ANNEX 1 C&YPS Action Plan for Direct Payments

Priority	***	Fundamental	[Action considered necessary to avoid exposure to high risk]
	**	Significant	[Action considered necessary to avoid exposure to a significant risk]
	*	Merits Attention	[Action desirable to enhance control or value for money]

Recommendation		Priority	Responsibility	Agreed	Comments	Date
1.	The form of agreement / risk assessment criteria should be regularly reviewed i.e. on at least an annual basis and following any changes in policy to ensure it remains valid, any updates or changes should be subject to appropriate formal approval.	**	Peter Rennie, Children and Families Special Needs Manager in consultation with Richard Waring, Direct Payments Manager	Yes	Cabinet report to be completed to advise on impact of all direct payments to being reviewed in line with new national guidance. Cabinet agree to the development of guidance & application of new criteria in respect of new payments but not to withdrawal of existing payments Letter to be sent to all Direct Payment Users to notify of new criteria and implications of review This action has been delayed due to the lack of Practice Guidance in	30 Nov 09 Deferred until 7.4.10 Complete 31 May 10 – deferred to 30.7.10 to allow for Policy to be written, Equality Impact Report & consultation

Recommendation		Priority	Responsibility	Agreed	Comments	Date
					C&YPS. This is being addressed in conjunction with Policy & Planning.	
2.	A database of Direct Payment users should be implemented as a matter of priority. The database should include: • the DP users details • dates and changes to the user's needs requirements and payments • the date when periodic assessment reviews are required • the date the assessment was completed along with any action points raised by the review • the dates when financial audits are due • the date the financial audit was completed along with any action points raised by the audit • a reporting function that will allow various reports to be generated from the database i.e. a facility to run standard reports that may be needed on a regular basis but also ad hoc reports that may be needed to provide specific information for a particular purpose.	**	Diane Hyner, Business Manager, Provider Services in liaison with Neil Armstrong, CYPS Systems Development Officer	Yes	Information from Children's Disability database to be transferred to SWIFT Reports to be developed to trigger reviews Resource implications of above actions to be considered The processing of Direct Payments will move to SWIFT this is being managed by Carol Grice a Change management request has been sent in to RBT (awaiting response)	31 Mar 10 Complete 30 June 2010

Recommendation		Priority	Responsibility	Agreed	Comments	Date
	The database should be available for use by all appropriate RMBC stakeholders by use of passwords with enforced automatic password change on a regular timetabled basis with adequate and tailored access rights to the specific areas they need to access i.e. read only, amend, etc. The database must provide an audit trail of changes. The information held on the database and access to the database must be in accordance with data protection and security information policy guidelines.					
3.	It is recommended that the assessments are undertaken at the required intervals, any backlogs should be cleared as a matter of priority. The database and the personal file should include details of monitoring undertaken and the completion and results and action points of assessments.	**	Marie Noone, Team Manager Children's Disability Team In conjunction with with Richard Waring, Direct Payments Manager	Yes	Following acceptance of the report by Members (see rec.1) all reviews to be completed Details of 5 Direct Payments Users with no personal file to be requested from Audit to enable remedial action to be taken	31 July 10 30 Nov 09 Complete
4.	It is recommended that the outstanding and outdated financial audits of all Direct Payment users are rectified and provision is made by the Direct	**	Richard Waring, Direct Payments Manager	Yes	In progress, DSP has been sent to HR to increase Audit Staff by 37 hours per	24 March 2010

Recommendation		Priority	Responsibility	Agreed	Comments	Date
	Payments team to accommodate additional service output in order to achieve this recommendation.				week	
5.	On completion of the audit review the procedure and detail for the contingency of unspent monies should be recorded and documented in the DP payments audit review process.	**	Richard Waring, Direct Payments Manager	Yes	In progress	30 May 2010
6.	A policy should be documented for the treatment of unspent monies in excess of four weeks provision; this should set out the procedure to be followed with an escalation of recovery action as deemed appropriate. The action to be taken or the reason why action is not to be taken should be recorded on the database and the DP user's personal file. Details of communications and copies of correspondence with the DP user and other departments / stakeholders (i.e. Social Services) should be recorded and the service user's personal file updated. Monitoring of the return of unspent monies should be undertaken on a structured basis in accordance with the aforementioned policy to ensure that the money to be repaid is recovered promptly.	**	Richard Waring, Direct Payments Manager In liaison with Peter Rennie, Children and Families Special Needs Manager and Marie Noone, Team Manager Children's Disability Team Marie Noone, Team Manager Children's Disability Team	Yes	Policy to be written Document is being produced as part of the personalisation agenda project managed by Claire Green NAS. Recording to be implemented when Direct Payment records are on SWIFT	30 June 2010 30 June 10 Complete

Recommendation		Priority	Responsibility	Agreed	Comments	Date
7.	A record of training provided to the individual users should be maintained, along with a copy of all correspondence or updates issued.	*	Richard Waring, Direct Payments Manager in liaison with School's First	Yes	System to record training / correspondence / updates to be developed	30 April 2010 Complete
8.	The Social Worker should be required to confirm on the DP user's personal file whether the DP user is in receipt of Independent Living Allowance Funding to ensure that duplicate applications are not made. This should also be recorded on the database.	**	Marie Noone, Team Manager Children's Disability Team	Yes	Procedure to be implemented and guidance to be given to Social Workers on other funding stream available.	31 Oct 09 Complete
9.	Providing that the information is updated on the database as required by recommendation 8, reports could be downloaded from the database to identify any changes to circumstances that could affect funding, the Social Worker should confirm that the Independent Living Fund organisation has been informed of changes that may affect the DP users entitlement to funding.	**	Richard Waring, Direct Payments Manager In liaison with Marie Noone, Team Manager Children's Disability Team Marie Noone, Team Manager Children's Disability Team	Yes	Notifications to ILF to be included in Policy (see rec. 6) Recording to be implemented when Direct Payment records are on SWIFT	 30 June 10 Complete
10.	The completion of opinion surveys questionnaires should be sought from DP users, in order to evaluate the current service provision and to inform service improvement. The issue and	*	Richard Waring, Direct Payments Manager	Yes	To be implemented Carried out by NAS service quality team annually.	30. June 2010

Recommendation		Priority	Responsibility	Agreed	Comments	Date
	return of the surveys should be recorded with the results analysed, monitored and reviewed.					