

APPENDIX A**Summaries of Finalised Internal Audits**

Assurance level	Significance	Directorate	Audit title
LIMITED	Extensive	Children and Culture	Quality Assurance Systems for Children's Social Care
SUBSTANTIAL	Extensive	Health, Adults and Communities	Deprivation of Liberty Safeguards – Follow Up Audit
	Extensive	Place	Dangerous Structures – Follow Up

Limited Assurance

Title	Date of Report	Comments / Findings	Scale of Service	Assurance Level
Quality Assurance Systems for Children's Social Care	Nov. 2019	<p>This audit reviewed the arrangements in place to ensure that the quality assurance procedures for Children's social work practice were sound and secure. A system of Quality Assurance (QA) involves all activities that contribute to service improvement to ensure that agreed standards for Children's social work practice are met and are monitored. Following issues were reported:-</p> <ul style="list-style-type: none"> • The service has an approved QA Framework dated March 2019. However, it did not sufficiently include details such as roles, responsibilities and reporting arrangements and there were no supporting internal procedures and guidance notes to be followed in the QA audits and for dip sampling reviews. • Testing of 10 dip-sample reviews carried out by the QA team showed that the recording of the results was not robust as the objectives of the review, sample selection criteria, the issues identified, outcomes and conclusions were not clearly documented in the report. There was a lack of evidence to show that necessary management checks and reviews were taking place. • Testing of 10 sample reports showed that in 2 cases, the reports did not include an action plan. In the remaining 8 cases, action plans had been produced, but it was not always clear what qualitative issues were raised and whether the actions being recommended would address the issues raised. In addition, the target date and responsible officer for implementing those actions were not recorded. There was no clear process to follow up the agreed actions to verify that the recommendations had been implemented and improvement in the quality of practice has been achieved. 	Extensive	Limited

Title	Date of Report	Comments / Findings	Scale of Service	Assurance Level
		<ul style="list-style-type: none"> • There were no KPIs and targets in place to monitor the performance of the service. <p>All findings and recommendations were agreed with the Divisional Director of Children's Social Care and final report was issued to the Corporate Director, Children and Culture.</p>		

Substantial Assurance

Title	Date of Report	Comments / Findings	Scale of Service	Assurance Level
Deprivation of Liberty Safeguards – DoLS Follow Up Audit	Dec. 2019	<p>This audit assessed the progress made in implementing the recommendations made at the conclusion of the original report in April 2019. Our testing showed that out of 4 high priority recommendations followed up, 2 had been implemented, 1 had been partially implemented, and 1 had not been implemented. Of the 6 medium priority recommendations, 3 had been implemented, 2 had been partially implemented and the remaining 1 had not been implemented. The following issues were identified:-</p> <ul style="list-style-type: none"> • The team manager has streamlined the system for allocating and quality reviewing best interest assessments (BIA). It now takes an average of 16 working days to allocate a case to the Best Interest Assessor, a considerable improvement from the average of 38 days in 2018/19 and 240 days for applications made in 2017/18. • In the original audit, we recommended that the annual return for 2018/19 and subsequent years should be in accordance with NHS Digital guidance, i.e. it includes all active applications. However, our testing showed that the annual return to NHS Digital was not submitted correctly. The return did not include applications received in the previous year but were still live on 1 April 2019. • It was recommended in the original report that existing performance indicators should be reviewed and regular performance reports should be produced. However, we noted that KPIs have not been drawn up as the team awaits implementation of new Liberty Protection Safeguards in 2020, which differs from the current DoLS system in some key aspects. <p>All findings were agreed with the Divisional Director , Adults Social Care and final report was issued to the Corporate Director, Health, Adults and Communities.</p>	Extensive	Substantial

Title	Date of Report	Comments / Findings	Scale of Service	Assurance Level
Management and Control of Dangerous Structures – Follow Up Audit	Dec. 2019	<p>This audit assessed the progress made in implementing the recommendations agreed at the conclusion of the original report in November 2018. Our review showed that of the 5 High priority recommendations , 4 were fully implemented and 1 was not implemented. Of the 6 Medium priority recommendations, 4 were fully implemented, 1 was partly implemented and 1 was not implemented.</p> <p>The following issues were reported:-</p> <ul style="list-style-type: none"> • The procedural document was updated in January 2019 and was approved by the Head of Building Control. We noted that three Key Performance Indicators had been introduced to monitor the performance of the service. • During the audit , it was very challenging, both for the Head of Building Control and for Audit, to identify necessary documents on Acolaid and on Laserfiche to establish a clear audit trail from start to finish. Standard templates still needed to be developed and appended to the procedures document. • The Scheme of Management for Place Directorate was updated in February 2019. This document was approved by the Corporate Director, Place. • In cases where works were required to be undertaken, the timesheets from the contractor were reviewed and approved. Procedures required timesheets to be approved after visiting the dangerous structures, but because of audit trail issue, it took substantial amount of time for Head of Building Control to find the evidence from Laserfiche. • The system for raising charges and lifting charges when payments were made by the building owners was still not working adequately. An annual reconciliation between the charges placed on Land Registry and those that should be lifted is not fully complete. <p>All findings and recommendations were agreed with the Head of Building Control and final report was issued to the Corporate Director, Place.</p>	Extensive	Substantial