

## Appendix A

### Measuring the Effectiveness of the Audit and Governance Committee - Self-assessment Checklist

Issue	Yes	No	In Part	N/A	Comment
<b>Terms of Reference</b>					
Have the committee's terms of reference been approved by full council?	Y				
Do the terms of reference follow the CIPFA model?	Y				
<b>Audit and Regulatory Activity</b>					
Does the committee approve the strategic audit approach and the annual programme?	Y				
Is the work of internal audit reviewed regularly?	Y				The information provided has been reviewed by the committee throughout 2009/10 and amendments requested to provide a more complete picture
Are summaries of quality questionnaires from managers reviewed?			Y		Customer questionnaires are sent to audit owners and comments received are followed up with the internal audit contractor; these have been supplemented by meetings with senior finance managers at which quality issues have been discussed. At present, the committee does not receive reports on this. As part of the new internal audit contract, however, the results of the questionnaires are recorded as part of the KPIs. In future, this will be reported to the committee as part of the annual report.
Is the annual report, from the head of audit, presented to the committee?	Y				

	Yes	No	In Part	N/A	Comment
<b>Issue</b>					
Are reports on the work of external audit and other inspection agencies presented to the committee?			Y		Regular progress reports from the Audit Commission are made to the committee; where reports of other inspection agencies are presented to other committees, they would not necessarily be reported to this committee
Does the committee input into the external audit programme?	Y				
Does the committee ensure that officers are acting on and monitoring action taken to implement recommendations?	Y				The committee has stressed its willingness to question officers who have not taken action in line with agreed timescales and officers have been made aware of this
Does the committee take a role in overseeing: - risk management strategies - internal control statements - anti-fraud arrangements - whistle-blowing strategies?	Y				
<b>Membership</b>					
Has the membership of the committee been formally agreed and a quorum set?	Y				
Is the chair free of executive or scrutiny functions?	Y				
Are members sufficiently independent of the other key committees of the council?	Y				
Have all members' skills and experiences been assessed and training given for identified gaps?			Y		The needs of new members, in particular, need to be assessed
Can the committee access other committees as necessary?	Y				
<b>Meetings</b>					
Does the committee meet regularly?	Y				
Are separate, private meetings held with the external auditor and the internal auditor?				N/A	Not required to date

	Yes	No	In Part	N/A	Comment
<b>Issue</b>					
Are meetings free and open without political influences being displayed?	Y				
Are decisions reached promptly?	Y				
Are agenda papers circulated in advance of meetings to allow adequate preparation by members?	Y				
Does the committee have the benefit of attendance of appropriate officers at its meetings?	Y				
<b>Training</b>					
Is induction training provided to members?	Y				
Is more advanced training available as required?	Y				Training has been provided in key areas during the year and training needs are kept under review
<b>Administration</b>					
Does the authority's s151 officer or deputy attend all meetings?	Y				
Are the key officers available to support the committee?	Y				