

Summary of Outstanding Recommendations

(Recommendation status as at 31.12.2024).

Audit	Risk level	Summary of Recommendation	Target Date	Status
Adults Business Planning Review	H	<p>1a Establish a comprehensive central Governance Structure:</p> <p>a) Established a singular overarching body, like Adults Change Board with defined roles, responsibilities, decision-making authorities, and reporting lines, tasked with overseeing the effective implementation all business plan proposals.</p> <p>b) Implement structured reporting, monitoring and performance tracking mechanisms aligned with objectives and targets and encompassing all Adults Business Planning proposals. This should include identifying for each proposal the level of risk associated with the achievement of savings and actions (for instance, proposals without clear defined actions to deliver savings should be classed as high risk, whereas those where there is a clear action to deliver a well-quantified benefit (e.g. ending a contract) would likely be classed as low risk) and using this to inform the level of monitoring for proposals by the central governance body. Ensure effective stakeholder engagement and communication plan.</p> <p>c) Established a framework and guidelines for benefit realisation, ensuring all proposals have well defined, measurable ("SMART") benefits, and detailed plans to achieve them which demonstrate how delivery of actions will directly</p>	31/10/2024	<p>The service has reported that All actions complete except for two outstanding areas of stakeholder and engagement plan and benefit realisation framework.</p> <p>1A a) Adults Change Board in place and meets monthly, reporting into the Corporate Change Board. B) Risk assessment in place for all savings proposals in current year and also for 25/26. Savings risks are also reviewed as part of the corporate savings trackers with quarterly forecasts from project owners. c) A review of all proposals for 24/25 has been undertaken with plans for delivery/risks. Development into 25/26 to build this into a clear overview of the whole change programme with breakdown of complex change vs BAU with benefit and risk mapping. d) Risk appraisal reported monthly to the Adults Change Board and escalations to Directorate Risk Register where required. e) Integrated timeline being developed to include 25/26 proposals f) Project Boards in place for all complex initiatives which are currently underway with reporting into Adults Change Board. BAU and complex change evaluated in line with Corporate Change Strategy.</p> <p>1B a) Groundwork for 25/26 delivery is being completed to ensure implementation development is clearly scoped and key milestones identified. b) Stakeholder and Engagement plan not yet started - awaiting further scoping of implementation c) Process</p>

	<p>link to delivery of the corresponding benefits. This should also include interim milestones for the achievement of benefits over the course of the financial year and should capture baseline information to support the measurement of benefit delivery. Once this is complete, implement a robust monitoring and reporting process to track benefits realisation progress across proposals, allowing for timely course correction. Consider implementing a risk tolerance process to require slippage of more than (e.g.) 10% against expected benefits to require escalation to the Change Board or equivalent.</p> <p>d) Link this to a comprehensive risk management process to aggregate risk information from across different projects and proposals, allowing emerging risks from across all projects/programmes to be escalated up to the central Board and (if necessary) on to the Directorate Risk Register.</p> <p>e) Develop an integrated programme timeline or schedule mapping out the key phases and dependencies between key actions across the various business planning proposals, to ensure the Board has a high-level view of the critical actions needed to progress the delivery of all proposals and increase the ability of the Board to identify risks if timescales are missed or dependencies are not effectively managed.</p> <p>f) Establish project/programme boards below the Adults Change Board for complex initiatives requiring dedicated governance oversight, which then report into the overarching board. For BAU initiatives, establish clear reporting lines and mechanisms within existing operational / departmental governance structures. Ensure the governance arrangements for each level are documented.</p>	<p>for 25/26 Business Planning worked closely with finance on all proposals to ensure that numbers for new proposals for delivery in 25/26 were realistic and risk assessed. d) Procurement appraisal conducted for all proposals e) Consultancy appraisal conducted for all appraisals f) Quarterly corporate savings tracker is used to monitor under or over delivery against financial savings. This is reviewed and discussed at Adults Change Board. g) Additional resource identified to support co-ordination of Adults programme on a short-term basis. Request for permanent resource being discussed.</p> <p>Revised target date: 31 March 2025</p> <p>Revised target dates from previous reporting cycles: n/a</p>
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		management information to support its oversight and decision-making.		
Case 143 - JS Direct Payment	H	This Direct Payment should be moved to an arranged provision as soon as possible, in order to prevent any further misspend and reduce the risk of potential fraud. Alongside this, the Service Director should also formally consider invoicing the family for repayment of the spend where it can be demonstrated that the family were informed or should clearly have known that the spend was inappropriate. This should not include the amount invoiced per recommendation 2 to avoid double counting.	30/09/2024	The service has confirmed that the direct payment has ceased and a care agency in place. An Officer has been to visit the family and discuss the misuse. Further discussions are needed before taking any further actions. Revised target date: 31 March 2025 Revised target dates from previous reporting cycles: n/a
Case 143 - JS Direct Payment	M	An invoice should be issued for the amount of c. £16,734 that has been refunded twice to XS's account. The service should create a reconciliation of the duplicate requests to the first requests in order to support the invoice and evidence the correct amount.	30/11/2024	The service has reported that Adult Finance Team and Direct Payment Monitoring Officer is undertaking final round of reconciliations of the account, in preparation for dispute meeting with Direct Payment Support Service, client and family. Revised target date: 31 March 2025 This is the first reporting cycle for which this action has been overdue.
Case 143 - JS Direct Payment	M	The Direct Payment Monitoring Team should formally raise the issue of duplicate refund requests to the DPSS and request that procedures be put in place to prevent this. For example: Refund request forms should be stored in a central location for each service user (on Wisdom/Mosaic), in order to prevent duplicate requests from being paid. The request forms should be saved to include the date of expenditure in the title, in yyyyymmdd format, to allow sorting by date. Before any refund requests are approved, it should be verified that no requests have already been submitted for the same date of expenditure. If they have, this should be reviewed to ensure that no duplicate requests exist between the refund forms. Any refund requests for expenditure over 6 months old must be approved by CCC Adult Social Care.	31/10/2024	The service has reported that the DPSS service requested more information from the DPMO team to establish the exact details of the issue. This has now been received and officers are in contact with the DPSS to finalise their response. Revised target date: 31 March 2025 This is the first reporting cycle for which this action has been overdue.