

Audit & Governance Committee Self Assessment 2014/15

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| <p>Terms of Reference Have the Committee's terms of reference been approved by the full Council and do they follow the CIPFA model.</p> | <p>Yes</p> |
| <p>Internal Audit Process Does the Committee approve the strategic audit approach and the annual programme</p> <p>Is the work of Internal Audit reviewed regularly</p> <p>Are summaries of quality questionnaires from managers reviewed</p> <p>Is the annual report from the Head of Internal Audit presented to the Committee</p> <p>Does the Committee ensure that officers are acting on and monitoring action taken to implement recommendations</p> | <p>Yes</p> <p>Yes</p> <p>No – HIAS reviewing process to improve the quantity of managers questionnaires submitted</p> <p>Yes</p> <p>Yes</p> |
| <p>External Audit Process Are reports on the work of External Audit and other inspection agencies presented to the committee</p> <p>Does the Committee input into the external audit programme</p> | <p>Yes</p> <p>Yes</p> |
| <p>Regulatory Framework</p> | |

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| <p>Does the Committee take a role in overseeing</p> <ul style="list-style-type: none"> • Risk management strategies • Annual Governance Statement • Anti-fraud arrangements • Confidential reporting policy • Financial regulations • Constitution • Complaints handling/ombudsman's report | <p>Yes</p> <p>Yes</p> <p>Yes</p> <p>Yes</p> <p>Yes</p> <p>Yes</p> <p>Yes</p> |
| <p>Accounts</p> <p>Does the Committee take a role in overseeing the annual statement of accounts</p> | <p>Yes</p> |
| <p>Membership</p> <p>Has the membership of the committee been formally agreed and a forum set</p> <p>Is the chair free from executive or scrutiny functions</p> <p>Are members sufficiently independent of the other key committees of the council</p> <p>Have all members' skills and experiences been assessed and training given for identifying gaps</p> <p>Can the committee access other committees as necessary</p> | <p>Yes</p> <p>Yes</p> <p>Yes</p> <p>Yes</p> <p>Yes</p> |

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| Meetings | |
| Does the committee meet regularly | Yes |
| Are separate, private meetings held with the external auditor and internal auditor | Yes |
| Are meetings free and open without political influence being displayed | Yes |
| Are decisions reached promptly | Yes |
| Are agenda papers circulated in advance of meetings to allow adequate preparation by members | Yes |
| Does the committee have the benefit of attendance of appropriate officers at its meetings | Yes |
| Can special meetings be organised to allow a quick response to emergencies | Yes |
| Does External Audit regularly attend meetings and update members on their progress/external audit issues | Yes |
| Training | |
| Is induction training provided to members | Yes |
| Is more advanced training available as required | Yes |
| Is the committee made of members with a different mix of skills and experience | Yes |

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| Administration | |
| Does the authority's s151 officer or deputy attend meetings | Yes |
| Are key officers available to support the committee | Yes |
| Do reports to the Committee communicate relevant information at the right frequency and in a format that is effective | Yes |