

## **Item: 6.3**

**Monitoring and Audit Committee: 10 June 2021.**

**Internal Audit Report: Carers (Scotland) Act 2016.**

**Report by Chief Internal Auditor.**

### **1. Purpose of Report**

To present the internal audit report on the Council's implementation of requirements of the Carers (Scotland) Act 2016.

### **2. Recommendations**

The Committee is invited to note:

#### **2.1.**

That Internal Audit has undertaken an audit on the progress made in implementing the requirements of the Carers (Scotland) Act 2016.

#### **2.2.**

The findings contained in the internal audit report, attached as Appendix 1 to this report, relating to the progress made in implementing the requirements of the Carers (Scotland) Act 2016.

**It is recommended:**

#### **2.3.**

That the Committee review the audit findings to obtain assurance that action has been taken or agreed where necessary.

### **3. Background**

#### **3.1.**

The Carers (Scotland) Act 2016 (the Act), was passed by the Scottish Parliament on 4 February 2016. The Act came into effect on 1 April 2018 with the aim of ensuring better and more consistent support for carers and young carers so that they can continue to care, if they so wish, in better health and to have a life alongside caring.

#### **3.2.**

The objective of this audit was to review the progress made in implementing the requirements of the Act.

## **4. Audit Findings**

### **4.1.**

The audit provides adequate assurance around the progress made in implementing the requirements of the Carers (Scotland) Act 2016.

### **4.2.**

The internal audit report, attached as Appendix 1 to this report, includes six medium priority and five low priority recommendations within the action plan. There are no high level recommendations made as a result of this audit.

### **4.3.**

The Committee is invited to review the audit findings to obtain assurance that action has been taken or agreed where necessary.

## **5. Corporate Governance**

This report relates to the Council complying with governance and scrutiny and therefore does not directly support and contribute to improved outcomes for communities as outlined in the Council Plan and the Local Outcomes Improvement Plan.

## **6. Financial Implications**

There are no financial implications associated directly with the recommendations in this report.

## **7. Legal Aspects**

Complying with recommendations made by the internal auditors helps the Council meet its statutory obligations to secure best value.

## **8. Contact Officers**

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Peter Thomas, Internal Auditor, email [peter.thomas@orkney.gov.uk](mailto:peter.thomas@orkney.gov.uk).

## **9. Appendix**

Appendix 1: Internal Audit Report: Carers (Scotland) Act 2016.



## Internal Audit

### Draft Audit report

### Carers (Scotland) Act 2016

Draft issue date: 17 May 2021

Final issue date: 26 May 2021

<b>Distribution list:</b>	<b>Head of Health and Community Care</b> <b>Interim Chief Social Work Officer</b> <b>IJB Chief Finance Officer</b> <b>Chief Officer IJB / Executive Director OHAC</b> <b>Executive Director of EL&amp;H</b>
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## Audit Opinion

Based on our findings in this review we have given the following audit opinion.

**Adequate**

**Some improvements are required to enhance the effectiveness of the framework of governance, risk management and control.**

A key to our audit opinions and level of recommendations is shown at the end of this report.

## Executive Summary

This audit reviewed progress made in implementing the requirements of the Carers (Scotland) Act 2016 (the Act).

We have provided an audit opinion of Adequate, which takes into account the Carers' Strategy Action Plan being progressed at the time of our review.

The Carers' Strategy Action Plan is overseen by the Carers' Strategy Group which now aims to meet every six weeks.

One of the key requirements of the Act is that carers can access support from the provision of a specific Adult Carer Support Plan (ACSP) or a Young Carer Statement (YCS) to identify carers' needs and personal outcomes. Under previous legislation, a carer had to provide 'regular and substantial care' in order to access a support plan.

The format of the ACSP and YCS replaced the previous requirements of a carer's assessment. At the time of our report the Council has not implemented either the format of the ACSP or YCS into its practices. Only a small number of carers in Orkney have received any form of assessments. Based on the limited amount of data available, this is not largely disproportionate to other local authorities in Scotland.

The scope of this audit was to review, specifically, compliance with the requirements of the Carers (Scotland) Act 2016. The review does not assess how well the cared for or carers are being supported, either by the Council or by any other organisation providing support to carers within Orkney. No inference should be taken from this report to the overall level of support given to carers generally within Orkney.

It is recognised that much of the work of the Service is in an emergency or crisis situation which requires immediate action. We also recognised that for the last 15 months in particular, the Service has operated with a number of staff vacancies across all levels and has had to manage competing priorities, not least in responding to the Pandemic.

The report includes 11 recommendations which have arisen from the audit. The number and priority of the recommendations are set out in the table below. The priority headings assist management in assessing the significance of the issues raised. There are no high-level recommendations made as part of this audit.

Responsible officers will be required to update progress on the agreed actions via Pentana Risk.

Total	High	Medium	Low
12	0	6	5

The assistance provided by officers contacted during this audit is gratefully acknowledged.

## Introduction

The Carers (Scotland) Act 2016 (the Act), was passed by the Scottish Parliament on 4 February 2016. The Act came into effect on 1 April 2018 with the aim of ensuring better and more consistent support for carers and young carers so that they can continue to care, if they so wish, in better health and to have a life alongside caring.

The Act is designed to support carers' health and wellbeing and help make caring more sustainable.

The Act requires to be taken account of when preparing health and social care services as well as within the context of other social care and health legislation, such as self-directed support.

This review was conducted in conformance with the International Standards for the Professional Practice of Internal Auditing.

## Audit Scope

The audit scope included a review of the Council's compliance to the following:

- that support to carers is based on the carer's identified needs and meets the local eligibility criteria.
- having a specific adult carer support plan (ACSP) and young carer statement (YCS) to identify carers' needs and personal outcomes.
- having an advice service for carers which provides information and advice on, inter alia, emergency and future care planning, advocacy, income maximisation and carers' rights.
- that consideration is given as to whether support should be provided in the form of a break from caring and the desirability of breaks from caring provided on a planned basis.

The findings of an audit report of self-directed support were considered by the Monitoring and Audit Committee on 26 September 2019. A review of self-directed support processes was not within the scope of this audit.

## Background

The Act aims to give adult and young carers new rights, whilst bringing together all the existing rights carers held, under one piece of legislation.

The Act places a duty on local authorities and health boards to prepare a local Carers' Strategy.

Orkney Health and Care's (OHAC) Carers' Strategy 2019 to 2021 (the Strategy), inter alia has the intent of delivering the requirements of the Act. In order to meet this intention, the Strategy details three objectives of particular importance, these being in relation to:

- Identifying both adult and young carers.
- Understanding the care that they provide and their support needs.
- Providing comprehensive and easily accessible information on the type of support available as well as how and where to get it.

The Act brings changes to how carers can access support through 'Adult Carer Support Plans' and 'Young Carers Statements'. Under previous legislation, a carer had to provide 'regular and substantial care' in order to access a support plan. This has been removed and all carers are now entitled to a support plan if they want one.

## Process

The Act establishes a process to determine whether a local authority has a duty to provide support to an individual carer to meet their identified needs, as illustrated by the Carer Support Pathway in Figure 1.



Figure 1

### Identification of Carers

Under the Act a 'carer' is an individual who provides or intends to provide care for another individual.

An 'adult carer' is a carer who is at least 18 years old and is not a 'young carer'.

A 'young carer' is a carer who is either under 18 years old or is over 18 but has remained at school since turning 18.

The term 'care' is not defined in the Act and so has its ordinary meaning. It therefore means the provision of what is necessary to the cared-for person in order to support their physical and mental health and wellbeing. This can encompass:

- a) medical or nursing care, such as helping someone to take medication or applying dressings;
- b) personal care, such as helping to wash, dress or eat;
- c) practical support, such as taking a person shopping or to medical appointments, cleaning or accompanying them to social events; and
- d) emotional support.

#### Adult Carer Support Plan / Young Carer Statement

Where a person self-identifies as a carer they may request an Adult Carer Support Plan (ACSP). If they appear to meet the definition of carer, the responsible local authority must prepare an ACSP.

When carers are identified by practitioners, whether in the community or acute settings, they must be offered an ACSP. If they accept the offer, the responsible local authority must prepare an ACSP.

Similarly, where a young person self-identifies as a carer they may request a Young Carer Statement (YCS). If they appear to meet the definition of a young carer, the responsible authority must prepare a YCS.

When a young carer is identified by practitioners, whether in the community or acute settings, they must be offered a YCS. If they accept the offer, the responsible authority must prepare a YCS.

#### Assessment to whether carer needs can be met by support to the cared-for person or universal Services.

This stage of the cycle is to consider which of the needs of the cared for person can be met through the Service, or one of its partners, or assistance to the cared-for person (other than 'replacement care' to provide a break from caring), or provided generally to persons in the area (i.e. by information and advice, universal services and community support). If needs are met wholly no further action is required at this time, but consideration should be kept under review.

If needs are met only in part or not at all, then the local eligibility criteria must be applied to the 'outstanding' needs.

#### Local eligibility criteria

The outstanding identified carer's needs are then assessed as to whether or not they meet the local eligibility criteria. If not, it needs to be decided whether discretionary power to provide support should be used.

#### Support planning

When a carer's needs meet the local eligibility criteria or the local authority decides to meet the carer's other identified needs the carer must be given the opportunity to choose one of the options for self-directed support (unless the carer is ineligible).

## Agreeing the final ACSP or YPS

The ACSP or YPS will require to be agreed with the carer before it is completed, and the support agreed to be put into place. The carer must be given a copy of the finalised ACSP or YPS.

## **Audit Findings**

### **1.0 Processes and Documentation**

- 1.1 The current format of the Adult Services Carer Assessment, used within the Council, went live on 21 February 2020. The Adult Services Carer Assessment is based on the Main Single Shared Assessment which was updated at the same time.
- 1.2. The current format of the Children's Services Carer Assessment went live on 10 July 2020. The Children's Carer Assessment is based on the Adult Carer Assessment.
- 1.3. Both the adult and the child carer assessments refer to meeting the requirements of the Social Care (Self-directed Support) (Scotland) Act 2013.
- 1.4. There is no reference within either document as to whether they are compliant with the Carers (Scotland) Act 2016 (the Act).
- 1.5. Both assessments make note that "the threshold for funded support is set at critical or substantial. Support may be funded at medium subject to the assessor's professional judgment in consultation with their management team."
- 1.6. The criteria at 1.5 is not compliant with the IJB's direction. At the meeting of the IJB on 6 December 2017 the Board noted, inter alia, that the critical requirement was to prioritise those most in need within the community at a time of diminishing resources. To this end the IJB agreed to direct Orkney Islands Council to provide support to those whose needs were assessed as meeting the critical or substantial threshold only.
- 1.7. Although there are now separate assessment documents being used for adult and young carers, and in practice it is quite conceivable that the needs of carers may be considered above the basic format of the templates themselves, both assessments are largely based on the Indicator of Relative Needs (IrON) scoring method which provides a summary of the cared for person's functional needs and/or their degree of dependence rather than the needs of the carer. Both documents commonly refer to the person rather than the carer. Each assessment format has over 50 references to "the person", which in the majority of instances, is referring to the cared for person.
- 1.8. While the Council may determine its own way of carrying out an ACSP, they must always cover:
  - 1.8.1. The nature and extent of the care the carer provides, and how this impacts on their wellbeing.
  - 1.8.2. How willing and able the carer is to provide care.
  - 1.8.3. Emergency plans.
  - 1.8.4. Future care plans.
  - 1.8.5. Information about the support that will be provided to meet the carer's identified needs.

- 1.8.6. Whether the carer's support should include a short break from caring/planned regular breaks from caring.
- 1.8.7. When the plan should be reviewed (and in subsequent reviews what impact the plan has had on achieving the carer's personal outcomes).
- 1.9. None of the compulsory criteria detailed at 1.8 are directly addressed in the current format of the Adult Carer assessment template.
- 1.10. A Young Carer Statement should cover:
  - 1.10.1. Personal circumstances such as discussing what life is like for the young carer including who they live with, things they like doing and what they normally do each day.
  - 1.10.2. Personal outcomes: establishing the young carer's aims, goals or hopes. This could be something like wanting to be able to spend more time with their friends or feeling more supported at school.
  - 1.10.3. Identified needs: the things the young carer needs to achieve their goals or personal outcomes.
- 1.11. None of the categories detailed at 1.10 are directly addressed in the current format of the Young Carer Assessment.
- 1.12. It is recommended that an ACSP and YCS template be developed which is focused on the carer and on achieving the carer's personal outcomes.

#### **Recommendation 1**

- 1.13. Crossroads Care Orkney has provided us with their Carer Assessment of Needs template. This document follows closer the Act's intended approach to ACSPs and YCSs in identifying carer needs and achieving personal outcomes.
- 1.14. It is recommended it be considered whether a standard format for an ACSP and YCS be developed and used jointly by the Council with its third-party partners in providing support to carers. Potentially schools, GPs, and sports coaches, may also be engaged in identifying young carers.

#### **Recommendation 2**

- 1.15. Scottish Ministers have made regulation, effective from 31 July 2021, relating to unpaid carers of people with terminal illness. The regulation requires a substantive conversation to take place with the unpaid carer within five working days of being notified (unless the carer asks for an alternative date). Furthermore, local authorities are to have an adult carer plan, or a young carer's statement in place, within ten days (unless the carer asks for an alternative date).

- 1.16. Processes should be developed to incorporate the regulation detailed at 1.15.

#### **Recommendation 3**

## **2.0 Identifying both Adult and Young Carers**

- 2.1. The total number of ACSPs and YCSs completed so far in Orkney, at the time of this report is 79, which is approximately 4% of the 1,978 known carers as published in the current

OHAC Carers Strategy. Section 7 of this document provides statistics from other local authorities for the purpose of benchmarking.

- 2.2. A database for recording ACSPs being requested, offered, completed or declined, to/by carers within Orkney could be an effective tool. Such a database could be formed and maintained either by the Council itself, or by a third-party partner. We understand that the PARIS software system used within the Council, includes a module, entitled care planning which is not currently used. Use of this module within the Council would not incur additional licensing costs but would need to be configured and is likely to require additional administrative effort. We have not audited the functionality of this module in detail.
- 2.3. It is recommended it be considered that a database be developed as part of managing the ACSP and YCS process.

#### **Recommendation 4**

- 2.4. The OHAC Carers Strategy refers to the Scottish Health Survey (SHeS) estimate of there being 759,000 carers and 29,000 young carers in Scotland (17% and 4% respectively). Applying these percentages locally would give an estimate overall total of between 3,500 and 4,000 carers in Orkney.
- 2.5. Research with Carers generally have revealed the following main reasons for it being difficult to identify people as carers:
  - 2.5.1. People providing care may not self-identify as a carer, or with the term, as they see their caring activities as an integral dimension of the relationship they have with the person being cared for. Women are more likely than men to view tasks as integral to their existing role rather than as separate "caring" role. (Jarvis & Worth, 2004).
  - 2.5.2. Often caring commences at a low level and can include "invisible tasks" such as giving care such as emotional support or monitoring the cared for person which are less recognised than the tangible caring tasks. More people come to identify as a carer when caring intensifies and at key junctures such as giving up employment to care.
  - 2.5.3. It can sometimes be difficult for one or both parties to accept that the other person now needs care.
  - 2.5.4. For young carers in particular, there may be a concern not to be seen as different or a perceived stigma of being a carer.
- 2.6. Promotion of support to carers, together with advertising its availability, should therefore attempt to overcome the barriers to self-identification of being a Carer.

### **3.0 Understanding the care that carers provide and their support needs**

- 3.1. One of the main purposes of Adult Carer Support Plans and Young Carer Statements is to identify and understand the support needs of individual carers and personal outcomes.
- 3.2. Training should take place for all Officers who provide support to carers to reinforce the purpose of ACSPs and YCSs and to fully understand the process and documentation to be prepared. It should be considered whether third parties are invited to the training.

## **Recommendation 5**

- 3.3. To ensure engagement and communication are effective, both parties should be aware of the purpose of the engagement, what their individual roles are, and the type of questions that will be asked.
- 3.4. It is recommended that there be prominence of communication, possibly on the Council's website on what carers can expect during the process of preparing the ACSP and YCS and what types of questions they will be asked, so they can think of what their answers will include, in advance.

## **Recommendation 6**

- 3.5. Although a local authority Carer Support Charter is not a legal requirement, such a charter could be considered as part of notifying commitment to supporting local carers.
- 3.6. It is recommended it be considered whether a local charter could form part of the communication for carers to be able to identify as carers and understand the types of support available.

## **Recommendation 7**

### **4.0 Providing comprehensive and easily accessible information on the type of support available as well as how and where to get it.**

- 4.1. The Council's website includes web pages detailing carer support available from the Council and third-party partners. On 20 October 2020 an OIC news web page entitled "Help-at-hand-for-carers" which includes advice and a case study was published. This page was viewed 50 times in the first month and has not been viewed since that time. A further web page "could you be an unpaid carer" has received 28 visits, 19 of which were within the first week of it being loaded. Crossroads Care Orkney also maintains a website for Carers in Orkney.
- 4.2. For websites to be an effective medium in providing information they need regular promotion and update.
- 4.3. It should be considered how the website is to be regularly maintained and promoted to carers. Information relating to short breaks for example should be included on the Council's website.

## **Recommendation 8**

- 4.4. Promotion of available support, other than on websites, has included, a radio news article, case studying a young carer on the radio and in local print media, and school visits. Crossroads Care Orkney has carried out engagement exercises and have a prominent post in their Office window.

### **5.0 Contracts with third parties**

- 5.1. Although not directly related to the implementation of the requirements of the Act, contracts with third party suppliers were reviewed during this audit.
- 5.2. The Council has three funding agreements in place with Crossroads Care Orkney.

5.3. Each of the three agreements expired on 31 March 2021. All agreements with third party partners should be kept up to date.

**Recommendation 9**

5.4. Each of the Agreements has a Service Level Agreement (SLA). In the opinion of Internal Audit, the expected activity is mainly set out in general terms.

5.5. It is recommended that for future funding agreements the level of service to be provided is set out in greater detail, after discussion with the partners. This would also facilitate on-going dialogue with third parties, giving them greater assurance that they are providing the service expected from them and assist on-going monitoring by the Council Service.

**Recommendation 10**

5.6. While acknowledging there are a limited number of third-party partners to provide support to carers in Orkney, there are contractual funding agreements made with these charities. There should be Non-Competitive Action (NCA) requests prepared and considered for these funding contracts.

**Recommendation 11**

**6.0 That carers feel adequately supported in their caring role.**

6.1. The Act places duties on Health Boards to ensure that carers feel adequately supported in their caring role.

6.2. The Local Government Benchmarking Framework (LGBF) indicators for 2019/20, included a question, inter alia, whether carers feel supported to continue their caring role. 41.06% of respondents either agreed or strongly agreed with the statement. The percentage of carers answering neither agree or disagree, disagree or strongly disagree are not published. 41.06% is the second highest response in Scotland, but is a decline from 48.89% for a comparable survey in 2017/18

6.3. The most recent comparable survey carried out by OHAC was as part of its consultation process for its Carers Strategy 2019 to 2021. In this survey carers were asked to respond to the following 4 statements, these being:

- Statement 1: I am supported to identify as a carer and am able to access the information I need.
- Statement 2: I am supported as a carer to manage my caring role.
- Statement 3: I am respected, listened to and involved in planning the services and support which both I and the person I care for receive.
- Statement 4: I am supported to have a life alongside caring, if I choose to do so.

6.4. Fifty two responses were received with 83% agreeing or strongly agreeing to this statement, a further 13% neither agreeing or disagreeing, with 2% or 1 person disagreeing and 2% or 1 person strongly disagreeing.

6.5. It is therefore important to note, when using statistical evidence, that for small sample sizes, differing surveys can produce quite differing results.

## 7.0 Comparison of Orkney to Other Scottish Local Authorities

7.1. There is only limited data available to compare Orkney's progress in completing ACSP and YCS for carers, to other Scottish local authority areas.

7.2. The report to the Scottish wide carer census 2018:2019 published the following table,

Table 1

	ACSP or YCS completed	ACSP or YCS declined
Adult Carers	71%	13%
Young Carers	68%	4%
All Carers	71%	11%

*Note: Based on 11,170 records with information relating to ACSPs and YCSs.*

7.3. However, the criteria for carers to be included in this census were whether they were offered an ACSP or YCS, or received specific support (such as respite) during the reporting period. The data in Figure 1, is therefore heavily weighted towards carers known to have had or been offered an ACSP or YCS and therefore not indicative of the percentage rates for all carers.

7.4. Some other local authorities have published data to the number of ACSP or YPS completed, we have summarised this in table 2.

Table 2

Council Area	Population	Number of recorded Carers	Estimated Number of Carers	Number of ACSP or assessments completed
City of Edinburgh	513,000	8,318	65,000	2017/18 - 596, 2018/19 - 909, 2019/20 - 936
Glasgow City Council	633,000	Not known	67,000	Approx. 2,000 per annum. Of which 68% were low level of support needs
Moray	96,000	Not known	Not known	253 ACSP by 3 May
Aberdeen City Council	229,000	Not known	Not known	112 ACSP by 31 Dec 2018

7.5. While acknowledging there is a limited amount of data to place assumption on, from the comparable data identified, Orkney's rate of completing adult and child assessment is not disproportionate to other local authorities.

## Action Plan

Recommendation	Priority	Management Comments	Responsible Officer	Agreed Completion Date
1 ACSP and YCS templates should be developed which are focused on the carer and on achieving the carers' personal outcomes.	Medium	<p>Services will design a template for both the ACSP &amp; YCS that include all mandatory categories.</p> <p>The ACSP &amp; YCS will confirm they are compliant with the Carers (Scotland) Act 2016.</p> <p>Development of the template will include the appropriate processes to ensure compliance with the Act.</p>	Principal Social Worker (Adult Social Work) / Social Worker (Children's Services) / Policy & Planning Officer	30 October 2021
2 Consideration should be given to engaging third-parties in providing support to carers in the development of the format of the ACSP and YCS templates	Medium	The Carers' Strategy Group will engage with the third sector, sharing the template (developed in response to Recommendation 1, above).	Carers' Strategy Group	30 November 2021
3 Processes should be developed and documented to support Orkney's compliance with the requirements of the Act	Medium	<p>See Recommendation 1.</p> <p>The ACSP and YCS templates (referred to in Recommendation 1) will include appropriate process notes.</p>	Principal Social Worker (Adult Social Work) / Principal Social Worker (Children's Services) / Project Manager	31 October 2021
4 A database should be considered as part of managing the ACSP and YCS's process.	Low	<p>A database of people offered an ACSP or YCS is in the process of being prepared by officers, as part of the work of the Carers' Strategy Group.</p> <p>A process is in development to capture when carers are offered an assessment, and decline, and</p>	Project Manager	30 September 2021

		when they were last offered an assessment.		
5 Training should take place for all Officers who provide support to carers to reinforce the purpose of ACSPs and YCSs and to fully understand the process and documentation to be prepared.	Medium	Services will ensure the identification and delivery of an appropriate training programme	Principal Social Worker (Adult Social Work) / Principal Social Worker (Children's Services) / – Project Manager	31 December 2021
6 The Council's website should provide guidance to carers on what to expect during the process of completing ACSPs and YCSs.	Low	Services will prepare an appropriate narrative to help carers to understand the type of questions they are likely to be asked, during the ACSP and YCS processes.  This will be posted to the Carers' section of the Council's website, and will be advertised on posting, via social media.	Principal Social Worker (Adult Social Work) / Principal Social Worker (Children's Services) / – Project Manager	30 September 2021
7 It should be considered whether a local charter could form part of the communication for carers to be able to identify as carers and understand the types of support available.	Low	The Carers' Strategy Group will consider a Carers' Charter and submit this to the October meeting of the IJB, for approval.	Carers' Strategy Group	31 October 2021
8 It should be considered how the website is to be regularly maintained and promoted to carers. Information relating to short breaks for example should	Low	Promotion of issues affecting carers, as well as information to help people identify as unpaid carers, is the subject of an ongoing campaign, overseen by the Carers' Strategy Group.  Promotional features have appeared in local print, audio and social media. Banner advertising	Carers' Strategy Group	30 September 2021

be included on the Council's website.		will shortly be undertaken at the premises of third sector partners. Information on short breaks can be found at <a href="https://www.orkney.gov.uk/Service-Directory/S/adult-respite-and-short-breaks.htm">https://www.orkney.gov.uk/Service-Directory/S/adult-respite-and-short-breaks.htm</a>		
As noted above, Recommendations 9-11 are not factors directly related to compliance with the Act. Nonetheless, these findings will be addressed by officers				
9 All agreements with third party partners in supporting carers should be kept up to date.	Medium	Officers will update all existing third sector partner agreements and endeavour to deliver renewed agreements on-or-before the expiry date.	Procurement Manager	31 March 2022
10 Service levels expected from third party partners should be set out in greater detail.	Low	Service Level agreements with third sector partners will be reviewed and updated during the third sector partner agreements review, as per Recommendation 10.	Procurement Manager / Head of Community Health and Social Care	31 March 2022
11 There should be Non-Competitive Action (NCA) requests prepared and considered to extend the funding contracts with third parties.	Medium	Officers will prepare the appropriate Non-Competitive Action requests.	Procurement Manager	31 March 2022

## Key to Opinion and Priorities

### Audit Opinion

Opinion	Definition
<b>Substantial</b>	The framework of governance, risk management and control were found to be comprehensive and effective.
<b>Adequate</b>	Some improvements are required to enhance the effectiveness of the framework of governance, risk management and control.
<b>Limited</b>	There are significant weaknesses in the framework of governance, risk management and control such that it could be or become inadequate and ineffective.
<b>Unsatisfactory</b>	There are fundamental weaknesses in the framework of governance, risk management and control such that it is inadequate and ineffective or is likely to fail.

### Recommendations

Priority	Definition	Action Required
<b>High</b>	Significant weakness in governance, risk management and control that if unresolved exposes the organisation to an unacceptable level of residual risk.	Remedial action must be taken urgently and within an agreed timescale.
<b>Medium</b>	Weakness in governance, risk management and control that if unresolved exposes the organisation to a high level of residual risk.	Remedial action should be taken at the earliest opportunity and within an agreed timescale.
<b>Low</b>	Scope for improvement in governance, risk management and control.	Remedial action should be prioritised and undertaken within an agreed timescale.