

Appendix3b - Agreed Action Plan

	Recommendation	Priority	Agreed Action	Responsible officer	Target Date	Audit Committee update September 2015
R1	Consideration should be given to undertaking a one off exercise to produce a report of homes and agreed rates which should be reviewed by the Adult Social Care and the Commissioning Team to ensure that the information is correct and appropriate contract arrangements are in place.	3	This has now been considered by the Deputy Director of People (Adult Services), the Head of Business Support and Resources and the Systems Development and Implementation Manager. This is low risk and the sense checks applied to payment runs should pick up any material issues. Hence no further action proposed.	N/a	Completed	Completed
R2	Consideration should be given to enforcing segregation of duties within the system for inputting and updating payment rates onto the Framework-i system.	2	This has now been considered by the Deputy Director of People (Adult Services), the Head of Business Support and Resources and the Systems Development and Implementation Manager. While it would be ideal, the functionality of Framework-i does not allow enforcement of segregation of duties for updating of payment rates. There are processes external to Framework-i whereby rates are checked.	N/a	Completed	Completed
R3	Consideration should be given to putting a clause on the individual service user agreements that payments will only commence following returns of signed agreement, to encourage the return of signed agreements by providers.	2	Head of Business Support and Resources to discuss with the Head of Commissioning. A form of words will be agreed in the contract or service user agreement that introduces the possibility of payments being suspended if agreements are not returned.	Head of Business Support and Resources	1/4/15	Consideration given, however this would be impractical to enforce and potentially disruptive to the stability of placements

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R4	Consideration should be given to producing an exception report for residential placements without QMG authorisation after a period of time.	3	Agreed.	Head of Business Support and Resources	1/4/15	Not possible with current business processes, however no placements are approved on Framework-i unless they have been through QMG.
R5	Consideration should be given to the best way to record outcomes from the QMG.	2	Agreed. The QMG outcomes should be being recorded on individual service user records. Head of Business Support and Resources to consider a process to check that this is happening.	Head of Business Support and Resources	1/4/15	Completed. Outcomes are now being recorded on individual service user records at the Quality Monitoring Group meetings
R6	The service should put in place a plan to ensure that all care packages are reviewed in a timely manner.	2	This is a service management priority and the Head of Adult Social Care has a plan in place to deliver this.	N/a	Completed	Completed
R7	The local scheme of delegation should be reviewed once the revised corporate scheme of delegation is approved and issued.	2	Agreed.	Head of Business Support and Resources	Within three months of publication of updates to the Corporate Scheme of Delegation.	Completed. The local scheme of delegation has been reviewed, and is in line with the Corporate Scheme of Delegation that was issued in April 2015.
R8	The Systems Development and Implementation Team should put in place arrangements to resolve issues with information on authorisations not appearing on the Framework-i system where possible and ensure that information is accessible for future cases.	2	This has now been considered by the Deputy Director of People (Adult Services), the Head of Business Support and Resources and the Systems Development and Implementation Manager and there is no practical way of achieving this. Current and future new cases and changes to cases are going through Framework-i	N/a	N/a	No action required

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			meaning the number of historic authorisations that are not evidenced is reducing. Given that no issues were found with regard to Framework-i authorisations, the level of risk is acceptable.			
R9	Responsibility for undertaking quality checks post implementation phase for residential and nursing home payments should be agreed and allocated at a future Framework-i Finance Working Group meeting as planned.	2	Agreed.	Head of Business Support and Resources / Framework-i Finance Working Group	1/4/15	Completed. List of checks developed and agreed at the Framework-i Finance Working Group in March 2015
R10	Consideration should be given to documenting where it is necessary for retrospective approval to be provided by panel for external placements.	2	Agreed. To be taken to People's (Children's Services) Senior Management Team for further consideration.	Head of Business Support and Resources	1/4/15	Completed. The template for the meeting actions and decisions of the Independent Placement Overview Panel has been amended to incorporate reasons and circumstances for retrospective approval
R11	The rationale of commissioning decisions, including the providers that had been considered and why one provider had been selected over another, should be recorded.	1	Agreed. To be taken to People's (Children's Services) Senior Management Team for further consideration.	Head of Business Support and Resources	1/4/15	Completed. The template report for Independent Placement Overview Panel has been amended to incorporate reasons for choice of provider / other provider options considered, and what alternatives to external placements have been explored