

Open Report on behalf of Executive Director, Resources & Community Safety

Report to:	Audit Committee
Date:	23 April 2012
Subject:	Adult Social Care Update

Summary:

This report provides an update on the progress in implementing actions arising from a number of Internal Audit reviews within Adult Social Care.

Recommendation(s):

The Committee note the content of the report and agree that outstanding recommendations / actions relating to Adult Social Care can be removed from the routine monitoring arrangements (Audit Tracker) in light of the new assurance arrangements put in place through the Adult Social Care Transformation Programme.

Background

- 1.1 Adult Social Care has been subject to a number of Internal Audit reviews in the past year where we recommended improvements to help support effective and sustainable service delivery. The Councils' Audit Committee has also received management assurances providing a reasonable level of confidence that actions had been taken.
- 1.2 Internal Audit was requested to undertake 'formal follow up' on these areas to provide *independent assurance* on the service delivery arrangements and to confirmation that actions had been implemented. A summary of each follow up audit is attached at Appendix A.
- 1.3 Most of the areas reviewed align with the strategic direction principle of:

'Integrity of our operational processes'

Ensuring people are safe and are provided with good professional standards of practice and care. This includes ensuring robust performance in the undertaking of assessments and reviews'.

- 1.4 Progress has been made to implement the improvement plans as a result of audit reviews. It is recognised that some of the actions have slipped given the challenges facing the service eg:
- Is going through significant change.
 - Is required to deliver its services with a significantly reduced budget, and continues to overspend operationally.
 - Has not had a stable management team.
 - Has recently revised its structure, and continues to embed changes in its culture.
 - Is required to manage many interdependencies between teams and activities.
- 1.5 Transformation of Adult Social Care has been put on a programme and project footing. A programme board has been set up to monitor and track delivery of the key priorities and projects. Delivery responsibilities and accountabilities on projects will be finalised by the end of May 2012. As stated, this will cover the 'integrity of operating processes' and will include the processes contained in Appendix A. Internal Audit work for 2012/13 will focus on supporting this programme by providing proactive advice on the redesigned systems / processes. We will be seeking to gain further assurance in key areas such as referrals and case management and the management of contracts, to ensure that improvements continue to be made.
- 1.6 We have also recently completed an audit of the Adult Social Care Transformation Programme and confirmed that there is 'a reasonable level of confidence that the Adult Social Care savings programme is being managed effectively, with good support available'. A copy of the report is attached at Appendix B.
- 1.7 The Assistant Director Adult Social Care, Glen Garrod, commenced his role on the 19th March 2012 – he will be attending the meeting to respond to questions the Committee may have on the future management and assurance arrangements.
- 1.8 Finally, Internal Audit will be working with Adult Social Care to co-ordinate the combined assurance from management, corporate functions / 3rd parties and Internal Audit on its critical systems and key risks – the Assurance Map. This will help provide the Management Board and Audit Committee with more insight and wider assurance.

Conclusion

Overall good progress has been made on implementing agreed management actions. It is acknowledged that there is still a lot of work to do in this area and this will be monitored through the Adult Social Care Transformation Programme and normal management arrangements.

Our Internal Audit work plan for 2012/13 includes key areas in Adult Social Care to provide independent challenge and assurance. Given that process improvements and redesign now forms part of the Adult Social Care Transformation programme we feel it would be appropriate to no longer routinely track outstanding recommendations relating to Adult Social Care – we will pick up any outstanding control issues as part of our work in 2012/13.

Consultation

a) Policy Proofing Actions Required

n/a

Appendices

These are listed below and attached at the back of the report	
Appendix A	Update of outstanding recommendations - Adult Social Care
Appendix B	Internal Audit Report - Adult Social Care Transformation Programme

Background Papers

No background papers within Section 100D of the Local Government Act 1972 were used in the preparation of this report.

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