

AUDIT AND ACCOUNTS COMMITTEE MINUTES ACTION LOG FOR JANUARY 2019 COMMITTEE MEETING

<u>NO</u>	<u>TITLE OF REPORT / MINUTE AND ACTION REQUESTED</u>	<u>LEAD</u>	<u>PROGRESS / RESPONSE</u>
ACTIONS ARISING FROM THE MINUTES OF THE JULY 2016 COMMITTEE MEETING			
1.	MINUTE 226. MINUTES		
	<p>Minute 213 'Systems in place to ensure that Section 106 Funds do not go unspent'</p> <p>The November 2016 Committee meeting agreed that updates either to the Committee or to the Chairman should be provided on a six monthly basis.</p>	Tom Kelly	<p>Next update due in March 2019. (Action: Tom Kelly)</p> <p>ACTION ONGOING</p>
ACTIONS ARISING FROM THE MINUTES OF THE 29th NOVEMBER 2016 COMMITTEE MEETING			
2.	MINUTE 261 – CAMBRIDGESHIRE COUNCIL WORKFORCE STRATEGY UPDATE		
	<p>There was a request that once implemented, there should be a regular quarterly report on the Action Plan progress.</p>	Martin Cox / Lynsey Fulcher	<p>The report submitting the final Strategy for endorsement by General Purposes Committee and for final approval by full Council has been rescheduled a number of times since the report to the November 2016 Committee. It has now been re-titled People Strategy will now be going to 26th March 2019 General Purposes Committee (GPC) and the 14th May Council meeting.</p>

			General Purposes Committee have agreed that the appropriate Committee to receive future updates on the People Strategy will be Staffing and Appeals Committee. In line with the Constitution the rule is to avoid more than one Committee receiving the same report. ACTION ONGOING
3.	Ely Bypass Project	D Wilkinso n / Mairead Kelly	Economy and Environment Committee at their meeting in April when considering the Ely Bypass overspend Capital Report requested that Internal Audit should review this project as part of one of the reviews on capital project overspends to establish whether any lessons could be learnt going forward. The revised timescale is for the report to come forward to the May Committee meeting. ACTION ONGOING
ACTIONS ARISING FROM THE MINUTES OF THE 29TH MAY 2018 COMMITTEE MEETING			
4.	MINUTE 85- CHILDREN'S SOCIAL CARE CASE LOADS QUARTELY UPDATE	Sarah-Jane Smed-mor	The next update report which was due in March 2019 is included on the agenda.
ACTIONS ARISING FROM THE MINUTES OF THE 30TH JULY 2018 COMMITTEE MEETING			
5.	MINUTE 102 - SAFER RECRUITMENT IN SCHOOLS UPDATE		
	In terms of progress on the gaps in provision and when a good time would be to receive an update report, the officers	R Sander-son / C	Easter is April in 2019 and therefore May 2019 was added as the next appropriate Committee date for the substantive update.

	indicated that this should be around Easter 2019.	Meddle to agree	The lead officer has been made aware.
6.	MINUTE 108 - AUDIT COMPLETION REPORT (ISA 260) DRAFT FOR THE YEAR ENDED 31ST MARCH 2018		
	a) Democratic Services to liaise with BDO on scheduling a date for BDO to report back on the current objection and with the detail on the outcome of the objection on the previous year's Accounts.	RVS / L Clampin	It was confirmed that BDO were not in a position to report to the January Committee. External Audit indicated that they would alert Democratic Services as to the appropriate Committee to which the report should go.
ACTIONS ARISING FROM THE MEETING HELD ON 20TH SEPTEMBER 2018			
7.	MINUTE 120 INTERNAL AUDIT PROGRESS REPORT		
	<ul style="list-style-type: none"> Deprivation of Liberty Safeguard (DOLS) assessments - Members requested that a further report regarding DOLS assessments be programmed regarding the implementation of recommendations made by the audit. 	M Claydon	Updates are being provided as part of the Internal Audit Progress Report.
ACTIONS ARISING FROM THE MEETING HELD ON 31ST OCTOBER 2018 – COMMUNITY TRANSPORT REPORT			
8.	The Chairman to be informed of details of any breaches of licences as detailed under Minute 127 on page 26.	Assist-ant Director Culture	Checks have been ongoing for all types of contracts / operators. No breaches by FHE (FACT / HACT / ESACT), have been discovered in the period since the October meeting. Staff have been instructed to notify Cllr Shellens of any FHE breaches that occur.

		and Communit ity Services. C May	Will need Christine to update for march
ACTIONS ARISING FROM THE MEETING HELD ON 22ND NOVEMBER 2018			
9.	MINUTE 132. COMMUNITY TRANSPORT ACTION PLAN		
	A) Action 40 – ‘external officer to investigate where the issues with the Freedom of Information requests originated’ and Action 41 Chief Executive to share Report with Audit and Accounts Committee.	Demo- cratic Services add to agenda plan in name of Internal Audit.	An update is included in the Community Transport report update. ACTION COMPLETED
	B) Request for a follow up report on Membership in March 2020	C May	Included in the Community Transport Update ACTION COMPLETED
	C) PKF Report to come forward to January Meeting	M Claydon	This was now likely to be reported as part of the Community Transport Update Report to the May meeting. ACTION ONGOING

10.	MINUTE 133 USE OF CONSULTANTS		
	a) Internal Audit indicated that they would be conducting a follow-up review of compliance with this policy in the first quarter of 2019/20. (April-March)	Mairead Claydon	Any final report back to Committee would depend on the time taken to conduct the review. As an update at the January Committee meeting Internal Audit confirmed this was now unlikely to be until either July or September at the earliest. ACTION ONGOING
	Issues on Management Action Plan		
	b) Page 58 - Management Action Plan – the Chairman asked that the recommendation regarding Succession Planning should have the addition of the words “and this Committee”	Mairead Claydon/ S Haig	This was to be looked at as part of the update.
	c) The Chairman requested that in relation to control of consultancy expenditure, he wished to see regular reporting and asked that it should come back on a quarterly basis to Audit and Accounts Committee until the Committee was satisfied it was no longer needed.	S Haig	A report is included on the agenda.
	d) In reply to when the policy document would be available it was stated that it would be available for the January meeting. Action– also action for Democratic Services to add to agenda plan.	S Haig	While not available for the January Committee meeting a report including a revised policy document is included on the current agenda. ACTION COMPLETED

	<p>New Policy Document suggested changes</p> <p>e) Page 63 - paragraph 1.4 - with reference to value for money should be 1.1 and not what appeared to be an afterthought.</p> <p>f) Page 64 – The wording in bold on OPUS LGSS seemed to be contradictory and should be looked at again and an explanation provided on what it meant.</p> <p>g) Page 70 8.10 – on the last line reading “A summary of All ex-employees re-engaged as consultants will be presented to SMT/ CMT on a regular basis” - It was suggested that this should be on a quarterly basis and that this should be added to the wording.</p>	<p>S Haig</p> <p>MC</p> <p>MC</p>	<p>The final document is included on the agenda.</p> <p>Ditto response above under e)</p> <p>Ditto response above under e)</p>
11.	<p>MINUTE 134 REVIEW OF THE IMPLEMENTATION OF THE ‘CHANGE FOR CHILDREN PROGRAMME’ INCLUDING THE DEVELOPMENT OF SHARED SERVICES ACROSS CAMBRIDGESHIRE AND PETERBOROUGH’ Further update report to come forward to the July 2019 Committee meeting.</p>	<p>Rob Sander-son</p>	<p>Action: Democratic Services to add to Agenda Plan.</p>

12.	MINUTE 138 - INTERNAL AUDIT PROGRESS REPORT		
	<p>a) ERP Gold – The Chief Internal Auditor offered to provide a briefing note prepared for Section 151 officers on issues requiring to be addressed.</p> <p>b) Schools Payroll and Safe Recruitment – Review of CCC contracts with External Payroll Providers – noting that the meeting to discuss the recommendations had been postponed in September the Chairman asked that this be chased up as soon as possible. Action: Mairead Claydon</p>	Duncan Wilkin-son	<p>An oral update was not possible at the January meeting as the Chief Internal Auditor was on compassionate leave due to a bereavement. On his return he confirmed the briefing went to the Chairman on 21st November but as the Chairman could not recall receiving it, a further copy was sent on 29th January ACTION COMPLETED</p> <p>It was reported at the January Committee that the meeting with the payroll providers had taken place and the revised target date for implementation was 31st March. As this was after the March Committee the Chairman requested a progress update be included in the March Internal Audit Progress Report.</p> <p>Officers were still chasing on this. An oral update will be provided at the meeting.</p>
ACTIONS ARISING FROM THE MEETING HELD ON 24th JANUARY 2019			
13.	145. MINUTES ACTION LOG		
	<p>Page 28 12. Minute 132 - Community Transport Action Plan</p> <p>A) Action 40 - External officer to investigate inaccurate responses to Freedom of Information requests and for the Chief</p>	Action: Mairead Claydon	A full update is included in the update report on the agenda.

	Executive to share the findings with Committee		
	B) Page 30 Issues Management Action Plan – Use of Consultants Policy – update on when the updated Policy Document would be presented to the Committee –	Action: Note change of officer from Minute to Sarah Haig	<p>The January Committee was informed the Policy would either come back to the March or May Committee with updates on progress given if the final report was not available, as part of the Internal Audit Progress report.</p> <p>A separate report is included on the agenda.</p> <p>ACTION COMPLETED</p>
	C) Page 35 – Minute 138 Internal Audit Progress Report Item a) Systems assurance for ERP Gold – an oral update indicated that this would be reported back as part of the May (Annual) Internal Audit Report. As this was such an important issue for the accounts production and other areas of the council's work, the Chairman asked for a progress update to be included within the Internal Audit's March Progress report.	Action: Mairead Claydon	<p>A short update is included in the Internal Audit Progress Report on the agenda. A full update is expected to be able to be provided at the May meeting.</p> <p>ACTION ONGOING</p>
	D) Page 35 – Item c) Schools Payroll and Safe Recruitment - meeting update on meeting with External Payroll Providers to discuss the recommendations that had previously been postponed in September – the revised target date for implementation was 31 st March.		See 12b) response

	As this was after the March Committee there was a request for a progress update to be included in the March Internal Audit Progress Report.	Action: Mairead Claydon	
14.	MINUTE 147. STATEMENT OF ACCOUNTS PROGRESS UPDATE There was the suggestion of providing a 30 minute training seminar on a demonstration of the ERP gold accounts production tool in advance of the next meeting on 28th March.	Action: Jon Lee to discuss with Democratic Services	It was hoped that a training session could be set up between 1.20 to 1.50 before the current March Committee meeting but as the Pension Committee is meeting that morning and is expected to go on beyond 1.00 p.m. and includes the Chairman and Vice Chairman this will have to be scheduled for a future meeting
15.	MINUTE 148. LEVEL OF OUTSTANDING DEBT a) CCC had the highest percentage of credit notes at 13% compared to an average of 6%. There was a request in the next report back on providing more detail for the current high figure. b) Request that the head of Debt and Income to email the Committee on the position on outstanding debt when the mid-April position was known.	Action: Head of Debt and Income:	a) As the Head of Debt and Income left the authority shortly after the meeting the actions requested in a follow up report had been deferred to the May meeting. b) see response to a) above

	<p>c) Reference was made when discussing the difficulties in retaining staff on the three day closedown over the Christmas period whereby staff above a certain grade were forced to take this as unpaid leave. In relation to this, there was a request that the Chairman on behalf of the Committee should ask the Chief Executive what feedback she had received from staff on the closedown and that this be reported back to Members.</p>		<p>c) see response to a) above</p>
16.	MINUTE 149. ESTATES AND BUILDING MAINTENANCE INSPECTIONS		
	<p>a) To a more detailed paper should come back to the March Committee setting out the detail of who was responsible for the different council assets and how they recorded the inspections carried out.</p> <p>a) The report should make recommendations on how the assets should be recorded and managed, taking account the suggestions made at the meeting.</p> <p>b) Councillor Hudson to make available his original e-mail to the officers and Chairman as a basis for the information being requested.</p>		<p>A report with this information is included on the current agenda.</p> <p>See above.</p> <p>This was provided following the meeting. ACTION COMPLETED</p>

17.	<p>MINUTE 150 BREXIT IMPACT ASSESSMENT AND RESILIENCE PLANNING</p> <p>a) In discussion there was a request that the website link should also be included on the Council's face-book page and other social media / communication channels.</p> <p>b) the need all Members to have access to the report and slides. One Member suggested that this could be by way of an item on the next Member seminar, the next one being Friday in the following week.</p> <p>c) a further report should be presented:</p> <ul style="list-style-type: none"> • with a more detailed Impact Assessment document regarding identified risks showing each date the last title risk entry had been updated, and • more detail on the issues highlighted at the meeting with where practicable, any proposed remedies. 	<p>Christine Birchall Head of Communications and Information</p> <p>Democratic Services</p>	<p>This had been undertaken.</p> <p>ACTION COMPLETED</p> <p>The Members seminar for 1st February was already fully booked. The proposal was therefore taken to Group Leaders where it was concluded the report and slides and background information should be made available on the Members bulletin. This was undertaken.</p> <p>ACTION COMPLETED</p> <p>A report is included on the agenda.</p>

18.	<p>MINUTE 151 INTEGRATED RESOURCES AND PERFORMANCE REPORT TO END OF NOVEMBER 2018</p> <p>Page 134 - the Chairman expressed surprise that the indicator titled ‘the average journey time per mile’ had not been measured since August 2017. It was explained that some of the measures were only measured on an annual basis and would not be available until the next Financial Year. The Officers would check on whether this should have read August 2018 and whether this would result in a larger change in the next report. Action: T Barden</p>		<p>The congestion indicator was last updated in June 2018. We use academic year data for this indicator, so this was calculated using Sept 2016-Aug 2017 Trafficmaster data, which is why it is labelled Aug 2017. Trafficmaster is a very large national dataset based on GPS signals centrally purchased by Dept for Transport and provided to English Local Authorities. We are due to receive the 2017/18 data from Trafficmaster in April this year. As it is such a large dataset we have previously used a commercial service to perform analysis, but this service has been withdrawn. We are therefore currently investigating alternatives to calculate this indicator for the period to Aug 2018.</p> <p>ACTION COMPLETED</p>
19.	<p>MINUTE 154. INTERNAL AUDIT PROGRESS REPORT</p>		
	<ul style="list-style-type: none"> Page 215 Safe Recruitment Compliance – the Chairman expressed concern at the statement reading “HR are working with colleagues involved in delivery of ERP to <u>try</u> to progress this action”. While it was noted that the revised target date was 31st March as this was after the date of the next Committee, the March IA Progress Report should provide a progress update as this was such a sensitive area. 	<p>Action: Mairead Claydon</p>	<p>The update is included in the Internal Audit Progress Report.</p>