

High Importance Recommendations

<u>Audit Title (Director)</u>	<u>Summary of Finding and Recommendation</u>	<u>Management Response</u>	<u>Action Date (by end of)</u>	<u>Confirmed Implemented</u>
Reported May 2016				
Learning Disability Transitions (C&FS and A&C)	<p>The Director of Finance requested an audit of the processes undertaken by the C&FS and A&C departments to identify the costs of supporting children with disabilities or special educational needs, and whether the information was effectively transitioned when the children reach the age of 18, to enable accurate forecasting in future budgets. In particular, was a ‘spike’ in the forecast in 2017 valid? The audit found: -</p> <ol style="list-style-type: none"> 1. Communication and co-operation between the respective teams in the two departments was disjointed 2. The ‘spike’ hadn’t been sufficiently investigated which could materially affect forecasts 3. There wasn’t any indication whether a case that transitioned from Children’s to Adults would incur high, medium or low care costs. <p>Recommended: -</p> <p>(Assigned to both the Directors’ of C&FS and A&C)</p> <ol style="list-style-type: none"> 1. Improved communication and co-ordination 2. Full investigation into the ‘spike’ and re-calculation of forecasts <p>(Assigned solely to the Director of A&C)</p> <ol style="list-style-type: none"> 3. Improvements in forecasting future care costs. 	<p>Agreed</p> <p>5/16 – A detailed update from A&C informed: -</p> <ol style="list-style-type: none"> 1. Improved, with regular review meetings. A&C staff can access C&FS system. 2. Additional capacity has been sourced within A&C. All young people on the transition spreadsheet will be allocated and assessed by transitions staff. 3. Developed a revised transitions model which allocates costs as young people transfer to A&C. 	<p>1&2 – April 2016</p> <p>3 – September 2016.</p> <p>Review position in June 2016</p>	

Reported September 2015				
SEN Transport risk assessments (E&T)	<p>The Department requested an audit of the risk assessment processes applied to transporting children with SEN. The audit found a range of issues around: -</p> <ol style="list-style-type: none"> 1. risk assessments including a high proportion of a sample that hadn't been completed, inconsistent processes and reactive follow up reviews 2. not always linking travel care plans (key points on how to manage the identified risks) to transport eligibility assessment forms 3. inadequate training records for transport escorts. <p>Recommended: -</p> <ol style="list-style-type: none"> 1. completing risk assessments within an agreed time limit 2. documenting processes for undertaking risk assessments and the completion of associated information to ensure consistency 3. maintaining improved training records with regular reviews 	<p>Agreed</p> <p>5/16 - A detailed update from E&T informed: -</p> <ol style="list-style-type: none"> 1. A review of resource required to complete RAs has revealed increased demand in volume, complexity of requests and the rigour required. Current assessment for the completion of all RAs is 12 months. 2. A project has started with extra risk assessor resource identified from September 2016. A significant number of improvements have occurred or are in train. 3. Improvements are in train. 	<p>Originally March 2016</p> <p>Extend to September 2016</p>	

Reported June 2015				
Resource Allocation System (E&T)	<p>An audit of the new Resource Allocation System (vehicles and plant) for highways work revealed that standing data was incomplete, there were delays in recording allocations and other key information and there was not any management information.</p> <p>Recommended: -</p> <ol style="list-style-type: none"> 1. Processes and training should be reviewed and revised 2. Information should be produced on a frequent basis and reviewed by management 	<p>Agreed</p> <p>5/16 - A detailed update from E&T informed that a Plant Technical Administrator has been appointed. This will be followed by Operational Support staff. These are seen as key in simplifying processes (essentially reducing the number of data owners and inputters). Posts should all be filled by June 2016 with development work on the processes following shortly after.</p>	<p>Originally July 2015</p> <p>Extend to Oct 2015; Jan 2016</p> <p>Review position in June 2016 – but likelihood improvements won't be finalised until September.</p>	

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