

ANNEX B *Summary of Outstanding Recommendations*

(Recommendation status as at 30.06.2024).

Audit	Risk level	Summary of Recommendation	Target Date	Status
<i>Essential Recommendations overdue</i>				
DSG Safety Valve Review		The new CACI information system should be implemented as soon as possible, and no later than the currently projected time of May 2024. Any delays should be reported to the Chair of the Project Board and the Section 151 Officer for consideration on how to proceed before delays are accepted. When the new system is in place, officers should utilise the reporting available to act on Recommendations 3 and 13.	31/05/2024	The new CACI system has now gone live with an extensive bout of training for users. There are still a number of implementation issues which require continued support from IT project team to resolve with CACI. Revised target date: 31/07/2024
DSG Safety Valve Review	E	Once data accuracy is assured as per Recommendation 1, targets and expected benefits should be added and include measurable aims to allow for accurate monitoring of actions – e.g., 'if we do X, the no. of EHCPs should be reducing by X each month compared to this time last year in order to meet the target of X.' Once SMART targets are in place, a formal prioritisation of actions should then be undertaken, noting which actions will have the most significant impact on the programme and focusing on these first.	31/05/2024	We need to submit our revised forecast in October which will provide an opportunity to review the associated action plan Revised target date: 31/10/2024

		Identify interdependencies between actions and add to the progress timeline in the action plan, so that any delays are shown clearly and can be taken into account when planning the start of new actions and reporting on progress.		
Schools Capital Programme	E	<p>The Design and Build Framework should be signed by appropriate representative of CCC and each of the building firms appointed to the framework as a matter of priority.</p> <p>This issue should be reported to the Head of Procurement and Commercial Services, the Executive Director for Children's and Education Services, and the S151 Officer, and/or reported under the new breach process within Contract Procedure Rules.</p> <p>Resolution of this issue should also be reported and the service should conduct sample testing to verify that contractors have been complying with the most high-risk controls within the framework contract including DBS and health and safety requirements (see also Recommendation 4, below).</p>	21/05/2024	<p>All contractors have now signed the framework contract with the exception of two: Contactors A and B for the purposes of this report. CCC currently has no worked tendered with Contactor A and have written to Contactor A to say they will not be awarded any call off contracts unless the framework contract is returned signed. On all Contactor B contracts the project officers have verified that contractors are complying with the most high-risk controls referred to in the audit report. Contactor B have queried two points before signing the contract, CCC officers have replied to these and are waiting for the signed contracts to be returned.</p> <p>It is difficult to specify a target completion date for all the contracts to be signed until we have had the returned signed framework contract from Contactor B.</p> <p>For the contracts that have been returned. On 10th November 2020 CYP Committee resolved unanimously to "Approve the proposal that responsibility for awarding the Framework contract be delegated to the Executive Director: People & Communities in consultation with the Chairman of the CYP Committee." The responsible officer has asked Democratic Services for their advice around who has delegated authority to sign these contracts, as that exact post no longer exists. .</p> <p>The responsible officer has reported the issue to the Head of Procurement, the Exec Director of Children's and Education Services and has reported the breach under</p>

				<p>the new process within the contract procedure rules.</p> <p>Revised target date: 30 September 2024</p>
<p><i>High Recommendations overdue - over 12 months</i></p>				
<p>Healthy Child Programme</p>	<p>H</p>	<p>Once a detailed Pricing Schedule has been developed for the contract, the Public Health team should implement quarterly open-book monitoring against the pricing schedule. This should include a detailed breakdown of actual costs incurred by the providers, with this information being reviewed and challenged by the Authority. The service should also ensure the year-end reconciliation of reported costs to actuals takes place in line with the Section 75 Agreement document.</p>	<p>30/06/2023</p>	<p>A process for undertaking Open Book monitoring of the Healthy Child contract has been agreed at the last Healthy Child Programme Finance Meeting, in conjunction with the Head of Diligence and Best Value. This process has been drawn-up into a flowchart which has been shared with Internal Audit, and an open book review into the costings specifically related to estates for the programme is already underway. The Open Book Accounting process agreed is being rolled-out across the whole contract presently, so the next finance meeting for the programme will provide evidence for closure by demonstrating which costs have been scrutinised compared to which source records. This meeting is currently scheduled for September.</p> <p>Revised target date: 30 September 2024</p> <p>Revised target dates from previous reporting cycles:</p> <ul style="list-style-type: none"> • May 2024 (last report to Cttee) – 31 July 2024 (implementation date in last report to Cttee) • March 2024 – 30 April 2024 • December 2023 – 30 April 2024 • September 2023 – TBC

Transparency Code	H	<p>An Information Management Strategy (or equivalent) should be produced to establish how information should be produced and published.</p> <p>It should include:</p> <ul style="list-style-type: none"> • A clear process for key officers to check that all required datasets are published correctly and on time ensuring compliance that the information is published quarterly and annually. • A timetable for key officers to get in touch with service contacts who own the datasets, to remind them that publication is due in advance of deadlines. • Guidance for ensuring if any delayed or absent publication is identified that it is discussed to find out the reasons for this with the officers involved and to establish whether there are ongoing issues with timeliness of publication and to identify the root cause. • Processes to ensure that personal information is redacted appropriately. 	30/06/2023	<p>Internal Audit has seen a copy of the draft Freedom Of Information Publication Scheme & Local Government Transparency Code Policy.</p> <p>The policies have been reviewed but need to go to the new Information Management Board (IMB) for final review and approval, when the Board has been set up.</p> <p>CLT have approved a paper proposing the Board. This was approved at their meeting on 13 November. There are some small amendments required before full sign off. Awaiting the TOR for the IM board and subsequent first meeting.</p> <p>Revised target date: 31 July 2024</p> <p>Revised target dates from previous reporting cycles:</p> <ul style="list-style-type: none"> • May 2024 – 30 June 2024 • March 2024 – 30 April 2024 • January 2024 - 31 March 2024 • December 2023 - 28 February 2024 • September 2023 - 16 January 2024
Transparency Code	H	<p>Key Officers need to be identified in the Council who are responsible for ensuring that the Transparency Code data is published in line with requirements. This should include identifying, in a written document (such as the Information Management Strategy referenced at Recommendation 1):</p> <ul style="list-style-type: none"> • The central team (i.e. the Information Governance team) with responsibility for requesting data due for publication; collating the data; ensuring that data accuracy checks have been completed; and publishing the data on the Council’s external website. 	30/06/2023	<p>Internal Audit has seen a copy of the draft Freedom Of Information Publication Scheme & Local Government Transparency Code Policy.</p> <p>The policies have been reviewed but need to go to the new Information Management Board (IMB) for final review and approval, when the Board has been set up.</p> <p>CLT have approved a paper proposing the Board. This was approved at their meeting on 13 November. There are some small amendments required before full sign off. Awaiting the TOR for the IM board and subsequent first meeting.</p>

		<ul style="list-style-type: none"> For each individual dataset, identifying which team within the Council is responsible for owning and producing the data and supplying the data to the central team. This should include identifying a named key contact within each team for producing the data. For each dataset, identifying the checks that should be conducted to verify that the information published is accurate and is compliant with the format requirements of the Transparency Code, by the key officers. This can then be followed consistently when officers change to ensure that the process is consistent. 		<p>Revised target date: 31 July 2024</p> <p>Revised target dates from previous reporting cycles:</p> <ul style="list-style-type: none"> May 2024 - 30 June 2024 March 2024 – 30 April 2024 January 2024 - 31 March 2024 December 2023 - 28 February 2024 September 2023 - 16 January 2024
<i>Medium Recommendations overdue - over 12 months</i>				
DSG - High Needs Block Demand Management	M	A detailed written training package should be developed and implemented by the local authority and distributed to schools and special educational needs coordinators (SENCO), with information on how to conduct an annual review meeting and how to amend an Education, Health and Care Plan (EHCP) after an annual review has taken place. The service should also seek to identify schools which repeatedly supply annual review forms that do not meet the standard requirements expected by CCC and retrain them, in addition to challenging paperwork sent by schools if it is not completed correctly.	01/09/2022	<p>A new training package has been developed on the EHCP 20 week process and AR process, which will soon be delivered to schools. There is also inhouse training on annual reviews delivered by a member of the SAT team.</p> <p>Revised target date: 31 July 2024.</p> <p>Revised target dates from previous reporting cycles</p> <ul style="list-style-type: none"> March 2024 - 31 July 2024. <p>September 2023 – 31 January 2025.</p>
Government Procurement cards (GPC)	M	It is recommended that the CCC FAQ document is used as the primary guidance for acceptable use. As an internal document, it can be tailored to be consistent with the policies of CCC. The RBS User Guidance provides a more general guidance, and details of the responsibilities of Cardholders, Approvers and the GPC team. The User Guide, CCC FAQ Document and Travel	01/06/2023	<p>This has been delayed as guidance was going to be updated in line with the proposed new change request to utilise workflows in ERP for approvals and submitting of forms. The CRS are in progress as data tables are in production, it is anticipated the build time will be circa 6</p>

		and Expenses Policy should be consolidated and updated to ensure that guidance on staff subsistence is clear and consistent to all staff, including those in Client Funds and Social teams where exceptions may be permitted.		<p>weeks, followed by UAT. Documentation will be updated in line with these new processes.</p> <p>Revised target date: 30 September 2024</p> <p>Revised target dates from previous reporting cycles:</p> <ul style="list-style-type: none"> • March 2024 - 30 June 2024 • January 2024 - 31 March 2024 • December 2023 – 31 December 2023 • September 2023 - 30 September 2023
Insurance Fund	M	The Claims Handling Manual should be updated following implementation of an Insurance Strategy, this should ensure that the service goals and objectives are supported by operational processes which target management resource accordingly. This could also include current reporting review processes, betterment circumstances.	31/12/2022	<p>A New Head of Insurance started in post at the end of April and as such is expecting to be able to provide a more detailed update on progress for the next committee. The draft Insurance Strategy has been completed and has been reviewed and commented upon by the S151 Officer previously. The strategy will need to be reviewed by the incoming Head of Insurance and then go to Lead Authority Board for approval, as the document will support all councils the Insurance Service supports.</p> <p>Revised target date: TBC</p> <p>Revised target dates from previous reporting cycles:</p> <ul style="list-style-type: none"> • March 2024 – 30 April 2024 • January 2024 – 31 March 2024 • December 2023 - 31 January 2024 • September 2023 - 1 December 2023
Insurance Fund	M	An Insurance Strategy is developed to provide a clear framework for the service goals and objectives including a structured approach to the Councils insurance arrangements. For example, this could include the following information: The strategic aims of the service, a breakdown of the risks the council	31/01/2023	<p>A New Head of Insurance started in post at the end of April and as such is expecting to be able to provide a more detailed update on progress for the next committee. The draft Insurance Strategy has been completed and has been reviewed and commented upon by the S151 Officer previously. The strategy will need to be reviewed by the</p>

		self-insures and policies the council holds with external insurance providers, the process for projecting future risk profile, management and recharging arrangements, claims management processes and processes for reviewing the insurance strategy.		<p>incoming Head of Insurance and then go to Lead Authority Board for approval, as the document will support all councils the Insurance Service supports.</p> <p>Revised target date: TBC</p> <p>Revised target dates from previous reporting cycles:</p> <ul style="list-style-type: none"> • March 2024 – 30 April 2024 • January 2024 – 31 March 2024 • December 2023 - 31 January 2024 • September 2023 - 1 December 2023
Key Policies and Procedures	M	The Partnership Governance Advice and Guidance to be allocated an owner, reviewed depending on the last review date and published on Camweb.	30/11/2022	<p>Self-assessment of key partnerships will be conducted over summer 2024 to develop evidence base with a report to the Risk & Assurance Group in September 2024.</p> <p>Revised target date: 30 September 2024</p> <p>Revised target dates from previous reporting cycles</p> <ul style="list-style-type: none"> • March 2024 - 31 March 2024 • December 2023 - 31 January 2024
Transparency Code	M	A process should be introduced for reporting on compliance with the Transparency Code to the Information Management Board and/or senior management to include any issues with production of or access to data.	30/06/2023	<p>The policies have been reviewed but need to go to the new Information Management Board (IMB) for final review and approval.</p> <p>In order for the Board to be established, first CLT needed to approve a paper proposing the Board. This was approved at their meeting on 13 November. Awaiting the TOR for the IM board and subsequent first meeting.</p> <p>Revised target date: 31 July 2024</p> <p>Revised target dates from previous reporting cycles:</p> <ul style="list-style-type: none"> • March 2024 – 30 April 2024

				<ul style="list-style-type: none"> • January 2024 - 31 March 2024 • December 2023 - 28 February 2024 • September 2023 - 16 January 2024
Transparency Code	M	<p>The process that the Information Governance Team undertakes for correcting published data which is subsequently identified as inaccurate is not documented.</p> <p>The process that the Information Governance Team undertakes for correcting wrongly published data should be documented so it is consistent.</p>	30/06/2023	<p>The policies have been reviewed but need to go to the new Information Management Board for final review and approval.</p> <p>In order for the Board to be established, first CLT needed to approve a paper proposing the Board. This was approved at their meeting on 13 November. Awaiting the TOR for the IM board and subsequent first meeting.</p> <p>Revised target date: 31 July 2024</p> <p>Revised target dates from previous reporting cycles:</p> <ul style="list-style-type: none"> • March 2024 – 30 April 2024 • January 2024 - 31 March 2024 • December 2023 - 28 February 2024 • September 2023 - 16 January 2024
<i>High Recommendations overdue - over 3 months</i>				
Case 125 - Guided Busway Procurement	H	<p>The service should consult with the Head of Procurement & Commercial and the Monitoring Officer regarding the areas of non-compliance with Contract Procedure Rules and Public Contracts Regulations outlined within this report (including the expert witness spend, etc) and agree the approach that should be taken to regularise the expenditure. In particular, this should include:</p> <ul style="list-style-type: none"> • Agreeing to report the non-compliance with Contract Procedure Rules to Committee 	31/03/2024	<p>Under the new Procurement Breach Process which takes effect from April 2024, it is expected that the breaches will be reported to Assets & Procurement Committee. The exact timeline for this is yet to be confirmed but is currently expected to go to the October 2024 meeting of Assets & Procurement.</p> <p>The service has confirmed that they have sought advice from Procurement on regularising the spend going forward and have already completed some steps to regularise the spend including obtaining a delegated</p>

		<p>retrospectively under the new breach process (see Recommendation 6);</p> <ul style="list-style-type: none"> • Undertaking an exercise to identify, as far as possible, from service records the full amount spent with each contractor prior to the 1st of April 2018 cut-off which has applied to the figures in this report. • Where costs are ongoing (such as with the land matters), this exercise should include identifying how best to bring any further spend into line with Contract Procedure Rules. 		<p>decision from Highways & Transport Committee regarding one category of expenditure.</p> <p>Steps agreed re regularisation where possible and enacted accordingly alongside reporting and recording on any non-compliant spend.</p> <p>Revised target date: TBC</p> <p>Revised target dates from previous reporting cycles</p> <ul style="list-style-type: none"> • March 2024 – 31st October 2024
Government Procurement cards (GPC)	H	<p>Clear guidance to schools on GPC use should be developed. This should include clear guidelines regarding prohibited categories of expenditure and requirements to review and approve spend. This could be the same as the CCC standard GPC guidance document, or a separate document if it is believed this is required to suit school's needs. Once agreed, a copy should be circulated to all maintained schools and should be shared when schools apply for new GPC or to change a cardholder/approver</p>	01/08/2023	<p>The service has confirmed the GPC Team are working on developing guidance for schools regarding the use of school GPC cards. This will be produced in line with the overarching Council user guide.</p> <p>Revised target date: 30 September 2024</p> <p>Revised target dates from previous reporting cycles</p> <ul style="list-style-type: none"> • March 2024 - 30 June 2024 • January 2024 - 31 March 2024 • December 2023 – 31 December 2023 • September 2023 - 30 September 2023
Government Procurement cards (GPC)	M	<p>Conditions and exemptions for spend (usually purchases on behalf of service users) within prohibited categories should be clearly specified in the CCC FAQ document</p>	01/07/2023	<p>This will be completed in line with the updated guidance, once the change requests for auto approvals are implemented.</p> <p>Revised target date: TBC</p> <p>Revised target dates from previous reporting cycles:</p> <ul style="list-style-type: none"> • March 2024 - 30 June 2024 • January 2024 - 31 March 2024 • December 2023 – 31 December 2023 • September 2023 - 30 September 2023

High Recommendations overdue - under 3 months

Capital Project Management	H	<p>The service should conduct a full review of capital project framework policies and guidance documentation, with a view to streamlining and reducing the number of separate documents; ensuring information is up to date and terminology is consistent between documents; and developing an index to the framework which links all the other guidance documents to help officers navigate the guidance. This review should be conducted in consultation with colleagues from the Policy Insight & Programmes service who are redeveloping project management requirements around revenue projects, to ensure consistency and alignment between processes. In particular, the review should include:</p> <p>1a - Approval to proceed to the next gateway should be a centrally enforced control to ensure compliance with gateway requirements and good practice. Where projects complete a gateway, they should submit the evidence for this to a central team (e.g. the PMO) or Board etc., for independent review, challenge, and approval to proceed. Projects should not be able to proceed beyond a gateway without this approval. This requirement should be amended as part of the review of capital project framework policies and guidance. Additionally, the amended gateway requirements should include a requirement that projects which rely on the release of third-party funds cannot be progressed until formal agreements have been made.</p> <p>1b - As part of the review of project processes, the service should update the approach to requiring Committee approval for gateways. The risk assessment project classification process (see Recommendation</p>	31/05/2024	<p>The service has reported: 85% of these recommendations have been closed out with all the appropriate changes made. These can be reviewed in more granular detail on the sheet referenced on the April update. The main outstanding recommendation is the Project Management Framework review, this has been broadened to take the opportunity to update the framework wider than the audit. The following recommendations are green: 1a,1b,1d,1g,1h,1k</p> <p>These are still amber:</p> <p>1c: PMF the deadline on this will need to be extended based on the above comments, this task has been broadened to take the opportunity for a refresh and wider improvements. Aiming to complete a first draft by 31/07/2024.</p> <p>1e: Skills gap complete by 31/08/2024.</p> <p>1i: Procurement processes on Frameworks. To locate and put in a central location. Gaps filled by 31/08/2024</p> <p>Revised target date 31 August 2024</p>
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	<p>1d, below) could be used to inform the extent and frequency of Committee approvals needed, while retaining alignment with the requirements in the Constitution re: key decisions. Delegation could be sought from Committee to manage lower-risk projects within approved advance tolerances at the outset of each project, with projects only required to seek further approval from Committee if they are particularly high risk/high profile or it is identified that they are likely to exceed tolerances. This should be developed in conjunction with the approach taken to Recommendation 6, below.</p> <p>1c - The service should review their project framework documentation and ensure that it reflects the requirements of the Council's Constitution and Scheme of Financial Management, in particular the Constitutional requirement for business cases for capital spend to be approved by the relevant Finance Business Partner and Capital Programme Board prior to approval by the relevant service Committee. If it is felt that this requirement in the Scheme of Financial Management is no longer appropriate, the service should liaise with Finance to agree and formalise a new corporate requirement for approval which aligns with their processes.</p> <p>1d - As part of the review of project procedures, the risk assessment process for projects should be reviewed and implemented in practice. This should include categorising projects based on risk, including appropriate financial and non-financial considerations. Alongside this, the service should implement a process to allow the management of lowest-risk projects to be aggregated under a wider Programme Board, and ensure the provision of clear guidance regarding the mandatory outputs for each category of project, which should align with existing corporate processes and</p>		
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	<p>requirements such as the Equality Impact Assessment process.</p> <p>1e - As part of the review of project procedures, the service should establish a process for ongoing centralised oversight of skills and training for capital project management, linked to and informed by the outcomes of the Quality Assurance process. This should include ensuring that an updated Skills Matrix is maintained and staff complete core mandatory training as well as refresher training.</p> <p>1f - The requirement for projects to have a clear cost management plan in place should be re-established as part of the review of project processes and an appropriate mechanism for scrutiny of these plans identified. It may be more efficient to reduce the number of separate documents required and have a single document capturing baseline, tolerances and cost management at the outset of each project. As part of the review of this aspect of project processes, the service should also implement the reduction of the overall budget envelope for projects as they progress, optimism bias is reduced and cost certainty increases.</p> <p>1g - As part of the review of procedures, controls around change management (for both cost and timeline changes) should be reviewed for consistency and clarity, and to ensure alignment with related corporate processes, particularly the virement delegations in the Scheme of Financial Management. A clear escalation process for changes in excess of tolerances should be articulated, and approval for cost increases in excess of tolerances should additionally rest with an authority outside the Project Board (for example, the Capital Programme Board).</p> <p>1h - As part of the review of procedures, change control processes should be updated to distinguish between essential and non-essential variations:</p>		
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	<ul style="list-style-type: none">• Essential variations: changes to project scope which are necessary in order to achieve the project's core planned outcome (for instance, works commence and it is identified that additional groundworks are required).• Non-essential variations: changes to project scope which reflect 'nice to have' amendments to project scope but which are not required in order to achieve the project's core planned outcome (for instance, if a project is underspending and it is decided to use the underspend to fund additional landscaping or lighting). Essential changes can be funded by risk and contingency allowances and approved by the Project Board providing they remain within the project's tolerances; otherwise they should be escalated in line with agreed approval processes. Non-essential changes should be subject to a higher degree of challenge and should not be funded from contingency budgets. <p>1i - As part of the review of processes, guidance should be developed to ensure officers are supported to undertake a consistent approach to procurement options for different types of procurement (specifically including consultancy, design and build vs. design or build, NEC supervisor role etc.) which takes into account financial and non-financial considerations and the best way to achieve value for money based on the features and circumstances of individual schemes. This should also include an agreed exception route by which a non-standard approach can be approved in exceptional cases by a suitable senior officer.</p> <p>1j - The service should complete the implementation of planned key performance indicators, including the Strategic Performance Indicator requested by Highways & Transport Committee. This should link to</p>		
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		<p>the development of a robust baseline position for every project (see Recommendation 1f) and ensure that indicators are calculated in a way which takes account of planned contingency values including optimism bias, as well as ensuring that source data for performance indicators is both robust and timely. Alongside this, the service should develop a clear reporting framework ensuring that performance data is regularly reviewed within the most senior levels of the service to enable senior effective management oversight of all projects, and ensuring that clear guidance is available to officers regarding the KPIs they are expected to meet.</p> <p>1k - As part of the review of project management framework documents, the Project Boards Terms of Reference document should be reviewed and the approval limits and tolerances within the document updated for clarity; to align with other project management documents and corporate policies in line with Recommendations 1c and 1g; and to ensure that suppliers are not in a position to approve deviations to project tolerances or have an undue level of influence over Council decision making on projects.</p>		
Capital Project Management	H	<p>The quality assurance process in place should be reviewed and redeveloped in tandem with the work at recommendations 1a and 1d, to ensure that the process involves checking compliance with all critical mandatory controls based on the risk profile of the project. As part of the redevelopment of this process, the service should define a clear escalation process which includes the ability to flag concerns about sustained non-compliance with procedures in high-risk projects to Assistant Director level and above. This could be linked to the central enforcement of gateway progression i.e. the QA process could be used to</p>	31/05/2024	<p>The service has reported: that a clear and concise dashboard with live data is available for every layer of the organisation to digest. A draft escalation document has been created to compliment this, which is in the final stages of feedback to finalised for publication. This escalation document will provide clarity on the QA escalation process. Please note the means of escalation will need to be revised to accommodate the new proposed organisational structure. The PMO are also optional attendees for all project/programme boards, to highlight non-compliance or gateway requirements. Also a gateway approval visual has been added into the</p>

		<p>approve projects to proceed to the next gateway once they have demonstrated completion of mandatory requirements for the current gateway. Projects should not be able to progress if critical requirements have not been complied with.</p> <p>Aligned to the work at 1d the PMO should also consider reducing the frequency and/or detail of monitoring for smaller, low-risk projects, to enable a focus on the compliance with key controls for larger, high-risk projects.</p>		<p>project/programme board slide deck with live commentary and clarification of gateways being approved.</p> <p>Revised target date: 31 July 2024</p>
Capital Project Management	H	The Place & Sustainability Directorate should continue to work with Finance to move to full implementation of ERP for capital budgetary forecasting and reporting. This should be implemented to a detailed individual project level.	31/05/2024	<p>The service has reported that this has been actioned for PD and will be in place at the appropriate annual cycle date which is expected in July.</p> <p>Revised target date: 31 July 2024</p>
Capital Project Management	H	As per agreed actions from previous audits, an annual reconciliation should be undertaken by the Highways service to reflect the difference in the amount paid by Cambridgeshire County Council and the actual cost incurred by the contractor (based on prime records) in delivering the contract. This will build on the implementation of payments in line with the full target/actual cost model in line with the contract documentation, and the process of monthly reconciliations being implemented by the team. The annual reconciliation will finalise the agreed actual cost for the year. This should be completed in a timely manner following the end of the financial year and be subject to scrutiny by the Assistant Director of Highways prior to being reported to, and challenged by, CLT. This should include retrospective	31/05/2024	<p>The service has reported that a defined cost review has taken place, firstly over a 2 year period covering FY 21-23, this is all but complete and has been found to be correct in reviewing actual costs against claimed by the Contractor. A residual issue relating to the recharge rates that the contractor uses for people is under review, this is where actual cost is not used operationally to account for resources and then reconciled at year end. Current Defined Cost reviews are taking place for FY 23-24 and progressing well.</p> <p>The vast majority of defined cost audit is complete and ready for review.</p> <p>Internal Audit will liaise with the service to review evidence and confirm closure.</p>

		reconciliations undertaken for previous years of the contract where this has yet to be completed.		
S106 Funding	H	<p>Implement a structured monitoring schedule that prioritises triggers based on their financial value, impact, or complexity, ensuring that the most significant triggers receive timely attention.</p> <p>This should align with management's suggestion of quarterly reviews.</p> <p>Information sharing with partnering organisations on trigger points should be utilised; for example, Council Tax departments can provide reports of occupied priorities properties that could be checked, as well as planning certificates issue on completion of a development, these may result in addressing some unidentified triggers early in a more proactive manner.</p> <p>Additionally, consider introducing automated tools to assist in tracking and alerting the team to upcoming or overdue triggers, thereby enhancing efficiency, and reducing manual workload.</p>	01/06/2024	<p>We have identified s106s with contributions of £500k, as well as all major/complex agreements. A first quarterly report to be prepared in July 2024, with formal reporting to a new board from Autumn 2024. Target date moved to 1st August, to allow for first report to be prepared in July.</p> <p>Revised target date: 31 August 2024</p>
Safe Employment	H	<p>The Fostering service must implement formal right to work checks for new foster carers and record and retain the outcomes of those checks in line with government guidance. The service should also review their approach to confirmation of identity and retaining specific evidence of ID checks. As part of this review, the Fostering Service should also conduct, record and retain evidence of right to work for all current in-house foster carers.</p>	31/05/2024	<p>The service has reported that this is being completed.</p> <p>Internal Audit will liaise with the service to review evidence and confirm implementation.</p>
Schools Capital Programme	H	<p>Call-off contract templates should be amended for future projects to detail specific key performance indicators for all projects, with reference to the KPIs outlined in the</p>	21/06/2024	<p>In the framework schedule we have a list of KPIs, in the future we will put it into the RFQ for the call off contracts.</p>

		<p>framework contract. The team should consider the possibility of linking non-achievement of critical KPIs to financial penalties or, conversely, financial benefits for achievement of high-priority KPIs.</p>		<p>The team will consider including past experience in a measurable and objective way in further call off tender processes.</p> <p>Revised target date: 30 September 2024</p>
Schools Capital Programme	H	<p>Linked to Recommendation 3, the Education Capital Team should implement a formal, documented framework for contract management across the service. This should include management of: supplier performance against call-off contracts; supplier compliance with the key requirements of the Design and Build Framework (including DBS checks and health and safety requirements); and management of consultants delivering project management on behalf of the Council.</p> <p>Contract management must include monitoring against KPIs, both for individual contracts and for contractors under the overarching framework contract. This should include requiring contractors to self-report against KPIs as well as some spot-checks by the ECT to verify that information reported by contractors is accurate. Contract management should include appropriate quality assurance processes including monitoring sign-off of milestone reports (see Recommendation 5) and verifying Quantity Surveyor reports are in place (see Recommendation 6b). A clear reporting and escalation route for under-performance should be identified (see Recommendation 6c).</p> <p>This should be developed in conjunction with Recommendation 13 re: the implementation of project management and/or contract management software within the team.</p> <p>-----</p> <p>As part of the development of contract management procedures, the Education Capital Team should develop and document escalation procedures in relation to poor performance or other issues with contractors (builders) delivering projects and consultants managing projects. This</p>	21/06/2024	<p>The New project management platform allows the service to collect this information. The service plan to use this to monitor progress of contractors.</p> <p>The service plans to write a formal escalation process by 1st September.</p> <p>Revised target date: 1 September 2024</p>

		should link to defined performance expectations within the framework and call-off contracts and should include a clear mechanism for escalating concerns both externally with contractors and internally to senior management. projects.		
Schools Capital Programme	H	<p>Milestone reports need to be signed off by the person stated in policies and procedures as having the authority to do so; or policies and procedures should be amended to reflect actual practice.</p> <p>The Education Capital Team should introduce a log to track milestone sign-off for all projects and the Education Capital Strategy Manager should undertake regular reviews on milestone completion authorisation to ensure that all milestones are signed off in line with written procedures. Any unsigned reports should be reviewed and retrospective sign-off given or investigation undertaken with remedial actions should be taken where necessary.</p>	21/06/2024	<p>A new project management platform has been created in Excel and Teams. This includes an overview of which Milestone each project is currently at. A draft Milestone template has been written and awaiting final editing. The summary sheet also includes confirmation that a Milestone sign off sheet has been filled in and added to the appropriate folder in the platform's structure.</p> <p>We have ascertained that the Project Officer, Construction Cost Manager, Capital Programme Manager and Strategic Education Capital and Place Planning Manager need to sign off MS documents. These have been included on all MS sign offs since 1st April 2024.</p> <p>The responsible officer has also been on a demonstration for E-sign. The plan is for this to be used for signatures for Milestone reports in the future once this has been set up and all the team have access to this.</p> <p>The team are currently working on adding all the required information onto this system, a target completion date for this is 1st September.</p> <p>Revised target date: 1 September 2024</p>
Schools Capital Programme	H	The Education Capital Team should develop a contract management process to ensure consultants are performing to the required standards, including achieving key deliverables in a timely manner and delivering a value for money service. This process should include key performance indicators which are formalised in consultant contracts and	21/06/2024	<p>Following similar process set out for contractors.</p> <p>Will set up a quarterly review with consultants to discuss their performance based on how they are delivering against time, budget and programme delivery.</p>

		<p>regularly reported, ideally with financial penalties for consultants who fail to deliver in line with expectations.</p> <p>-----</p> <p>As part of a robust contract management the Education Capital Team should only sign off milestones and make payments to contractors once Quantity Surveyor reports are available to provide assurance that the works are completed to the appropriate standards. These reports should be available to all officers to cross reference that all works have been completed before the release of payments to contractors.</p> <p>An independent check should be completed by management checking the presence and content of all Quantity Surveyor reports to ensure payments have only been made for completed activities and all stated activities have been completed before any milestone progression, this should be documented in a central log.</p>		<p>Revised target date: 30 September 2024</p>
Schools Capital Programme	H	<p>The Education Capital team undertake a priority exercise including a value for money analysis and a projected spend analysis for managing individual projects. Individual outcomes of this could include:</p> <ul style="list-style-type: none"> • Hiring Permanent Project Managers to reduce the level of spend with external organisations • Reprocure a CCC Construction Consultancy Framework • Adopt an existing government framework/s alternative to the CCC Construction Consultancy Framework 	21/06/2024	<p>We are currently working through the Capital Business Planning process. Once this is complete, we will have a clear indication of our project pipeline for the next five years. Our first analysis is that this project pipeline is not significant enough to warrant procuring a CCC consultant framework or to hire permanent project managers. Once the business planning round is complete, we will recheck this assumption. In the meantime, we have undertaken option three and have used the PAGABO framework to procure a consultant for the Rackham expansion project.</p> <p>Revised target date: 30 September 2024</p>
Schools Capital Programme	H	<p>While there is no valid construction consultancy framework and until a new model for project management for individual builds (see recommendation 7 above), all future procurement of consultants should be treated as a stand-alone procurement and follow all of the required contractual procedural rules.</p>	21/06/2024	<p>Future procurement of consultants will continue through alternative frameworks which comply with Local Government Procurement Rules, we will seek procurement advice for each tender.</p> <p>Moving forward as we add files to the new platform structure, the contracts will be located and added to the</p>

		<p>The Service should liaise with Pathfinder Legal Services in order to locate the contracts for all active projects as a matter of priority. If Pathfinder are unable to locate the signed contracts, then the Education Capital Team should consult with procurement about the subsequent actions required to ensure there is a valid contract in place to govern the projects.</p> <p>All of the contractual documentation recovered from Pathfinder Legal Services should be stored within a central repository in line with recommendation 9.</p>		<p>file structure. The first five projects which we have added to the platform have the contracts on file.</p> <p>Revised target date: 30 September 2024</p>
<p><i>Medium Recommendations overdue - over 3 months</i></p>				
Business Continuity	M	<p>The Team to publish the following documents on Camweb: Business Continuity Policy – The Team have said this is due for an update in 2024 Business Continuity Risk Assessment Risk Assessment Guidance Guidance for Managers: Business Continuity</p> <p>The team to review the version of the risk matrix in the template to consider climate/environment risks. Once published highlight all in Friday Focus</p>	31/05/2024	<ul style="list-style-type: none"> • Work has now commenced on updating the CCC Corporate BC Plan and Policy. • Work has also started on updating the templates to include the updated risk matrix. • The Manager’s guidance is also in the process of being updated and will include additional guidance on Supply Chain/Contract/ Commissioned Services Business Continuity considerations. Meeting booked with Procurement Team for next week. • Additional recruitment to the Emergency Planning Team is currently ongoing. <p>Revised target date: 31/10/2024</p>
Climate Change and Environment Strategy	M	<p>Targets 1 “Understand and grow our natural capital account to benefit people and nature by 2025” and 4 “Improve our Biodiversity across Council estate by 2030” should be developed and refined based on the conclusions and evidence resulting from the biodiversity audit. The targets should have a specific focus which is as measurable as possible. The evidence</p>	30/04/2024	<p>Biodiversity and tree canopy survey work has completed. This provides evidence to underpin the emerging Biodiversity Strategy and Tree and Woodland Strategy which are scheduled to go to the Environment and Green Investment Committee on 3/10/24. At the same Committee the Annual Progress Report on the Climate Change & Environment Strategy will be discussed.</p>

		<p>used to inform them should support the targets to be timely, relative to Cambridgeshire being net zero by 2045 and the Strategy's vision to mitigate the impacts of climate change.</p> <p>There should also be evidence to support that the targets are realistic in context of the County's local environment, and achievable with what annual progress is expected to meet the final target date.</p>		<p>It is proposed that changes to target 1, understand and grow our natural capital account to benefit people and nature by 2025 and target 4, improving our Biodiversity across the Council estate by 2030, will be put forward for approval as part of this process. The proposed changes to the targets are informed by the previously mentioned survey work to ensure they are the right balance of realistic and ambitious and are appropriately within the Council's powers to deliver.</p> <p>Revised target date: - 31/10/2024</p>
Climate Change and Environment Strategy	M	<p>The Programme Board should conduct a piece of work to ensure that:</p> <ul style="list-style-type: none"> - The Programme Plan and Workstream project plans are clearly aligned to the Action Plan, including defining the contribution which each project has on completing Actions in the Action Plan. - Actions in the Action Plan are clearly aligned to the Targets that the Council is trying to achieve through the CC&ES, including defining the contribution which each Action makes towards achieving the targets. - Developing a consistent 'golden thread' linking individual tasks/actions at the workstream level to achievement of the strategic targets of the CC&ES is necessary to maintain the correct focus in reporting to CLT and within the Progress board, to determine whether appropriate projects are in place to complete the Action Plan and whether targets will be delivered as planned. 	30/04/2024	<p>All actions in the CCES action plan that reduce carbon emissions have been included in the trajectory modelling undertaken in recommendation 1 This means their contribution to reaching the targets is estimated and included in the net zero pathways being developed. Our view is that this work is complete. Evidence to be provided to you to agree.</p> <p>Revised target date: 21/12/2024</p>
Climate Change and Environment Strategy	M	<p>Whilst the Council aims to prevent survey-fatigue by requiring all staff to complete multiple surveys, instead the programme board can select a group of staff to represent a cross-section of staff across the Council (of different skills, work locations, working hours and</p>	01/06/2024	<p>Establishment of such a group is under discussion by the Climate Change & Environment Workforce and Communications Workstream.</p> <p>Monitoring of the 3 climate learning offers available to staff in addition to monthly statistics on hits on the</p>

		<p>times etc.). With their agreement to engage, an annual survey can be issued only to them, to follow their knowledge of Climate Change and Environment: whether they or their service have taken any adaptive or mitigating actions, how far they accept the Climate Change and Environment objectives and other areas of interest to the board. The evolution of the group's responses can represent the wider organisation's evolving attitudes, knowledge and behaviour overtime, for the programme board's insight. These selected staff would not be targeted specifically for other Climate Change and Environment engagements during the year, to fairly represent any other staff member in the Council. Overtime, Council Officers in this group may be replaced if they change roles or leave the Council to continue to fairly represent a cross section of CCC staff.</p>		<p>internal climate and nature hub continues and a refreshed communications plan incorporates strengthened performance measures. Uptake of the A refreshed communications plan incorporates A session at the internal Cambridgeshire Conversations has been arranged early October to launch the Net Zero by Design Guidance and Sustainable Travel Guidance. We are exploring running an on-line poll during this session to repeat the questions asked at the April 24 session when the Corporate outcome was launched. Although the number attending and who attends will have changed, this will provide us with another indicator on how well this is embedding.</p> <p>Revised target date: 30/09/2024</p>
Climate Change and Environment Strategy	M	<p>The Grants to External Organisations Policy, Advertising and Sponsorship Policy and any other policies which reference to the ambitions without defining them, should list and define CCC's ambitions, including the environmental ambitions- to reduce carbon emissions and benefit the natural environment. In order to achieve this, the CC&E programme should engage with policy owners to include appropriate wording and guidance in these policies. More generally the programme could engage with the Policy Community of Practice at CCC to engage directly with all policy owners regarding how to incorporate CC&E aims effectively in corporate policy.</p>	01/06/2024	<p>A targeted session with the Policy Community of Practice has been arranged for 4th September. This will discuss how to incorporate climate into policy positions and will utilise the Net Zero by Design guidance shortly to be launched. It should be noted that we can only encourage and support colleagues to integrate CCC's ambitions more clearly, and we are not in a position to enforce or provide assurance that this has been done.</p> <p>Revised target date: 30/09/2024</p>
Corporate KPIs	M	<p>The Governance and Performance team should ensure the Performance Management Framework is reviewed and approved as priority. Specifically, this should include:</p>	28/05/2024	<p>The performance Management Framework will be presented to S,R&P in September for approval, once approved this will be communicated via Camweb to the wider organisation. The framework sets out the</p>

	<ul style="list-style-type: none"> • Clearly defining the difference between ‘strategic’ KPIs and other KPIs. • Clarifying the relationship between the annual Business Planning process and the performance management framework, and particularly how the outcomes defined through each cycle of Business Planning will inform performance management and the setting of performance indicators. • Explicitly demonstrating the alignment between the Council’s KPIs and its seven ambitions, including ensuring that there are sufficient KPIs in place relating to each ambition to provide a balanced view of performance against the ambitions, possibly via a balanced scorecard approach. • Including information on the relationship between performance management and risk management. • Increasing the emphasis on the importance of identifying and implementing actions to address under-performing indicators, and outlining a clear process by which actions will be monitored and reported to ensure that they are implemented and effective in addressing underperformance. • Reflecting the role of the Audit & Accounts Committee in providing independent scrutiny of performance management arrangements. • Introduction of regular sample checks on data accuracy and indicator calculation to be conducted by the Governance & Performance team. • Considering whether the Framework should include information on effective performance management and reporting arrangements below the Committee level i.e. providing guidance to officers on establishing effective service-level performance reporting arrangements and linking this to officer performance management. • Appendix 1 – Roles and Responsibilities should be 		<p>difference between KPIs and SKPIs as well as looking to provide committees with strategic indicators that monitors performance against the ambitions set out in the strategic framework.</p> <p>Revised target date 30/09/2024</p>
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		<p>updated to include the responsibility of collating feedback on performance, and who is responsible for ensuring that remedial is undertaken; Internal Audit recommends this is completed at the Director level.</p> <p>The Performance Management Framework should be added to the Council's Policy and Strategy Library to help ensure the completeness of the library.</p>		
DSG Safety Valve Review	M	<p>Alongside recommendation 1, the Director of Education should write to all schools informing them of the new information system and requesting that they bring information for their school up to date regarding EHCPs within a month. This will ensure that data accuracy is restored quickly so planning for the programme can resume.</p> <p>Where this information is not provided within a month, Education should follow up with schools to ensure this information is obtained as soon as possible.</p>	31/05/2024	<p>We will write to schools before the end of term with a system update re CACI and the strengths / difficulties</p> <p>Revised target date: 23 July 2024</p>
DSG Safety Valve Review	M	<p>An investigation should be carried out formally to establish whether EHCPs are being funded correctly (in line with legislation, government guidance or agreements) from both Health and Social care and/or Education. If changes in sources of contribution are required, then the outcomes of the investigation should be written up and reported to CLT.</p>	31/05/2024	<p>Joint commissioning of placements and packages are being reviewed as part of the JASP process. And a wider review of health contributions</p> <p>Revised target date: 31 December 2024</p>
DSG Safety Valve Review	M	<p>An agreement should be developed between Cambridgeshire and other local authorities establishing that EHCP costs transferred to other councils will not be charged back. Without this in place, there is a risk that other local authorities may ask CCC</p>	31/05/2024	<p>We will work with the Eastern Region to ensure CCC practice is in line with other LA's</p> <p>Revised target date: 30 November 2024</p>

		<p>to pay the costs for pupils attending special schools in other counties.</p> <p>If this is not agreed upon by other local authorities, the risk of having to repay these children's EHCP costs needs to be taking into account within the project risk register. This risk could be mitigated by ensuring that places in Cambridgeshire special schools are allocated to Cambridgeshire pupils as far as possible.</p>		
DSG Safety Valve Review	M	<p>The Terms of Reference for the Transformation and Performance Board should be reviewed and updated to clearly state changes to members, updates to responsibilities, as well as include clear information on the relationship with the SEND Executive Board, expectations on reporting/communication between the two Boards, and how issues are to be escalated outside of the Board.</p> <p>It would also be beneficial to include the Governance Structure Chart and Officer Governance ToR as appendices to this document so it is all in one codified document.</p> <p>This updated Terms of Reference should then be presented to the Board for review and approval.</p>	31/05/2024	<p>A renewed Inclusion Transformation programme is being derived by Policy and Insight Team with the Executive Director for CEF. A lessons learnt review has been undertaken and presented to Change Board. Change Board will continue to review this review. Revised date to be in line with new SV submission.</p> <p>Revised target date: 31 October 2024</p>
DSG Safety Valve Review	M	<p>Meeting minutes should be kept for the SEND Transformation and Performance Board meetings to record the actions that have been decided on in each, what has been approved, and who is in attendance. This ensures that comprehensive evidence is retained of any actions taken or decisions approved by the Board, as well as who is responsible for undertaking said actions, which will reduce delays to the project as actions are more likely to be implemented on time.</p>	31/05/2024	<p>This recommendation will be implemented as part of the resetting of the Transformation Programme.</p> <p>Revised target date: TBC</p>

<p>DSG Safety Valve Review</p>	<p>M</p>	<p>Once the action plan has been overhauled [see recommendation 3], a codified communications plan document should be produced including the following key sections:</p> <ul style="list-style-type: none"> • List of all internal and external stakeholders; • The exact information that needs to be shared with each group (status reports, summary updates etc.); • How this information will be communicated to each group (via Board meetings, online platforms, parents' evenings etc.); • The frequency of these communications; • Who is responsible for sending out communications, or ensuring they are sent on time. 	<p>31/05/2024</p>	<p>This recommendation will be implemented as part of the new Inclusion change Project.</p> <p>Revised target date: 31 August 2024</p>
<p>DSG Safety Valve Review</p>	<p>M</p>	<p>A dedicated risk session should be set up with the Project Director, Project Manager and Senior Responsible Officers for each workstream at a minimum. This meeting should be held monthly to discuss risk to the project and progress towards mitigating these, including review of all actions against implementation dates and consideration of where escalation may be necessary.</p> <p>Once an officer has been given responsibility for each risk (see recommendation 8), they should carry out regular monitoring on the progress of mitigation plans and produce a brief report which can be distributed to senior officers at risk sessions. This will help senior officers see where actions are/are not working. Where risks are not being reduced, these should be escalated</p>	<p>31/05/2024</p>	<p>Risk sessions have been arranged and are taking place. There will be a governance review by the close of August.</p> <p>Revised target date: 31 August 2024</p>

		to the SEND executive Board or Corporate Leadership Team.		
DSG Safety Valve Review	M	<p>Once the information system has been implemented [see recommendation 1], the status reports should be updated with detailed quantitative data as this will give more clarity as to how the project is progressing towards meeting the agreement. It will also allow the Board to see what actions are making more of an impact so these can be prioritised.</p> <p>Quantitative data should include:</p> <ul style="list-style-type: none"> • Number/cost of EHCPs for current period vs previous period; • Net change in EHCP numbers; • Change in budget deficit; • Data showing the effect of actions on number of new EHCPs, ceased EHCPs etc. 	31/05/2024	<p>Once the implementation errors have been resolved by the developers fully reporting will be possible. Policy and Insight are working closely with the implementation team to ensure reports meet the standard as required in the audit recommendation. Once the data in action 1 has been completed this will follow on as part of the SV reset.</p> <p>Revised target date: 31 August 2024</p>
DSG Safety Valve Review	M	<p>Although detailed reports are being provided to CLT, the arrangements for this reporting should be documented, including the requirements of reporting and the frequency.</p> <p>Alongside this, monitoring reports should be written to give an accurate depiction of the programme and progress towards achieving objectives. They should include:</p> <p>Detail of blockers/risks that project officers are struggling to deal with;</p> <p>Accurate quantitative data (once the new information</p>	31/05/2024	<p>The Executive Director for Children, Education and Families is now acting as SRO of the Safety Valve/Inclusion Transformation programme. This topic is reporting to Change Board on a monthly basis. Reporting to the DfE is paused until late October. Reports will be presented in draft to Change Board ahead of this being presented to the DfE. All report subsequent the reset will be detailed and transparent.</p> <p>Revised target date: 30 October 2024</p>

		system is implemented); Detail of the current highest priority actions and the progress of these.		
interims & Agency Staff	M	A contract document/more detailed placement confirmation document should be developed to clearly state the terms of an interim engagement that should be approved by both the Council and Opus. This should include: the full job description for placement: the period of the placement: terms between the council and Opus regarding remedial action that can be taken if the interim is not effectively delivering the role; and terms for termination of the placement. No placement should start without this contract being signed by the council and Opus.	31/05/2024	The Service has confirmed that full placement details are provided to OPUS including the job description. Once the assignment has been agreed Opus send a confirmation to the hiring manager. The contractual element of the recommendation will be implemented as part of the overall contractual arrangements between the Council and OPUS. Revised target date: 31 August 2024
LD Supplier Resilience	M	Standardise improvement plan processes: a) Develop a standardised framework and documentation requirements for improvement plans for contracts, outlining specific SMART actions, timelines , and measurable targets to meet demands and continue their contracts . b) Implement a monitoring and reporting mechanism to track the progress of suppliers against their improvement plans, ensuring regular review and follow to assess their compliance and ability to meet demands. Ensure that there is a clear mechanism to escalate concerns if suppliers do not implement and evidence sufficient improvement in line with their agreed plans.	01/06/2024	Recruitment for the required skill set took longer than anticipated, resulting in a delayed start of the action. The position has now been filled, and work has commenced. The action plan is expected to be completed by mid August. Revised target date: 15 August 2024
S106 Funding	M	Introduce KPIs suitable for the S106 team, for example one of these could be: Fund Collection Efficiency - Track the % of S106 funds	01/06/2024	Draft in progress. Need to share with managers and agree final indicators; target moved to 12th July. These will also be revied by the new board in the Autumn.

		successfully collected within the stipulated timeframe after triggers are reached or Timeliness of transfer of funds from the S106 holding account to the service accounts linked to associated capital projects.		Revised target date : 12/07/2024
S106 Funding	M	<p>The Council should conduct an evaluation of the TSF team's staffing/system needs against an increased workload.</p> <p>This evaluation should consider a cost benefit analysis showing whether better trigger monitoring and fund allocation might increase revenue, offsetting new staffing costs.</p> <p>Implementing a resilience plan for staff absences and comparing staff levels with similar local councils, such as City/South District or Hunts, will provide further context.</p> <p>A Business Case for this should be developed, given that effective monitoring of triggers may be expected to increase the timely receipt of s106 funds.</p>	01/05/2024	<p>A Business Case has been developed and proposes additional officer resource.</p> <p>Separate but related proposals for the restructure of senior management in the Place and Sustainability Directorate would see the S106 monitoring function transfer to the Planning service in the Environment and Economy division. The Business Case has therefore been shared with the both the current and proposed new Head of Service / Directors for review.</p> <p>Although the business case has been prepared, the target for agreement and possible start of recruitment has been pushed to 1st Sep to allow final review following the senior management consultation.</p> <p>Revised target date 01/09/2024</p>
Safe Employment	M	<p>A new policy/guidance document focused on Safe Employment should be produced and communicated. This could bring together the existing separate DBS Policy and Safer Employment checklist, with further information on safe employment issues such as how to report safeguarding concerns via the whistleblowing process. Either as part of this policy, or separately, the Council should formally document its approach to requiring DBS checks on Councillors, in light of the recommendations in the 2023 Independent Review of the Disclosure and Barring Regime; and review and update the Volunteer Policy and checklist. Once the updated policy/ies have been approved, a communications campaign should be undertaken to raise awareness.</p>	31/05/2024	<p>The HR Policy Team are rewriting the DBS policy to make it clearer and simpler. There is a specific action to update references to undertaking DBS checks for members and this will be done by end of July.</p> <p>Revised target date : 31/07/2024</p>

Safe Employment	M	The Library Service should review its recruitment process for volunteers to ensure it is consistent across all their volunteers and compliant with the Volunteer's Policy. As part of this process, a review should be conducted of current volunteers to verify that the correct information is held for all individuals.	31/05/2024	A review of all 286 volunteers is underway to revised completion date August 2024. Library Service has adopted Better Impact system to hold all volunteer details centrally (to date been held in multiple places). Project Team has reviewed processes to ensure consistent approach to management of volunteers. Revised target date 31/08/2024
Safe Employment	M	The Disclosure and Barring Policy (or the new Safe Employment Policy, pending the decision on Recommendation 1) to be updated to include that if a safeguarding concern is raised regarding a current member of staff, the Service Director for HR or the Head of HR Advisory and Recruitment will formally review whether an updated DBS check should be sought and will authorise an additional check where appropriate.	01/06/2024	The service has reported that is now established in their practice but has yet to be documented in their policy. Reived target date: TBC
Safe Employment	M	As part of the refresh of safe employment policies at Recommendation 1, HR should liaise with the Adults and Children's directorates to agree a corporate recommendation on the frequency of DBS re-checks, and to agree a consistent policy on renewing DBS checks for existing members of staff who are moving to new roles. This should be documented in policy and taken to CLT for approval (see Recommendation 1).	01/06/2024	Work needs to be undertaken to review the current roles that require a DBS check against the criteria for requesting a check so that accurate financial estimates can be provided to CLT for a potential rechecking process. A report setting out options and associated costs will then be taken to CLT in June with a view to implementing any changes to the policy position in July. Revised target date: 31 July 2024
FOI and SARS	M	The Information Governance Team should review all policies and procedures on both Camweb and the Council's external website.	31/07/2023	Draft TOR of IM Board supplied for review, these will be agreed and then a first meeting to take place where the information will be presented Revised target date: 31 October 2024 Revised target dates from previous reporting cycles:

				<ul style="list-style-type: none"> • 30 June 2024 • March 2024 - 30 April 2024 • January 2024 - 31 March 2024 • December 2023 - 28 February 2024 • September 2023 - 16 January 2024
Fostering Payments (In-House)	M	The service should undertake a review of its success to date in using IFA 'top up' fees to recruit and retain in-house foster carers and consider whether a higher level of payment should be rolled out across the board to attract and retain more in-house carers. If payment of higher fees significantly improves the availability of in-house placements, the additional cost of the 'top up' fees may be offset by the reduction in the need for external placements. This should be fully explored by the service.	01/08/2023	<p>The service has undertaken an exercise reviewing carer retention over the last 12 months and considered key factors related to recruitment success. An additional 7% uplift was agreed for fostering payments which is being implemented. The service remains behind the curve with fostering payments made to young children, however utilisation remains high in this area. The service has agreed to spend this financial year reviewing the fostering payment structure.</p> <p>The above update is from the previous reporting cycle. No update has been provided for this reporting cycle.</p> <p>Revised target date: TBC</p> <p>Revised target dates from previous reporting cycles</p> <ul style="list-style-type: none"> • March 2024 - 31 March 2024 • September 2023 - 31 March 2024
Accounts Payable 22-23	M	The current process for manual spreadsheet uploads should be reviewed to ensure that only budget holders can approve manual uploads, that they can only approve upload payments against their own budget, and that they cannot approve individual payments in excess of their agreed limit in line with each Council's scheme of financial management.	30/09/2023	Following detailed technical discussions with Business Systems Colleagues it is not currently possible for spreadsheets to be approved by the system where there are multiple cost centres and budget holders. An authorisation form is being developed where a Director will be required to approve spreadsheet use within their services and authorise officers to approve spreadsheet

		If the process is to remain it should be agreed with S151 Officers at each Council.		<p>payments. This proposal has been sent to the Lead Authority board for review and approval.</p> <p>Revised target date: 30 September 2024</p> <p>Revised target dates from previous reporting cycles:</p> <ul style="list-style-type: none"> • March 2024 - TBC • December 2023 - 31 December 2023.
Debt Recovery 22/23	M	The Head of Finance Operations should decide if procedures should be amended to reflect the current practice and detail the approval time-out procedure, or whether to amend the system workflow in ERP for write-offs to ensure that budget holder approval must be given before write-offs are progressed. In conjunction with Recommendation 5, the procedure could vary for different values of write-offs.	30/09/2023	<p>The new process has been agreed and the change request in respect of the ERP write-off process has been submitted and is with Business Systems to implement.</p> <p>Process improvements will enhance the information provided to budget holders and the final approver in line with each Council's scheme of delegation.</p> <p>Revised target date: 30 September 2024</p> <p>Revised target dates from previous reporting cycles:</p> <ul style="list-style-type: none"> • March 2024 - 30 June 2024 • January 2024 - 30 June 2024 • December 2023 - TBC
Fostering Payments (In-House)	M	To avoid the need for complicated payment suspensions and delays in record updating, fostering finance management should be given access to edit payments within ContrOCC on notification of an error or change. There appears no need for this to be completed by IT, especially as they do not request any evidence of the change to verify any change request. Likewise, for SOC 408 changes, provided the change has been approved and this is verified by the finance team on receipt of the 408 notification the	01/09/2023	<p>The fostering service has an active plan to move all matters onto CONTROCC and avoid the use of multiple systems. At this time we are in the process of putting all the payments onto this system, inclusive of all carers and care arrangements. Further to this there is a project looking at bringing in a Controcc Specialist to improve the system around out requirements</p> <p>Revised target date: TBC</p>

		responsibility to update payment records could be shared by the finance, ART and Duty teams.		Revised target dates from previous reporting cycles: <ul style="list-style-type: none"> • March 2024 – 31 March 2024 • January 2024 - 31 March 2024 • December 2023 - TBC
Fostering Payments (In-House)	M	The service should expand internal and external guidance for the outstanding elements that have not been addressed by the external Foster Handbook and Independent Fostering Agency (IFA) transfer guidance. These outstanding elements include allowances for children entering higher education and confirming allowances for pocket money/savings and respite placements, as these currently are quoted within the Handbook guidance as 'under review'.	01/09/2023	The pocket Money policy will be taken to DMT following collaboration with the IRO service. This is anticipated to take place in July. Upon confirmation of the agreement the fostering handbook will be updated. Revised target date: 31 July 2024 Revised target dates from previous reporting cycles: <ul style="list-style-type: none"> • March 2024 – 31 March 2024 • December 2023 - TBC
ICT Change Management	M	ITDS staff should investigate how the Hornbill system can be configured such that extracted lists of changes (e.g. in the Request List screen) include columns to specify the change type and whether changes have been approved, rejected, or neither. These functionalities should then be introduced.	30/09/2023	The project to decouple and upgrade Hornbill has been initiated. The project is part of the decouple from PCC. The target date to complete the decouple and changes to the system will be November 2024. Changes cannot be made to the current system as it is a shared and is in the process of being split. Revised target date: 30 November 2024 Revised target dates from previous reporting cycles: <ul style="list-style-type: none"> • March 2024: TBC • January 2024 - TBC
IT Security 23-24	M	We recommend that the Council defines its requirements with regard to privileged accounts. This should include: <ul style="list-style-type: none"> • Processes and procedures for request and approval. • A role-based matrix highlighting the users/roles for which privileged access would be appropriate. 	30/09/2023	This has not yet been fully implemented and is a work in progress. However, an external review was undertaken as part of the Public Sector Network application and award.

		<ul style="list-style-type: none"> • Review of privileged accounts in line with a least privilege model to evaluate and reduce the volume of privileged accounts. • Requirements for a minimum number of shared service accounts and increased password changes. • Formalised approval pathways which ensure an appropriate level of approval is sought from an individual other than the requester. • Regular review of privileged access accounts, with disablement of unused/inactive accounts. • Requirements for review and management of tools such as KeePass and LAPS to ensure secure configuration and usage. <p>In conjunction with these requirements, the Council should conduct a review of active privileged accounts. Enterprise and Domain Admin accounts should be reviewed for appropriateness and reduced to a lower number of individuals, applying the principle of least privilege. Consideration should also be given to those accounts which are inactive. IT management, in conjunction with the Information Security Manager should take action to disable or delete these, as appropriate.</p>		<p>The Security Operations Manager confirmed reviews are being undertaken but that the approach has not yet been formalised or agreements reached on approach to 'dormant' super user accounts.</p> <p>LAPS are being investigated to establish if the reliance on these can result in a lack of auditability.</p> <p>Revised target date: 30 November 2024</p> <p>Revised target dates from previous reporting cycles:</p> <ul style="list-style-type: none"> • March 2024 - 30th June 2024. • January 2024 - TBC • December 2023 - TBC
Fostering Payments (In-House)	M	<p>ART should endeavour to ensure that a 408 form is signed for every young person placed.</p> <p>The Fostering service should endeavour to obtain a signed copy of the placement plan (72 hrs) prior to the start of any placement. In cases of emergency, where this is unfeasible, they should endeavour to collect this at the earliest opportunity. The Fostering service should undertake a review of all current in-house foster carers to confirm that a signed, up-to-date foster care agreement is on file for them. In cases of existing placements which do not have a signed fostering agreement, corporate parenting should liaise with the foster parents to obtain these.</p>	01/10/2023	<p>The service has reported that the 408 process is effective with the ART team and as such this matter is resolved and working. The matter of Foster Carer agreement and placement plans - these are collated and saved on LCS, (FCA under carer and Placement plan under child) ongoing auditing is to take place to monitor this.</p> <p>Internal Audit will liaise with the fostering service to assess whether this recommendation has been fully implemented.</p> <p>Revised target date: TBC</p>

		<p>All signed agreements should be documented in a shared folder to ensure any problems can be quickly settled with foster carers.</p> <p>The Fostering service should endeavour to complete 408 notifications to include all information (including weekly placement fees), to confirm changes to placements have been authorised and to increase the likelihood of accurate commitment records and trackers.</p> <p>Ongoing assurances for the above should be provided via regular spot-checking on a sample of files on an intermittent basis as part of a wider quality assurance process. Outcomes of which could be reported within ART dashboard to maintain oversight of compliance performance.</p>		<p>Revised target dates from previous reporting cycles:</p> <ul style="list-style-type: none"> • March 2024 – 31st March 2024 • January 2024 – 31 March 2024
<p>Fostering Payments (External)</p>	<p>M</p>	<p>Prior to commencement of a fostering placement, the ART team should endeavour to obtain the individual placement contract (signed by both relevant council officers and care providers). This agreement should be stored in a centralised repository such as Liquid Logic, where information for each individual YP is held, to be available to access across all different involved teams (including ART, Duty and Finance). Access rights to the chosen central repository should be reviewed to ensure it is accessible to all relevant teams and officers.</p> <p>In the case of emergency, where care must be provided but an agreement has not be signed by the provider, must be agreed and signed off by the relevant manager (depending on cost of placement).</p> <p>Any outstanding contracts, for which the council has not obtained a signed copy of the contract by the</p>	<p>31/12/2023</p>	<p>All contracts and IPAs now being sent via E-Sign. Fully executed contracts are stored on SharePoint. A review of all IPA's is being done currently for open placements (this will take a few weeks to conclude) to see if there are any outstanding IPA's that need to be issued.</p> <p>Internal Audit will liaise with the fostering service to assess whether this recommendation has been fully implemented.</p> <p>Revised target date: TBC</p> <p>Revised target dates from previous reporting cycles</p> <ul style="list-style-type: none"> • May 2024 – 30 June 2024 • March 2024 – 30 April 2024 • January 2024 – 30 April 2024 • December 2023 – 31 January 2024

		<p>provider, should be chased as a matter of urgency, to reduce the risk that services provided are not obligating. Regular spot checks of placement case files may assist in flagging instances where contracts have not been completed and signed. The service should consider recording unsigned contracts in a separate filing area/folder (prior to being uploaded to the centralised repository when signed) and implementing regular monitoring of this area with a target set for this to be as empty as possible. Furthermore, regular 'completeness' reviews on a set number of random case files could provide assurances against this risk on an ongoing basis.</p>		
Fostering Payments (External)	M	<p>Quoted costs and potential applicable discounts should be noted against response checklists and considered when evaluating responses by IFAs to ensure that if multiple appropriate placements are available, the Council is selecting the lowest cost option, as per existing policy guidance.</p> <p>Internal Audit recommend implementing quality assurance monitoring processes to ensure compliance with the above. This could include regular spot checks on a sample of placements to ensure that lowest cost options are being selected as standard, with any instances of non-compliance reported and escalated to senior management to investigate. Outcomes of quality assurance checks could be reported as part of the ART dashboard.</p>	31/12/2023	<p>Evidence of offers (where applicable) will be attached to future funding requests demonstrating that the cheapest provider (based on appropriate match) has been secured. Spot checks will be conducted to ensure this process is being adhered and where non-compliance is identified it will be raised with HoS.</p> <p>Internal Audit will liaise with the fostering service to assess whether this recommendation has been fully implemented.</p> <p>Revised target date: TBC</p> <p>Revised target dates from previous reporting cycles</p> <ul style="list-style-type: none"> • May 2024 – 30 June 2024 • January 2024 - 30th April 2024

<p>Fostering Payments (External)</p>	<p>M</p>	<p>"Proof of exhaustion of in-house options before a decision is made to search IFA should be documented in all cases and recorded on the CYP Chronology notes as per current process guidance. If this cannot be evidenced, no IFA search should be agreed (unless in emergency or exceptional circumstances). Decisions should be formally signed off and recorded on the CYP Chronology notes.</p> <p>Internal Audit recommend implementing quality assurance monitoring processes to ensure compliance with the above. This could include regular spot checks that IFAs are not progressed without appropriate evidence in place, with any instances of non-compliance reported and escalated to senior management to investigate. Outcomes of quality assurance checks could be reported as part of the ART dashboard."</p>	<p>31/12/2023</p>	<p>Evidence of in house options is being requested but not able to be sourced. This will be evidenced in future funding requests sent to the HoS Commissioning for approval. The email will be attached to the funding request.</p> <p>Spot checks will not be required if funding requests include evidence that no in house option was suitable.</p> <p>Internal Audit will liaise with the fostering service to assess whether this recommendation has been fully implemented.</p> <p>Revised target date: TBC</p> <p>Revised target dates from previous reporting cycles</p> <ul style="list-style-type: none"> • May 2024 – 30 June 2024 • March 2024 – 30 April 2024 • January 2024 - TBC
<p>Accounts Payable 22-23</p>	<p>M</p>	<p>The Business Systems Team should undertake an investigation, supported as required by AP, to establish why historic open AP transactions from prior periods and years remain open and determine whether these transactions can be cleared.</p>	<p>31/12/2023</p>	<p>Work continues on reconciling items with a view to provide a final list in July.</p> <p>Revised target date: 31 July 2024</p> <p>Revised target dates from previous reporting cycles</p> <ul style="list-style-type: none"> • March 2024 - TBC • January 2024 - TBC
<p>Accounts Payable 22-23</p>	<p>M</p>	<p>A review of suppliers in ERP should be undertaken to identify any instances where the same supplier is set up multiple times. Each case should be reviewed to establish if the existence of multiple supplier records</p>	<p>31/12/2023</p>	<p>This is a very labour intensive piece of work as every duplicate supplier needs to be reviewed and where there are open orders discussions are required with budget holders to close and realise the PO on the prime supplier. Where there is a primary supplier alternative suppliers</p>

		in ERP Gold is appropriate and if not, it should be determined which supplier records should be deleted.		<p>may be being used for interface transactions, and further dialogue is required with service areas to update details on source systems. Volumes will naturally reduce due to auto closing of suppliers within set business rules. Also Xelix duplicate payment software, mitigations any duplicate payments where there is more than one supplier.</p> <p>Revised target date: 30 September 2024</p> <p>Revised target dates from previous reporting cycles</p> <ul style="list-style-type: none"> • March 2024 - TBC • January 2024 – 31 March 2024
Accounts Payable 22-23	M	A review of suppliers in ERP should be undertaken to identify any instances where the supplier record on ERP Gold is set up for both commercial and non-commercial payments. Each case should be reviewed to establish if the existence as both payment types is appropriate and if not, if should be determined which payment type should be disabled.	31/12/2023	<p>Now that the AP team is fully resourced, the cleansing of these suppliers is being carried out by the AP team as part of monthly housekeeping, this includes reviewing all non-commercial payments that have been made. This will ensure that all payments via this method are in line with policy and process. Any payments that are identified that are being made incorrectly are addressed at the time and the supplier is updated accordingly.</p> <p>Revised target date: TBC</p> <p>Revised target dates from previous reporting cycles</p> <ul style="list-style-type: none"> • March 2024 - TBC • January 2024 – 31 March 2024
Incident & Problem Management 22-23	M	<p>Problem management procedures should be amended to incorporate the following:</p> <p>a) The ICT Service should consider how Hornbill can be utilised in the problem management process. Once established the documented procedures should be amended to give clarity and guidance on the use of</p>	31/12/2023	<p>The project to decouple and upgrade Hornbill has been initiated. The project is part of the decouple from PCC. The target date to complete the decouple and changes to the system will be November 2024. Changes cannot be made to the current system as it is a shared and is in the process of being split.</p>

		<p>Hornbill for problem management. If it is decided Hornbill will not be utilised a rationale should be recorded as a note in the procedures.</p> <p>b) The service should add tables to the guidance listing the priority systems and sites for problem management and resolution. This would bring the guidance into line with incident management and provide consistency in information for officers.</p> <p>c) Procedures should be amended to provide clear criteria for identifying when a problem should be recognised and classified as a major problem. This should be considered in conjunction with recommendation 3 in this report to ensure priority systems and sites are factored into the criteria for major problems.</p> <p>d) Procedures should be amended to confirm the complete process required to be undertaken in relation to major problems.</p> <p>e) Procedures should be amended to include a problem communication / notification process. Notifications to end users should include a description on how resolution should impact service users, steps being taken to resolve the problem and the estimated time required to resolve.</p>		<p>Revised target date: 30 November 2024</p> <p>Revised target dates from previous reporting cycles:</p> <ul style="list-style-type: none"> • March 2024: TBC • January 2024 - TBC
<p>Incident & Problem Management 22-23</p>	<p>M</p>	<p>A more detailed major incident response plan should be developed and incorporated into procedures. This should include a more detailed system and site prioritisation matrix that should either:</p> <ul style="list-style-type: none"> • Rank systems and sites in priority order • Have a clear process for determining and agreeing the key priority should more than on critical system or site be impacted at the same time 	<p>31/12/2023</p>	<p>The project to decouple and upgrade Hornbill has been initiated. The project is part of the decouple from PCC. The target date to complete the decouple and changes to the system will be November 2024. Changes cannot be made to the current system as it is a shared and is in the process of being split.</p> <p>Revised target date: 30 November 2024</p> <p>Revised target dates from previous reporting cycles:</p> <ul style="list-style-type: none"> • March 2024: TBC

				<ul style="list-style-type: none"> January 2024 - TBC
Key Policies and Procedures	M	<p>The policies that are not on the policy library need to be added.</p> <p>The policies on the policy library where information is not complete needs to be reviewed and updated.</p>	31/12/2023	<p>The Service has confirmed that good progress has been made with this recommendation. They have decided to implement this by uploading policies to the relevant areas on the CCC Useful Links area on Camweb and set it out into sections to make it easier for staff to navigate to find key policies (rather than a separate policy library) as site usage figures show that Useful Links is consistently one of the most viewed pages on Camweb confirming that this is a better route to access policies than through a generic policy library. The Service will continue to develop this further and ensure all policies are uploaded to the relevant area in the useful links tab.</p> <p>Revised target date: 30 August 2024</p> <p>Revised target dates from previous reporting cycles</p> <ul style="list-style-type: none"> March 2024 – 30 June 2024 January 2024 - TBC
Key Policies and Procedures	M	A regular formal communication plan based around the policy framework should be produced to ensure that all 'key' policies are communicated to staff at least once annually via the normal internal comms channels.	31/12/2023	<p>Having got material in place on Camweb, the Service are now planning an internal campaign to raise the profile of the key policies and procedures staff need to know which we will be launching through our re-vamped internal newsletter.</p> <p>Revised target date: 30 August 2024</p> <p>Revised target dates from previous reporting cycles</p> <ul style="list-style-type: none"> March 2024 – 30 June 2024 January 2024 - TBC
<i>Medium Recommendations overdue - under 3 months</i>				

Incident & Problem Management 22-23	M	<p>New classification should be introduced in Hornbill that allow for incidents to be clearly identified and reported on. This could be achieved through the introduction of a mandatory filed to classify and case as either a service request or incident.</p> <p>Reporting on actual incidents and their resolution should be introduced and provided to the Service Director and Executive Director.</p> <p>Once a base line has been established KPIs for incident resolution should be established.</p>	31/03/2024	<p>The project to decouple and upgrade Hornbill has been initiated. The project is part of the decouple from PCC. The target date to complete the decouple and changes to the system will be November 2024. Changes cannot be made to the current system as it is a shared and is in the process of being split.</p> <p>Revised target date: 30 November 2024</p> <p>Revised target dates from previous reporting cycles:</p> <ul style="list-style-type: none"> • March 2024: TBC • January 2024 - TBC
Incident & Problem Management 22-23	M	<p>SMART KPIs and Critical Success Factors for Problem Management should be developed and included in procedures.</p> <p>Once established, performance monitoring reporting should be introduced. This should include reporting on ongoing/unresolved problems.</p>	31/03/2024	<p>The project to decouple and upgrade Hornbill has been initiated. The project is part of the decouple from PCC. The target date to complete the decouple and changes to the system will be November 2024. Changes cannot be made to the current system as it is a shared and is in the process of being split.</p> <p>Revised target date: 30 November 2024</p> <p>Revised target dates from previous reporting cycles:</p> <ul style="list-style-type: none"> • March 2024: TBC • January 2024 - TBC
Case 125 - Guided Busway Procurement	M	<p>The Executive Director of Place & Sustainability should conduct a review of record keeping in relation to the Busway and ensure that there is a clear filing structure in place which enables officers to find all key information and records in relation to:</p> <ul style="list-style-type: none"> • All procurements conducted in relation to the busway construction, dispute, remedial works, and HSE investigation; and critical contract management 	31/03/2024	<p>Service has confirmed that this is being done as part of a service-wide filing exercise and is not yet complete.</p> <p>Revised target date: 30 November 2024</p> <p>Not previously overdue.</p>

		<p>documentation such as performance reporting from contractors, contract extensions or variations, disputes etc.</p> <ul style="list-style-type: none"> • All critical decision points in relation to the busway construction, dispute, remedial works and HSE investigation, including reporting to both Committee and CLT and any decisions taken under the powers of the Executive Director or the Busway Dispute Resolution Group. • Ensuring that clear and appropriate retention schedules are in place for information held in relation to the above two points (with support from the Information Governance service if required). <p>The Executive Director of Place & Sustainability should consider broadening the remit of this review across the entire Directorate to provide assurance that critical decisions and procurements undertaken within the service can be evidenced when needed.</p>		
Case 127 - Supported Living		<p>Overarching, detailed, updated guidance on petty cash, service user cash and imprest bank accounts should be implemented and made available on CAMWEB. This should cover:</p> <ol style="list-style-type: none"> a) controls around authorisation/separation of duties regarding petty cash and service user cash expenditure; b) records; c) retention of receipts; d) storage of cash; e) reconciliations of petty cash, service user cash, and imprest bank account reconciliations; f) the imprest bank account claim process; g) returns/information to be provided to Finance and/or Accounts Payable. 	28/02/2024	<p>Corporate Finance are still in process of developing the revised imprest guidance. This is dependent on capacity that is also directed towards closure of our accounts</p> <p>Revised target date: TBC</p> <p>Revised target dates from previous reporting cycles</p> <ul style="list-style-type: none"> • March 2024 – TBC

		<p>2b (Advisory) Consideration should be given to require</p> <ul style="list-style-type: none"> • cash taken; • expenditure; • cash returned; and • the rolling cash balance <p>to be recorded in the petty cash book and service user cash records as part of updated procedures .</p> <p>Corporate procedures as recommended through this report should give clear detail on what journals, if any, should be undertaken in relation to service user loans.</p> <p>Once corporate procedures have been developed and implemented, the Operational Lead Officer should ensure that a finance officer reviews the journals noted above to determine if any corrective action is required.</p> <p>Corporate procedures as recommended through this report should give clear detail on exactly how imprest claims to top up the imprest bank account should be undertaken. This should include the account codes to be used in the process.</p> <p>Once corporate procedures have been developed and implemented, the Operational Lead Officer should ensure that a finance officer reviews the imprest claims to determine what corrective action is required and ensure it is undertaken.</p>		
Local transport Capital Block Funding (grant)	M	A time recording system should be implemented across Place and Sustainability to ensure any Service, Team or Officer time that is charged to project or	31/03/2024	The Service has confirmed that the implementation of a timesheet system is a corporate issue and is being progressed with Corporate PMO. The service has

	<p>other work is accurately recorded to reflect actual time and costs associated with delivery. Such a system could be:</p> <ul style="list-style-type: none"> • an extension of the timesheet process currently used by some teams • free software available online; or • software that is either procured or built internally that is located on Council servers. <p>The system should be able to:</p> <ul style="list-style-type: none"> • Apply different staff rates, including overheads and risk percentages, for each project. • Calculate staff costs for each project based on the applied rates. • Interface with/upload data to ERP Gold to provide an efficient way of updating project ledgers with staff costs. Internal Audit recommends that whatever time recording system is chosen is used consistently across the board to ensure the most efficiency. 		<p>confirmed they are actively liaising with the IT Service to progress this with the Corporate PMO and the Assistant Director Project Delivery as key stakeholders.</p> <p>Revised target date: March 25</p> <p>Revised target dates from previous reporting cycles</p> <ul style="list-style-type: none"> • March 2025 <p>Workstream is with corporate IT</p>
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