

Choice – Control – Independence

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DIRECT PAYMENTS
HANDBOOK

MANAGING YOUR FINANCIAL RECORDS



Introduction

It is important that you manage the Direct Payments properly so that you are able to get the care that you need, as shown in your support plan. Keeping clear records about how you spend your Direct Payment is an important part of receiving a Direct Payment from Southampton City Council. Record keeping is also known as “financial monitoring” or “auditing”.

Southampton City Council is required to set up financial monitoring arrangements for audit purposes. This will fulfil the council’s responsibility to ensure that public funds are spent to produce the intended outcomes. Therefore, it is reasonable for the council to ask you to account for how the Direct Payments have been spent. You must keep all records to do with your Direct Payments such as bank statements, bills, cheque stubs, wage slips, receipts, and so on. You must also be prepared to share any, or all of these, with Southampton City Council if they ask.

How will I know when to send my records to Southampton City Council?

You will receive a letter from Southampton City Council asking you to send in your records.

What does Southampton City Council do with the information I give them?

Southampton City Council will use the bank statements and documents to complete direct payment monitoring. The monitoring will: -

- Ensure you are using the Direct Payment as set out in the support plan.
- Check if there is any money building up in the account – if you have more than 4 weeks balance on the account you will need to highlight the reasons. It could be that you have not used the Direct Payment due to exceptional circumstances and sometimes Southampton City Council may seek to reclaim this surplus money.
- Or money may be reserved to cover PA holiday pay, bills you have not yet paid or cheques that have not yet cleared. However, it may

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also mean that your support plan needs to be reviewed, please contact the Independent Living Team if you believe this to be the case.

What sort of payments can I make from my Direct Payments account?

Wherever possible, you should pay for your support by online banking, direct debit or cheque. Do not make any payments with your Direct Payments that are not included in your agreed support plan.

SPECTRUM recommends that you do not make cash payments.

Checking your payment account statement against your records

When you receive your bank statements you should check them against the bills and receipts you have filed. If you do not recognize a payment that has gone from your direct payment account, you should contact your bank or building society straight away.

Ok, Ok, I think I've grasped this now, but how long do I have to keep these financial records for?

If you are an employer you will have to keep records to comply with employment law, as well as for Her Majesty's Revenue and Customs (HMRC), formerly known as the Inland Revenue. You are advised to keep these records for a minimum of six years.

Even if you use Direct Payments to source an agency, respite, day services or equipment, it is still advisable to keep records / invoices for six years.

You must do this even if you stop receiving Direct Payments.

Sometimes I need some support with keeping good records, where can I get help?

The Direct Payments Support Service at SPECTRUM offers help and guidance with keeping records in the following ways:

- We provide an explanation of the record keeping requirements

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set by Southampton City Council when you are first referred to us.

- Information about record keeping is provided in this Direct Payments booklet, which we leave with every individual after our first visit / meeting. Alternatively, you can download individual sections by visiting our Website: - www.directpaymentsouthampton.info
- We can invite you to our training sessions on Direct Payments, which includes a session about record keeping.
- We offer advice/guidance on how to pay your assessed contribution into your Direct Payment account.
- We are available for telephone help and a home visit where needed.

The Independent Living Team understands that keeping financial records does seem daunting at first glance. However, any member of our team will be more than happy to explain the process and support you as you become more confident. We are also Direct Payments users too!

Record keeping should always be a small part of using your Direct Payments. However, if you are employing several staff for many hours the record keeping can get a tiny bit more complex. The Independent Living Team are here to guide you.

Please remember, if you are unsure, have any queries or need additional support; please contact the Independent Living Team at SPECTRUM.

Telephone: 023 8020 2931

Email: help@spectrumcil.co.uk

You can find this Direct Payments booklet along with others covering a variety of topics by visiting us at: -

www.directpaymentsouthampton.info

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AnyBankYouLikeUK

AnyBankYouLikeUK Limited

Mrs V Independent

24 Choice Street

Freedom City

FC16 1BR

Account Number: 25652322

Sort Code: 29-31-17

Statement: 19

Page 1 of 1

Date	Type	Description	Paid Out	Paid In	Balance (£)
01 May		Balance Brought Forward			142.00
01 May	BGC	Southampton City Council		341.00	483.00
01 May	Transfer	Mrs V Independent		82.00	565.00
08 May	Cheque	000007	100.00		465.00
08 May	BACS	P Duddy 08May April Pay	200.00		265.00
08 May	DD	Payroll'R'Us	64.50		200.50
08 May	Cheque	000008	105.00		95.50

Annotations on the table:

- A dashed circle around the 'Personal Assistant Wages' label points to the '01 May' 'Transfer' entry.
- A dashed oval around 'Direct Payment received from Southampton City' points to the '01 May' 'BGC' entry.
- A dashed circle around 'Personal Assistant Wages' points to the '08 May' 'Cheque' entry.
- A dashed circle around 'Payroll Service' points to the '08 May' 'BACS' entry.
- A dashed circle around 'Employers Insurance' points to the '08 May' 'DD' entry.
- A dashed oval around 'My contribution to my care' points to the '08 May' 'Cheque' entry.