

## ABERDEEN CITY COUNCIL

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<b>COMMITTEE</b>	Audit, Risk and Scrutiny Committee
<b>DATE</b>	26 June 2018
<b>REPORT TITLE</b>	Internal Audit Reports – Follow-up of Agreed Recommendations
<b>REPORT NUMBER</b>	IA/18/009
<b>DIRECTOR</b>	N/A
<b>REPORT AUTHOR</b>	David Hughes
<b>TERMS OF REFERENCE</b>	2.3

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### **1. PURPOSE OF REPORT**

- 1.1 This report advises the Committee of progress made by Services with implementing recommendations that have been agreed in Internal Audit reports.

### **2. RECOMMENDATIONS**

- 2.1 The Committee is requested to review, discuss and comment on the issues raised within this report and the attached appendices.

### **3. BACKGROUND / MAIN ISSUES**

- 3.1 Appendices A and B show progress made by Services with completing agreed Internal Audit recommendations, based on assurances received from officers tasked with their implementation and independent checks where appropriate. Where all recommendations contained in individual reports issued before 1 April 2018 have been completed, these are no longer shown in the appendices.
- 3.2 Where recommendations have not been completed by their original due date, reasons are provided along with the grading applied to the recommendation in the original Internal Audit report. An explanation of the gradings used is shown on the first page of appendix B. Details of overdue recommendations are now also being monitored by the Corporate Management Team.

### **4. FINANCIAL IMPLICATIONS**

- 4.1 There are no direct financial implications arising from the recommendations of this report.

**5. LEGAL IMPLICATIONS**

5.1 There are no direct legal implications arising from the recommendations of this report.

**6. MANAGEMENT OF RISK**

6.1 The Internal Audit process considers risks involved in the areas subject to review. Any risk implications identified through the Internal Audit process are detailed in the resultant Internal Audit reports. Recommendations are made to address the identified risks and Internal Audit follows up progress with implementing those that are agreed with management. Those not implemented by their agreed due date are detailed in the attached appendices.

**7. OUTCOMES**

7.1 There are no direct impacts, as a result of this report, in relation to the Local Outcome Improvement Plan Themes of Prosperous Economy, People or Place, or Enabling Technology, or on the Design Principles of the Target Operating Model.

7.2 However, Internal Audit plays a key role in providing assurance over, and helping to improve, the Council’s framework of governance, risk management and control. These arrangements, put in place by the Council, help ensure that the Council achieves its strategic objectives in a well-managed and controlled environment.

**8. IMPACT ASSESSMENTS**

Assessment	Outcome
<b>Equality &amp; Human Rights Impact Assessment</b>	An assessment is not required because the reason for this report is for Committee to review, discuss and comment on the outcome of an internal audit. As a result, there will be no differential impact, as a result of the proposals in this report, on people with protected characteristics.
<b>Privacy Impact Assessment</b>	Not required
<b>Duty of Due Regard / Fairer Scotland Duty</b>	Not applicable

**9. APPENDICES**

9.1 Appendix A – Position with Agreed Recommendations – Summary.

9.2 Appendix B – Position with Agreed Recommendations – Cross Service.

9.3 Appendix C – Position with Agreed Recommendations – Commissioning.

- 9.4      Appendix D – Position with Agreed Recommendations – Customer.
- 9.5      Appendix E – Position with Agreed Recommendations – Operations.
- 9.6      Appendix F – Position with Agreed Recommendations – Resources.
- 9.7      Appendix G – Position with Agreed Recommendations – Governance.
- 9.8      Appendix H – Position with Agreed Recommendations – Health and Social  
Care Partnership.

**10.      REPORT AUTHOR DETAILS**

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# APPENDIX A – SUMMARY

## POSITION WITH AGREED RECOMMENDATIONS AS AT 14 JUNE 2018

The following table provides a summary of progress being made by Services with completing agreed recommendations.

On 8 May 2018, the Committee was advised that, as at 25 April 2018, there were 45 recommendations which were due to have been completed by 28 February 2018 which were not fully complete. This has reduced to 38.

The total not fully complete, which had an original due date of before 30 April 2018, is 60. Full details relating to progress, on a report by report basis, are shown in appendices B to H.

Recommendations							Grading of Overdue Recommendations		
SERVICE	Agreed in reports shown in Appendices B to H	Due for completion by 28.02.18	Confirmed complete by Service	New in March to April 2018	Confirmed complete by Service	Not fully complete by original due date	Major	Significant	Important
<b>Cross Service</b>	52	52	46	0	0	6	0	3	3
<b>Commissioning</b>	25	24	19	0	0	5	0	5	0
<b>Customer</b>	27	9	9	6	5	1	0	1	0
<b>Operations</b>	174	132	114	16	7	27	1	21	5
<b>Resources</b>	81	18	15	38	27	14	0	12	2
<b>Governance</b>	31	14	11	2	1	4	0	3	1
<b>Health &amp; Social Care</b>	84	41	38	3	3	3	0	3	0
<b>Total</b>	474	290	252	65	43	60	1	48	11

# KEY TO COLOURING USED IN FOLLOWING APPENDICES

## Recommendation Grading:

Grading	Definition
Major	The absence of, or failure to comply with, an appropriate internal control which could result in, for example, a material financial loss, or loss of reputation. Financial Regulations have been consistently breached.
Significant	Addressing this issue will enhance internal controls. An element of control is missing or only partial in nature. The existence of the weakness identified has an impact on a system's adequacy and effectiveness. Financial Regulations have been breached.
Important	Although the element of internal control is satisfactory, a control weakness was identified, the existence of the weakness, taken independently or with other findings does not impair the overall system of internal control.

## Length of time overdue

Over 12 months
6 to 12 months
Less than 6 months

# **APPENDIX B**

# **CROSS SERVICE**

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 30.04.18	Confirmed Implemented by Service	Not implemented by original due date	

AC1604	Corporate Policies and Procedures	March 2016	2	2	1	1	1 Important
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The position with the overdue recommendation is as follows:

Chief Officer	Overdue Recommendation	Grading / Due Date	Position
Governance	The Council should ensure a timetable is put in place for implementation of a policy framework for all Council policies (2.1.5)	Important March 2017	<p>As reported to Committee since June 2017, the Governance Review Board is monitoring progress of this project through the wider Governance Review Programme and had agreed to extend the collation / housekeeping aspect to the end of August 2017. Since September 2017, the Committee has been advised that the draft Framework has been developed and was ready to be submitted to the Governance Review Board in September 2017 for consideration. This did not happen as the Board was prioritising the Scheme of Governance documentation as per a Council decision.</p> <p>The Committee was advised in February 2018, that the Service had advised was that the Corporate Policy Framework will be referred to the Governance Delivery Board on the 15 February, 2018, with a recommendation that the Governance Function (which will include the remit for Corporate Policies) take ownership of it and ensure that it is in keeping with the design of the new function.</p> <p>As reported to Committee in May 2018, the latest update from the Service is that a register of policies has been established and that work to develop a Policy Framework outlining the process and key principles to be followed for developing, categorising, approving and reviewing policies is aimed for completion by December 2018.</p>

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 30.04.18	Confirmed Implemented by Service	Not implemented by original due date	

<b>AC1623</b>	<b>Compliance with Procurement Legislation</b>	June 2016	28	28	27	1	1 Significant
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The position with the overdue recommendations is as follows:

Chief Officer	Recommendation	Grading / Due Date	Position
Integrated Children's and Family Services	The Service should ensure that spend on supplies which are likely to be used by more than one school is forecast so that appropriate Committee approval and tendering can be completed for aggregate spend (2.4.7)	Significant September 2016	<p>As reported previously, the Service was in the process of identifying expenditure across the schools. It was anticipated that this would be completed by March 2017 and that expenditure across other Directorates would have to be considered. The Service then advised that, as there is currently no system to allow identification of collected spend on an item by item basis, it was more appropriate at that time to adopt a common sense approach to tackling the issue of compliance in overall school spend. The Service was therefore targeting the commodities that all schools would have a requirement for, eg transport for school trips. In the case of school trips, there is significant spend not currently covered by contract and the creation of a contract would significantly reduce the time taken by schools when seeking quotes for transport. The update at the September 2017 meeting of the Committee was that the Service anticipates that it will take until March 2018 to address this one issue.</p> <p>The Committee was advised in May 2018 that the latest update from the Service is that this work is now being progressed through the development of the newly introduced procurement work plan. It is anticipated that the work plan will be in place by June 2018.</p>



Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 30.04.18	Confirmed Implemented by Service	Not implemented by original due date	

<b>AC1716</b>	<b>Timesheets and Allowances</b>	February 2017	9	9	8	<b>1</b>	<b>1 Significant</b>
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Progress with implementing the four recommendations that are overdue is as detailed below.

Chief Officer	Recommendation	Grading / Due Date	Position
People and Organisation	Where it is agreed that breaks will be paid, a register should be maintained of agreements providing details of the staff groups affected (2.3.5 (2))	<b>Significant</b>	As reported to the September 2017 meeting of Committee, HR advised that, due to the nature of work being undertaken in the area identified, there will be no deduction of unpaid break and risk assessments will be carried out for working over 6 hours with no break. Work is underway to seek approval for an amendment to the collective agreement the Council has with the Trade Unions for this group of staff. It was anticipated that this will take until the end of December 2017 to resolve.  The latest update from the Service, as advised to Committee in February 2018, is that there are some issues to resolve in relation to the content of the document and it is still the Service's aim to try and get agreement from all recognised Trade Unions. However, it is anticipated that this will take until the end of June 2018 to achieve.
		<b>July 2017</b>	

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 30.04.18	Confirmed Implemented by Service	Not implemented by original due date	

<b>AC1804</b>	<b>Business Continuity Planning</b>	August 2017	13	13	10	<b>3</b>	1 Significant 2 Important
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Progress with implementing the recommendations that are overdue is as detailed below.

Chief Officer	Recommendation	Grading / Due Date	Position
Head of Commercial & Procurement Services	CPS should update Procurement Guidance Notes to reflect the requirement to obtain a Key Supplier Assessment Questionnaire for Key Suppliers (2.4.2)	Significant	The Committee was advised in February 2018 that The Service had advised that this was being included in a review of procurement guidance notes which would be complete by the end of February 2018.  The Committee was advised in May 2018 that the latest update from the Service is that the manual is anticipated to completed and distributed by June 2018.
		October 2017	
Governance	Service Risk Registers should be put in place for all service areas (2.7.2 a i)	Important	The Committee was advised in February 2018 that the Service had advised that a Risk Management Framework will be reported to AR&S Committee in February 2018 which will require business continuity plans to be considered as a control to reduce the impact of a risk, and that 'functional' risk registers (in the new structure) are to be reviewed at least quarterly by the new function management teams and directors. It was anticipated that the requirements of the Framework would be implemented by June 2018.
		December 2017	
Governance	The Corporate, Directorate and Service Risk Registers should be reviewed to identify emergent risks requiring to be mitigated by Business Continuity Plans (2.7.2 a ii)	Important	The latest update from the Service is that Risk Registers are being developed within each Council Function, with reference to the LOIP outcomes and Business Continuity Plans. Registers will be reported to the Audit, Risk and Scrutiny Committee and to other committees where appropriate. Reporting is scheduled for the period September to December 2018.
		December 2017	

**APPENDIX C**  
**COMMISSIONING**

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 30.04.18	Confirmed Implemented by Service	Not implemented by original due date	

<b>AC1621</b>	<b>ALEOs</b>	February 2016	10	10	6	<b>4</b>	<b>4 Significant</b>
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The position with the overdue recommendations is as follows:

Chief Officer	Recommendation	Grading / Due Date	Position
Head of Commercial & Procurement Services	Services should ensure that there is an up to date Service Level Agreement with each ALEO (2.2.6 (a))	Significant	As reported to Committee since September 2017, Commercial and Procurement Services have stated that it is anticipated it will take around 12 months to get new agreements in place.  Implementation of these recommendations will, therefore, be delayed until August 2018.
		June 2017	
Head of Commercial & Procurement Services	Services should ensure all ALEO SLAs confirm performance reporting requirements, and state that ongoing funding is subject to evidenced satisfactory performance (2.2.6 (b))	Significant	
		June 2017	
Head of Commercial & Procurement Services	Services should ensure financial clauses in all SLAs accurately reflect the partners' intentions (2.4.9 (i))	Significant	
		June 2017	

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 30.04.18	Confirmed Implemented by Service	Not implemented by original due date	

*(AC1621 – ALEOs – Continued)*

Chief Officer	Recommendation	Grading / Due Date	Position
Head of Commercial & Procurement Services	Services should ensure all material ALEO SLAs contain a requirement for Internal Audit arrangements, and facilitate reporting of assurance gained through these arrangements to the Council (2.4.11)	Significant	As above.
		June 2017	

<b>AC1722</b>	<b>ALEOs – Management by Services</b>	August 2017	15	14	13	<b>1</b>	<b>1 Significant</b>
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The position with the overdue recommendation is as follows:

Chief Officer	Recommendation	Grading / Due Date	Position
Head of Commercial & Procurement Services	Education and Children’s Services should review options for performance management within future ALEO agreements (2.4.3)	Significant	This forms part of Education and Children’s Services review of ALEO management arrangements. Two of the Sports ALEOs are being reviewed and a report was to be presented to the Finance, Policy and Resources Committee in December 2017. Following a decision at that Committee, the Service Operating Agreement in place is to be amended and will include revised performance monitoring indicators. It is anticipated that this will be complete by June 2018.
		September 2017	

**APPENDIX D**

**CUSTOMER**

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 30.04.18	Confirmed Implemented by Service	Not implemented by original due date	
<b>AC1810</b>	<b>Major IT Business Systems</b>	December 2017	11	11	11	<b>0</b>	0
<b>AC1822</b>	<b>YourHR</b>	February 2018	8	4	3	<b>1</b>	<b>1 Significant</b>
The position with the overdue recommendation is as follows:							
Chief Officer	Recommendation	Grading / Due Date	Position				
Digital and Technology	The Service should introduce an independent review over the changes made by system administrators (2.5.2)	<b>Significant</b> <b>March 2018</b>	The Service has advised that changes are approved through the change control board before being implemented and that they will endeavour to further independently review changes on an annual basis through an independent technical advisor.  This should be concluded by July 2018.				
<b>AC1825</b>	<b>Housing Support Budget</b>	April 2018	8	0	0	<b>0</b>	0

**APPENDIX E**

**OPERATIONS**



Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 30.04.18	Confirmed Implemented by Service	Not implemented by original due date	

<b>AC1602 AW</b>	<b>Craft Workers Terms and Conditions</b>	October 2015	9	9	5	4	1 Major 3 Significant
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The position with the overdue recommendations is as follows:

Chief Officer	Recommendation	Grading / Due Date	Position
Operations and Protective Services	The Service should renegotiate the Agreement based on current working practice (2.2.6)	Major June 2016	<p>As reported previously, the Service advised that all recommendations were being progressed through discussion and negotiation, and that it was anticipated they would all be resolved by December 2016. The Service then advised that they were discussing a renewed craft agreement with trade workers and unions. Meetings had taken place and others were due in January leading into February 2017. The Service was hopeful that an agreement could be signed as soon as possible in 2017. The June 2017 meeting of the Committee was advised that the craft agreement had to be agreed at a regional level by the unions. At that stage, until other union matters are resolved, progress had stalled but it was hoped that discussions would resume in the near future.</p> <p>The update provided to Committee in September 2017 was that this has been delayed further to June 2018.</p>

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 30.04.18	Confirmed Implemented by Service	Not implemented by original due date	

Chief Officer	Recommendation	Grading / Due Date	Position
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*(AC1602AW – Craft Workers Terms and Conditions – Continued)*

Operations and Protective Services	The Service should complete the roll out of the hand held system to ensure that periods of stand-by are covered (2.3.13)	Significant	As reported previously, this had been partially implemented and piloted and would be fully implemented with the new craft agreement. The June 2017 meeting of the Committee was advised that the craft agreement had to be agreed at a regional level by the unions. At that stage, until other union matters are resolved, progress had stalled but it was hoped that discussions would resume in the near future.  The update provided to Committee in September 2017 was that this has been delayed further to June 2018.
		June 2016	
Operations and Protective Services	The Service should consider whether such payments remain appropriate (2.3.14)	Significant	As reported previously, this is being reviewed as part of the new craft agreement, as per 2.2.6 above.
		June 2016	
Operations and Protective Services	The Service should consider whether calls that have been cancelled within a short period of having been lodged should be verified to confirm the identity of the caller (2.3.16)	Significant	As reported previously, this was being reviewed as part of the new craft agreement, as per 2.2.6, above, and discussions will take place with housing management. The June 2017 meeting of the Committee was advised that this will be addressed when additional IT is introduced to the call out service.  The update provided to Committee in September 2017 was that this has been delayed further to June 2018.
		June 2016	

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 30.04.18	Confirmed Implemented by Service	Not implemented by original due date	
<b>AC1608</b>	<b>Trade Waste</b>	January 2016	14	14	12	<b>2</b>	<b>2 Significant</b>

The position with the overdue recommendations is as follows:

Chief Officer	Recommendation	Grading / Due Date	Position
Operations and Protective Services	The Service should implement reconciliations between records of work completed, work invoiced, and income received, to ensure that income has been received for the provision of all goods and services (2.1.10)	Significant	The Service has advised, as reported to Committee in February 2018, that these recommendations are dependent on implementation of a new management system. This is due to go live in February 2018 for household waste and April 2018 for Trade Waste.  The latest update from the Service is that development of the new system has encountered problems and, as a result, it will now take until August 2018 to implement these recommendations.
		September 2016	
Operations and Protective Services	The Service should introduce checks to ensure the accuracy and completeness of all invoices raised (2.1.12)	Significant September 2016	

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
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<b>AC1618</b>	<b>Vehicle and Driver Records</b>	April 2016	22	22	20	<b>2</b>	<b>2 Significant</b>
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The position with the overdue recommendations is as follows:

Chief Officer	Recommendation	Grading / Due Date	Position
Operations and Protective Services	Fleet should work with Services to determine their ongoing fleet requirements, in line with these principles, in advance of any further significant procurement exercises (2.1.2ii)	Significant November 2016	As reported previously, the Service advised that surveys were sent out to all Services in late 2016 requesting information on vehicle and plant usage. The returns indicated that all Services required their vehicles for the maximum time with no spare capacity. The results of the telematics trial detailed below will help inform decisions.

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 30.04.18	Confirmed Implemented by Service	Not implemented by original due date	

Chief Officer	Recommendation	Grading / Due Date	Position
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*(AC1618 – Vehicle and Driver Records – Continued)*

Operations and Protective Services	Fleet should seek to identify 'excess' vehicles promptly in order to maximise resale value where vehicles are not required (2.1.2iii)	Significant	<p>As reported previously, in January 2017, the Communities, Housing and Infrastructure Committee approved a telematics trial that would take place on 10 vehicles over a 3-6 month period. Should this trial prove successful, Fleet would present the results and seek further approval to implement a telematics system for all fleet vehicles and plant. The results of the trial would demonstrate vehicle performance, driver behaviour and utilisation; the benefits will include increased utilisation and potential fleet reduction saving cost pressures on maintenance, fuel and department budgets. Initial results were anticipated by September 2017. The Committee was advised in November 2017 that information from the above trial was expected by the end of October 2017 whilst a further 2 or 3 systems were about to be trialled. The outcome would be known by the end of December 2017.</p> <p>The latest update from the Service is that a further three additional systems have been on trial (all free) and data from these is expected by the end of May 2018.</p>
		November 2016	

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 30.04.18	Confirmed Implemented by Service	Not implemented by original due date	

<b>AC1705</b>	<b>Roads Payroll</b>	August 2016	22	21	20	1	1 Important
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The position with the overdue recommendation is as follows:

Chief Officer	Recommendation	Grading / Due Date	Position
Operations and Protective Services	The Service should review options to ensure all relevant duties (including supervision, administration and vehicle checks) can be completed within contractual hours (2.2.13)	Important February 2017	As reported previously, the Service advised that this will now form part of a wide restructure of the Roads Service which was underway. Once the two senior posts are recruited to, the working patterns will be part of the formal review for the remainder of the Service. It was anticipated that this would take to the end of December 2017 to complete.  The latest update from the Service, as reported to Committee in February 2018, is that recruitment to the two posts has not been successful. Internal Audit will follow-up progress after August 2018.

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 30.04.18	Confirmed Implemented by Service	Not implemented by original due date	

<b>AC1808</b>	<b>Vehicle Maintenance</b>	October 2017	20	13	10	<b>3</b>	<b>2 Significant</b> <b>1 Important</b>
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The position with the overdue recommendations is as follows:

Chief Officer	Recommendation	Grading / Due Date	Position
Operations and Protective Services	The Service should ensure that cash holding limits are agreed and that the limits are strictly adhered to (2.2.2)	<b>Important</b>	The Service has confirmed that cash holding limits have not yet been agreed but they are pursuing a cashless system at the workshops.
		April 2018	
Operations and Protective Services	The Service should ensure it has assurance over compliance with the working hours requirements of the Working Time Regulations (2.8.3b)	<b>Significant</b>	Internal Audit is awaiting confirmation that the necessary report on the open options swipe system has been set up.
		March 2018	
Operations and Protective Services	The Service should ensure that standby rotas are maintained up to date and claims for standby payments are supported by them (2.8.4)	<b>Significant</b>	Internal Audit is awaiting an update on progress.
		April 2018	

<b>AC1817</b>	<b>Vehicle Usage</b>	January 2018	8	2	2	<b>0</b>	0
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Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 30.04.18	Confirmed Implemented by Service	Not implemented by original due date	
<b>AC1604 AW</b>	<b>Payment Controls in Children's Social Work</b>	February 2016	19	19	18	1	1 Important

Progress with the overdue recommendations is as follows:

Chief Officer	Recommendation	Grading / Due Date	Position
Head of Commercial & Procurement Services	Relates to C&PS reviewing and rationalising supplier numbers to ensure that there are no duplicates (2.2.15)	Important June 2016	<p>As reported previously, implementation of the enhanced reporting tool that would have enabled this recommendation to be completed has been delayed. The Service was working with the provider, C&amp;PS and ICT colleagues to resolve the issues and expected that this would be achieved by the end of November 2016. The Service then advised that this should be complete by the end of February 2017. In June 2017 the Committee was advised that implementation of the reporting tool remained ongoing and it was anticipated that this would be in place by the end of September 2017. In the interim, duplicate suppliers are being identified and dealt with as they come to light as part of normal monitoring.</p> <p>The latest update from C&amp;PS is that the software has now been updated and monitoring will commence by the end of April 2018.</p> <p>Internal Audit is awaiting confirmation that this is now implemented.</p>



Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 30.04.18	Confirmed Implemented by Service	Not implemented by original due date	

<b>AC1709</b>	<b>Care First System</b>	November 2016	13	13	10	<b>3</b>	<b>2 Significant</b>
							<b>1 Important</b>

Progress with the overdue recommendations is detailed below:

Chief Officer	Recommendation	Grading / Due Date	Position
Integrated Children's and Family Services	The CareFirst Team should ensure that it complies with Standing Orders and procurement regulations in terms of the Service's Case Recording System for Social Care Clients (2.1.4)	<b>Significant</b> <b>April 2017</b>	As reported previously, the Service advised that terms for an extension to the contract for three years to March 2020 have been agreed and Committee approval will be sought for this in September 2017. The Committee was advised in September 2017, that the latest update from the Service was that a report had been drafted and would be discussed at the Education and Children's Services Committee on 16 November 2017.  The latest update from the Service, as reported to Committee in May 2018, is that this will be reported to the Strategic Commissioning Committee in June 2018.

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 30.04.18	Confirmed Implemented by Service	<b>Not implemented by original due date</b>	

Chief Officer	Recommendation	Grading / Due Date	Position
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*(AC1709 – Care First System – Continued)*

Integrated Children's and Family Services	The Service should establish a written protocol to demonstrate where amendments and deletions requested in the CareFirst system require authorisation or supporting detail (2.4.11)	Important	As reported previously, the Service advised that this would be complete by the end of September 2017 as the CareFirst team had been prioritised on other tasks. As reported to Committee in September 2017, the Service had advised that the current policy and procedures were still in place, however, the document needs to be updated to reflect the creation of the Education & Children's Services directorate and the Health and Social Care Partnership. A working group had been created to move this forward.
		April 2017	
			Internal Audit is awaiting an update on progress.

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
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Chief Officer	Recommendation	Grading / Due Date	Position
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*(AC1709 – Care First System – Continued)*

Finance	Finance should review the instances where service users have not been reassessed and charged correctly (2.5.6 (ii))	<p><b>Significant</b></p> <p><b>March 2017</b></p>	<p>As reported to Committee in June 2017, the Service advised that further investigation of the work required in order to complete this action has identified that there is considerably more involved than was first anticipated. A significant project was now underway involving Housing, Social Care and Finance to address the past issues and streamline the process to ensure that every applicant is charged accordingly under a set of procedures with specific timelines. The first draft of the Project plan was approved at CMT in April 2017 and further work was ongoing. It was likely that this would not be completed before 30 June 2018.</p> <p>The latest update from the Service is that initial plans for the implementation of this project were replaced by a trial of a Digital solution. The trial was not completed due to the lead person leaving. A revised project plan is currently being drawn up and is subject to agreement of chief officers. Given the likely implementation timescales this project may not now be completed before December 2018.</p>
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Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 30.04.18	Confirmed Implemented by Service	Not implemented by original due date	

<b>AC1803</b>	<b>Health and Safety - SSERC</b>	September 2017	17	16	11	<b>5</b>	<b>5 Significant</b>
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Progress with the overdue recommendations is as follows:

Chief Officer	Recommendation	Grading / Due Date	Position
Integrated Children's and Family Services	The Service should ensure that schools comply with the SSERC Safety in Microbiology Code of Practice (2.6.5).	Significant September 2017	<p>The Service has stated that the following plan has been put in place:</p> <ol style="list-style-type: none"> <li>1. Check that each school has appropriately trained staff to prepare and manage the microbiological samples.</li> <li>2. Check that each school has the correct risk assessments in place which cover the items as described by SSERC.</li> <li>3. Check that a process is in place where only the trained staff undertake the tasks in the event of absence for whatever reason of the qualified technician etc</li> <li>4. Meet with and write to the faculty heads and business support managers or persons responsible for the management of the technicians at each school identifying their responsibilities for the management of compliance within each establishment.</li> <li>5. Under take spot checks on the process being used at each school.</li> </ol> <p>Part 1 is almost complete and the Service has researched the availability of training. Whilst recognising that this will be an on-going process to ensure compliance, Internal Audit will treat the recommendation as complete once items 1 to 4 have been completed.</p> <p>The update from the Service, as reported to Committee in February 2018, was that work is continuing with the above plan. This will be complete by August 2018. A further update has been provided to Internal Audit which gives assurance of continuing progress being made.</p>

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 30.04.18	Confirmed Implemented by Service	Not implemented by original due date	

Chief Officer	Recommendation	Grading / Due Date	Position
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*(AC1803 – Health and Safety - SSERC – Continued)*

Integrated Children's and Family Services	A standardised chemical stock list including chemical location, quantity, hazards, immersion test results, condition test results, date of last tests, date tests are due, and disposal dates should be maintained centrally (2.6.4 a)	Significant	The Service has confirmed, as reported to Committee in February 2018, that they have been looking at this and identified that some schools have already purchased dedicated software which is only licensed for single site use, and use different networks and servers. Work is continuing to establish the most suitable form for recording this data in a secure and efficient manner. As the staff who will complete this work are currently ensuring that pupils class work and examination practices are dealt with, and dealing with other recommendations from this report, the recommendation will be implemented over the summer break and concluded by August 2018.
		November 2017	
Integrated Children's and Family Services	Academies should be advised of the requirement to review their chemical stock and update the central list (2.6.4 b)	Significant	The Service has advised that this cannot be completed until 2.6.4 a, above, is implemented.
		November 2017	

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 30.04.18	Confirmed Implemented by Service	Not implemented by original due date	

Chief Officer	Recommendation	Grading / Due Date	Position
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*(AC1803 – Health and Safety - SSERC – Continued)*

Integrated Children's and Family Services	Training should be provided to school staff required to undertake daily visual checks of fume cupboards and regular airflow measurements to ensure these are undertaken in line with SSERC Routine Fume Cupboard Testing guidance (2.7.3)	Significant	The Service has advised that the CPD Unit is arranging training although SSERC has some capacity issues. It is anticipated that this will be concluded by September 2018.
		March 2018	
Integrated Children's and Family Services	Training should be provided to all staff required to undertake testing or visual inspections of portable electrical appliances (2.8.3 c)	Significant	The Service has advised, as reported to Committee in February 2018, that training is being provided by SSERC and, as the earliest that they can provide it is April 2018, will require an extension until the end of May 2018.  The latest update from the Service, as advised to Committee in May 2018, is that SSERC currently have some capacity issues. The Service anticipates provisional dates for PAT testing by the end of April. This should be concluded by September 2018.
		November 2017	

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 30.04.18	Confirmed Implemented by Service	Not implemented by original due date	

<b>AC1809</b>	<b>Care of Children</b>	February 2018	9	9	5	<b>4</b>	<b>4 Significant</b>
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The position with the overdue recommendations is as follows:

Chief Officer	Recommendation	Grading / Due Date	Position
Integrated Children's and Family Services	The Service should ensure there is evidence of advance authorisation at an appropriate level for all care agreements (2.2.7)	Significant	The Service has advised that amendments are still being made and will be complete by the end of May 2018.
		March 2018	
Integrated Children's and Family Services	The Service should review the need for and operation of separate bank accounts with Finance to ensure consistency of practice (2.3.10)	Significant	The Service has advised that work is being undertaken with Finance to issue purchase cards to address this. This will be complete by the end of June 2018.
		March 2018	
Integrated Children's and Family Services	The Service should review manual cash handling processes to improve efficiency and reduce cash holding where possible (2.3.12)	Significant	The Service has advised that this will be addressed in conjunction with recommendation 2.3.10, above.
		March 2018	

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 30.04.18	Confirmed Implemented by Service	Not implemented by original due date	

Chief Officer	Recommendation	Grading / Due Date	Position
<i>(AC1809 – Care of Children – Continued)</i>			
Integrated Children's and Family Services	The Service should review its administrative processes to ensure cash is accounted for as it leaves the premises, and receipts can be followed up timeously (2.3.14)	Significant March 2018	The Service has advised that this will be addressed in conjunction with recommendation 2.3.10, above.

<b>AC1811</b>	<b>Placing Requests</b>	November 2017	9	7	5	2	1 Significant 1 Important
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Progress with the overdue recommendations is as follows:

Chief Officer	Recommendation	Grading / Due Date	Position
Integrated Children's and Family Services	The Service should prepare detailed procedures for the placing request process (2.1.3)	Significant January 2018	As reported to Committee in May 2018, the Service had advised that in considering the design of the electronic processing of school placing requests, process mapping was undertaken as part of the Digital School Placings project. The Service had not yet finalised the detailed procedures for the full process, however with the work that has been completed so far in the mapping of current processes, together with more defined and prescriptive procedures arising from the recommendations of the audit report and being implemented by the Service, it is anticipated that this action could be completed by 31 July 2018. <i>(Continued over page.)</i>



Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 30.04.18	Confirmed Implemented by Service	Not implemented by original due date	

(AC1811 – Placing Requests – Continued)

Chief Officer	Recommendation	Grading / Due Date	Position
	<i>Recommendation 2.1.3 continued</i>		The latest update from the Service is that detailed procedures, including mapping of current process and how these can be incorporated into the electronic system. A fully defined and prescriptive set of procedures arising from the recommendations of the audit report are incorporated into the system, which is almost fully developed and will be ready for testing across a single Associated Schools Group (ASG) from August 2018, with a view to full implementation across all ASGs in January 2019. Full training will be offered to all potential users, as well as other staff who may be required to assist users (parents/carers) in making an application.
Integrated Children's and Family Services	The Service should rationalise application forms used to a single form. The Service will implement a new system which will enable this, but is dependent on prioritisation of IT transformation projects (2.2.1)	Important April 2018	The Service has advised that the application process will be digitised and this will meet the recommendation. It is anticipated that the form and full system being ready for testing from 31 July 2018 with full implementation from January 2019. This timescale will enable implementation of a robust training programme.

<b>AC1815</b>	<b>Pre-School Commissioned Places</b>	December 2017	6	3	3	0	0
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<b>AC1826</b>	<b>Out of Authority Placements</b>	April 2018	6	0	0	0	0
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**APPENDIX F**

**RESOURCES**

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 30.04.18	Confirmed Implemented by Service	Not implemented by original due date	

<b>AC1719</b>	<b>Revenue Budget Setting</b>	May 2017	4	4	2	2	1 Significant 1 Important
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The position with the overdue recommendations is as follows:

Chief Officer	Recommendation	Grading / Due Date	Position
Finance	More targeted guidance on the budget process for budget holders and team members should be created (2.1.7)	Important June 2017	<p>As reported to the September 2017 meeting of the Committee, Finance had advised that the budget process had been subject to review during May and June 2017. This made a number of proposed changes to the process and was being taken to CMT for approval on 31 August 2017. Further to that approval, revised detailed guidance would be drawn up by 1 October 2017. The Service advised in November that CMT did not approve the proposed changes and further work was required to agree the process and finalise documentation. This was agreed to be done by the end of December 2017. A revised process was under development through the Transformation Programme.</p> <p>The Committee was advised in February 2018 that the latest update from the Service was that the revised process continues to be under development through the Transformation Programme. The 2018/19 budget is at an advanced stage of progress. The core tasks of preparing salary budgets, forecasting changes due to inflation and other cost drivers and legislative requirements, and interpreting the funding settlement are complete. Options have been developed through the transformation programme. Following the conclusion of the 2018/19 budget process, the approach taken will be documented by May 2018. This will cover all core controls of the process that will remain in place in future.</p> <p>The latest update from the Service is that this will be complete in July 2018.</p>

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 30.04.18	Confirmed Implemented by Service	Not implemented by original due date	

*(AC1719 – Revenue Budget Setting – Continued)*

Chief Officer	Recommendation	Grading / Due Date	Position
Finance	Finance should ensure there is a clear audit trail to show that all budget adjustments agreed through the budget process have been applied, and disclosed, appropriately (2.3.8)	Significant July 2017	<p>As reported to the September 2017 meeting of the Committee, Finance had advised that, as part of the revised process, new documentation was being prepared to record the full documented audit trail and meet the requirements of the audit recommendation. These would be implemented as at 1 September 2017.</p> <p>The Service advised in November that CMT did not approve the proposed changes and further work is required to agree the process and finalise documentation. This was to be done by the end of December 2017.</p> <p>The Committee was advised in February 2018 that the latest update from the Service was that, for the 2018/19 budget process currently underway, the audit trail is being recorded using the existing recording and reporting methods of service cost model, ledger, budget packs, budget report and budget tracker. Once the 2018/19 budget process is complete, then the specific audit trail and disclosure information for budget adjustments will be documented and incorporated into the future budget setting guidance by May 2018.</p> <p>This work is complete and will be incorporated in the guidance referred to in recommendation 2.1.7 by the end of July 2018.</p>

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 30.04.18	Confirmed Implemented by Service	Not implemented by original due date	

<b>AC1805</b>	<b>Attendance Management</b>	August 2017	9	9	5	4	3 Significant
							1 Important

The position with the overdue recommendations is as follows:

Chief Officer	Recommendation	Grading / Due Date	Position
People and Organisation	The Service should review, and update where necessary, the Maximising Attendance policy, guidance and training (2.1.3)	Important	As reported to Committee in May 2018, the Service has advised that a revised draft has been compiled but will need to be agreed with Service teams and trade unions before being approved by Committee. This will be complete by the end of September 2018.
		February 2018	
People and Organisation	All Services should be reminded of the Policy requirements in relation to recording absences and the management actions that need to be taken when an employee returns to work (2.2.9)	Significant	As for recommendation 2.1.3, above.
		March 2018	
People and Organisation	Once the training on the Maximising Attendance policy has been reviewed and updated as necessary, HR should promote its completion amongst managers (2.3.4a)	Significant	As for recommendation 2.1.3, above.
		March 2018	

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 30.04.18	Confirmed Implemented by Service	Not implemented by original due date	

*(AC1805 – Attendance Management – Continued)*

Chief Officer	Recommendation	Grading / Due Date	Position
People and Organisation	HR should continue to work with Services to ensure that all staff are aware of how to access guidance and support when administering the Maximising Attendance Policy (2.3.4b)	Significant March 2018	As for recommendation 2.1.3, above.

<b>AC1806</b>	<b>Corporate Landlord Responsibilities</b>	September 2017	9	6	2	4	4 Significant
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The position with the overdue recommendations is as follows:

Chief Officer	Recommendation	Grading / Due Date	Position
Corporate Landlord	The Service should review whether management of cyclical maintenance could be delegated to one or other Service, or the two Services combined (2.2.4)	Significant March 2018	Internal Audit is awaiting an update from the Service regarding progress.

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 30.04.18	Confirmed Implemented by Service	Not implemented by original due date	

*(AC1806 – Corporate Landlord Responsibilities – Continued)*

Chief Officer	Recommendation	Grading / Due Date	Position
Corporate Landlord	Asset Management should work with the Health & Safety Team to align Service and Corporate Policies (2.2.6)	Significant March 2018	Internal Audit is awaiting an update from the Service regarding progress.
Corporate Landlord	The Service should set out a programme and procedures for ensuring EPC compliance, then coordinate and monitor progress with its implementation (2.2.8)	Significant March 2018	Internal Audit is awaiting an update from the Service regarding progress.
Corporate Landlord	The Service should review the process for obtaining assurance that cyclical maintenance services have been delivered as planned for the purposes of verifying payments, contractors' performance, and statutory compliance (2.4.3)	Significant March 2018	Internal Audit is awaiting an update from the Service regarding progress.

<b>AC1812</b>	<b>Financial Ledger System</b>	March 2018	14	8	8	<b>0</b>	0
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Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 30.04.18	Confirmed Implemented by Service	Not implemented by original due date	

<b>AC1814</b>	<b>Travel Costs</b>	November 2017	13	11	8	<b>3</b>	<b>3 Significant</b>
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The position with the overdue recommendations is as follows:

Chief Officer	Recommendation	Grading / Due Date	Position
Finance	Procedures should be put in place to ensure that the most cost effective method of travel is approved in advance with consideration given to restricting claims for journeys outwith the Council's boundaries to the cost equivalent of the cheapest option (2.2.9)	Significant	The Service has advised that implementation of these recommendations is dependent upon the review of the Travel Policy which has not yet been completed. Timescales for completion of the review have not yet been determined. A further update will be provided once this has been resolved.
		March 2018	
Finance	The approval process for foreign travel should be reviewed and complied with (2.6.5)	Significant	
		March 2018	
Finance	Services should be reminded to ensure that travel applications are forwarded to the Travel Team as soon as possible to ensure that cost effective travel arrangements can be made (2.6.6)	Significant	
		March 2018	



Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 30.04.18	Confirmed Implemented by Service	Not implemented by original due date	
AC1816	Training for Councillors	January 2018	9	9	9	0	0
AC1818	Capital Plan	April 2018	7	4	4	0	0
AC1819	Capital Contracts	February 2018	8	4	3	1	1 Significant
The position with the overdue recommendations is as follows:							
Chief Officer	Recommendation	Grading / Due Date	Position				
Capital	The Service should ensure an estimated cost is included on Architects Instructions in advance of changes to works being instructed (2.5.4)	Significant April 2018	Internal Audit is awaiting updates from all but one involved in implementing the recommendation.				
AC1820	PECOS	March 2018	8	1	1	0	0

**APPENDIX G**  
**GOVERNANCE**

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 30.04.18	Confirmed Implemented by Service	Not implemented by original due date	

<b>AC1714</b>	<b>Land and Buildings</b>	February 2017	9	6	3	<b>3</b>	<b>3 Significant</b>
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Progress with the overdue recommendation is detailed below:

Chief Officer	Recommendation	Grading / Due Date	Position
Governance	Filing documentation should be updated to ensure there is a full audit trail for all title held (2.9.6)	Significant December 2017	The Service has advised, as reported to Committee in February 2018, that it has been exploring the viability, including resource implications, of updating the current Ordnance Survey Maps, and creating a digital mapping system to facilitate a more streamlined and efficient method of identifying property owned by the Council. The Service is formulating a Business Case for Digitisation of Mapping and Title Deeds that will include the use of a digital mapping system.  The latest update from the Service is that a business case has been presented to the Chief Officer – Governance designed to give effect to the recommendations. The Chief Officer – Governance will review before determining the next course of action.
Governance	Consideration should be given to digitising the Council's title deeds and linking these to the Council's asset register system (2.9.10)	Significant December 2017	
Governance	The Asset Register and title documents should be cross referred using the Asset Register reference number (2.9.7)	Significant August 2017	

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 30.04.18	Confirmed Implemented by Service	Not implemented by original due date	

<b>AC1824</b>	<b>Bond Governance</b>	February 2018	22	10	9	1	1 Important
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Progress with the overdue recommendation is detailed below:

Chief Officer	Recommendation	Grading / Due Date	Position
Governance	The Insider List reporting requirements for the new Human Capital Management system should be reported to the next HCM Project Board (2.6.4)	Important March 2018	The Service has advised that the CoreHR project is on a very tight schedule and, as a result, the scope of Phase 1 of the project has been locked down. Therefore, the Bond requirements will be revisited at the end of October 2018, which is after Phase 1 is going live. Until then, the Service will continue using the current manual process with the view to discussing the requirements and implications of automating it once Phase 1 is complete.

# **APPENDIX H**

# **HEALTH AND SOCIAL CARE** **PARTNERSHIP**

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 30.04.18	Confirmed Implemented by Service	Not implemented by original due date	

<b>AC1617</b>	<b>Self-Directed Support</b>	October 2016	21	21	20	1	1 Significant
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Progress with the overdue recommendations is detailed below:

Chief Officer	Recommendation	Grading / Due Date	Position
Head of Strategy and Transformation (ACC H&SCP)	The Service should finalise and implement the Contributing to Your Care and Support Policy and guidance (2.4.2)	Significant March 2017	<p>As reported to Committee in June 2017, the Service advised that draft guidance has been produced and was being reviewed. The policy and guidance will not be implemented until the end of October 2017.</p> <p>The Committee was advised in November 2017 that this will now be completed by April 2018 to allow a review of the charging process through the budget process and to consider implications of the Carers Act.</p> <p>The latest update from the Service is that work is progressing and a working group has been established to take forward the topic of charging for the Partnership. The Partnership is piloting the Equivalency Model as a method of Resource Allocation for self-directed support. The identification of a client's agreed budget allocation via a robust resource allocation system is a pre-requisite to enable the Partnership to move forward with the implementation of the Contributing to Your Care Policy. This will be reported and monitored through the Self Directed Support Board. Full implementation is now planned for September 2018.</p>

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 30.04.18	Confirmed Implemented by Service	Not implemented by original due date	
<b>AC1801</b>	<b>Adult Client Transport</b>	September 2017	13	10	9	1	1 Significant
Progress with the overdue recommendation is detailed below:							
Chief Officer	Recommendation	Grading / Due Date	Position				
Head of Operations (ACC H&SCP)	PTU and ACH&SCP should regularly share and reconcile their data on service user transport to ensure arrangements are in place as agreed (2.2.13ii)	Significant January 2018	The Service has advised that Service user transport usage forms are on the Carefirst system and officers will share and reconcile data through running reports off the system. It is proposed that Officers meet to reconcile data in July 2018 and every 6 months after that.				
<b>AC1813</b>	<b>Financial Assessments</b>	February 2018	15	6	6	0	0
<b>AC1828</b>	<b>Care Management</b>	April 2018	13	2	2	0	0

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 30.04.18	Confirmed Implemented by Service	Not implemented by original due date	

<b>AC1821</b>	<b>Social Work Payroll</b>	January 2018	22	5	4	1	1 Significant
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Progress with the overdue recommendation is detailed below:

Chief Officer	Recommendation	Grading / Due Date	Position
Chief Finance Officer (ACH&SCP)	HR has made guidance available to ensure consistency of approach to TOIL, additional hours and overtime claims. Service management will review and reiterate practice with senior staff to ensure consistent application (2.3.17)	Significant February 2018	The Service has advised that an initial email with the guidance has been made available to senior social work managers. Further work and training is planned for June 2018.