

# Education Children and Families Committee

10.00am, Tuesday 16 April 2024

## Internal Audit Open and Overdue Internal Audit Actions – Performance Dashboard as at 29 January 2024 - referral from the Governance Risk and Best Value Committee

Executive/routine

Executive

Wards

### 1. For Decision/Action

The Governance, Risk and Best Value Committee has referred the relevant items in appendix 2 Internal Audit Open and Overdue Internal Audit Actions - Performance Dashboard as at 29 January 2024 to the Education Children and Families Committee with the following recommendations:

- 1) To refer items 8, 9 and 10 to the Policy and Sustainability Committee and the Education, Children and Families Committee and recommends that the Committees adds this to their Business Bulletin.
- 2) To refer items 11,12, 13, 14 and 15 to the Education, Children and Families Committee for noting.

**Dr Deborah Smart**

Executive Director of Corporate Services

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# Referral Report

## Internal Audit Open and Overdue Internal Audit Actions – Performance Dashboard as at 29 January 2024

### 2. Terms of Referral

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- 2.1 On 20 February 2024, the Governance, Risk and Best Value Committee considered a report on the Internal Audit Open and Overdue Internal Audit Actions – Performance Dashboard as at 29 January 2024.
- 2.2 The Governance, Risk and Best Value Committee agreed:
- 2.2.1 To note the status of open and overdue Internal Audit (IA) actions and key performance indicators as at 29 January 2024.
- 2.2.2 To refer the items in the table at appendix 2 of the report by the Head of Internal Audit to the following committees with the following recommendations:
- Items 1,2 and 3 to Finance and Resources Committee and recommends this becomes a standing item on their Business Bulletin until the end of 2024 to ensure any slippage in progress is addressed;
  - Items 4, 5 and 6 to Policy and Sustainability Committee and recommends that they add this to their Forward Work Plan;
  - Item 7 to Policy and Sustainability Committee and recommends that the Committee adds this to their Business Bulletin;
  - Items 8, 9 and 10 to Policy and Sustainability and Education, Children and Families Committee and recommends that the Committees adds this to their Business Bulletin;
  - Items 11,12, 13, 14 and 15 to Education, Children and Families Committee for noting; and
- 2.2.3 To refer this paper to the Edinburgh Integration Joint Board Audit and Assurance Committee for information in relation to the current Health and Social Care Partnership position.

### 3. Background Reading/ External References

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- 3.1 [Governance, Risk and Best Value Committee – 20 February 2024 – Webcast](#)

## 4. Appendices

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Appendix 1 – Overdue audit actions as at 29 January 2024

## Overdue audit actions as at 29 January 2024

Ref:	Directorate	Audit Code	Audit Name link to report and date	% Progress	Title	Priority Rating	Agreed Management Action	Status	Expected Date	Revised Date	Days Overdue	Status Update	Business Lead
8	Corporate Services	CW2101	<a href="#">Complaints Management July 2022</a>	75%	2.1 Complaints management and oversight – Corporate Services	Medium Priority	Following completion of the review by the Strategic Complaints function (recommendation 1.1), Corporate Services will establish a suitable Directorate level oversight and assurance process to support compliance with the Corporate Complaints policy, ensuring that our current practice for monitoring performance is suitably enhanced so as to provide assurance that all Corporate Services complaints are being managed appropriately.	In Progress	31/12/2023	29/02/2024	26	Action is progressing, date extended to ensure sufficient time to provide evidence to Internal Audit of the process operating in practice.	Deborah Smart Nick Smith Gavin King
9	Children, Education and Justice Services				2.1c Complaints management and oversight – Children, Education and Justice Services	Medium Priority	Complaints for schools are reviewed and discussed by senior management on a weekly basis. A summary report will be provided to Education and Children's Services senior management team (SMT) on a regular basis to support directorate oversight processes. In addition, to ensure adequate oversight at a directorate level, Education and Children's Services SMT will review complaints on a monthly basis. This will include reviewing the number, nature, process compliance as well as lessons learnt, monitoring of any action plans and change management. This will be reviewed as part of the wider quality and assurance and performance management session for the directorate and in line with the review by the Strategic Complaints function.	In Progress	31/12/2023	31/03/2024	26	Action is progressing, date extended to ensure sufficient time to provide evidence to Internal Audit of the process operating in practice.	Amanda Hatton Gillian Tracey
10	Children, Education and Justice Services	CW2202	<a href="#">Application technology controls - SEEMIS November 2022</a>	67%	1.1 SEEMIS Records Retention and Disposal	Medium Priority	Record retention periods for pupil data will be reviewed and agreed with IGU. Following that, the Council's Records Retention Schedule and Quick Guide for Managing Pupil Information will be updated. A schedule will be created to facilitate a timely, complete disposal of pupil data in line with agreed record retention periods.	In Progress	31/05/2023	31/01/2024	240	Revised completion date has been set to 31/01/24 per update that Education colleagues confirm they are finalising the new guidance and ensuring the link to the council retention schedules are accurate.	Amanda Hatton Lorna French Gillian Tracey
11	Health and Social Care Partnership / Children, Education and Justice Services	HSC2201	<a href="#">Transitions for young adults with a disability from children's services to Adult Social Care August 2023</a>	0%	1.1 Operational procedures and guidance	Medium Priority	Operational procedure is currently being reviewed and updated. Short life working group has been established and procedure will be reviewed annually. Will be communicated to all staff and on the ORB when updated and approved.	In Progress	31/10/2023	30/04/2024	87	The management actions arising from this audit are being progressed by lead officers in each of the teams and will be delivered in line with the revised date.	Amanda Hatton Pat Togher Kathy Henwood
12				3.1 - Tracker for future service/improvement reviews	Medium Priority	Tracker to be drawn up and identify who should lead on this which links with minutes of the bi-monthly meetings. Regular updates will be provided to Operations Managers of both directorates.	In Progress	31/07/2023	30/04/2024	179	Amanda Hatton Pat Togher Kathy Henwood		
13				3.2 - Transition journey experience as part of successful transition review	Medium Priority	Skills Development Scotland check in with young adults regarding positive destinations. Young Adults with Disability team currently conduct a review after 6-12 weeks following successful transition. As part of this review a question will be asked regarding the transition journey experience. This will be formally captured and discussed with Children affected by Disability team. There are no resources currently within Children's Services to conduct a separate follow-up interview.	In Progress	31/08/2023	30/04/2024	148	Amanda Hatton Pat Togher Kathy Henwood		
14				3.3 - Transitions performance management framework	Medium Priority	Joint KPI's to be developed, in addition to a joint file audit process. Utilise information already gathered but also need to be aware of limitations of current client record system and resources. Further discussion with QA Team to discuss how best to progress and record. Also Edinburgh is participating in the Principles into Practice being trialled in 10 local authority areas over 2 years, with support from ARC Scotland's Scottish Transitions Forum and the Scottish Government. By the end of the trial there will be a fully developed and tested framework, and evaluation resources, that will be freely available to every local authority area in Scotland. We will be using this when it's developed and this can be included into our performance management. Arrange to contact Information Governance team regarding sharing of data and consider if a Data Impact Assessment is needed. Check SLA with Business Support regarding accessing data from client records system, if possible.	In Progress	31/10/2023	30/04/2024	87	Amanda Hatton Pat Togher Kathy Henwood		
15				4.1 - Improved process to maintain cross-departmental planning document	Low Priority	At the moment, the data cannot be extracted from the client index system, so has to be done manually which is time consuming for officers. Workers will link with transitions development officer/senior schools manager to cross reference the planning document with lists from SEEMIS. The procedure as per recommendation 1.1, will be updated to reflect the reconciliation process.	In Progress	31/10/2023	30/04/2024	87	Amanda Hatton Pat Togher Kathy Henwood		