

Audit & Risk Management Committee Action Sheet – Issues raised at previous meetings.

Committee Meeting	17 October 2019
<p>Min. No. 295 – Statement of Accounts – Action Plan Update</p> <ol style="list-style-type: none"> 1. Finance to send out reports on the action plan, between committee meetings. <p>Min. No. 298 – ARMS Service Progress Report.</p> <ol style="list-style-type: none"> 1. Request by the Chair regarding where members of the Shareholder Board, for part owned companies, report their findings. 2. Request by Cllrs Gunawardena & David-Sanders for a copy of the full audit report regarding Part Owned Companies. 3. Request by Fay Hammond that a report be heard about what the proposals are to deal with school's issues following the 'Limited Assurance' given to Merryhills Primary School. 4. Peter Nwosu asked which schools had not been audited in the last 3 years. 5. In response to Cllr Leavers question regarding an invitation to Merryhills Primary School to attend committee, Fay Hammond proposed that a set of proposals be compiled to note what the options are. <p>Min. No. 299 – Corporate Risk Register</p> <ol style="list-style-type: none"> 1. Cllr David-Sanders queried the medium rating, in the register, for Part Owned Companies and in light of 	<p>Gareth Robinson to provide one-page briefings to the committee between meetings as the next committee meeting is 16 January 2020.</p> <p>Gemma Young to investigate and to provide feedback to members at the 16 January 2020 committee meeting.</p> <p>Gemma Young to provide report.</p> <p>Gemma Young to provide the report and to include details on any outstanding actions and how long they have been outstanding for.</p> <p>Gemma Young</p> <p>Gemma Young would research what other committees do and bring back a set of options to the 16 January 2020 committee meeting.</p> <p>Gemma Young to refer this to the Director of Law & Governance to review and report back to the 16 January 2020 committee meeting.</p>

<p>the 'No Assurance' for the Part Owned companies audit, felt this should be reviewed/updated.</p>	
<p>Committee Meeting</p>	<p>3 October 2019</p>
<p>Min. No. 279 – Final Internal Audit Report – Commissioning (Brokerage)</p> <ol style="list-style-type: none"> 1. Bindi Nagra requested that the Brokerage Audit be added again to the audit plan for next year. 2. Councillor Leaver requested that a further Brokerage report be bought back to the committee in 6 months time: <ul style="list-style-type: none"> • To show the actual process being used to ensure that it is fair and reasonable. • To show value for money and that the service is delivering for vulnerable people and that ASC involvement has made a material difference 	<p>Gemma Young to action.</p> <p>Doug Wilson (Head of Strategy & Service Development) to provide the report for the 5 March 2020 Committee meeting.</p>
<p>Min. No. 280 – Statement of Accounts</p> <ol style="list-style-type: none"> 1. Proposal by the committee that The Director of Law & Governance reports to Full Council that an Independent Member has not completed and returned the Party Transactions form back to the Council. 	<p>Jeremy Chambers to notify Full Council.</p>
<p>Min. No. 281 – LBE – Action Plan</p> <ol style="list-style-type: none"> 1. Head of Corporate Finance to provide monthly update reports to the committee on the statement of accounts. 	<p>Gareth Robinson to provide monthly updates.</p>
<p>Min. No. 284 – Brexit Risk for Local Authorities</p> <ol style="list-style-type: none"> 1. Head of Internal Audit & Risk Management to provide 	<p>Gemma Young to present at a future Committee meeting.</p>

<p>the Brexit longer term risks, looking over the next 3 years.</p>	
<p>Committee Meeting: 6 March 2019</p>	
<p>Min. No. 995 – BDO – Grants Returns Certification Report 2017/18</p> <p>1. Civica System</p> <p>Min No. 998 – Local Authorities Trading Companies Update</p> <p>1. Council Companies ownership</p>	<p>BDO had identified a system error within the Civica system. Fay Hammond would speak with Civica to change the way the system works and the way the information is extracted.</p> <p>Nicky Fiedler would update the committee with further accurate details of partial percentage ownership of the Council’s companies.</p>
<p>Committee Meeting: 24 January 2019</p>	
<p>Min No. 949 – Service Enabling Risk Registers – Resources & Chief Executive</p> <p>1. Request by Cllr David-Sanders as to when the Cyber Security Audit Review had/when taken place.</p> <p>2. Cllr Yusuf asked if GDPR mandatory training is also extended to all new and existing councillors.</p> <p>3. Cllr Leaver asked for details of insurance claims against the Council.</p> <p>Min No. 950 – Universal Credit Update</p> <p>1. In connection with Universal Credit claimants and those residents who need to open bank accounts to claim UC.</p> <p>Min No.952 – Internal Audit</p>	<p>Fay Hammond would speak with Kari Manovitch (Acting Director of Customer Experience & Change) and report back to the committee.</p> <p>Director of Law & Governance would check and report back to the committee</p> <p>Gemma Young – (Head of Internal Audit & Risk Management) would try and bring statistics to the 6 March committee meeting.</p> <p>Fay Hammond would be getting a strategy together in terms of engaging with the credit union and Citizen’s Advice Bureau (CAB). Sally Sanders (Head of Financial Assessment) would also be inviting the DWP, Credit Union and CAB to the UC workshop for councillors, once set up.</p>

<p>Progress 2018/19</p> <p>1. The committee requested the deadlines/timelines that managers are given to action audit recommendations. What the percentage was for managers implementations by the deadlines.</p>	<p>Gemma Young would investigate and report back to the committee.</p>
<p>Committee Meeting: 18 October 2018</p>	
<p>Min No. 815 – Internal Audit Progress Report 2018/19</p> <p>1. The Committee requested that figures produced in service progress reports should have comparisons to previous years i.e. Managers progress with implementing internal audit actions.</p>	<p>Gemma Young will be including comparison figures from previous years by the next scheduled meeting on 10 January 2019. (Gemma Young – Head of Internal Audit & Risk Management)</p>
<p>Committee Meeting: 5 July 2018</p>	
<p>Min No. 661 – Draft Statement of Accounts 2017/18.</p> <p>1. Joint representations to try and get fund managers to move more quickly in terms of valuing individual private equity investments.</p> <p>2. The committee asked for an understanding of reserves and if there was a reserves policy and benchmarking statistics of other Local Authorities.</p> <p>3. The committee required a level of disclosure in terms of the Council’s companies and their investments.</p>	<p>To invite one of the Council’s fund managers to a future committee meeting to answer questions about customer dissatisfaction. (Fay Hammond – Director of Finance)</p> <p>Finance to provide a table of reserves to a future meeting, setting out each reserve and how they are calculated. When the next set of benchmarking statistics is available, these would be circulated to the Committee. (Fay Hammond – Director of Finance)</p> <p>Finance clarified that the disclosure of company information was not a required disclosure but it could be a discretionary disclosure. (Fay Hammond – Director of Finance)</p>
<p>Committee Meeting: 26 July 2018</p>	

Min No.685 – Gypsy and Traveller Position in Enfield.

1. The Committee to give further consideration to the following outcomes:
 - The outcome of the assessment of needs of the Gypsy and Traveller community and any recommendations as to the need for the Council to identify a 'pitch'.
 - The revised agreed protocol between the Metropolitan Police and the Council.
 - The business case and budget implications of implementing the revised protocol.

Min No.687 – Internal Audit Progress Report 2018/19.

The committee raised questions about the agreed timescales with managers for implementing audit recommendations and for more detail about overdue high risk recommendations.

For a future committee meeting.
(Director of Property)

Christine Webster to provide clarity on the next Internal Audit progress report.
(Christine Webster – Head of Internal Audit).