

**Audit & Corporate Governance Committee**  
**Open and Ongoing Resolutions & Recommendations made as at 12 November 2010**

| Item                          | Minute No | Meeting Date | SUBJECT   | RESOLUTION/RECOMMENDATION  | RESPONSIBLE OFFICER | CURRENT POSITION  | PLANNED COMPLETION DATE | STATUS               |
|-------------------------------|-----------|--------------|---|--|---------------------|---|-------------------------|----------------------|
| <b>OPEN AND ONGOING ITEMS</b> |           |              |   |  |                     |   |                         |                      |
| 40                            | 49 (iii)  | 30/11/07     | Update of Action in the Special Report – Governance Improvement Plan. | The Strategic Monitoring Committee be requested to review the control of asset management process and procedure and actions which are taken against officers who do not adhere to these rules. | Zack Pandor         | Following Consultation with the Chairman and Deputy Chairman the review will form part of the Inventory Audit planned by Audit Service. The Audit visit was carried out on 6 <sup>th</sup> January the Committee will be given a verbal update. | 30/04/2010              | Open                 |
| 42                            | 51 (ii)   | 30/11/07     | Update of Action in the Special Report – Governance Improvement Plan. | An action plan be formulated regarding monies payable by Parish Councils when elections take place.  | John Jones          | Linked to 119 below   | 30/06/10                | Closed ( Linked 119) |
| 89                            | 5         | 19/06/09     | Review of Procurement   | The introduction of procurement and contract performance reporting systems , recommendation R2 paragraph 14 of the Audit Commission's report   | David Powell        | The production and publication of a Monthly Directors report entitled Commercial Scorecard. It covers performance using a balanced  | September 2010          | Closed               |

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|      |              |                 |         |                           |                        | <p>scorecard template. This has been in place since Sept 10. The report content will be linked to the Performance Plus system as it rolls out this year.</p> <p>The setting up of the Commercial Board which peer reviews all commercial commitments above £500k. This has been in place since Nov10 and will improve new spend performance. It has been agreed that it should also cover post procurement activities i.e. Contract Management. Details are being drawn up.</p> <p>The updated publication of the Capital Approvals process to ensure high commitment capital</p> |                            |        |

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|      |           |              |                       |   |                     | <p>spend is tested for against the Commercial strategy before approvals. This will start in Jan 11 and will improve new spend performance.</p> <p>The implementation and roll out of a Contract Management software module alongside the Procurement software module from April 11. This will provide the means to collect and monitor performance information online. It will be assessed alongside the corporate Performance Plus system for fit.</p> |                             |        |
| 90   | 5         | 19/06/09     | Review of Procurement | The Audit and Corporate Governance Committee work plan be amended to make specific provision for procurement investigation and reports. | David Powell        | The Committees revised terms of reference which came in to effect on 1 <sup>st</sup> January 2010 states  | 12 <sup>th</sup> March 2010 | Open   |

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|      |           |              |                       |  |                     | that <i>'The Committee shall receive assurance from the Chief Internal Auditor that officers are complying with the Council's procurement policy and processes in all respects'</i> . There is a programme of audit work, which covers compliance. However the Director of Resources and Chief Internal Auditor will consult with the Chairman and Deputy Chairman of the Audit and Governance Committee to agree the Committees requirement |                         |        |
| 91   | 5         | 19/06/09     | Review of Procurement | The Audit and Corporate Governance Committee work plan to include the oversight and completion of training needs and analysis of in-house procurement expertise throughout the Council Directorates. | Dean Taylor         | The interim commercial manager is establishing the extent of posts with procurement activity across the partnership. This will be with a view to creating a corporate approach to procurement and the next audit committee   | January 2011            | Open   |

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|      |           |              |  |  |                     | will provide an update on the work completed to date   |                         |                                 |
| 113  | 47        | 12/03/10     | Audit Strategy and Audit Charter 2010            | The committee approves, subject to any comments from the joint management team and to the director of resources informing members by email of those comments, the 2010/11 audit strategy and audit charter | Tony Ford           | Joint Management Team has commented and a revised Audit Strategy and Charter reports is a separate agenda item.  | January 2011            | Open                            |
| 115  | 5         | 29/06/10     | Risk Management Review                           | The Committee receives a report in September 2010 outlining risk areas and mitigation to include dates for completion  | Dean Taylor         | A report was presented to the Committee at its meeting on 12 <sup>th</sup> November 2010, The Committee noted the report and requested that a further report be presented to the January committee meeting | November 2010           | Closed ( linked to 116,117,118) |
| 116  | 30        | 12/11/10     | Corporate Risk Register                          | That the report be noted , noting also some inconsistencies in the report and that a further report be presented to the next meeting   | Dean Taylor         | The report forms a separate agenda item.   | January 2011            | Closed                          |
| 117  | 31        | 12/11/10     | Risk Recommendations Implementation- Action Plan | That a further report be made to the next meeting providing assurance that dynamic risk management is embedded throughout the Council  | Dean Taylor         | The report forms a separate agenda item.   | January 2011            | Closed                          |
| 118  | 31        | 12/11/10     | Risk Recommendations Implementation-             | A joint meeting be set up of the Council's Audit and Governance  | Dean Taylor         | To be arranged.  |                         | Open                            |

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|      |           |              | Action Plan              | Committee and the PCT Audit and Assurance Committee  |                     |  |                               |        |
| 119  | 33        | 12/11/10     | Interim Assurance Report | A report be made to the next meeting regarding the cost of elections to Town and Parish Councils | David Powell        | The Electoral Services Manager produced costs for the May Parish elections, which have been sent to HALC with a covering letter. HALC has agreed to circulate both | 17 <sup>th</sup> January 2011 | Closed |