

High Importance Recommendations at 11th November 2016

<u>Audit Title</u> <u>(Director)</u>	<u>Summary of Finding(s) and Recommendation(s)</u>	<u>Management Response</u>	<u>Action Date</u> <u>(by end of)</u>	<u>Confirmed Implemented</u>
Reported to CGC 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. Could materially affect forecasts 3. There wasn’t any indication whether a case that transitioned from Children’s to Adults would incur high/medium/low care costs. <p>Recommended: - (Assigned to 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. Improve forecasting future care costs. 	<p>Agreed</p> <p>5/16 – A detailed update from A&C was received from the Director informed: -</p> <p>6/16 – re #1 - assurance provided by Head of Service on meetings held and access to systems.</p> <p>9/16 re #2 & 3 – further exploration of caseload continues in order to improve the robustness of the forecast</p> <p>11/16 #2 was investigated and it was found to be the ‘spike’ had been reported at a position in time and circumstances had then changed. #3 model developed and implemented – specific testing planned..</p>	<p>1&2 – April 2016</p> <p>3 – September 2016.</p> <p>Review position in June 2016</p> <p>Extend 2&3 to end of October</p> <p>Extend #3 to December 2016</p>	<p>1. Yes</p> <p>2. Yes</p>

Reported to CGC September 2015	Summary of Finding(s) and Recommendation(s)	Management Response	Action Date (by end of)	Confirmed Implemented
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 & 8/16 – detailed assurances on progress received from E&T.</p> <p>11/16 – internal audit testing undertaken and E&T further informed that: -</p> <p>Recs 1&2 – Approximately 900 (53% of SEN population) of new and suitable existing assessments have been undertaken with a Project Initiation Document (PID) currently in development to address the backlog and areas to move forward now staffing resource increased and assessment processes well developed. New assessment requirement identified for 1,100 social care users.</p> <p>Rec 3 – A record is maintained to identify the training required/ completed for high needs service users but further work is needed to record any general training required/ undertaken. Staffing resource levels being reviewed in this area.</p>	<p>Originally March 2016</p> <p>Extended to: - September 2016 October 2016</p> <p>Extend to January 2018 to accommodate additional 1,100 additional SC assessments.</p> <p>IA to review position in April 2017.</p>	