

Subject area and  
evidence source

Wales Audit Office - Safeguarding arrangements – Kerbcraft scheme – Monmouthshire County Council

WAO Statutory  
Recommendation  
made under  
section 25 of the  
Public Audit  
(Wales) Act 2004

**The Council should keep complete records in relation to volunteers, including evidence of DBS checks, occupational health questionnaires, safeguarding training, and reference details.**

Key issues from  
WAO report

- Major weakness in volunteer record keeping in the Kerbcraft scheme prior to June 2015
- No central Council database for volunteers to ensure they have had the right pre-employment checks, therefore children are at risk
- Despite improvements made, there remain major weaknesses in the Council's monitoring and record keeping

## Current position

- Internal Audit have undertaken a thorough review of the Council's arrangements for supporting volunteers, including safeguarding and volunteering. The draft report was issued on 3<sup>rd</sup> March 2017. *2<sup>nd</sup> Draft issued to Head of People's services w/c 22<sup>nd</sup> May.*
- The Volunteer Toolkit is in place to provide support, consistency and best practice both for volunteers and the staff that support them.
- The Volunteer Network supports the sharing of good practice and ensures a coherent message regarding safeguarding
- An extensive programme of training to volunteer co-ordinators and volunteer leads
- Within Kerbcraft, the SAFE evaluation has identified that training records are held in the form of paper documents by the Road Safety Officer and the Safeguarding Unit has a copy of who has been trained in regard of Service Staff and dates (*confirm that Safeguarding Unit has received the SAFE audit*). However no formal spreadsheet or database is kept of what training has been undertaken and when it is due for renewal.

| Actions | Desired Result  | Action  | Measure or milestone  | Accountable Officer  | Timescales  |
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|         | Central database in place for volunteers to ensure there is safe and consistent recording of all pre-employment checks and training | <ul style="list-style-type: none"> <li>• Central Data Base Developed</li> <li><i>Awaiting demonstration of proprietary database for central record (Alacrity). In the interim presently spreadsheets being established in each department for all volunteers records.</i></li> <li>• Information with every Council volunteer recorded in one place</li> </ul>          | <ul style="list-style-type: none"> <li>• Database operational</li> <li>• Database fully populated</li> </ul>  | <p>Chief Officer for Resources</p> <p>Chief Officer for Resources</p>                                    | <p>June 2017</p> <p>June 2017</p>                     |
|         | High level assurance that effective safeguarding arrangements are in place for volunteers   | <ul style="list-style-type: none"> <li>• Issue of internal audit report into volunteering.<br/><i>Completed (agreed that recommendations be implemented authority wide – reissued to People Services</i></li> <li>• Development of action plan to address any issues within internal audit report</li> <li>• Follow up audit to review any issues identified</li> </ul> | <ul style="list-style-type: none"> <li>• Consideration of internal audit report at WASCG</li> <li>• Action Plan in place</li> <li>• Follow up audit undertaken</li> </ul> | <p>Chief Officer for Resources</p> <p>Chief Officer for Resources</p> <p>Chief Officer for Resources</p> | <p>April 2017</p> <p>May 2017</p> <p>January 2018</p> |

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| Clear roles and responsibilities for volunteer co-ordinators in Monmouthshire County Council. | <ul style="list-style-type: none"> <li>Roles including volunteer co-ordination are clearly represented in job descriptions<br/><i>Highlighted for inclusion in appropriate JD's subject to staff consultation</i></li> </ul>           | <ul style="list-style-type: none"> <li>Take forward actions from the Internal Audit report</li> </ul>              | Chief Officer for Resources | March 2017 |
|   | <ul style="list-style-type: none"> <li>All volunteer co-ordinators have the required training<br/><i>2017 Leading volunteers training plan created and being rolled out. Training records for staff are held centrally.</i></li> </ul> | <ul style="list-style-type: none"> <li>Ensure complete training records for all volunteer co-ordinators</li> </ul> | Chief Officer for Resources | March 2017 |

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| WAO Statutory Recommendation made under section 25 of the Public Audit (Wales) Act 2004 | <b>The Council should develop specific internal guidance and procedures for the operation of its Kerbcraft scheme so that staff are clear about how the scheme should operate.</b>  |
| Key issues from WAO report  | <ul style="list-style-type: none"> <li>No appropriate controls were in place for the operation of the scheme from September 2012 to June 2015</li> <li>As at June 2016, no specific guidance was in place for staff operating Kerbcraft to which they could be held accountable</li> <li>No adequate assurance arrangements in place</li> <li>The Council's Internal Audit has not reviewed Kerbcraft since its suspension in July 2015</li> <li>No formal operating framework in place for the scheme</li> </ul> |
| Current position  | <ul style="list-style-type: none"> <li>Kerbcraft has operated without volunteering input since August 2016</li> <li>New management arrangements are in place and a review of the operating model is underway</li> <li>A SAFE audit completed and an action plan in place to address safeguarding gaps.</li> </ul>   |

|         | Desired Result   | Action   | Measures or milestones   | Accountable Officer  | Timescales   |
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| Actions | A sustainable operating model is in place  | <ul style="list-style-type: none"> <li>Appraise the options for the future operating model for Kerbcraft</li> <li>Recommend future operating model to Cabinet<br/><i>Option appraisal undertaken and new procedure prepared (appendix 1). Reporting to Strong Communities Select committee in June prior to Cabinet report in July (Cabinet date slipped due to purdah)</i></li> </ul> | <ul style="list-style-type: none"> <li>Option appraisal undertaken</li> <li>Operating model approved by Cabinet</li> </ul>                               | <p>Chief Officer for Operations</p> <p>Chief Officer for Operations</p>  | <p>April 2017</p> <p>June 2017</p>                       |
|         | Clarity of roles and responsibilities of those working within Kerbcraft              | <ul style="list-style-type: none"> <li>Operating model will set out clear role profiles, competencies<br/><i>New procedure prepared and JD's updated to reflect roles</i></li> </ul>   | <ul style="list-style-type: none"> <li>Framework embedded in the policy development process of the council</li> </ul>                                    | <p>Chief Officer for Operations</p>  | <p>June 2016</p>   |
|         | Clear safeguarding procedures are in place to give assurance on Kerbcraft operations | <ul style="list-style-type: none"> <li>Assurance by Internal Audit on the effectiveness of Kerbcraft<br/><i>Audit scope approved and underway</i></li> <li>Implementation of all actions identified in the SAFE action plan<br/><i>New procedure developed</i></li> </ul>  | <ul style="list-style-type: none"> <li>Audit field work completed</li> <li>All actions identified completed</li> <li>Action plan in place and</li> </ul> | <p>Chief Internal Auditor<br/>Chief Officer for Operations</p> <p>Chief Officer for Operations</p> <p>Chief Internal Auditor</p> | <p>April 2017</p> <p>June 2017</p> <p>September 2017</p> |

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|  |  | <ul style="list-style-type: none"> <li>Implement an action plan to address any issues identified in the audit</li> <li>Undertake a follow up audit if indicated</li> </ul> | <p>considered at appropriate officer and Member committees</p> <ul style="list-style-type: none"> <li>Audit fieldwork undertaken</li> </ul> | Chief Internal Auditor | April 2018 |
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| WAO Statutory Recommendation made under section 25 of the Public Audit (Wales) Act 2004 | <b>The Council should establish effective performance management and scrutiny arrangements for the Kerbcraft scheme and clarify the roles of the Safeguarding and Quality Assurance Unit and Internal Audit in those arrangements.</b>   |
| Key Issues from WAO Report  | <ul style="list-style-type: none"> <li>There were no reports to Members regarding the transfer of responsibility for Kerbcraft to Monmouthshire County Council</li> <li>The Council does not receive reports on how the scheme is operating and whether it is achieving its objectives</li> <li>Lack of effective oversight of the scheme</li> <li>Internal Audit has not been asked to review the service</li> <li>Concerns regarding the scheme's operations were not raised with the Council's Cabinet</li> </ul>   |
| Current Position  | <ul style="list-style-type: none"> <li>There has been no reporting on Kerbcraft performance to any select committee since the scheme transferred to the Council</li> <li>As the scheme is funded by a Welsh Government specific grant, there are quarterly returns to Welsh Government on performance, e.g. number of children who participate and achieve outcomes</li> <li>The Safeguarding and Quality Assurance Unit has a role with Kerbcraft and other service areas which supports self evaluation and improvement. It has supported the service responsible for Kerbcraft to complete a SAFE audit, develop an action plan and is providing some support to complete the identified actions. The Unit is not resourced to provide this high</li> </ul> |

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|         | <p>level of support to all parts of the Council, or to Kerbcraft on an ongoing basis. The long term relationship will be one of high level support and assurance, reporting any issues to the Whole Authority Safeguarding Co-ordinating Group.</p> <ul style="list-style-type: none"> <li>Internal Audit has planned but not yet undertaken an audit of Kerbcraft.</li> </ul> |   |   |   |  |
|         | <b>Desired Result</b>  | <b>Action</b>   | <b>Measure or Milestones</b>  | <b>Responsible Officer</b>  | <b>Timescale</b>                       |
| Actions | Effective governance arrangements for the political reporting of Kerbcraft performance   | <ul style="list-style-type: none"> <li>Determine a Select Committee to hold officers and Cabinet Member to account for delivery of the actions to implement these recommendations and for the ongoing performance of Kerbcraft</li> <li>Report on delivery of WAO recommendations to Audit Committee and Cabinet on a biannual basis until there is high level assurance that performance has improved and risks have been reduced</li> </ul> | <ul style="list-style-type: none"> <li>Select Committee confirmed and first report received</li> <li>Report on progress with this action plan to audit committee</li> </ul> | <p>Chief Officer for Operations</p> <p>Chief Officer for Operations</p> | <p>June 2017</p> <p>July 2017</p>      |
|         | Clear relationship articulated between Internal Audit and Safeguarding and Quality Assurance Unit  | <ul style="list-style-type: none"> <li>Memorandum of Understanding between Internal Audit and Safeguarding and Quality Assurance Unit which sets out the respective roles in assuring the effectiveness of safeguarding.</li> </ul>   | <ul style="list-style-type: none"> <li>Memorandum of Understanding in place and agreed by Senior Leadership Team</li> </ul>   | Chief Internal Auditor/ Chief Officer for Social Care and Health        | April 2017                             |
|         | Performance Measures for Kerbcraft which demonstrate how effectively the   | <ul style="list-style-type: none"> <li>Performance measures developed</li> <li>Scrutiny by the appropriate select committee</li> </ul>  | <ul style="list-style-type: none"> <li>Measures in place</li> <li>Select committee</li> </ul>   | <p>Chief Officer for Operations</p> <p>Chief Officer for Operations</p> | <p>April 2017</p> <p>June 2017 and</p> |

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|  | service purposes<br>are met |  | scrutiny of<br>performance |  | thereafter<br>on at least<br>an annual<br>basis |
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