

**To the Chair and Members of the
AUDIT COMMITTEE**

**REVIEW OF PROGRESS IN IMPLEMENTING EXTERNAL AUDIT AND INSPECTION
RECOMMENDATIONS**

EXECUTIVE SUMMARY

1. For each of the last two years a report has been presented to the Audit Committee on officers' progress in implementing external audit recommendations. This report provides an up-to-date position on the implementation of external audit recommendations.
2. It also provides, for the first time, a summary of progress on implementing inspection recommendations.

External Audit Recommendations

3. Very good progress is being made in implementing outstanding external audit recommendations.
4. The previous report presented to the Audit Committee in 2012 showed there were 35 recommendations still to be implemented from external audit reports dating back to 2010. This represented 41% of the total number of recommendations (86) made during that period, as follow:

Audit Report and Date	Number of rec'ns	Fully Implemented	Part implemented / In progress	Implementati on date not yet reached / in progress
Corporate Reports				
Value For Money conclusion 2010/11	55	33	0	22
Annual Governance Report 2010/11	10	7	0	3
Finance and Resources				
Data flows – SY Pensions & Doncaster MBC	8	5	3	0
Certification of claims & returns annual report 2010/11	2	1	0	1
IT Risk Assessment	6	5	1	0
Regeneration and Environment				
Strategic housing, (including St Leger homes)	5	0	5	0
Total Recommendations	86	51	9	26

5. However, over the last 12 months a considerable amount of effort has been made to clear the outstanding recommendations. There are now only 6 recommendations to be implemented and these are all expected to be finally completed by December 2013. Five were originally included in the Value For Money Conclusion 2010/11 report and one was outstanding from the IT Risk Assessment review.
6. **Appendix 1** includes the details of outstanding recommendations. The Appendix also shows that 3 recommendations made by external audit last year (which were not in last year's summary) have been completed.

Inspection Recommendations

7. In the last few months the Council's officer Governance Group has been putting in place arrangements for identifying and then beginning corporately to monitor progress in implementing inspection recommendations.
8. Overall there have been 129 recommendations made in inspection reports since 2010. Of these:
 - 65 recommendations have been fully implemented (50%).
 - 9 are in progress and within their original expected timescales (7%).
 - 55 are outstanding and beyond their implementation date (43%).

A further breakdown of this progress is provided in the table below:

Inspection and Date	Number of rec'ns	Fully Implemented	Part implemented/ In progress	In progress but out of timescale
Corporate Reports				
Information Commissioner Office Inspection (2013)	34	16	9	9
Children & Young Peoples Service				
Adoption Service Inspection (Sept 2011)	9	0	0	9
Fostering Inspection (2010)	11	11	0	0
Lord Carlisle (2013)	25	10	0	15
Protection of Children (2012)	18	12	0	6
Safeguarding & Looked After Children 2011)	25	13	0	12
Unannounced Contacts, Referrals & Assessments (2012)	6	3	0	3
Regeneration and Environment				
Trafalgar House incident Improvement Notice (2013)	1	0	0	1
Total Recommendations	129	65	9	55

9. This process is still new and we are currently in the process of obtaining an up-to-date position for each of the outstanding recommendations. At this stage, therefore,

Appendix 2 shows only the recommendations that still need to be implemented. Further, more comprehensive details will be provided to the Audit Committee in future updates.

10. This analysis excludes Schools, which are subject to a separate monitoring regime at this time.

RECOMMENDATIONS

11. The Audit Committee is asked:

- **To note the good progress achieved against outstanding external audit recommendations**
- **To note the first analysis of the position on progress in implementing inspection recommendations, and support the planned corporate monitoring of progress against these recommendations.**

BACKGROUND

12. This report provides the Audit Committee with information on the outcomes from external audit and inspection work and allows the Committee to discharge its responsibility for monitoring external audit and inspection activity.

OPTIONS CONSIDERED & RECOMMENDED OPTION

13. This is not applicable to this report.

IMPACT ON THE COUNCIL'S KEY OBJECTIVES

14. Effective implementation of external audit and inspection recommendations provides evidence that the Council is able to respond to external challenge in a timely manner and is committed to continuous improvement.

RISKS AND ASSUMPTIONS

15. The implementation of external audit recommendations is a response to identified risks and hence is an effective risk management action.

LEGAL IMPLICATIONS

16. There are no legal implications from this report although some of the recommendations may carry their own legal implications detailed within the originating report

FINANCIAL IMPLICATIONS

17. There are no specific costs arising from this report.

CONSULTATION

18. There is consultation with managers at the outset, throughout and at the conclusion of individual audits in order to ensure that the work undertaken and findings are relevant to the risks identified and are accurate.

BACKGROUND PAPERS

19 Audit and Inspection Reports

APPENDICES

Appendix 1: Detailed Progress on External Audit Recommendations

Appendix 2: Outstanding Inspection Recommendations

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DETAILED PROGRESS ON EXTERNAL AUDIT RECOMMENDATIONS

External Audit Actions Progress				
	Recommendation	Lead officer	Target Date	Status as at 12 September 2013
Value for Money Conclusion 2010/11				
R8 The Council should emphasise to all relevant officers that procurement procedures must be followed				
R8.3	Implementation of Procurement Transformation Plan to include improving effectiveness and implementing training programmes highlighting consequences of breaching CPR's.	S Mawson	30 Sept 2012 Revised date 30 Sept 2013	In Progress The plan is on course for completion and circulation to Directors by 30 September.
R8.4	Completion of phase 1 of procurement transformation including targeted training and roll out of Category Management and improved general procurement procedures.	S Mawson	30 Sept 2012 Revised date 30 Sept 2013	In Progress This is on track for being produced by the end of September and circulated to Directors.
R9 The Council should complete its review of significant procurement arrangements entered into in previous years, to ensure that value for money has demonstrably been obtained.				
R9.1	Contract Register updated to ensure scope and accuracy is comprehensive and up to date for major procurements.	S Mawson	30 June 2012 Revised date 30 Sept 2013	In Progress This is on track for being produced by the end of September and circulated to Directors.
R9.2	Implementation of Procurement Transformation Plan with review of significant procurement arrangements and detailed actions for improving value for money.	S Mawson	30 Sept 2012 Revised date 30 Sept 2013	In Progress The plan is on course for completion and circulation to Directors by 30 September.

External Audit Actions Progress

	Recommendation	Lead officer	Target Date	Status as at 12 September 2013
R11 The Council should develop a comprehensive Organisational Development Strategy covering its staff				
R11.4	To establish a framework to provide an overarching strategy which will modernise reward and recognition practices and improve the benefits package available to staff across the Council.	Jill Parker	30 Sept 2012 and review during 2012/13 Revised date- 30/11/13	In progress A Framework for Reward and Recognition has been drafted which includes proposals to enhance the current range of benefits towards a more modern and comprehensive benefits package. A pilot scheme for voluntary benefits such as discounts vouchers and offers using web based platforms is underdevelopment. In addition enhancements to the range of salary sacrifice benefits, including lease cars and IT equipment are also being considered. The draft Strategy will be presented to Employee Relations Committee on 11 th November 2013.
IT RISK ASSESSMENT				
R6	The IT department should devise and test an IT disaster recovery plan.	Julie Grant	31/12/11 Revised date- 31/12/13	In Progress The development of the plan is dependent on the selection of a replacement storage area network (SAN) provider for the Council. This has now been out for tender and over the next few weeks submissions will be evaluated. Any IT disaster recovery plan needs to be based around this new solution. From pre-tender discussion with suppliers we are expecting to see a variety of different proposals with different DR options. Once a supplier is appointed an installation time frame will be agreed and as part of this, testing will be carried out to determine and finalise the DR strategy. All implementation tasks are currently targeted to complete by 31/12/2013
ANNUAL GOVERNANCE REPORT 2011/12				
R1	Ensure that Quality Assurance procedures linked to the production of the Financial Statements are sufficiently resourced to enable timely delivery.	Steve Mawson	30/06/2013	Completed QA procedures were strengthened and the accounts were produced, as required, by 30 June 2013 and with appropriate supporting working papers.

External Audit Actions Progress

	Recommendation	Lead officer	Target Date	Status as at 12 September 2013
R2	Ensure that working papers supporting all significant entries in the statements are available for audit within the agreed timescales.	Steve Mawson	30/06/2013	Completed QA procedures were strengthened and the accounts were produced, as required, by 30 June 2013 and with appropriate supporting working papers.
R3	Review the Council's exposure to liabilities arising from MMI's financial position to determine the likely extent of the final liability.	Steve Mawson	30/06/2013	Completed Appropriate provision has been included in the Accounts to cover the MMI liability.

OUTSTANDING INSPECTION RECOMMENDATIONS

Inspection - Adoption Service (2011)	
Recommendation	Implementation Date
Ensure recruitment processes include checks and specific job descriptions	31-Mar-2012
Ensure the children's guide is appropriate to each child's understanding	31-Mar-2012
Ensure a system in place to monitor the quality of all records	31-Mar-2012
Demonstrate effective procedures for monitoring and controlling the agency	31-Mar-2012
Ensure birth parents know and understand support services available	31-Mar-2012
Ensure there is clear documentary evidence that feedback is sought from service users	31-Mar-2012
Ensure there is clear documentary evidence that children's wishes and feelings are taken into account in all aspects of their care and in the monitoring and	31-Mar-2012
Ensure life story books and later in life letters are produced in a timely manner and are all in a format appropriate to each child's age and understanding.	31-Mar-2012
Plan and prepare for future inspections	31-Mar-2012

Safeguarding & Looked After Children (2011)	
Recommendation	Implementation Date
Ensure that the framework for the health and wellbeing of looked after children is implemented without delay	30-Jun-2011
Ensure that all key decisions and actions are recorded on the child's electronic case record	31-Aug-2011
Implement management development opportunities for inexperienced operational managers	31-Aug-2011
The LAC health nurses must provide young people leaving care with a comprehensive summary of their healthcare.	31-Aug-2011
Develop effective care pathways for children with Attention Deficit Hyperactivity Disorder (ADHD) to ensure coordinated and timely assessment, diagnosis and treatment	31-Aug-2011
Improve completion rate of Common Assessment Frameworks (CAFs).	31-Aug-2011
Improve the quality of sex and relationship education for all children and young people	31-Aug-2011
Continue to strengthen the Children's Trust to enable it to fulfil its function of holding the Doncaster Safeguarding Children Board to account	30-Nov-2011
Ensure that complaints about child protection and safeguarding services are reported to the Doncaster Safeguarding Children Board on an annual basis	30-Nov-2011
Ensure that the newly commissioned electronic case record can store all relevant documents on the child's file	30-Nov-2011

Continue to improve performance management arrangements across the partnership	30-Nov-2011
Improve computer based systems to enable full understanding of cost and usage data.	30-Nov-2011

Inspection of local authority arrangements for the protection of children (2012)	
Recommendation	Implementation Date
Ensure strategy meetings have a multi-agency focus and input to enable all relevant information to be given full consideration in planning what action needs to be taken to safeguard children.	30-Nov-2012
Ensure that appropriate and timely action is taken in respect of child protection concerns referred to children's social care in line with statutory requirements	30-Nov-2012
Ensure that all partners are engaging in providing a fully integrated early support service for children, young people and families that provides a consistent service and reduces the demand for statutory intervention.	30-Apr-2013
Ensure management arrangements for the integrated family support service are in place to provide clarity of leadership for the service.	31-Jan-2013
Improve communication and information sharing between the strategic boards, including the Children's Trust, Local Safeguarding Children Board and the Improvement Board.	31-Jan-2013
The Local Safeguarding Children Board to ensure the application of Doncaster multi-agency threshold guidance through audit compliance by member agencies.	31-Jan-2013

Inspection - Lord Carlile (2013)	
Recommendation	Implementation Date
Ensure that Doncaster Councillors are given far more opportunity to understand and scrutinise those services	31-Dec-2012
Every Children's Services manager, without exception and up to Director level, should hold some direct casework responsibilities	31-Dec-2012
Doncaster and all Local authority Children's Services should continue to develop the best possible triage arrangements.	31-Dec-2012
Links between Children's Services generally and CAMHS	31-Dec-2012
Developing intelligent systems for dealing with casework	31-Dec-2012
That a radical look be taken at the way interventions are assessed and dealt with	31-Dec-2012
The Production of Serious Case Reviews in two forms, open and closed	31-Dec-2012
Under the guidance of the relevant minister there should be established a Digest open versions of Serious Case Reviews	31-Dec-2012
Doncaster Scrutiny Panel receive enhanced training	31-Dec-2012
National consensus about the most appropriate form of threshold guidance	31-Dec-2012
A continuous learning programme on the subject of sharing information in the interest of child safeguarding	31-Dec-2012
That annual medical examinations at school be introduced for every child up to and including Year 11	31-Dec-2012

That further attention be given to developing a good national standard for school nurse provision	31-Dec-2012
To demonstrate that Doncaster is fully aware of and complied with the April 2012 Statutory Guidance on the Roles and Responsibilities	31-Dec-2012
That consideration be given to the creation and provision of a concise national Parenting Guide	31-Dec-2012

Unannounced Inspection of Contact, Referral & Assessments (2012)	
Recommendation	Implementation Date
Improve written outcomes of Contact enquiries	30-Nov-2012
Improve checks regarding data protection/posting letters	01-Apr-2012
Ensure Agency staff are sufficiently trained	30-Jun-2012

ICO Audit Recommendations (2013)	
Recommendation	Implementation Date
Develop an annual data protection training plan that states what training all staff will complete on a mandatory basis and by what dates and also what additional training will be available for staff with specific responsibilities or needs and when.	31-Jul-2013
Ensure that annual mandatory DP refresher training is developed and monitored. This could take the form of e-learning for most staff and additional face to face training for staff with specific information governance responsibilities.	31-Jul-2013
Require all managers to attend the additional data protection training	31-Jul-2013
Identify and appoint business system owners, of an appropriate seniority, to assist IAOs	31-Jul-2013
To provide assurance that personal data has not been inappropriately accessed periodic audits by system administrators should be undertaken and the results reported to the Information Management Officer.	31-May-2013
Ensure all staff are made aware of the current retention and disposal periods as recorded in the new schedule	31-Jul-2013
Additional training for staff involved in drawing up and signing off data sharing agreements should be made available.	31-Jul-2013
Include the requirement for conducting PIAs as part of a data sharing policy (see c1) as recommended in the ICO Data sharing Code of Practice.	31-Jul-2013
Ensure shared data is accurate, retention and disposal arrangements have been agreed and assurance received that recipients will delete, destroy or return shared data once the purpose is served.	31-Jul-2013

Trafalgar House Incident – Improvement Notice	
Recommendation	Implementation Date
Devise and record arrangement that ensure the effective planning and organisation of assessments of site specific risks created by unauthorised access to vacant buildings.	19-Jul-2013