




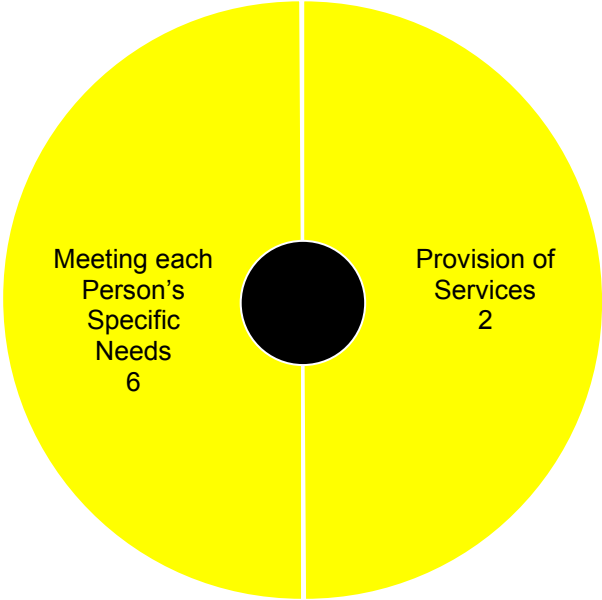

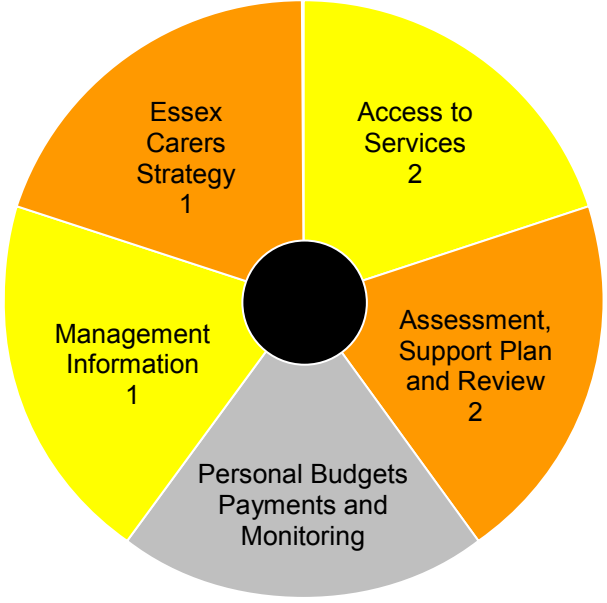







1. Executive Summary

<p><b>Function:</b> Adult Social Care</p> <p><b>Audit Sponsor:</b> Patrick Higgs – Director for Local Delivery North (Audit Sponsor)</p> <p><b>Distribution List:</b> Patrick Higgs; Nick Presmeg - Director, Adult Social Care; Fiona Davis - Director, Safeguarding &amp; Quality Assurance (ASC); Giles Goodeve - ASC Service Manager; Alison Ansell – ASC Service Manager, Learning Disabilities and Autism (Countywide); Simon Froud – Director Local Delivery (Mid); Sue Vallance – Independent Consultant, Adults with Disabilities (Complex Team 1/2); Robert Sier - Category and Contract Manager; Nick Green - Category and Contract Manager; Steve Allen – Head of Strategic Commissioning and Policy; Jessica Stewart - Head of Strategic Commissioning and Policy; Steve Ede – Head of Procurement; Tony Clissold – Category and Supplier Relationship Lead; Margaret Lee - Executive Director, Corporate and Customer Services; Cllr John Spence - Cabinet Member for Health and Adult Social Care; Gavin Jones, Chief Executive, Cllr Finch, Leader of the Council; External Auditors – BDO Barry Pryke</p> <p><b>Final Report Issued:</b> June 2019</p> <p><b>Date of last review:</b> N/A</p>		<p><b>Overall Opinion</b></p> <p><b>LIMITED ASSURANCE</b> </p> <p><b>Direction of Travel</b></p> <p>N/A – This area has not been audited before</p>	<p><b>Number of Control Design Issues Identified</b></p> <p><b>0</b> Critical</p> <p><b>0</b> Major</p> <p><b>4</b> Moderate</p> <p><b>0</b> Low</p>	<p><b>Number of Control Operating in Practice Issues Identified</b></p> <p><b>0</b> Critical</p> <p><b>0</b> Major</p> <p><b>4</b> Moderate</p> <p><b>0</b> Low</p>	<p><b>Number of Recommendations</b></p> <p><b>8</b> Made</p> <p><b>3</b> Rejected</p> <p><b>n/a</b> Critical Rejected</p> <p><b>n/a</b> Major Rejected</p>
<p><b>Scope of the Review and Limitations:</b></p>	<p>This audit's objective was to evaluate the arrangements in place to prevent or manage to reasonable levels potentially significant risk events and consequences associated with ensuring that ECC are fulfilling the Statutory Responsibilities set out in the Care Act that can be deemed to relate to Supported Living. This audit did not specifically review costs or the quality of information contained within assessments, support plans or similar documents relevant to specific Adults other than to confirm that processes are in place to ensure agreed standards and procedures are being adhered to.</p>				
<p><b>Key Messages</b></p> <p>No critical or major findings were identified during the course of this audit.</p> <p>It was noted during the audit that processes relating to Supported Living were still evolving and work was on-going in respect of the design and implementation of a new contractual framework.</p>	<p>Each risk area for this review is shown as a segment of the wheel. The key to the colours on the wheel is as follows:</p> <div><p>Critical priority Control Design or Control Operating in Practice issues identified</p></div> <div><p>Major priority Control Design or Control Operating in Practice issues identified</p></div> <div><p>Moderate priority Control Design or Control Operating in Practice issues identified</p></div> <div><p>No / Minor Control Design or Control Operating in Practice Issues identified</p></div> <div></div>				



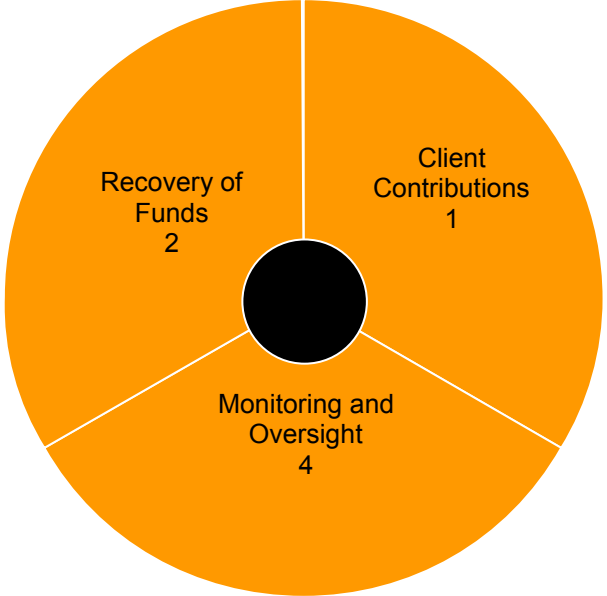




# Final Internal Audit Report 2018/19 – Carers’ Personal Budgets (ASC4)

## 1. Executive Summary

<p><b>Function:</b> Adult Social Care  <b>Audit Sponsor:</b> Nick Presmeg, Director, Adult Social Care  <b>Distribution List:</b> Nick Presmeg; Alexandra Green, Director for Local Delivery West; Rebecca Jarvis, Head of Strategic Commissioning and Policy; Fiona Davis, Director Safeguarding and Quality Assurance (ASC); Giles Goodeve, Service Manager, Adult Social Care - Quality Assurance, David Williams, Senior Operational Policy Advisor; Margaret Lee, Executive Director for Corporate and Customer Services; Gavin Jones, Chief Executive Officer, Cllr David Finch, Leader of the Council; Cllr John Spence</p> <p><b>Final Report Issued:</b> June 2019  <b>Date of last review:</b> N/a</p>	<p><b>Overall Opinion</b></p> <p><b>LIMITED ASSURANCE</b> </p> <p><b>Direction of Travel</b></p> <p>The scope of this review is not consistent with prior audits in this area</p>	<p><b>Number of Control Design Issues Identified</b></p> <p><b>0</b> Critical  <b>1</b> Major  <b>0</b> Moderate  <b>0</b> Low</p>	<p><b>Number of Control Operating in Practice Issues Identified</b></p> <p><b>0</b> Critical  <b>1</b> Major  <b>4</b> Moderate  <b>0</b> Low</p>	<p><b>Number of Recommendations</b></p> <p><b>6</b> Made  <b>0</b> Rejected  <b>0</b> Critical Rejected  <b>0</b> Major Rejected</p>
<p><b>Scope of the Review and Limitations:</b></p>	<p>The objective of the audit was to evaluate the arrangements in place since the 1 April 2018 to manage the new Carers Support Service, progress against the Essex Carers Strategy 2015 -2020 and service provision to Carers. Testing was not completed on Personal Budget Payments and Monitoring as the sample selected had not reached this point in the process. Young Carers (under 18 years of age) are excluded from this audit.</p>			
<p><b>Key Messages</b></p> <p>Two major recommendations were identified during this audit in relation to:</p> <ul style="list-style-type: none"> <li>allocation of replacement care (sitting service)</li> <li>progress and monitoring of the Essex Carers Strategy 2015-2020</li> </ul>	<p><b>Each risk area for this review is shown as a segment of the wheel. The key to the colours on the wheel is as follows:</b></p>  <ul style="list-style-type: none"> <li> Critical priority Control Design or Control Operating in Practice issues identified</li> <li> Major priority Control Design or Control Operating in Practice issues identified</li> <li> Moderate priority Control Design or Control Operating in Practice issues identified</li> <li> No / Minor Control Design or Control Operating in Practice Issues identified</li> <li> Not tested</li> </ul>			

# Final Internal Audit Report 2018/19 – Personal Budgets (Adults) (ASC1)

## 1. Executive Summary

<p><b>Function:</b> Adult Social Care</p> <p><b>Audit Sponsor:</b> Patrick Higgs, Director for Local Delivery North</p> <p><b>Distribution List:</b> Patrick Higgs; Margaret Lee, Executive Director for Corporate and Customer Services; Nick Presmeg, Director Adult Social Care; Fiona Davis, Director for Safeguarding and Quality Assurance (Adults); Catherine Apps, Senior Commissioning Support Office); Chris Gee, Category and Contract Manager; Cllr David Finch, Leader of the Council; Cllr John Spence; Gavin Jones, Chief Executive Officer; Barry Pryke - Audit Manager BDO, External Audit</p> <p><b>Final Report Issued:</b> June 2019</p> <p><b>Date of last review:</b> August 2017</p>	<p><b>Overall Opinion</b></p> <p><b>LIMITED ASSURANCE</b> </p> <p><b>Direction of Travel</b></p> <p>Control environment has deteriorated since our prior audit </p>	<p><b>Number of Control Design Issues Identified</b></p> <p>0 Critical</p> <p>0 Major</p> <p>0 Moderate</p> <p>0 Low</p>	<p><b>Number of Control Operating in Practice Issues Identified</b></p> <p>0 Critical</p> <p>5 Major</p> <p>2 Moderate</p> <p>0 Low</p>	<p><b>Number of Recommendations</b></p> <p>7 Made</p> <p>0 Rejected</p> <p>N/A Critical Rejected</p> <p>0 Major Rejected</p>
<p><b>Scope of the Review and Limitations:</b></p>	<p>This review included personal budgets paid as direct payments (into a dedicated bank account), via the Direct Payment Support Services (DPSS) contract and Prepaid Cards. Samples were selected from Mosaic and A4W, and testing undertaken to determine that the identified risks were being managed. Testing was undertaken through access to ECC systems and data. Systems operated by the DPSS provider were not reviewed.</p>			
<p><b>Critical and Major Findings and Recommendations</b></p> <p>There were no critical recommendations arising from this audit.</p> <p>5 major recommendations have been made:</p> <ul style="list-style-type: none"> <li>There are significant issues with the payment of Client Contributions.</li> <li>Reviews are not completed with adequate frequency; and issues identified (and recorded in case notes) are not followed up.</li> <li>There is a poor audit trail of decisions (including support plans, basis / calculation of direct payments, and rationale for awarding increases).</li> <li>Processes are not embedded for calculations of surpluses and for recovery of monies (including transferring to an alternative payment mechanism and ceased/deceased).</li> <li>Prepaid card compliance checking is not robust and does not lead to process improvement. Roles and responsibilities have not been established. The DPSS contract implementation has been subject to significant delay. Reporting (including delays to recovery of surplus monies) is inadequate.</li> </ul>	<p><b>Each risk area for this review is shown as a segment of the wheel. The key to the colours on the wheel is as follows:</b></p>  <ul style="list-style-type: none"> <li> Critical priority Control Design or Control Operating in Practice issues identified</li> <li> Major priority Control Design or Control Operating in Practice issues identified</li> <li> Moderate priority Control Design or Control Operating in Practice issues identified</li> <li> No / Minor Control Design or Control Operating in Practice Issues identified</li> </ul>			