

Moray Integration Joint Board

Commissioning Service

KPMG Recommendations

APPENDIX 1

Risk Ratings for Recommendations						
High		Medium			Low	
No.	Audit Recommendation	Priority	Accepted (Yes/ No)	Progress Update as at 09 MAY 23	Responsible Officer	Timescale for Implementation
1. Governance - The Moray Integration Joint Board should prioritise having senior oversight to close the gap between the organisation and those charged with governance, as there is currently an insufficient grip on governance						
2.1.1	Clear roles and responsibilities in relation to the management and oversight of social care commissioning activities need to be representative thought governance.	High	Yes	Action plan created for Management Commissioning meeting and date set to write the Terms of Reference.	Service Manager	31 Aug 23
2.1.2	Attendance and expectance of attendees at governance meetings needs to be clarified	High	Yes	Head of Service has supported this process and clarity provided around meeting attendance	Service manager	29 Feb 24
2.1.3	Prioritise the production of action plans for each Managers Commissioning meeting.	High	Yes	Monthly meetings are scheduled and an action plan template and action log has been created.	Service Manager	31 May 23

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Team Structure & Roles

Risk Ratings for Recommendations						
High		Medium			Low	
No.	Audit Recommendation	Priority	Accepted (Yes/ No)	Progress Update as at 09MAY23	Responsible Officer	Timescale for Implementation
2. Roles & Responsibilities – There is a lack of clarity and roles and responsibilities and poor cross organisational relationships						
2.2.1	Every member of staff within the commissioning team should have a clear job description	High	Yes	Job descriptions are accurate for the commissioning team and staff know where to find the documents for future reference.	Service Manager	31 May 23
2.2.2	There is a need for collaboration across the various Council teams to produce shared learning and increased efficiency.	High	Yes	The senior commissioning officer and payment manager are meeting to review the commissioning and procurement interaction. There has been an initial meeting with the chief finance officer to discuss better audit trails.	Service Manager	31 Aug 23

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				Senior Commissioning Officer has been working on a presentation of the remit of the commissioning team and future direction of the commissioning function.		
2.2.3	Performance management of commissioning required to be monitored and tasks completed timelessly	High	Yes	<p>The commissioning team meet every week and discuss workload this is monitored with the work tracker</p> <p>Contract and monitoring plans for the year are in progress.</p>	Service Manager	29 Feb 24

Training

Risk Ratings for Recommendations						
High		Medium			Low	
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3. Training						

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2.3.1	Implement a clearly defined staff training plan. Guidance documents needs to be available for staff to refer to.	Medium	Yes	All commissioning staff members are trained in core and service specific training. A training plan is in the process of being created.	Service Manager	31 Aug 23
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Process Maps

Risk Ratings for Recommendations						
High		Medium			Low	
No.	Audit Recommendation	Priority	Accepted (Yes/ No)	Progress Update as at 09MAY23	Responsible Officer	Timescale for Implementation
4. Process Maps						
2.4.1	A commissioning procedure needs to be created.	High	Yes	A procedure has been created and is awaiting staff consultation. A Contract Record Document has been created which captures all activity within the commissioning cycle.	Service Manager	31 Aug 23

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2.4.2	Commissioning staff will attend a session with management to discuss the commissioning procedure. A library of process maps is to be maintained and made available to staff for future reference.	High	Yes	A meeting has taken place between managers and staff. Work has begun to look at the process maps	Service Manager	31 Aug 23
2.4.3	Alignment with SDS financial regulations needs to take place			SDS option 2 are approved and signed off by the budget manager	Service Managers	31 Aug 23

Sample Testing

Risk Ratings for Recommendations					
High		Medium		Low	

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No.	Audit Recommendation	Priority	Accepted (Yes/ No)	Progress Update as at 09MAY23	Responsible Officer	Timescale for Implementation
5. Sample Testing						
2.5.1	All contracts will be signed and copies of these signed contracts stored for future reference.	High	Yes	All of the new contracts are signed and stored for future reference	Service Manager	28 Feb 25
2.5.2	Community care finance to ensure approved expenditure can easily be tied back to the underlying invoice.	High	Yes	Invoices are matched against Service Agreements within the Carefirst system, ensuring approved expenditure matches provider invoice. This is detailed within the Invoice Processing Standard Operating Procedure (SOP).	Service Manager	28 Feb 25
2.5.3	Community care finance will ensure that Invoices are not processed without adequate approval. Implement Moray IJB Financial Regulations.	High	Yes	Invoices are recorded and approved by managers. Moray Council Payments Team have a further check in place to ensure all invoices have appropriate approval. This is detailed within the Invoice Processing Standard Operating Procedure (SOP).	Service Manager	28 Feb 25

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2.5.4	<p>Audits of documentation:</p> <p>Ensures that processes are consistently being followed across the organisation and fiscal responsibilities are being met.</p>	High	Yes	<p>Audit trail process created.</p> <p>Commissioning change of service and authorisation audit forms were created.</p> <p>Comments complaint and incidents form and contract monitoring forms were reviewed.</p> <p>Community Care Finance (CCF) participated in an internal audit of invoicing in 2022 and all recommendations have been met. It is anticipated a further follow up review will take place during 2023.</p>	Service Manager	28 Feb 25
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. Strategy

Risk Ratings for Recommendations					
High		Medium		Low	

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6. Strategy						
2.6.1	Develop an implementation plan which supports the wider strategy.	Medium	Yes	The coming months will see all services contribute to the Moray HSCP Strategy by way of a delivery plan	Head of Service	29 Feb 24

Invoicing

Risk Ratings for Recommendations						
High		Medium			Low	
No.	Audit Recommendation	Priority	Accepted (Yes/ No)	Progress Update as at 09MAY23	Responsible Officer	Timescale for Implementation
7. Invoicing						
2.7.1	Formalise and document the approach to variances	Medium	Yes	The Community Care Finance (CCF) team have developed a Standard Operating Procedure (SOP) (February 2023) for the invoicing process.	Head of Service	29 Feb 24

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2.7.2	To ensure the decision making process is more robust and that the process is evidenced based with a adequate audit trail.	Medium	Yes	Work is ongoing to achieve this target, governance is being considered across the whole system.	Head of Service	29 Feb 24
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Contracts Register

Risk Ratings for Recommendations						
High		Medium			Low	
No.	Audit Recommendation	Priority	Accepted (Yes/ No)	Progress Update as at 09MAY23	Responsible Officer	Timescale for Implementation
8. Contracts Register						
2.8.1	To develop an expenditure contracts database.	High	Yes	Liaison work is continuing with procurement to align the contract data base and the procurement data base.	Service Manager	31 Aug 24
2.8.2	The database should be monitored, reviewed and routinely updated.	High	Yes	The Contract database is a protected document. Senior Commissioning Officers carries out 3 monthly checks for accuracy,	Service Managers	31 Aug 24

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				Commissioning Departmental database is reviewed and redesigned and is in operation. Service Manager to do spot check on regular basis.		
2.8.3	Contract database will be shared and made available to all staff involved in the commissioning process.			Meetings are set up to share the database with the team.	Service Manager	31 Aug 24

Performance Management System

Risk Ratings for Recommendations						
High		Medium			Low	
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9. Performance Management System (PMP)						

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2.9.1	To have a performance management system in place.	High	Yes	A performance management system will be tied in with the audit process.	Service Manager	29 Feb 24
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Contract Review

Risk Ratings for Recommendations						
High		Medium			Low	
No.	Audit Recommendation	Priority	Accepted (Yes/ No)	Progress Update as at 09MAY23	Responsible Officer	Timescale for Implementation
10. Contract Review						
2.10.1	Implement a regular contract review procedure that assesses the suitability of providers.	Medium	Yes	Contract Management & Review process in use.	Service Manager	31 Aug 23

Block Contracts

Risk Ratings for Recommendations						
High		Medium			Low	
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11. Block Contracts						
2.11.1	Block contracts are appropriately monitored to ensure that best value is obtained	Low	Yes	Contracts are monitored in line with Contract Review Monitoring process. The process is to be reviewed.	Service Manager	31 Aug 23