

PART 1 - PUBLIC

Decision Maker: **Adult and Community PDS Committee**

Date: **27th July 2010**

Decision Type: Non-Urgent Non-Executive Non-Key

Title: **REFERENCE FROM AUDIT SUB-COMMITTEE - REVIEW OF THE TRANSITION TEAM**

Contact Officer: Philippa Stone, Democratic Services and Scrutiny Officer
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Chief Officer: Mark Bowen, Director of Legal, Democratic and Customer Services

Ward: N/A

1. Reason for report

At its meeting on 23rd March 2010, the Audit Sub-committee received an update regarding a review of the Transition Team and a number of recommendations, including one priority one recommendation, which had been made. Members expressed concern over the findings of the audit and the issues which had been raised and questioned whether the issues which had been raised could be related to the operation of the Carefirst Management Information System and felt that, overall, the findings of the audit should be referred to both the Adult and Community Services PDS Committee for consideration.

2. **RECOMMENDATION(S)**

That the report be noted and consideration be given to whether the deficiencies highlighted by the audit were attributable to any failure in the Carefirst Management Information System;

Corporate Policy

1. Policy Status: Existing policy.
 2. BBB Priority: Excellent Council.
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Financial

1. Cost of proposal: N/A
 2. Ongoing costs: Recurring cost.
 3. Budget head/performance centre: External Audit
 4. Total current budget for this head: £328,000
 5. Source of funding: N/A
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Staff

1. Number of staff (current and additional): PwC team
 2. If from existing staff resources, number of staff hours: N/A
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Legal

1. Legal Requirement: Statutory requirement. Code of Audit Practice
 2. Call-in: Call-in is not applicable.
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Customer Impact

1. Estimated number of users/beneficiaries (current and projected):
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Ward Councillor Views

1. Have Ward Councillors been asked for comments? N/A.
2. Summary of Ward Councillors comments: None

3. COMMENTARY

3.1 The Assistant Director Resources (Audit and Technical), in his "Internal Audit Progress Report" to the Audit Sub-Committee provide an outline of an audit that had been undertaken on the Transition Team, which supports young people that have learning difficulties and their parents and carers. The relevant section of the report is copied below.

3.2 Transition Team

a. The 2009/10 budget for the transition team is £265,480. The team supports young people aged from 14 to 22 that have learning disabilities and their parents and carers. The team liaises with other service areas such as the Children with Disabilities Team and the Leaving Care Team amongst others.

b. A review of the above resulted in a few recommendations including one priority one. A sample test of 20 showed that three adult learning disabilities core assessments could not be located, with a further three unsigned. Additionally it was found that four referral cases had yet to be transferred over from the Children with Disability Team at the time of the audit with a further referral case that had not been transferred from the Leaving Care Team.

c. In addition to the priority one there were five other lower priority recommendations in respect of working conditions, transfer of all client related files, review of caseload and transfer of cases in line with the transfer protocol, updating policies and procedures and undertaking and agreeing transition plans for both 14+ and 16+ clients. This has resulted in a limited assurance opinion.

d. There has been a positive management response to implement these recommendations.

e. **Director of Adult and Community Services Comments**

f. The accommodation issues at Bassetts have been resolved by changing the use of some of the rooms in the main building so that the Transition Team have more office space. This has also improved storage for files and other documents. A programme of conversion of paper records into electronic documents is underway and it is intended that the Transition Team's files are moved into the CareStore module within the CareFirst system in July 2010.

g. Following the Internal Audit report a number of changes have been made, including in personnel, and all the recommendations have been implemented including the completion of the Core Assessments

3.3 The relevant minute from the Audit Sub-Committee meeting is also copied below:

45. **INTERNAL AUDIT PROGRESS REPORT** **Report DR10036**

(vi) New Priority One Recommendations: Review of Transition Team

The Transition Team of the Adult and Community Services Department had a current year's budget of £265,480. The Team liaised with other service areas such as the Children with Disabilities Team and the Leaving Care Team (of the Children and Young People Services' Department) amongst others. An audit of the Team had resulted in one priority one recommendation and five other lower priority recommendations as set out in the report of the Director of Resources.

Members expressed concern over the findings of the audit and the issues which had been raised. In particular, the Adult and Community Services Portfolio Holder referred to the poor working conditions at Bassets House which accommodated the Transition Team and to the need for improvements to be made to the filing and record keeping facilities. Members questioned whether the issues which had been raised could be related to the operation of the Carefirst Management Information System and felt that, overall, the findings of the audit should be referred to both the Adult and Community Services and the Children and Young People PDS Committees for consideration.

RESOLVED that ...

(6) the report on the audit of the Transition Team be referred to both the Adult and Community Services and the Children and Young People PDS Committees for consideration and to review, in particular, whether the deficiencies highlighted by the audit were attributable to any failure in the Carefirst Management Information System.

Non-Applicable Sections:	Policy Implications, Financial Implications, Legal Implications, Personnel Implications
Background Documents: (Access via Contact Officer)	Report of the Director of Resources DR10036, Minutes of the Audit Sub-Committee 23 rd March 2010.