



Doncaster Council

Report

26th July 2018

To the Chair and Members of the AUDIT COMMITTEE

AUDIT COMMITTEE ACTIONS LOG

Relevant Cabinet Member(s)	Wards Affected	Key Decision
n/a	n/a	No

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. All actions are progressing well (see paragraph 7 below).

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 Actions 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 11 actions requested in previous meetings. Of these:
 - 7 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 (they are either in progress and in time, or are scheduled for completion within the excepted time)
 - Further detail is provided on two of the longer running issues that have been previous causes of concern for the Committee

Business Waste Income Reconciliation - The first Business Waste reconciliation of income due to income charged has now been completed with all accounts checked and accounts raised as appropriate. Internal Audit will continue to monitor this area and report any problems as required to future committees

Deprivation of Liberty Safeguards (DoLS) – An update is set out in the table below which identifies strong progress in dealing with the backlog. A follow up review following the DOLS audit is scheduled for October 2018 Audit Committee which will provide a further update on the backlog position

	No. as at 6 th July 2017	No. as at 22 nd January 2018	No. as at 06 th March 2018	No. as at 29 th June 2018	Comments
Cases not yet allocated for assessment (includes new referrals received in the email inbox)	415	261	107	122	The team have experienced an increase of referrals as the process has improved (more people are aware of expiry of authorisations etc.)
Cases in progress (assessment in progress or awaiting input to CareFirst after completing the assessment)	Not available	299*	225*	133	
DoLS granted cases awaiting sign off	326	53	55	225	This has increased as the team currently only have the same level of signatory support however they are now assessing more people in a timely manner

DoLS not granted cases awaiting sign off	511	608	908 [^]	267	This represents the work the team has done around this backlog in recent months
Other information					
Cases where a notification needs to be sent out	Not available	558	913	666	The team have worked to reduce this backlog and are awaiting additional support to assist with this
Forms returned to the Council that have not yet been input to CareFirst (NB these are individual assessments and not cases – some cases will have both an MHA and BIA form to input)	Not available	163	30	30	
Notifications of moving / death not yet actioned	Not available	13	0	23	

* This is the number of cases where both the BIA and MHA assessments are outstanding.

[^] These are not all true 'not granted' cases where the person is deemed to have mental capacity, the majority of these are where the person has died or moved locations which still need signing off. This number has increased due to significant work carried out to clear cases where the person has died or moved location. Work is due to start shortly to sign these cases off.

OPTIONS CONSIDERED AND RECOMMENDED OPTION

- 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
	Doncaster Working: Our vision is for more people to be able to pursue their ambitions through work that gives them and Doncaster a brighter and prosperous future; <ul style="list-style-type: none"> Better access to good fulfilling work Doncaster businesses are supported to flourish Inward Investment 	
	Doncaster Living: Our vision is for Doncaster's people to live in a borough that is vibrant and full of opportunity, where people enjoy spending time; <ul style="list-style-type: none"> The town centres are the beating 	

	<p>heart of Doncaster</p> <ul style="list-style-type: none"> • More people can live in a good quality, affordable home • Healthy and Vibrant Communities through Physical Activity and Sport • Everyone takes responsibility for keeping Doncaster Clean • Building on our cultural, artistic and sporting heritage 	
	<p>Doncaster Learning: Our vision is for learning that prepares all children, young people and adults for a life that is fulfilling;</p> <ul style="list-style-type: none"> • Every child has life-changing learning experiences within and beyond school • Many more great teachers work in Doncaster Schools that are good or better • Learning in Doncaster prepares young people for the world of work 	
	<p>Doncaster Caring: Our vision is for a borough that cares together for its most vulnerable residents;</p> <ul style="list-style-type: none"> • Children have the best start in life • Vulnerable families and individuals have support from someone they trust • Older people can live well and independently in their own homes. 	
	<p>Connected Council:</p> <ul style="list-style-type: none"> • A modern, efficient and flexible workforce • Modern, accessible customer interactions • Operating within our resources and delivering value for money • A co-ordinated, whole person, whole life focus on the needs and aspirations of residents • Building community resilience and self-reliance by connecting community assets and strengths • Working with our partners and residents to provide effective leadership and governance 	<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>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 (SRF 16/07/18)

11. There are no specific legal implications associated with this report. The individual matters listed in Appendix have all been subject to appropriate legal advice at the time of consideration by the Audit Committee.

FINANCIAL IMPLICATIONS [VJB 06/07/18]

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

HUMAN RESOURCES IMPLICATIONS [MLV 06/07/18]

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

TECHNOLOGY IMPLICATIONS [PW 10/07/18]

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

EQUALITY IMPLICATIONS [PJ 25/05/18]

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.

HEALTH IMPLICATIONS [RS 10/07/18]

16. Good governance is important for healthy organisations and for healthy populations. Specific health implications should be addressed through individual audits and action plans.

CONSULTATION

17. 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

18. None

REPORT AUTHOR & CONTRIBUTORS

Peter Jackson, Head of Internal Audit

Tel 01302 862938, Email: peter.jackson@doncaster.gov.uk

Steve Mawson
Chief Financial Officer &
Assistant Director of Finance

APPENDIX 1

AUDIT COMMITTEE ACTION LOG – JUNE 2018

Follow-up actions from previous meetings:-

Ref:	Minute/ Action	Progress update	Responsible Officer	Completed (Y/N)
Meeting June 2018				
	GDPR Training Member requested to be set up to complete the GDPR training completed by other committee members	Member set up with access and subsequently completed the 5 modules	Peter Jackson	Yes – Completed
Monitoring Officer Report				
	Reporting on Employee Conduct Committee requested summary information around employee conduct consistent with that provided on members	Employee matters are comprehensively reported through the Resource Management processes involving Service Managers, Head of Services, and Directors, assisting in discharging the duties of the Head of Paid Service. The information provided on Members by the Monitoring Officer is that required by the Council's Constitution / legislation which does not apply to Officers. Committee's assurance is that such measures are in place	Debbie Hogg	Yes – Completed
	Consultation on Standards Member requested a response be provided to the Yorkshire Local Council's Association on their consultation over sanctions	Responses have been provided to two recent government consultations on standards, which YLCA and its members will have also responded to.	Scott Fawcus	Yes – Completed
	Whistleblowing Information Committee requested comparator information from other local authorities	Comparator information sought from surrounding local authorities in South and West Yorkshire	Scott Fawcus	In progress – awaiting responses for update at October 2018 Audit Committee
Breaches and Waivers to the Councils Financial and Contract Procedure Rules				

Ref:	Minute/ Action	Progress update	Responsible Officer	Completed (Y/N)
	Strategic Procurement - committee to receive an overview of the work of the Strategic Procurement Team at a future briefing training session	Scheduled for October 2018 briefing session as that Committee receives the next Breaches and Waivers report	Holly Wilson	Scheduled but not yet due
Meeting April 2018				
Deprivation of Liberty Safeguards (DoLS) Process Review				
	Committee to receive a further update on the assessments backlog position	Good progress has been report as set out in detail at paragraph 7 of this report	Griff Jones	Yes – Update provided to July Audit Committee.
Breaches and Waivers to the Councils Financial and Contract Procedure Rules				
	Strategic Procurement - committee to receive an overview of the work of the Strategic Procurement Team at a future briefing training session	Scheduled for October 2018 briefing session as that Committee receives the next Breaches and Waivers report	Holly Wilson	Scheduled but not yet due
Meeting February 2018				
Adult Health and Wellbeing Contract and Commissioning Update Report				
	Committee to receive a further update report in 6 months time	Report to be provided to July 2018 Audit Committee.	Patrick Birch	Yes – Update report provided to July Audit Committee.
	Adults Health and Wellbeing Transformation Programme Committee to receive an update report in 6 months' time	Report to be provided to July 2018 Audit Committee.	Patrick Birch	Yes – Update report provided to July Audit Committee.
Meeting October 2017				
Income Management Progress Report				
	Committee to receive a further update report on the Income Management Improvements by September 2018.	Report to be provided to October 2018 Audit Committee.	Steve Mawson	Scheduled but not yet due
Meeting July 2017				
Internal Audit Progress Report July 2017				

Ref:	Minute/ Action	Progress update	Responsible Officer	Completed (Y/N)
6a	Business Waste and Recycling follow up. It was suggested that an 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.	<p>The first reconciliation of income due to income charged was undertaken April 18.</p> <p>A significant number of anomalies were identified and investigated by mid June (£39,635 unbilled income going back to 2013/14 and £3,481 overpayments requiring credit notes were identified).</p> <p>Current year accounts have been corrected so that correct bills are produced going forward.</p>	Gill Gillies	<p>Yes – Completed</p> <p>All backdated accounts now raised and quarter 1 18/19 reconciliation process is being finalised.</p> <p>Internal Audit will continue to monitor this area and report any problems as required to future committees</p>

