

Appendix 2b: Other Audits and Grant Claims

Adult Social Care File Quality Assurance Review

The Adult Social Care File Audit Framework is still in the early stages of development. Therefore the planned audit will be re-programmed to take place once the framework is in operation.

Internal Audit has shared sources of good practice identified that can be used to develop the framework with Adult Social Care. Some time will be allocated in this year's audit plan for providing feedback on its content for management to consider before its implementation.

The Adult Social Care team will update the Safeguarding Vulnerable Adults Board with the current position in developing the framework, and will keep them updated with progress until it is implemented.

Extended Troubled Families Programme, Payments by Results Scheme

Objective

To critically challenge and support the verification and validation processes being developed and agree the evidential arrangements that will ensure compliance with Department of Communities and Local Government's (DCLG) Extended Financial Framework for making Payments by Results (PBR) Claims.

Background

A new extended Troubled Families programme has been launched by the DCLG. As a result:

- all councils are required to produce a Family Outcome Plan detailing how the six headline areas to be covered by the extended PBR scheme, would be addressed and measured
- there is an expectation that Internal Audit and teams working with Troubled Families “jointly agree the evidential expectations required to claim results” detailed in Family Outcome Plans
- the Streets Ahead team is reviewing its business process and IT arrangements for data collection, monitoring and reporting to improve their overall efficiency, and so help ensure accurate PBR claims are made.

Themes

The Streets Ahead team has made good progress in developing a database and the supporting business processes needed to:

- improve the arrangements for monitoring and making PBR claims to the DCLG
- meet the expectations of the national reporting requirements.

They recognise and accommodate the:

- intricacies of the DCLG's PBR requirements e.g. the significance of measuring differing outcomes in defined time periods for a PBR to be claimed

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- need for data integrity e.g. key data fields being locked down to prevent data being corrupted / altered after its initial input.

A number of the arrangements for evidencing entry and exit criteria to the extended scheme and ensuring the scheme's eight key principles can be demonstrated have been agreed with the Streets Ahead team. This includes, for example, the arrangements for identifying additional family problems which require support after families have met two of the six headline criteria for entry to the scheme (principle 2).

In addition management controls have been agreed to confirm sufficient evidence is available for entry to the programme.

Internal audit will continue to work with the team:

- as the database and business processes develop further
- to confirm evidencing arrangements around the remaining outcomes detailed in the Family Outcome Plan.

Troubled Families Programme, Payments by Results Scheme Grant

Objective

To assess compliance with the terms and conditions of the Department for Communities and Local Government's (DCLG) Financial Framework for making Payment by Result (PBR) Claims.

Background

The Financial Framework requires that claims are approved within each local authority's own internal audit arrangements under the authority of the Chief Executive. The Chief Executive and Head of Internal Audit are required therefore to satisfy themselves that the evidence supporting PBR claims made in respect of individual families is in line with the DCLG's Financial Framework scheme.

Opinion: June 2015, substantial sign off of the claim.

Themes

The procedures that the Streets Ahead team has introduced to reduce the risk of duplicate claims being made are effective as no duplicate claims were identified in this claim period.

Of the 26 claims submitted, 10 were independently reviewed by the Group Manager which was in line with agreed protocols.

Of the six cases randomly selected for audit testing:

- three were signed off as being compliant with the DCLG's requirements and the agreed protocol arrangements
- evidence was not available to confirm the education exit criteria had been met by all children within the household for the remaining three claims as some children attended schools or colleges outside the borough. Evidence was, however, available to show all other entry and exit criteria identified had been met.

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This is the last claim the Streets Ahead team will submit under Phase 1 of the Troubled Families programme. The current internal audit protocol is being used to inform the evidential requirements and the audit approach to be applied in Phase 2 of the programme. This will include evidence for cases involving improved attendance when children in a family attend a school or college outside the borough.