



APPENDIX 1 – Amber Moderate Assurance Audit Review Outcomes

Audit: Department of Community & Children’s Services – Childcare Provision  (3 Amber, 7 Green priority recommendations)		
<p><u>Audit Scope:</u></p> <p>The City of London operates three OfSTED registered childcare provisions: the Sir John Cass (SJC) Playcentre, the Cass Child & Family Centre and an after school facility at the City of London Community Education Centre (COLCEC). The COLCEC provision was outsourced to the London Borough of Islington during 2010/11. Income budgets for 2011/12 were £40k (Sir John Cass Playcentre) and £50k for the Cass Child & Family Centre. This review focused upon arrangements in place at the Cass Child & Family Centre and the Sir John Cass Playcentre. This report refers to the findings at these centres.</p> <p>The review sought to provide assurance on the income, booking and purchasing arrangements for the City managed childcare provisions are effective. In additional, occupancy levels will be reviewed to determine the extent to which targets have been achieved.</p>	<p><u>Audit Findings:</u></p> <p>Generally the income and booking procedures in place at both of the centres are adequate. A number of minor issues were identified with the use and reconciliation of child care vouchers; however it was noted at the time of testing that steps were being taken to improve the arrangements. Opportunities were identified to improve the processes in place at each centre and to increase the alignment between the two. The proposed transfer in management responsibility for the SJC Playcentre; to the school; provides scope for closer working arrangements between the two centres</p> <p>Audit testing indicated that places at both centres are filled to an acceptable level and are adequately staffed with only minor opportunities for improvement identified.</p> <p>Following completion of our fieldwork the Governing Body of the Sir John Cass Foundation School agreed to the management transfer of the playcentre provision from January 2013; this should address a number of issues outlined in this report.</p>	<p><u>Management Response:</u></p> <p>All recommendations were agreed with the Chief Officer; with 9 of the recommendations been implemented before issue of the final report. The remaining green recommendation will be implemented by April 2013.</p>

Audit: Department of Community & Children's Services – Social Care – Individual Budgets  (4 Amber, 11 Green priority recommendations)

Audit Scope:

Individual Budgets are a central part of the Government's personalisation agenda, the drive to give service users greater independence through choice and control over the care and support services they receive.

The purpose of the review was to examine the adequacy of arrangements in place in respect of care assessment, monitoring and review; assurance that the resource allocation tool used during the assessment operates effectively and was used consistently by Social Workers; developing and maintaining support plans for service users; financial monitoring arrangements and determining progress against savings targets established for adult social care.

Audit Findings:

The majority of the City's individual budgets are administered via a 'council controlled budget' which mirrors the historic role of the City as the 'provider' of care rather than the 'enabler'. It was acknowledged during discussion with key DCCS personnel that this scenario does not fit with the overarching theme of the personalisation agenda which aims to place individuals in charge of their own care. An amber priority recommendation has been made to reduce the number of 'council controlled budgets' to only those with the most complex care needs in order to further embrace the personalisation agenda.

Overall, the policies and procedures in place to administer individual budgets are adequate and demonstrate an improvement upon previous arrangements. Procedures and supporting documentation developed to support the assessment, monitoring and review processes operate effectively although it was established that the financial reassessment process has not yet been agreed between the Social Care Team and the Finance Team within the Chamberlains department. In addition, minor improvements could be made to the procedure manuals to ensure they remain relevant and encompass processes fully.

Improvements could also be made in relation to the audit trail and the quality of supporting documentation held for each service user. Our testing determined that the support planning process operates effectively although there is scope to ensure that support plans are attached to electronic files to a greater extent.

Procedures in place to monitor the delivery and on-going appropriateness of individual care packages are effective. However, the financial monitoring processes had not yet been established.

Management Response:

A total of 15 recommendations were made; of which four were rated as amber recommendations. Three of the four amber recommendations will be fully implemented by April 2013 with the remaining implemented by July 2013 subject to the implementation of new software. The 11 remaining green recommendations will be implemented between March and July 2013 and are subject to the successful installation of the new records system.