

## **Audit Committee – 15 April, 2019**

### **Committee Decision Tracking Chart**

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

- 1.1 This report provides the 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**  
**28 March 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   |
|-----------------|--|---|--|---|
| 18/06/18        | Financial Health Indicators 2017/18  | In relation to the Council tax collection deficit, the Chair sought assurance from Sarah that outstanding debt collection is included in the scope of the annual internal audit of Council Tax. The Chair asked Internal Audit to report back to the Committee when this Audit was completed. | Sarah Knowles / when the Audit has been completed. | Internal Audit of Council Tax included in 2018/19 audit plan Quarter 4.<br><br>Audit completed – no exceptions relating to debt collection identified |
| 18/06/18        | Annual Governance Statement 2017/18 including Annual Review of Effectiveness of Internal Control | The Chair asked for an update to the July meeting of the Audit Committee on the systems of control around I.T. disaster recovery.   | Sarah Knowles / July Meeting                       | IT Disaster Recovery included in the ICT audit plan for 2018/19.<br><br>IT audit currently underway   |
| 18/06/18        | Summary of Priority 1 Recommendations  | The Committee requested updates on the Domiciliary Care and Procurement items once the follow up Audits had been completed.   | Sarah Knowles / July Meeting                       | Domiciliary Care follow-up included in Progress Report to 24 <sup>th</sup> July meeting. Procurement report not yet finalised.                        |

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

| <b>Date considered</b> | <b>Item Title</b>                                     | <b>Action agreed by Committee</b>   | <b>To be actioned by / date to be actioned by</b>                                      | <b>History / Updates / Referrals back to Committee</b>                               |
|------------------------|---|---|--|--|
| 24/09/18               | Annual Audit Letter for the Year Ending 31 March 2018 | In reference to 3.4 of the report, the Chair sought assurance around the valuation of BHX and the potential impact of BREXIT. Vicky advised that more will be known in relation to this particular matter in the New Year and a report would come to the Committee, if appropriate, at that time. | Vicky to report back to the Committee, as appropriate, when further information known. | No further update available as yet on BHX.   |
| 24/09/18               | Review of the Effectiveness of the Audit Committee    | Vicky / the Chair asked all Members to complete their self-assessment questionnaire at their earliest convenience (but by the end of October). Vicky to resend questionnaire to all Members via email with reminder to complete and return by end of October.                                     | October  | All but 1 member has returned their questionnaire, a further reminder has been sent. |

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|------------------------|--------------------------------------|--|---|---|
| 24/09/18               | Internal Audit Progress report 18/19 | The Chair also queried the Pheasey Park report. Sarah advised that the next Audit on this was due in Quarter 4. The Chair stated that if there was no improvement, he would like this to be brought to the Committee straight away and for management representation to be present.                                  | Sarah to note.                                    | Audit completed, with Good assurance. 1 priority 2 recommendation and 3 priority 3 recommendations.   |
| 14/01/19               | Risk Management Update               | Members wished to know whether the Audit Training Sessions counted towards their mandatory 12 hours a year Member Development and Training Programme.<br><br>Councillor Cradock requested an update report on this item to the April meeting of the Committee whilst the training was still fresh in Members' minds. | Fred to respond.<br><br>Sarah Knowles to action.  | Email sent on 22 <sup>nd</sup> January stating that it does count towards Members T&D Programme. Members need to inform Lisa Koc (HR) of any training attended so that it can be registered on the HR training system.<br><br>Risk Management update on agenda for April. |

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|------------------------|--|--|---|---|
| 14/01/19               | Internal Audit Progress Report 2018/19       | <p>Councillor Young asked whether it was possible for the LA to enforce where / how schools get their financial / governance services from?</p> <p>Councillor Craddock asked whether it was a legal requirement, or not, for school Governors to have a DBS before being eligible to be a Governor? Is it possible to make it mandatory that before someone can become a Governor, that they are required to have undertaken a DBS check and undertaken all relevant training? Vicky agreed to investigate and respond outside of the meeting.</p> | <p>Vicky to respond outside of the meeting.</p> <p>Vicky to respond outside of the meeting.</p> | <p>Email sent on 30<sup>th</sup> January 2019.</p> <p>Email sent on 21<sup>st</sup> January 2019.</p> |
| 14/01/19               | Informing the External Audit Risk Assessment | The Committee requested Vicky to amend the response in relation to staff.  | Vicky to action.  | Completed.  |

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