

1	Action Description	Management Update	Internal Audit follow-up status	Internal Audit follow-up outcome	Action Status
2	Adult Social Care and Health				
3	Procurement of interim homecare service				
4	Competitive tendering: 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.	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 st April – there will be an implementation/transition phase between April to start of the new service on 1 st July 2017. The new contract will be under a Framework agreement for initially 2 years.	Tested in Q4, 2017/18; further testing scheduled for Q2, 2018/19	The Carers Trust work was properly tendered. It is called a 'Rapid Response and Hospital Discharge Service'. The successful bidder was the Carers Trust. The contract is for two years with an option to extend for a further two years. The use of 'spot providers' still continues, used to supplement the four properly procured core providers of home based care which were unable to provide the full service. This is expected to be resolved provided home based care is successfully re-tendered, which is currently in hand.	Confirmed by Internal Audit as Partly Implemented (AMBER)
5	Partnering approach between Corporate Procurement and departments, and monitoring arrangements: Establishment of the Contracts and Payments Overview Group to improve communications between the department and	The Contracts and Payments Overview Group is meeting regularly to ensure appropriate procurement of contracts.	Tested in Q4, 2017/18	The Contracts and Payments Overview Group is meeting every month to help ensure all contracts are properly procured.	Confirmed by Internal Audit (GREEN)
6	Direct Payments				
7	Nominated or authorised account holders - propose a change in policy and update policy, agreement, factsheets, and guidance for both clients and staff	Management update to be obtained for next quarterly report	Testing to be scheduled following management update		
8	Escalation procedure - design and implement an escalation process to cover all areas of non-compliance. Seek approval for and appoint a senior auditor to	Management update to be obtained for next quarterly report	Testing to be scheduled		
9	Repeat recoups - allocate additional resources to monitor follow-up actions to ensure more accurate costing of DP budgets. Implement DP calculator.	Management update to be obtained for next quarterly report	Testing to be scheduled		
10	Recoupment of funds - update procedures to ensure formal invoices are issued if the issue of initial letters does not result in the return of funds or	Management update to be obtained for next quarterly report	Testing to be scheduled		
11	Recoupment of funds - continue to look for solutions to resolve unmatched credits	Management update to be obtained for next quarterly report	Testing to be scheduled		
12	Short Breaks				
13	Action plans & service improvement plans - use supervision with unit managers to ensure quality assurance action plans and improvements plans are completed effectively and followed up.	Management has confirmed the recommendation has been actioned	Testing scheduled for Q2, 2018/19		Confirmed by management (AMBER)
14	Provider Information Return - include areas for improvement in the unit's plan and involve teams in keeping records of progress up to date	Management has confirmed the recommendation has been actioned	Testing scheduled for Q2, 2018/19		Confirmed by management (AMBER)
15	Procurement of suppliers and providers				
16	Suppliers not properly procured - tackle areas of non-compliance through the Contracts and Payments Overview Group.	This was confirmed as having been actioned in an update to the G&E Committee in December 2017.	Testing to be scheduled		Confirmed by management (AMBER)

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17	Suppliers not properly procured - monthly contract status report from procurement to senior departmental managers	This was confirmed as having been actioned in an update to the G&E Committee in December 2017.	Testing scheduled for Q3 2018/19		Confirmed by management (AMBER)
18	Notifying Corporate Procurement of procurement exercises over £10,000 - through the Contracts and Payments Overview Group and liaison between commissioners and the Category Manager	This was confirmed as having been actioned in an update to the G&E Committee in December 2017.	Testing scheduled for Q3 2018/19		Confirmed by management (AMBER)
19	Arrangements when Reed cannot meet a request for temporary staff - under review between the Category Manager Resources and the Group	Management update to be obtained for next quarterly report	Testing to be scheduled		
20	Out of county care support and enablement - A Care, Support and Enablement Framework Agreement has been tendered to capture out of County Services	This was confirmed as having been actioned in an update to the G&E Committee in December 2017.	Testing scheduled for Q3 2018/19		Confirmed by management (AMBER)
21	Day services transport - This is under review with the Category Manager – Place who is looking at procurement approaches	This was confirmed as having been actioned in an update to the G&E Committee in December 2017.	Testing scheduled for Q3 2018/19		Confirmed by management (AMBER)
22	Equipment for care and support centres - This is being explored through the Contracts and Payments Overview Group	Management update to be obtained for next quarterly report	Testing to be scheduled		
23	County Enterprise Foods: specialist food products - This is under review with the Category Manager – Place who is looking at procurement approaches	Management update to be obtained for next quarterly report	Testing to be scheduled		
24	Live-in carers inherited from a service user with direct payments - This is being explored through the Contracts and Payments Overview Group	Management update to be obtained for next quarterly report	Testing to be scheduled		
25	Telecare monitoring service - This is under review and procurement plans are being put in place with the Category Manager. A tender process is scheduled, Procurement are waiting for the commissioners' specification	The procurement process has been paused whilst management talk to health colleagues, with a proposed implementation date extended to July 2018. This situation was set out in an update to the G&E Committee in December 2017.	Testing scheduled for Q3 2018/19		
26	County Enterprise Foods: packaging for meals - This is under review with the Category Manager – Place who is looking at procurement approaches	Management update to be obtained for next quarterly report	Testing to be scheduled		
27	Care home admissions and expenditure				
28	Unreported deaths: Following the death of an NCC-funded resident at a nursing home that the provider allegedly did not report to Adult Care Financial Services, ACFS to review the provider's procedures for completing NCC provisional payments schedules and reporting deaths and discharges.	ACFS confirmed to the provider what NCC's requirements are, and also contacted and visited its homes to confirm the actions they were taking to address the situation.	Tested in Q4, 2017/18	Recent testing undertaken by ACFS of payments for NCC-residents at the provider's homes was shared with Internal Audit. No issues were found. ACFS is satisfied that the provider is aware of its responsibilities and would report deaths and transfers promptly.	Confirmed by Internal Audit (GREEN)
29	Stop Smoking contract				

IMPLEMENTATION STATUS OF HIGH PRIORITY RECOMMENDATIONS

APPENDIX 1

1	Action Description	Management Update	Internal Audit follow-up status	Internal Audit follow-up outcome	Action Status
30	Clarification of eligibility criteria: to be included in the mobilisation plan during the mobilisation period prior to the start of all new contracts, or where eligibility has changed by contract variation with an existing contract. These criteria must be in written form, and discussed face to face for clarity. It must be clear whether one, several or all criteria must be met, including residency, NHS registration and/or any other criteria such as membership of priority population groups.	Management update to be obtained for next quarterly report	Testing to be scheduled		
31	Confirmation of provider plans and procedures for assuring accuracy of Payment by Results (PbR) claims: to be included in the mobilisation plan during the mobilisation period prior to the start of all new PbR contracts, and will be confirmed within existing PbR contracts as they come up for review.	Management update to be obtained for next quarterly report	Testing to be scheduled		
32	Agreement of the format and level of detail required of supporting data that allows for validation of claims: to be included in the mobilisation plan during the mobilisation period prior to the start of all new PbR contracts, and will be confirmed within existing PbR contracts as they come up for review.	Management update to be obtained for next quarterly report	Testing to be scheduled		
33	Validation of detailed claims data from the provider before payment: has been implemented and is reviewed regularly within the Public Health Contracting team, balancing internal capacity with level of risk.	Management update to be obtained for next quarterly report	Testing to be scheduled		
34	County Enterprise Foods				
35	Production targets: targets set within the service plan to be reflected within the budget. Discussions to be undertaken between the finance department, service director and production unit to determine achievable targets to be reflected in the budget figures.	Management update to be obtained for next quarterly report	Testing to be scheduled		

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36	Children and Families				
37	CFCS1612 External Placements				
38	Compliance with Council tendering regulations 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	Following the management update to Committee on this at the previous Committee meeting in February 2018, it was highlighted that the key action to implement a dynamic purchasing system remained in progress	Initial follow-up complete	Further follow-up testing will be scheduled for Q3 in 2018/19	Implementation remains in progress (RED)

1	Action Description	Management Update	Internal Audit follow-up status	Internal Audit follow-up outcome	Action Status
39	Place				
40	HM Coroner's service				
41	Budgeted contribution: NCC to set a budgeted contribution that is both realistic and affordable. Proposals to further increase the level of council contributions to continue to be subject to scrutiny and, as far as possible, to a degree of challenge. Once the County Council is informed by the City Council of the final budget it has agreed with the County Coroner, to take 50% of that amount to be our budgeted or forecast contribution.	Management assurance received. The audit recommendation was reflected in a pressures bid for budget provision for 2018-2019. However, this bid was unsuccessful and the 2018-19 budget remains in line with that for 2017-18. Management to continue to cite the recommendation in future budget setting processes. Management have advised that Member Challenge panel have agreed that this can be funded out of contingency in year if required.	Testing scheduled for Q2 or Q3, 2018-19		
42	Catering (County Hall & Trent Bridge House)				
43	Confirmation of goods received prior to paying invoices to suppliers: Re-introduce checks of consolidated invoices on the basis of a 10% ratio	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.	Further testing scheduled for Q2, 2018/19	Ordering and receipting is now being carried out on an electronic platform. Procedures for using the data as a basis for checking consolidated invoices are being devised and tested.	Implementation remains in progress (RED)
44	Innovation Centres				
45	Contract variation - all future variations to contract are lodged with Legal Services and minuted accurately by the Strategic Management Board	Management update to be obtained for next quarterly report	To be scheduled following management update		
46	KPI Validation - ensure adequate resources are devoted to periodically obtaining independent assurance as to the accuracy of information reported by the contractor in any future management contracts				
47	Vacant property management				
48	Reliable documentation of handover checks / Extent of handover checks / Documented vacant property and site security strategy / Decommissioning / Exit fire risk assessment - Existing handover documentation to be revised and improved to incorporate a check list to ensure consistency of application. A new procedure for managing and monitoring vacant properties, complete with responsibilities of service departments and stakeholders will be produced and shared with affected parties. This will include an assessment of risk (trespass, vandalism, fire, etc.) and detail utility provision and management (including ensuring disconnections and certification where appropriate). Documents to be available on clearly identified shared drive.	Management update to be obtained for next quarterly report	To be scheduled following management update		

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

1	Action Description	Management Update	Internal Audit follow-up status	Internal Audit follow-up outcome	Action Status
49	Review and reporting of vacant properties / Insurance and Health & Safety advice - Corporate Property Management Group, comprising senior operational managers from service departments, Health and Safety and Risk and Insurance to be established and meet on a quarterly basis to share information, issues, and best practice.				

1	Action Description	Management Update	Internal Audit follow-up status	Internal Audit follow-up outcome	Action Status
50	Cross-Cutting				
51	Agency Staff & Consultants				
52	Automation of management information: Build into future tendering exercises for this service the requirement to differentiate between the nature of agency placements	The future procurement exercise will have this built into the invitation to tender.	To be scheduled	We confirmed that the existing contract has been extended for one year until November 2018 and the new requirements are to be included in the tender documentation.	Pending new contract
53	Information Governance				
54	Management committed to a number of actions to improve controls in relation to the following priority 1 areas: completeness of Information Asset Registers; assessment of business impact levels and security classifications; Risk assessments for high business impact information assets; On-going review of risk assessments for high business impact information assets.	Since the issue of the Internal Audit report, the Council has put in place an Information Governance Improvement Programme to prepare for the General Data Protection Regulations which come into force in May 2018. The four key strands of the programme (covering strategy, security, awareness and access) are addressing the actions identified in the Internal Audit report.	Internal Audit is involved in the work of the Information Governance Group and will schedule further testing as progress is made.		Implementation remains in progress (RED)
55	Strategic Risk Management				
56	Risk register for Place department - to be implemented	The Place Department Risk Register is in place and is being managed through the routine meetings of the Place RSEM Group.	Further testing scheduled for Q2, 2018/19		Confirmed by management (AMBER)
57	Updated information on risk registers - review risk registers to ensure information is up to date	This recommendation has given rise to the introduction of an ongoing rolling review process by the RSEMB. The Corporate Risk Register and three departmental risk registers have been tabled with the RSEMB, and it has been decided that each future meeting will examine one register in close detail and all will be reviewed at the annual Away Day. Following discussion with a representative from Essex County Council, an additional column has been included to indicate the potential risk once outstanding actions have been completed.	Further testing scheduled for Q2, 2018/19		Confirmed by management (AMBER)
58	Invoicing and debt management				
59	Enforcement action for high risk customers - Debts which are 45 days overdue will be considered for Enforcement Action. Prior to taking Enforcement Action, for services provided to an external party, a copy of the signed agreement will be requested. A copy is required as per the new Pre-Action Court Protocols which were introduced in October 2017. If a signed agreement cannot be supplied, it will be taken up with the Management of the Sales Office who raised the invoice.	The management response to the recommendation indicates this has already been implemented.	Testing scheduled for Q3, 2018/19		Confirmed by management (AMBER)

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60	Pursuing overdue debt - Finance Officers to be reminded of the procedure of working all of the account if they have an invoice in dispute. Senior Finance Officers and Senior Practitioner to check through dispute accounts every quarter to make sure that accounts are being picked up.	Management update to be obtained for next quarterly report	To be scheduled following management update		
61	Procurement compliance				
62	Fuel for fleet vehicles: There are 2 contracts for fuel, 1 for bulk fuel (called off from an ESPO), and Via also use fuel cards. To undertake a desktop exercise and understand who is the lead (NCC or Via). To liaise with Via regarding this to establish who is responsible for fuel cards.	Management update to be obtained for next quarterly report	To be scheduled following management update		
63	Connection of bus stop Real Time Information (RTI) displays to the electricity network: to review the level of competition in the market for the connection of bus stop RTI displays to the electricity network, confirm if there are only two suppliers, and decide if a tendering exercise should be undertaken.	Management update to be obtained for next quarterly report	To be scheduled following management update		
64	Water: to continue to competitively procure water supplies, although this will not start until the end of 2018	Management update to be obtained later in 2018-19	To be scheduled following management update		