

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

### **Initial 6 Month DP Audits (For All New Cases)**

**SERCO:** A new 'Direct Payment Audit' step is assigned to the Customer Finance Audit Team...

- Upon completing the 'Adult Direct Payment Set Up' step or the 'CS Childrens Direct Payment Setup' step, Serco colleagues send a next action of 'Direct Payment Audit (6 months)' to the 'BSA - 6-8 Week Phone Call Required' virtual worker (for non-Penderels customers) or to the 'BSA - Initial 6 Month Audit Reqd' virtual worker (for Penderels customers), which will arrive in the 'Future Work' folder. The 'Scheduled Date' of the audit step will be calculated as 5 months from the current date. [NB. This is scheduled for 5 months ahead, rather than 6, as BSA needs to request documents from customer 4 weeks prior to audit due date.]

**CFAT BSA:** Courtesy phone call to customer [Penderels Trust customers only]...

- Within six to eight weeks of receiving notification that a Direct Payment Audit is required for a new case, make a courtesy phone call to the subject of the audit (ie. the customer).
- Before starting the DP Audit step, make a note of the 'Scheduled For' date, as this will need to be rerecorded at various stages (the date is viewable on the step summary screen).
- Start the DP Audit step from the 'Future Work' folder of the 'BSA – 6-8 Week Phone Call Required' virtual worker [NB. this will be automatically assigned to the BSA who's starting the work].
- Details of the conversation should be recorded within the '6-8 Week Phone Call' section of the 'Direct Payment Audit Monitoring' form in the 'Details' field, and the date of the call should be recorded in the 'Date of phone call' field.

**CFAT BSA:** Reassign to 'BSA - Initial 6 Month Audit Reqd' virtual worker [Penderels Trust customers only]...

- Following the 6-8 week courtesy phone call, reassign the 'Direct Payment Audit' step to the 'BSA - Initial 6 Month Audit Reqd' virtual worker.
- When reassigning to this virtual worker, the date the audit is scheduled for should be recorded in the 'Scheduled Start Date' field on the 'Assign Work' window. This is because, when starting or reassigning a step, the scheduled date of the audit is overwritten with the date of step interaction. This way, the correct scheduled date will appear in the 'Date' field in Full Workview (and on the step summary screen), which is essential for monitoring purposes.

**CFAT BSA:** Letter to request documents...

- Four weeks before the DP Audit scheduled date, assign the step to self from the 'BSA - Initial 6 Month Audit Reqd' virtual worker (via 'Assign Work' option that's accessible by clicking on

cog to left of the step). When reassigning to self, the date the audit is scheduled for should be recorded in the 'Scheduled Start Date' field on the 'Assign Work' window.

- Send a letter to the customer or their representative, requesting all the relevant documents that are required to undertake the audit (ie. bank statements etc.). Include an 'Information Required' checklist with the letter, requesting details of any cheques etc., relevant to the period being audited, that haven't cleared in time to display on their bank statement. The letter should also be uploaded to the Documents section in Mosaic.
- The date documents are requested should be recorded in the 'Date request sent' field in the 'Request for Documents' subsection of the 'Direct Payment Audit Monitoring' form.
- The request recipient should be recorded in the 'Request sent to' field.
- Any relevant notes relating to the request should be recorded in the 'Details' field (ie. nature of request: letter/email/other; further info on recipient - whether sent direct to customer or representative of customer, etc.)

#### **CFAT BSA: New and previous audit details...**

- When sending the initial request letter to acquire the necessary documents, the 'Purchasing Team' and 'Audit Type' fields should be completed in the 'Customer' subsection in the 'Direct Payment Audit Summary' section of the 'Direct Payment Audit Summary' form.
- Within the same section, the 'Has a previous audit been completed?' question must be answered 'Yes' or 'No'...
  - If 'Yes' is selected, a 'Previous Audit Details' subsection appears, with details of the previous audit.
  - If 'No' is selected, a 'Direct Payment Agreement' subsection appears with two fields: 'DP Agreement start date'; 'Date of first payment'.
- Details of any additional information received from the area team; and any communications (phone calls; emails etc.) should be recorded in the 'Background Information' field within the 'Direct Payment Audit Summary' section of the 'Direct Payment Audit Summary' form.

#### **CFAT BSA: Reassign to 'BSA - Audit Request Awaiting Docs' virtual worker...**

- The 'Direct Payment Audit' step should be assigned to the 'BSA - Audit Request Awaiting Docs' virtual worker. When reassigning to this virtual worker, the date the audit is scheduled for should be recorded in the 'Scheduled Start Date' field on the 'Assign Work' window.
- The 'Note' field on the 'Assign Work' window should be populated with the date the documents are due to be returned by: "Docs return due date: [dd/mm/yyyy]". Four weeks are allowed for documents to be returned so, in most cases, this will be the same as the original audit scheduled date.

#### **CFAT BSA: Documents return and chasing via the 'Direct Payment Audit Monitoring' form...**

[At each chase stage, the 'Note' field of the step should be updated with relevant documents chasing details (eg. "First Chase - Docs return due date: [dd/mm/yyyy]"). To be able to update the 'Note' field, once the relevant chasing details have been recorded within the form, reassign the step from the 'BSA - Audit Request Awaiting Docs' virtual worker to the 'BSA - Audit Request Awaiting Docs' virtual worker. This might seem like a needless action, but it's the only way the 'Note' field can be updated with new text reflecting each stage of documents chasing.]

- If correct and sufficient documents are returned within the stipulated 28 days, 'Correct / sufficient documents returned' should be selected from the 'Documents return status' dropdown in the 'Request for Documents' subsection.
  - The 'Return and Processing of Documents' subsection appears. Skip to "When all the necessary documents have been acquired..." step below.
- Chase 28 days after initial request if no documents returned and allow another 14 days for return of documents - send reminder letter to customer and upload to the Documents section in Mosaic. Or, if incorrect/insufficient documents returned, chase on date of return and allow another 14 days for return of correct/sufficient documents - send further information required letter to customer and upload to the Documents section in Mosaic. Each scenario to be recorded, as follows...
  - If incorrect and/or insufficient documents are returned within the stipulated 28 days, 'Incorrect / insufficient documents returned' should be selected from the 'Documents return status' dropdown in the 'Request for Documents' subsection.
    - All relevant fields within the 'First Documents Chase (After 28 Days)' subsection that appears should be completed (NB. the 'Documents return status' is selected at a later stage), with the 'Chase date' being the date incorrect and/or insufficient documents have been returned.
  - If no documents are returned within the stipulated 28 days, 'No documents returned' should be selected from the 'Documents return status' dropdown in the 'Request for Documents' subsection.
    - All relevant fields within the 'First Documents Chase (After 28 Days)' subsection that appears should be completed (NB. the 'Documents return status' is selected at a later stage), with the 'Chase date' being 28 days after the initial request date.
- Chase 14 days after first chase date if no documents returned and allow another 14 days for return of documents - send reminder letter to customer and upload to the Documents section in Mosaic. Or, if incorrect/insufficient documents returned, chase on date of return and allow another 14 days for return of correct/sufficient documents - send further information required letter to customer and upload to the Documents section in Mosaic. Each scenario to be recorded, as follows...
  - If correct and sufficient documents are returned within the stipulated 14 days, 'Correct / sufficient documents returned' should be selected from the 'Documents return status' dropdown in the 'First Documents Chase (After 28 Days)' subsection.
    - The 'Return and Processing of Documents' subsection appears. Skip to "When all the necessary documents have been acquired..." step below.
  - If incorrect and/or insufficient documents are returned within the stipulated 14 days, 'Incorrect / insufficient documents returned' should be selected from the 'Documents return status' dropdown in the 'First Documents Chase (After 28 Days)' subsection.
    - All relevant fields within the 'Second Documents Chase (After 14 Days)' subsection that appears should be completed (NB. the 'Documents return status' is selected at a later stage), with the 'Chase date' being the date incorrect and/or insufficient documents have been returned.

- If no documents are returned within the stipulated 14 days, 'No documents returned' should be selected from the 'Documents return status' dropdown in the 'First Documents Chase (After 28 Days)' subsection.
  - All relevant fields within the 'Second Documents Chase (After 14 Days)' subsection that appears should be completed (NB. the 'Documents return status' is selected at a later stage), with the 'Chase date' being 14 days after the first chase date.
- Refer to Lead Practitioner 14 days after second chase date if no documents returned. Or, if incorrect/insufficient documents returned, refer to Lead Practitioner on date of return. Each scenario to be recorded, as follows...
  - If correct and sufficient documents are returned within the stipulated 14 days, 'Correct / sufficient documents returned' should be selected from the 'Documents return status' dropdown in the 'Second Documents Chase (After 14 Days)' subsection.
    - The 'Return and Processing of Documents' subsection appears. Skip to "When all the necessary documents have been acquired..." step below.
  - If incorrect and/or insufficient documents are returned within the stipulated 14 days, 'Incorrect / insufficient documents returned' should be selected from the 'Documents return status' dropdown in the 'Second Documents Chase (After 14 Days)' subsection.
    - All relevant fields within the 'Referral to Lead Practitioner (After 14 Days)' subsection that appears should be completed, with the 'Date referred to Lead Practitioner' being the date incorrect and/or insufficient documents have been returned. (NB. the 'Outcome of Lead Practitioner intervention' and 'Date of outcome' fields are completed at a later stage.)
  - If no documents are returned within the stipulated 14 days, 'No documents returned' should be selected from the 'Documents return status' dropdown in the 'Second Documents Chase (After 14 Days)' subsection.
    - All relevant fields within the 'Referral to Lead Practitioner (After 14 Days)' subsection that appears should be completed, with the 'Date referred to Lead Practitioner' being 14 days after the second chase date. (NB. the 'Outcome of Lead Practitioner intervention' and 'Date of outcome' fields are completed at a later stage.)

**CFAT BSA:** When referring to a Lead Practitioner, to request they pursue acquisition of the necessary documents...

- The 'Missing documentation – LP intervention required' request should be sent to the relevant Lead Practitioner from the 'Direct Payment Audit' step. The 'Note' field of the request should include details of the previous request and chases for documentation; dates requested/chased; the required documentation that hasn't been provided; and a response deadline. NB. There's no reciprocation between sender and recipient of requests, when requests have been responded to (ie. sender isn't automatically notified of response within Mosaic). BSA to monitor request responses autonomously (ie. to actively look for responses to requests).

- When the Lead Practitioner has responded to the request, details should be recorded in the 'Outcome of Lead Practitioner intervention' and 'Date of outcome' fields within the 'Referral to Lead Practitioner (After 14 Days)' subsection in the 'Direct Payment Audit Monitoring' form.

**CFAT BSA:** When all the necessary documents have been acquired...

- Select the 'Documents return method' and record the 'Date correct / sufficient documents received' within the 'Return and Processing of Documents' subsection of the 'Direct Payment Audit Monitoring' form.
- If information on cheques is received as part of the documents returned, record details of each cheque in the 'Direct Payment Audit Cheque Book Summary' section of the 'Direct Payment Audit Summary' form.

**CFAT BSA:** When all the necessary documents have been processed...

- In the 'Action' dropdown within the 'Return and Processing of Documents' subsection of the 'Direct Payment Audit Monitoring' form, record the post-processing action taken with the documents ('Email acknowledgement' if received by email; and 'Returned by post', 'Returned by hand' or 'Shredded' if received by post or hand delivered).
- If documents are returned to customer, include an accompanying letter; or, if documents are shredded, send a letter informing the customer of such. The letter should also be uploaded to the Documents section in Mosaic.
- The 'Time taken to process / return documents' will automatically calculate the number of days between the date documents were received and the post-processing action date.
- 'Actioned by (Business Support Assistant)' field should be completed with the name of the BSA responsible for acquiring/processing the documents.

**CFAT BSA:** Allocation of audit...

- The 'Direct Payment Audit' is assigned, by the BSA, to a Finance Support Officer. Within the 'Allocation' section of the 'Direct Payment Audit Monitoring' form, the BSA should complete the 'Date allocated to Audit Officer' and 'Name of Audit Officer' fields.
- The actual step should then be assigned to the FSO specified in the 'Name of Audit Officer' field. When assigning to FSO, the following text should be recorded in the 'Note' field of the 'Assign Work' window: "Ongoing - Documents Received - [Date]". [NB. An assignment history for a step, including all recorded Notes, is accessible on the step summary screen, via the 'History' link under the 'Assignment Details' heading]

**CFAT FSO:** Starting the audit...

- Commence the audit by clicking on either 'Resume' from the step summary screen or 'Resume Work' from the cog icon to the left of the step.
- Record the date of starting the audit in the 'Date started by Audit Officer' field that's located within the 'Allocation' section on the 'Direct Payment Audit Monitoring' form.
- All documents required to undertake the audit are accessed via a CFAT shared network area.

**CFAT FSO:** Audit period details [this is the period being audited rather than the period of the audit itself]...

- Within the 'Current Audit Details' subsection of the 'Direct Payment Audit Summary' form, the following fields should be completed:
  - 'From': This should be taken from the customer's bank statement, as the start date of the period for the bank statement. Or, if no bank statement has been provided, a pertinent 'From' date should be used from other relevant documents that have been returned.
  - 'To': This should be taken from the date of the most recent transaction on the customer's bank statement. Or, if no bank statement has been provided, a pertinent 'To' date should be used from other relevant documents that have been returned.
  - 'Number of days': No input required. This field automatically calculates the number of days between the 'From' and 'To' dates.

**CFAT FSO:** Respond to questions within 'Direct Payments Made in Audit Period' subsection...

- Provide a 'Yes' or 'No' answer to each of the questions within the 'Direct Payments Made in Audit Period' subsection. Where a question has been answered 'Yes', a related subsection and/or fields will appear further down the form. Completion details for each of the subsections/fields are outlined below, with the steps that have a "[Yes]" suffix.

**CFAT FSO:** Is there a regular, ongoing Direct Payment being made? [Yes]...

- Within the 'Regular, Ongoing Direct Payments' subsection that appears, complete the following two fields:
  - 'DP at start of period (£) weekly': The weekly Direct Payment at the start of the specified period is recorded here.
  - 'Customer contribution at start of period (£) weekly': The weekly customer contribution at the start of the period is recorded here.
- A 'Payment Changes During Audit Period' repeating subsection also appears. During the audit period, there could be a variation to the Direct Payment and/or the customer contribution might change. The FSO responsible for completing the audit must autonomously look for changes to the weekly DP total and weekly customer contribution, and record the revised amounts, together with the dates of any such changes.
  - Any Direct Payment variations and changes to the customer contributions should be recorded within the 'Payment Changes During Audit Period' repeating subsection in the 'Direct Payment Audit Summary' section of the 'Direct Payment Audit Summary' form. As this is a repeating subsection, multiple changes can be recorded, as and when required, during the audit period.

**CFAT FSO:** Is there an annual Direct Payment being made? [Yes]...

- Either/both of the 'Annual Direct Payments (Respite)' and 'Annual Direct Payments (Non-Respite)' subsections will appear, depending on what's been selected for the 'What is this annual Direct Payment for?' dropdown (options of: 'Respite'; 'Non-respite'; 'Respite and non-respite'). Complete fields in each or both of the subsections, as appropriate.

**CFAT FSO:** Has a one-off Direct Payment been made? [Yes]...

- Within the 'One-off Direct Payments' repeating subsection that appears, record the 'Amount' and 'Date' for each one-off Direct Payment that has been made.

**CFAT FSO:** Bank balance details...

- Within the 'Bank Balance' subsection in the 'Direct Payment Audit Summary' section of the 'Direct Payment Audit Summary' form, the 'Bank balance as at' field is pre-populated with the date recorded for the 'To' field in the 'Current Audit Details' subsection.
- The customer's bank balance total should be recorded in the 'Bank balance (£)' field. This should be sourced from documents returned by the customer.

**CFAT FSO:** Cheques written but not shown on last bank statement...

- Cheques that have been written/issued by the customer, during the audit period, but have not cleared in time to display on their bank statement, should be listed in the table within the 'Cheques written but not shown on last bank statement' subsection within the 'Direct Payment Audit Summary' section of the 'Direct Payment Audit Summary' form.
  - The 'Cheque Number', 'Payee' and 'Cheque Amount (£)' fields should be completed for each cheque. This information should be sourced from the returned and completed checklist/questionnaire that was issued by the BSA, requesting this information.
- The 'Total amount of cheques' field contains the aggregated total of cheques listed in the table, and will be automatically calculated.

**CFAT FSO:** Funds requested to be set aside for future use...

- Funds that have been set aside by the customer, for future use, should be listed in the 'Funds requested to be set aside for future use' table within the 'Direct Payment Audit Summary' section of the 'Direct Payment Audit Summary' form.
  - The 'Details' and 'Fund Amount (£)' fields should be completed for each different type of fund the customer has specified they've set aside for future use. This should be sourced from the returned and completed checklist/questionnaire that was issued by the BSA, requesting this information.
  - 'Accepted' or 'Rejected' should be selected in the 'Status' dropdown for each recorded entry in the table, to indicate whether or not each specified fund is to be included in the overall total of funds to be set aside for future use.
- The 'Total amount of funds' contains the aggregated total of funds listed in the table that have been flagged as 'Accepted' in the 'Status' dropdown.

**CFAT FSO:** Payments to be credited to the account...

- In the 'Payments to be credited to the account' table within the 'Direct Payment Audit Summary' section of the 'Direct Payment Audit Summary' form, the 'Payment Information' and 'Payment Amount (£)' fields should be completed, and any relevant information about the payments recorded in the 'Notes' field, for the following types of payment:

- Unauthorised payments: If, for example, an ambiguous/payment is displayed on a customer's bank statement, that's not included in the costings, further information would be requested from the customer as to the nature of the payment. The LP would then be informed about details of this payment and asked whether or not they want to recover the amount or allow the payment. If LP decides the amount needs to be recovered, then it should be recorded in the table as an unauthorised payment, so that it's added back onto the customer's overall bank balance for the period.
- Underpayments: There could, for example, be a DP underpayment by Serco during audit period, which should be recorded here. [NB. Customer contribution underpayments should not be included in the table as these are recorded within a separate section of the form].
- Further direct payments: If a Direct Payment is ending, but the Direct Payments have continued after the DP end date, due to, for example, the relevant paperwork not being completed/submitted/processed in time to stop the payments, these need to be added back onto the customer's bank account total. Generally, this will only be for erroneous DPs within the audit period, and any DPs paid in error after the audit period will be captured within the subsequent audit. However, if it's a final audit, then DPs erroneously paid after the audit period should be included.
- Any other amounts that should be added back onto the customer's bank account total, but do not fall within one of the above three categories/reasons, should also be listed in this table.
- The 'Total amount of payments' field contains the aggregated total of payments listed in the table, and will be automatically calculated.

**CFAT FSO:** Is a customer contribution payable for non-residential services? [Yes]...

- Within the 'Customer contribution (non-residential services)' subsection that appears within the 'Customer Contribution Details' subsection, record details of all customer contributions for non-residential services in the table.
- The 'Total customer contribution due (£)' field contains the aggregated total of customer contributions listed in the table, and will be automatically calculated.

**CFAT FSO:** Is a customer contribution payable for respite care? [Yes]...

- Within the 'Customer contribution (respite care)' subsection that appears, record details of all customer contributions for respite care in the table.
- The 'Total customer contribution due (£)' field contains the aggregated total of customer contributions listed in the table, and will be automatically calculated.

**CFAT FSO:** Customer contribution – payment check...

- If 'Yes' has been provided as a response to either/both of "Is a customer contribution payable for non-residential services?"/"Is a customer contribution payable for respite care?", the 'Payment Check' fieldset will appear within the 'Customer Contribution Details' subsection.

- The 'Amount to be paid' field will be automatically calculated as the sum of the totals from either/both of the 'Customer contribution (non-residential Services)' and 'Customer contribution (respite care)' tables.
- Respond to the 'Has customer contribution been paid?' question by selecting either 'Yes' or 'No' from the dropdown. If 'Yes' is selected, the 'Customer contribution payment details' table and associated fields appear.

**CFAT FSO: Customer contribution - payment details...**

- If 'Yes' has been selected for 'Has customer contribution been paid?' within the 'Payment Check' fieldset, the 'Customer contribution payment details' table and associated fields appear and must be completed.
  - Populate the table with all instances of 'Amount Paid (£)' and 'Number of Payments'. The 'Total Paid (£)' field will calculate automatically for each row/instance added to the table.
  - The 'Total customer contribution paid (£)' field underneath the table will calculate as the aggregate of all 'Total Paid (£)' amounts in the table.
  - If the customer has underpaid or overpaid (based on the difference calculated between the 'Amount to be paid (£)' and 'Total customer contribution paid (£)' aggregates), then either the 'Underpayment' field or 'Overpayment' field will display the amount under/overpaid.
  - Provide a 'Yes' or 'No' response to the question: "Over/underpayment to be included in surplus calculation?"

**CFAT FSO: Adjusted balance calculation...**

- Within the 'Surplus Calculation' subsection of the 'Direct Payment Audit Summary' section, the 'Adjusted balance to take into account above expenditure (£)' calculates as follows:  $[Bank\ Balance] - [Total\ Amount\ of\ Cheques] - [Total\ Amount\ of\ Funds] + [Total\ Amount\ of\ Payments] + [Underpayment] - [Overpayment]$ . (NB. The [Underpayment] and [Overpayment] amounts will only be included in the calculation if answer to "Over/underpayment to be included in surplus calculation?" is 'Yes'.)
  - [Bank Balance]: Taken from the total recorded in the 'Bank balance' field.
  - [Total Amount of Cheques]: Taken from the aggregate that appears underneath the 'Cheques written but not shown on last bank statement' table.
  - [Total Amount of Funds]: Taken from the aggregate that appears underneath the 'Funds requested to be set aside for future use' table.
  - [Total Amount of Payments]: Taken from the aggregate that appears underneath the 'Payments to be credited to the account' table.
  - [Underpayment]: This is taken from the customer contribution underpayment amount that appears at the end of the 'Customer Contribution Details' subsection.
  - [Overpayment]: This is taken from the customer contribution overpayment amount that appears at the end of the 'Customer Contribution Details' subsection.

**CFAT FSO: Weekly amounts and 8 week amounts...**

- Under the 'Weekly Amounts' heading within the 'Surplus Calculation' subsection in the 'Direct Payment Audit Summary' section of the 'Direct Payment Audit Summary' form, record the weekly amount for each of the following. The information is sourced from Abacus, SDS (Serco's payment system) and the customer's bank statement. [NB. The source of some of this information might change when the Mosaic finance build is complete and live].
  - 'Direct Payments (£)'
  - 'Customer contribution (£)'. This field will only appear if 'Yes' has been answered to "Is a customer contribution payable for non-residential services?" within the 'Direct Payments Made in Audit Period' subsection.
  - 'Personal Health Budget (£)': This field will only appear if 'Yes' has been answered to "Is a Personal Health Budget paid into the Direct Payments account?" within the 'Direct Payments Made in Audit Period' subsection.
- Under the '8 Week Amounts' heading within the 'Surplus Calculation' subsection in the 'Direct Payment Audit Summary' section of the 'Direct Payment Audit Summary' form, the 8 week amounts are automatically calculated from the corresponding weekly amounts that have been recorded above. The purpose of these fields is to check whether there are 8 weeks of DP/CC/PHB amounts in the person's bank account. As per the weekly amount fields, the 'Customer contribution (£)' and 'Personal Health Budget (£)' fields will only appear under the '8 Week Amounts' heading as per conditions stipulated for these fields appearing under the 'Weekly Amounts' heading [NB. 8 week amounts are not applicable for final audits and, therefore, do not calculate/display if 'Final' has been selected as the Audit Type].

#### **CFAT FSO: Surplus calculation...**

- Under the 'Surplus Funds and Allocations' heading within the 'Surplus Calculation' subsection in the 'Direct Payment Audit Summary' section of the 'Direct Payment Audit Summary' form, the following fields are automatically calculated. (NB. Only the 'Surplus funds (£)' field appears by default; the other four only appear if 'Yes' has been answered to "Is a Personal Health Budget paid into the Direct Payments account?" within the 'Direct Payments Made in Audit Period' subsection.)
  - 'Surplus funds (£)': The surplus amount in a customer's account is calculated as:  
[Adjusted balance to take into account above expenditure] - [8 Weeks Amounts - Direct Payments] - [8 Week Amounts – Customer Contribution] - [8 Weeks Amounts – Personal Health Budget]
  - '% of surplus allocated to Personal Health Budget':  $\frac{([\text{Weekly Amounts} - \text{Personal Health Budget}] / ([\text{Weekly Amounts} - \text{Direct Payments}] + [\text{Weekly Amounts} - \text{Customer Contribution}] + [\text{Weekly Amounts} - \text{Personal Health Budget}])) * 100}$
  - 'Amount of surplus to be returned to Personal Health Budget (£)':  $\frac{([\% \text{ of Surplus Allocated to Personal Health Budget}] / 100) * [\text{Surplus Funds}]}$
  - '% of surplus allocated to Direct Payments':  $\frac{([\text{Weekly Amounts} - \text{Direct Payments}] + [\text{Weekly Amounts} - \text{Customer Contribution}]) / ([\text{Weekly Amounts} - \text{Direct Payments}] + [\text{Weekly Amounts} - \text{Customer Contribution}] + [\text{Weekly Amounts} - \text{Personal Health Budget}]) * 100}$

- 'Amount of surplus to be returned to Direct Payments (£)': [Surplus funds] - [Amount of surplus to be returned to Personal Health Budget]

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

- If there's a surplus amount of money to be recovered from the customer, record 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 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 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 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 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 audit outcome in the 'Audit Officer Report' text area. Send a letter to inform customer of the 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 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 completion details...

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

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

- If anything has been discovered through the 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 an 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:** Complete risk matrix...

- Peripheral to Mosaic, complete the risk matrix to determine when the next audit is to take place. This will be in 6, 12, or 18 months' time.

**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.
- If it's a final audit, add either 'Adult No Further Direct Payment Audit Required (NFA)' or 'Children's No Further Direct Payment Audit Required (NFA)'. Also, record the relevant reason for this Next Action. NB. This is a terminating Next Action, so it will not be sent to anyone or any team.
- If a subsequent audit is required, a Next Action of 'Direct Payment Audit (6 Months)', 'Direct Payment Audit (12 Months)'; or 'Direct Payment Audit (18 Months)' should be sent to one of the following three virtual workers, determined by the customer's surname initial: 'CFAT - Inbox (A-F)'; 'CFAT - Inbox (G-N)'; 'CFAT - Inbox (O-Z)'.

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

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