

## **Audit Committee – 18 November 2019**

### **Committee Decision Tracking Chart**

#### **1. Summary of report**

- 1.1 This report provides Audit Committee with a chart tracking all of its decisions for which a follow-up is required, to enable Members to monitor any outstanding actions and seek updates at future meetings where applicable.
- 1.2 Items in the tracking chart cannot be discussed in any detail at this meeting, as a proper and full report is required by law in order for the Committee to formally consider an item. Members, however, may wish to seek a brief update / assurance on an item or request a report back to a future meeting where it is deemed that insufficient progress is being made.

#### **2. Recommendation**

- 2.1 The Committee is requested to:
  - 1. Note the content of the tracking chart.
  - 2. Determine if it would like to select any of the items to be brought back to the next / or future Committee meeting.

#### **3. Resource and legal considerations**

- 3.1 None arising directly from this report. Detailed resource and legal considerations would be provided in any subsequent follow up report requested by the Committee.

#### **4. Citizen impact**

- 4.1 None arising directly from this report. Detailed citizen impact considerations would be provided in any subsequent follow up report requested by the Committee.

#### **5. Environment impact**

- 5.1 None arising directly from this report. Detailed environment Impact considerations would be provided in any subsequent follow up report requested by the Committee.

#### **6. Performance and Risk Management Issues**

- 6.1 None arising directly from this report. Detailed performance and risk management considerations would be provided in any subsequent follow up report requested by the Committee.

## **7. Equality Implications**

- 7.1 None arising directly from this report. Detailed equality implications would be provided in any subsequent follow up report requested by the Committee.

## **8. Consultation**

- 8.1 Nothing specific arising from this report. Detailed consultation would be provided in any subsequent follow up report requested by the Committee.

## **Background papers**

Previous reports and minutes to the Committee.



**Vicky Buckley – Head of Finance**  
**7 November 2019**

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## Audit Committee – Item Tracking Chart

| Date considered       | Item Title                                             | Action agreed by Committee                                                                                                                                                                                                                                                                                                                                    | To be actioned by / date to be actioned by | History / Updates / Referrals back to Committee                                               |
|-----------------------|--------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------|-----------------------------------------------------------------------------------------------|
| 22/07/19              | Post-Audit SOC 2018/19 including Audit Findings report | Councillor Craddock referred to Phoenix 10 for which the Committee has not received an update for a considerable amount of time. Vicky to speak with Simon Neilson and get an update.                                                                                                                                                                         | Vicky                                      | Briefing note provided Audit Committee members on 23 September.                               |
| 22/07/19              | Internal Audit Progress Report – 2019/20               | The Chair referred to assurances around the Proud Programme. Sarah advised that this was within IA's Work Programme and updates would be forthcoming at future Committee meetings.                                                                                                                                                                            | Sarah                                      | First piece of work on Governance of the Proud Programme to be carried out November/December. |
| 22/07/19 and 23/09/19 | Internal Audit Progress Report – 2019/20               | The Chair / Committee requested that the Executive Director of Adult Social Care be invited to the next meeting to talk about the Residential and Nursing Care & Market Management (in particular, are these matters related?). Executive Director attended September Audit Committee meeting and provided assurances to members. Follow up date to be agreed | Sarah                                      | Follow up scheduled with update to Audit Committee in April.                                  |
| 23/09/19              | Review of the Effectiveness of the Audit Committee     | Agreement was reached to consider the CIPFA checklist on a phased approach, and to adopt the simple checklist for evaluating effectiveness of Committee as set out in Appendix 2 to the report. Review at later date and a dedicated session to be arranged to help Members in fulfilling this requirement.                                                   | Vicky – 5pm, 18 February 2020              | 5pm Session before 18 February 2020 meeting to be used to review checklist.                   |

| Date considered | Item Title                                       | Action agreed by Committee                                                                                                                                                                                                                                                                                                                                    | To be actioned by / date to be actioned by                                        | History / Updates / Referrals back to Committee            |
|-----------------|--------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------|------------------------------------------------------------|
| 23/09/19        | Summary of Priority 1 recommendations            | Councillor Craddock, in referring to the Financial Assessment Form, queried why it was so long (20 plus pages) as many of the recipients may be in their 70's, 80's and 90's and would struggle to comprehend.                                                                                                                                                | Vicky                                                                             | Email circulated on 5 November.                            |
| 23/09/19        | Risk Management Update (Strategic Risk Register) | The Chair requested an update on the impact of Brexit and for the Executive Director of Resources and Transformation to attend the next meeting to give assurances around Risks <b>2 &amp; 7</b> (risk are of a similar nature but are scored differently, why?) and also BREXIT (in terms of what are the actual risks to the Council arising from BREXIT?). | James T. Walsh – 18 November meeting                                              | James to attend 18 November meeting.                       |
|                 |                                                  | Councillor Robertson queried the details behind the Amber rated Sickness Absence as set out on page 37 (6) on the agenda.                                                                                                                                                                                                                                     | Vanessa agreed to prepare a note on this matter for circulation to the Committee. | Note (email) circulated on 17 October.                     |
|                 |                                                  | Councillor Craddock referred to the Fraud and Corruption Amber rating on page 38 (7) of the agenda.                                                                                                                                                                                                                                                           | Vicky to prepare a note on this matter for circulation to the Committee.          | Email circulated prior to November meeting                 |
|                 |                                                  | The Chair raised a point about the external audit fee variation and asked Vicky to raise the matter directly with James (S151 Officer) for him to consider and pursue.                                                                                                                                                                                        | Issue discussed between S151 Officer and GT.                                      | Further discussion to be held between S151 Officer and GT. |

| Date considered | Item Title                                       | Action agreed by Committee                                                                                        | To be actioned by / date to be actioned by | History / Updates / Referrals back to Committee                                                                                                                                                                      |
|-----------------|--------------------------------------------------|-------------------------------------------------------------------------------------------------------------------|--------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 23/09/19        | Risk Management Update (Strategic Risk Register) | Councillor Craddock queried if the portfolio holders are consulted about the risk scoring relating to their role? | Vicky to investigate and respond directly. | Portfolio holder are not consulted specifically on risk ratings although briefings include matters where there is a risk to service delivery. Portfolio holders are made aware of financial risks being experienced. |

**N.B.** As soon as an item has been satisfactorily resolved, it will be removed from this tracking chart.