High Importance Recommendations at 6 November 2017

Audit Title (Director)	Summary of Finding(s) and Recommendation(s)	Management Response	Action Date (by end of)	Confirmed Implemented
Reported September 2017				
Direct Payments (A&C)	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. 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.	Agreed. **An auditor reviewed the revised arrangements in October.** **The Department has undertaken work to identify cases where DP Agreements are either not held or are stored incorrectly. A new DP Agreement providing greater clarity on responsibilities is imminent. DP recipients will be contacted to sign and return the new agreement. A&C is confident that implementation date of June 2018 is achievable.** **Controls have been established to ensure that where a DP card is requested, that signed agreements are held, where they're not held the request is rejected. Information on cases rejected is reported on a monthly basis to the Departmental Transformation Delivery Board.** **An audit of the process to monitor and act on 'alerts' to a service users DP spend and balances is underway.**	June 2018	

Reported May 17				
Mandatory Training (C&FS)	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. Recommended further discussion should be pursued with a view to developing software to enable a clear picture to be shown.	Agreed. **A reporting system is now operational which provides the ratio of completion to non-completion of mandatory training, broken down by team. It will also provide a list of all staff that have not completed mandatory training broken down by course, department and team.** **The Department is aware of some data quality issues within the reports that are being addressed. Following this, issues with specific teams regarding non-compliance will be addressed.**	June 2017 Extend to October 2017	**Yes**

Reported Sept 15				
SEN Transport risk assessments (E&T)	The Department requested an audit of the risk assessment processes applied to transporting children with SEN. The audit found a range of issues around: - 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. Recommended: - 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	Agreed - Assurances on progress received from E&T throughout 2016 and February and May 2017. **An auditor conducted more detailed testing in October. Recommendations progress:-** **1. Still on target to clear backlog by end of January 2018. At 23 October there were 296 remaining (705 completed since January 2017). Dedicated resources now recruited primarily to clear backlog** **2. Guidelines have been issued. Pick list and risk matrix available where necessary. Standard forms completed and reviewed by line manager** **3. Training Co-ordinator is in post. New training providers with quicker turnaround of assessments. Training records now state date of training and review date.** **Closure audit planned for January**	Originally March 2016 Extended to: - September 2016; October 2016; January 2018; Risk added to Corporate Risk Register September 2017.	

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