

# Factsheet 6: Direct Payment Auditing

## What is a Direct Payment audit?

An Audit is a check on various aspects of your Direct Payment account and spend by the Quality Assurance Team in Adult Care Financial Services. Everyone’s Direct Payment account is monitored in this way.

The Council has a statutory duty to protect public funds. An Audit allows us to check that the Direct Payment money is being used as agreed in your Support Plan and that the account is being managed in a way which meets the terms and conditions of your Direct Payment Agreement. An Audit is also a chance for us to identify any issues with your Direct Payment account and to support you in resolving these.

## How often will my Direct Payment account be audited?

Your account will be audited at around 8 weeks after you receive your first payment to check that everything is working smoothly. It will then be audited again when you have been receiving your Direct Payment for about one year. Following audits will take place annually, or more frequently if it is thought necessary.

## What do I need to provide for an audit?

## Direct Payments auditing return slip

We will send you a Direct Payment Auditing letter with a Return Slip which you must return to us along with copies of bank statements and other relevant documents.

## Copies of Bank Statements

We will ask you for copies of bank statements for your Direct Payment account and will let you know what period these statements must cover. We will also give you a date by which we ask you to return these statements.

## Records of all spending

You may also need to send information to explain any payments made by cash or cheque from the Direct Payments account. This may include:

* receipts
* wage slips for any staff you employed
* invoices from agencies you have used
* timesheets of staff providing care and support

## What if I use a Direct Payment Support Service to manage my Direct Payment account?

You will not need to send us any statements or information as we will ask them to provide us with these on your behalf.

## What if I have a pre-paid card account?

You will not need to send us any statements or information as we can access your pre-paid card account online.

## What happens if I don’t provide the information?

We will contact you to remind you to send the Auditing information. If you fail to provide us with the statements and any other documents we have requested, this will be treated as a breach of your Direct Payment Agreement, and an urgent review of your Direct Payment will be scheduled.

A breach of your Direct Payment Agreement may result in your Direct Payment being stopped and the Council taking any action necessary (including court proceedings) to recover all Direct Payment money paid to you.

## What happens at an audit?

We will look at your Bank Statements and check all your incoming and outgoing transactions. We may need to check these against invoices, wage slips or receipts.

If you employ a Personal Assistant, we will also check that you are paying employer’s liability insurance, and tax and national insurance to HMRC where applicable. If your Audit is satisfactory, you will not hear from us until we do your next scheduled Audit.

If we identify some issues with your Direct Payment account, we will contact you or a social care worker to resolve these.

## What happens if the Council identifies intentional misuse of Direct Payment money?

If we identify that you are intentionally spending your Direct Payment on things which were not agreed in your Support Plan this will be classed as ‘misuse’ and a breach of your Direct Payment Agreement. This may lead to your Direct Payment being stopped and you being billed for all the Direct Payment money we calculate you have misused. We may then have to look at meeting your care and support needs in a different way.

## What happens if there is surplus Direct Payment money in my account?

We will also look at the balance of your Direct Payment account and calculate what surplus monies are required to be returned to us. If there is a surplus above the amount agreed in your Support Plan, we will write to you asking you to send this amount back to us.

If you have internet access, you can return money to us using our quick and secure online payment form at: [www.nottinghamshire.gov.uk/return-directpayment](http://www.nottinghamshire.gov.uk/return-direct-payment)

There is also an opportunity for you to state on the audit form we send you any reasons for the surplus Direct Payment monies having accrued in the account and why you might want these to remain in the account.

## Will my information be treated securely?

In line with the General Data Protection Regulation we will treat any information you send to us with the utmost professionalism and care. Your auditing information will be used solely for the purposes of Direct Payments Auditing in accordance with our Direct Payments Policy and the Direct Payment Agreement you have signed.

## Contact information

If you have any questions about Direct Payment Audits, please contact our Quality Assurance Team: Phone: 0115 9775760 Option 4, Option 1 Email: aschppdirectpaymentsauditing@nottscc.gov.uk

Nottinghamshire County Council Customer Service Centre:

Phone: 0300 500 80 80 - Monday to Friday: 8am to 6pm (Calls cost 3p a minute from a BT landline. Mobile costs may vary).

Enquiries: [www.nottinghamshire.gov.uk/contact](http://www.nottinghamshire.gov.uk/contact)

Website: [www.nottinghamshire.gov.uk](http://www.nottinghamshire.gov.uk)

Deaf / hard of hearing: Text relay service:  Dial 18001 0115 9774050 from your textphone or the Relay UK app.



Download the SignVideo app to communicate with Nottinghamshire County Council in British Sign Language via an interpreter. Visit [www.nottinghamshire.gov.uk/contact-us](http://www.nottinghamshire.gov.uk/contact-us) for more information.

Phone 0300 500 80 80 if you need the information in a different language or format.

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[*https://www.nottinghamshire.gov.uk/global-content/privacy*](https://www.nottinghamshire.gov.uk/global-content/privacy)