

Audit	Recommendation	Priority	Target Date	Latest Update	Status
AWB					
Financial Assessments under FACS	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.	4	30/11/2015 Revised to: 31/05/2017	Paper taken to DLT in February, seeking approval for appeals, waivers and write-offs. Minor amends required (waiting clarification)	In Progress
Financial Assessments under FACS	Recommendation carried forward from KPMG review 205/2013-14: I recommend that the Director of Adults Wellbeing liaises with all suppliers that are not regularly notifying the Council of their agreement of the remittance, and remind them of their responsibilities	4	31/12/2015 Revised to: 31/05/2017	Implementation of the new unified contract has been delayed. New contract arrangements are due to be in place for 3rd April 2017. The remittance content has been revised in line with the new contract and providers are no longer required to send back the remittance slip unless it is incorrect.	In Progress
Public Health Investment and Outcomes	The Director of Public Health has agreed to ensure a strategic commissioning plan to distribute public health funds to various service areas and cost centres is agreed by the Director of Adults Wellbeing and Management Board prior to each financial year as part of the budget setting process. The Strategic Plan to align with the Council's 4-year Medium Term Financial Strategy, and direct activity within public health and internal departments.	4	30/10/2016 Revised to: 31/05/2017	A strategic plan has produced and is due to go to Cabinet in February. This was originally planned to go to October's cabinet, however was it delayed in order to align to other AWB strategic documentation.	In Progress
Midland Heart Care Provision	The Joint Commissioning LD & MH Manager has agreed to ensure that provision for spot purchasing is included in the retendering of care services due in the Summer of 2016.	4	31/07/2017	Action remains outstanding, but is potentially to be picked up as part of the follow up audit	In Progress
Deprivation of Liberty (DOLs) – HC	The Assistant Director - Operations has agreed to consider the option of proof reading of Form 5s being carried out as part of the administration function, if changes in the team's establishment make this possible.	4	31/01/2017 Revised to: 01/07/2017	Work to review business support will align to pathway development work. Process of change expected to be completed July 17. New BS manager starts 01/03, who will lead on review of current functions and future need	Not Complete

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Deprivation of Liberty (DOLs) - HC	The DoLS Lead, in conjunction with the Assistant Director - Operations, has agreed to assess what tools are required to manage the service on a day to day basis, and to report on performance to senior management.	4	31/01/2017 Revised to: 31/12/2017	Basic performance information available, in respect of numbers backlog and staff output. Mosaic development is now likely at end of 2017, due to other priorities	Not Complete
Deprivation of Liberty (DOLs) - HC	The Assistant Director - Operations has agreed to review the resource level with regard to the administrative function within the DoLS team to assess whether it is adequate.	4	31/01/2017 Revised to: 01/07/2017	Work to review business support will align to pathway development work. Process of change expected to be completed July 17. New BS manager starts 01/03, who will lead on review of current functions and future need	Not Complete
Direct Payments	I recommend that the Joint Team Leader develops and implements documented procedures to set out the timescales and procedures for recovering surplus funds. These must be in accordance with the Financial Procedures Rules requirements to bill for necessary income promptly, ensure service users are treated consistently, and ensure that the Council central finance team have correct oversight of funds owed to the Council.	4	30/09/2016 Revised to: 31/05/2017	Documented procedures for recalling surplus funds are in place. Further development to the Mosaic system is required to enable invoices to be automatically raised through an AR interface to Agresso. However the current priority is to test the Mosaic AR interface for implementation of client billing for care home fees due to go live April 2017. Further development of mosaic for direct payment surplus invoices through a purchasing step will be undertaken after all current priority work on the unified contract and rate uplifts for Home Care are complete. Due date 31/05/2017.	In Progress
Purchasing Strategy and Market Management - Care service	The Assistant Director: Commissioning (AWB) has agreed to arrange for a bad debt provision to be set up in the Service's accounts to cover non-payment of third party top up debt, thus making such cases easily identifiable against the service budget	5	30/09/2016 Revised to: 31/05/2017	The issue on third party top up debt has been resolved from the 3 April 2017 with the new unified contract as the council will be responsible for collecting this. Corporate finance are implementing monitoring processes as a result of these changes	In Progress

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Purchasing Strategy and Market Management - Care service	The Contracts Quality and Review Lead and the Brokerage Acting Team Leader have agreed to work together to compile a current list of care home charges (usual rates for older people) and that a legal agreement for requesting, actioning and monitoring future rate increase requests by care homes in respect of Learning Disabilities and Mental Health placements is formalised.	4	31/10/2016 Revised to: 31/05/2017	The charges for each home will now be requested annually as part of the self-assessment returns to the quality and review team, this will be captured on the dashboard as well as requests for uplift. All uplift requests are collated with the contracts team and information used to inform any revisions to usual rates. All care homes from the 03 April 2017 will be subject to the same terms and conditions which specify that rates will be reviewed annually and therefore the annual rate increase will apply to both Learning Disabilities and Mental health placements as well as older persons which was previously was not the case. All Providers can at any point ask for fees to be reviewed if the needs of an individual has changed and this is made clear in the contract.	In Progress
Purchasing Strategy and Market Management - Care service	The Adults and Wellbeing Director has agreed to set a cut-off date for care homes to notify the Council of outstanding client contributions and third party top up debts as a matter of urgency.	4	30/09/2016 Revised to: 31/05/2017	Providers have all been informed in communications to the market that the council will not be held responsible for any outstanding debt from the 03 April 2017	In Progress
Purchasing Strategy and Market Management - Care service	The Assistant Director: Commissioning has agreed to, in conjunction with the Contracts Quality and Review Lead and the Performance Service Manager Adults and Wellbeing Directorate, review and increase the current level of reporting to Senior Management to include: number and value of third party top ups per home; changes in provider charges and impact on placements; non-payment of third party top ups, to include number of cases and level of individual debt.	5	31/12/2016 Revised to: 31/05/2017	Commissioning dashboard is being developed in key service areas, providing the commissioning team and managers with a single point for information on service use, trends and quality information.	In Progress

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Social Care – Financial Practices	The Welfare and Financial Assessment Team Manager has agreed to ensure a robust process is in place to raise the client contribution debts to service users when the new process of paying providers gross is implemented in January 2017. Additionally the Transactional Support Team Leader needs to ensure that all client contributions that have been paid to providers are identified, and confirm that invoices have been raised in each instance and that the Welfare and Financial Assessment Team has been alerted to assist the Revenues Team with recovery action where the debt remains unpaid. The debts that have been identified as a result of this audit need to be formally raised to the client with an explanatory letter regarding the situation.	4	31/01/2017 Revised to: 31/05/2017	Payment to providers on a gross basis through the unified contract is now due to be implemented from 3rd April 2017, so client billing will commence 4 weeks later (as invoices are raised 4 weeks in arrears). The new process for billing is scheduled to be in place by 1st May 2017.	In Progress
ECC					
HC 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.	4	28/02/2015 Revised to: 10/05/2017	Subject to approval of revised Contract Procedure Rules by A&GC in May	In Progress
Use of Agency Staff 2015-16	I recommend that the Head of Commercial Services includes the date a contract has been signed in the Council's contract register and undertakes regular checks to ensure all contracts are signed promptly.	4	03/12/2015 Revised to: 31/05/2017	The contract register is being developed on Sharepoint to allow the Contract Managers in the service areas to update their relevant sections, and that Contract Managers would be able to upload, onto the contract register, signed copies of the contract. Regular reviews of the contract register will highlight where signed contracts have not been appended. <i>The extended timescale will allow for system testing, issuing procedures and training workshops to include</i>	In Progress

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				<i>Legal Services officers and Contract Managers.</i>	
Licensing (HC)	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 information in accordance with that guidance.	4	31/07/2016 Revised to: 31/05/2017	The Head of Corporate Governance confirmed that the Constitution was approved in December 2016 and it is anticipated for the relevant systems and processes to be put in place between January and May 2017, to enable the publication of the officer decisions.	In Progress
Commissioning & Procurement	The Head of Law and Governance, in liaison with the Assistant Director of Communities has agreed to commission a review of procurement arrangements and systems, to document best practice, address procurement training needs, and provide clarity on commissioning responsibilities.	4	30/01/2017 Revised to: 10/05/2017	Subject to approval of revised Contract Procedure Rules by A&GC in May	In Progress
Cash Handling & Collection - Corporate - HC	The Head of Corporate Finance has agreed to ensure that cash is banked in line with the Council's Financial Procedure Rules, and that the word 'immediately' is replaced with a defined period, in which cash should be banked.	3	29/04/2017 Revised to: 10/05/2017	Subject to approval of revised Financial Procedure Rules by A&GC in May	In Progress
Cash Handling & Collection - Corporate - HC	The Finance Transactional Support Officer (Hoople Ltd), in liaison with the Head of Corporate Finance, has agreed to check petty cash claims, for correct authorisation, supporting receipts and rejects any claims not properly authorised.	3	30/11/2016 Revised to: 10/05/2017	Subject to approval of revised Financial Procedure Rules by A&GC in May	In Progress
Cash Handling & Collection - Corporate - HC	The Head of Corporate Finance has agreed to provide guidance and training to officers responsible for petty cash floats, to ensure claims are fully supported by authorised receipts.	3	30/11/2016 Revised to: 10/05/2017	Subject to approval of revised Financial Procedure Rules by A&GC in May	In Progress
Cash Handling & Collection - Corporate - HC	The Head of Corporate Finance has agreed to remind staff that expenses should be properly authorised and reimbursed through the staff expenses system, rather than through petty cash reimbursements.	3	30/11/2016 Revised to: 10/05/2017	Subject to approval of revised Financial Procedure Rules by A&GC in May	In Progress
Cash Handling & Collection - Corporate - HC	The Head of Corporate Finance has agreed to provide guidance to managers to cover required procedures for cash collection, receipting of income, cash handling, banking, and segregation of duties, authorisation and security of cash.	3	30/11/2016 Revised to: 10/05/2017	Subject to approval of revised Financial Procedure Rules by A&GC in May	In Progress

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Property Services - Accounts Payable - HC	<p>The Director of Resources has agreed to ensure future procurements include the following where reasonable and relevant:</p> <ul style="list-style-type: none"> • IT requirements for data submissions are made clear and are compatible with the Council's Financial Management System • the Output Specification details maintenance costs for properties • an agreed annual maintenance plan 	3	31/12/2016 Revised to: 31/05/2017	Currently identifying sufficient resource.	In Progress
Property Services - Accounts Payable - HC	The Director of Resources has agreed to put sufficient plans in place to address the issue of staff resilience with regards to the checking and processing of the Integral application invoices.	3	28/02/2017 Revised to: 31/05/2017	Currently identifying sufficient resource.	In Progress
Car Parking Income/Enforcement - HC	The Parking Services Manager has agreed to ensure the Persistent Evaders policy is reviewed; approved and implemented promptly.	3	01/01/2017 Revised to: 30/09/2017	Rather than have separate procedures such as appeals, enforcement, persistent evaders, all are going to be reviewed, revised where necessary and detailed into one single document. This is a large piece of work but has been started and will involve an internal and external consultation and going through the councils governance process	In Progress