

Decision Maker: AUDIT SUB-COMMITTEE

Date: 26th February 2020

Decision Type: Non-Urgent Non-Executive Non-Key

Title: MATTERS OUTSTANDING

Contact Officer: Stephen Wood, Democratic Services Officer
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Chief Officer: Mark Bowen, Director of Resources

Ward: N/A

1. Reason for report

To update the Audit Sub-Committee on progress with Matters Arising (Part 1) from previous meetings and noting any matters that are still outstanding.

2. RECOMMENDATION(S)

To note and comment on progress with matters outstanding from previous meetings.

To recommend any action as deemed appropriate with respect to matters that have not been resolved.

Corporate Policy

1. Policy Status: Existing Policy:
 2. BBB Priority: Excellent Council
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Financial

1. Cost of proposal: Not Applicable:
 2. Ongoing costs: Not Applicable:
 3. Budget head/performance centre: Democratic Services
 4. Total current budget for this head: £358,740
 5. Source of funding: 2019/2020 revenue budget
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Staff

1. Number of staff (current and additional): 8 posts 6.79fte)
 2. If from existing staff resources, number of staff hours: Completion of “Matters Arising” reports for the Audit Sub Committee normally takes a few hours per meeting.
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Legal

1. Legal Requirement: None:
 2. Call-in: Not Applicable:
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Customer Impact

1. Estimated number of users/beneficiaries (current and projected): This report is intended primarily for the benefit of members of the Audit Sub-Committee so that Committee Members can monitor progress made on matters that are outstanding.
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Ward Councillor Views

1. Have Ward Councillors been asked for comments? Not Applicable
2. Summary of Ward Councillors comments: N/A
3. **COMMENTARY**

Attached is a schedule of matters outstanding from previous meetings of the Audit Sub Committee with a note of progress made. Most of these issues are taken up in more detail in the progress reports on the agenda (parts 1 and 2). Once an outstanding matter has been completed it will be removed from the schedule.

Non-Applicable Sections:	Policy/Financial/Legal/Personnel
Background Documents: (Access via Contact officer)	Previous Minutes of Audit Sub Committee.

Appendix 1

Issue & Date	Summary	Update and/or Action being taken.	By	Completion date if known
Minute 21 17th October 2019 Internal Audit Progress Report Starters and Leavers	A Member stated that as the consensus of the Committee was that this was an urgent and serious matter, a referral should be made from the Audit Sub-Committee elsewhere for further discussion and action. Members discussed where the matter should be referred to and it was felt that the matter should probably be referred to the Chief Executive .	On the 12th November 2019, the Head of Audit & Assurance presented a paper to a meeting of the Corporate Leadership Team which was chaired by the Chief Executive. It made clear in the paper that at the Audit Sub Committee Meeting of 17th October, Members expressed their views on a number of priority one recommendations. Relevant extracts from the minutes were included in the paper and the audit review of Starters and Leavers had revealed many areas where management attention was required. It was followed by a discussion and a requirement from the Chief Executive that Directors and Heads of Service should deal with the recommendations as a priority.	Directors and Heads of Service	Completed
Minute 21 17th October 2019 Internal Audit Progress Report Adult Mental Health Contract	Members were updated regarding progress made in implementing the 3 P1 recommendations identified in the June report regarding the management of the Adult Mental Health Contract . It was anticipated that the final sign off of the Deed of Variation of the contract would take place imminently. However, Internal Audit would not close the recommendation until it was evidenced that the document was signed.	A copy of the agreement was received from the Head of Early Intervention on 15/11/19 with the signed, dated and sealed agreement attached.	Head of Early Intervention.	Completed
Minute 21 17th October 2019 IAPR. Leaving Care Audit	The Audit Team would (with respect of the Leaving Care Audit) provide further information to the Committee regarding the nature of the ' BOXI ' report.	BOXI is also known as 'Business Objects' and is the query and analysis reporting tool for CareFirst. BOXI reports are used widely by CareFirst users including the Finance, Commissioning and Performance teams. An update on the Priority 1 recommendation is included in the progress report.	Head of Audit and Assurance	Completed

Minute 21 17th October 2019	The Head of Audit and Assurance would investigate if any information was provided to the Licensing Team from the Planning Department in cases where planning permission was requested for a multiple bedroom property.	<p>It has been confirmed that the Planning Department will continue to provide information in relation to large HMO's to Environmental Health Housing and now also Council Tax, where planning permission has been requested.</p> <p>Additionally, Environmental Health Housing will notify Council Tax of new HMO applications and a process procedure has been prepared by them. Council Tax will have reciprocal arrangement also. This process is also now in place as agreed by officers.</p>	Planning Department Environmental Health Housing.	Closed. Closed.
Minute 21 17th October 2019	Members would wait for the update on Strategic Property being provided to the ER&C Committee in November, before deciding whether or not any officers should be asked to attend the Audit Sub-Committee	This matter is ongoing and an update will be provided at the meeting.	Head of Asset and Investment Management	Ongoing
Minute 21 17th October 2019	A Member stated that the matter was damaging to the Council's reputation and that steps should now be taken to resolve the matter urgently.	<p>Auditors from KPMG met with the Director of Environment and Public Protection and the Chief Accountant on the 17th December.</p> <p>The Director has now provided further response to the questions that KPMG put, seeking greater detail around 15 of the responses that had originally been sent to them. There was some difficulty in achieving this as they are dealing with the accounts for 16/17 and key officers involved have left the authority.</p> <p>These were sent to KPMG on 29 January. At the meeting the Auditors were of the view that this process could take in the region of six months, as when they reach a provisional conclusion, a response has to go back to the original complainant and they have to be afforded time to comment further, there would then appear to a further iteration of this process.</p> <p>This is all subject to KPMG accepting the answers/information provided.</p>	KPMG	Ongoing
Minute 21 17th October 2019	The Head of Audit and Assurance would (at the next meeting of the Corporate Health and Safety Group) check for full compliance	The issue was discussed at the meeting of the Corporate Health and Safety Group. Following this, the Director of HR and Customer	Director of HR	

IAPR. Health and Safety	with the Health and Safety Act and report back to the Committee.	Services (who is the lead on Health and Safety) undertook to provide a response to the Committee. This is attached as an appendix.		
Minute 21 17th October 2019 IAPR. £1m Income Generation Plan	An update is provided to the Committee regarding the £1m Income Generation Plan. This should include some firm figures concerning any income that has been generated.	This matter is ongoing and an update will be provided at the meeting.	Head of Asset and Investment Management	Head of Asset and Investment Management