

Appendix 2d: Audits Revisited

Purpose of these audits

To assess whether the actions agreed in the original audit have been implemented and are now effectively embedded into the day-to-day operation of the service.

Children's Social Care Services Internal Assurance Processes

Original Objective

To assess whether the Quality Audit Plan Framework (part of the overarching Children's Services' Assurance Framework) is designed and focused appropriately to provide management with good quality, independent evidence that files demonstrate cases are being managed in accordance with relevant assessment and legislative guidance.

Results

Fully implemented	Substantially implemented	Partially implemented	Not implemented	Closed
5	3	1	1	1

Summary

The Quality Audit Plan Framework (the framework) and the associated key processes required to address identified areas for improvement have been strengthened as required. The engagements with the external auditors have been formalised and appropriate review of their performance introduced.

The number of files to be audited will be periodically and formally assessed and agreed with senior management, who will then monitor their delivery. This will help ensure the framework continues to remain fit for purpose. There is still a need to ensure the quality review of fostering and adoption files is undertaken by more than one member of staff.

Further work is being undertaken to ensure all social workers' and line managers' regular supervision takes account of the results of file audits and this is documented, so that required support and training needs can be linked to audit outcomes. This will help ensure that standards improve and are applied consistently across the service.

Internal Audit has been informed that the new Case Management system being implemented in 2016/17 will support this process. It is intended that management records, such as supervision notes and case file audits, will be retained in one place and will therefore be more easily accessible to staff.

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Schools Revisited

Original Objective

To assess whether individual schools have adequate and effective governance, information and asset management as well as financial management and reporting arrangements in place.

Eastwood Primary School

Results

Fully implemented	Partially implemented	Not implemented
8	1	1

In May when the audit was completed, the School had made good progress in addressing the issues raised in the original report and therefore, strengthening its Governance, Information and Asset Management and Financial Management and Reporting arrangements.

With regards to the outstanding issues the Governing Body will:

- ratify the Financial Regulations at its meeting on 17th September 2015
- assess and report on its own performance against its Terms of Reference once a self evaluation process has been finalised.

Porters Grange Primary School

Fully implemented	Partially implemented	Not implemented
9	5	3

In July, when the audit was completed, the School had made satisfactory progress in addressing the issues raised in the original report. The intention was to have outstanding recommendations implemented before the start of the new school year in September 2015.

Since the audit, Internal Audit has been informed that:

- a new Clerk to Governors has joined the school and developed the working practices of the Governing Body
- the private fund has been audited with no concerns being raised.

In order to address other outstanding issues:

- the Governing Body is to formally approve some documents
- the Asset Register is being finalised and spot checks of assets introduced

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- more consistent use will be made of forms used for setting up and amending supplier details and these will be independently authorised
- a training programme will be developed for key nonteaching staff.