

Appendix 2B: Other Audits and Grant Claims

Troubled Families Programme, Payments by Results Scheme Grant 2020/21 - claim October to December 2020

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 Troubled Families Programme
- have achieved either continuous employment or significant and sustained progress as defined by the Council's agreed Outcomes Plan.

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

Conclusion – claim period October to December 2020

Between October 2020 and December 2020, 68 PBR claims were presented to audit, prior to submission to the MHCLG.

The Team Manager reviews a minimum of 10% of claims to confirm appropriate evidence has been provided.

Two of the 68 claims were withdrawn because they were found to have been claimed previously. This left 66 claims for submission to the MHCLG.

Internal Audit randomly selected seven claims for review, two of which had been checked by the Team Manager. For all seven cases, suitable evidence was available to support

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

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Getting to Know your Business – Children’s Services Improvement Plan – summary of work July to December 2020

Objective

As the service develops its Improvement Plan; to provide support and challenge around arrangements for identifying and capturing risks and the clarity of deliverable outcomes and related outputs which are clear about “what good looks like”.

Summary of work and impact

Acting as a critical friend at the Service’s Performance Board to heighten the role of risk and opportunity in both making decisions and determining whether the right and sufficient assurances on delivering outcomes is being sought, reviewed, and acted upon. Then supporting colleagues to develop those conversations into a practical and simple approach for identifying, capturing and escalating risk from a team to service level and then onto the Improvement Board. This has resulted in the capture of risk in the:

- recent 2020/21 Improvement Plan Closure report to the Improvement Board;
- new template for the highlight reports to be presented to the Improvement Board in the future
- new template being developed for service teams

Th impact of this challenge and support to help move the service forward to improve outcomes has been acknowledged at all levels within the service – example feedback includes ‘You always have great insight and anything which you feel we should be doing would be really useful!’

Liquid Logic / ContrOCC

Objective

Provide support and challenge as new change request arrangements for these systems are being considered.

Summary of work

Ongoing support is being provided to the business in developing their governance arrangements for change requests and strategic development of Liquid Logic and ContrOCC. Advice has been provided during the development of the terms of reference for each of the groups and board within the governance process in order to help ensure:

- membership fits the need and purpose of each group
- roles and responsibilities of each group and its members are clear, realistic and aligned to the groups purpose
- escalation / de-escalation requirements between groups are appropriate.

Further work is under way to support the service in revising and improving business processes for day-to-day system support, including arrangements for data deletion and system amendments.