

Appendix 2c: Other Audits and Grant Claims

Social Care Payments to Individuals and Providers – Adults Services

Objective

To provide on-going support and challenge to the control framework being designed into the new Liquid Logic (LAS) case management system and the ContrOCC finance module, which ensures the accuracy and timeliness of payments due to support children.

Current Status

The challenge and support provided particularly focused on known weaknesses in arrangements identified in previous audits. As the work progressed, its coverage broadened out into other related areas.

Therefore, during this work, advice and support has been given with regard to the design of processes to ensure:

- ContrOCC system access granted to users responsible for approving payments is in line with the Council's Scheme of Delegation
- manual adjustments are only made when appropriate, and that their use is independently monitored to confirm this
- batch interface files between the ContrOCC finance module and the Council's key financial system Unit 4 Business World had limited risk of manual intervention. In addition, there are timely reconciliations between the systems to confirm the accuracy of payments due to be made
- suitable restrictions and clear processes exist regarding the ability to undertake 'system rollbacks' on LAS to minimise their occurrence to a small number of circumstances. This is significant because of the knock on impact on ContrOCC, especially where payments have already been made.

Troubled Families Programme, Payments by Results Scheme Grant

Objective

To assess compliance with the terms and conditions of the Ministry of Housing, Communities and Local Government's (MHCLG) Financial Framework for making Payment by Result (PBR) claims under the Expanded Troubled Families Programme (Phase 2).

Background

The Financial Framework requires that Internal Audit verifies a 10% representative sample of PBR claims before they are made to ensure there is supporting evidence to confirm families:

- met the required criteria to be considered for entry to the expanded Troubled Families Programme
- have achieved either continuous employment or significant and sustained progress as defined by the Council's agreed Outcomes Plan.

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Larger sample sizes may be required for smaller claims in order to ensure the audit is meaningful.

Conclusion

Between January and February, 36 PBR claims were presented for audit prior to submission to the MHCLG.

Claims continue to be reviewed and challenged at 'Outcome Surgeries' established by the Early Help and Family Support team. These aim to ensure the criteria of the Council's Troubled Families Outcome Plan have been met and can be evidenced. Additionally, the Team Manager reviews a minimum of 10% of claims to confirm appropriate evidence has been provided.

Of the 36 claims presented, the Team Manager reviewed 8. Internal Audit randomly selected five claims for review, which included two checked by the Team Manager. For all cases reviewed by Internal Audit suitable evidence was available to support:

- entry into the programme
- a claim for either significant and sustained progress, or continuous / subsequent employment.

This demonstrates that both the 'Outcome Surgeries' and the Team Manager's quality assurance checks are working effectively to ensure sufficient evidence is available to support required troubled family outcomes and the PBR claims made.

Service Transformation Maturity Model

The Service Transformation Maturity Model is a key objective of the Troubled Families Programme. It aims to bring together partner organisations together to work collaboratively in securing sustainable, high quality services for families after the programme ends in 2020.

In December 2018, Internal Audit attended the 'Troubled Families Service Transformation and Data Maturity Model' workshop. Alongside other key strategic partners, work was undertaken to pull together a comprehensive set of actions to support the development of the Early Help approach.

Internal Audit will continue to support the service with the development of the Maturity Model as needed.

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Procurement Joint Venture Partner - Better Queensway Regeneration Project

Objective

To assess whether the needs and outcomes required are properly assessed, appropriately translated into the contract and Contract Procedure Rules are properly applied.

Outcome of the work

The Internal Audit team worked closely with the Corporate Procurement and Project teams to review processes and procedures and develop learning as the procurement progressed to ensure that a robust and compliant process was followed.

There were individual audits at the various key stages of the process i.e. post:

- Selection Questionnaire evaluation and moderation,
- Invitation to detailed solutions
- Invitation to Refined Solutions; and
- throughout the Final Tender stage.

Recommendations were discussed and agreed after each stage and ahead of the next stage to strengthen processes. A key deliverable was the development of an evaluation and moderation tool, which clearly mapped across the key elements of the offer at the final tender stage to the requirements in each of the technical (qualitative) questions and the requirements set out in the objectives.

This provided a clear evidence tool and rationale for determining the value for money outcome in relation to the final tender submission.

The approach adopted of providing live feedback and assurance has been positively received and proved to be effective in terms of working together with colleagues to achieve the desired outcomes for the Council.