LEARNING DISABILITIES:
ADULT DAY CENTRES

Final Distribution

Corporate Director (Community & Wellbeing)
Head of Adult Social Care
Joint Services Manager
Employment & Day Service Manager
S151 Officer
Corporate Manager (Improvement)
Audit Manager, Audit Commission

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EXECUTIVE SUMMARY

1 INTRODUCTION

1.1 Background
Milton Keynes Council Learning Disability Services provide an integrated service for adults with learning disabilities. The overall service aim is to listen to and work with people with a learning disability and their families to ensure that they receive the support and care they need to live a life of their choosing. This is achieved through a wide range of core activities and employment opportunities.

Key national drivers include the requirements of “Valuing People Now” published in January 2009, “Healthcare for All”, “Putting People First” and social care transformation.

There are currently 834 people with a learning disability known to the service and between 20 and 40 newcomers to the service every year. The total budget for Learning Disability for 2008/2009 was £21,420,892.

There are 4 main day centres for adults with learning disabilities: Tower Drive, Surrey Road, Whaddon Way and Beanhill.

1.2 Objectives and Scope
The objectives of the audit were to ensure that:

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<tbody>
<tr>
<td>a)</td>
<td>All money held on site is properly accounted for and held securely (FINANCE)</td>
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<td>b)</td>
<td>Budget setting and monitoring procedures are robust (FINANCE)</td>
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<td>c)</td>
<td>The service is compliant with relevant legislation (LAW)</td>
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<td>d)</td>
<td>The service is compliant with relevant policies (POLICY)</td>
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<td>e)</td>
<td>The service has identified its key risks and adopted appropriate mitigation procedures (RISKS)</td>
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<td>f)</td>
<td>How we identify and satisfy demand for the services (USER EXPECTATIONS)</td>
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Key: 1 = Poor, 3 = Good
2 AUDIT OPINION

Satisfactory - Controls are considered adequate with some areas of weakness that are not major risk areas.

3 CONCLUSIONS

3.1 It is apparent that the day services have undergone significant improvements since the previous audit and a lot of effort and hard work has been input in order to achieve this. It is pleasing to see that there is already ongoing work on several of the recommendations identified during this audit.

The audit findings do demonstrate some areas of weakness in the system of controls which place the system objectives at risk. In particular;

3.1.1 There is no up to date corporate risk assessment in place.

3.1.2 There are no financial and operational guidance/procedure notes on the voluntary funds which creates a risk of loss or misappropriation.

3.1.3 There are no up to date inventories in place which creates a risk of loss, fraud, impropriety or damage to reputation.

3.1.4 The data storage facilities are unsuitable. There is limited space and security at the day centres. The Service may not be compliant with current policies and there is risk of loss or damage to records.
4 WAY FORWARD

4.1 All recommendations are in the Management Action Plan (Page 5). Good controls are shown in section 5, overleaf.

4.2 The Employment and Day Service Manager has been involved in generating a plan that deals with the ‘6 Promises’ (Customer Satisfaction section) outlined in the MKC Medium Term Service Plan.

4.3 Work has also begun on updating the Inventories for the day centres. The Employment and Day Service Manager has asked all Senior’s to take charge of this for their centre. Initial investigations showed that the limits did not fall in line with MKC financial regulations but this has been rectified after discussion with the Employment and Day Service Manager.

FINDINGS SUMMARY

5 POSITIVE FINDINGS

5.1 FINANCE

All unbanked income for the day centres is kept in a secure location and access is restricted. Good controls exist.

All income is complete, accurate and banked on a timely basis. There is an accurate and chronological account of receipts and deposits. Acknowledgements for money are given as an official receipt where asked.

Imprest accounts are held and managed in line with Milton Keynes Council (MKC) Financial Regulations.

5.2 RISK

A detailed document/register has been created on the maximum level of service user occupancy allowed at the day centres. Because of the complexity of the service there cannot be a set maximum occupancy for the day centres. The register takes into account available space (which can be affected by items like wheelchairs and hoists) and service users need (i.e. number of staff required for one service user which is identified by an assessment).

All buildings and contents are covered by Milton Keynes Council insurance. This includes liability insurance.
There are detailed confidential records of all incidents, accidents and near misses that occur with staff or service users including name, date and incident description etc. Preventative measures are devised where possible and follow ups occur in a timely manner (monthly).

5.3 USER EXPECTATION

The day centres conducted an 'Opening Doors' Questionnaire in 2005 which obtained opinions of the service from both service users and their parents/carers. The Employment and Day Service Manager is currently working on a plan surrounding the ‘6 promises’ outlined in the Medium Term Service Plan

Service users undergo an in depth assessment to determine their level of need and are given choice over daily activities (within reason). Previous questionnaires revealed no significant concerns with the service.

5.4 LAW

The service is compliant with the objectives of the 'Valuing People' paper (See section 5.3).

5.5 POLICY

All staff had a Criminal Record Bureaux (CRB) check and this is repeated on a 3 yearly basis. Milton Keynes Council Human Resources department hold the checks and dispose of them securely (where applicable). This is an improvement on the 2005 audit findings.
# MANAGEMENT ACTION PLAN

The recommendations are categorised on the following basis:

- **Essential** - Implementation is required with immediate effect to address a weakness that fundamentally undermines the control/objective of that system.
- **Important** - Implementation is required within a short period of time to address weaknesses that seriously undermine the control/objective of that system.
- **Standard** - Management need to take recommended action within a reasonable period to address weaknesses that may undermine controls/objectives.

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<tr>
<th>Ref</th>
<th>Findings</th>
<th>Risk/ Implication</th>
<th>Recommendation</th>
<th>Management Comments</th>
<th>Manager Responsible &amp; Target Date</th>
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</table>
| 1   | Risk Assessment  
There is no up to date corporate risk assessment in place. | Risk of loss, fraud, impropriety or damage to reputation. | **Essential**  
An up to date corporate risk assessment should be in place. | Agreed.  
Prepare a corporate risk assessment. | Joint Services Manager  
November 2009 |
| 2   | Attendance Registers  
The daily registers of attendance are not always completed at Tower Drive day centre. | In breach of Health and Safety regulations. Difficulty with evacuations during an emergency. No written proof of attendance. | **Essential**  
Registers of attendance should be completed on a daily basis. | Issue highlighted in staff meeting on August 10th. Staff were reminded of importance.  
Employment and Day Service Manager to monitor. | Employment and Day Service Manager  
Implemented |
| 3   | Voluntary Funds  
There is no clear guidance regarding the management and use of voluntary funds. | Risk of loss or misappropriation. | **Important**  
There should be clear guidance on the procedures involved with regards to voluntary funds. Should be in line with MKC Financial Regulations. | Since the audit, some old procedures have come to light. These will be updated. | Employment and Day Service Manager  
September 2009 |
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<td>4</td>
<td>Inventories</td>
<td>Risk of loss, fraud, impropriety or damage to reputation.</td>
<td><strong>Standard</strong> Up to date Inventories (in line with Milton Keynes Councils Financial Regulations) should be in place for all the Adult Day Centres.</td>
<td>Currently being prepared.</td>
<td>Employment and Day Service Manager November 2009</td>
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<td>5</td>
<td>Records</td>
<td>The Service may not be compliant with current policies. Loss or damage to records.</td>
<td><strong>Standard</strong> Records should be placed in a suitable secure location.</td>
<td>Currently use Crown Resources. Agreed to review storage and scanning.</td>
<td>Employment and Day Service Manager 31st March 2010</td>
</tr>
<tr>
<td>6</td>
<td>Clients Money</td>
<td>Risk of loss or misappropriation.</td>
<td><strong>Standard</strong> All records should be countersigned. There should be a detailed record of who has paid what and when with a designated person responsible for the purchases. Receipts should be kept and linked with the payment records.</td>
<td>Problem at Tower Drive which is being remedied.</td>
<td>Employment and Day Service Manager November 2009</td>
</tr>
<tr>
<td>7</td>
<td>Payment Authorisation</td>
<td>Risk of inappropriate or inaccurate payments.</td>
<td><strong>Standard</strong> Delivery note should be checked, signed (or initialled) and dated by someone other then the person who authorises the order and the payment.</td>
<td>Implemented</td>
<td>Employment and Day Service Manager Implemented</td>
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<td>8</td>
<td><strong>First Aid/Medication</strong></td>
<td>Absent First Aid kit in the Special Needs Unit in Tower Drive on visit. No records of regular checks of First Aid Kits at any day centres. Access to medication is not restricted to appropriate staff at Tower Drive.</td>
<td><strong>Standard</strong>&lt;br&gt;A First Aid Kit should be clearly visible and easily accessible at the Special Needs Unit. A record should be maintained (at least annually) detailing regular checks of the First Aid Kits.</td>
<td>Absent first aid kit now located. Monitoring of kits to be introduced.</td>
<td>Employment and Day Service Manager November 2009</td>
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NB Any cost implications arising from implementation of the recommendations by Mouchel must be agreed in advance with the appropriate Client Officer and the Partnership Delivery Manager