

Decision Maker: **AUDIT AND RISK MANAGEMENT COMMITTEE**

Date: **2nd November 2022**

Decision Type: Non-Urgent Non-Executive Non-Key

Title: **MATTERS ARISING**

Contact Officer: Stephen Wood, Democratic Services Officer
Tel: 020 8313 4316 E-mail: Stephen.Wood@bromley.gov.uk

Chief Officer: **Tasnim Shawkat—Director of Corporate Services and Governance**

Ward: N/A

1. Reason for report

To update the Audit Sub-Committee on progress with Matters Arising (Part 1) from previous meetings and noting any matters that are still outstanding.

2. **RECOMMENDATION(S)**

To note and comment on progress with matters arising from previous meetings.

To recommend any action as deemed appropriate with respect to matters that have not been resolved.

Corporate Policy

1. Policy Status: Existing Policy:
 2. BBB Priority: Excellent Council
-

Financial

1. Cost of proposal: Not Applicable:
 2. Ongoing costs: Not Applicable:
 3. Budget head/performance centre: Democratic Services
 4. Total current budget for this head: £366,000
 5. Source of funding: 2022/2023 revenue budget
-

Staff

1. Number of staff: 6 FTE
 2. If from existing staff resources, number of staff hours: Completion of "Matters Arising" reports for the Audit Sub Committee normally takes a few hours per meeting.
-

Legal

1. Legal Requirement: None:
 2. Call-in: Not Applicable: This report does not require an Executive Decision
-

Customer Impact

1. Estimated number of users/beneficiaries (current and projected): This report is intended primarily for the benefit of members of the Audit Sub-Committee so that Committee Members can monitor progress made on matters that are outstanding from previous meetings.
-

Ward Councillor Views

1. Have Ward Councillors been asked for comments? Not Applicable
2. Summary of Ward Councillors comments: N/A
3. **COMMENTARY**

Attached is a schedule of matters outstanding from previous meetings of the Audit Sub Committee with a note of progress made. Most of these issues are taken up in more detail in the progress reports on the agenda (parts 1 and 2). Once an outstanding matter has been completed it will be removed from the schedule.

Non-Applicable Sections:	Policy/Financial/Legal/Personnel
Background Documents: (Access via Contact officer)	Previous Minutes of Audit Sub Committee.

Appendix 1

Issue & Date	Summary	Update and/or Action being taken.	By	Status
Minute 112 30/06/22 Matters Arising	An update concerning the recommendation to HR that if managers failed to deal with recommendations from Internal Audit then this should be reflected in the manager's appraisal be brought to a future meeting of the Audit and Risk Management Committee.	The Director of Human Resources, Customer Services and Public Affairs has confirmed, with the agreement of the Chief Executive, that he will formally ask Directors to note and action Committee's recommendation for the next appraisal cycle.	Director of HR	Closed
Minute 113 Annual Internal Audit Report	The Head of Audit and Assurance explained that the independent external quality assessment had to be undertaken by someone who was suitably qualified and had relevant experience. It would mean that Bromley's Internal Audit Team would be assessed against all the relevant professional standards. This was due to take place in July and the outcome would be reported to the next meeting of the Committee.	Unfortunately, the assessor did not undertake the review in July as planned and we currently have no agreement on revised timescales with them. We hope to provide a verbal update at the meeting.	HAA	Ongoing
Minute 113 Annual Internal Audit Report	A Member raised the matter of the timing of the CIL audit and noted that two out of ten claim forms were missing. He asked if that had been followed up. The Head of Audit and Assurance explained that the CIL audit had been undertaken by Mazars. She said that she would follow up on this and provide an answer via email	The service has located the missing claims forms and provided these to Internal Audit.	HAA	Closed
Minute 114 AGS	The Head of Audit and Assurance stated that the whistle blowing policy was due for revision and details of any revision would be reported back to the next meeting.	The Counter Fraud and Corruption Policies are a separate item on this agenda.	HAA	Closed
Minute 114 AGS	The Chairman noted that some amendments had been made to the procurement process and he asked if further clarification regarding this could be provided in due course	This information was provided to Members by email on 26 July 2022.	HAA	Closed

Minute 116 Risk Management	For the next couple of committee meetings, a 'Heat Map' document would be produced that would summarise the main 'red' risks. The Corporate Risk Register would continue to be looked at in its entirety	Heat Maps are provided as part of the Risk Management item on the agenda.	HAA	Closed.
Minute 117 CPR, Waivers and Extensions	The Head of Audit and Assurance would report back concerning those contract extensions/overspends that had been highlighted by Members. A Member asked for more information on the York Rise contract which had over-run by £2.8m.	This information was provided to Members by email on 26 July 2022.	HAA	Closed