

Recommendations not fully implemented by the due date

Appendix 4 to Summary Progress Report

Audit	Recommendation	Directorate	Priority	Original Due Date	Management response	Revised Due Date	Audit Comment on Management Action
Virus Protection & Spyware	Update the IT Security Policy as planned and implement an annual review process.	SS (ICT)	Medium	30-Sep-2009	<p>We have a set of the new draft policies that have been produced in consultation with all 16 Essex Councils by Essex On Line Partnership these are being ratified and "Southendised" and will be put through for adoption by SBC.</p> <p>The completion date is now expected to be November 2011.</p>	30-Nov-11	Agreed - Part Implemented.
<p>Accounts Receivable</p> <p>(Improvement Required opinion given)</p>	<p>Hold quarterly meetings with the Finance Team in Adult and Community Services to review the outstanding accounts for social care. Agree appropriate recovery strategies. Follow up the progress of actions agreed at previous meetings.</p>	SS	Medium	31-May-2011	<p>This Audit recommendation will be implemented as part of the project bringing in the new integrated financial and HR system (i.e. Agresso) and its attendant processes.</p> <p>The expected 'go live' date of the new system is having to be revised and the due date for this Action will accordingly have to be amended to a date as yet to be determined.</p>	Awaiting new date for implementation of Agresso.	<p>Agreed as not implemented.</p> <p>Meetings with Finance in Adult and Community Services (ACS) have not been held.</p> <p>The introduction of Agresso in April was to provide the Income Team with the ability to review the outstanding accounts for social care and identify debts where recovery action have not been taken in a timely manner. This was then to form the focus of the meetings with ACS Finance.</p> <p>Currently, the Income Team cannot view all social care accounts in debt. Only social care are allowed access to the sensitive information surrounding the conditions of the vulnerable adults the debts relate to (and therefore, the most appropriate way to pursue their debt).</p> <p>Agresso will allow the Income Team to see the debt but not the details of the debtor and therefore allow the Income Team to prompt ACS when debts has been outstanding for a set period of time to either delay debt chasing, or to proceed with standard debt collection procedures.</p>
<p>Accounts Receivable</p> <p>(Improvement Required opinion given)</p>	<p>Introduce contract monitoring arrangements to confirm the debt collection service delivered meets the Council's expectations.</p>	SS	High	01-Jul-2011	<p>The internal organisation for monitoring the new debt collection contract has not yet been finalised.</p> <p>It was expected that the new Agresso system would be the monitoring mechanism, but because this has been delayed a manual system is being devised for the interim period and is expected to be in place by 30.9.11.</p>	30-Sep-11	<p>Agreed as not implemented.</p> <p>Additional time is needed to devise an interim manual monitoring system after the unexpected delay with Agresso.</p>

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S106 Agreements	Agree a date for the early production and adoption of the Development Delivery Development Plan Document.	ETE	High	30-Apr-11	<p>We will be reviewing our Local Development Scheme later this year owing to a large reduction in staff number which has impacted on the number of documents which can be produced and managed during a single year.</p> <p>The Development Delivery DPD (Development Plan Document) cannot be progressed until an Infrastructure Plan is produced for the Council and best practice suggests that this should be produced at a Corporate Level.</p> <p>Once an Infrastructure Plan is completed and adopted (after independent Examination) we can produce a charging schedule for infrastructure, services and facilities that will be needed as a result of further development. This charging schedule will form a main part of the Development Delivery DPD. The Infrastructure Plan in essence is the key evidence base document.</p> <p>The interim date for completion is 31.12.11 and the final date 31.8.14.</p>	31-Dec-11	<p>Agreed as not implemented.</p> <p>Response provided explains the estimated timeframe.</p>
Contract Procedure rules spot check 1 - ETE	<p>Provide training on the application of Contract Procedure Rules for staff purchasing goods and services on behalf of the Council. In particular training should cover:</p> <ul style="list-style-type: none"> # the role of the Procurement Review Group; # the significance of the Contract Procedure Rules process in ensuring the Council obtains value for money; and # the need to retain sufficient documentation to support the procurement process. <p>Maintain records of staff who have received training.</p>	ET&E	High	01-Mar-2011	We have agreed the approach to this recommendation with Corporate Procurement and Internal Audit and are looking at dates in autumn to carry out the appropriate training and develop the procedures.	29-Sep-11	Agreed.
Contract Procedure rules spot check 1 - ETE	Establish procedures to review small and medium purchases to obtain assurance that Contract Procedure Rules are being complied with.	ET&E	High	01-Mar-2011	As above.	29-Sep-11	Agreed.
Contract Procedure rules spot check 1 - ETE	Evaluate the contract arrangements currently in place within service areas and identify where procurement needs to be brought into line with Contract Procedure Rules.	ET&E	High	01-Mar-2011	As above.	29-Sep-11	Agreed.
Income (Improvement Required opinion given)	Return credit card statements that have not been certified by an authorised signatory who is not the credit card holder to the officer concerned. Withdraw credit cards from officers who continually fail to do this.	SS	Medium	30-Jun-2011	<p>Partially Implemented.</p> <p>Officers who have a corporate credit card must have their credit card statement signed by an authorised person before payment is made to the credit card company. Procedures are now in place to ensure statements which are not countersigned are returned to the cardholder unpaid.</p> <p>Assurance is being sought however that the list of those authorised to countersign statements is current and appropriate.</p>	30-Sep-11	<p>Substantially implemented</p> <p>The main part of the recommendation is implemented in returning unsigned statements to the card holder. However, the counter-signing authorised signatories are an important control.</p>

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Income (Improvement Required opinion given)	Undertake a Post Implementation Review of the project for closing cashiers and introducing the new arrangements for dealing with cash payments. Confirm that new arrangements have become embedded within the Council's day to day operations.	SS	High	31-May-2011	Partially Implemented. Following the closure of the Cashier service at the Civic Centre, a post implementation review has been carried out. Final sign off cannot however be given until confirmation is received from ETE Group Manager, Regulatory Services and ETE Regulatory Services Officer, Environmental Protection that unauthorised cashiering procedures introduced in their areas have ceased. At the moment it is therefore not possible to give a revised completion date.	25/10/2011	Agreed. Part Implemented. Although progress has been made to complete the implementation of the recommendation, there are issues which still need to be resolved. Discussions are on going, however no definitive deadline has been provided. Therefore will be followed up for a progress check at the next follow up round.
Serious Case Review	Define the LSCB process for monitoring the implementation of recommendations emanating from serious case reviews. This should define: # what information the LSCB requires from partners to satisfy itself that action plans are being addressed and that this should be supported by documentary evidence when any recommendation is to be signed off as implemented; # the function of the Case Review Panel in reviewing and challenging the quality of evidence supplied by partners; # the role of the Case Review Panel in changing the Red / Amber / Green status of recommendations as they become satisfied with the progress made in implementing recommendations; # the criteria for reporting progress in implementing recommendations up to the LSCB Executive Group and the main LSCB; and # the LSCB's expectation that, after the Case Review Panel has signed off recommendations, partners will require their internal audit teams to independently confirm the implementation of recommendations and report on this to the LSCB.	C&L	High	01-Apr-2011	Included in revised terms of reference for the Case Review Panel.	30/09/2011	Substantially implemented - only one action outstanding. Agreed with officer responsible that this would be actioned and presented to the Case Review Panel for their September 2011 meeting.
Serious Case Review	Improve the minutes of the Case Review Panel so that they provide better evidence of discussions had and decisions made with regard to the implementation of recommendations.	C&L	High	01-Apr-2011	Outstanding - there was more work involved in obtaining the evidence to support the implementation of the recommendations than initially anticipated and therefore presenting the recommendations on the Baby R case has been delayed.	30/09/2011	Not implemented Recommendations from Baby R case due to be presented to the Panel at their September 2011 meeting when implementation of the audit recommendation can be evidenced.

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Serious Case Review	Define an approach to assessing the risks attached to issues identified from serious case reviews and prioritise the importance of recommendations accordingly.	C&L	High	01-Apr-2011	Serious Case Review Panels to prioritise risks. Agree by Case Review Panel 1st July 2011.	30-Sep-11	Part implemented - further development required Action plans have been extended to include risk categories (high, medium and low) against individual recommendations and risk factors have been allocated to one case currently being considered by the Case Review Panel. The criteria which determines whether a recommendation is high, medium or low still needs to be defined.
Serious Case Review	Integrate the monitoring of high level risks / high priority actions into the LSCB Executive Group's assurance arrangements.	C&L	Medium	01-Apr-2011	To be included in regular Case Review Panel progress reports to LSCB Executive as agreed by Case Review Panel 1st July 2011.	30/12/2011	Substantially complete. Case Review Panel have formally acknowledged the need to report progress on all high priority recommendations to Executive Group and this will be added to the terms of reference of the Case Review Panel. New implementation date agreed with lead officer incorporates time for the new arrangements to become embedded in LSCB reporting arrangements and for Internal Audit to confirm this.
Serious Case Review	Reconvene the Case Review Panel and require that partners submit the remaining evidence to support the implementation of actions required from the Baby R case.	C&L	High	01-Apr-2011	Outstanding evidence to be submitted to Case Review Panel 9th September 2011.	30-Sep-11	Agreed - Not Implemented- see recommendation 2 for Serious Case Review Audit above. Full evidence not supplied by partner agencies at meeting 1st July and previous meeting cancelled. Beyond control of lead officer therefore new date agreed.
Serious Case Review	Require that partners' internal audit teams formally sign off the implementation of recommendations from the Baby R serious case review (after the Case Review Panel have completed their sign off).	C&L	High	01-Apr-2011	Included in revised terms of reference for the Case Review Panel pending confirmation from partner agency internal audit teams.	30/09/2011	Part Implemented Main Local Safeguarding Children Board agreed in principle and Case Review Panel terms of reference updated. Management action agreed in final report of writing to partner agencies involved to get agreement for internal audit teams to formally sign off recommendations remains outstanding.
Energy Management	Review, update and re-launch the Energy Policy and Strategy in light of the signing of the Nottingham Declaration.	ETE	High	31-Mar-2009	The Low - Carbon Energy Strategy remains work in progress with anticipated completion date end of 2011.	31.12.11	Agreed - Not implemented.

High Priority Recommendations	12
Medium Priority Recommendations	4
Total Recommendations	16