

AUDIT REPORTS ISSUED BETWEEN 1st JUNE 2021 & 31st OCTOBER 2021

Housing Agency

Assurance Level

Assurance: LIMITED

It is our opinion that controls currently in place within the system provide limited assurance that risks material to the achievement of the systems objectives outlined in the Scope and Objectives section of this report are adequately managed.

Key Findings

Key Issues	Strengths and Improvements
<ul style="list-style-type: none"> • Adequate training should be requested to enable all relevant staff to access and navigate the Millbrook Healthcare Ltd 'Case Manager' system. • Adequate reports should be obtained to confirm the achievement of the Key Performance Indicators detailed in the SILIS (Support for Independent Living in Staffordshire) Contract. • SMDC should ensure that they receive sufficient documentary evidence regarding the services undertaken by Cherrywhite Consultancy Services Ltd. • Millbrook Healthcare Ltd should be requested to provide a quarterly performance report to the Steering Group regarding the delivery of the externalised Occupational Therapist assessment service. • Procedures should be introduced to ensure that all disabled facilities grants approved that result in a land charge being applied to the property are promptly notified to the Land Charges service. 	<ul style="list-style-type: none"> • Grants are appropriately authorised prior to payment. • All grants tested had been awarded in accordance with the established criteria. • There is a formal agreement in place for the provision of the Housing Agency function. • A formal agreement for the provision of an externalised Occupational Therapist services has been implemented.

Summary of Recommendations

An analysis of the recommendations categorised by risk and classification (regulatory or added value) is shown below:

Description	High		Medium		Low	
	R	A	R	A	R	A
Performance Management			4		1	
Grant Criteria					1	
Processing of Grants			1		1	
Funding						1
Total			5		3	1

Safeguarding

Assurance Level

Assurance: SATISFACTORY

It is our opinion that controls currently in place within the system provide satisfactory assurance that risks material to the achievement of the systems objectives outlined in the Scope and Objectives section of this report are adequately managed.

Key Findings

Key Issues	Strengths and Improvements
	<ul style="list-style-type: none"> • All current employees have received basic Safeguarding training, and the Safeguarding Policy is included within the Corporate Induction package. • A database is maintained by HR which identifies all posts for which a DBS check is required, expiry dates etc. • Safeguarding is considered for all contracts for services, either requiring tenderers to supply their own Safeguarding Policy or, for smaller companies, sign up to the Council's Safeguarding Policy. • Safeguarding is included on the agenda for all relevant contract management meetings. • For events held on Council land, applicants are required to provide evidence that they have considered Safeguarding issues.

Summary of Recommendations

An analysis of the recommendations categorised by risk and classification (regulatory or added value) is shown below:

Description	High		Medium		Low	
	R	A	R	A	R	A
Safeguarding Training					3	
Safeguarding Referral Records					1	
Total					4	

AES Contract Management

Assurance Level

Assurance: SATISFACTORY

It is our opinion that controls currently in place within the system provide satisfactory assurance that risks material to the achievement of the systems objectives outlined in the Scope and Objectives section of this report are adequately managed.

Key Findings

Key Issues	Strengths and Improvements
<ul style="list-style-type: none"> Periodic checks should be undertaken by the contract manager to confirm compliance with the contract terms and conditions, with such checks being recorded in an inspection report, signed by both parties and where necessary remedial action agreed. Sample checking of the performance data submitted by AES should be undertaken to ensure it is supported by documentary evidence (e.g. system reports) and accurately calculated. This should include development of the 'contract compliance checklist' to include details of checks undertaken and documentary evidence required. 	<ul style="list-style-type: none"> Payments made to AES for the provision of services are appropriately authorised and checked to ensure they are in accordance with the agreed terms and conditions.

Summary of Recommendations

An analysis of the recommendations categorised by risk and classification (regulatory or added value) is shown below:

Description	High		Medium		Low	
	R	A	R	A	R	A
Contract Management			1			
Complaints					1	
Performance Indicators			1			
Total			2		1	

Data Protection - GDPR

Assurance Level

Assurance: SATISFACTORY

It is our opinion that controls currently in place within the system provide satisfactory assurance that risks material to the achievement of the systems objectives outlined in the Scope and Objectives section of this report are adequately managed.

Key Findings

Key Issues	Strengths and Improvements
<ul style="list-style-type: none"> All relevant staff & elected members should be provided with sufficient information / training regarding the requirements of the GDPR. Data file transfers into and out of Council networks should be adequately recorded and restricted. 	<ul style="list-style-type: none"> The Information Governance Group continues to meet on a regular basis to discuss compliance with the principles of Data Protection/GDPR. Information Asset Registers have been developed by all service areas. Compliance with the principles of Data Protection/GDPR is regularly reinforced with staff via corporate communications.

Summary of Recommendations

An analysis of the recommendations categorised by risk and classification (regulatory or added value) is shown below:

Description	High		Medium		Low	
	R	A	R	A	R	A
Information Asset Registers					3	
Training and Awareness			2		1	
Data Retention and Deletion					2	
Subject Access Requests					2	
Privacy Notices					2	
Data Protection Impact Assessments					1	
Data Sharing					2	
Data Transfers			1			
Total			3		13	