FOLLOW - UP AUDIT - PROGRESS REPORT FOR THE PERIOD JULY TO SEPTEMBER 2023.   Appendix B

The table below provides details of the results of follow-up audit where original audit weaknesses have not been implemented or were unable to test during the review:

AREA	SUMMARY OF WEAKNESS	AGREED ACTION	FOLLOW UP FINDINGS
Community Care East/West Follow Up	The Care Management policy or guidance notes were out of date at the time of the audit.	The Care Management guidance notes are being reviewed and updated as necessary in accordance with the new procedures and documentation that are being designed. These will be subject to formal DMT approval.	The Care Management policy and guidance notes are still currently in the process of development. **Audit Satisfied** - No
Community Care East/West Follow Up	There were instances identified where the Tier 1 Quality Assurance (QA) Self-Assessment form had not been completed and attached to the WCCIS system.	The process is being redesigned with the QA process being integrated within the ordinary procedures that must be completed by the practitioner within each case.	From a sample of ten service user examined during the Follow Up Audit , Tier 1 Quality Assurance (QA) forms had not been attached to WCCIS system in three instances. **Audit Satisfied** - No

Community Care East/West Follow Up	There were instances identified where a Consent to Share Information document had not been attached to WCCIS system.	The Consent to Share process is being redesigned where the information is captured and verified once. Consent to Share will form part of the Care Management and QA process that is integrated.	From the sample examined there was two instances the where Consent to Share document could not be verified. **Audit Satisfied** - No
Community Care East/West Follow Up	There was one instance identified where a review process had been completed but had not been recorded on the appropriate review document and attached to WCCIS system.	The new Care Management and QA process will enforce the completion of each stage before allowing the ability to move onto the next stage/document.	It was noted that in some instances reviews are being actioned and case notes are attached to WCCIS. However, it was noted that review forms were not always conducted annually and there was instances where a review could not be verified. **Audit satisfied** - No
Community Care East/West Follow Up	The Corporate Performance Team do not have access to the Tier 2 QA information.	A new policy and Quality Assurance process is being designed and will negate the requirement for this access.	The new Care Management and QA process is still in development therefore it was not possible to test this weakness during the Follow Up Audit. **Audit Satisfied** - Unable to test

Community Care East/West Follow Up	It could not be confirmed that the outcomes of the Tier 3 QA process had been fed back to the relevant practitioner.	The integrated QA process that is being designed will ensure accountability for the practitioners involved and will provide feedback to address any issues.	It was noted that no Tier 3 toolkits were attached to WCCIS. As the new Care Management and QA process is still in development it was not possible to confirm the process regarding Tier 3 toolkits. **Audit Satisfied** - Unable to test
Community Care East/West Follow Up	There were instances identified where the Tier 3 QA audit had not been completed within the Policy's one-month timescale.	A new Care Management and Quality Assurance process is being designed and will include achievable timescales for completion of activities.	It was noted during the Follow Up Audit that Tier 3 QA audits have yet to be undertaken by the service. **Audit Satisfied** -No
Community Care East/West Follow Up	Where a review identifies that a reassessment is required, it was apparent that there was a duplication of time and information in the completion of an Integrated Assessment and the review document.	The new Care Management and QA process will include redesigned forms which will focus on the fundamental principles that the Practitioner must consider and reduce instances of duplication.	As the Care Management and QA process is still in development it was not possible to test this weakness during the Follow- Up audit. **Audit Satisfied** - Unable to test