

DRAFT ACTION PLAN

AUDIT AND RISK MANAGEMENT COMMITTEE – SELF ASSESSMENT

Appendix 1

File Ref: ARM/01/03/13

Ref	Recommendations	Priority	Officer Responsible	Agreed	Planned Action Date	Client Comments	Date Verified (For Audit use only)
R.1	<p>Training should be provided to Members of the Audit and Risk Management to enable them to operate effectively and ensure continued compliance with Terms of Reference for the Committee. The training should include the following:</p> <ul style="list-style-type: none"> • Risk Management (Incl Risk Registers) • Regulatory Regime • Annual Governance Statement • Statement on Internal Control 	High	Head of Legal & Member Services/ Director of Transformation & Resources	Y	Sept 13	<p>Training events are currently being organised to cover areas identified, see below:</p> <p>Mark Gandy (MG) to deliver IA related training. MG is currently liaising with Members over a suitable date to deliver the training. Surjit Tour will deliver the Regulatory Regime training at this session also.</p> <p>Mike Lane to deliver training on Risk Management in Sept 2013.</p>	
R.2	<p>The Audit and Risk Management Committee Terms of Reference should be reviewed for continued compliance with the CIPFA guidance and current professional best practice and this exercise should be undertaken periodically.</p> <p>The Terms of Reference should set out the frequency of meetings of the Committee.</p>	Medium	Head of Legal & Member Services	Y	Oct 13	<p>a) Surjit Tour will arrange to have the Terms of Reference (TOR) reviewed via the Oversight Committee or by Council at the Autumn 2013 meeting.</p> <p>b) The TOR will be amended to include the frequency of meetings.</p>	

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R.3	Membership of the Audit and Risk Management Committee should be evaluated to ensure that it remains fit for purpose; this should include an assessment of the independence of individual Members.	High	Head of Legal & Member Services	Y	Oct 13	ST will embark on a review of ARMC membership and will include as an agenda item for discussion at the Autumn 2013 Council meeting.	
R.4	A system should be in operation to assess the skills and experience mix of all new Members of the Audit and Risk Management Committee during their induction and any identified gaps addressed through the provision of relevant training.	High	Head of Legal & Member Services/ Members	Y	Sept 13	<p>Newly elected Members now receive an induction which includes an informal one to one with the Member Training Officer to complete a Personal Development Plan (PDP). A PDP is completed each year. During PDP discussions the Member has the opportunity to outline any new areas of work or challenges.</p> <p>To date 49 of the 66 Members have completed a PDP. There are two representatives from each party who have the responsibility for ensuring Members complete their PDP.</p>	

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R.5	<p>Agenda papers for Audit and Risk Management Committee meetings should be circulated in advance of meetings to allow adequate preparation by the Members.</p> <p>Consideration should be given to introducing a second weekly mail drop for Members to ensure that adequate preparation time is provided.</p>	Medium	Head of Legal & Member Services	Y	Sept 13	<p>a) The vast majority of ARMC agendas are sent out on the 2nd Friday preceding the meeting, which is longer than the recommended 5 days. For this municipal year Committee Services (CS) will be monitoring late submission of reports in order to drive performance.</p> <p>b) This has been considered by CS and a second weekly mail drop will not be introduced. The Council is currently driving improvement in Members IT access. CS have been exploring electronic access to better access committee reports in a more timely and effective manner.</p>	
R.6	All Members of the Audit and Risk Management Committee should be reminded to ensure that they attend all meetings and briefings of the Committee and when they are unavailable an appropriate deputy is nominated.	Medium	All Members	Y	June 13	Mark Delap (MD) - Principal Committee Services Officer has included this reminder on the 10 June 2013 ARMC agenda.	

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R.7	Members of the Audit and Risk Management Committee should consider how the Council identifies and evaluates its risks and the role of the Committee in this process. This might include requesting Chief Officers to be prepared to present their departmental risk registers to Audit and Risk Management Committee periodically for consideration.	High	Head of Legal & Member Services/ Director of Transformation & Resources/Members	Y	Sept 13	Mike Lane is scheduled to deliver additional Risk Management training following revision and approval of the Risk Management Framework and Processes.	
R.8	A mechanism should be put in place to ensure that the Audit and Risk Management Committee Members are aware of topical legal and regulatory issues, for example by receiving relevant circulars.	Medium	Head of Legal & Member Services/ Director of Transformation & Resources	Y	Sept 13	Mark Niblock (MN) will arrange to have relevant notices from CIPFA etc.. placed on the Councillor net resource. MN and ST to consider producing a 6 monthly or quarterly briefing note for Members.	
R.9	The Audit and Risk Management Committee should regularly review the performance of the External Auditors. Consideration should be given to the introduction of performance measures to facilitate this.	High	Director of Transformation & Resources	Y	Sept 13	Director of Transformation & Resources will consider introducing performance measures to enable a regular review of External Audit.	
R.10	The Chair of the Audit and Risk Management Committee should be involved in the preparation and planning of agendas for the Committee.	Medium	Head of Legal & Member Services/ Director of Transformation & Resources	Y	Sept 13	MN and MD to liaise with the Chair of the ARMC over preparation and planning of agendas for the Committee.	

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R.11	Members of the Audit and Risk Management Committee should be reminded to familiarise themselves with the documented Terms of Reference for the Committee	Medium	All Members	Y	June 13	MD will attach a copy of the TOR to the 10 June 2013 ARMC agenda and include a reminder to Members to familiarise themselves with the TOR.	