

Internal Audit

People Services
Outline Audit Plan 2016/17

Devon County Council

March 2016



Auditing for achievement

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Devon Audit Partnership	Confidentiality and Disclosure Clause
<p>The Devon Audit Partnership has been formed under a joint committee arrangement comprising of Plymouth, Torbay and Devon councils. We aim to be recognised as a high quality internal audit service in the public sector. We work with our partners by providing a professional internal audit service that will assist them in meeting their challenges, managing their risks and achieving their goals. In carrying out our work we are required to comply with the Public Sector Internal Audit Standards along with other best practice and professional standards.</p> <p>The Partnership is committed to providing high quality, professional customer services to all; if you have any comments or suggestions on our service, processes or standards, the Head of Partnership would be pleased to receive them at robert.hutchins@devonaudit.gov.uk .</p>	<p>This report is protectively marked in accordance with the National Protective Marking Scheme. It is accepted that issues raised may well need to be discussed with other officers within the Council, the report itself should only be copied/circulated/disclosed to anyone outside of the organisation in line with the organisation's disclosure policies.</p> <p>This report is prepared for the organisation's use. We can take no responsibility to any third party for any reliance they might place upon it.</p>

Introduction

This report provides the outline audit plan for People Services for 2016/17.

The key objectives of the Devon Audit Partnership (DAP) are to provide assurance to senior management and Audit Committee on the adequacy, security and effectiveness of the systems and controls operating within the Authority. The audit plan for People services will additionally provide advice and assurance to managers and staff.

Appendix 1 provides an outline audit plan for 2016/17. This plan is based upon the current risks, taken from Corporate and Operational Risk Registers, affecting People services and takes into account previous audit involvement. The plan is very much an “outline” at this stage; the audit team has met with management within People services to discuss risks and how audit resources can be used most effectively to provide assurance against these risks. This process is ongoing but has led to the creation of an audit plan for People Services which, in turn, will be combined with audit plans for Corporate, Place and Public Health to form an overall audit plan for the Council. This overall plan will then be presented to the Audit Committee (March 2016).

The responsibility for review, direction and approval of the internal audit plan rests with the Audit Committee. However, we see that there is value to be added by working with and supporting Scrutiny in the provision of assurance to the Authority and therefore suggest open communication to this aim. Although outline at this stage, the plan attached is provided to People Scrutiny for consideration and for input into areas that Scrutiny consider would be useful for internal audit to consider in the planning process.

Expectations of People Scrutiny Committee from this report

The members of the committee are requested to consider:

- the outline audit plan;
- provide input which will assist the detailed internal audit planning needs;
- highlight audits they may wish to receive summary reports from;
- if they wish to receive any in year progress report(s).

Robert Hutchins
Head of Audit Partnership

Appendix 1 – Indicative internal audit plan 2016/17

Risk Assessment Key

ANA - Audit Needs Assessment risk level as agreed with Client Senior Management

Risk Register - Corporate (CRR) or Operational (ORR) reference and score e.g. (18)

Client Request – additional audit at request of Client Senior Management; no risk assessment information available

Risk Area / Audit Entity	Audit Needs Assessment	Proposed Timing		Key contact	Additional notes
		Days	Quarter		

Social Care Commissioning

Quality Assurance of Regulated Adult Social Care Services - procedures / processes.	Client Request	15	2		
Devon Partnership Trust (DPT)	Client Request	10	2		Review / refresh arrangements with Devon Partnership Trust. Has it achieved? Is it different / is it better?
Contract Monitoring	Client Request	13	1 - 3		Ensure contract monitoring works well and leadership clear. Focus on Personal Care - framework changed. Informed by work currently being undertaken; protection against fraud and theft.
Assistive Technology	Client Request	7	3		Await implementation of DILIS. Strategy required.
Demand Management	Client Request	12	3		Independent assurance as project develops rather than a retrospective review. Check at design stage, then later review.

Residential / Nursing Commissioning Arrangements	Client Request	10	2		Independent assurance - Commissioning within residential / nursing care market, processes and strategy. Focus on sufficiency, affordability and quality.
Devon Independent Living Integrated Service (DILIS)	Client Request	5	1 - 2		Process due to conclude by September.
Personal Care Contract	Client Request	6	1		Implementation of new contracts.
Total		78			

Risk Area / Audit Entity	Audit Needs Assessment	Proposed Timing		Key contact	Additional notes
		Days	Quarter		

Education & Learning

Quality Assurance – Independent Service Providers (ISPs)	Client Request	15	1		Review across the entire directorate. Ensure required synergies are being achieved.
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Special Educational Needs & Disability (SEND)	Client Request	10	1		Track cases through funding journey.
Employability & Skills	Client Request	10	1 - 4		Careers South West Contract
Devon Assoc. Prim. Heads (DAPH) / Devon Assoc. Secondary Heads (DASH) / Special Heads Assoc. Devon (SHAD).	Client Request	10	1		Revisit the finances to ensure suitable progress being made..
Total		45			

Risk Area / Audit Entity	Audit Needs Assessment	Proposed Timing		Key contact	Additional notes
		Days	Quarter		

Children's Social Work Services & Child Protection

Quality Assurance - Procedures Commissioning	Client Request	15	3		Thematic audit wherever children placed.
Spend in Children's Services	Client Request	12	2		Review of national project on how much spend in Children's Services - leading to review of any specific areas requiring audit against.
What is SEN, what is Social Care, what is Continuing Care?	Client Request	13	2 - 3		New Continuing Care guidance issued last month. Review required of what is being paid.
Placement Costs	Client Request	10	3		Review of placement using CIPFA Benchmarking and other tools.

Multi Agency Safeguarding Hub (MASH)	Client Request	12	4	QA processes in place. Have we made progress needed to prevent unnecessary referrals? Do we redirect people at appropriate point? Look at 'Emotional Health & Wellbeing' (project between Public Health & Schools) high satisfaction; low face to face take up - possible learning from this.
Total		62		

Risk Area / Audit Entity	Audit Needs Assessment	Proposed Timing		Key contact	Additional notes
		Days	Quarter		

Adult Social Care

Personal Brokerage / Brokerage	Client Request	10	4	Direct Payments Brokerage and Standard Brokerage have come together. Benefit of audit time in understanding where we are - leading to more integration.
Interfaces between Care Direct / Care Direct Plus	Client Request	12	3	Care Management model. Link to Demand Management. Follow Up work to Demand Management.
Safeguarding	Client Request	12	4	Independent review two years ago; all recommendations made have been actioned. Where are we now? Review required in the interim before the next inspection.
Residential Care Homes - Mapleton & Woodland Vale	Client Request	5	3	Cyclical audits. Three year cycle: undertake one home in 2016/17.
Total		39		
Planning, monitoring & reporting	t	8	1 - 4	
Grand Total		232		