

**WIRRAL COUNCIL**

**AUDIT AND RISK MANAGEMENT COMMITTEE**

**26 NOVEMBER 2012**

<b>SUBJECT:</b>	<b>PROGRESS REPORT OF ACTIONS TAKEN TO IMPLEMENT OUTSTANDING RECOMMENDATIONS IN RELATION TO DASS: PERSONAL BUDGETS</b>
<b>REPORT OF:</b>	<b>GRAHAM HODKINSON - DIRECTOR OF ADULT SOCIAL SERVICES</b>
<b>RESPONSIBLE HOLDER</b>	<b>PORTFOLIO COUNCILLOR CHRISTINE JONES</b>

**1. PURPOSE OF REPORT**

- 1.1 The purpose of this report is to respond to a request from the Audit and Risk Management Committee on 19 September 2012 that a progress report regarding the actions taken to implement the outstanding recommendations in relation to the Department of Adult Social Services (DASS) Personal Budgets Audit Report, in line with the revised target dates, be presented to the next meeting of both the Audit and Risk Management Committee and the Health and Wellbeing Overview and Scrutiny Committee.

**2. BACKGROUND**

- 2.1 The Audit and Risk Management Committee on 19 September 2012 were presented with comments by the Chief Internal Auditor regarding an audit report that had been carried out in June 2011 in relation to the use of Personal Budgets in DASS.
- 2.2 Whilst it was acknowledged that there had been slippage from the original dates planned for compliance, Members expressed a view that, when issues were brought to the attention of the Committee as a high priority, an action plan, with named responsible officers, should be presented and that there should also be an automatic referral to appropriate Overview and Scrutiny Committees.
- 2.3 The items of note concerning DASS: Personal Budgets showed that eleven recommendations had been made: six of high priority and five of medium priority. The recommendations related to:
- The production of a checklist to provide evidence that the service user understands the choices and rules relating to their personal budget. **(HIGH)**

- A review of the resource allocation system so as to ensure that this is still the most appropriate. **(HIGH)**
- A review of the Indicative budget following the completion of phases 1-3. **(MEDIUM)**
- Review of information capture to ensure consistency. **(MEDIUM)**
- Review of the carers' Resource Allocation System (RAS) on a six monthly basis. **(MEDIUM)**
- Review of the allocation system to ensure this is still the most appropriate system. **(HIGH)**
- Updating Members annually on the resource allocation system and any amendments made to it. **(MEDIUM)**
- Introduction of a feedback form monitoring system. **(HIGH)**
- Review of the funding formula used for the voluntary sector. **(HIGH)**
- Enquiries with the voluntary sector to ensure sufficient staff resources. **(MEDIUM)**
- Endorsement of a quarterly report presented to the Safeguarding Adult Partnership Board, and actions arising clearly minuted. **(HIGH)**

2.4 The original implementation timescales indicated that all recommendations would be implemented by April 2012. The follow up audit was commenced during June 2012, and although an assurance had been provided that one recommendation had been implemented and the remaining ten in the process of being implemented, evidence of implementation progress had not been provided. Revised target dates for implementation have been set, of September and October 2012, representing significant slippage from the original dates indicated.

2.5 Since this time DASS has undertaken a thorough review of the audit recommendations and agreed response with the Internal Audit section. Attached at Appendix 1 are the various Audit Findings and the Departmental response to the Audit report showing revised comments following the "Follow up Audit" and timescales.

### **3.0 RELEVANT RISKS**

3.1 The "personalisation agenda" represents a paradigm shift in the way social care is accessed by those people who are deemed eligible to receive support. The audit of the process is welcomed and supportive and has helped identify areas of risk that are considered in this report.

#### **4.0 OTHER OPTIONS CONSIDERED**

4.1 The proposed responses to the audit recommendations are considered to be the most relevant and have been developed having considered various other options available to the Department.

#### **5.0 CONSULTATION**

5.1 None.

#### **6.0 IMPLICATIONS FOR VOLUNTARY, COMMUNITY AND FAITH GROUPS**

6.1 Voluntary, community and faith sector are integral to the development of the personalisation agenda.

#### **7.0 RESOURCE IMPLICATIONS: FINANCIAL; IT; STAFFING; AND ASSETS**

7.1 No implications have been identified at this stage.

#### **8.0 LEGAL IMPLICATIONS**

8.1 None identified.

#### **9.0 EQUALITIES IMPLICATIONS**

9.1 Has the potential impact of your proposal(s) been reviewed with regard to equality?  
No impact has been identified at this stage.

#### **10.0 CARBON REDUCTION IMPLICATIONS**

10.1 None.

#### **11.0 PLANNING AND COMMUNITY SAFETY IMPLICATIONS**

11.1 Planning permission is not required.

#### **12.0 RECOMMENDATIONS**

12.1 That committee comment on the Departmental response to the audit.

## 13.0 REASONS FOR RECOMMENDATIONS

13.1 To respond to the request of the Audit and Risk Management Committee to provide a report regarding the progress on the personalisation audit.

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## APPENDICES

*Appendix 1 - Audit Findings and the Departmental response to the Audit report*

## REFERENCE MATERIAL

Internal Audit Report – Department of Adult Social Services Personal Budgets – 22 June 2011

## SUBJECT HISTORY (last 3 years)

<b>Council Meeting</b>	<b>Date</b>
Audit and Risk Management Committee – Items of note arising from June 2012 update	19 September 20112

### Audit Findings and the Departmental response to the Personalisation Audit report

Ref	Recommendation	Comments	Timescale
1	<p>Finding: Although service users are provided with information on the choice and rules around spending their Personal Budget, currently there is no record signed by the service user to confirm that they have received all the relevant information. There is no national guidance as to what is acceptable.</p>		
	<p>(i) Consideration should be given to producing a "Checklist" which details the information which should be provided and explained to the service user.</p> <p>(ii) The "Checklist" should be signed and dated by the social worker and countersigned by the service user to confirm they fully understand the choices and rules around spending their Personal Budget.</p>	<p>The Self Directed Assessment now has detailed consents and permissions sections inserted into it so that the customer is aware of what they are agreeing to and who will have access to the information they are sharing with the Department of Adult Social Services.</p>	<p>Completed</p>

2	<p><b>Finding:</b> Wirral did not consider alternatives but had received a positive verbal feedback from a consultant from the OLM Group</p>		
	<p>The current system should be reviewed within 6 months to ensure that it is still the most appropriate system.</p>	<p>The Resource Allocation System (RAS) has been under continual review. An evaluation of the financial element of the system has been completed, but work is still outstanding on reviewing the systems and processes to support the customer journey. This review is now underway with testing and modelling based on the lessons learnt from the financial analysis highlighted above.</p> <p>A paper outlining the proposed changes will be presented to Strategic Leadership Team and to Cabinet in February 2013. Any changes agreed by Cabinet will be implemented from 1st April 2013.</p>	<p>February 2013</p>
3	<p><b>Finding:</b> DASS are currently undertaking a review of phase 1 and 2. For phase 3 DASS are involved in a national survey with Lancaster University and the results will be due in October 2011</p>		
	<p>Once the results of phases 1 to 3 have been analysed, DASS should undertake a review of the RAS Indicative Budget and make any necessary adjustments.</p>	<p>Since June 2011 the process of analysing phases 1 to 3 has been superseded by the RAS review referred to in point 2 above.</p> <p>An evaluation of the financial element of the system has been completed, but work is still outstanding on reviewing the systems and processes to support the customer journey. This review is now underway with testing and modelling based on the lessons learnt from the financial analysis highlighted above.</p> <p>A paper outlining the proposed changes will be presented to Strategic Leadership Team and to Cabinet in February 2013. Any changes agreed by Cabinet will be implemented from 1st April 2013.</p>	<p>February 2013</p>

4.	Finding: DASS are currently undertaking a review of phase 1 and 2. For phase 3 DASS are involved in a national survey with Lancaster University and the results will be due in October 2011		
	Once the results of phases 1 to 3 have been analysed, DASS should undertake a review to ensure that support information is being capture consistently.	The customer journey has been reviewed leading to changes, based on the information captured through this process. The information on support plans will be consistently quality assured through a central panel, from December 2012, which will consider all personal budgets / direct payments in future.	December 2012
5	Finding: Evidence has not been provided to confirm whether the identified risk [that the annual budget] may not be sufficient to provide services has been addressed.		
	To ensure the budget for carers is adequate the carers RAS should be reviewed at 6 monthly intervals.	<p>A full review of the Carers budget is in progress this is being carried out in consultation with Carers and the Wirral Carers Association. The consultation runs from Monday 15th October and closes Friday 14th December.</p> <p>The results of the consultation will be evaluated, and the proposed changes revised in light of the evaluation. The evaluation will include the carers' consultation group which includes the chairs of the Carers Development Committee, Links and the Carers Association. The evaluation will include the results of the annual carers survey and the results and recommendations of the evaluation will feed into the carer's strategy</p> <p>A paper outlining the proposed changes will be presented to Strategic Leadership Team and to Cabinet in February 2013. Any changes agreed by Cabinet will be implemented from 1st April 2013.</p>	February 2013

6	Finding: DASS considered separate allocation systems but decided on one system for all care groups.		
	The current allocation system should be reviewed within 6 months to ensure that it is still the most appropriate system.	<p>An evaluation of the financial element of the system has been completed, but work is still outstanding on reviewing the systems and processes to support the customer journey. This review is now underway with testing and modelling based on the lessons learnt from the financial analysis highlighted above.</p> <p>A paper outlining the proposed changes will be presented to Strategic Leadership Team and to Cabinet in February 2013. Any changes agreed by Cabinet will be implemented from 1st April 2013.</p>	February 2013
7	Finding: Information is obtained from the service users and is used to produce reports for SLT. However, the information is not available to Members or the public.		
	Annually, DASS should update Members on the RAS allocation system.	Once the review of the RAS is completed an update will be provided to members. In future the annual update will feature as part of the budget setting process.	February 2013



8	Finding: Although social workers have verbally indicated to managers that "Feedback Forms" have been issued, but on an ad-hoc basis, to service users, none have been returned to DASS.		
	<p>(i) A "Feedback Form" monitoring system should be introduced. It should include details of date issued, date returned, name of social worker, name of service user, an analysis of the responses and details of any follow up action.</p> <p>(ii) Periodically the monitoring system should be reviewed by a Manager, confirmed by signature and date and detail any supervisory action.</p>	The Department is currently working with people who use services and carers to develop the feedback form; this is being piloted in residential care which is informing the development.	Partially completed
9	Finding: DASS have indicated that there is no expectation that funding to the voluntary sector will reduce.		
	Due to the take up of Personal Budgets, DASS should review the formula used when calculating the funding to the voluntary sector.	Cabinet agreed in December 2012 that a review should take place of the funding by the department of the Voluntary, Community and Faith Sector. Recommendations are now in development and will form part of the 2013 Budget Consultation exercise. Therefore this audit recommendation is no longer relevant.	February 2013

10	<b>Finding:</b> Evidence has not been provided to confirm whether the identified risk has been addressed.		
	Enquiries should continue with the voluntary sector to ascertain whether they have sufficient staff resources to provide services to service users.	This work is covered by the work outlined in point 9 above  Therefore this audit recommendation is no longer relevant.	February 2013
11	<b>Finding:</b> A quarterly report is presented to the Safeguarding Adult Partnership Board. However, it does not indicate what action, if any, is undertaken to assure itself that safeguarding, fraud and reputational risk have been minimised.		
	The Safeguarding Adult Partnership Board should endorse the quarterly report and minute what action is agreed.	The Safeguarding Adult Partnership Board business plan (2011/12) contains a workstream: "To improve the functioning and accountability of the Board". This outlines 7 actions to address the audit recommendation; these have been completed and the workstream has been reviewed and refreshed for the annual report and business plan 2012/13.	Completed