

AUDIT COMMITTEE	AGENDA ITEM No. 7
4 FEBRUARY 2013	PUBLIC REPORT

Cabinet Member(s) responsible:	Councillor Seaton, Resources Portfolio Holder	
Committee Member(s) responsible:	Councillor Lamb, Chair of Audit Committee	
Contact Officer(s):	Steve Crabtree, Chief Internal Auditor	☎ 384 557

FEEDBACK REPORT

1. ORIGIN OF REPORT

This is a standard report to Audit Committee which forms part of its agreed work programme.

2. PURPOSE AND REASON FOR REPORT

This standard report provides feedback on items considered or questions asked at previous meetings of the Committee. It also provides an update on any specific matters which are of interest to the Committee or where Committee have asked to be kept informed of progress.

3. APPENDICES

Appendix A - Feedback Responses

AUDIT COMMITTEE: RECORD OF ACTION TAKEN

MUNICIPAL YEAR: MAY 2012 - APRIL 2013

DATE ISSUE RAISED	AGENDA ITEM / ACTION ARISING	OFFICER RESPONSIBLE	ACTION TAKEN	SIGN OFF DATE
5 November 2012	<p>Item 4: Risk Management Strategy, Business Continuity Strategy and Update on Risk Management: Strategic Risks</p> <p>The Group Manager Construction, Compliance and Resilience, would include Members of the Audit Committee in the distribution of the quarterly Risk Management reports</p> <p>A further update would be provided at the February 2013 meeting on the Strategic Risk Register.</p> <p>CMT was to confirm to Audit Committee, which Executive Director had been delegated the appropriate seniority and authority to be accountable for the BCM policy and its implementation.</p>	Kevin Dawson	<p>The reports will be available following the first review of the revised Strategic Risk Register by CMT which is scheduled for June 2013.</p> <p>A workshop was held with CMT on 8 January and a first draft of the revised Strategic Risk Register is now out for review by Directors. It is anticipated that this revised version will be approved by CMT by the end of February 2013.</p> <p>Paul Phillipson has now confirmed as the Director accountable for BCM Policy and its implementation.</p>	10/1/13
5 November 2012	<p>Agenda Item 5: RIPA: Progress Report to 30 September 2012 and an update on RIPA policy changes</p> <p>That the Head of Governance would organise a report to be provided to Members, which would detail information regarding the number of investigations that were carried out following referrals from the</p>	Diane Baker	Report had been despatched to Members for the Audit Committee	18/1/13

	public, internal departments and regulatory checks.			
5 November 2012	<p>Agenda Item 6: Member Code of Conduct</p> <p>Refer the Audit Committees recommendation over appointment of Independent Members to Council.</p> <p>Consult Members of the Audit Committee over the appointment of Members to the Sub-committee to Audit Committee.</p> <p>That a further recruitment exercise was to be conducted in order to invite applicants for the two vacant Deputy Independent Member positions.</p> <p>The Solicitor to the Council would circulate details to Audit Committee Members of the first candidate recommended for appointment to the Sub-Committee to the Audit Committee, prior to seeking approval at Council.</p>	Helen Edwards	All actions completed.	10/01/13
5 November 2012	<p>Agenda Item 8: Internal Audit: Mid Year Progress Report</p> <p>Internal Audit: Mid Year Progress Reports</p> <p>1. Provide Members of the Audit Committee with the appropriate details surrounding who had put together the tender information for the company identified as being provided with an unfair advantage over a tender bidding exercise following an ex-employees access to procurement systems.</p>	Steve Crabtree	<p>1. Tendering Review</p> <p>Members were informed that an ex-employee had accessed documents at the Council to build up a tender submission. The documents were accessed via the internet into a number of web based systems used by the Council. On identification and referral to the Police it was established that the company had in no way been involved in the deception. The company having been informed of the issues</p>	21/1/2013

	<p>2. Provide the audit report to Members of the Audit Committee, which had detailed the investigation into the City Water Festival payment allegations.</p> <p>3. Provide Members with details of the critical action identified for Direct Payments.</p>		<p>withdrew from the process, allowing the tender process to continue. The tender was successfully awarded.</p> <p>A number of internal systems accessed through the web, for example as a result of home working have been identified. Instructions have been established to reduce the potential risks in future.</p> <p>2. City Water Festival</p> <p>A copy of the full audit report was provided to Members of the Audit Committee.</p> <p>3. Direct Payments</p> <p>The critical recommendation was that: “The Interim Assistant Director, Care Services Delivery, should ensure that ASC Management action overdue care reassessments so that they are performed promptly within the statutory time frame.”</p> <p>It resulted from a review of the February 2012 report on all overdue care package reassessments (also known as the monthly breach report), which showed that 58 out of a total of 5102 care cases have overdue reassessments greater than 12 months (this includes all care packages, not just those relating to direct payments). There is a statutory requirement to review care packages at least annually.</p>	
5 November	Item 9: Use of Consultants			

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