

Agreed action and risk	Original implementation target and position at the previous follow-up in June 2022	Latest progress update	Internal Audit follow-up
Pre-2020/21 audit reports			
Ethical Framework (cross-cutting) – October 2018			
<p>Register of Staff Gifts and Hospitality A consistent form of register for gifts and hospitality to be devised for use by all departments.</p> <p><i>Risk: Staff may be unclear of rules and accept inappropriate gifts and hospitality without the knowledge or authority of management.</i></p>	<p>March 2019</p> <p>June 2022: Progress was hampered by staff changes, the Covid-19 pandemic and then the change in governance arrangements, where officers were focussed on other time critical work. However gradual work has been ongoing throughout and a revised electronic form has been developed for use by staff to record gifts and hospitality. Subject to changes in the Officer Code of Conduct, this will be ready for roll-out by Autumn 2022.</p>	<p>Electronic forms for staff to declare interests and gifts & hospitality have been developed and are ready for implementation. A separate report has been presented to the G&E Committee on 30 November 2022 approving the new approach.</p>	<p>We will confirm whether this has happened in our next action tracking report.</p>
<p>Staff Declaration of Interest A standard template to record notifications of interests to appropriate managers. Staff to be reminded annually of the requirements regarding notifying interests and declaring interests in meetings.</p> <p><i>Risk: There may be inadequate safeguards to prevent inappropriate involvement by staff in decision making or access to documentation.</i></p>	<p>May 2019</p> <p>June 2022: A revised electronic form has been developed for use by staff to notify any relevant interests to managers. Subject to changes in the Officer Code of Conduct, this will be ready for roll-out by Autumn 2022.</p>	<p>Electronic forms for staff to declare interests and gifts & hospitality have been developed and are ready for implementation. A separate report has been presented to the G&E Committee on 30 November 2022 approving the new approach.</p>	<p>We will confirm whether this has happened in our next action tracking report.</p>
External Day Care Providers (ASC&PH Dept) – December 2019			
<p>Service provider tendering and contracting A competitive process to select new external day care providers to be undertaken (instead of ASCH Commissioning annually extending contracts beyond the duration of the framework agreement that expired March 2016).</p>	<p>April 2020</p> <p>June 2022: Covid-19 impacted this area. New contracts were issued to providers in April 2021 for one year under the same specifications as before, but were to be updated following the strategy feedback. The Commissioning Board agreed to extend these until March 2023 to allow for the strategy to be consulted on.</p>	<p>The Day Opportunity Strategy was approved by the ASC&PH Committee in April 2022. Plans are ongoing to prepare the tender to introduce new specifications and contracts from April 2023.</p>	<p>To be followed up in next 6 months.</p>

Overdue Priority 1 Actions

Appendix 1

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<p><i>Risk: Non-accredited providers may offer poor value for money and there may be breaches of procurement regulations.</i></p>			
<p>Contract compliance – performance The relevant key performance indicators (KPIs) and quality standards to be a contractual requirement.</p> <p><i>Risk: Providers may not fulfil their contractual obligations or be in breach of their contracts.</i></p>	<p>April 2020</p> <p>June 2022: KPIs were to be in the new contract – see above regarding the timeline issue. (Audits of compliance with existing contract conditions had started again.)</p>	<p>Work is underway with external providers via a KPI working group to ensure effective monitoring is introduced into the new contracts, aligned to outcomes. The department is currently scoping a VFM audit, which will also enhance the understanding of outcomes and performance within day services.</p>	<p>As above</p>
<p>Budget Forecasting (cross-cutting) – March 2020</p>			
<p>Training A training package is being developed. This will be available as on-line training and will include updated guidance on the expectations of budget holders and approvers.</p> <p><i>Risk: Where staff are not fully aware of their roles and responsibilities or properly trained, inaccurate forecasts may be produced.</i></p>	<p>September 2020</p> <p>June 2022: The proposed change in Governance arrangements has meant that Finance have been reviewing and updating Financial Regulations which has taken priority. The intention is to include updated Financial Regulations in the training and expect to undertake this after year-end activities have been concluded.</p>	<p>Progress was previously delayed by additional work arising from Covid, and then the update to financial regulations which is also to be included in the training. This will be revisited after the year-end accounts activities, after the delayed external audit visit which was due to end in early October.</p>	<p>To be followed up in next 6 months.</p>
<p>2020/21 audit reports</p>			
<p>Commissioning (cross-cutting) – June 2020</p>			
<p>Commissioning Project Management Draft commissioning plans to be circulated between departmental commissioning boards, panels and teams and also a cross-departmental Expert Commissioner group.</p>	<p>October 2020</p> <p>June 2022: This work was paused in early December 2021 due to demand pressures caused by the Omicron variant and pressures on the home care market. This work recommenced in April 2022.</p>	<p>This is now addressed by the Departmental Commissioning Boards established for the Adults and Children’s departments. A Place Department commissioning and contracts group was still to be set up, and so we will continue to track this.</p>	<p>To be followed up in next 6 months</p>

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<i>Risk: Opportunities for joint working and commissioning are missed at the operational level.</i>			
<p>Training and quality control A framework of commissioning courses ranging from basic to advanced, sourced either internally or externally, to be established and rolled out.</p> <p><i>Risk: The quality of commissioning activity varies across the organisation.</i></p>	<p>October 2020</p> <p>June 2022: This action is now expected to be complete in October 2022.</p>	<p>A cross-departmental task and finish group of commissioners have carried out a skills audit and with the analysis from this activity a training plan will be developed to deliver the organisational development and cultural change required as part of the adoption of the Strategic Commissioning Framework, Toolkit and Training Plan which will now be launched in January 2023</p>	<p>As above</p>
<p>Databases and data analysis Commissioning groups and teams to review the data analytical skills required of staff and consider options for addressing skills gaps.</p> <p><i>Risk: Best practice is not promoted, resulting in sub-optimal outcomes.</i></p>	<p>October 2020</p> <p>June 2022: Learning and recommendations will be identified as part of the first phase of the Strategic Commissioning Programme that is now expected to be completed by end December 2022.</p>	<p>The current Strategic Commissioning Programme is being supported by a Business Analyst from the Strategic Insight Unit. However, this level of support cannot be available for all commissioning activities. It is intended that through the online Toolkit, which is being developed as part of the programme, there will be further information collated for commissioners of useful links and resources for them to use to be able to support and aid their data analysis.</p>	<p>As above</p>
<p>Business Continuity Planning (BCP) (cross-cutting) – August 2020</p>			
<p>Training The Emergency Planning Team to submit a report to the Risk, Safety and Emergency Management Board (RSEMB) on training options and other matters arising from the returned questionnaires.</p> <p><i>Risk: Lack of engagement from BCP managers and ineffective</i></p>	<p>March 2021</p> <p>June 2022: Covid-19 response work has now receded. (debriefing work to follow). Other priority emergency planning work will further delay completion of this specific action, however:</p> <ul style="list-style-type: none"> The RSEMB discussed NCC Critical Service list in March 2022, and agreed this will be updated through departments. 	<p>Consideration has begun to be given to the inclusion of Business Continuity in a suite of new e-Learning modules.</p>	<p>To be followed up in next 6 months.</p>

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<i>actions taken in the event of an emergency.</i>	An ICT Business Continuity exercise is scheduled with RSEMB on 9 th June.		
<p>BCPs on SharePoint Managers of critical services in the ASC&PH and C&F Departments need to produce BCPs for the 10 critical services currently without one. Once completed they need to be uploaded onto SharePoint.</p> <p><i>Risk: Services deemed as critical do not have an action plan in the event of an emergency.</i></p>	As above	Specific Emergency Planning Officers have been assigned to support ASC&H and C&F managers of critical services. We await confirmation that Business Continuity Plans have been produced for the 10 services in these departments that did not have one.	As above
<p>Annual Reviews of BCPs Managers of critical services to ensure that BCPs to be reviewed, updated, and made subject to training exercises.</p> <p><i>Risk: Actions taken in response to an emergency situation are not effective, exposing the Council and its service users to prolonged disruption.</i></p>	As above	The Emergency Planning Team has recommended the re-establishment of the Business Continuity Forum to lead and support the future maintenance of effective business continuity plans.	As above
2021/22 audit reports			
Section 106 Agreements (Place Dept) – May 2021			
<p>Commencement of Developments Formalised process for notification of development commencement.</p> <p><i>Risk: Management are not sighted on developments and trigger points are not activated.</i></p>	<p>April 2021</p> <p>In our previous follow up in June 2022 this was classed as actioned, subject to our testing, as meetings had been arranged. However further enquiries this time found that these meetings have not progressed to a stage that clears this action (see next column).</p>	Meetings with District and Borough Councils have been arranged, to discuss the method by which they monitor the commencement of developments and send formal notification to the County Council.	To be followed up in next 6 months.
Sale of land and building properties (Place Dept) – November 2021			
Asset Management Plans	March 2022	Progress was delayed by Covid-19, after which a restart was made in the	To be followed up in next 6 months.

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<p>To develop the Service Asset Management Plans.</p> <p><i>Risk: The property requirements of the Council may be unclear.</i></p>	<p>June 2022: Some progress was made on Service Asset Management Plans before Covid-19 but these were not completed as services concentrated elsewhere. A restart is planned in part of the Children's department - children's homes and disability homes.</p>	<p>Children's Department. A new Strategic Business Partner is now working with the Children's Department on the Service Asset Management Plan for their area.</p>	
<p>Ethnicity Data (cross-cutting) - July 2021</p>			
<p>Data Usage To develop the use of ethnicity data in service development and commissioning.</p> <p><i>Risk: Inability to target vulnerable groups effectively.</i></p>	<p>No target date given – it was in progress when the audit report was issued in July 2021.</p> <p>The current update (see next column) is the first time that we have followed up this action.</p>	<p>This has been actioned in the Children & Families department. Reports including ethnicity data are now considered business as usual. Ethnic characteristics are available for all cohorts to allow targeted interventions. We will continue to follow this up with the ASC&PH department which has not confirmed the implementation of this action.</p>	<p>To be followed up in next 6 months.</p>