

### Audit Plan 2015/16

Safeguarding 2015/16							
Final report issued November 2015							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
01	We recommend that the next review be approved by Leadership Team and Members.	Medium	<p>Agreed, will take next review to Leadership Team and Cabinet.</p> <p>Position – February 2016 Leadership Team report re - scheduled for March 2016</p> <p>Position – June 2016 Due to recent structure changes, a report to CABINET to be moved till the Autumn to allow time to have a review of Safeguarding roles and responsibilities. The current structure remains and CSE has been included in the policy and procedures.</p> <p>Position – September 2016 LT report scheduled for October</p> <p><b>Position – November 2016</b> <b>Due to changes in service provision e.g. recent cessation of direct provision of Play Services, it has been agreed to conduct a full and comprehensive review of safeguarding roles, procedures, policy and resources between April – July 2017. In the interim the Section Head for Culture and Play will provide the lead, conduct a self-assessment and make any relevant recommendations to LT for the review team</b></p>	Culture and Play Section Head	31 January 2016 (Leadership Team)	✗	<p>31 March 2016</p> <p>31 October 2016</p> <p><b>31 July 2017</b></p>

**Safeguarding 2015/16**

Final report issued November 2015

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✖ or ✓	Revised Deadline
	We recommend that the policy and procedures be reviewed and amended to specifically reflect CSE.		<p><b>to team to consider.</b></p> <p>Agreed.</p> <p>Position – February 2016 Cabinet report re- scheduled for June or July 2016.</p> <p>Position – June 2016 Due to recent structure changes, a report to CABINET to be moved till the Autumn to allow time to have a review of Safeguarding roles and responsibilities. The current structure remains and CSE has been included in the policy and procedures.</p> <p>Position – September 2016 After LT report in October a decision to be taken by LT if a Cabinet report is required. It may be a PFH report.</p> <p><b>Position – November 2016</b> <b>Due to changes in service provision e.g. cessation of direct provision of Play Services, it has been agreed to conduct a full and comprehensive review of safeguarding roles, procedures, policy and resources between April – July 2017. In the interim the Section Head for Culture and Play will provide the lead, conduct a self-assessment and make any relevant recommendations to LT for the review team to team to consider.</b></p>		31 March 2016 (Cabinet)	✖	<p>31 July 2016</p> <p>31 October 2016</p> <p><b>31 July 2017</b></p>

# WBC Internal Audit Recommendations Follow Up – November 2016

# APPENDIX C

Safeguarding 2015/16							
Final report issued November 2015							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
05	We recommend that the date of the next scheduled review be indicated within the Convictions Policy.	Medium	<p>The policy will be reviewed no later than three years from last review. The document will be amended in line with the CSE review and then taken through the Licensing Committee.</p> <p>Position – February 2016 Policy currently under review. Due for consultation March 2016 and committee approval June 2016</p> <p>Position – June 2016 Policy currently in consultation stage. Next Licensing committee is September 2016 where it will be submitted for consideration.</p> <p>Position – September 2016 Consultation closed and being considered at Licensing Committee at 15/9/2016. Next review date included.</p> <p><b>Position – November 2016 New Policy passed, Sept 2016, review date included.</b></p>	Environmental Health and Licensing Section Head	31 March 2016	✓	30 June 2016  30 Sept 2016
	We recommend that the Convictions policy be reviewed to include a specific reference to CSE and indicators / patterns, at present there is an ability to consider information wider than just convictions but this needs to be explicit and clear.		<p>To be developed, consulted and approved by Licensing Committee.</p> <p>Position – February 2016 Policy currently under review. Due for consultation March 2016 and committee approval June 2016</p> <p>Position – June 2016 Policy currently in consultation stage. Next Licensing committee is September 2016 where it will be submitted for consideration.</p>		31 March 2016	✓	30 June 2016  30 Sept 2016

# WBC Internal Audit Recommendations Follow Up – November 2016

# APPENDIX C

Safeguarding 2015/16							
Final report issued November 2015							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
	We recommend that the Enforcement policy be reviewed to include patterns of behaviour/reports alongside convictions. This will include trends of complaints and concerns for particular operators.		<p>To be developed, consulted and approved by Licensing Committee.</p> <p>Position – September 2016 Consultation closed and being considered at Licensing Committee at 15/9/2016. Includes reference to considering intelligence as well as actual convictions.</p> <p><b>Position – November 2016 New Policy in place, approved at September 2016 committee. Includes requirements of the recommendation.</b></p> <p>Position – February 2016 Policy under review, believed that the convictions Policy will enable this and the enforcement policy does not need amendment. Conclusion will be made by March 2016.</p> <p>Position – June 2016 Policy currently in consultation stage. Next Licensing committee is September 2016 where it will be submitted for consideration.</p> <p>Position – September 2016 Consultation closed and being considered at Licensing Committee at 15/9/2016. Includes reference to considering behaviour/trends of complaints as well as actual convictions.</p> <p><b>Position – November 2016</b></p>		31 March 2016	✓	<p>30 June 2016</p> <p>30 Sept 2016</p>

# WBC Internal Audit Recommendations Follow Up – November 2016

# APPENDIX C

Safeguarding 2015/16							
Final report issued November 2015							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
			<b>New Policy approved at September Committee that includes recommendation requirements.</b>				
07	We recommend that documentation be reviewed to include a specific reference to CSE and to provide more substantial guidance around what is considered to be serious by the organisation.	Medium	<p>Agreed.</p> <p>Position – February 2016 As 05 above.</p> <p>Position – June 2016 Policy currently in consultation stage. Next Licensing committee is September 2016 where it will be submitted for consideration.</p> <p>Position – September 2016 Consultation closed and two relevant policies being considered at Licensing Committee at 15/9/2016. Convictions Policy far more explicit and much greater clarity on offences and organisations approach.</p> <p><b>Position – November 2016 New Policies approved at September committee and in force.</b></p>	Environmental Health and Licensing Section Head	31 March 2016	✓	<p>30 June 2016</p> <p>30 Sept 2016</p>
08	We recommend that the Council suggest greater scrutiny involvement to examine the organisations position in relation to safeguarding responsibilities.	Merits Attention	<p>Agreed.</p> <p>Position – February 2016 Not yet due</p> <p>Position – June 2016 Not yet due.</p> <p>Position – September 2016 Scrutiny scheduled for January 2017. Scoping meeting scheduled for October with Chair.</p>	Committee and Scrutiny Officer	30 June 2016	x	31 January 2017

Safeguarding 2015/16							
Final report issued November 2015							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✖ or ✓	Revised Deadline
			Scrutiny officer engaged and involved.  <b>Position – November 2016</b> <b>Overview and Scrutiny Committee's agenda for 19 January 2017 will include an item about 'Safeguarding'.</b>				
09	We recommend that further discussions regarding this issue are raised through the police, obtaining clarity to ensure consistency around police notifiable occupations. This is an issue that is being discussed at a national level due to guidance issued by the National Police Chiefs' Council.	Medium	Agreed.  Position – February 2016 Discussions with the Police Community Safety Unit who are leading discussions across the county to improve communication underway. Introduction of a new system to check applicants history in place, protocols of use of this new procedure in development jointly with 3RDC. No current issues with notifications but any will be raised and followed up.  Position – June 2016 Local arrangement for intelligence checking with the Police fully in place and working well, this is mitigating risks surrounding formal notifications to some degree. Formal notification and disclosure through the County Police unit still unresolved. Information received that clarifies the Police's position but remains unsatisfactory from WBC perspective. Request for further consideration sent to County unit and support of Watford Chief Inspector secured to champion this matter.  Position – September 2016 Ongoing discussions. Processes continue to work well at a local level but examples at a county level continue to be found of non-	Environmental Health and Licensing Section Head	31 January 2016	✖	31 March 2016  30 November 2016  <b>1 April 2017</b>

# WBC Internal Audit Recommendations Follow Up – November 2016

## APPENDIX C

Safeguarding 2015/16							
Final report issued November 2015							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
			<p>notification.</p> <p><b>Position – November 2016</b>  <b>As September 2016. Issues being raised cross county in respect of Police notifications. To be raised County wide. Local processes continue to work effectively.</b></p>				