

Actions arising from previous meetings of the Audit and Governance Committee

25 July 2024



Outstanding Actions			
Meeting date	Minute	Action Owner	Update
25 July 2024 Internal Audit Opinion Minute No 11	It was suggested that a robust timeframe should be in the report in future. <b>Action Point: The Officer would add a robust timeframe to any future reports provided to the Committee.</b>	Jaina Mistry	<p><b>Significant Risks / Issues</b></p> <p><b>Taxi Licensing – Safeguarding</b></p> <p>10 applications were tested. (5 x new / 5 x renewals)</p> <ul style="list-style-type: none"> <li>○ <b>3 of the 5 new applications were recorded as 'Invalid'. 1 application received 06/03/23 but recorded as awaiting documents.</b></li> <li>○ <b>5 applications (licenses granted) had documents missing in IDOX.</b> <ul style="list-style-type: none"> <li>○ 4 x NR3 check</li> <li>○ 1 x safeguarding training (HC renewal)</li> <li>○ 1 x medical report (HC renewal)</li> <li>○ 1 x DBS check – a 6 monthly reminder letter was sent on 07/08/23 (HC renewal)</li> <li>○ 1 x proof of ID (HC renewal)</li> </ul> </li> </ul> <p>Officers have been reminded to upload all evidence, and a new monitoring process has been introduced as an extra check. We have commenced the follow-up audit and will conduct some more substantive testing to ensure actions have been implemented.</p> <p><b>Property and Estates</b></p>

			<p>An Asset Management Strategy (AMSO) has now been drafted and is on the Executive's Agenda to review (and approve) at their meeting of 9<sup>th</sup> October 2024. Work to update all data, within Uniform (Database) is in progress.</p> <p>We will be conducting a further audit, either later this year, or next year.</p> <p><b>Climate Change – Operational</b></p> <p>This audit was undertaken at the beginning of the year (April 2023), whereby we surveyed operational services to understand what they were doing to support the Council's commitment to carbon reduction / climate change. Results weren't positive and it was identified that more proactive work / education from the climate team was required. It was agreed that we would re-do this audit during 2024/25.</p> <p>Climate is included in the Phase One Transition of Public Services back into the Council, we are planning to undertake a climate audit again, but at a time convenient to the service, offering support and advice so that the Council can continue to meet its obligations.</p> <p><b>Follow-Up Audits</b></p> <p>Follow-Up audits are completed for audits that have an advisory report, Limited or No Assurance. As our audit plan is flexible, I don't fix dates for the follow-up audits. Follow-ups can be undertaken at any time, it may be when we're sure the agreed actions have been completed, or when an auditor has time in their schedule. A follow-up audit will cover the agreed actions from the previous audit, and include further transactional substantive testing, so we can gain assurance that actions have been fully implemented.</p>
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25 July 2024 Treasury Management Outturn Minute No 12	<p><b>Action Point: A glossary of terms was requested to be added to enable ease of understanding in future.</b>  The next steps would be to investigate funds with a better green credential and a table or chart of the current most ethical funds over a certain time period.  <b>Action Point: Georgina would bring information on ethical funds to the next meeting.</b></p>	Georgina Dyer	Georgina has agreed to action this.

25 July 2024 Risk Register Minute No 13	It was raised why the issue of the five-year land supply was not on the risk register. <b>Action Point: The matter would be taken up with colleagues and added to the risk register as appropriate.</b>	Cheryl Sloan	The Risk Register has been updated and will be presented at the November AG meeting.
25 July 2024 Annual Governance Statement Minute no 14	<p>WODC HR policies were approved last year which mirror current Publica HR policies to ensure consistency between the organisations. The Policies are to be reviewed annually but can be updated as required as and when, if changes are identified. Copies were kept on the intranet that went through Oct 2023 Executive and would be on the intranet as well. <b>Action Point: Officers would provide the link to the recently adopted WODC HR policies.</b></p> <p>The record of the meetings were the approved minutes; and regarding regulatory matters it was very important to capture what the decision actually was. However, Officers would find out how long recordings were kept. <b>Action Point: Officers would find out how long the Council kept meeting recordings for.</b></p>	Andrea McCaskie/ Dem Services	<p>The HR policies could be found via the following links from Executive in October 2023 and where they were adopted by Council in November 2023.</p> <p><a href="#">(Public Pack)Agenda Document for Executive, 11/10/2023 18:00 (westoxon.gov.uk)</a></p> <p><a href="#">(Public Pack)Agenda Document for Council, 29/11/2023 13:00 (westoxon.gov.uk)</a></p> <p>Meeting recordings were kept for 6 months.</p>
Work Programme Minute No 15	It was requested that an update be provided to the next meeting on the current recruitment of Independent Persons onto the A&G Committee.	Andrea McCaskie	Complete