Fleet Management 2017-18

Executive Summary

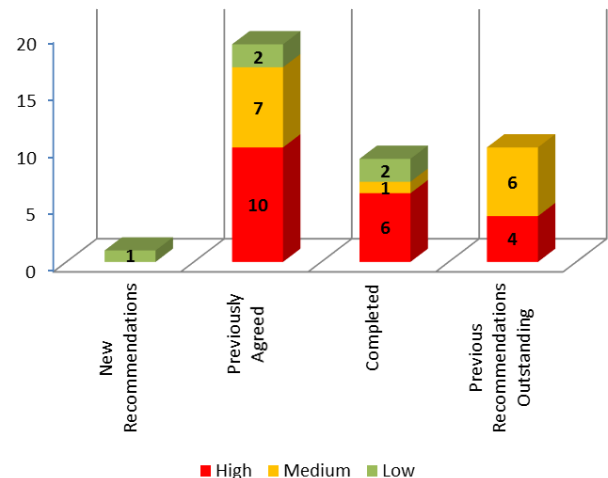| Department: Neighbourhood Services Previous reviews: Investigation Report 4 April 2016 Fleet Maintenance 14 October 2014	Overall Opinion: **Limited Assurance** ⬡	Direction of Travel: **Improving** ⬈
	Scope and Approach: • Disposal of vehicles • Use of Tranman • Review of jobs/works throughout the process including costing and income collection/reconciliation • Procurement	

High Priority Recommendations:

2014/15 R1 The business needs to review its current and future business needs in order that it can draw up a new specification for a fleet management system (details are listed in action plan).

2014/15 R4 All work performed should have a job card in order that the time and parts utilised can be recorded and costs recovered, where appropriate. As far as taxi licencing work is concerned this would aid the recovery process as a report could be run from Tranman and used for recharge purposes.

2014/15 R17 Milometer reading should be accurate and complete for all vehicles to enable driver abuse and excessive mileages to be identified. This is especially important where mileage is a factor in any SLA or contractual arrangement, such as NCH where mileage above 8,000 miles p.a. has to be reviewed as part of the charging arrangements.

2014/15 R18 All work should be correctly classified in order that the correct level of income can be achieved.
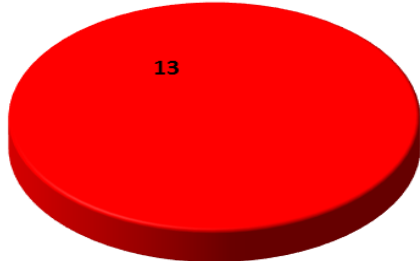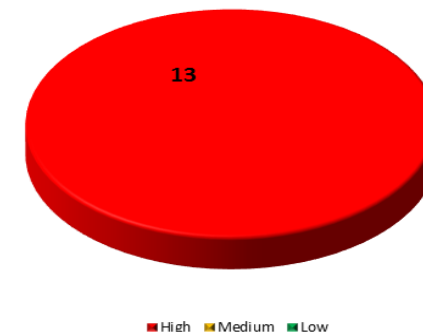

Summary of recommendations by priority

Traffic & Safety Capital Projects 2017-18

Executive Summary
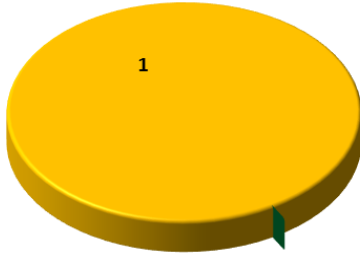
Organisation: Nottingham City Council	Overall opinion:		Direction of Travel:	
Directorate: Development Previous review: This area has not previously been reviewed.	**No Assurance**	⬡	Area has not previously been audited	⬌
	Scope and Approach: The objective of this review is to verify the effectiveness of governance arrangements for the capital projects as a whole and the assurance procedures for initiating, delivering and closing capital projects. It is to ensure that projects are appropriately approved, managed, monitored and reported accordingly.			

High Priority Recommendations:

1. There should be an overall central record that details all projects undertaken by Traffic and Safety.

The approach to project management should be overhauled to include the following:-
2. Capital project management procedures and processes should be developed.
3. Standardisation and transparency of capital estimates should be defined and followed.
4. Projects should be adequately scoped, evaluated on completion and documentation retained.
5. Changes should be justified, standard documents completed and retained.
6. A more effective way of monitoring and reporting of risk management should be established.
7. Reporting requirements and responsibilities should be determined and followed.

8. A process of quality checks should be embedded into the Traffic and Safety project management.
9. Project Managers should receive training on the use of Oracle Project Module. This should enable them to track the expenditures effectively and to act accordingly when required.
10. Project Managers should be aware of the charges made against their codes.
11. Project Managers should be aware of the total spend on their projects. They should take full accountability for the projects managed.
12. Traffic and Safety should develop better ways of audit trail on Oracle to ensure that capital codes can be verified with the revenue codes and to ensure that the total declared cost can be verified with the capital codes. There should be a clear link on Oracle between the capital and revenue codes.
13. An agreed approach across all Finance Teams should be adopted to ensure that capital projects are reported to appropriate Project Managers.

Summary of the recommendations by priority

13

■ High ■ Medium ■ Low
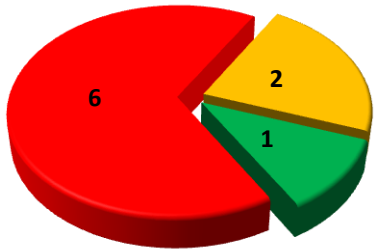
Internal Audit Review of the Casey Report

Executive Summary

Organisation: Nottingham City Council	Overall Opinion:	Direction of Travel:
Directorate: Children & Adults	Significant Assurance	Improving

Previous review:	Scope and Approach: The objective of the review is to identify the effectiveness of the NCC Casey Report Action Plan, assess the controls in place and to provide management with an independent opinion of the effectiveness of the controls.
Whilst a review of this type has not been conducted before, the scope of this review has produced findings over a 2 year period. Those findings, coupled with opinions from experienced contacts in the 5 Schools, Senior NCC Managers and pro-active measures following the findings from school visits, enable an informed view to be given on the direction of travel.	The scope of the review is considering the following aspects of the plan: NCC Children's Integrated Services • Progress; Follow-ups and Next Steps; and Schools Input to the Action Plan; • Notifications of concern, i.e. tracking, responses, reporting; and • Safeguarding measures during the recruitment of staff.

High Priority Recommendations

No high priority recommendations

Summary of the recommendations by priority

1

■ High ■ Medium ■ Low

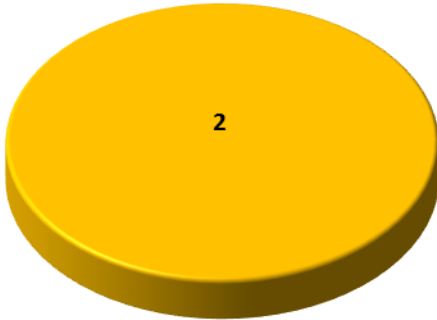# Review of Schools as part of Casey Report – NCC Action Plan

Executive Summary

Organisation: Nottingham City Council Directorate: Children & Adults	Overall Opinion: Significant Assurance	Direction of Travel: Improving
Previous review: Whilst a review of this type has not been conducted before, the scope of this review has produced holistic findings over a 2 year period which, coupled with opinions from experienced contacts in the 5 Schools, the Children & Adults Directorate and pro-active measures following the findings, enable an informed view to be given on the direction of travel.	Scope and Approach: This review forms part of an audit review identifying the effectiveness of the NCC Action Plan relating to the Casey Report, assess the controls in place and to provide management with an independent opinion of the effectiveness of the controls. The scope of the review is considering the following aspects of the plan: NCC Children's Services • Progress; Follow-ups and Next Steps; and Schools • Input to the Action Plan; • Notifications of concern, i.e. tracking, responses, reporting; and • Safeguarding measures during the recruitment of staff.	

High Priority Recommendations

There are 6 high priority recommendations:

1. A robust monitoring system and database of trained Designated Safeguarding Leads (DSLs) needs to be implemented to ensure an inclusive and fully effective DSL network.
2. The arrangements for regulation of DSL certification through Continuous Personal Development needs to be established and outlined to all Head-teachers and existing DSLs.
3. DoE/Ofsted safer recruitment documentation retention requirements/guidance needs to be provided to all schools in the city.
4. A protocol for communication between schools and social care needs to be implemented for each to understand the expectations they can have upon the other.
5. A form of access to Liquid Logic and associated training needs to be provided to schools.
6. The transition into adulthood issues raised by Oak Field School need to be addressed by appropriate NCC Children's and Adults Management.

Summary of the recommendations by priority

- High
- Medium
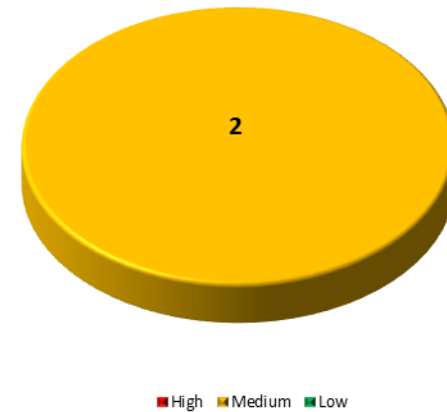- Low

Mobile Telephones

Executive Summary

Department: Strategy and Resources	Overall Opinion:	Direction of Travel:
Previous review: IT Asset Management 2014/15	**Significant Assurance**	This is the first time this has been reviewed separately; however, there is no change in the direction of travel.

	Scope and Approach: This review considered the process of issuing and recalling devices and the means by which calls / usage is monitored and reported.

High Priority Recommendations

There are no high priority recommendations

Summary of the recommendations by priority

2

■ High ■ Medium ■ Low

Follow Up Of Health & Safety 2016/2017

Executive Summary

Organisation: Nottingham City Council	Overall Opinion: **Limited Assurance** ⬡	Direction of Travel: ↗
Directorate: Legal & Democratic		
Previous review: 2016/2017	Scope and Approach: The scope was limited to a review of outstanding recommendations from the 2016/17 report.	

High Priority Recommendations

02. The CSA Team to formally remind Corporate Directors of incidents over 6 months, every 6 months.

05. The CSA Team should remind HR, Managers and Corporate Directors of their responsibility to ensure that their staff have all received the appropriate health and safety training.

08. The CSA Team should make Corporate Directors/Directors aware of any concerns that are highlighted during an audit.

09. An annual report should be prepared on the current status of health and safety across the Council, by the CSA Team.

12. The Head of Parks & Open Spaces should ensure that the risk assessments are brought up to the required standard.

13. The Head of Parks & Open Spaces should ensure that all new starters are adequately trained with comprehensive training records maintained.

14. The Head of Parks & Open Spaces should ensure that exposure time on vibrating equipment should be monitored in accordance with a recommendation from Earlsmere who carry out the departmental HAV and WBV training

Summary of the recommendations by priority

■ High ■ Medium ■ Low

Performance Indicators 2017-18

Executive Summary

Organisation: Nottingham City Council Directorate: Strategy & Resources Previous review: Performance indicators 2015/16	Overall Opinion: Limited Assurance ⬡	Direction of Travel: All previous recommendations have been implemented. However, issues have been identified within the control framework. ⬌
	Scope and Approach: The objective of this review is to assess the performance indicators and management controls in place and to provide management with an independent opinion of the robustness and accuracy of reporting. We selected 5 key themes indicators from a list of 22 provided by the Senior Corporate Performance Specialist.	

High Priority Recommendations

2017/18 R1   Progress against the priorities should be reported in accordance with the Council Plan.

By publishing the data on the Council's website may assist in reducing the number of FOI requests because the data would be readily available.

2017/18 R2   The quarter's performance figures should be approved in Covalent by senior management.

2017/18 R3   Management checks should be undertaken pre and post input to Covalent.

Summary of recommendations by priority