

25 January, 2017

**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. A member of the Audit Committee raised the issue of the difficulty in tracking actions agreed from previous Audit Committee meetings and this resulted in the production of the Audit Committee Issues Log which is a document updated for each Audit Committee meeting, documenting all actions agreed during previous meetings that have not been fully completed. Items that have been fully completed since the previous Audit Committee meeting are documented as such on the report and then removed for the following meeting log.
6. Of the actions identified in the report, the majority are classified as “green”, either having been fully addressed and for removal from the following log or because arrangements are in hand and the actions is not yet due.

One “red”, outstanding, action has been cleared since the last meeting. This is in relation to a contract procedure rule breach for payments relating to Older Peoples Alarm Systems, which are now regarded as grant payments, formerly under Supporting People Grant.

One outstanding item is rated ‘Amber’. This is in relation to the Solar Centre Contract Breach – Progress is being made in determining options for this service and in the meantime its use is being reduced as care packages are reviewed.

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> 	

	All families thrive. • <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 – January 2017

Follow-up actions from previous meetings:-

Ref:	Minute/ Action	Progress update	Responsible Officer	Completed (Y/N)
Meeting November 2017				
Strategic Risk Management In Adults, Health And Wellbeing				
26	Future reports to show the relevant risk register extract and direction of travel of the risk	Scheduled for January 2017 Audit Committee	Steve Mawson	Completed – incorporated into Report provided to January audit committee
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	Scheduled - Not yet due
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	Scheduled - Not yet due
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	Scheduled - Not yet due

Ref:	Minute/ Action	Progress update	Responsible Officer	Completed (Y/N)
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 have 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 set as 30 th 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 have 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)
Data Quality And Information Management Update				
31	Issue of version control over key documents to be raised at Governance Group.	Item raised at January 2017 Governance Group	Colin Earl	Yes – Issue raised at January 2017 Governance Group
Quarter 1 2016/17 Strategic Risk Register Update				
32 a	Review current reporting arrangements to address time lag of updates and the way that information was presented to the Committee. This would include, highlighting the identification of any major changes to the risks, available comparative data relating to previous periods in time and the direction of travel.	Headlines report produced for the January Audit Committee to supplement the circulation of the strategic risk register	Steve Mawson	Yes - Headlines report produced for the January Audit Committee to supplement the circulation of the strategic risk register
32 b	Provide Members with a copy of the Quarter 2 risk register when available.	Provided to Members on 19/12/16	Steve Mawson	Yes - Provided to Members on 19/12/16
Internal Audit Team - Fraud Risk Register And Counter Fraud Initiatives Report				
33	The Head of Audit stated that a report would be submitted to the next meeting on how identified risks were managed. In addition, Members were informed that the next pre-meeting training session of the Committee was to focus on anti-fraud in more detail including data matching and the forthcoming NFI exercise	Briefing provided to January pre-meeting training session	Colin Earl	Yes - briefing provided to January pre-meeting training session

Ref:	Minute/ Action	Progress update	Responsible Officer	Completed (Y/N)
Meeting August 2016				
Annual Governance Statement				
15 a	Provide mid-year update on key improvement areas in the Annual Governance Statement at the Committee's meeting in January 2017.	Scheduled for January 2017 Audit Committee	Steve Mawson	Yes - Report provided to January audit committee
15 c	Income Management – update report to be brought to a future Audit Committee – date to be confirmed	Scheduled for January 2017 Audit Committee	Steve Mawson	Yes - Report provided to January audit committee
Annual Fraud Report 2015/16				
17	A briefing on Fraud prevention activity be presented to a future pre-meeting training session, including how the transfer of the service had impacted on the Revenues and Benefits team	Scheduled for January 2017 pre-meeting training session	Geraldine Morton	Yes - briefing provided to January pre-meeting training session

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 'deep dive' reviews on and attain a more in-depth picture of how the following nominated strategic risks were managed reviewed and reported:-			
18 b	SR03, SR08 (Finance and Corporate Services Directorate) - and SR013 (Learning and Opportunities, Children and Young Peoples Service Directorate); – to be considered at the meeting scheduled on 25th January, 2017.	Scheduled for January 2017 Audit Committee	Steve Mawson	Yes - Report provided to January audit committee
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	Scheduled – not yet due
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	Scheduled – not yet due

Ref:	Minute/ Action	Progress update	Responsible Officer	Completed (Y/N)
Meeting April 2016				
Financial and Purchasing and Contract Procedure Rules				
49 a	Older Peoples Alarm System – the report would be processed through Directors and Leadership Team and a further update be provided in the next audit committee report.	Discussions with procurement have concluded that the arrangements in effect represent grant funding under the previous national Supporting People guidance.	Jon Tomlinson	Yes – Breach issue now resolved
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	Ongoing

Ref:	Minute/ Action	Progress update	Responsible Officer	Completed (Y/N)
Covert Surveillance – Regulation of Investigatory Powers Act 2000 (RIPA) Update				
51	Refresher training to be provided in 12 months' time.	To be arranged for April 2017.	Helen Potts	Scheduled – not yet due
51	Members to be informed of future inspections prior to arrival.	Will ensure this occurs.	Helen Potts	Yes