

High Importance Recommendations at 12 September 2017

<u>Audit Title (Director)</u>	<u>Summary of Finding(s) and Recommendation(s)</u>	<u>Management Response</u>	<u>Action Date (by end of)</u>	<u>Confirmed Implemented</u>
Direct Payments (A&C)	<p>Signed copies of Direct Payment (DP) Card Agreements could not be located for two service users, from a sample of seven that had transferred from cash payments to direct payment cards. The absence of an up to date agreement could cause the Council problems if any misuse, other breaches or disputes arise.</p> <p>Recommended that an up-to-date signed DP card agreement should be obtained for all service users who have transferred from cash payments to DP Cards.</p>	<p>Agreed</p> <p>As reviews of Support Plans take place, DP Agreements (DPA) are being refreshed. If the old style DPA is in place or is missing it will be addressed.</p> <p>DP recipients in the original cohort who migrated on to a card at the start of the project will be addressed as part of the DP review project.</p> <p>Going forward steps have been taken to ensure that when a card is ordered a DP Agreement must be in place.</p> <p>Additional capacity is being recruited to ensure delivery and an action plan has been developed to address identified risks and issues. In addition, due to the significant growth (both in activity and financial commitment) in this area the Department has agreed to undertake a full system and process review to provide recommendations for the medium and longer term.</p> <p>Internal Audit to follow up in October.</p>	June 2018	
Reported May 17				

<p>Mandatory Training (C&amp;FS)</p>	<p>Based on limited responses to a set of specific questions put to new starters, managers and other staff by the auditor, it was concluded that staff were not clear on the mandatory training required and there is no formal method of communicating what is required to staff and managers.</p> <p>Recommended further discussion should be pursued with a view to developing software to enable a clear picture to be shown.</p>	<p>Agreed</p> <p><b>Work continues on improving data accuracy to enable a clear picture of requirements.</b></p> <p><b>However, the Department is much more aware of the issues associated with mandatory staff training and is encouraging/chasing staff to complete the training.</b></p> <p><b>The most recent, Data Protection course currently has an 87% completion rate.</b></p>	<p>June 2017</p> <p><b>Extend to October 2017</b></p>	
--------------------------------------	---	---	---	--

Reported Sept 15				
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> <ul style="list-style-type: none"> <li>-</li> <li>1. risk assessments including a high proportion of a sample that hadn't been completed, inconsistent processes and reactive follow up reviews</li> <li>2. not always linking travel care plans (key points on how to manage the identified risks) to transport eligibility assessment forms</li> <li>3. inadequate training records for transport escorts.</li> </ul> <p>Recommendations overleaf: - Recommended: -</p> <ul style="list-style-type: none"> <li>1. completing risk assessments within an agreed time limit</li> <li>2. documenting processes for undertaking risk assessments and the completion of associated information to ensure consistency</li> <li>3. maintaining improved training records with regular reviews</li> </ul>	<p><b>Agreed - Assurances on progress received from E&amp;T throughout 2016 and February and May 2017.</b></p> <p><b>Recs 1&amp;2 – A backlog of 391 outstanding risk assessments (RA's) was identified as at 11 September 2017, in addition to an ongoing current workload of around 60 RA's per month for new pupils coming into the system and reactive issues (incidents requiring updated RA's). Total required RA's for 2017/18 academic year as of 1 September 2017 is 1,688 indicating 77% have been completed to date. Additional resource (including niche agency staff) has been deployed since early September 2017 to complete the RAs on the backlog. A further resource of 0.6 FTE will be in place from October for 5 months. The backlog and business as usual will be completed by the end of January 2018.</b></p> <p><b>Rec 3 – A Training Co-ordinator and Assessment Officer has been recruited and started in late June to review and improve training arrangements and processes and also to liaise with operators around meeting training requirements on contracts identified by new/reviewed risk assessments. A number of training events have been</b></p>	<p>Originally March 2016</p> <p>Extended to: - September 2016; October 2016; January 2018;</p> <p><b>Risk added to Corporate Risk Register September 2017. Further audit testing in October 2017</b></p>	

		<b>held and a rolling training programme is being developed understanding training demand identified. Training continues to be sourced and delivered as required, when identified through the risk assessment process, for high need medical administration.</b>		
--	--	--	--	--