

Appendix 2 – Recommendations Over 12 Months Overdue

Audit Title	Due Date	Recommendation	Management Response	Update/Opinion	Ownership and Actions
Mental Health Casework Compliance 5 April 2019	30 Sept 2019	The Director of Adult Services should ensure that a formal process is agreed and established with the Trust for a monthly reconciliation between safeguarding referrals sent and received. Trust and Council staff should work together to ensure that the new case management systems in each organisation – Paris and Liquid Logic, respectively – consistently record outcomes of safeguarding referrals, so that these can more easily be transferred across systems to ensure completeness of Council records and ability to monitor outcomes.	It is accepted that safeguarding outcomes need to be recorded in MiCare (Liquid Logic in future). Quality and Performance group will consider options to ensure this can be done efficiently and effectively.	<p>A system for reconciling safeguarding referrals and outcomes between the Council and the Trust is the final recommendation from this report to be addressed. Whilst overall the risks in this area have reduced as a result of the evident improvement in governance and controls in all other areas from the audit, this one recommendation remains outstanding.</p> <p>This specific recommendation has been impacted by the Council's move to Liquid Logic and the Trust's move to Paris, along with a change in priorities and working arrangements because of Covid. This has impacted on both organisations' abilities to prioritise this work. Internal Audit advised that work being planned to develop processes between Liquid Logic and Paris, however this is still likely to take time.</p> <p>Internal Audit Opinion: Not Implemented</p>	<p>Director: Bernadette Enright, Executive Director of Adult Social Services</p> <p>Executive Member: Councillor Midgley</p> <p>Status: 25 months overdue</p> <p>Action: To follow up by December 2021</p>
Transitions to Adult Services 15 Feb 2018	30 June 2018	To support day to day performance management the Interim Deputy Director of Adults Social Services should introduce a suite of Key Performance Indicators. This should be defined once the strategy and vision in place.	Key performance Indicators (KPIs) to be introduced.	<p>Qualitative measures of success have been developed based on the transitions strategy and cross system engagement and as a result the risks in this area have been reduced but not yet addressed in full.</p> <p>These are to be assessed as part of a three-month review within the BOBL</p>	<p>Director: Bernadette Enright, Executive Director of Adult Social Services</p> <p>Executive Member: Councillor Midgley</p> <p>Status: 40 months overdue</p>

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		A long-term solution should be considered and built into Liquid Logic to help identify performance trends and provide assurance to senior management.		programme following which measures of success rather than specific KPIs will be determined and agreed. Internal Audit Opinion: Partial Implemented	Action: To review and confirm measures following completion of BOBL work by end November 2021
Section 106	31 May 2020	Reconcile the new database to the various records held across the Council and update the database to ensure details of all 106 agreements are recorded in a single place.	Accepted	<p>The creation of the new database to bring together various records held across the Council has been completed. All the records have now been merged and the new database continues to be updated and improved on an ongoing basis. Older agreements requiring reference back to paper files for reconciliation is ongoing and is expected to be completed by the end of the financial year - 2021/2022.</p> <p>The appointment of a dedicated officer in the new structure will not be completed until the review of the structure has been implemented, at which point recruitment will be started and is expected to be in post by the end of the financial year - 2021/2022.</p> <p>Internal Audit opinion: Partially implemented</p>	<p>Director: Julie Roscoe until Becca Heron starts as new Strategic Director in October 2021.</p> <p>Executive Member: Councillor Rawlins</p> <p>Status: 17 months overdue</p> <p>Action: Remains partially implemented – to check progress again and liaise with newly appointed Director, with view to new Section 106 post being fully operational by March 2022.</p>