

Appendix A

Measuring the Effectiveness of the Audit and Governance Committee - Self-assessment Checklist					
Issue	Yes	No	In Part	N/A	Comment
Terms of Reference					
Have the committee's terms of reference been approved by full council?	Y				
Do the terms of reference follow the CIPFA model?	Y				
Audit and Regulatory Activity					
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 2008/09 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
Is the annual report, from the head of audit, presented to the committee?	Y				

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	Yes	No	In Part	N/A	Comment
Issue					
Are reports on the work of external audit and other inspection agencies presented to the committee?			Y		Where reports are presented to other committees, they are not necessarily reported to this committee - e.g. the Joint Area Review (JAR) and Annual Performance Assessment (APA) inspection reports were reported to executive
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				
Membership					
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		Training has been provided to all in key areas during the year and training needs are kept under review
Can the committee access other committees as necessary?	Y				
Meetings					
Does the committee meet regularly?	Y				

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Issue					
Are separate, private meetings held with the external auditor and the internal auditor?				N/A	Not required to date
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				
Training					
Is induction training provided to members?	Y				
Is more advanced training available as required?	Y				
Administration					
Does the authority's s151 officer or deputy attend all meetings?	Y				
Are the key officers available to support the committee?	Y				