

1) COMPLETED AUDITS – FURTHER DETAIL TO SUPPORT THE REPORT OPINIONS

Directorate / Service	Audit title	Overall Assurance Opinion	Audit Scoping Objective(s)	Number of Recommendations per Significance Category			
				Fundamental	Significant	Moderate	Minor
Strategy and Governance	Recruitment (Talent Attraction) and Retention	Reasonable Assurance	1) To ensure that effective strategies and delivery plans are in place and monitored for attracting and retaining the best quality staff. 2) To ensure that processes are in place to facilitate recruitment of the right staff at the right time. 3) To ensure that there are effective recruitment policies and procedures in place which are timely, fair and safe (complete records, checks done etc).	0	0	2	5
Finance, Property and Procurement	Accounts Payable	Reasonable Assurance	1) To ensure that the supplier database is effectively managed / maintained. 2) To ensure that payments are processed promptly, accurately and only once. 3) To ensure that payments are only made where there is a corresponding purchase order, or an appropriately completed AP1/AP2 form. 4) To ensure that there are controls in place to validate the payment run details with the actual payments due to be paid.	0	0	1	3
Children with Disabilities and SEND Team	Personal Budgets (Direct Payments)	Limited Assurance	1) To ensure that there are effective controls and procedures in place covering the financial administration of Personal Budgets and Direct Payments, which are compliant with legislation. 2) To ensure that care packages have been allocated an appropriate personal budget after completion of a needs assessments, which confirms eligibility for funding.	0	0	13	11

APPENDIX D

Directorate / Service	Audit title	Overall Assurance Opinion	Audit Scoping Objective(s)	Number of Recommendations per Significance Category			
				Fundamental	Significant	Moderate	Minor
			3) To ensure that there are effective controls in place covering the setting-up, payment, use and monitoring of Direct Payments for clients with an Education, Health and Social Care Plan.				
Children's Social Care	Separated Children (UASC)	Substantial Assurance	1) To ensure that the Council has maintained a policy and associated procedures, in accordance with applicable legislation, for the provision of services and financial support to Separated Children (UASC) and relevant care leavers. 2) To ensure that there are effective procedures for the administration of allowances and other support payments, and to confirm payments are made in accordance with policies and relevant rates. 3) To ensure that effective finance procedures are in place for budget management and forecasting, and to claim funding due from the Home Office in accordance with the Funding Instructions and specified rates.	0	0	2	1
Adult Social Care/Commissioning	Purchase of Residential and Nursing Care Provision	Reasonable Assurance	1) To ensure that the Council has established a policy and associated procedures covering the provision of residential care which meet the requirements of the Care Act 2014. 2) To ensure there are effective procedures for identifying placement choices, recording the decision of the Good Practice Forum (GPF) together with the rationale for the decision. 3) To ensure that there are effective procedures in place for the management of residential placements so that bed availability is maximised and value for money is achieved with placement decisions.	0	0	3	3