



REPORT TO: MORAY INTEGRATION JOINT BOARD AUDIT, PERFORMANCE AND RISK COMMITTEE ON 31 AUGUST 2023

SUBJECT: SELF-DIRECTED SUPPORT OPTION 1 AUDIT UPDATE

BY: SERVICE MANAGER, PROVIDER SERVICES

1. REASON FOR REPORT

1.1. To inform the Audit, Performance and Risk Committee in relation to the progress of the current work being undertaken to achieve the recommendations outlined in the most recent internal audit report regarding Self-Directed Support (SDS) Option 1.

2. RECOMMENDATION

2.1. It is recommended that the Audit, Performance and Risk Committee consider and note the current progress relating to the Self-Directed Support Option 1 audit report.

3. BACKGROUND

3.1. The Social Care (Self-Directed Support) (Scotland) Act 2013 was enacted on 1 April 2014 with the Self-Directed Support (SDS) Standards being implemented in March 2021. The focus of both the legislation and the standards is to deliver independent living, enabling people of all ages to have the same freedom, dignity and control as other citizens at home, work and in the community.

3.2. An internal audit was carried out through the lens of the financial reviews which are required to be carried out for those opting to receive their care and support via Option 1 of SDS (Direct Payments). The audit delivered key recommendations for the service to achieve.

3.3. An update report was requested from the Audit, Performance and Risk Committee on the issues found in the audit reports as presented by the Chief Internal Auditor at the Committee Meeting held on the 29 June 2023 (item 8 of the minute refers).

4. KEY MATTERS RELEVANT TO RECOMMENDATION

- 4.1. The high level action plan was delivered alongside the audit report, which has now been further developed into a more robust delivery plan to support in meeting the recommendations.
- 4.2. There is a requirement for 3 month, annual and closing reviews to be carried out on all Direct Payment packages, in addition to supporting with the setting up of Direct Payment packages (including recruitment, payroll, and insurance) and on-going support to individuals for the duration of the Direct Payment.
- 4.3. At the time of the audit, the team were supporting 150 Direct Payment recipients, at the time of writing, the team are now supporting 273 packages, consisting of 201 ongoing weekly payments, 30 SDS Carer one-off payments and 42 supported person one-off payments in the previous 12 month period.
- 4.4. The outstanding reviews have been heightened as a result of the COVID-19 pandemic, when the team had to reduce their delivery in line with the business continuity plan and staff redeployed to other critical areas of the wider service.
- 4.5. As can be evidenced through the delivery plan (**Appendix 1**), several actions have now been completed and have been built into the ongoing operations of the team, whilst others have been progressed. The team are completing financial reviews within the current resource available to the team, balancing this against the need to deliver front line support to those opting to receive a Direct Payment to ensure there is no delay in their care and support commencing.
- 4.6. Through the prioritisation of the financial reviews in line with the audit recommendations, closing reviews have been prioritised alongside those with unmanaged accounts. Furthermore those reviews due at 3 months of a package commencing, are prioritised to ensure individuals have got the necessary documents in place and to support in ensuring funds are being used to meet the agreed outcomes.
- 4.7. For reassurance, within the current financial year, a total of £292,812.65 has been reclaimed, of which £187,341.24 has been a result of carrying out closing reviews as a result of the targeted prioritisation.
- 4.8. To support the completion of the outstanding reviews, a 3 Minute Brief was presented to the Senior Management Team for additional resource, where approval was obtained for the advertisement of up to 4 temporary posts until March 2024 to dedicate to the completion of the reviews. The funding for the posts has been utilised from a portion of the funds the team have reclaimed to date in this financial year. An evaluation of the posts will be carried out early 2024 to ensure future planning and mitigating actions are in place for future delivery.

5. SUMMARY OF IMPLICATIONS

(a) Corporate Plan and 10 Year Plan (Local Outcomes Improvement Plan (LOIP)) and Moray Integration Joint Board Strategic Plan “Partners in Care 2022 – 2032”

SDS supports the vision of the MIJB Strategic Plan, the Corporate Plan and LOIP. The strategy will support Theme 2, Home First Objective 3, we work together to give you the right care in the right place at the right time.

(b) Policy and Legal

Compliance with Social Care (Self-Directed Support) (Scotland) Act 2013, the accompanying statutory guidance and SDS Framework of Standards. The accompanying local Direct Payment policy and guidance utilises the Chartered Institute of Public Finance and Accountancy (CIPFA) guidance relating to the monitoring of Direct Payments.

(c) Financial implications

There is a requirement for the reviews to be carried out in line with the given timescales to ensure governance over the Direct Payments funds. The recruitment to the temporary posts has been utilised from funds returned to Health & Social Care Moray, and will further support additional funds to be returned.

(d) Risk Implications and Mitigation

Increasing demand for care and support to be delivered through Option 1 of SDS drives the increase in financial reviews, this demand is being supported through the recruitment of dedicated posts to mitigate the risks associated with not carrying out the financial reviews.

(e) Staffing Implications

To support in the outstanding financial reviews, additional staffing resource is required due to the limited capacity within the team and the competing demands of the team.

(f) Property

None arising directly from this report.

(g) Equalities/Socio Economic Impact

No negative impact has been identified, the recruitment of additional resource will ensure the team are able to continue to support the front line delivery of Option 1 (Direct Payments) to ensure support is not delayed. The additional capacity will support to address the outstanding reviews alongside the increasing financial reviews required.

(h) Climate Change and Biodiversity Impacts

None arising directly from this report

(i) Directions

None arising directly from this report

(j) Consultations

Chief Social Work Officer/Head of Service, Head of Service, Provider Services Manager, SDS and Unpaid Carers Office, Equal Opportunities Officer, Accountancy

6. CONCLUSION

6.1 For Audit, Performance and Risk Committee to note the current progress in line with the SDS Option 1 Internal Audit Report

Author of Report: Michelle Fleming, Self-Directed Support and Unpaid Carers Officer

Background Papers: Moray Direct Payment Audit Delivery Plan (Appendix 1)

Ref: