

Appointeeship

Original Exceptions Raised

Critical	High	Medium	Low
0	9	2	0

Assurance Level

No Assurance

1	High	<p>Procedures and Training</p> <p>Testing identified numerous concerns as to whether responsibility for numerous tasks sat with the Client Monies Team or Adult Social Care. These tasks included property viewing, personal independence payment reviews, Motability reviews and welfare calls.</p>	
2	High	<p>Annual Assessments</p> <p>A review of 10 resident's records identified 3/10 clients had not had their care/support plans reviewed within the last year. Furthermore, 6/10 did not have a care manager or support worker assigned to them</p>	
3	High	<p>Financial Reviews</p> <p>A review of 10 resident's records identified only 2/10 reviews had been completed within the last year. 5/10 had been started but not concluded.</p>	
4	High	<p>Accuracy of Payments</p> <p>A reconciliation between the client information spreadsheets, recent financial reviews and notes held on file were compared with a transaction report which highlighted payments do not always reflect the information on file.</p>	
5	High	<p>Reconciliation</p> <p>Testing established that regular reconciliations of client accounts are not carried out.</p>	
6	High	<p>Account Balances/Deputyship</p> <p>Testing identified that 23 client balances in excess of the £23,5000 threshold to reclaim funds. A discussion with a SCC Solicitor also confirmed that the £23,5000 was too high and should be amended to £16,000.</p>	
7	High	<p>Deceased Accounts</p> <p>Testing identified 14 deceased accounts which had a total balance of £132,131.73.</p>	
8	High	<p>Extra and Emergency Payments</p> <p>Testing identified 2/10 emergency/extra payments did not have a completed emergency form request form or receipt.</p>	
9	High	<p>Record Keeping</p> <p>Testing identified from a review of 10 client folders and CareDirector records, all 10 were missing at least 1 key document. These included a Mental Capacity Assessment (1/10), pre-paid card application (1/10) BF57 forms (6/10) or debt repayment plans (4/10)</p>	
10	Medium	<p>Charging Policy</p> <p>Testing identified an Appointeeship charging policy is still not in place.</p>	In Progress
11	Medium	<p>Agency Clients</p> <p>Testing identified 12 agency clients which were awaiting a review.</p>	In Progress