

## ROTHERHAM METROPOLITAN BOROUGH COUNCIL

|                        |   |
|------------------------|---|
| <b>1. Meeting:</b>     | <b>Audit Committee</b>                                    |
| <b>2. Date:</b>        | <b>19<sup>th</sup> October 2011</b>                       |
| <b>3. Title:</b>       | <b>Audit and Inspection Recommendations Update Report</b> |
| <b>4. Directorate:</b> | <b>Chief's Executive Department</b>                       |

### **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 (July 2011). A summary of these are detailed within the table in Appendix A. In summary;-

- Since the last report there have been no new inspections or external assessments.
- There are currently ten action plans relating to Inspection and Audit recommendations which are still "active" in the authority (ie contain outstanding recommendations which are still relevant)
- Across these action plans nine recommendations have been completed since the last report and fifteen remain outstanding

### **6. Recommendations**

**That the Audit Committee:**

- **Note the progress achieved against outstanding actions**
- **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 July 2011 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;

- Use of resources (2009)
- Core Case Inspection - Youth Offending Service (2010)

### **Analysis of outstanding recommendations**

Progress against all outstanding audit and inspection recommendations of council services are monitored by Performance & Quality Teams. Currently there are 16 recommendations which still need addressing. Although some of these recommendations have experienced some slippage against original target dates there are no new areas of concern.

### **New Inspection Reports received**

There have been no new inspection judgements received since the last report.

### **Forthcoming Inspection Activity**

As reported previously 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**

Any risks and uncertainties are highlighted in the report 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.

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 30<sup>th</sup> 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

### **Contact Names:**

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## Summary of Recommendations from “Active” Inspection & Audit action plans (which took place from 2007 to Present)

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 | Overall Completion Date for Recommendations | STATUS   |
|---|-------------------|---------------------------|----------------------------|-------------------------------|-------------------|---|----------|
| <b>Chief Executive &amp; Financial Services</b>   |                   |                           |                            |                               |                   |   |          |
| Addressing Health Inequalities (Jan 09)   | AC                | 10                        | 9                          | 0                             | 1                 | 2012  | Ongoing  |
| Use of Resources 09 (September 09)  | KPMG              | 2                         | 1                          | 1                             | 0                 | Sep 11                                      | Complete |
| Customer Service Excellence (January 2011)  | EMQC              | 7                         | N/A                        | 4                             | 3                 | Dec 11                                      | Ongoing  |
| <b>Environment and Development Services</b>   |                   |                           |                            |                               |                   |   |          |
| <i>No current/active inspection action plans</i>  |                   |                           |                            |                               |                   |   |          |
| <b>Neighbourhoods and Adults Services</b>   |                   |                           |                            |                               |                   |   |          |
| ALMO (November 08)<br>* including 5 recs. from previous inspection<br>** including 1 rec. which is now tracked via liaison meetings | AC                | *35                       | **34                       | 0                             | 1                 | 2014  | Ongoing  |
| Adult Social Care Annual Assessment 2010 (October 10)   | CQC               | 3                         | N/A                        | 1                             | 2                 | Dec 11                                      | Ongoing  |
| <b>Children's Services</b>  |                   |                           |                            |                               |                   |   |          |
| Annual Performance Assessment (December 08)   | Ofsted            | 10                        | 9                          | 0                             | 1                 | Mar 10                                      | Ongoing  |
| Safeguarding / Looked After Children (July / August 2010)   | Ofsted            | 10                        | N/A                        | 0                             | 2                 | Nov 10                                      | Ongoing  |
| Core Case Inspection - Youth Offending Service  | Youth Justice     | 7                         | N/A                        | 2                             | 0                 | Dec 11                                      | Complete |
| Local Authority Adoption (Jan 2011)   | Ofsted            | 4                         | N/A                        | 0                             | 2                 | Jan 12                                      | Ongoing  |
| Unannounced inspection of contact, referral and assessment arrangements (May 2011)  | Ofsted            | 4                         | N/A                        | 1                             | 3                 | May 12                                      | Ongoing  |
| <b>Total Recommendations in “Active” Inspection &amp; Audit action plans</b>  |                   | <b>92</b>                 | <b>53</b>                  | <b>9</b>                      | <b>15</b>         |   |          |