CUSTOMER FINANCE AUDIT TEAM: Direct Payment Audits Brought Forward

April 2018, Version 1.0

CFAT BSA

BSAs should regularly monitor the CFAT 'Incoming Work' folder to check for scheduled DP Audits that need to be brought forward. There are a variety of reasons that might trigger the need to bring forward an audit. For such cases, a next action of 'Adult Bring Forward Scheduled Direct Payment Audit' will be sent directly to the team.

Start the 'Adult Bring Forward Scheduled Direct Payment Audit' step, add a next action of 'Adult Acknowledged (NFA)', and click on the tick icon (in green box) to finish the step.

Assign the 'Direct Payment Audit' step to self from the virtual worker folder within which it resides, and send letter and 'Information Required' checklist to customer or their representative, requesting documents. The letter should also be uploaded to the Documents section in Mosaic.

Within 'Request for Documents' subsection in 'Monitoring' section on the 'Direct Payment Audit Monitoring' form, complete 'Date request sent', 'Request sent to' and 'Details' fields.

Within 'Customer' subsection in the 'Direct Payment Audit Summary' section of the 'Direct Payment Audit Summary' form, complete 'Purchasing Team' and 'Audit Type' fields.

'Previous Audit Details' subsection appears. — Yes — "Has a previous audit been completed?" (Respond to question within 'Customer' subsection) — No — 'Direct Payment Agreement' subsection appears.

Within 'Notes' subsection, record any relevant additional information and/or communications within 'Background Information' text box.

Reassign audit to the 'BSA - Waiting Response Awaiting Days' virtual worker. Record date the documents are due to be returned by in 'Note' field (allow 4 weeks for return).

Correct and sufficient documents returned within 4 weeks? — No — Within 'Request for Documents' subsection in 'Monitoring' section of 'Direct Payment Audit Monitoring' form, select 'Incorrect / insufficient documents returned' for 'No documents returned' from 'Documents return status' dropdown. — Yes — Within 'Request for Documents' subsection in 'Monitoring' section of 'Direct Payment Audit Monitoring' form, select 'Correct / sufficient documents returned' from 'Documents return status' dropdown.

NB. At each chase stage, update 'Note' field of step with relevant documents chasing details.

Chase documents and allow a further 14 days for return. Send relevant letter to customer and upload to the Documents section in Mosaic. Complete all relevant fields in 'First Documents Chase (After 28 Days)' subsection. (NB. 'Chase Date' should be 28 14 days after first chase if no documents returned; or date of return if incorrect/insufficient documents returned).

Within 'Documents Chasing 1 - After 28 Days' subsection, select 'Correct / sufficient documents returned' from 'Documents return status' dropdown.

Correct and sufficient documents returned within 2 weeks? — Yes

Within 'First Documents Chase (After 28 Days)' subsection, select either 'Incorrect / insufficient documents returned' or 'No documents returned' from 'Documents return status' dropdown.

Chase documents and allow a further 14 days for return. Send relevant letter to customer and upload to the Documents section in Mosaic. Complete all relevant fields in 'Second Documents Chase (After 14 Days)' subsection. (NB. 'Chase Date' should be 28 14 days after first chase if no documents returned; or date of return if incorrect/insufficient documents returned).

Within 'Second Documents Chase (After 14 Days)' subsection, select either 'Incorrect / insufficient documents returned' or 'No documents returned' from 'Documents return status' dropdown.

Correct and sufficient documents returned within 2 weeks? — Yes

When all the necessary documents have been acquired, within the 'Return and Processing of Documents' subsection, select 'No documents return method' and record the 'Date correct / sufficient documents received'. And record info on cheques in the 'Direct Payment Audit Cheque Book Summary' section of the 'Direct Payment Audit Summary' form.

Within 'Second Documents Chase (After 14 Days)' subsection, select 'Correct / sufficient documents returned' from 'Documents return status' dropdown.

Refer to Lead Practitioner within relevant area team. Complete all relevant fields in 'Referral to Lead Practitioner (After 14 Days)' subsection. (NB. 'Date referred to Lead Practitioner' should be 14 days after second chase date; or date of return if incorrect/insufficient documents returned).

Include letter with documents returned to customer or re-letter to inform customer of shredded documents. Upload letter to Documents section of Mosaic.

When documents have been processed, complete 'Post-Processing Action' fields. 'Time taken to process/return documents' is automatically calculated. Also, complete 'Actioned By (Business Support Assistant)' field.

Send a 'Missing documentation - LP intervention required' request to the relevant Lead Practitioner. 'Note' field of request should include details of previous request and chases for documentation; dates requested/chased; the documents that are required; and a response deadline.

Complete 'Outcome of Lead Practitioner intervention' and 'Date of outcome' fields in 'Referral to Lead Practitioner (After 14 Days)' subsection.

Response received from Lead Practitioner? — Yes — Allocate audit to FSO. Complete 'Allocation' section on 'Monitoring' form.

Reassign step to allocated FSO. Record "Ongoing – Documents Received – [Date]" within the 'Note' field of the 'Assign Work' window.

CFAT FSO

Start audit via 'Resume' from step summary screen or 'Resume Work' from cog icon to the left of step (NB. all documents required to undertake the audit are accessed via CFAT shared area on the server).

Record the date of starting the audit in the 'Date started by Audit Officer' field that's located within the 'Allocation' section on the 'Monitoring' form.

Record 'From' and 'To' dates within 'Current Audit Details' subsection of 'Summary' form (NB. for the period being audited, rather than the period of the audit itself). 'Number of days' will automatically calculate.

"Is there a regular, ongoing Direct Payment being made?" (Respond to question within 'Direct Payments Made in Audit Period' subsection)

Yes — Record weekly Direct Payment at start of period and weekly customer contribution at start of period within 'Regular, Ongoing Direct Payments' subsection.

No — Record any Direct Payment variations and changes to the customer contribution within the 'Payment Changes During Audit Period' repeating subsection.

"Is there an annual Direct Payment being made?" (Respond to question within 'Direct Payments Made in Audit Period' subsection)

Yes — "What is this annual Direct Payment for?" (select 'Respite', 'Non-respite', or 'Respite and non-respite' from the dropdown list)

Respite — Respite and Non-respite — Complete fields within the 'Annual Direct Payment (Respite)' subsection that appears.

Non-respite — Complete fields within the 'Annual Direct Payment (Non-respite)' subsection that appears.

No — Complete fields within the 'Annual Direct Payment (Non-respite)' subsection that appears.

"Has a one-off Direct Payment been made?" (Respond to question within 'Direct Payments Made in Audit Period' subsection)

No — Record 'Amount' and 'Date' for all one-off payments within the 'One-off Direct Payments' repeating subsection that appears.

Within 'Bank Balance' subsection, record the customer's 'Bank balance'. (NB. The 'Bank balance as at' field pre-populates with date recorded in 'To' field within 'Current Audit Details' subsection)

Populate the 'Cheques written but not shown on last bank statement' table with details of any cheques written/issued by the customer, during the audit period, that have not cleared in time to display on their bank statement.

Populate the 'Funds requested to be set aside for future use' table with any funds set aside by the customer for future use. Indicate whether each amount is 'Accepted' or 'Rejected' in 'Status' dropdown. (NB. Only 'Accepted' amounts will be included in the aggregated total for table)

Populate the 'Payments to be credited to the account' table with any amounts that should be added back onto the customer's overall bank balance for the period.

"Is a customer contribution payable for non-residential services?" and "Is a customer contribution payable for respite care?" (Respond to questions within 'Direct Payments Made in Audit Period' subsection)

Either/Or — Depending on responses, either/both of the 'Customer contribution (non-residential services)' and/or 'Customer contribution (respite care)' tables will appear. Complete with all relevant details.

Within 'Customer Contribution Details' subsection, 'Amount to be paid' for the customer contribution automatically calculates.

"Has customer contribution been paid?" (Respond to question within 'Customer Contribution Details' subsection)

Either — Yes — Populate the 'Customer contribution payment details' table with all customer contributions. An overpayment or underpayment will be automatically calculated.

Neither — No — "Over/underpayment to be included in surplus calculation?" (Respond to question underneath overpayment/underpayment amounts)

Yes — Within 'Surplus Calculation' subsection, 'Adjusted Balance' will include customer contribution over/underpayment.

No — Within 'Surplus Calculation' subsection, 'Adjusted Balance' will exclude customer contribution over/underpayment.

NB. 'Customer Contribution' and 'Customer Contribution Budget' fields will only appear if 'Yes' has been answered to "Is a Customer contribution payable for non-residential services?" and "Is a Personal Health Budget paid into the Direct Payments account?" questions within 'Direct Payments Made in Audit Period' subsection.

Record weekly amounts for 'Direct Payments', 'Customer Contribution' and 'Personal Health Budget' within the 'Surplus Calculation' subsection.

8 weekly amounts for 'Direct Payments', 'Customer Contribution' and 'Personal Health Budget' will be automatically calculated.

Within 'Surplus Calculation' subsection, the 'Surplus Funds and Allocations' are automatically calculated.

Is there a surplus amount of money to be recovered from the customer?

Yes — Within 'Surplus Calculation' subsection, record the 'Amount to be Recovered'.

< £50 — Within the 'Direct Payment Audit Outcome' section, record summary details of the audit and outcome in the 'Audit Officer Report' text box.

> £6000 — Within the 'Direct Payment Audit Outcome' section, record summary details of the audit and outcome in the 'Audit Officer Report' text box.

£50 - £6000 — Within the 'Direct Payment Audit Outcome' section, record summary details of the audit and outcome in the 'Audit Officer Report' text box.

No — Do not pursue recovery of amount. Send letter to customer, informing them of audit outcome. Upload letter to Documents section in Mosaic.

Send 'Notify Key Team / Worker of outcome' notification to Lead Practitioner. Record details of action in note field of notification (ie. no amount to recover; amount not being recovered; or other outcome).

Don't Recover — Consult Lead Practitioner ahead of taking any action. Send 'Please review recommendation' request to relevant LP in note field of request, instruct LP to look at the notes recorded in 'Audit Officer Report' field. Request they complete 'Area Team Response' field with all relevant details related to recovery of surplus amount. Await for response from LP.

No Response — Chase via agreed CFAT escalation process. Record escalation details in 'Chase Response' subsection in the 'Direct Payment Audit Outcome' section. Await response.

Response received? — No

Recover — Pursue recovery of amount. Generate letter to customer, inform and send to customers, together with covering letter. Upload letter to Documents section in Mosaic.

Send 'Notify Key Team / Worker of outcome' notification to Lead Practitioner. Record details of action in note field of the notification (ie. pursuing recovery of amount, and invoice/letter sent to customer).

Consult LP 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).

Within 'Completion Details' section, record date the audit has been completed in the 'Date completed' field.

Has anything been discovered through the audit that might trigger the need to bring forward a customer's scheduled review?

No — Send notification: 'Adult Please Check: Potential need to bring forward scheduled review' to relevant Lead Practitioner. Include details of potential reasons in the 'Note' field.

Has anything been discovered through the audit that might trigger the need for an Adult Financial Assessment?

Yes — Send notification: 'Adult Please Check: Potential need for Financial Assessment' to 'Fa Referral - Inbox' virtual worker of the Senco Financial Assessments & Income Collection Team.

No — Complete risk matrix to determine when next audit is to take place.

Add next action of 'Direct Payment Audit' for 6, 12 or 18 months, as appropriate.

Subsequent audit required? — Yes — Add next action of 'Direct Payment Audit Required (NFA)'.

Next action should be sent to one of the three 'CFAT – Inbox' virtual workers, determined by the customer's surname initial.

If there's an amount of money to be recovered, send a next action of 'Debt Recovery Initiated (NFA)'.

Click on the tick icon (in green box) to finish audit, and for next actions to be sent.