

THE ROYAL BOROUGH OF KENSINGTON AND CHELSEA

AUDIT AND TRANSPARENCY COMMITTEE MEETING 8 MARCH 2021

REPORT BY THE SHARED SERVICES DIRECTOR FOR AUDIT, FRAUD, RISK AND INSURANCE

DIRECT PAYMENTS (ADULT SOCIAL CARE)

The purpose of this report is to inform the Audit and Transparency Committee of the progress made in implementing the recommendations arising from the internal audit of Direct Payments to Adult Social Care clients.

FOR INFORMATION

1. EXECUTIVE SUMMARY

- 1.1 A limited assurance audit report was issued in October 2020, following a review of the processes in place for making Direct Payments within Adult Social Care. The outcomes of this audit were reported to the Committee in November 2020.
- 1.2 The Committee requested an update on this audit and, to allow the service time to report more fully, this update will be presented to the Committee at their meeting in June 2021.
- 1.3 An interim follow-up audit on the progress made to implement recommendations has recently been completed which are summarised in this report. Further follow-up will be undertaken when the impact of changes made, can be fully tested for compliance. This work is planned for the latter part of March 2020.

2. RECOMMENDATION

That the Committee consider and comment on the outcomes from the interim follow-up review and identify any issues that need to be addressed in the report from the service in June 2021.

3. BACKGROUND

- 3.1 An Internal Audit review was undertaken in 2017/18 on the systems and controls in place when making Direct Payments for Adult Social Care clients and a final report issued in June 2018. A total of 12 recommendations were made (one high, four medium and seven low priority). A follow up review on the implementation of these recommendations was planned for 2019/20. As some time had passed since the original audit, with changes in structures, responsibilities, staff and reporting it was agreed with the service that it would be more appropriate to undertake a full audit. This review was completed and a draft report issued in June 2020 and the final limited assurance report issued in October 2020.

4. INTERIM FOLLOW-UP OUTCOMES

- 4.1 Follow-up audits are undertaken to ensure that recommendations made are implemented as agreed and within the appropriate timescales. Some recommendations can be implemented more quickly than others but cannot always be tested for compliance until they have been in place for a period of time. As this was a limited assurance review, an interim review of the progress made to implement the recommendations was undertaken in January/early February with a further review of compliance planned for late March 2021.
- 4.2 The interim follow-up noted that the service is making progress with implementing the recommendations so that the processes operate effectively and efficiently for service users and the Council.

Recommendation Status	High	Medium	Low	Total
Total Number of Recommendations Made:	3	5	5	13
Number Implemented:				
	0	1	1	2 (15%)
Number Partially Implemented/In Progress:	2	3	2	7 (54%)
Number Not Implemented:	1	1	2	4 (31%)
Totals	3	5	5	13

- 4.3 It should be noted that the Direct Payments process involves various teams within Adult Social Care as well as the Council's Customer Delivery Team. All parties are continuing to work together to achieve the required outcomes and a full update will be provided to the Committee in June 2021.

David Hughes

Shared Services Director for Internal Audit, Fraud, Risk and Insurance

Background papers:

Internal Audit Reports

If you have any queries about this Report please contact:

Moira Mackie on 0780 0513192

Email: Moira.Mackie@rbkc.gov.uk

or

David Hughes on 07817 507695

Email: David.Hughes@rbkc.gov.uk