

## **CUSTOMER FINANCE AUDIT TEAM – PROCESSES FOR DIRECT PAYMENT AUDITS**

### **DP Audit Revisions**

**CFAT FSO:** New information is received, relating to a previous DP Audit...

- Following completion of a Direct Payment Audit, new information is received that relates to the period that's been audited.
- The newly received information must be considered against details within the previously completed audit, to which it relates.

**CFAT FSO:** Add a 'Direct Payment Audit Revisions' step...

- If it's decided that revisions are required to the previous audit, access the customer record within Mosaic, and add a 'Direct Payment Audit Revisions' step from the 'Start' menu. The form within this step replicates the 'Direct Payment Audit Summary' form in the 'Direct Payment Audit' step, and information pulls through from the most recently completed DP Audit.

**CFAT FSO:** Revise audit information, as appropriate...

- Based on the newly received information, make the necessary revisions to the DP Audit in all the relevant fields. [NB. Information recorded in the original DP Audit will be preserved. The 'Direct Payment Audit Revisions' step is, effectively, a copy of the previous audit, and changes made within this step won't affect information already recorded within the original completed/finished audit.]

**CFAT FSO:** Recovery of surplus amount and audit officer report...

- If there's a surplus amount, or revised amount, of money to be recovered from the customer, record/revise this in the 'Total amount (£) to be recovered following audit (if applicable)' field under the 'Amount to be Recovered' heading within the 'Surplus Calculation' subsection in the 'Direct Payment Audit Summary' section of the 'Direct Payment Audit Summary' form.
- If there is a surplus amount, the FSO decides whether or not the amount needs to be recovered. There are various permutations of recovery scenarios/decisions, although these are the main three:
  - If amount is less than £50, recovery is not pursued.
    - Send a letter to inform customer of the revised audit outcome. This letter should also be uploaded to the Documents section in Mosaic.
    - Within the 'Direct Payment Audit Outcome' section of the 'Direct Payment Audit Summary' form, record summary details of the revised audit and outcome in the 'Audit Officer Report' text area.

- Send notification to Lead Practitioner: 'Notify Key Team / Worker of outcome'. Note field of notification: record details of action (ie. no amount to recover; amount not being recovered; or other outcome).
  - If amount is between £50 and £6000, recovery is pursued by FSO.
    - Generate an invoice in Business World On!, and write a covering letter in Word, to inform the customer what the invoice is for. The invoice and letter should be sent to the customer, and the letter should also be uploaded to the Documents section in Mosaic.
    - Within the 'Direct Payment Audit Outcome' section of the 'Direct Payment Audit Summary' form, record summary details of the revised audit and outcome in the 'Audit Officer Report' text area.
    - Send notification to Lead Practitioner: 'Notify Key Team / Worker of outcome'. Note field of notification: record details of action (ie. invoice + letter sent to customer).
  - If amount is over £6000, or there are other circumstances to take into consideration (eg. misspent funds; concerns regarding the impact on a person's care), the relevant Lead Practitioner should be consulted ahead of taking any action.
    - Within the 'Direct Payment Audit Outcome' section of the 'Direct Payment Audit Summary' form, record summary details of the revised audit in the 'Audit Officer Report' text area.
    - Send the 'Please review information and authorise' request to the relevant Lead Practitioner. In the 'Note' field of the request, instruct the LP to look at the notes recorded in the 'Audit Officer Report' text area. Also, request they complete the 'Area Team Response' field, in the same section, with all relevant details related to recovery of the surplus amount.
    - Await response from Lead Practitioner.
      - If Lead Practitioner responds with nil recovery, within the 'Direct Payment Audit Outcome' section of the 'Direct Payment Audit Summary' form, record details of the revised audit outcome in the 'Audit Officer Report' text area. Send a letter to inform customer of the revised audit outcome. This letter should also be uploaded to Documents section in Mosaic.
        - Send notification to LP: 'Notify Key Team / Worker of outcome'. Note field of notification: record details of action (ie. "Nil recovery, as already advised by LP.").
      - If Lead Practitioner responds with instruction to recover amount, generate an invoice in Business World On!, and write a covering letter in Word, to inform the customer what the invoice is for. The invoice and letter should be sent to the customer, and the letter should also be uploaded to the Documents section in Mosaic.
        - Within the 'Direct Payment Audit Outcome' section of the 'Direct Payment Audit Summary' form, record details of the revised audit outcome in the 'Audit Officer Report' text area.

- Send notification to LP: 'Notify Key Team / Worker of outcome'. Note field of notification: record details of action (ie. invoice + letter sent to customer).
- If Lead Practitioner doesn't respond, follow the agreed CFAT escalation process for chasing. Record escalation details within the 'Escalation' subsection in the 'Direct Payment Audit Outcome' section of the 'Direct Payment Audit Summary' form. This is a repeating subsection, so different levels of escalation can be recorded, as required.

**CFAT FSO:** Audit revision completion details...

- 'Name', 'Designation' and 'Organisation' fields will be automatically populated within the 'Completion Details' section of the 'Direct Payment Audit Summary Revisions' form. Record the 'Date revised'.

**CFAT FSO:** Notification for potential need to bring forward review...

- If anything has been discovered through the revised audit that is believed might trigger the need to bring forward a customer's scheduled review, send a notification to the relevant Lead Practitioner, 'Please Check: Potential need to bring forward scheduled review'. Include details of any potential reasons in the 'Note' field of the notification.

**CFAT FSO:** Notification of potential need for Financial Assessment...

- If it's been discovered during the revised audit that a Direct Payment has been used for DRE purposes (Disability Related Expenditure) or any other reason (although DRE is the most common), then send a notification of 'Adult Please check: Potential need for Financial Assessment' to the Serco Financial Assessments & Income Collection Team. Select 'FA Referral – Inbox' in the 'Pass to Worker' dropdown, and record what's required of them in the 'Note' field.

**CFAT FSO:** Relevant Next Actions sent...

- If there's an amount of money to be recovered, add a Next Action of 'Debt Recovery Initiated (NFA)'. The 'Note' field should be left blank as the relevant information would already have been recorded on the form. NB. This is a terminating Next Action, so it will not be sent to anyone or any team.
- Add a Next Action of 'Audit Revisions Completed (NFA)'.
- If the 'Direct Payment Audit Revisions' step has been added in error, or it's decided after adding the step that revisions aren't warranted, add a Next Action of 'Audit Revisions No Longer Required (NFA)'.

**CFAT FSO:** Finish step...

- After all relevant Next Actions have been sent/recorded, click on the tick icon (in green box) to finish the revised audit.