

High Importance Recommendations at 12 January 2018

<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>
Reported January 2018				
Office Safes (A&C)	<p>An investigation into the potential misuse of a service user’s funds identified that the employee under suspicion had been able to deposit a large sum of cash into an area office safe, with no evidence of questions asked nor checks undertaken and no record of the deposit. The safe also contained cash and other valuable items held on behalf of service users which are not covered by the LCC insurance policy. Visits to other sites revealed similar with improvements required for controlling access and recording contents.</p> <p>The Department had previously identified gaps in its management of resident’s personal property, including that in safes and had instigated a multi-function working group to review and improve practice and put into place a policy. Recommended that finalisation of the policy should be expedited and rolled out to Area Offices regarding safes and contents. Unannounced follow up audit visits will take place.</p>	Agreed	March 2018	

Reported September 2017				
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>A plan has been devised to ensure that where any are missing, replacement DP Card Agreements are sent out in cohorts to direct payment holders or their nominated or authorised person. The first cohort was sent out at the start of January and the Department remains confident that the exercise will be completed by the end of June 2018.</p> <p>An audit of the processes to monitor and act on ‘alerts’ and other key reports (e.g. no debit activity for 90 days; negatives; non-payment of the service-users contribution) is almost complete.</p>	June 2018	

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"> - 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> <ul 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 - Assurances on progress received from E&T throughout 2016 and February and May 2017. An auditor conducted more testing in October and January.</p> <ul style="list-style-type: none"> 1. By 12th January, considerable effort had resulted in the SEN backlog almost being completely cleared and the position against assessing reactive and new cases is currently 'comfortable'. However, there is some long term sickness at a time when the peak workload of new SEN intake will start from February. Also, adult social care cases (lower risk and reduced in number) will need some resource. 2. Complete 3. Complete 	<p>Originally March 2016</p> <p>Extended to: - September 2016; October 2016; January 2018; March 2018</p> <p>Risk added to Corporate Risk Register September 2017.</p> <p>Further check against #1 at the end of March 2018 in time for reporting to Committee in April 2018</p>	

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