

Audit Committee – 27 July, 2020

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, and the completed actions which can now be removed.
 - 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.



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27 July 2020

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Audit Committee – Outstanding Items 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. Head of Finance to speak with ED E&E and get an update.	Head of Finance	Briefing note provided Audit Committee members on 23 September. Action completed and to be removed from tracking chart.
22/07/19	Internal Audit Progress Report – 2019/20	The Chair referred to assurances around the Proud Programme. Head of Internal Audit advised that this was within IA's Work Programme and updates would be forthcoming at future Committee meetings.	Head of Internal Audit	First piece of work on Governance of the Proud Programme started late December 2019 and work is ongoing with the Proud Programme at present to incorporate details of changes currently being made to the programme.
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.	Head of Internal Audit	Follow up scheduled in March with update due to Audit Committee in April 2020, which was cancelled. Detailed update included within the 'Follow Up on Priority 1 recommendations' report provided to Audit Committee 27 July 2020. Action completed and to be removed from tracking chart.

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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.	Head of Finance – 5pm, 18 February 2020	5pm Session before 18 February 2020 meeting was used to review checklist. Action completed and to be removed from tracking chart.
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.	Head of Finance	Email circulated on 5 November. Action completed and to be removed from tracking chart.
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 2 & 7 (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?).	ED Resources and Transformation – 18 November meeting	ED Resources and Transformation attended 18 November meeting. Action completed and to be removed from tracking chart.
		Councillor Robertson queried the details behind the Amber rated Sickness Absence as set out on page 37 (6) on the agenda.	Mazars Risk Manager agreed to prepare a note on this matter for circulation to the Committee.	Note (email) circulated on 17 October. Action completed and to be removed from tracking chart.
		Councillor Craddock referred to the Fraud and Corruption Amber rating on page 38 (7) of the agenda.	Head of Finance to prepare a note for	Email circulated prior to November meeting. Action completed and to be

			circulation to the Committee.	removed from 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
23/09/19	Risk Management Update (Strategic Risk Register)	The Chair raised a point about the external audit fee variation and asked the Head of Finance to raise the matter directly with the ED Resources and Transformation (S151 Officer) for them to consider and pursue.	Issue discussed between S151 Officer and GT.	Briefing note provided to Audit Committee members on 13 February 2020 setting out PSAA response with regard to background / grounds for increase and confirmation of local process to follow to agree this. 2018/19 variation and proposed 2019/20 variation have therefore been reviewed against that process and agreed. Action completed and to be removed from tracking chart.
		Councillor Craddock queried if the portfolio holders are consulted about the risk scoring relating to their role?	Head of Finance to investigate and respond directly.	Portfolio holders 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. Action completed and to be removed from tracking chart.

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