

## Audit & Governance Committee Self Assessment 2012

<p><b>Terms of Reference</b> Have the Committee's terms of reference been approved by the full Council and do they follow the CIPFA model.</p>	<p>Yes approved by the full Council in May 2006</p>
<p><b>Internal Audit Process</b> 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 completed annually</p> <p>Yes – quarterly report presented to the Committee</p> <p>Yes – completed annually</p> <p>Yes completed annually</p> <p>Yes</p>
<p><b>External Audit Process</b> 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 – update meeting with External Audit and the Chair of the Committee</p>

<p><b>Regulatory Framework</b></p> <p>Does the Committee take a role in overseeing</p> <ul style="list-style-type: none"> <li>• Risk management strategies</li> <li>• Annual Governance Statement</li> <li>• Anti-fraud arrangements</li> <li>• Confidential reporting policy</li> <li>• Financial regulations</li> <li>• Constitution</li> <li>• Complaints handling/ombudsman's report</li> </ul>	<p>Yes</p> <p>Yes</p> <p>Yes</p> <p>Yes</p> <p>Yes</p> <p>Yes – through the full Council. Requested that Audit &amp; Governance have chance to review prior to being presented to full Council</p> <p>Yes</p>
<p><b>Accounts</b></p> <p>Does the Committee take a role in overseeing the annual statement of accounts</p>	<p>Yes – the draft accounts presented to the Committee in June and final accounts in September.</p>
<p><b>Membership</b></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>Yes as part of the Constitution</p> <p>Chair a member of the Community and Well Being Scrutiny Committee but not considered a conflict of interest</p> <p>Yes</p>

Have all members' skills and experiences been assessed and training given for identifying gaps	The Audit Commission offered to provide training for the Committee members (date to be arranged).
Can the committee access other committees as necessary	Yes
<b>Meetings</b>	
Does the committee meet regularly	Yes
Are separate, private meetings held with the external auditor and internal auditor	Yes – with the Chair of the Committee. Can be held with the Committee if required
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 as required
Does External Audit regularly attend meetings and update members on their progress/external audit issues	External Audit attend all meetings
<b>Training</b>	
Is induction training provided to members	Not completed this year
Is more advanced training available as required	Yes
Is the committee made of members with a different mix of skills and experience	Yes

<b>Administration</b>	
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