

Appendix 1 – Overdue recommendations

Audit Name	Recommendation	Original target date	Progress update	Revised target date
2014/15				
Adult Social Care	I recommend that the Director of Adults Wellbeing documents and endorses the Council's approach to discretionary payment adjustments, if any; ensures that staff have the necessary authority to make discretionary payment decisions; and ensures that staff are aware of any changes to procedure.	30/11/2015	Paper to be submitted to DLT on 24 October 2016. Charging Policy, guidelines and appeal form will be updated to include approach to be taken for appeals and waivers.	31/12/2016
Data Quality	I recommend that the Principal Information Governance Officer in conjunction with the Adults Well-being Performance Lead ensures that all Adult Social Care Staff sign the Corporate Staff Confidentiality Agreements, and that all third party Frameworkki users are re-sent third party agreements to complete.	31/03/2015	All new requests follow an agreed process for third-party access. An audit of all existing cases and whether agreements are in place has started and will look to ensure that all active 3rd party users have signed the confidentially statement required of them.	31/12/2016
Health & Safety	I recommend that the Property Services Manager ensures that the Asbestos, Legionella and Fire Risk Assessment spreadsheet is fully updated and that consistencies occur across the worksheets. Property Services Managers to ensure that all properties deemed high risk in each category are assessed first.	01/11/2015	Fire and legionella assessments completed for all council sites. Asbestos assessments completed for all sites bar a small number of retail premises, which will be completed before the end of December.	31/12/2016
Home Point	The Commissioning Lead - Housing Partnerships includes the requirement for partner organisations to comply with Council access control policies and inform the Council of any leavers in order to support effective administration of the housing allocations software.	31/08/2015	A copy of the original audit has been requested from SWAP, in order to understand the background of the recommendation in order to action.	31/12/2016
Housing & Council Tax Benefits	The Benefit Assessment Team Leaders have agreed to schedule a review of the data matches identified by the NFI data matching exercise.	31/12/2015	Nearly 50% matches completed, realising savings of £14,826.73.	31/12/2016
Procurement	I recommend that the Head of Commercial Services reviews the process for compiling the contracts register prior to the	30/11/2015	The contracts register is intended to be hosted on a gresso/sharepoint and will	31/01/2017

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	introduction of Due North, in order to ensure that information covering all ongoing and future contracts will be captured and reported. Purchasing using a framework agreement should also be identified and recorded in the register.		be more of a 'live' document than what currently exists, informed by actual spend data available on agraesso and meeting all statutory transparent regulations.	
Procurement	I recommend that the Head of Commercial Services reminds contract managers of the need to retain contract documentation within their team in accordance with document retention guidelines. In the event of staff changes, this documentation needs to be handed over to other staff within the team to ensure compliance with this guidance, and to make it available to managers for the purpose of contract renegotiation, or queries / disputes on current works.	28/02/2015	In tandem with the review of the constitution, contract procedure rules are being updated to include details of retention requirements.	01/12/2016
Procurement	I recommend that following the introduction of a revised and complete contracts register, the Head of Commercial Services implements a procedure to monitor upcoming contract expiries and obtain evidence from Service Managers that re-tendering procedures are undertaken in a timely manner.	30/11/2015	This information is being included in the newly devised agraesso and sharepoint-hosted contracts register.	31/01/2017
2015/16				
Coroners Service	I recommend that the Registration Services Manager ensures that Service Level Agreements are in place for each of the service provisions used.	30/04/2016	Work is ongoing between senior WVT managers, the coroner and the head of law governance and resilience to formalise the relationship between the coroner, the WVT mortuary and pathologists when providing coroners post mortems, mortuary facilities etc.	01/12/2016
Licensing	I recommend that the Solicitor to the Council - People and Regulatory provides guidance to the service areas affected by the Openness of Local Government Bodies Regulations 2014 on how to meet the requirements of the regulations, and ensures that service areas are publishing the required	31/07/2016	Being implemented as part of the review of the constitution which is taking longer than anticipated, but due to be completed by the end of December.	31/12/2016

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	information in accordance with that guidance.			
Payroll	I recommend that the Payroll Manager in liaison with the Head of Corporate Finance investigates the cause of the National Insurance error identified and ensures that any employee NI calculation errors are identified and resolved as a matter of urgency. If the cause is a system error then this must also be corrected promptly.	01/06/2016	The calculation issue relates to back pay and the cause has been identified. The team are working with the software supplier to generate a fix.	31/03/2017
Safer Recruitment (Children's)	I recommend that the Director of Resources ensures there is an authorisation and monitoring process in place for all volunteers and that a master list of all volunteers is maintained with the appropriate records kept in the personnel file, including any pre-employment checks conducted.	31/12/2015	Further exercise to be undertaken to collate list of volunteers.	31/12/2016