

Review of Financial Delegations					
Original Recommendation	Rating	Original Target Date		Revised Target Date	Current Update from Management
<p>The Joiners, Movers and Leavers project is currently in place and is looking to make the process of notifying of a leaver as smooth as possible within our current system limitations. As part of the roll out, a communication campaign will also highlight to managers that it is up to them to notify as soon as they know of a leaver. We are working with IT and Finance colleagues to ensure that rights to systems and approvals are removed as soon as possible. The project is starting a user testing phase and is still on track to go live in early autumn this year. There will be a review later in the year on post project progress to ensure embedding is happening within minimal non-compliance occurring.</p>	High	Dec. 2020	<p>To ensure data currency for HR and finance purposes there are currently two related projects currently underway in relation to establishment control and JML.</p> <p>Establishment Control To support establishment control process, all managers have now been given access to their establishment report in HR Self Service which contains real-time data. Additionally, an establishment protocol has been developed by the HR, Business Support and Finance Team to which sets out a step-by-step guidance.</p> <p>To ensure we maintain our data accuracy, from 1st January 2022, on an ongoing monthly basis, all managers will be required to monitor and request changes to their establishment, using the Contract Changes Form and submitting by the last working day of each month.</p> <p>JML The functional requirements specification for the leavers</p>	31/12/2021	<p>The latest phase of the establishment control project has concluded with Business Support (Recruitment and Resourcing Team) continuing to make changes to the establishment as identified by managers. As previously stated, an establishment protocol has been developed by the HR, Business Support and Finance Team which sets out a step-by-step guidance on establishment control. In addition, HR Business Partners in conjunction with Business Support Advisers will regularly meet with managers to check the accuracy of their establishment and make the necessary changes.</p> <p>The leavers form has been updated within HR Self Service. Managers now only have to complete one form when an employee leaves the council rather than two forms with the leavers form in HR Self Service now incorporates the separate IT Leavers Form. This means that managers no longer have to</p>

			<p>process has been finalised and sent to IT. This specification sets out process improvement for the leavers form via HR Self Service into Resourcelink.</p>	<p>complete the separate notification of a Leaver to IT via the IT Service Desk form to cancel network access.</p> <p>Automated notifications are now sent electronically to the following teams once the Recruitment and Resourcing Team in Business Support have processed the Leavers Form in HR Self Service. On receipt the listed teams will stop the Leaver accessing the IT systems that are associated with their post. The automated notifications will be sent to: Payroll, Pensions, Finance (Agresso), Procurement, Information Governance, Democratic Services, IT, Facilities Management, Occupational Health, Learning and Development.</p> <p>To improve the accuracy of establishment data, the Leaver's Form now includes vacancy management questions to determine if a role is to be deleted from the establishment or recruited to, and, if the latter requesting timelines for recruitment to the post.</p> <p>The Leaver's form continues to update the relevant team</p>
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					establishment list in Resourcelink by removing the leaver from the team establishment report. Managers can check that the leaver has been removed from their establishment by checking their establishment information in HR Self Service.
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Financial Safeguarding					
Original Recommendation Made	Rating	Original Target Date	Revised Action	Revised Target Date	Current Update from Management
Toby Lodge should be visited by the relevant social worker to make an assessment of how financially secure the service users are. The care manager should be asked to ensure that service users cash spending is supported with receipts and records.	High	June 2020	<p>Visit will now be arranged following relaxation of Covid restrictions and staff visiting have been double vaccinated. Toby lodge had a Covid outbreak during the pandemic, no visits were safe during this time.</p> <p>1 case details uploaded to Mosaic regarding discussion for receipting clients purchases. Client spends his own money and it is not always possible to receipt every item he purchases.</p>	30/09/2021	This has been completed and no issues identified.
It should be ensured that during the review and re-assessment process, the social work practitioners check and assess that service users' monies under the control of relatives are safe and secure and that the service user is not subjected to any financial theft and fraud'	High	June 2020	We planned to add some prompts to the Mosaic assessment/review episodes, but all Mosaic changes are currently on hold.	30/09/2021	This has been incorporated into the Phase 2 programme of work on MOSAIC and subject to prioritisation will be completed at the latest by September 2022.

Financial Assessments					
Original Recommendation Made	Rating	Original Target Date	Revised Action	Revised Target Date	Current Update from Management
<p>The Divisional Director Adult Social Care should commission a review of the client group subject to S117 with a view to cleansing and updating client case management records on MOSAIC. The review should also consider the list of users identified by Audit that have not been financially assessed as they are regarded exempt, although they are not on the S117 list provided by the Mental Health Team (See Appendix C) As anyone deemed subject to S117 is exempt from charges, Adult Social Care should regularly monitor their records and inform the Financial Assessment Team accordingly so that they have complete, up to date and accurate records on clients subject to S117.</p>	Medium	Immediate	<p>Work has been undertaken to establish a process to ensure that the information between the Financial Assessment Team and Mosaic align to ensure that there is collective understanding of service users who are subject to s.117 aftercare between the service and finance in receipt of domiciliary support. This will ensure that we recoup funds appropriately.</p> <p>The audit has identified that there was not an arrangement in place for residential and nursing placements where the service user was subject to s.117 aftercare. This will impact on income recouped from the CCG by the Council. The SM for Mental Health will be working in partnership with the Business Support to ensure these lists are updated and adopt the forementioned process for domiciliary care. The CCG will subsequently be approached for funding.</p>	31/01/22	<p>This work has progressed and some changes have been made to the system to help us capture all service users in terms of financial assessments.</p> <p>A further manual process is underway in relation to the lists of Section 117 clients and work to ensure a full claim for funding from the CCG is being finalised by 25 March 2022.</p>

Financial Assessments					
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The Head of Benefits Service should consider developing a technical solution within MOSAIC as part of a future upgrade. This solution would allow service users or their next of kin to provide the financial declaration details and supporting documentation online.	Medium	Feb 2021	Have been notified by the Financial Assessment Team Manager that a meeting was held in November 2020 with ASC service managers where it was agreed that social workers would issue the Financial Declaration packs. It was agreed that Social Workers as the first point of contact would continue to apply this practice.	Not given	No further update.
The Divisional Director Adult Social Care should arrange for a service level agreement between ASC, Legal Services and the Financial Assessment Team to be formulated. This SLA should set out the requirements and responsibilities for each party to ensure that a Deferred Payment Agreement is drawn up where required and that a charge on the service user's property is raised. The agreement should also set out the responsibility for retaining the relevant documents.	Medium	Feb 2021	I have requested that Finance and Legal establish a task and finish group to complete the Service Level Agreement. I will be reviewing the status of this work in Jan 2022 with the objective of completion by Feb 2022.	28/2/2022	It has not been possible to progress this work due to pressures within the legal service in particular. A revised timescale within the 2022/23 year will be agreed.
The Financial Assessment Manager should	Medium	Feb 2021	I will be meeting with the Financial	TBC	The team are currently recording

Financial Assessments					
<p>further develop existing performance monitoring by introducing Key Performance Indicators.</p>			<p>Assessment Team Manager and Head of Service in Jan 2022 to agree an action plan for this part of the audit.</p>	<p>pending Jan 2022 meeting</p>	<p>data from several reports obtained from Mosaic to identify the daily/weekly volume of incoming and completed work.</p> <p>The long-term solution is to obtain a report from Mosaic which will identify the reasons why an assessment has not been completed; a request that will need to be put forward to the Mosaic Project Board to agree timescales and cost for developing a report for this facility.</p>

Electronic Parking Income					
Original Recommendation Made	Rating	Original Target Date	Revised Action	Revised Target Date	Current Update from Management
<p>Management should investigate the reasons for the monthly shortfall between the 334 locations the Council has and the locations from which income is collected as shown by the contractor's report and that a full reconciliation between the two reports is done every month. Any potential loss of income should be identified and investigated further.</p>	<p>High</p>	<p>Not given</p>	<p>A request for a separate monthly report which will identify those locations, where there have been no transactions, has been made. Reasons for this will be included with the report.</p>	<p>Not Given</p>	<p>A separate report for zones where there have been no transactions is now being received monthly. A spreadsheet of these locations, explaining the reason why this was, is being maintained on file.</p>