing independent members the flexibility to attend remotely.</i></p> <p>7. Request that the Independent Remuneration Panel consider the allowances applicable to Independent Members.</p> <p><i>Reason: Working group members recommend that the IRP review allowances applicable to Independent Members to ensure remuneration is appropriate to continue to attract high calibre candidates for independent roles across the Council's governance structure.</i></p>	
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<p>28 March 2022 Minute 69 – Risk and Opportunity Management Monitoring Report</p>	<p>The Audit and Governance Committee agreed to:</p> <ol style="list-style-type: none"> 1. request that their concerns of the risk register, specifically regarding the number of risks, the lack of trend data and mitigation, who and where the register was considered, how risks were scrutinised and prioritised, were considered as part of the informal review scheduled for May 2022; 2. note the current position with regard to the Strategic Risk and Opportunity Register. 	<p>Date: July 2022 Progress:</p> <p>It has been agreed that risk registers and risk monitoring reports will be discussed at the Scrutiny Management Board. The management board will ensure that risks are considered at relevant Scrutiny Committees where appropriate. This process has commenced with risk on the agenda at the Scrutiny Management Board on the 20th July.</p> <p>We have commenced a review of risk management with risk consultants, taking advantage of services provided by our insurer. This will include an assessment of our risk processes, the culture of risk management within the paid service, the role of the Audit and Governance Committees and its members and risk appetite. This review, which will include interviews with elected members, senior council officers and risk managers will take into account the feedback received by the Audit and Governance at the March meeting.</p>

Key:

Grey shaded box = action complete