

Report to:	AUDIT COMMITTEE
Relevant Officers:	Les Marshall, Head of Adult Social Care
Date of Meeting	25 July 2019

ADULT SAFEGUARDING ENQUIRIES AUDIT UPDATE

1.0 Purpose of the report:

- 1.1 To consider a progress report on the recommendations made in the internal audit report of Adult Safeguarding Enquires issued on 13 November 2018.

2.0 Recommendation(s):

- 2.1 To consider the actions being implemented to address the audit recommendations relating to Adult Safeguarding Enquiries.

3.0 Reasons for recommendation(s):

- 3.1 To enable the Audit Committee to consider an update and progress report on the audit recommendations.

3.2a Is the recommendation contrary to a plan or strategy adopted or approved by the Council? No

3.2b Is the recommendation in accordance with the Council's approved budget? Yes

3.3 Other alternative options to be considered:

None.

4.0 Council Priority:

4.1 The relevant Council priority is organisational resilience.

5.0 Background Information

5.1 At its meeting in June 2019, the Audit Committee agreed to invite Heads of Service to meetings to provide updates in relation to internal audit recommendation implementation.

The report being considered at this meeting relates to Adult Safeguarding Enquiries with the scope and assurance statement as follows:

Scope

The scope of the audit was to review:

- Whether there is a full audit trail for safeguarding enquiries, and to ensure that decisions are appropriate and supported by documentary evidence;
- How the Council assesses whether it is appropriate for the Council or provider to primarily respond when a Safeguarding Enquiry is received; and

- Whether outcomes are appropriately communicated to providers, the individual and family members.

Overall Opinion and Assurance Statement

Internal audit consider that the controls in place are currently adequate overall, with the recent enhancements to Mosaic providing noticeable improvements to the effectiveness of the safeguarding enquiry process. However, the sample testing revealed weaknesses around the recording of the rationale for decisions and the communication of conclusions with interested parties and these elements need to be strengthened.

Does the information submitted include any exempt information?

No

List of Appendices:

Appendix 3(a): Internal Audit Recommendations and Agreed Actions.

6.0 Legal considerations:

6.1 Risks need to be effectively managed in order to comply with relevant legislation.

7.0 Human Resources considerations:

7.1 The controls being implemented will be undertaken by current employees.

8.0 Equalities considerations:

8.1 None.

9.0 Financial considerations:

9.1 The controls being implemented will be done so within current budget constraints.

10.0 Risk management considerations:

10.1 To enable the Audit Committee to gain assurance that risks are being effectively managed.

11.0 Internal/ External Consultation undertaken:

11.1 The progress report has been prepared in conjunction with the relevant Heads of Service and Chief Officers.

12.0 Background papers:

12.1 None.