

## Agreed Action details

Data revision date: 1/3/2021

ACHPH								
Audit Name	Issue	Recommendation	Agreed Action	Priority	Due Date	Deferral Date	Deferral Date changes	Reason for Deferral
Direct Payments	The wording of the Direct Payment Agreement (DP04) is out of date	A revised template Direct Payment Agreement should be developed and used for all new Direct Payment cases	Leading the change of agreement form, sign off and introduction to all staff members	Amber	31/08/2020	01/05/2021	2	02/11/20 Gordon Waigand - Action taken: working group has re-formed and is working on audit actions. Deferral date 01/05/21.  Update requested.

ACX								
Audit Name	Issue	Recommendation	Agreed Action	Priority	Due Date	Deferral Date	Deferral Date changes	Reason for Deferral
Transitions for Childrens to Adult Care	No specific reports are produced for management on new transitions cases post 17 together with the additional service costs.	Introduce annual reports on transitions cases of those not previously known to the Council when a referral is made at the age of 17 and above. The reports should include how research on late referrals can influence approaches to existing pathways and assessment processes for children.	Development of Transitions Data Set, Age of referral, age at assessment, age at start of formal support (post enablement) track impact on budget of this.	Green	31/10/2019	31/03/2021	4	Transitions team are utilising the Preparing for Adulthood area of Insight which gives them direct access to CYPs case information of all those aged 14yrs+ where SEND is present. This includes all demographics. This informs case level discussions and service planning on a case by case basis. Transitions already have systems to manually monitor performance and financial information.  This action relates to the development of a specific reporting area on Insight for the Transitions team. Transitions team manager will hold the responsibility to produce the annual reports not DJ. This technical reporting development will support them with this task. This action has not yet started and is currently on hold due to Covid-19. Specialist technical reporting resource has been redirected to focus solely on the development of reporting for Covid-19, (both Hub and ASC), and/or ASC statutory returns. The PBI team also have had two B.I. vacancies on hold due to the pandemic. It is hoped that one of these will be filled and in place by September increasing technical capacity.
Payroll	Current Standby policy and payment rates not adhered to.	HRP should ensure that all Standby payments are in line with the rates outlined in the HR Employee Standby & Call-Out Policy and have a process in place to prevent any payments outside of the published rates from being processed.	Current arrangements not in line with policy to be reviewed and contractual terms changed.	Amber	31/03/2020	31/03/2021	2	Registrar service is now the only service which needs moving onto the corporate rates. Due to the sensitivities around the work staff have been undertaking during the COVID19 outbreak it is considered not timely to issue notice to change current arrangements
Payroll	Current Standby Policy and payment rates not adhered to.	HR should ensure that all Standby payments are in line with the rates outlined in the HR Employee Standby & Call-Out Policy and have a process in place to prevent any payments outside of the published rates from being processed.	System development to be undertaken for calculation based on hourly rate with employee claiming number of hours on standby.	Amber	31/03/2020	31/03/2021	2	Registrar service is now the only service which needs moving onto the corporate rates. Due to the sensitivities around the work staff have been undertaking during the COVID19 outbreak it is considered not timely to issue notice to change current arrangements. A change to the HR & Payroll before notice is given cannot be made as it would enforce the change prior to the Council being legally able to do so.

CYPs								
Audit Name	Issue	Recommendation	Agreed Action	Priority	Due Date	Deferral Date	Deferral Date changes	Reason for Deferral
Liquid Logic	The manual reconciliation process between E5 and the manual spreadsheet is resource intensive and does not provide for an accurate costing figure where information is omitted from the spreadsheet.	Where ContrOcc is used to make payments to suppliers, the use of a unique identifier between systems should be included to provide a more efficient reconciliation process.	Finance to progress the Business Case to secure the funding to facilitate this functionality.	Amber	31/12/2019	31/03/2021	2	Capital funding has been applied for to be considered on 05/02/20. After which IT have indicated that it could take 6 months before the system is configured to address the recommendation. This time for implementation is an estimate at present as the project is still to be planned and mapped out.
Liquid Logic	Projected placements costs are currently held on a spreadsheet with restricted access. Management information for costings are not easily accessible and reliance is placed on the spreadsheet being manually updated with financial information.	The agreed framework costs for service providers relating to Commissioned placements should be held within ContrOcc. This should also allow for management information for projected placement costs and budget monitoring purposes.	Finance to progress the Business Case to secure the funding to facilitate this functionality	Amber	31/12/2019	31/03/2021	2	Capital funding has been applied for to be considered on 05/02/20. After which IT have indicated that it could take 6 months before the system is configured to address the recommendation. This time for implementation is an estimate at present as the project is still to be planned and mapped out.
Liquid Logic	Invoices from suppliers charging for placements are processed through the Councils P2P system, however, there is the risk that the costs could be different to those on the agreed framework that is in place due to current manual processes in place.	ContrOcc should be utilised for payments to service providers. This should also allow for management information of actual placement costs paid, reconciliation of these and budget monitoring purposes.	Finance to progress the Business Case to secure the funding to facilitate this functionality.	Amber	31/12/2019	31/03/2021	2	Capital funding has been applied for to be considered on 05/02/20. After which IT have indicated that it could take 6 months before the system is configured to address the recommendation. This time for implementation is an estimate at present as the project is still to be planned and mapped out.
SEND	The Moving and Handling Service provision has not been reviewed for the optimum way to deliver the service.	Compile a business case for the continued Council provision of this service in its current form or in alternative ways.	Review to be commenced 1/2/20 and run for 6 months with options paper at the end regarding future of the Service	Amber	31/08/2020	30/07/2021	1	The action relies on a joint review with colleagues at the Rotherham Foundation Trust. They have not had capacity to respond.  The Local Authority has now proposed that 6 months notice is provided from 1st February 2021 and that the current arrangement ceases at the end of this academic year.

SEND	No awareness of using the Moving and Handling Service to maximise income for RMBC and provide additional resources for the NHS.	Ensure flexibility of resources between RMBC and the NHS to meet demand and maximise income.	Review of service to take into consideration income maximisation.	Green	31/08/2020	30/07/2021	1	The agreed action relies on joint work with the Rotherham Foundation Trust; it has not been possible to progress due to Covid-19.  The service has now proposed that the secondment arrangement ceases with six months notice provided from 1st February 2021 to end at the end of the academic year.
SEND	No clearly documented boundaries between the Moving and Handling Service and the Corporate Health and safety Team.	Establish a clear boundary of services offered to customers by the Moving and Handling Service and the Corporate Health and Safety Team	Phil to meet with Corporate Health and Safety Team to clarify roles and responsibilities	Green	31/03/2020	30/07/2021	5	All staff currently working remotely and Health & Safety team prioritising Covid-19 response.  Unrealistic deferral date set previously due to the unknown continued impact of Covid 19.  The action relies on a joint review with colleagues at the Rotherham Foundation Trust. They have not had capacity to respond.  The Local Authority has now proposed that 6 months notice is provided from 1st February 2021 and that the current arrangement ceases at the end of this academic year.
SEND	Clarity is required on the costs in the agreement between RMBC and the Rotherham NHS Foundation Trust for the provision of Moving and Handling Co-ordinator service.	Renegotiate the costs of the service with the NHS.	Costs to be provided	Amber	31/08/2020	30/07/2021	1	The service has requested that the current secondment arrangement ceases and the post returns to the management of TRFT. The deferral date reflects a sixth month notice period from 1st February 2021 with the current arrangement ceasing at the end of this academic year.
SEND	The agreement between RMBC and Rotherham NHS Foundation Trust provides the scope of the work to be for Children's services only.	Ensure that any future agreement for the Moving and Handling Co-ordinator service allows for activities across all Council Directorates, partners and third sector providers and also with the NHS.	Service review to ensure that in future services are deliverable	Green	31/08/2020	30/07/2021	1	The action relies on a joint review with colleagues at the Rotherham Foundation Trust. They have not had capacity to respond.  The Local Authority has now proposed that 6 months notice is provided from 1st February 2021 and that the current arrangement ceases at the end of this academic year.
SEND	No formal key performance indicators for the current Moving and Handling Service.	Compile and introduce a set of measurable key performance indicators for the Moving and Handling Service that can be applied to any future service delivery model.	Outcomes to be created as a result of service review	Green	31/08/2020	30/07/2021	1	The action relies on a joint review with colleagues at the Rotherham Foundation Trust. They have not had capacity to respond.  The Local Authority has now proposed that 6 months notice is provided from 1st February 2021 and that the current arrangement ceases at the end of this academic year.
SEND	No evidence was identified of the application of agreed quality standards apart from the annual appraisal and no spot checks on invoices raised for accuracy of charges.	Ensure that measurable quality standards including for income generation to RMBC are introduced and included in future secondment agreements.	Quality standards to be developed within the Service review	Green	31/08/2020	30/07/2021	1	The action relies on a joint review with colleagues at the Rotherham Foundation Trust. They have not had capacity to respond.  The Local Authority has now proposed that 6 months notice is provided from 1st February 2021 and that the current arrangement ceases at the end of this academic year.
SEND	No contract/agreement compliance information to inform any future commissioning of the service.	Compile a performance report to inform future commissioning of the service.	Review to be commenced 1/2/20 and run for 6 months with options paper at the end regarding future of the service.	Green	31/08/2020	30/07/2021	1	The action relies on a joint review with colleagues at the Rotherham Foundation Trust. They have not had capacity to respond.  The Local Authority has now proposed that 6 months notice is provided from 1st February 2021 and that the current arrangement ceases at the end of this academic year.
Fostering and Adoption Allowances	The fostering handbook is not up to date	The fostering handbook should be updated to include the changes to skills payments and birthday/holiday/christmas allowances approved in July 19	The updated Foster Carer Handbook will include an updated section specifically on Skills Level and payment. There will also be a section for payments such as birthdays/Christmas/holiday allowances. The Handbook will be completed by October 2020. This will then be shared with carers and new carers will have a copy. It will be live on Tri-X by December 2020	Green	01/12/2020	12/04/2021	2	Foster care handbook has been updated. The revised skills payments section went to DLT on 7.12.20. Action from DLT to see if this needed to be a cabinet decision Legal and democratic services advised in Jan 2021 this could be an officer led decision.next steps to progress with DCS. Extension requested to ensure that both pathway officer led decision and cabinet are factored in to the new timescale.

F&CS								
Audit Name	Issue	Recommendation	Agreed Action	Priority	Due Date	Deferral Date	Deferral Date changes	Reason for Deferral
Data Security	Windows 2003 Server is still in use within the authority. This operating system is out of support and no longer receives critical and security updates. It was, however, stated by IT management that each affected system is now being reviewed on a case-by-case basis.	The authority should implement a formal upgrade process for all obsolete operating systems and establish a project to complete the upgrade by a specific deadline. Business units should be informed of the project and encouraged to actively engage with IT services in the upgrade process so that it can be appropriately expedited.	A detailed work plan is under way to address all outstanding Windows 2003 Servers on the estate. The importance of this is well understood and support is being sought from the owning departments.	Red	30/09/2017	31/03/2021	7	The planned programme has suffered set-backs in terms of staff availability and involvement of service departments and suppliers. There has been movement in the main areas of Housing and Telephony and these remain a priority, but they continue to call-on scarce resources, further compounded by the work on M365.  Work was expected to be complete by the summer of 2020, however the impact of Covid19 has and will now impact this date. A revised completion date is now expected to be December 2020, subject to resources being able to be released from Covid19 related work.
Data Security	The authority is using obsolete versions of SQL server. SQL Support for SQL server 2005 ceased in April 2016. SQL server 2008 reached End of Life in 2014, and is now on extended support to July 2019.	Obsolete versions of SQL server should be upgraded to a supported version such as SQL server 2012 or SQL server 2016. Urgent consideration should be given to upgrading SQL server 2005 (and anything older), but also start to plan ahead to upgrade SQL server 2008 installations before extended support ceases.	A review of the current status is under way with regards to initiating a programme to address all SQL database instances which are not supportable and to plan a timely upgrade of other versions. The importance of this is well understood and support will be sought from the owning departments.	Red	30/09/2017	31/03/2021	7	This work is linked to that of ID 242 and will be completed at the same time. Covid19 has taken resources off this project and will be delayed until several months after staff can be released from work related to supporting the business during Covid19.  03/12/2020 - There are now only a small number of databases/servers running unsupported versions of SQL. There is a plan for all to be upgraded and/or decommissioned, however, this work has been impacted by responses to Covid-19 both within IT, the Service and/or Supplier side. The work aligns with the other audit action. There is a new plan for completion which takes us to 31st March 2021

Rotherham Opportunities College	Capital Approvals Procedures have not been formal approved.	The Capital Approvals Procedures should be finalised and presented to SLT and Cabinet for formalisation.	The Financial Accounting Team (Capital Element) are working closely with the Assistant Director of Financial Services to finalise the new capital governance documentation, updated financial regulations (to reflect changes to capital); and establish a clear approvals process for all capital expenditure. Initial plans are due to be presented to the Strategic Director Finance and Customer Services before being moved on to SLT and DLTs for wider buy in. Eventually they will need to be presented to Cabinet.	Amber	30/11/2019	30/06/2021	5	<p>The availability of the constitutional working group is prohibiting us from moving forwards with this process though we are pushing for a specific CWG to focus solely on the FPPR's. The FPPR's will be updated at May Council but in the interim that an enhanced capital procedure document will be completed and issued in January 2021</p> <p>Covid -19 response has prevented the finalisation of new capital governance procedures.</p> <p>A draft version of the procedures has been prepared, and the new meeting structure for monitoring capital and managing the approvals process is in place. However the formal approval of the new governance procedures and its distribution across directorates is yet to take place. The next opportunity to update the capital governance into the FPPR's will be May.</p>
GDPR 19/20	Scope to enhance GDPR compliance as evidenced from the ICO checklists. (see Appendix A1).	Compile and implement an action plan for relevant areas of 80-100% compliance with the ICO checklists and report the results to the CIGG.	Review and align with the DSP toolkit and report to the CIGG.	Green	28/02/2021	31/05/2021	1	The 'review and alignment with the DSP toolkit' will be considered at April/May's CIGG and will be part of the DSP compliance work that has just started for our latest submission. The action will then be closed.

R&E								
Audit Name	Issue	Recommendation	Agreed Action	Priority	Due Date	Deferral Date	Deferral Date changes	Reason for Deferral
Rotherham Opportunities College	The Anti-Social Behaviour Policy and Procedure was last updated / reviewed in July 2012.	The Anti-Social Behaviour Policy & Procedure should be reviewed / updated immediately and every 2 years thereafter, in accordance with the Policy.	Identify key stakeholders and engage. (August 2019) Develop Action Plan to manage the Policy review (September 2019) Identify key aspects of the Policy to review within sub-groups (September 2019) Develop updated Policy and sign off through SRP (December 2019) Present to Cabinet for adoption (March 2020)	Green	31/03/2020	30/07/2021	3	Capacity remains limited as a result of the Covid-19 response and in particular the impact on enforcement services and the frequent changes in legislation. The refresh of the Policy is now not likely to conclude until July 2021 in light of the impending election and purdah period.
Asset Management (Property Disposals)	No formal process of notification in place	Formal notification of approved disposals should be sent to the Estates team including fully completed review and appropriate approval documentation.	Formal process currently being trialled, soon to be fully implemented.	Green	01/12/2020	31/03/2021	1	Due to the impacts of Covid- 19 alongside a change in the Management Structure within Asset Management and the recent appointment of a new Estates Manager, it is requested that this action be deferred until the end of the Financial Year (31st March 2021). This deferral will give the opportunity for the Strategic Asset Manager alongside the new Estates Manager to consider the changes in line with the new relationship between the Estates Team and Strategic Asset Management.
Asset Management (Property Disposals)	Current Procedures are out of date	The Estates team disposal procedures require updating to reflect the changes to processes now used.	Recommendation agreed	Green	01/12/2020	31/03/2021	1	Due to the impacts of Covid- 19 alongside a change in the Management Structure within Asset Management and the recent appointment of a new Estates Manager, it is requested that this action be deferred until the end of the Financial Year (31st March 2021). The existing disposal procedures, whilst out of date, are comprehensive and compliant both with the Council's Standing Orders and Financial Regulations. This deferral will give the opportunity for the new Estates Manager to consider the changes in line with the new relationship between the Estates Team and Strategic Asset Management.
Emergency Planning and Business Continuity	The Council has a shortage of available and trained volunteers to sustain a response in an emergency.	Engage with HR to seek to recruit and train volunteers for emergency planning.	Engagement with HR will be addressed as part of planning for concurrent incident capability and serious incident testing.	Red	31/12/2020	31/03/2021	1	<p>This remains an issue, as reported through the joint committee and other forums. There is little capacity to actively seek new volunteers at present, given other pressures and demands of the team, however in light of the Covid 19 context and as part of the planning for managing a concurrent incident, an audit is carried out of staff availability, accessibility etc which is remaining static.</p> <p>Suggest defer item, as not completed to at March 2021, when there could be a project plan in place to seek more response capability</p>
Emergency Planning and Business Continuity	Classification and payment arrangements for volunteers.ning staffing	Identify and evaluate models for the provision of volunteers in emergency situations to increase the level of volunteering.	Payment arrangements will be assessed as part of planning for concurrent incident capability and serious incident testing.	Amber	31/12/2020	31/03/2021	1	Linked to the Volunteer Availability – this hasn't been progressed given other conflicts and resource capacity, suggest deferral
Emergency Planning and Business Continuity	Audit testing identified errors in 3 cases – and in one of these the total levy demanded was understated by £89,388	All CIL Demand Notices issued to date should be checked by another officer to confirm that the square footage (total and any reliefs) used in the calculation agrees to the forms submitted by applicants	Review and check CIL demand notices issued to date (NB £89k example was due to incorrect info submitted by applicant)	Red	31/10/2020	31/03/2021	1	The CIL officer has corrected the examples found during the audit, however to fully comply with this action requires another 350 demand notices to be checked. This is a considerable amount of work. Two support officers are being trained to provide backup on the CIL system and can work through these records. However this will take time due to their normal workload and priorities.