

Priority 1 list - November 2018

Appendix B

Report Number/Date	Title	Opinion	No. of Priority Ones	Details of original Recommendation	Implemented	Responsible Officer	Comments
CX/089/16/2016 Finalised date 17th March 2017	Review of Waivers	Limited	2	Need for central register of waivers for accountability purposes. Need for a standard template that cannot be altered, can be tracked to promote consistency.	In progress	Chief Executive Director of Commissioning and all Chief Officers	June 2017 See Progress Report to be followed up for November 2017 Audit Sub Committee. November 2017 See Progress Report March 2018 See Progress Report May 2018 See Progress Report November 2018 See Progress Report
ECH/036/01/2016 Finalised date 9th March 2017	Review of Reablement Team	Limited	2	The recommendations relate to the lack or incomplete use of the output measurement tool and inconsistencies with KPI's and with contact time continuing to be below target.	In progress	Deputy Chief Executive and Executive Director of Education, Care and Health Services Director of Adult Social Care	March 2018 See Part 2 update May 2018 See Progress Report November 2018 See Progress Report

ECHS/20/2017/AU Finalised date 8th February 2018	St Olaves School	Limited	1	Non compliance to EU procurement rules for the IT support contract	In Progress	Deputy Chief Executive and Executive Director of Education, Care and Health Services Director of Education Head Teacher St Olaves School	May 2018 See Part 2 November 2018 See Progress Report
ECHS/04/2017/AU Finalised date 30th April 2018	Children With Disabilities	Limited	1	Payments to service users. High cost and split funded placement. Service user attending only part of the service being funded resulting in poor value for money	In progress	Deputy Chief Executive and Executive Director of Education, Care and Health Services Director of Childrens Social Care Group Manager / Head of Service	May 2018 See Progress Report November 2018 See Progress Report
CX/047/01/2016/17 Finalised date 23rd February 2018	Agency Staff	Limited	3 2o/s	1) Lack of oversight and governance of arrangements put in place for the recruitment and management of agency staff. 2) Process for extending the length of service of agency staff is not complied with. 3) Procedures are not followed when an agency worker leaves the Authority.	In Progress	Chief Executive Director of Human Resources	May 2018 See Progress Report November 2018 See Progress Report

ECHS/08/2017/AU Finalised date 29th May 2018	Review of Contract Management for the Agreement with Oxleas - Mental Health	Limited	5 4o/s	1) The 20 year agreement has been in place for 14 years with no evidence of review or variation. 2) The performance measures specified in the agreement were obsolete and out of date and there were no defined monitoring arrangements in place. 3) Roles and responsibilities not clearly defined specifically a lead officer and the Business Support Officer. 4) Service Agreement reviews not being completed in line with the agreed procedures. 5) Management reports had not been provided to the Authority as specified in the Agreement	In progress	Deputy Chief Executive and Executive Director of Education, Care and Health Services Director of Adult Social Care and Interim Director Programmes	See Progress Report New addition to the P1 list November 2018 See Progress Report
ECHS/03/2017/AU Finalised date 20th August 2018	Review of Family Placements	Limited	1	There had been no uplift to carers allowances, paid in line with DfE thresholds, for 2017 or 2018.	In Progress	Deputy Chief Executive and Executive Director of Education, Care and Health Services Director of Childrens Social Care	See Progress Report New addition to the P1 list

ECHS/10/2017/AU Finalised date 10th September 2018	Review of Direct Payments	Limited	4	1) The DP5 documentation (legal agreement) could not be located for 20 out of thirty cases reviewed. 2) In three cases the terms and conditions of the direct payment had not been met. 3) Issues arose in respect of payments made to service users where incorrect rates of payment were identified resulting in overpayments totalling circa £15,500. 4) It could not be determined which officer was responsible for the ownership and update of the DP documentation;	In progress	Deputy Chief Executive and Executive Director of Education, Care and Health Services Director of Adult Social Care	See Progress Report New addition to the P1 list
ECHS/01/2017/AU Finalised date 15th October 2018	Review of Leaving Care	Limited	6	Issues arose within the following areas :- 1) Documentation to support payments to service users; 2) Pathway Plans not being reviewed within 6 months; 3) Individual service user finance records were found not to be up to date; 4) Grant sheet (Central Log) issues arose with a number of cases; 5) Reconciliation to Oracle (T Accounts) queries arose in some cases and others remained unallocated 6) Staying Put Allowances -it was found that the Staying Put rates had not been subject to any uplift for 2017/18 and 2018/19 .	In progress	Deputy Chief Executive and Executive Director of Education, Care and Health Services Director of Childrens Social Care	See Progress Report New addition to the P1 list

ECHS/026/2017/AU Finalised date 25th October 2018	Review of Home Tuition	Limited	5	Issues arose within the following areas :- 1) Core Panel decisions supported by the outcome letters; 2) Accuracy and completeness of the information on the database 3) Payment to Agency tutors 4) Attendance Registers and 5) Procurement of Agency Tutors	In progress	Deputy Chief Executive and Executive Director of Education, Care and Health Services Director of Education	See Progress Report New addition to the P1 list
CEX/02/2017/AU Finalised date 26th October 2018	Review of Creditors	Limited	1	The form for set -up to the creditors master file is not checked or signed off by the budget holder or other designated officer within that business service area	In progress	Chief Executive Director of Finance	See Progress Report New addition to the P1 list

The following P1 recommendations have been implemented :

Document Storage and Retention - See Progress Report
Compliance with the Intermediaries Legislation (IR35) - See Progress Report