

<b>6 February 2013</b>		<b>ITEM: 6</b>
<b>Standards &amp; Audit Committee</b>		
<b>UPDATE ON FOLLOW-UP OF CARE PROCEEDINGS REVIEW</b>		
<b>Report of:</b> Cllr Philip Smith – Portfolio Holder Central Services		
<b>Wards and communities affected:</b> All	<b>Key Decision:</b> None	
<b>Accountable Head of Service:</b> Chris Harris – Head of Internal Audit		
<b>Accountable Director:</b> Martin Hone – Director of Finance & Corporate Governance		
<b>This report is Public</b>		
<b>Purpose of Report:</b> For the Standards & Audit Committee to note progress against the implementation of recommendations made in the review of Care Proceedings.		

## **EXECUTIVE SUMMARY**

At the request of the Standards & Audit Committee, this update sets out progress against the implementation of high and medium recommendations made in audit of Care Proceedings.

### **1. RECOMMENDATION:**

- 1.1 That the Standards & Audit Committee note progress made by management in implementing high and medium recommendations in the review of Care Proceedings.**

### **2. INTRODUCTION AND BACKGROUND:**

- 2.1** As part of the process for ensuring management act on the recommendations made in internal audit reports, the annual plan includes an allocation of days for follow-up work.
- 2.2** The Standards & Audit Committee has a responsibility for reviewing the results of the follow-up work to satisfy itself that management are acting on the recommendations made in a timely manner. The follow-up work carried out by the Internal Audit Service is a key source of assurance to the Standards & Audit Committee about the operation of the internal control environment.

### **3. ISSUES, OPTIONS AND ANALYSIS OF OPTIONS:**

- 3.1 The audit considered as part of the follow up review was Care Proceedings.
- 3.2 The follow-up process concentrates on the recommendations classified as high or medium. It requires management to provide evidence to support their responses that recommendations made have been adequately implemented. For recommendations categorised as low, Internal Audit accept management's assurance regarding their implementation.
- 3.3 A total of 5 recommendations were considered in this review. These comprised of 1 high, 2 medium and 2 low recommendations. All had reached their implementation date.
- 3.4 In conclusion, progress on implementation of recommendations is reasonable. All recommendations have either been actioned or are in progress.

#### **4. CONSULTATION (including Overview and Scrutiny, if applicable)**

- 4.1 The follow-up review is discussed with the Director of Finance & Governance and any concerns are raised with relevant Directors and Heads of Service.
- 4.2 All responses are discussed with management for their comments on progress and evidence obtained for high and medium recommendations.

#### **5. IMPACT ON CORPORATE POLICIES, PRIORITIES, PERFORMANCE AND COMMUNITY IMPACT**

- 5.1 The Council's corporate priorities were used to inform the annual audit plan. Recommendations made are designed to further the implementation of these corporate priorities and the follow-up review assists in this process.

#### **6. IMPLICATIONS**

##### **6.1 Financial**

Implications verified by: **F. Gardiner**  
Telephone and email: **01375 652147**  
**fgardiner@thurrock.gov.uk**

As this report is for information, there are no direct financial implications arising from this report.

## **6.2 Legal**

Implications verified by: **D. Lawson**  
Telephone and email: **01375 652087**  
**david.lawson@bdtlegal.org.uk**

As this report is for information, there are no adverse legal implications relating to the reporting progress.

## **6.3 Diversity and Equality**

Implications verified by: **S. DeAlyn**  
Telephone and email: **01375 652472**  
**sdealyn@thurrock.gov.uk**

There are no direct diversity implications arising from this report as it is for information purposes only.

## **6.4 Other implications (where significant) – i.e. Section 17, Risk Assessment, Health Impact Assessment, Sustainability, IT, Environmental**

As this report is for information, there are no other implications arising from this report.

### **BACKGROUND PAPERS USED IN PREPARING THIS REPORT):**

- Care Proceedings Review 2012-13

### **APPENDICES**

- Update on the Follow up of Care Proceedings – 2012-13

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