



Request for closure of recommendation

Division:	Residential and Flexible Aged Care Division
ANAO / Internal Audit	Internal Audit of Prudential Risk and Compliance
Audit Number and Name:	2017-18 - Internal Audit of Prudential Risk and Compliance
Recommendation Rating: High/Moderate/Low	Moderate
Recommendation Number and Description:	Recommendation 1: <ul style="list-style-type: none"> define the intelligence requirements for the prioritisation framework to include broader environmental scanning; and define the information triggers for HSN and how this information will be integrated into HSN processes and meetings.
Original Completion Date:	28/02/2019
Reason for Closure:	Recommendation finalised
Evidence for closure:	<ul style="list-style-type: none"> AS approved the risk profiling strategy document. Risk Profiling Strategy V0.3 updated 19 December 2018.
Delegate (FAS):	Jaye Smith
Future follow up action	External Accountability Comments: External Accountability recommends closure for this recommendation.

THIS DOCUMENT HAS BEEN RELEASED UNDER THE FREEDOM OF INFORMATION ACT BY THE DEPARTMENT OF HEALTH

ARC Outcome	Endorsed/Not Endorsed ARC Meeting Date: 14 March 2019
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Request for closure of recommendation

Division:	Aged Care Reform and Compliance
ANAO / Internal Audit	Internal
Audit Number and Name:	Internal Audit of Prudential Risk and Compliance
Recommendation Rating: High/Moderate/Low	Moderate
Recommendation Number and Description:	<p>Recommendation 2: Prudential Regulation and Compliance Section (PRCS) should:</p> <ul style="list-style-type: none"> - define a stakeholder communication plan between PRCS and the Health State Network (HSN) relating to communication of financial and related risks; and - develop documentation to evidence decision making throughout the provider investigation process to increase visibility of the process.
Original Completion Date:	1 October 2018
Reason for Closure:	<p><i>Define a stakeholder communication plan between PRCS and HSN</i></p> <p>A communication management plan has been developed between the now Prudential and Home Care Compliance Section (PHCCS) in the Aged Care Compliance Branch in Aged Care Reform & Compliance Division and the now Aged Care Domain Branch in the Health Grants & Network Division relating to roles and responsibilities and the communication of financial and related risks. The plan formalises the methods and timing of the provision of information. The communication plan has been agreed to by Directors in the Health State Network.</p> <p><i>Develop documentation to evidence decision making throughout the provider investigation process to increase visibility of the process.</i></p> <p>A standard suite of documents have been developed to be used in the management of cases of possible of non-compliance with the prudential standards. The documents are:</p> <ul style="list-style-type: none"> • Case Management Plan, • Analysis of submission in respect of a Notice for Information; • Compliance Case Closure Report <p>The Analysis of Information and the Case Closure documents require the departmental officer to complete an analysis of the information received and to outline the recommended action and the reasons for the recommendation. In completing the documents the officer will reference the evidence matrix where applicable.</p>
Evidence for closure:	<p>Attachment A: Communication management plan</p> <p>Attachment B: Case management suite of document templates:</p> <ul style="list-style-type: none"> • Case Management Plan • Analysis of submission in respect of a Notice for Information • Compliance Case Closure Report • Elements of an Offence – Evidence Matrix
Delegate (FAS):	Maria Jolly

Future follow up action	External Accountability Comments: External Accountability recommends closure for this recommendation.
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Division:	Residential and Flexible Aged Care Division
ANAO / Internal Audit	Internal Audit of Prudential Risk and Compliance
Audit Number and Name:	2017-18 - Internal Audit of Prudential Risk and Compliance
Recommendation Rating: High/Moderate/Low	Moderate
Recommendation Number and Description:	<p>Recommendation 3: PRCS should:</p> <ul style="list-style-type: none"> define recordkeeping guidelines for major systems and spreadsheets that are utilised by PRCS; and review system access for both PRCS and HSN based on the information requirements defined in Recommendation 1 to enable relevant staff can access and update information as needed.
Original Completion Date:	28/02/2019
Reason for Closure:	Recommendation finalised.
Evidence for closure:	<p>Attachment A: Department's record keeping guidelines. Attachment B: Email confirming advice on TRIM structures to store all Product 3 related documents. Attachment C: Prioritisation framework as defined in Recommendation 1.</p>
Delegate (FAS):	Jaye Smith

Future follow up action	<p>External Accountability Comments:</p> <ul style="list-style-type: none"> External Accountability recommends closure for this Recommendation. Department's Recordkeeping guidelines are being utilised (available to all staff on the Intranet). Email to all relevant staff indicating the location and structure in TRIM with user guides to store all Product 3 related documents to be utilised by all relevant staff has been communicated. Risk profiling strategy has been updated to capture intelligence requirements. The strategy document acts as the prioritisation framework used for risk profiling and includes a component of broad environmental scanning in terms of taking into account aspects of the residential aged care sector that will influence prioritisation. Less complex financial risk criteria has been outlined in a process document to be shared with HSNs. The process document takes into account the current information sharing process that feeds into risk profiling.
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ARC Outcome	<p>Endorsed/Not Endorsed ARC Meeting Date: 14 March 2019</p>
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