

Appendix 1

Updated (May 2012) Deputyship and Appointeeship Audit Management Action Plan

(From Appointeeship and Deputyship Audit Report (Audit Ref: SC0066))

Rec No	Recommendation – Medium	Management Response
R1	The Procedure Manual should be updated together with detailed work instructions for staff to follow when the Client Financial Affairs Manager is absent.	Implemented
Rep Ref	Responsible Officer	Target Date
4.1.2	Service Manager - Quality and Safeguarding and Client Financial Affairs Manager	31 st March 2012

Rec No	Recommendation – Medium	Management Response
R2	Management should set in place a succession plan for the Client Finance Manager	Implemented. Interim succession rests with Service Manager pending appointment of permanent replacement. JD revised to reflect this.
Rep Ref	Responsible Officer	Target Date
4.1.4	Head of Service Adult Social Care	31 st March 2012

Rec No	Recommendation – High	Management Response
R3	Staff in the Client Finance Team should be trained in excel and then the duties to update the records and produce Management Information and reports should be shared amongst the team.	Implemented. Interim internal essential training completed. Further and more advanced training being set up for all staff via Workforce Development and Staff Training Team.
Rep Ref	Responsible Officer	Target Date
4.1.5 4.8.1	Service Manager - Quality and Safeguarding and Client Financial Affairs Manager	31 st March 2012

Rec No	Recommendation – High	Management Response
R4	The two Benefit specialists employed as Information Officers in the Front Door Team which is part of the Havering Direct Service should be used to assess that all benefit entitlements have been claimed.	Implemented
Rep Ref	Responsible Officer	Target Date
4.2.2	Service Manager - Quality and Safeguarding	31 st Dec 2011

Rec No	Recommendation – High	Management Response
R5	There should be a review of the responsibilities of the Service Manager - Quality and Safeguarding in relation to the Appointeeship and Deputyship system.	Implemented. Target date extended to allow time for completion Responsibilities reviewed and JD revised to reflect this. Service Manager participating in North East London Boroughs' Deputyship and Appointeeship Forum
Rep Ref	Responsible Officer	Target Date
4.3.1 4.6.1 4.8.2	Head of Service - Adult Social Care	30 th June 2012

Rec No	Recommendation – Medium	Management Response
R6	An annual information report should be compiled giving a total amount of the monies managed on behalf of the Clients appointed by the Court of Protection. This report should then be issued to the Head of Adult Social Care and the Head of Finance and Procurement.	Report has been drafted and target date extended to 30 th June to allow time for completion and sign off
Rep Ref	Responsible Officer	Target Date
4.3.2	Service Manager - Quality and Safeguarding	30 th June 2012

Rec No	Recommendation – High	Management Response
R7	An email should be sent from the Head of Finance & Procurement to all Heads of Service requiring them to inform him of any Bank Accounts their Service maintains.	Implemented
Rep Ref	Responsible Officer	Target Date
4.4.1	Head of Finance & Procurement	31 st March 2012

Rec No	Recommendation – High	Management Response
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R8	All accounts held with AIB should be transferred to Nat West. The Client Finance Manager should supply assurance to the Head of Finance and Procurement that the process has taken place and provide details of the reconciliation to the Treasury Manager & Capital Accountant	Target date has been revised as although process for arranging transfer is underway it has not yet been completed. Completion of this remains in control of RBS – Natwest Bank, but also dependent on provision of information and actions from other parties – e.g., Department of Work and Pensions and Insurance Companies. Latest estimate indicates that revised date may be viable. No identified risk to Clients or Council during this process.
Rep Ref	Responsible Officer	Target Date
4.4.6	Client Financial Affairs Manager	31 st July 2012

Rec No	Recommendation – High	Management Response
R9	The reports sent to the Court of Protection should be reviewed by Management before submission.	Implemented. All reports to the Court of Protection from Client Finance Team now being reviewed and countersigned by Service Manager or Head of Service before submission.
Rep Ref	Responsible Officer	Target Date
4.5.1	Service Manager - Quality and Safeguarding	31 st March 2012

Rec No	Recommendation – Medium	Management Response
R10	The Client Finance Manager should inform the Insurance and Risk Manager of their insurance requirements on an annual basis.	Implemented
Rep Ref	Responsible Officer	Target Date
4.7.1	Client Financial Affairs Manager	31 st March 2012

Rec No	Recommendation – High	Management Response
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R11	A new protocol should be drawn up and agreed by Management, detailing the procedures to be applied when collecting cash from the Bank. This will include the necessity for two people with a mobile phone to collect cash from the Bank.	Implemented
Rep Ref	Responsible Officer	Target Date
4.7.4	Client Financial Affairs Manager	Immediate