

ABERDEEN CITY COUNCIL

COMMITTEE	Audit, Risk and Scrutiny Committee
DATE	25 September 2018
REPORT TITLE	Internal Audit Reports – Follow-up of Agreed Recommendations
REPORT NUMBER	IA/18/015
DIRECTOR	N/A
REPORT AUTHOR	David Hughes
TERMS OF REFERENCE	2.3

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
Equality & Human Rights Impact Assessment	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.
Privacy Impact Assessment	Not required
Duty of Due Regard / Fairer Scotland Duty	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 12 SEPTEMBER 2018

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

On 26 June 2018, the Committee was advised that, as at 14 June 2018, there were 60 recommendations which were due to have been completed by 30 April 2018 which were not fully complete. This has reduced to 28.

The total not fully complete, which had an original due date of before 31 July 2018, is 37. Full details relating to progress, on a report by report basis, are shown in appendices B to G.

Recommendations							Grading of Overdue Recommendations		
SERVICE	Agreed in reports shown in Appendices B to H	Due for completion by 30.04.18	Confirmed complete by Service	New in May to July 2018	Confirmed complete by Service	Not fully complete by original due date	Major	Significant	Important
Cross Service	28	28	27	0	0	1	0	1	0
Commissioning	25	24	19	1	0	6	0	6	0
Customer	16	4	4	4	4	0	0	0	0
Operations	152	126	113	8	5	16	1	11	4
Resources	77	49	41	23	18	13	0	12	1
Health & Social Care	84	44	43	26	26	1	0	1	0
Total	382	275	247	62	53	37	1	31	5

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 31.07.18	Confirmed Implemented by Service	Not implemented by original due date	

AC1623	Compliance with Procurement Legislation	June 2016	28	28	27	1	1 Significant
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The position with the overdue recommendation 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 this work was now being progressed through the development of the newly introduced procurement work plans and that it was anticipated that the work plan would be in place by June 2018.</p> <p><i>(Continued over page.)</i></p>

	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 31.07.18	Confirmed Implemented by Service	Not implemented by original due date	

(AC1623 – Compliance with Procurement Legislation – Continued)

Chief Officer	Recommendation	Grading / Due Date	Position
	<i>Recommendation 2.4.7 continued</i>		The latest update from the Service is that Commercial and Procurement Services has advised that the work plan needs to be supported by business cases and this work will take until November 2018 to complete. Staff have been reminded of the framework agreement to use for Educational materials.

APPENDIX C
COMMISSIONING

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 31.07.18	Confirmed Implemented by Service	Not implemented by original due date	

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

Chief Officer	Recommendation	Grading / Due Date	Position
Commercial & Procurement	Services should ensure that there is an up to date Service Level Agreement with each ALEO (2.2.6 (a))	Significant June 2017	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 was, therefore, delayed until August 2018. The latest update from the Service is that reports are scheduled to go to the Strategic Commissioning Committee in September 2018 instructing the Chief Officer Commercial and Procurement Services to: review and amend SLAs with ALEOs to ensure they are outcome-focused and contain robust contract management measures and to implement a standard annual performance report template, which ALEOs will be required to submit annually for performance monitoring purposes.
Commercial & Procurement	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	
Commercial & Procurement	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 31.07.18	Confirmed Implemented by Service	Not implemented by original due date	

(AC1621 – ALEOs – Continued)

Chief Officer	Recommendation	Grading / Due Date	Position
Commercial & Procurement	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 June 2017	As above.

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 31.07.18	Confirmed Implemented by Service	Not implemented by original due date	

AC1722	ALEOs – Management by Services	August 2017	15	15	13	2	2 Significant
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The position with the overdue recommendations is as follows:

Chief Officer	Recommendation	Grading / Due Date	Position
Commercial & Procurement	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 was anticipated that this would be completed by June 2018. The latest update from Commercial and Procurement is that reports are scheduled to go to the Strategic Commissioning Committee in September 2018 instructing the Chief Officer Commercial and Procurement Services to: review and amend SLAs with ALEOs to ensure they are outcome-focused and contain robust contract management measures and to implement a standard annual performance report template, which ALEOs will be required to submit annually for performance monitoring purposes.
		September 2017	
Chief Finance Officer (ACH&SCP)	The Health and Social Care Partnership should review options for performance management within future ALEO agreements (2.4.3)	Significant	The Service has advised that they are in the process of implementing a new contract, so this will not be complete until January 2019.
		July 2018	

APPENDIX D

CUSTOMER

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 31.07.18	Confirmed Implemented by Service	Not implemented by original due date	
AC1822	YourHR	February 2018	8	5	5	0	0
AC1825	Housing Support Budget	April 2018	8	3	3	0	0

APPENDIX E

OPERATIONS

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 31.07.18	Confirmed Implemented by Service	Not implemented by original due date	
AC1602 AW	Craft Workers Terms and Conditions	October 2015	9	9	5	4	1 Major 3 Significant

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> <p>The Chief Officer – Operations and Protective Services will present a separate report on the Committee’s agenda of 25 September 2018 discussing options for moving the remaining four recommendations in this report forward.</p>

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 31.07.18	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 31.07.18	Confirmed Implemented by Service	Not implemented by original due date	

AC1608	Trade Waste	January 2016	14	14	12	2	2 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 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 Committee was advised in June 2018 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	The latest update from the Service is that good progress is being made after delays which were outwith the Service's control, and that the two recommendations will now be implemented by September 2018.

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 31.07.18	Confirmed Implemented by Service	Not implemented by original due date	

AC1705	Roads Payroll	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	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.
		February 2017	
			The latest update from the Service is that the restructure is still underway and, although one of the above posts has been filled, the other and an additional senior post are unfilled. Once these posts are filled, the required work can be completed. This will now be implemented by December 2018.

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 31.07.18	Confirmed Implemented by Service	Not implemented by original due date	

AC1808	Vehicle Maintenance	October 2017	20	14	13	1	1 Important
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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 Service Level Agreements are in place between Fleet with all Services for which the maintenance and servicing of vehicles is undertaken, and that these are reviewed periodically (2.3.2)	Important	The Service has advised that Service Level Agreements are with client services for signing / comment. An extension to the end of July 2018 is required to allow completion. The Service has more recently advised that some Services have now signed and returned Service Level Agreements. Internal Audit is awaiting confirmation that all Service Level Agreements have been signed and returned.
		April 2018	

AC1817	Vehicle Usage	January 2018	8	2	2	0	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 31.07.18	Confirmed Implemented by Service	Not implemented by original due date	
AC1604 AW	Payment Controls in Children's Social Work	February 2016	19	19	18	1	1 Important

Progress with the overdue recommendations is as follows:

Chief Officer	Recommendation	Grading / Due Date	Position
Commercial & Procurement	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&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 Committee was advised in May 2018 that the software had been updated and monitoring was due to commence by the end of April 2018.</p> <p>The latest update from the Service is that the software update that will allow this to be implemented has recently been installed and training was being provided by the supplier in July 2018 to show staff how to undertake the agreed task. However, an amendment is required to the software before it can be used for the necessary task and this will be done by September 2018.</p>

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 31.07.18	Confirmed Implemented by Service	Not implemented by original due date	

AC1709	Care First System	November 2016	13	13	12	1	1 Significant
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Progress with the overdue recommendations is detailed below:

Chief Officer	Recommendation	Grading / Due Date	Position
Finance	Finance should review the instances where service users have not been reassessed and charged correctly (2.5.6 (ii))	Significant March 2017	<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 Committee was advised in June 2018, 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> <p>The latest update from the Service is that letters requesting the information required to carry out assessments will be issued to those affected in the week commencing 8 October 2018 with the intention that all assessments be complete by December 2018, subject to the information being received.</p>

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 31.07.18	Confirmed Implemented by Service	Not implemented by original due date	

AC1803	Health and Safety - SSERC	September 2017	17	16	12	4	4 Significant
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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"> 1. Check that each school has appropriately trained staff to prepare and manage the microbiological samples. 2. Check that each school has the correct risk assessments in place which cover the items as described by SSERC. 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 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. 5. Under take spot checks on the process being used at each school. <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 Committee was advised in February 2018, that work is continuing with the above plan. A further update has been provided to Internal Audit which gives assurance of continuing progress being made and the recommendation will be fully implemented by August 2018. <i>(Continued over page.)</i></p>

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 31.07.18	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)

	<i>Recommendation 2.6.5 continued</i>		<p>The most recent update from the Service is that the safety in microbiology training is now complete. The Service expects to receive outstanding risk assessments from schools by the end of September 2018.</p> <p>The Service has drafted a document in conjunction with the corporate Health and Safety Team which sets out the responsibilities of each key post holder in schools with regards to ensuring compliance with health and safety procedures and arrangements when trained staff are absent. This document needs to be signed off by SMT within Integrated Children’s and Family Services before it is issued to schools. It is anticipated that this will be done by October 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 31.07.18	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. The latest update from the Service is that School Technicians do not work over the summer holidays. Stock lists will be provided by the end of August, transferred to a standardised format, and returned by the end of September 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 31.07.18	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 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	

AC1809	Care of Children	February 2018	9	9	9	0	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 31.07.18	Confirmed Implemented by Service	Not implemented by original due date	

AC1811	Placing Requests	November 2017	9	7	5	2	1 Significant
							1 Important

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	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>
		January 2018	

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 31.07.18	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 processes for the new digital service have been reviewed and agreed by Education and take into account the full set of recommendations from the audit report. Progress has been made since the last update on completion and stability of the system, with Head Teachers informed of the changes to take place. The implementation plan is progressing on time and launch is subject to the satisfaction of Education that the system requirements have been fully realised and all final testing complete. This will be complete by January 2019.
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, as reported to Committee in June 2018, 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. The latest update from the Service is shown against recommendation 2.1.3, above. Internal testing of the full system, including back-office elements, is underway. The customer application forms have been consolidated and will be handled through a single online form.

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 31.07.18	Confirmed Implemented by Service	Not implemented by original due date	
AC1815	Pre-School Commissioned Places	December 2017	6	5	5	0	0
AC1826	Out of Authority Placements	April 2018	6	5	5	0	0

APPENDIX F
RESOURCES

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 31.07.18	Confirmed Implemented by Service	Not implemented by original due date	

AC1714	Land and Buildings	February 2017	9	9	8	1	1 Significant
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Progress with the overdue recommendation is detailed below:

Chief Officer	Recommendation	Grading / Due Date	Position
Corporate Landlord	Housing stock numbers held in the above systems should be reconciled prior to providing Estates with a record of properties to be revalued (2.7.6)	Significant May 2018	Progress with this is being discussed with the Chief Officer – Corporate Landlord.

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 31.07.18	Confirmed Implemented by Service	Not implemented by original due date	

AC1805	Attendance Management	August 2017	9	9	5	4	3 Significant 1 Important
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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 31.07.18	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.

AC1806	Corporate Landlord Responsibilities	September 2017	9	9	5	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	Asset Management should work with the Health & Safety Team to align Service and Corporate Policies (2.2.6)	Significant March 2018	The latest update from the Service is that the Council has recently amended their corporate landlord model. A full review of policy around key issues is being taken forward. The target completion date for this work is to report to the Public Protection Committee before the year end.

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 31.07.18	Confirmed Implemented by Service	Not implemented by original due date	

(AC1806 – Corporate Landlord Responsibilities – Continued)

Chief Officer	Recommendation	Grading / Due Date	Position
Corporate Landlord	The Service should formalise the procedures used to demonstrate compliance with its Corporate Landlord Responsibilities and other cyclical maintenance activities (2.2.3)	Significant June 2018	The Service has advised a full review of statutory and cyclical maintenance is being undertaken which will reach a conclusion in October 2018. This will identify strengths, weaknesses and areas of improvement.
Corporate Landlord	The Service should ensure data regarding its Corporate Landlord Responsibilities is maintained centrally, accurately and up to date (2.3.8)	Significant June 2018	The Service has advised a full review of statutory and cyclical maintenance is being undertaken which will reach a conclusion in October 2018. This will identify strengths, weaknesses and areas of improvement.
Corporate Landlord	The Service should ensure it has assurance that all property in which the Council has an interest is statutorily compliant (2.3.13)	Significant June 2018	The Service has advised a full review of statutory and cyclical maintenance is being undertaken which will reach a conclusion in October 2018. This will identify strengths, weaknesses and areas of improvement.

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 31.07.18	Confirmed Implemented by Service	Not implemented by original due date	

AC1812	Financial Ledger System	March 2018	14	14	13	1	1 Significant
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The position with the overdue recommendations is as follows:

Chief Officer	Recommendation	Grading / Due Date	Position
Finance	The Service should consult with Commercial and Procurement Services to ensure that best value can be demonstrated in continuing with the current system and that procurement legislation is complied with (2.2.5)	Significant June 2018	C&PS is working with the Service to ensure procurement regulations and legislation are complied with. A business case will be reported to the November 2018 Strategic Commissioning Committee.

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 31.07.18	Confirmed Implemented by Service	Not implemented by original due date	

AC1814	Travel Costs	November 2017	13	12	9	3	3 Significant
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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, as reported to Committee in June 2018, that implementation of this recommendation 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. The latest update from the Service is that the updated policy will be presented to the Staff Governance Committee in November 2018.
		March 2018	
Finance	The approval process for foreign travel should be reviewed and complied with (2.6.5)	Significant	The Service has advised, as reported to Committee in June 2018, that implementation of this recommendation 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. The latest update from the Service is that the updated policy will be presented to the Staff Governance Committee in November 2018.
		March 2018	

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 31.07.18	Confirmed Implemented by Service	Not implemented by original due date	

(AC1814 – Travel Costs – Continued)

Chief Officer	Recommendation	Grading / Due Date	Position
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	The Service has advised, as reported to Committee in June 2018, that implementation of this recommendation 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. The latest update from the Service is that the updated policy will be presented to the Staff Governance Committee in November 2018.

AC1818	Capital Plan	April 2018	7	7	7	0	0
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AC1819	Capital Contracts	February 2018	8	4	4	0	0
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AC1820	PECOS System	March 2018	8	8	8	0	0
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APPENDIX G

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 31.07.18	Confirmed Implemented by Service	Not implemented by original due date	

AC1617	Self-Directed Support	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 Committee was advised in May 2018, that work was progressing and a working group had 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 and full implementation was planned for September 2018.</p> <p>The latest update from the Service is that this will now take until March 2019 to complete due to other work priorities.</p>

Report Number	Report Title	Date Issued	Number of Recommendations				Grading of overdue recommendations
			Agreed in Report	Due for implementation by 31.07.18	Confirmed Implemented by Service	Not implemented by original due date	
AC1801	Adult Client Transport	September 2017	13	12	12	0	0
AC1813	Financial Assessments	February 2018	15	8	8	0	0
AC1828	Care Management	April 2018	13	7	7	0	0
AC1821	Social Work Payroll	January 2018	22	22	22	0	0