

Audit Committee – 23rd September, 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
12 September 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	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. Findings reported to July meeting.
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 and Procurement follow-up included in Internal Audit Progress Report to 23 rd September meeting.
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.	Assurance provided as part of the annual certification of the statement of accounts and confirmed by Grant Thornton.
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.	July 2019	All received. Since then, there have been changes to the membership of the Committee and this action is to be addressed in the 2019/20 Work Programme.

Date considered	Item Title	Action agreed by Committee	To be actioned by / date to be actioned by	History / Referrals / Updates / back to Committee
22/07/19	Committee decision tracking chart	The Chair requested an update on the impact of Brexit. Vicky advised that there was nothing to report as yet, but updates would be brought back to the Committee in the future when available.	Vicky to update when progress had been made.	Brexit is contained within the Strategic Risk Register and the September update to Audit Committee provides an update on this.
22/07/19	Internal Audit Report and Opinion 2018/19	Councillor Craddock asked that a mechanism be established whereby all Portfolio Holders be routinely briefed by the relevant Executive Director on any Priority One recommendations raised which fall within their portfolio.	Vicky / Sarah to update.	Email from Vicky to CMT on 25 th July and CMT reminded at meeting on 5 th September. Portfolio holder briefing is mechanism to be used.
22/07/19	AGS including the Annual Review of Effectiveness of Internal Control	The Chair stated that he would have expected stronger wording on page 81, if there were no governance issues being reported. The Committee was in agreement and the AGS was approved subject to the wording being amended for a more positive statement. Vicky to amend.	Vicky	AGS updated. September report to Audit Committee provides final AGS.
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 / Sarah	Briefing note to be provided prior to September Audit Committee meeting.

Date considered	Item Title	Action agreed by Committee	To be actioned by / date to be actioned by	History / Referrals Committee / Updates back to
		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.		Update meeting held with Assistant Director, Transformation and Digital on September 10 th . Awaiting supporting documentation prior to scoping audit area.
22/07/19	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?). Vicky / Sarah to arrange for E.D. Adult Social care to produce a report and attend the next meeting to give the Committee assurance on these matters.	Vicky / Sarah	Request made for September Audit Committee.
22/07/19	Internal Audit Annual Report and Opinion 2018/19: Summary of Priority 1 Recommendations	<p>The Chair referred to the ICT Business continuity (Pages 290-292). There appeared to be an Adult social care element to this area as well. The Chair asked to see if this also related to the items above (in agenda item no. 13).</p> <p>A discussion was held around future training for Committee Members. It was agreed that the Chair / Vice-Chair and Vicky would meet to discuss future training arrangements.</p>	Vicky / Sarah.	<p>Reviewed – there are no ASC related items.</p> <p>The Audit Committee Work Programme contains a forward plan of training. Further discussion with Members, including opportunities for further training, to be discussed at September Audit Committee (<i>Review of Effectiveness of Audit Committee</i>).</p>

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