

1. Meeting:	Audit Committee
2. Date:	20th July
3. Title:	Audit and Inspection Recommendations Update Report
4. Directorate:	Chief's Executive Department

5. Summary

This report summarises the progress against recommendations from across all key external audits and inspections of council services.

It is intended that this report provides a high level analysis of progress with a particular focus on outstanding recommendations and new inspections since the date of the last report (August 2010). A summary of the full inspection profile since 2007 is detailed within the table in Appendix A. In summary;-

Since the last report there have been 5 new inspections and external assessments resulting in 25 new recommendations. The inspections and external assessments were;

- CQC Adult Social Care (NAS)
- Customer Service Excellence (CEX)
- Core Case Inspection Youth Offending (CYPS)
- Adoptions Services (CYPS)
- Contact, Referral and Assessments Services (CYPS)

Including the ones above there have been a total of 339 recommendations since 2007. Of these;

- 311 have been completed (92%). Of these 40 have been completed since the last audit and inspection report in August 2010 (13%)
- 28 remain outstanding (8%). Of these 18 are related to new inspections and assessments.

6. Recommendations

That the Audit Committee:

- **Note the progress achieved against outstanding actions**
- **Note the actions detailed in the exception reporting on the outstanding recommendations**
- **Advice further actions as necessary**

7. Proposals and Details

The monitoring of Audit and Inspection recommendations provides evidence that the Council is able to respond to external challenge in a timely manner and is committed to continuous improvement. Additionally through analysing the recommendations we are demonstrating our ability to identify and rectify detrimental trends or issues and to deliver service improvement.

Progress against Recommendations

Since the previous August 2010 report progress against recommendations is good. This has resulted in a number of action plans being signed off as complete as either all recommendations have been implemented or subsequent inspections have assessed that there is no need to progress the issues of concern further. Subsequently future audit and inspection reports and associated appendices will omit their details. These are;

- Waste Management
- Joint Service Centres
- Customer Service Excellence 2009
- Local Authority Adoption Inspection (January 2008)
- Local Authority Fostering Inspection (June 2008)
- Private Fostering Inspection (June 2008)
- Integrating Services for CYP (February 2009)
- Adult and Family Learning Monitoring Review (April 2009)
- Review of Children's Services (April 2009)
- Local Authority Fostering Inspection (June 2009)
- Unannounced inspection of contact, referral and assessment arrangements (August 2009)
- Local Authority Fostering inspection (June 2010)

In addition to the above, following recognition by the Department for Education (DfE) of the significant progress made in Children's Services the Notice to Improve was lifted in January 2011 and CYPS were taken out of intervention. The monitoring of progress will now be managed by the Children's Improvement Panel.

Analysis of outstanding recommendations

Progress against all outstanding audit and inspection recommendations of council services are monitored by Performance & Quality Teams. Currently there are 29 recommendations which still need addressing. The table below highlights these recommendations on an exception basis where progress is of potential concern and may require attention, immediate action or further scrutiny.

Inspection	Area for Action
Maltby Joint Service Centre - Service and Performance (CEX & Finance)	<p>No update has been provided on 5 of the 6 recommendations in this report as these have been assigned to Duncan Smales, NHS Rotherham. However as the recommendations relate to joint working between NHS Rotherham and the Council therefore monitoring will be incorporated into the council's reporting regime also.</p> <p>Action: Discussions to be held with NHS Rotherham place to ensure that these recommendations are incorporated in to this reporting regime.</p>

Inspection	Area for Action
<p>Annual Performance Assessment 2008</p> <p>And Notice to Improve 2010 (CYPS)</p>	<p><i>R5 – Key Stage 2 standards remain below similar Councils and the national average. The rate of progress being achieved in primary schools is not keeping pace with similar councils</i></p> <p>Although improvements have been demonstrated within other education standards Rotherham continues to have systemic underperformance at Key Stage 2.</p> <p>Central Government financial and policy shifts have resulted in a reduced School Effectiveness Service (SES) and a redefining of the authorities' core remit and relationship with schools adding further challenges to this agenda.</p> <p>Action: SES are continuing to work intensively with the most vulnerable schools and has established a 'school improvement' settlement which is increasingly led, staffed and resourced by schools themselves – Rotherham School Improvement Partnership. School projections of KS2 outcomes are positive for 2011 and provisional results are available mid-July. DfE have now introduced an Early Action Area strategy for the 4 South Yorkshire LAs; a Rotherham Improvement Plan has been submitted and is awaiting approval by government.</p>
<p>Notice to Improve (CYPS)</p> <p><i>NB. Central Government have now lifted the Ntl however progress continues to be internally monitored by the Children's Improvement Panel</i></p>	<p><i>R2 – NI59) Increase the % of initial assessments for children's social care carried out within 7 working days of referral to 85% by the end of October 2010</i></p> <p>The 2010/11 outturn figure has provisionally been reported as 82.4% subject to validation. Whilst not hitting the stretched target imposed by the Notice to Improve, we have by far exceeded both the statistical neighbour and national averages.</p> <p>For the new reporting year, quarter one performance has dropped significantly to 76.7%. This drop was highlighted early in the quarter through improved performance management and resulted in a service redesign which commenced in May and current figures up to 12/07/2011 show a slight improvement to 77.2%.</p> <p><i>R2 – NI60) Increase the % of core assessments for children's social care carried out within 35 working days of their commencement to 87% by end of March 2011</i></p> <p>The 2010/11 outturn figure has been provisionally reported as 80% subject to validation. Whilst performance dipped in quarters 3 and 4 and the target has not been met, we still exceeded both statistical neighbour and national averages.</p> <p>For the new reporting year, quarter one performance has dropped significantly to 65.5% and work is ongoing with the teams to highlight reasons for underperformance and target improvement and current performance to 12/07/2011 shows a very slight improvement to 65.6%.</p> <p>Extensive actions have been taken to clear the backlog of assessments from 2010/11 which has had a detrimental affect on current in year performance. This work is now complete. A dedicated duty referral and assessment team has proven successful in the resource intensive Central Locality Team and will now be rolled out across the borough.</p> <p>Action: Dedicated duty referral and assessment teams to be implemented across the borough by end of 2011.</p>

Inspection	Area for Action
	<p><i>R18 - Implement the council's supervision policy so that all social workers receive supervision in line with the council's policy</i></p> <p>Four Social Work Practice Consultants (Field work) were appointed and started with the authority on June 6th. They are based with the fieldwork teams and have a brief to work specifically with NQSWs. NQSWs, as reported nationally, cite lack of support, supervision and high caseloads as a major stress factor. The SWPCs will be responsible for mentoring, guiding and supporting those staff. Development of skills, knowledge and competency of the NQSWs will improve the quality of service to the children for whom we provide service. Provision of accessible, consistent support to this group of staff should improve retention and ensure that staff have a higher level of competency and confidence in their skills. Additionally the pressure on field work team managers will be alleviated thus allowing them time to meet other essential priorities.</p> <p>Whilst progress has been noted in the frequency of supervision of social workers, the nature and quality of supervision has been identified as an area for development. Following the recent unannounced Ofsted Inspection which noted "the regularity and quality of formal supervision is variable and at times poor" this is clearly an area requiring attention. A new mandatory training programme for managers/supervisors has been introduced supported by a revised supervision policy. The focus of this training will be reflective, evidence based casework management. Monthly Action Learning Sets for Team Managers are also now scheduled, these are a new initiative and will be facilitated by Workforce Planning and Development. The Action Learning Sets will focus on areas for development as identified by the team managers themselves, Senior Managers and any issues identified by external bodies such as Ofsted, Serious Case Reviews and the Munro report.</p> <p>Action: Embed revised supervision policy Monitor training programme on action learning sets Introduce new supervision audit tool</p>
<p>Safeguarding & Looked After Children - 2009 (CYPS)</p>	<p><i>R5 - Improve the quality of social care supervision so that staff receive the right level of challenge, development and support.</i></p> <p>Briefing/training sessions held for Team Managers on quality supervision. Random audits take place by Director of Safeguarding and Corporate Parenting and senior management team. Personal supervision and case work supervision included in re-launched supervision policy. It is important that we continue to ensure that this is fully embedded across the service. Team manager supervision training sessions have been set up and are running on 27th and 28th June 2011.</p> <p><i>R9 - Develop the independent visiting service to ensure that all eligible children are able to have access to an independent visitor.</i></p> <p>There has been some drop out from the scheme mainly due to personal reasons or maternity issues. There are two ongoing matches and nine still in training with a further five in selection.</p> <p>The full implementation of the scheme is challenging due to the limited capacity of the children's rights officer.</p>

Inspection	Area for Action
	Action: A service review is to be commenced with a view to recommissioning in the VCS

New Inspection Reports received

There have been four new inspection judgements received since the last report. All these inspections have demonstrated an improvement on the previous judgements. A brief summary of their outcomes are below:

- **CQC Adult Social Care**

Out of seven areas of assessment four were rated as 'performing excellently' with the remaining three being rated as 'performing well'. Overall the quality of services were graded 'Performing excellently'

- **Customer Service Excellence**

'Continuous compliance' was achieved following the first annual corporate certification review. Assessors gave a 'compliance plus' (area of best practice) for arrangements with other providers and partners to offer and supply co-ordinated services; demonstrating benefits for customers. Areas for development include a corporate overview of customer satisfaction testing across the Council, improved target setting for customer satisfaction and consistently demonstrating the commitment to developing and delivering customer focused services through recruitment, training and development for staff.

- **Core Case Inspection Youth Offending Service (CYPS)**

No overall grade is given assessment is against three key areas of work; "Safeguarding", "Risk of Harm to Others" and "Likelihood of Reoffending". Inspectors consider their findings 'encouraging' with moderate improvements required in work related to Safeguarding and Risk of Harm to Others and only minimal improvement to Likelihood of Reoffending. Good work was highlighted regarding exit planning, community integration, the delivery of interventions and engagement with children and young people resulting in positive outcomes.

- **Adoption Service**

The service has retained its overall quality rating of "good". Ofsted stated that the service operates to a good standard in most of its undertakings and demonstrates excellence in others. There are few of the agency's practices that fail to meet standards. Key strengths within the report are; - a strong approach to recruiting and assessing prospective adopters, Adoption support which continues to improve, outstanding help for children to achieve well and enjoy what they do and the commitment and management of the service.

- **Unannounced inspection of contact, referral and assessment arrangements**

No overall grade is given in this inspection but this year's inspection report reflects the improvements which have been made to the service. Ofsted found no areas for priority action (a prerequisite for an inadequate Children's Service Assessment and notice to improve), only four areas for development and also highlighted an area of strength relating to the professional development of the social care workforce. This is a good result for Rotherham as it was the previous unannounced inspection which led to Government Intervention.

Forthcoming Inspection Activity

The following services are due inspections within the next six months:

- Food Standards Agency Audit (NAS)
- Fostering Services (CYPS)
- Adult and Community Learning (CYPS)
- Children's Services Assessment 2011 (CYPS)
- Customer Service Excellence – Continuous Appliance Assessment November 2011 (CEX)

Performance and Quality Teams are supporting the services with their preparations for these assessments and inspections.

8. Risks and uncertainties

Risks and uncertainties are highlighted in the table above and should be noted as a matter of interest in light of the potential impact on other aspects of Council performance.

It is essential that in this time of uncertainty and in the absence of any national performance regime (other than children and adult services) that we continue to be able to demonstrate continuous improvement and self regulation through the implementation of any previously recommended actions.

9. Policy and Performance Agenda Implications

Approaches to inspection and assessment of local authorities are being developed across Government in the light of the decentralisation and localism agenda. In future any central inspection will be focused on the most vulnerable i.e. help to maintain high standards in children's services and adult social care. Intervention will focus on cases of serious risk or failure.

However inspections still feature heavily within Children and Young People's Services and their associated external providers, over 540 settings will continue to be inspected (for example; schools, colleges, independent childminders) and each authority will receive an overall Children's Services Assessment score for 2011. Ofsted are currently reviewing the inspection frameworks and minimum standards across its entire remit with a view to reduce costs and burdens, and refocus on key priorities.

In addition Government is developing proposals for a new local audit regime with the Audit Commission, the National Audit Office, the Financial Reporting Council, Local Government Audit Firms and other interested parties. Consultation on the details of a new audit Framework completed on 30th June 2011 and the Government envisages that it may subsequently publish a draft Bill for pre-legislative scrutiny ahead of the final introduction of legislation to parliament. The Government has stated that reforms to the local audit regime are likely to take effect from 2012/13.

10. Background Papers and Consultation

- All inspectorates' reports, letters and action plans since mid 2007.
- All new and follow up audit reports.
- All inspectorate frameworks, arrangements and guidance documents

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Full Inspection & Audit Profile from 2007 to Present

[APPENDIX A]

With summary of progression against recommendations since the last report and in total

Inspection / Review (date)	External Assessor	Number of recommendations	Implemented at last report	Implemented since last report	Still outstanding	STATUS
Chief Executive & Financial Services						
Review of Local Area Agreements (2007)	KPMG	10	10	N/A	0	Complete
Use of Resources Judgement (2007)	KPMG	9	9	N/A	0	Complete
Addressing Health Inequalities (Jan 09)	AC	10	9	0	1	Ongoing
Use of Resources Judgement 2008	KPMG	16	16	N/A	0	Complete
EMQC Corporate Report (July 09)	EMQC	16	11	5	0	Complete
Use of Resources 09 (September 09)	KPMG	2	1	0	1	Ongoing
Review of Internal Audit (March 2010)	KPMG	3	3	N/A	0	Complete
Maltby and Aston Joint Service Centre - Financial Arrangements	KPMG	5	5	N/A	0	Complete
Maltby Joint Service Centre - Service and Performance	KPMG	6	1	5	0	Complete
Customer Service Excellence (January 2011)	EMQC	7	N/A	0	7	New Ongoing
Environment and Development Services						
Waste Management (September 07)	KPMG	19	16	3	0	Complete
Neighbourhoods and Adults Services						
ALMO (November 08) * including 5 recs. from previous inspection ** including 1 rec. which is now tracked via liaison meetings	AC	*35	**34	0	1	Ongoing
PDSI / Safeguarding Inspection (June 09)	CQC	20	20	N/A	0	Complete
Adult Social Care Annual Assessment 2009 (November 09)	CQC	13	13	N/A	0	Complete
Adult Social Care Annual Assessment 2010 (October 10)	CQC	3	N/A	0	3	New Ongoing
Children's Services						
Local Authority Adoption (Jan 2008)	Ofsted	17	16	1	0	Complete
Local Authority Fostering Inspection (June 08)	Ofsted	22	22	N/A	0	Complete
Private Fostering (June 08)	Ofsted	2	2	N/A	0	Complete
Annual Performance Assessment (December 08)	Ofsted	10	9	0	1	Area of Concern
Fostering Monitoring (January 09)	Ofsted	7	7	N/A	0	Complete
Adult and Family Learning Monitoring Review (April 09)	Ofsted	2	2	N/A	0	Complete
Review of Children's Services (April 2009)	Children's First	36	36	N/A	0	Complete
Fostering Inspection (June 09)	Ofsted	5	5	N/A	0	Complete
Unannounced inspection of contact, referral and assessment arrangements (August 2009)	Ofsted	8	7	1	0	Complete
Notice to Improve (December 09)	Ofsted	22	17	1	4	Areas of Concern
Local Authority Fostering (June 2010)	Ofsted	9	N/A	9	0	Complete
Safeguarding / Looked After Children (July / August 2010)	Ofsted	10	N/A	8	2	Area of Concern
Core Case Inspection - Youth Offending Service	Youth Justice	7	N/A	5	2	New Ongoing
Local Authority Adoption (Jan 2011)	Ofsted	4	N/A	2	2	New Ongoing
Unannounced inspection of contact, referral and assessment arrangements (May 2011)	Ofsted	4	N/A	0	4	New Ongoing
Total Recommendations		339	271	40	28	