

## **Audit Committee – 24<sup>th</sup> September, 2018**

### **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**  
**13 September 2018**

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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.
18/06/18	Internal Audit Report for the year ending 31 March 2018	The Committee asked Internal Audit for a detailed report specifically on GDPR compliance at the September meeting.	Sarah Knowles / September meeting	Fieldwork commencing 30 <sup>th</sup> July. Report due at September meeting.
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.

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

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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.
24/07/18	Post – Audit Statement of Accounts 17/18 inc. AGS & Audit findings report	<p>Arising from discussion on the reply to Councillor Robertson's question, Councillor Craddock requested some more info around the Adult Social Care Debt Provision.</p> <p>Councillor Fitzpatrick wished to know how much of the £25.89 million debt was over a year old? Vicky agreed to circulate a briefing note to clarify this matter.</p> <p>In referring to the paragraph in Councillor Robertson's reply in relation to 'rise in Council Tax bad debt', the Chair asked if the relevant Director could provide a briefing note on this matter as it seemed a little peculiar as increased council tax led to increased debt, suggesting strategy of increasing tax may be risky. Vicky agreed to get a briefing note circulated.</p>	Separate note to be distributed to Members.	

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24/07/18	Performance Management Framework	<p>The Committee asked for the following to be reflected within the Framework: -</p> <ul style="list-style-type: none"> <li>• EPR appraisals indicators – targets and achieved data;</li> <li>• Mandatory training provisions for staff and Councillors alike</li> <li>• Average sickness figures / targets / trends</li> </ul> <p>Helen Dudson to forward the Committee recommendations to CMT / Cabinet.</p> <p>Move recommendation but changed from 'robust' to 'appropriate'.</p>	Helen Dudson to provide an update on these recommendations in due course.	The revised report is due to be presented to Cabinet on 24 October.
24/07/18	Audit Committee Revised Work Prog 18/19 & Training Prog	<p>Fred to email Members and arrange suitable dates for Training Sessions. It was deemed that 1 hour was not sufficient and meeting before the Committee commences at 6.00pm was not suitable for all Members. In addition, the Chair queried whether it was worth opening up the training to all Members as some may need to substitute on the Committee from time to time.</p> <p>The Committee asked for the training programme to be a 'live programme' so that anything identified as a 'training need' can be added as necessary. Vicky advised that the team were also happy to organise any one to one training for Members as appropriate.</p>	Fred Hancock.	<p>Training dates have now been set as: -</p> <ul style="list-style-type: none"> <li>• 20<sup>th</sup> September</li> <li>• 10<sup>th</sup> January</li> <li>• 11<sup>th</sup> April</li> </ul> <p>All commencing at 6.00pm in a Conference Room at the Council House.</p> <p>Members have been notified of the above via email on 07/08/18.</p>

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24/07/18	Risk Mgt Update	<p>Update report coming back to January meeting.</p> <p>The Chair queried if the definition on page 134 (likelihood and impact guide) in relation to 'disruption to service' encompassed an impact on services to the population. If so, was this clear in the Policy?</p> <p>Vanessa agreed to double check the wording of the policy to ensure it was clear on this matter.</p>	Vanessa to feedback on the Policy definition in January meeting.	Wording of the policy updated to ensure it is clear on this matter.
24/07/18	Internal Audit Progress report	The Committee called for a report back to a future meeting on Residential Charging as this was a longstanding item due back in 2016.	Sarah Knowles to respond.	<p>The Mosaic system design incorporates an end to end financial process.</p> <p>The reporting stream significantly reduces manual activity previously undertaken.</p>