

MAP Progress update – High Priority Recommendations not previously rated as “Green”

Annex C

Audit (report date)	Audit opinion (1)	Recommendations for improvement (priority) (2)	Management action to date	Audit assessment (RAG) (3)
Operation Horizon (May-14)	Some Improvement Needed	A process should be put in place for monthly payment of discounts due with the outstanding balance recovered from Kier MG immediately. (H)	<p>As the Audit report picked up at the time, the agreement of tonnages, and the subsequent discounts, was a fairly lengthy process. The outstanding balance for 2014/15 was paid to SCC, and values for 2015/16 have now been agreed. A payment of £1m has been transferred to SCC for 2015/16 with the final outstanding payment of £500k awaiting agreement of one remaining final account that is currently in dispute - this should be resolved by end of November 2016.</p> <p>Management now have a process whereby they check the discount value bi annually, which provides more time for Kier to submit the final accounts for verification. Management may move this back to a quarterly process as the programme next year is significantly less than in previous years, so officers want the full discount value agreed and transferred to SCC at the end of the 6 month programme of works.</p>	

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 (2) Recommendation priority may be High (H), Medium (M) or Low (L)
 (3) Red/Amber/Green (RAG) status is a high level assessment of progress

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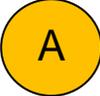
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Property Asset Management System (PAMS) (Nov-14)	Some Improvement Needed	The process for filing paid invoices should be resolved using the payment report from IMT. (H)	The IMT solution for filing invoices was not satisfactory and Procure to Pay Team introduced e-invoicing in April 2016 for all invoices with a purchase order placed via the Supplier Relationship Management (SRM) in SAP. Most PAMS invoices have a purchase order in SRM and hence will follow the e-invoice route. This is also expected to reduce the number of paper invoices kept in offices. As an interim measure, the Project Support Team in Property Services has an alternate process in place. They will locate the required invoice in PAMS and SAP officers external to the service (e.g. auditor) can see and verify the existence of invoices.	
Telecare (May 2015)	Some Improvement Needed	Consider the feasibility of incorporating metrics within the SLA that support qualitative outcomes assessments. In particular the auditor would suggest considering the number and type of sensor activations that resulted in a provider action and the outcome thereof. (H)	Telecare has been brought into a wider, national project, Technology Enabled Care Services (TECS), which will involve partnership working with Clinical Commissioning Groups. New ways of working and delivering TECS should be agreed by April 2017.	

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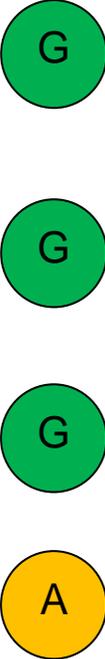
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Children’s Safeguarding Quality Assurance (QA) Process (Jun 2015)	Significant Improvement Needed	All QA reports and related improvement plans should be presented to the Leadership Team to ensure managers take effective action; and, a summary should be provided to the Social Care Services Board. (H)	<p>Quality and performance is reported through senior management teams and includes learning from audits, observations of practice as well as feedback from service users. Quality and progress against practice improvement are regular items at the monthly Improvement Board meeting, where they receive member, officer and partner scrutiny. The quality of practice and the new QA framework will be discussed at the December Social Care Services Board, with the interim AD for Children's and the Head of Quality and Experience attending.</p> <p>The new QA framework will include the requirement for at least an annual update to the Social Care Services Board on the quality of practice and additionally the AD for Children's Services reports on key performance to the Performance and Finance Sub-group of the Social Care Services Board, which takes place bi-monthly - before each Board meeting.</p>	

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Trust Funds Follow-up (August 2015)	Significant Improvement Needed	<p>The Surrey Educational Trust (SET) should register as a charity in accordance with the Charity Commission regulations. It should prepare accounts that meet the requirements of the SORP, and arrange for its accounts to be subject to an independent audit examination. (H)</p> <p>Ensure the Henry Blanchett Bequest fund meets the requirements of the Charity Commission, establish a board and plan for its use. (H)</p> <p>Seek guidance from the Charity Commission on how to apply the Yarrow Lecture Fund balances of £121,526 at March 2015. (H)</p> <p>Increase the levels of knowledge and understanding of managing charities of officers within legal, finance and services. (H)</p>	<p>As a result of a request by the Council Overview Board, a Task & Finish Group was set up to review the council's arrangements in relation to trust funds. On 21 June Cabinet approved their recommendation to transfer the majority of trusts where the council is the sole trustee to the Community Foundation for Surrey. This is progressing well and will transfer 32 trusts. The arrangements for the remaining 12 trusts are being reviewed on an individual basis in consultation with other trustees. This should ensure all remaining trusts are more effectively managed.</p>	

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Information Governance (September 2015)	Some Improvement Needed	Action is required to give IG teams much clearer visibility about which staff (and agency staff) have or have not completed compulsory e-learning and classroom training. The potential for recording IG training data in SAP should be explored with HR and IMT. (H)	E-learning data is available on request from the Learning Development Team however it is not the practice for the IG team to obtain this data to determine which staff have or have not completed training. No monitoring takes place. Classroom training is now underway for ASC and CSF (since July 2016) with Corporate training having started in September 2016. Again no overview from IG team.	
Nursery Education (October 2015)	Significant Improvement Needed	The service should develop an effective rolling programme of audit visits to ensure compliance with funding requirements (H)	A group of senior service managers have been identified as appropriate to carry out audit inspections across the sector. Initial meetings have been held with them and they have agreed to slot some time in their diaries to undertake the audits (1 or 2 a month as a first approach) A set of guidance and procedural notes has been developed, including risk assessment A list of settings for the first audits has been drawn up some visits to settings, made by the Free Early Education team, have taken place but these have been around targeted support/review requirements, rather than specifically for audit purposes although our practice is to gather information during all visits	

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