

### Appendix 3 – Recommendations 6-9 Months Overdue

Audit Title	Due Date	Recommendation	Management Response	Update/Opinion	Ownership and Actions
<p>Homecare Services – Contract Management</p> <p>7 March 2018</p>	<p>31 May 2018</p>	<p>The Strategic Commissioning Manager in liaison with the Head of Social Work and Head of Adults Finance should put in place a clear process for the reporting, investigation and follow up of variations in invoice value / care provision immediately.</p> <p>This should involve:</p> <ul style="list-style-type: none"> <li>• A clear policy on the levels of upwards and downwards variation that should be reported / investigated.</li> <li>• Clear designation of responsibility for investigating variances and the action that to be taken on overpayments.</li> <li>• How variations are prioritised and a target timeline for investigation based on priority.</li> <li>• An evidence trail of actions taken confirming the approval of any payment for variation to planned care.</li> <li>• Reporting so that management can be assured that investigations and recovery are taking place.</li> </ul>	<p>Commissioning Manager will draft a pro forma for the finance and front line services to follow in the event of underpayments, this will need to be proportionate with the risk associated to it. The work will have an impact on capacity due to the size and number of services involved.</p> <p>Policy and process for over payment is already in place, Strategic Lead, Social Care will undertake checks that teams are following this.</p> <p>Head of Adults Finance will work with Head of Social Care and Commissioning Manager to review the decision on suspensions. This will include an analysis of whether it is appropriate to re-introduce the earlier suspensions policy. In addition to this the Payments Team Leader will run a periodic report for the Commissioning Manager based on weekly delivery against planned for both under and over delivery.</p>	<p>Although we do consider this to be partially implemented there remains further work to be done to assign appropriate resource to the completion of ongoing checks over variations. Under provision of care presents a risk that citizens are receiving less care than they have been assessed as needing and over provision suggests the Council could be being overcharged by providers and therefore without such checks the current risks remain.</p> <p>Management have tasked Team managers with checking the list of over provisions of care going forward and ensuring that any issues are addressed with providers.</p> <p>Under provision of care remains an issue and management are looking at how this can be tackled as part of a bigger project to address care review waiting lists.</p> <p>We have agreed to meet with the Assistant Director on a monthly basis to discuss ongoing progress with this.</p> <p><b>Internal Audit Opinion:</b> Partially Implemented</p>	<p><b>Director:</b> Bernie Enright Director of Adult Services</p> <p><b>Executive Member:</b> Councillor B Craig</p> <p><b>Status:</b> Seven months overdue</p> <p><b>Action:</b> Notification of overdue recommendation letter issued to Executive Member and Director December 2018</p>

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Transition to Adult Services	30 April 2018	<p>The Interim Deputy Director of Adults Social Services should develop a clear transitions strategy and vision in conjunction with Children's Services and other key partners, in line with Care Act requirements. Once developed the strategy and vision should be used to inform the development of a clear service offer for transitions. This offer should be clearly communicated to confirmed key stakeholders including service users.</p> <p>Advice could be sought from other Local Authorities including the Council's Adults Services improvement partner, and differing approaches considered.</p>	Transitions Strategy and Vision to be developed	<p>There has been significant senior management change since this recommendation was agreed. There has been considerable slippage in the implementation of this recommendation. However the new management team are now in place and committed to addressing the issues as a matter of priority. Addressing the ongoing issues in relations to the transitions offer is a key element of the Adults Social Care Improvement Plan.</p> <p>The Assistant Director, Complex Needs confirmed that she has arranged an integrated meeting including all key partners in order to start to map out what the strategy and service offer should be. The output from this meeting is likely to be a number of working groups to take initial proposals forward.</p> <p>In terms of interim arrangements management confirmed they have already started to engage more with stakeholders where there have previously not been clear pathways into transition such as mental health partners.</p> <p><b>Internal Audit Opinion:</b> Partially Implemented</p>	<p><b>Director:</b> Bernie Enright, Director of Adult Services</p> <p><b>Executive Member:</b> Councillor B Craig</p> <p><b>Status:</b> Eight months overdue</p> <p><b>Action:</b> Notification of overdue recommendation letter issued to Executive Member and Director January 2018</p>
		The Interim Deputy Director of	Membership of the Transitions	This recommendation has not yet	<b>Director:</b> Bernie

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		<p>Adults Social Services should review and revise the membership of the Transition Board and its terms of reference.</p> <p>The Board should include Senior Management and the Deputy Director for both Adults and Children's Services in order to promote a joined up service. This should be extended to key stakeholder groups to gain commitment and the ability to influence individual organisations' approach.</p>	board and terms of reference to be reviewed	<p>been implemented as the strategy needs to be agreed first and then the governance arrangements and board terms of reference will follow from there. Again this will be an integrated approach involving key partners.</p> <p><b>Internal Audit Opinion:</b> Outstanding</p>	<p>Enright, Director of Adult Services</p> <p><b>Executive Member:</b> Councillor B Craig</p> <p><b>Status:</b> eight months overdue</p> <p><b>Action:</b> Notification of overdue recommendation letter issued to Executive Member and Director January 2018</p>
Transitions to Adult Services	30 April 2018	<p>The Locality Strategy Manager - Learning Disability, together with the Quality Assurance (QA) Team should ensure that Social Work standards described in the 'Manchester – Adult Policies, Procedures and Practice Portal' are complied with in relation to documentation of management supervision and oversight.</p> <p>We consider that the manager's 'footprint' should be evident across Adults Social Care and should be subject to assurance and scrutiny from the QA Team and results provided to the QA Improvement Board.</p>	Social Work standards evidenced through managers footprint	<p>The Locality Strategy Manager, Learning Disability Services confirmed that action has been taken to improve the management footprint (currently recorded on Micare and to be on Liquid Logic) and to document key decisions. Internal Audit will confirm this through testing in February 2019.</p> <p><b>Internal Audit Opinion:</b> Partially Implemented</p>	<p><b>Director:</b> Bernie Enright, Director of Adult Services</p> <p><b>Executive Member:</b> Councillor B Craig</p> <p><b>Status:</b> Eight months overdue</p> <p><b>Action:</b> Notification of overdue recommendation letter issued to Executive Member and Director January 2018</p>
Transitions to Adult Services	30 June 2018	To support day to day performance management the Interim Deputy Director of Adults Social Services	Key performance Indicators introduced.	There are KPIs used to report on performance in the performance dashboard however as the strategy	<b>Director:</b> Bernie Enright Director of Adult Services

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		<p>should introduce a suite of Key Performance Indicators. This should be defined once the strategy and vision in place.</p> <p>A long term solution should be considered and built into Liquid Logic to help identify performance trends and provide assurance to senior management.</p>		<p>and vision for Transition Services has yet to be fully developed the action to address this recommendation will be monitored.</p> <p><b>Internal Audit Opinion:</b> Outstanding</p>	<p><b>Executive Member:</b> Councillor B Craig</p> <p><b>Status:</b> Six months overdue</p> <p><b>Action:</b> Notification of overdue recommendation letter to Executive Member and Director to be issued</p>