

**To the Chair and Members of the
AUDIT COMMITTEE**

AUDIT COMMITTEE ACTIONS LOG

EXECUTIVE SUMMARY

1. The Committee is asked to consider the Audit Committee Actions Log which updates Members on actions agreed during Audit Committee meetings. It allows Members to monitor progress against these actions, ensuring satisfactory progress is being made.

EXEMPT REPORT

2. The report does not contain exempt information.

RECOMMENDATIONS

3. The Committee is asked to;
 - Note the progress being made against the actions agreed at the previous committee meetings and
 - Advise if any further information / updates are required.

WHAT DOES THIS MEAN FOR THE CITIZENS OF DONCASTER?

4. Regular review of the actions agreed from the Audit Committee meetings enables the Committee to ensure it delivers against its terms of reference and is responding to important issues for citizens and the borough. The action plan update helps support openness, transparency and accountability as it summarises agreed actions from reports and issues considered by the Audit Committee.

BACKGROUND

5. The Audit Committee Issues Log, which is updated for each Audit Committee meeting, records all actions agreed during previous meetings. Items that have been fully completed since the previous Audit Committee meeting are recorded once as complete on the report and then removed for the following meeting log. Outstanding actions remain on the log until completed.
6. Of the actions identified in the report, all except one are classified as “green”, either having been fully addressed or because arrangements are in hand to complete the

actions as agreed. The one outstanding 'Red' rated item is in relation to the Solar Centre Contract Breach – A separate report is being provided to committee to outline actions taken to date and those proposed for the future to address the this issue.

OPTIONS CONSIDERED AND RECOMMENDED OPTION

7. There are no specific options to consider within this report as it provides an opportunity for the Committee to review and consider progress made against ongoing actions raised during previous Audit Committee meetings.

IMPACT ON THE COUNCIL'S KEY OUTCOMES

8.

	Outcomes	Implications
	<p>All people in Doncaster benefit from a thriving and resilient economy.</p> <ul style="list-style-type: none"> • <i>Mayoral Priority: Creating Jobs and Housing</i> • <i>Mayoral Priority: Be a strong voice for our veterans</i> • <i>Mayoral Priority: Protecting Doncaster's vital services</i> 	
	<p>People live safe, healthy, active and independent lives.</p> <ul style="list-style-type: none"> • <i>Mayoral Priority: Safeguarding our Communities</i> • <i>Mayoral Priority: Bringing down the cost of living</i> 	
	<p>People in Doncaster benefit from a high quality built and natural environment.</p> <ul style="list-style-type: none"> • <i>Mayoral Priority: Creating Jobs and Housing</i> • <i>Mayoral Priority: Safeguarding our Communities</i> • <i>Mayoral Priority: Bringing down the cost of living</i> 	
	<p>All families thrive.</p> <ul style="list-style-type: none"> • <i>Mayoral Priority: Protecting Doncaster's vital services</i> 	

	Council services are modern and value for money.	Effective oversight through the Audit Committee adds value to the Council operations in managing its risks and achieving its key priorities of improving services provided to the citizens of the borough
	Working with our partners we will provide strong leadership and governance.	The work undertaken by the Audit Committee improves and strengthens governance arrangements within the Council and its partners.

RISKS AND ASSUMPTIONS

9. The Audit Committee contributes to the effective management of risks in relation to audit activity, accounts / financial management risk management and other governance / regulatory matters.

LEGAL IMPLICATIONS

10. There are no specific legal implications associated with this report

FINANCIAL IMPLICATIONS

11. There are no specific financial implications associated with this report.

HUMAN RESOURCES IMPLICATIONS

12. There are no specific human resources issues associated with this report.

TECHNOLOGY IMPLICATIONS

13. There are no specific technological implications resources issues associated with this report.

EQUALITY IMPLICATIONS

14. We are aware of the Council's obligations under the Public Sector Equalities Duties and there are no identified equal opportunity issues within this report.

CONSULTATION

15. The Audit Committee Action Log has been produced following consultation with members of the Audit Committee to address the risk of agreed actions not being implemented.

BACKGROUND PAPERS

16. None

REPORT AUTHOR & CONTRIBUTORS

Colin Earl, Head of Internal Audit, Tel 01302 862939,
Email: colin.earl@doncaster.gov.uk

Steve Mawson
Chief Financial Officer &
Assistant Director of Finance

AUDIT COMMITTEE ACTION LOG – April 2017

Follow-up actions from previous meetings:-

Ref:	Minute/ Action	Progress update	Responsible Officer	Completed (Y/N)
Meeting January 2017				
Audit Committee Action Log				
39	Update on Safeguarding Adults Personal Assets to be brought to next meeting	Completed – report added to April 2017 agenda	Colin Earl	Yes – Update Report provided to April Audit Committee meeting
Internal Audit Progress Report				
42a	Provide an update on the number of confirmation orders at a future meeting	The table below shows a positive trend in the reduced use of confirmation orders	Colin Earl	Yes – Update provided to April Audit Committee meeting

Confirmation Orders:

Financial Quarter:	Total Orders	Number of Confirmation Orders	Confirmation Orders as % of all orders
15/16 - Q1	4684	1134	24%
15/16 - Q2	3784	1064	28%
15/16 - Q3	3329	830	25%
15/16 – Q4	3286	637	19%
16/17 - Q1	4057	557	14%
16/17 - Q2	2837	361	13%
16/17 - Q3	2528	334	13%
16/17 - Q4	1614	178	11%

The overall reduction in the number of orders has been achieved by the move towards annual 'call-off' orders, which reduce time in setting up separate but regular orders to suppliers

42b	Internal Audit to provide numbers of outstanding lower level recommendations in future progress reports	Report to be provided to July 2017 Audit Committee	Colin Earl	Scheduled - Not yet due
Income Management Progress Report				
46	Follow-up report on income management to be received in Autumn 2017	Report to be provided for November 2017 Audit Committee	Steve Mawson	Scheduled - Not yet due

Meeting November 2016				
Adults, Health And Wellbeing Audit Recommendations Progress Report In Relation To Direct Payments				
27	Internal Audit to consider this area for a further review in 2017/18 as part of its audit planning process	Captured within the Internal Audit planning process to be carried out during Q4 16/17	Colin Earl	Yes – Internal Audit Plan considered at April Audit Committee Meeting
Adults, Health and Wellbeing - Learning Disability/Supporting Living Review				
28	Internal Audit to consider this area for a further review in 2017/18 as part of its audit planning process	Captured within the Internal Audit planning process to be carried out during Q4 16/17	Colin Earl	Yes – Internal Audit Plan considered at April Audit Committee Meeting
Breaches And Waivers To The Council Financial And Contract Procedure Rules				
29	Future reports to provide more detail in respect of the proposed actions to address the breaches.	To be incorporated into next report to Audit Committee	Denise Bann	Yes – Report provided to April Audit Committee Meeting includes the additional details requested

Covert Surveillance - Regulation Of Investigatory Powers Act 2000 (RIPA) - Update				
30 a	Assess with HR whether RIPA training could be made mandatory for relevant Line Managers.	HR has confirmed this can be classified as mandatory training for relevant officers. Details of all officers who need to complete the training has been provided to HR who will ensure the training is completed. A completion date for the training has been revised to 30 th June 2017 (from April 2017).	Helen Potts	In progress and not yet due
30 b	Assess with HR if Audit Committee Members could undertake RIPA training on-line.	HR has confirmed that members can complete the RIPA training on-line as long as they are set up on the system. Instructions have been provided to members on how to do this. A completion date for the training has been set as 30 th April 2017.	Helen Potts	In progress and not yet due

Ref:	Minute/ Action	Progress update	Responsible Officer	Completed (Y/N)
Meeting August 2016				
Strategic Risk Report Mapping				
18	Provide a report for the committee to carry out reviews on and attain a more in-depth picture of how the following nominated strategic risks were managed reviewed and reported:-			
18 c	SR09, SR10 and SR14 – (Learning and Opportunities, Children and Young Peoples Service Directorate) - to be considered at the meeting scheduled on 6th April, 2017.	Scheduled for April 2017 Audit Committee	Damian Allen	Yes – Report provided to April Audit Committee Meeting
Safeguarding Adults Personal Assets Team - Responsive Review				
21	Provide a report to Committee upon finalisation of Internal Audit's work	Audit Review still ongoing	Colin Earl	Review and management actions still ongoing but further Interim Report provided to April Audit Committee

Ref:	Minute/ Action	Progress update	Responsible Officer	Completed (Y/N)
Meeting April 2016				
Financial and Purchasing and Contract Procedure Rules				
49 b	Solar Centre – Individual reviews taking place. Update to be provided in the next audit committee report.	A community based service approach is being developed. Solar centre is part of that work. Senior managers from DMBC, Care Commissioning Group and RDaSH have met to confirm direction of travel for services provided to clients. Use of the Solar Centre has diminished and continues to do so, as reviews are completed and care plans revised although use of the Solar Centre is not anticipate to cease being used until 31 st March 2018	Jon Tomlinson	No - options are being considered for the service - full report has been supplied to April Audit Committee Meeting
Covert Surveillance – Regulation of Investigatory Powers Act 2000 (RIPA) Update				
51	Refresher training to be provided in 12 months' time.	In process of being arranged for April 2017.	Helen Potts	Scheduled – not yet due