

To the Chair and Members of the AUDIT COMMITTEE

AUDIT COMMITTEE ACTIONS LOG

EXECUTIVE SUMMARY

1. The Committee is asked to consider the attached 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.
2. Most actions requested are progressing well (see paragraph 7 below) and the Committee is asked to note that following its suggestion that Adults Health and Well-Being Commissioning should be considered as an item to be included in the corporate risk register, this has now been agreed by management and Cabinet (reference 58 in the Action Log). This shows a positive intervention by the Committee that will now facilitate closer review of progress in addressing this matter.

EXEMPT REPORT

3. The report does not contain exempt information.

RECOMMENDATIONS

4. **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?

5. 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

6. 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.

7. The action log shows details relating to 17 actions requested in previous meetings. Of these:
 - 8 have been completed and will be removed from the next action log
 - 4 have yet to reach the agreed action date and are on track
 - 5 are partially completed. Of these, 3 relate to the Contract Procedure Rules breach relating to services procured from Rotherham, Doncaster and South Humber (RDaSH) NHS Foundation Trust through the Solar Centre. A key report is scheduled to be presented to Cabinet in November on the strategic commissioning considerations relating to this breach and a report to the Audit Committee can be provided following the Cabinet's consideration / decision on the matter. The final 2 actions in progress relate to the provision and take-up of training in relation to covert surveillance and the Regulation of Investigatory Powers Act. Further reminders are being sent to those who have not yet completed the training.

OPTIONS CONSIDERED AND RECOMMENDED OPTION

8. 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

9.

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

<p><i>Communities</i></p> <ul style="list-style-type: none"> • <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> 	
<p>Council services are modern and value for money.</p>	<p>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</p>
<p>Working with our partners we will provide strong leadership and governance.</p>	<p>The work undertaken by the Audit Committee improves and strengthens governance arrangements within the Council and its partners.</p>

RISKS AND ASSUMPTIONS

10. 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

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

FINANCIAL IMPLICATIONS

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

HUMAN RESOURCES IMPLICATIONS

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

TECHNOLOGY IMPLICATIONS

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

EQUALITY IMPLICATIONS

15. 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

16. 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

17. None

REPORT AUTHOR & CONTRIBUTORS

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AUDIT COMMITTEE ACTION LOG – OCTOBER 2017

Follow-up actions from previous meetings:-

Ref:	Minute/ Action	Progress update	Responsible Officer	Completed (Y/N)
Meeting June 2017				
Deprivation of Liberties Safeguards (DoLS) Update Report				
6a	Members to be provided with a note to clarify whether the Council has a responsibility to notify clients that the assessments needed to be completed.	A note clarifying the Council's responsibilities was provided to members on 15th August 2017.	Colin Earl	Yes - Completed
6b	Members to be provided with an update on progress in clearing the assessment backlog at the next Committee meeting within the Audit Committee Action Log	A note clarifying progress on the assessment backlog will be provided to members in advance of the October Committee meeting	Colin Earl	Yes – Provided for October's Audit Committee
	A full update on the DoLS investigation be provided in February 2018.	Report to be provided to February 2018 Audit Committee.	Colin Earl	Scheduled - Not yet due

Ref:	Minute/ Action	Progress update	Responsible Officer	Completed (Y/N)
Annual Accounts				
9	Committee to be updated on the implementation of the agreed recommendations raised by KPMG	Progress has been made, 4 of the 6 recommendations have been put in place with 1 due to be implemented by the end of October. A review of the IT User documentation and processing is currently being undertaken as part of the internal Services Project, which is looking at the whole process for starters, movers and leavers. Following the review, which is expected to be complete by January 2018, actions will be implemented.	Steve Mawson	In Progress and on schedule

Ref:	Minute/ Action	Progress update	Responsible Officer	Completed (Y/N)
Internal Audit Progress Report July 2017				
6a	Business Waste and Recycling follow up. It was suggested that ajn update be brought back to the October meeting detailing any progress made and the Assistant Director be asked to attend to explain any inconsistencies, if that is deemed necessary at the time.	A new set of actions and implementation dates were agreed (latest 30 th September 2017) with the Head of Service, however these implementation dates have not been achieved. Internal Audit has since been working closely with the Waste and Recycling Manager and actions have now been broken down into definable achievable tasks with a revised Implementation date of 31 st December 2017.	Colin Earl	Yes – an update is provided in the Internal Audit Progress Report
Meeting April 2017				
Strategic Risk Management in Learning and Opportunities				
52	Committee to receive further evidence on the risk management of the Doncaster Childrens' Services Trust.	Report to be provided to February 2018 Audit Committee following the OFSTED inspection as inspection will not be finalised for October Committee.	Damian Allen	Scheduled - Not yet due
Safeguarding Adults Personal Assets Team - Responsive Review.				
53	Committee to receive a further update report at its October meeting.	Report to be provided for October 2017 Audit Committee	Colin Earl	Yes – Report provided for October's Audit Committee Meeting

Ref:	Minute/ Action	Progress update	Responsible Officer	Completed (Y/N)
Adult Social Care Commissioning Review Programme 2017-2021				
55	Committee to receive a further update report at its October meeting.	Report to be provided for October 2017 Audit Committee	Damian Allen	Yes – Report provided for October's Audit Committee Meeting
Solar Centre Update				
57a	Committee to receive a further update report on the conclusion of the contractual position at its October meeting.	Work completed – report to be presented to the Audit Committee pending a decision by Cabinet in November 2017	Damian Allen	Partial – Report will be presented in February 2018.
57b	Committee to receive a backward looking report from Internal Audit surrounding the chronology and reporting of the Solar Centre at its October meeting.	Work completed – report to be presented to the Audit Committee pending a decision by Cabinet in November 2017	Colin Earl	Partial – Report will be presented in February 2018.
49 b	From Meeting April 2016 report - Financial and Purchasing and Contract Procedure Rules Solar Centre – Individual reviews taking place.	An independent project manager has recently been contracted by Doncaster Council to co-ordinate and lead on resolving this issue.	Patrick Birch	Partial – Report will be presented in February 2018.

Ref:	Minute/ Action	Progress update	Responsible Officer	Completed (Y/N)
Quarter 3 - Strategic Risk Update				
58	The Assistant Director Finance and Chief Finance Officer to ensure 'Adults, Health and Well-Being commissioning and procurement arrangements' is considered for inclusion in the strategic risk register	To be considered as part of the Quarter 1 challenge process.	Steve Mawson	Yes – a new strategic risk “As a result of insufficient capacity and skills in Adult Health and Wellbeing, commissioning and contract management and monitoring is not effective leading to non compliance with legislation”, has been agreed as part of the Q1 Finance and Performance challenge process and this has been approved by Cabinet
61b	Committee requested a report providing information on the existence and current effectiveness of the Council’s ethical arrangements	A report has been scheduled in the Committee’s work programme for the 2017/18 year	Scott Fawcus	Scheduled on the Audit Committee work programme for February 2018 - not yet due
Meeting January 2017				
Internal Audit Progress Report				
42b	Internal Audit to provide numbers of outstanding lower level recommendations in future progress reports	Report to be provided to October 2017 Audit Committee	Colin Earl	High level numbers included in the October report. Full numbers to be reported in February.

Ref:	Minute/ Action	Progress update	Responsible Officer	Completed (Y/N)
Income Management Progress Report				
46	Follow-up report on income management to be received in Autumn 2017	Report to be provided for October 2017 Audit Committee	Steve Mawson	Yes - Report provided for the October Audit Committee
Meeting November 2016				
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.	Helen Potts	Incomplete – Not all officers have completed the training. Reminders are being sent to staff who have not completed the training
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.	Helen Potts	Incomplete – Not all Members of the Audit Committee have completed the training. Reminders will be sent to anyone who has not yet completed the training.