Audit & Governance Committee Self Assessment 2016/17

	Area	Yes	No	Part
1	**Terms of Reference**			
1.1	Have the Committee's terms of reference been approved by the full Council and do they follow the CIPFA model?	✓		
1.2	Does the Committee report to the directly to the Full Council on an annual basis?	✓		
2	**Internal Audit Process**			
2.1	Does the Committee approve the strategic audit approach and the annual programme?	✓		
2.2	Is the performance of Internal Audit reviewed regularly?	✓		
2.3	Are summaries of quality questionnaires on the work of Internal Audit from managers reviewed?	✓		
2.4	Does the Committee receive the Internal Annual Report which includes an opinion and information on conformance with the Public Sector Internal Audit Standards?	✓		
2.5	Does the Committee ensure that officers are acting on and monitoring action taken to implement recommendations?	✓		
3	**External Audit Process**			
3.1	Are reports on the work of External Audit and other inspection agencies presented to the committee?	✓		
3.2	Does the Committee input into the external audit programme?	✓		
3.3	Does the Committee monitor management actions in response to the issues raised by the External Auditor?	✓		

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4	**Regulatory Framework**			
4.1	Does the Committee take a role in overseeing			
	• Risk management strategies and the actions taken to manage the risks	✓		
	• Annual Governance Statement	✓		
	• Counter-fraud arrangements – including the Counter Fraud Policy and Whistleblowing Policy	✓		
	• Financial Guidance – including Financial Regulations & Contract Standing Orders	✓		
	• Constitution	✓		
	• Complaints handling/ombudsman's report	✓		
	• RIPA Policy and updates?	✓		
5	**Accounts**			
5.1	Does the Committee take a role in overseeing the annual statement of accounts?	✓		
6	**Standards of Conduct**			
6.1	Does the Committee exercise all the functions of the Council relating to Codes of Conduct as provided by the Localism Act 2011 except for those that may only be exercised by Full Council?	✓		
7	**Membership**			
7.1	Has the membership of the committee been formally agreed and a forum set?	✓		
7.2	Is the chair free from executive or scrutiny (chair) functions?	✓		
7.3	Are members sufficiently independent of the other key committees of the council?	✓		

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7.4	Have all members' skills and experiences been assessed and training given for identifying gaps? **Individual assessments felt to be useful and to include all members. AS to email out to all members**			✓
7.5	Can the committee access other committees as necessary?	✓		
8	**Meetings**			
8.1	Does the committee meet regularly?	✓		
8.2	Are separate, private meetings held with the external auditor and internal auditor? **Can be completed when appropriate**	✓		
8.3	Are meetings free and open without political influence being displayed?	✓		
8.4	Are decisions reached promptly?	✓		
8.5	Are agenda papers circulated in advance of meetings to allow adequate preparation by members?	✓		
8.6	Does the committee have the benefit of attendance of appropriate officers at its meetings?	✓		
8.7	Can special meetings be organised to allow a quick response to emergencies?	✓		
8.8	Does External Audit regularly attend meetings and update members on their progress/external audit issues?	✓		
9	**Training**			
9.1	Is induction training provided to members? **Induction training provided to new members**	✓		
9.2	Is more advanced training available as required?	✓		

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10	**Administration**			
10.1	Does the authority's s151 officer or deputy attend meetings?	✓		
10.2	Are key officers available to support the committee?	✓		
10.3	Do reports to the Committee communicate relevant information at the right frequency and in a format that is effective?	✓		