

Appendix 3

Overdue Critical and Major Internal Audit Recommendations as at 21 November 2018

Audit Review Title	Function	Recommendation	Latest Target Date	Last Status Update	Owner	Rating
Essex Partnership University NHS Foundation Trust (ASC16 1819)	Adult Social Care	Safeguarding Referral Pathways There is a lack of clarity surrounds the referral pathways for raising safeguarding incidents.	31/10/18	No update provided. Audit Comment: 1 monthly request to the recommendation owner for an update has been sent but none provided.	Director, Safeguarding & Quality Assurance (ASC)	Critical Risk
Continuing Healthcare Funding (ASC7 1718)	Adult Social Care	Recording on Mosaic Introduce quality assurance checks to ensure that relevant details are recorded on Mosaic and that an adequate case record is maintained.	30/04/18	Update as at 7 August 2018: Managers currently using the available quality checking tools. The development of the revised practice guidance will support timely checking and clarity about responsibilities and timeframes. Confirmation of revised process for notification to ECC of CHC funding from CCG's is due for agreement in August 2018. ECC process under development to ensure more efficient practice following CCG notification to accurate recording on the finance system. Audit Comment: A follow up Internal Audit review is currently being undertaken.	Director for Local Delivery, Adult Operations	Major Risk
Continuing Healthcare Funding (ASC7 1718)	Adult Social Care	Progression of Checklists, Assessments and Eligibility Validation Be transparent regarding delays in the assessment process which is variable	31/05/18	Update as at 7 August 2018: Review of practice guidance has been undertaken and a standard process has been developed to ensure workers identify potential CHC eligibility and are clear about processes for referral, timescales for decisions and where required escalation. In addition work is underway to refresh the wider S75 arrangements	Service Manager, Adult Social Care - Quality Assurance	Major Risk

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		across the quadrants and share best practice.		to ensure they are fit for purpose and reflect the new National Framework for Continuing Healthcare due for implementation later in the year. Audit Comment: A follow up Internal Audit review is currently being undertaken.		
Deprivation of Liberty (DoLS) (ASC6 1718)	Adult Social Care	Timeliness of DoLS Decisions Best endeavours need to be made to ensure DoLS assessments and decisions are progressed promptly and issued within the statutory timescales, in a cost efficient way, having regard to the financial budget available.	31/07/18	Update as at 22 November 2018: Actions to be taken: 1. Triage system review: DoLS team are now adding the oldest historic cases to the priority list so this is now up to 2016. 2. Work with external agency: Allocation of 40 cases per month since to external agency since December 2017. Current progress means online with projection to complete 500 cases. Regular meetings with ECC DoLS Team and the provider. 3. Review of targeted use of BIA's: Frontline staff (social workers) prioritised for this years training to achieve maximum potential allocations. Due to re-organisation in ASC, some qualified staff were displaced and others moved into new roles resulting in less capacity to complete assessments. Reduced volume of re-approvals BIA's as a result. 4. Financial penalty: Learning agreement completed by staff on undertaking the training is now strengthened to support accountability for allocations, awaiting ALT approval.	Director, Safeguarding & Quality Assurance (Adult Social Care)	Major Risk
Social Media (1718 COR4)	Corporate Development	Approving access to and awareness of social media application use	30/09/18	Portal cannot be updated in Supportworks, IG team providing individual discussions with officers. New social media team being appointed and discussions to progress 1C due.	Communications and Marketing Manager	Major Risk
Social Media (1718 COR4)	Corporate Development	Security of social media accounts – password sharing.	31/10/18	No update provided. Audit Comment: 3 monthly requests to the recommendation owner for updates have been sent but none provided.	Communications and Marketing Manager	Major Risk

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Absence Management (1718 COR5)	Organisation Development and People	Completeness of return to work action.	30/09/18	No update provided. Audit Comment: 2 monthly requests to the recommendation owner for updates have been sent but none provided.	Head of People Insight and Technology	Major Risk
Absence Management (1718 COR5)	Organisation Development and People	Inconsistent / Incorrect Usage of Oracle (TCS).	30/09/18	No update provided. Audit Comment: 2 monthly requests to the recommendation owner for updates have been sent but none provided.	Head of People Insight and Technology	Major Risk
Absence Management (1718 COR5)	Organisation Development and People	Notifications to Line Managers/ Management Information on Compliance.	30/09/18	No update provided. Audit Comment: 2 monthly requests to the recommendation owner for updates have been sent but none provided.	Head of People Insight and Technology	Major Risk
Asset Management (1718 ICT4)	Corporate Development	Asset Register A baseline data set is created. The data is cleansed and all erroneous data removed. A complete and accurate asset database is then put in place. ECC's position is determined regarding the laptops which cannot be found, both in terms of any data security breach and or loss of the assets.	31/10/18	Baseline data - this is being established with clean data being produced as part of the Win10 roll out. This is ongoing and will be complete in July 2019. ECC position on missing assets - baseline is required from Audit to determine the parameters of our missing assets report. This will enable TS to establish the assets which require recovery. TS Management Team are standing up a 'device amnesty' to support recovery plans Security incidents to be raised as we work through the missing assets list to close out audit point effectively and stand up any new processes required as a lessons learnt. Additionally, a quarantined assets report is produced and measures are being implemented to close any open audit gaps. This will be the remit of the new Asset Manager, for which we are currently out to market.	Programme/Senior Project Manager	Major Risk
Facilities Management (1718 COR15)	Infrastructure and Environment	Capacity Report to the new line management for EPF on the team's current	1/11/18	The recruitment programme is progressing and we now have 2 property and facilities officers commenced roles, 2 further recruits are identified and will commence roles in September 2018. the remaining roles are currently being advertised apart from the	Head of Facilities Management	Major Risk

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		resources to clearly articulate: <ul style="list-style-type: none"> any risks this poses to delivering required facilities management tasks and the consequences of any non-delivery any benchmarking of in-house client-side management of similar contracts in similar organisations The risk of current or foreseeable future resource capacity should either be clearly accepted or further action taken to manage the risk.		apprentice role which is scheduled for January 2019		
Declarations of Interests (members and officers) (1718 COR2)	Organisation Development and People	Devise a robust process to ensure consultants, interims and agency workers declarations their interests where appropriate to do so (and proportionate to risk)	1/10/18	No update provided. Audit Comment: 1 monthly request to the recommendation owner for an update has been sent but none provided.	Senior Resourcing Consultant	Major Risk
Social Care Case Management (1718 C4)	Corporate and Customer	Mosaic Compliance with General Data Protection Regulation (GDPR)	9/11/18	The version of Mosaic that can hold the correct GDPR recording is not implemented. The due date is 6th Nov and at this point developments can be made to capture the required information.	Head of Democratic Services	Major Risk