

Action Description	Implementation date (original & revisions)	Management Update	Internal Audit follow-up status	Internal Audit follow-up outcome	Action Status	
<b>Department: Adults' Social Care, Health and Public Protection</b>						
Service Area: Homecare						
Audit: ASC1706 Procurement of interim homecare service						
<b>Competitive tendering:</b> Staff should discuss contract requirements with the Market Management Team (in ASCH&PP Dept) and with Corporate Procurement (Resources Dept) to find a solution for each service area. A waiver from tendering requirements should be applied for as a last resort.	Immediate	A re-procurement exercise is currently in progress for a 'Hospital Discharge Service South' which is a remodelled interim homecare service and (as at 20/3/17) is in the evaluation stage. The preferred provider will be announced w/c 20/3/17 and it is planned to award contract by 1 <sup>st</sup> April – there will be an implementation/transition phase between April to start of the new service on 1 <sup>st</sup> July 2017. The new contract will be under a Framework agreement for initially 2 years.	Testing scheduled for Q4, 2017/18		Confirmed by management	
<b>Partnering approach between Corporate Procurement and departments, and monitoring arrangements:</b> Establishment of the Contracts and Payments Overview Group to improve communications between the department and Corporate Procurement and to keep procurement activity under review.	Nov-16	The Contracts and Payments Overview Group is meeting regularly to ensure appropriate procurement of contracts.	Testing scheduled for Q4, 2017/18		Confirmed by management	

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<b>Department: Children, Families and Cultural Services</b>						
Service Area: Access to Resources						
Audit: CFCS1612 External Placements						
<p><b>Compliance with Council tendering regulations</b> through use of the following hierarchy of options: 1 internal provision; 2 use of existing framework contracts; 3 issue contracts for specialist placements and invite the providers to join the existing frameworks</p>	April 2016 (original); Sept 2016 (revised)	<p>A pro forma is now in place to allow requests for spot contracting to be captured, considered and approved. Meetings have been held between officers in Procurement and Social Care Placements to discuss the pro forma and all were in agreement of how it should be used. All are aware that the compliant routes for securing placements/education should be followed before asking for a spot contract arrangement. Legal Services have drafted a standard form spot contract and this will now be applied for social care placements. There has also been a Financial Regulations waiver signed off to cover this process, with Procurement reporting back at the end of the financial year on how many of these contracts have been put in place.</p>	Complete	Further follow-up testing will be scheduled for Q4 in 2017/18	Confirmed by management	
Service Area: Access to Resources						
Audit: CFCS1705 Troubled Families						
<p><b>Monitoring the number of families on the programme to safeguard external funding:</b> Comparisons against trajectory numbers of families worked with on the Programme will be included in quarterly reports going forward. These will be considered by a newly formed bi-monthly Project Board from December 2016. We will continue regular dialogue with the Department for Communities &amp; Local Government on local and national progress and future funding models.</p>	From December 2016	<p>Target numbers and comparisons with trajectory now go to the Board and Operational Group. Future targets will be directly provided by DCLG. Internal dialogue about future funding models is ongoing.</p>	Testing scheduled for Q2 of 2017/18		Confirmed by management	
<p><b>Target outcomes are consistent with the plan agreed with DCLG:</b> Routine auditing to ensure that targets meet the Nottinghamshire Families Outcomes Plan definitions before any claim can be made. Introduction of a new technical plan, separate to the plan for the family, which we expect will make it easier for practitioners to produce a compliant plan. Non-compliance will continue to be discussed in supervision by the managers who are responsible for signing off the plan. Consider the need for specialist Family Action Plan authors as we use for social care cases.</p>	Immediate	<p>The technical plan has been piloted and is due to go live on the Fraemwork -I system imminently. Delays have been due to the change freeze associated with the move to the MOSAIC system. Specialist Family Action Plan authors have been considered and rejected but oversight and development of case holders continues.</p>	Testing scheduled for Q2 of 2017/18		Confirmed by management	

**IMPLEMENTATION STATUS OF HIGH PRIORITY RECOMMENDATIONS****APPENDIX 1**

Action Description	Implementation date (original & revisions)	Management Update	Internal Audit follow-up status	Internal Audit follow-up outcome	Action Status	
<b>Department: Place</b>						
Service Area: Catering & Facilities Management						
Audit: E&R1617 Catering (County Hall & Trent Bridge House)						
<b>Confirmation of goods received prior to paying invoices to suppliers:</b> Re-introduce checks of consolidated invoices on the basis of a 10% ratio	This will be implemented at the onset of the 2016 financial year	Checks are made on consolidated invoices. These are then signed off and recorded. No discrepancies have been found. The checks are from September 16 onwards.	Complete, but re-testing to be scheduled for Q3 of 2017/18	Sample checking of consolidated invoices to supporting records for deliveries to the Council properties on the West Bridgford campus are in place. Work remains in progress to re-introduce these checks in respect of deliveries to schools.	Implementation remains in progress	

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<b>Department: Cross-Cutting</b>						
Service Area: Agency Staff & Consultants						
Audit: XC1602						
<b>Re-authorising extensions to short-term placements:</b> Identify short-term placements that have extended into longer-term placements to ensure a Vacancy Control Document Record is completed.	As part of quarterly reporting from 31/3/16	Pending procurement of new contract - The investigation of altering the online system to include the VCDR number was prohibited by cost midway through the life of the current contract. It is likely the current contract will be extended for 12 months from 10/11/2017 to 09/11/2018. The future procurement exercise will have this built into the invitation to tender.	Testing of the quarterly manual process scheduled for Q2 of 2017/18		Confirmed by management	
<b>Automation of management information:</b> Explore with the managed service provider the possibility of the online system differentiating between longer term placements requiring a VCDR and the more urgent short-term requirements. A manual process will be implemented if the adjustment cost is prohibitive.	Determine by August 16 whether a system adjustment or a manual system will be implemented.	In the meantime, manual checking of changes to longer term agency placements by HR business partners takes place on a quarterly basis as part of the data collection for the return to Personnel Committee. A detailed item appeared in November's Team Talk entitled "Continued Scrutiny of the use of agency workers" which provided 8 key reminders to hiring managers				
<b>Automation of management information:</b> Build into future tendering exercises for this service the requirement to differentiate between the nature of agency placements	For the end of the current contract in November 2017 or 1 year later if the option to extend is taken iup				Pending new contract	
<b>On-going review of agency placements:</b> Specific report from the service provider system to identify individual tenure information, to be used as part of the corporate monitoring process. An electronic pro- forma will be introduced to record the detail of the discussions between HR and managers to capture the ongoing reasons for the agency placement and the intended exit date. Where there are concerns about placement drift, these will be escalated to the responsible service director to mirror the approval process for VCDRs. The 12 week period is significant for 2 reasons: it is when Agency Worker Regulations provide additional protections; this is the maximum period allowed for temp staff without VCDR approval. The additional protections will be brought to managers' attention so they are personally made aware and encouraged to consider whether agency is the most cost effective way of filling a temporary or permanent vacancy.	30/09/2016	Tenure information is now included in the monthly MI reports received from Reed which allows ongoing challenge to managers over the duration of placements and the need to have an identified exit strategy. Further developments since the audit include the introduction of a cap on all qualified children's social care posts with a minimum reduction of £4 per hour for all new supply. We continue to negotiate tenure discounts for the longer term placements from 6 months onwards	Testing of the monthly report & challenge process scheduled for Q2 of 2017/18		Confirmed by management	
<b>Compliance with regularions for engaging consultants:</b> Corporate Directors will be reminded of the processes surrounding the engagement of consultants as set out in financial regulations.	End of December 2016	Financial Regulations have been updated and will be published on the intranet during February 2017. Corporate Directors and their leadership teams have been reminded by their respective Senior Finance Business Partners of the processes surrounding the engagement of consultants	Testing scheduled for Q2 of 2017/18			

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Service Area: Information Governance						
Audit: XC1701						
<b>Corporate awareness of the security of information - Completeness of the Information Asset Register (IAR):</b> The IAR has been compiled by the Information Asset Managers and is under review. The Information Manager will write to all Information Asset Owners to confirm that they have checked the entries in their areas and are satisfied that the register is substantially complete.	December 2016 (original) July 2017 (revised)	Review has been implemented as planned and a number of revisions have been agreed with Information Asset Owners (IAOs). Work is ongoing with IAOs to identify Information Sharing Agreements in relation to Information Assets (IAs) and to ensure all relevant IAs are included in the Register.	Testing scheduled for Q3 of 2017/18 following a further management update in Q2 of 2017/18		Implementation remains in progress	
<b>Corporate awareness of the security of information - assessment of business impact levels and security classifications:</b> The Information Manager is reviewing all aspects of the IAR, including Business Impact Levels and security classifications	December 2016 (original) July 2017 (revised)				Implementation remains in progress	
<b>Corporate awareness of the security of information - Risk assessments for high business impact information assets:</b> As part of the review of the IARs the Information Manager will liaise with the relevant Information Asset Managers to review the Business Impact Level rating and with ICT to ensure all information assets with a Business Impact Level of 4 or higher is subject to a risk assessment (currently 92 assets).	December 2016 (original) July 2017 (revised)				Implementation remains in progress	
<b>Corporate awareness of the security of information - On-going review of risk assessments for high business impact information assets:</b> Owners of information with a BIL of 4 and above will be identified during the review and made aware of the need for an annual review and will be asked to return a checklist signed by the Information Asset Owner each year to confirm this has been done.	April 2017 (original) July 2017 (revised)				Implementation remains in progress	
<b>Vetting checks for Public Services Network (PSN) administrators, to ensure continued access to the PSN:</b> The work on confirming that the PSN Domain Administrators have had a vetting check has been completed	Completed	No update required - the response to the recommendation confirms implementation	Complete	Confirmation obtained from the Business Services Centre that the appropriate vetting checks have been completed.	Confirmed by Internal Audit	