

High Importance Recommendations at 8th January 2021

<u>Audit Title (Director)</u>	<u>Summary of Finding(s) and Recommendation(s)</u>	<u>Management Response</u>	<u>Action Date (by end of) & extensions</u>	<u>Confirmed Implemented</u>
Reported November 2020				
Health Recharges for Hospital Discharges and Avoidances (Corporate Resources; A&C)	The department had reviewed all care packages (CPLI lines) during an initial six-week period (19th March to 4th May) where those CPLIs were not initially indicated as being Covid-specific, in order to identify any that should have been, and therefore rechargeable to the respective health authorities (CCGs). The exercise identified a reasonably high proportion of CPLIs subsequently being amended to be Covid-19 specific and therefore brought into the health recharge process. However, at the time of audit, a relatively high number of relevant CPLIs (933) had yet to be rechecked within the care pathway. Recommended that steps should be taken to expedite 100% returns as a priority.	Agreed.	December 2020	Yes
Direct Payments (Personal Budgets)	<p>A review of the tableau dashboard of service users receiving an annual review revealed that as of 1st March 2020 there were 324 service users awaiting an annual review. Of these 35 were overdue by more than 12 months and 99 by between 6 and 12 months.</p> <p>Recommended annual reviews of all service users' care and support plans to establish whether client needs had changed, and the level of direct payment was appropriate to meet those needs.</p> <p>A review of Direct Payment Agreements found that where</p>	<p>Agreed. December 2020 was the original date, but this work has stalled as the focus has been on returning people to services that are most at risk, this is RAG rated by the provider and practitioners.</p> <p>Agreed. An outline plan to tackle the DP guidance has been agreed with inputs from lead</p>	<p>December 2020</p> <p>Extend to May 2021</p> <p>December 2020</p> <p>Extend to May 2021</p>	

	<p>an arrangement was in place to pay a close member of family for providing care services, this was not recorded in the care and support plan, nor was approval obtained from the Head of Service as is required according to direct payments guidance. In addition, evidence was seen of expenditure that could potentially be considered to be contentious.</p> <p>It was recommended that the policy regarding paying close family members and carers living in the same house for providing care services should be adhered to. Where family members are used for providing care services, this should be recorded in the care and support plan, and contentious expenditure should be authorised by the Head of Service.</p> <p>The feasibility of a retrospective review (and authorisation at Head of Service level) of service users making payments to family members should be considered. If this is not feasible, it should be covered at the point of next annual review.</p>	<p>practitioners and subject matter experts. It is a large piece of work and realistically the completion date for the new guidance to be reviewed, rewritten, consulted upon with staff and then briefed/trained out is not going to be the end of February. A new completion date is recommended as May 2021. This is more feasible as work has already commenced and is updated with guidance regarding COVID.</p>		
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Reported July 2020				
ICT Externally Hosted Contracts (Consolidated risk)	<p>Three HI recommendations were made: -</p> <ol style="list-style-type: none"> 1. Confirm the circumstances of the contract before deleting records 2. Conduct an audit to determine whether valid contract are in place 3. Decide whether original (signed) contracts should be held centrally. 	<p>All agreed (#1 is implemented)</p> <p>Delayed due to Covid-19 procurement work</p>	<p>September 2020 December 2020</p> <p>Extend to March 2021</p>	
Rights of audit in procurement contracts (Consolidated risk)	<p>Two HI recommendations were made: -</p> <ol style="list-style-type: none"> 1. Include rights of audit clauses within all corporate guidance and any subsequent toolkits/associated training 2. Consider requesting a variation to retrospectively include rights to audit clauses for any relevant contracts (balancing cost v benefit) 	<p>Both agreed but #2 will focus on key suppliers or highest risk contracts rather than all the contracts</p> <p>Delayed due to Covid-19 procurement work</p>	<p>September 2020 December 2020</p> <p>Extend to March 2021</p>	
Gifts and Hospitality Registers (Consolidated risk)	<p>Two HI recommendations were made: -</p> <ol style="list-style-type: none"> 1. Strengthen reminders for employees to complete the Counter Fraud e: learning module & consider escalation procedures for non-compliance. 2. Improve manager knowledge of gifts & hospitality through Managers Digest or specific forums to increase use 	<p>Both agreed</p> <p>Delayed due to Covid-19 procurement work</p>	<p>September 2020 December 2020</p> <p>Extend to March 2021</p>	

Reported June 2020				
Records management (Consolidated Risk)	<p>Internal Audit randomly chose three sections within County Hall to undertake floor walks. The exercise identified some confidential and sensitive records that were not secured.</p> <p>Recommended</p> <ol style="list-style-type: none"> 1. Physical records containing personal and sensitive information should be held securely. 2. Ad hoc spot checks should be independently undertaken by the Information Governance Team or Internal Audit. 	<p>Agreed</p> <p>#2 delayed due to the third lockdown</p>	<p>Immediate</p> <p>September 2020 December 2020</p> <p>Extend to March 2021</p>	<ol style="list-style-type: none"> 1. Yes 2. Tba