

MANAGEMENT ACTION PLAN

Directorate:	Business Services
Audit report:	A01800/2014/15 - Grants to Voluntary Bodies
Dated:	19 August 2014

PRIORITY RATINGS

Priority High (H) - major control weakness requiring immediate implementation of recommendation

Priority Medium (M) - existing procedures have a negative impact on internal control or the efficient use of resources

Priority Low (L) - recommendation represents good practice but its implementation is not fundamental to internal control

I agree to the actions below and accept overall accountability for their timely completion. I will inform Internal Audit if timescales are likely to be missed.

The auditor agrees that the actions set out below are satisfactory.

Lead Responsible Officer (HOS): Kevin Kilburn

Auditor: Elaine Hughes

Date: 04 September 2014

Date: 04 September 2014

Para Ref	Recommendation	Priority Rating	Management Action Proposed	Timescale for Action	Officer Responsible	Audit Agree?
5.5	<u>GAFF Grant</u> To reintroduce regular reviews to ensure that the service and outcomes in the Grant Agreement are delivered, these reviews be documented and that this be done before any more funding is released.	High	To add the GAF agreement to the IN-TEND system. To set out a KPI questionnaire linked to the intended outcomes of the agreement. To set the questionnaire up to be completed each term by GAF. Ensure that no further payments are made until the questionnaire is returned.	Data to be collected in this terms questionnaire relating to the last terms performance (April – August 2014) Questionnaire to be finalised during September 2014	Sue Turton, CSF/ Phil Osborne	Y

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5.9	<u>GAFF Grant</u> It is recommended that the legal status of the funding agreement is clarified as soon as possible with assurance that the funding agreement documentation in place is legally compliant. Going forward when the new Grant Criteria Guide is in place, a formal authorised waiver shall be required whenever standard SCC grant application procedures are not followed or documentation not used.	High	Current agreement to be sent to legal for advice. From end of current agreement a waiver will be sought from procurement.	By end September 2014 document to be sent to legal services.	Sue Turton, CSF/ Phil Osborne	Y
5.13	<u>GAFF Grant</u> It is recommended that the market place be reviewed before further funding is released to determine whether any new providers have moved into the area.	Medium	Dependant on the children's centre central funding being sufficient to commission GAF to provide additional family support, the provision of the service will be reviewed.	By January 2015 to KPI related questionnaires will have been completed. The children's centre budget will be known by Jan 2015. Jan to March 2015 select the option to pursue. 31 October 2014	Sue Turton, CSF/ Phil Osborne	Y
5.18	<u>LPF/EIKON Grant</u> It is recommended that Partnership meetings are	Medium	Second round of partnership meetings to be completed by the end of		Jeremy Crouch and Leigh Middleton, Lead Youth Officers, CSF	Y

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	held at the required frequency between EIKON and the Lead Youth Officers to discuss service performance and not just when there are concerns.		October 2014.			
5.19	<u>LPF/EIKON Grant</u> It is also recommended that clear records are kept of all the monitoring forums and organised so they are more easily retrievable for independent review.	Low	Task minute taker to support monthly Contract Partnership Meetings and six monthly Partnership Meetings.	31 October 2014	Jenny Smith, Senior Development Manager, CSF Jeremy Crouch and Leigh Middleton, Lead Youth Officers, CSF	Y
5.25	<u>LPF/EIKON Grant</u> It is recommended that it is established whether the provider receives any other SCC funding and/or has any other funders in respect of delivering this service.	Medium	Other sources of funding for this commission to be checked and clarified.	31 October 2014	Mike Nelson, Contracts and Finance Manager, CSF	Y
5.30	<u>Waverley Hoppa Grant</u> It is recommended that historic funding arrangements be market tested for new potential service providers as part of the annual review process	Low	The service will be moving away from grant funding to ensure that providers are less grant reliant and more contract reliant and business focused. If the Waverley Hoppa Dial a	01 April 2015	Cassandra Brewer, E&I	Y

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	and that this is evidenced as having been done.		Ride funding arrangement continues as a grant, the recommendations made shall be adopted.			
5.35	<u>SDDP Grant</u> Consideration is given to carrying out periodic surveys of referral agencies, in addition to users themselves, to ask whether the advocacy service the user received made a positive difference.	Low	We have developed a "before and after" intervention tool, which asks people to describe how they feel before and after the service. This has been done starting from Q1 year 3 ie: April to June 2014 and the findings were sent to the Auditor.	Q1 2013/14 (i.e. wef 1.4.2014) data has been amended and the first meeting to review this additional data was on 28 August 2014	Norah Lewis, ASC	Y
5.42	<u>Action for Carers Grant</u> It is recommended that performance monitoring meetings are minuted to show when they were held, who attended, what performance data was reviewed and discussed together with any actions required.	Low	The recommendation has been accepted and all future monitoring meetings will be minuted as suggested.	All twice yearly monitoring meetings after 1 October 2014 will be recorded in this way.	John Bangs, ASC	Y
5.43	<u>Action for Carers Grant</u> It is also recommended that performance reporting expresses data by locality.	Low	The recommendation is accepted and arrangements have already been made to ensure that the data on young carer numbers is	With immediate effect so that the breakdown will be included for the return for the first six months of 2014/15.	John Bangs, ASC	Y

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5.52	<u>RF and SADAS Grants</u> Consideration be given to adding the quarter that the issue was originally raised to the table of issues to clarify the length of time it has been outstanding.	Low	broken down by District/Boro as was suggested. We shall add an additional column to action notes to identify which quarter the issue was raised in.	From Q2 monitoring meetings (November 2014)	Jane Bremner, ASC	Y
5.53	<u>RF and SADAS Grants</u> Consideration is given to introducing a simple coding reference to link the areas being discussed at the quarterly monitoring meetings to the grant service specification.	Low	We shall add in coding references to link agenda/performance items to agreed outcomes/outputs identified in specification	From Q2 monitoring meetings (November 2014)	Jane Bremner, ASC	Y
5.54	<u>RF and SADAS Grants</u> It is recommended that a question is added as part of each referral to establish whether the service user is already in receipt of any SCC funded service for the same activities.	Low	We shall adapt the performance monitoring form to capture whether an individual using services provided by this grant is in receipt of any other SCC funded services.	For Q3 data- change performance monitoring form by October 2014.	Jane Bremner, ASC	Y

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5.60	It is recommended that for all future grants applicants are asked to make a declaration of potential conflicts of interest, or confirm there are none, and records this on the grant application.	Medium	The new procedures for the award of grants and contracts to the voluntary sector already address this issue. These procedures have been approved by Cabinet and due to be launched via training in October for grant awards from 2015/16.	Revised process already drafted and approved for grant awards from April 2015	Nikki O'Connor	Y
5.61	It is also recommended that grant applicants are asked to say whether they are members of the Surrey Compact and not leave this to the final Grant Agreement signing stage.	Low	The new procedures for the award of grants and contracts to the voluntary sector already address this issue. These procedures have been approved by Cabinet and due to be launched via training in October for grant awards from 2015/16.	Revised process already drafted and approved for grant awards from April 2015	Nikki O'Connor	Y
5.66	It is recommended that a copy of the signed Grant Agreement is held by Finance before grant payments are made and that this is recorded on the Grant Register.	Medium	Due to the size and volume of the grant agreements relating to Adults Social Care & Childrens' Centres, there was a decision to stop holding these centrally. Finance were not adding any value to the process	Already in place	Nikki O'Connor	Y

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5.70	It is recommended that each grant is assigned a unique grant code and this is used to distinguish payments per grant per provider and on the Finance Grant Register.	Low	by merely storing the documents. No payment will be made in relation to these grants (or any other) without written consent from the relevant budget holder and so controls are in place to prevent grants being paid without the appropriate authorisation. Going forward central finance will continue to request budget holder approval before payment is made and in addition will request confirmation that he/she has seen a signed grant agreement. Agreed	Already in place for payments made after the 01 September 2014	Nikki O'Connor	

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