

Action Ref	Issue	Action Agreed	Responsible person	Action by date	Current status of Action (RAG)	Comments
1	Charity money	Seek legal advice about action to be taken and progress	Jo Chapman	Completed		Legal advice sought and process followed. Investigation identified that funds were a mixture of SCC and charitable monies. Remaining funds (£16,102.27) transferred to General Fund as it was confirmed that no living or deceased appointeeship client was entitled to the funds.
2	Allocation descriptions on shared drive	Update references in team records as referring team names have changed following restructures	Jo Chapman	Completed		Minor housekeeping issue.
3	Separation of duties and reconciliation	Walk through to demonstrate Bankline system to auditor to demonstrate how system does separate duties so that one staff member raises the payment and another one authorises it. This is complemented by separate paper records which audit flagged duplicates the banking record	Jo Chapman	Completed		Need for separate paper records reviewed. It enables staff to quickly review records without accessing the banking system so retained. Audit has closed the action linked to this issue.
4	Compliance with policies and procedures for all aspects of the appointeeships process, within finance and ASC	Set up joint working group between Finance and Commercialisation and Adult Social Care	Jo Chapman, Prisca Mascarenhas and Louise Ryan	Completed		Working group established. Variety of meetings held - whole group and subgroups - to address issues identified in audit

5	Emergency and extra money requests	Track extra money requests by including detail on case notes. Working group to review emergency payment procedures	Jo Chapman, Prisca Mascarenhas and Louise Ryan	Completed		Review of forms and process complete. Detail on case notes re: extra money requests implemented immediately flagged by audit. New extra/ emergency payment request form devised and uploaded to intranet. Weekly team meetings held with Client Monies Team to ensure all necessary information being captured and uploaded to client folders.
6	Previous audit actions	Review previous audits to identify any patterns	Vanessa Shahani	Completed		<p>13/14, 17/18, 18/19 and 20/21 audits were reviewed. Over time the service has been managed by Finance, ASC and Finance & Commercialisation (Income and Expenditure).</p> <p>Audits were reviewed to assess which improvement actions were highlighted in all four audits, in at least two audits as well as identifying which actions were resolved. One audit was reasonable assurance, one limited, two no assurance. The one audit with reasonable assurance resulted from time limited additional resource being brought in to address concerns highlighted in the 17/18 audit.</p>

						<p>Issues that repeat across all or most of the audits are:</p> <ul style="list-style-type: none"> • Referring clients to the County Council • Lack of a charging policy • Need for client case management system • Dealing promptly with the affairs of clients who have died • Ensuring accurate records kept of emergency and extra payments <p>Implicit in these issues is the need for improved clarity of roles and responsibilities of the different teams involved in providing the service and ensuring it is sufficiently resourced.</p>
6	SLA with Fraser and Fraser (deceased clients no next of kin)	Agree SLA with Fraser and Fraser, complement with use of government's Bona Vacantia service	Jo Chapman	Completed		SLA agreed and government service being used.
7	Carry out risk assessment	Seek advice from Information Solicitor as process suggested by auditor does not exist in SCC.	Jo Chapman	Completed		Advice sought and agreed to complete DPIA. Primary data owned by ASC. Action from DPIA to issue privacy notices to next of kin and care managers completed. Easy read privacy notice also developed for clients. Privacy notice published on SCC website. Information Solicitor confirmed this is sufficient.

8	Accounts of deceased clients	Institute procedure to review accounts regularly and where no NOK identified then use government service or Fraser and Fraser	Jo Chapman	Completed and ongoing		New procedures in place. Accounts of deceased clients reviewed monthly. Advertised on government Bona Vacantia website. Attracting interest from other tracing agents. Service Manager exploring how cases can be shared with numerous agents in effort to close down cases more quickly. A number of accounts with low values (under £500, some as low as 42 pence) are being reviewed by Fraser and Fraser. 24 cases with a total value of £7442.55 were referred to Fraser and Fraser to trace beneficiaries. This so far has enabled the authority to dispose of £2538.86 in funds (11 cases) and it is expected that further amounts will be disposed of, therefore, the exercise is ongoing.
9	Procedures and documentation	Review all current procedures - check existing procedures up to date and ensure procedures written where necessary	Jo Chapman	Completed		All procedures highlighted in audit reviewed and updated. Exercise identified the need for additional procedures. Also reviewed and updated
10	Lack of case management system	Submit bid for funding via 5 year IT plan; if successful progress procurement	Vanessa Shahani and Jo Chapman	Completed		Funding approved as part of 5 year IT plan. Procurement request submitted. At market appraisal stage. Tender, implementation and staff training process will be completed by May 22.
11	Referral form	Review form to ensure captures all required information	Jo Chapman	Completed		Form revised.
12	Screening process	Institute review meetings to ensure clients being referred appropriately	Jo Chapman	Completed and ongoing		In place, meetings held with referring practitioners to ensure referral appropriate and, if so all necessary information gathered to progress referral

13	Benefit maximisation	Recruit additional resource to review client accounts to ensure all claiming benefits entitled to	Jo Chapman and Vanessa Shahani	31/05/2021		6 month resource moved from Customer Payment and Debt Team to lead reviews
14	End to end review	Source and commission independent reviewer to carry out an end to end review of the whole appointeeship process	Vanessa Shahani	w/c 7/06/2021		Brief agreed with internal audit. Start date 7/6/21. Reviewer completed all interviews and currently writing up findings.
15	Information on "Staff Stuff"	Review information on "Staff Stuff" to identify whether it could be improved.	Jo Chapman, Prisca Mascarenhas and Louise Ryan	14/07/2021		Accounts Payable pages reviewed and updated with revised forms. Care Manager guide reviewed and updated on ASC pages
16	Draft report	Discussion draft report with key internal stakeholders, agree any further action needed with reviewer prior to finalising	Vanessa Shahani/Glenda Chambers	30/07/2021		Summer leave may impact deadlines
17	Report recommendations	Review report recommendations with key internal stakeholders	Vanessa Shahani	27/08/2021		Summer leave may impact deadline

18	Missing documentation	Review all information held on shared drive and emails for all clients and ensure filed correctly	Jo Chapman	30/09/2021		<p>All client files reviewed at time of first audit to ensure B57s filed in correct folder. Additional resource secured till end September to support this process. Currently 120 out of 283 client folders reviewed. This activity has been complemented with weekly team meetings led by the Service Manager which include reminders of the importance of accurate filing.</p> <p>As well as taking the opportunity to ensure that new procedures are embedded as BAU. A folder checklist has been produced to ensure each client file contains the required information. Follow up testing confirmed that all B57 forms (DWP form giving SCC authority to act as appointee) were either already filed (9/10) or in process of being done (1/10) so audit closed action.</p>
19	Agency clients	Review to see if still required to be supported as appointees	Anne Flanagan/Prisca Mascarenhas	30/09/2021		17 clients required reassessment initially. 3 had passed away; 1 transferred to appointeeship, 1 retained as agency client. 12 clients remain to be reassessed.
20	Emergency and extra money requests	Extra and emergency payments - review of decision making process	Jo Chapman, Prisca Mascarenhas and Louise Ryan	30/09/2021		Review roles and responsibilities between ASC and Client Monies team to determine the most appropriate decision making process in respect of these payments

21	Transfers to Deputyships	Review clients waiting to be transferred to HCC deputyship service and progress	Anne Flanagan/Prisca Mascarenhas	30/09/2021		Word template designed to review clients. There are two categories of clients to be reviewed, those with balances over £23K and those with balances between £16K and £23K. In the first category there were 16 clients initially requiring review. 3 recently passed away, 9 to be passed to Deputyship (HCC), 1 to be passed to family deputyship, 1 client account fallen below £23K leaving 2 outstanding. Of the second category, there were 43 clients to be reviewed of which 20 reviews are outstanding.
22	Charging policy	Seek legal advice about process to be followed. Research charging policies elsewhere. Discuss links to potential consultation ASC charging policies. Produce accompanying Equality and Safety Impact Assessment (ESIA).	Vanessa Shahani	30/09/2021		Legal advice sought and consultation process confirmed. Discussions with ASC Transformation Lead and agreed to include charging for appointeeships as part of wider ASC charging consultation. Research carried out into charging models of other authorities. Business case for charging in progress - can only be finalised when outcome of independent review known.
23	Implementation plan	Produce and agree implementation plan with key internal stakeholders, seeking advice as necessary e.g. HR, Legal	Vanessa Shahani	30/09/2021		Discussions will need to ensure necessary alignment with Adult Social Care transformation

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25	Change activity	Deliver implementation plan	Vanessa Shahani/Jo Chapman	tbc		Detail dependent on output independent review.
26	Implementation case management system	Market appraisal, procure system, test, train staff, go live	Jo Chapman	31/05/2022		Funding approved via council's IT plan; at market appraisal stage