



Internal Audit Report

Community Services

Carefirst

2011

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1 INTRODUCTION

This report has been prepared as a result of the Internal Audit review of Carefirst, which is a system operated by the Community Services Department. The audit is part of the 2011/2012 Internal Audit programme.

Carefirst is a web based case management system that went live in Argyll & Bute Council, Social Work Department in 2000. It comprises a comprehensive suite of integrated modules covering the full spectrum of children's and adults service client groups.

2 AUDIT SCOPE AND OBJECTIVES

The specific objective of the audit was to assess and report on whether:

- There were policies and procedures in place to ensure that the information, data and documentation is held securely on Carefirst and can only be accessed by authorised employees.
- That the data input on Carefirst is complete, accurate, input on time and is authorised.

The focus of the Audit was Social Work, Adult Services.

3 RISK ASSESSMENT

As part of the audit process and in conjunction with our CIPFA Systems Based Audit (SBA), ICQ approach, the risk register was reviewed to identify any areas that needed to be included within the audit. The area identified was:

SR16 Failure to have a robust internal control process and system

4 CORPORATE GOVERNANCE

There are no Corporate Governance issues to be reported as a result of this audit.

5 MAIN FINDINGS

- 5.1 Key controls are in place to ensure the security and integrity of Carefirst case management system.
- 5.2 Access controls are in place and access rights to Carefirst are restricted to specific post descriptions.

- 5.3 Support for the Carefirst system is provided by a System Administrator and 3 Carefirst Trainers.
- 5.4 Monthly internal reviews are undertaken on case files by a Resource Worker from Planning & Information and one of the Carefirst trainers. These internal case file reviews provide a robust internal control check on the accuracy of information recorded on case files within Carefirst.
- 5.5 Through observation of the monthly review process, Internal Audit found that management needs to increase scrutiny on client files and records.
- 5.6 The Business Continuity Management Policy is held by ICT, and Carefirst is considered to be of high priority in terms of restoring the system in the event of system failure.

6 RECOMMENDATIONS

Four recommendations were identified as a result of the audit, one is a high priority, two are medium priority and one a low priority. The recommendations are shown in the action plan attached at Appendix 2 and has been compiled with the co-operation and agreement of the Supervisor/Manager.

Internal Audit considers that, in an effort to improve the quality of information, monitoring and control, the recommendations should be implemented in accordance with the agreed action plan. Management have set achievable implementation dates and will be required to provide reasons to the Audit Committee for failure to implement within the agreed timescale. Where management decides not to implement recommendations it must evaluate and accept the risks associated with that decision.

A system of grading audit findings, which have resulted in an action, has been adopted in order that the significance of the findings can be ascertained. Each finding is classified as fundamental, material or minor. The definitions of each classification are set out below:-

High - major observations on high level controls and other important internal controls. Significant matters relating to factors critical to the success of the objectives of the system. The weakness may therefore give rise to loss or error;

Medium - observations on less important internal controls, improvements to the efficiency and effectiveness of controls which will assist in meeting the objectives of the system and items which could be significant in the future. The weakness is not necessarily great, but the risk of error would be significantly reduced if it were rectified;

Low - minor recommendations to improve the efficiency and effectiveness of controls, one-off items subsequently corrected. The weakness does not

appear to affect the ability of the system to meet its objectives in any significant way.

7 AUDIT OPINION

Based on the findings we can conclude that the CareFirst System controls which are currently operating are effective but additional controls are still required, specifically in relation management of data.

Recommendations arising from the audit work should be implemented by the nominated responsible officer within the agreed timescale. Recommendations not implemented will require explanation to the Audit Committee. This could lead to findings being reported in the Internal Control Statement produced by the Council in support of the Annual Accounts.

8 ACKNOWLEDGEMENTS

Thanks are due to the Planning & Information staff, the Carefirst Trainer and Social Work staff in each of the locations visited for their co-operation and assistance during the Audit and the preparation of the report and action plan.

Argyll & Bute Council's Internal Audit section has prepared this report. Our work was limited to the objectives in section 2. We cannot be held responsible or liable if information material to our task was withheld or concealed from us, or misrepresented to us.

This report is private and confidential for the Council's information only and is solely for use in the provision of an internal audit service to the Council. In any circumstances where anyone other than the Council accesses this report it is on the strict understanding that the Council will accept no liability for any act or omission by any party in consequence of their consideration of this report or any part thereof. The report is not to be copied, quoted or referred to, in whole or in part, without prior written consent.

APPENDIX 2 ACTION PLAN

No.	FINDINGS	PRIORITY	RECOMMENDATION	RESPONSIBLE OFFICER	IMPLEMENTATION DATE
2	Internal Audit was advised that the CareDoc module of Carefirst, which allows standard word document templates to be generated, completed and stored in the Carefirst client record, had been purchased. However, it was found that in order to enable this to be implemented it would require a central file capable of storing a large number of word documents linked to client records.	Medium	Customer and Support Services should work with Community Services Social Work to explore options and install the relevant technology that will enable Social Work to implement the CareDoc module of Carefirst.	Head of Customer and Support Services	31st December 2012
3	On enquiry Internal Audit was advised by staff that not all forms relevant to a Social Workers' tasks were available on Carefirst, AWI Forms were used as an example. It was noted that where Carefirst did not have the relevant form available on the system the Social Worker had to complete the form and save it on computer file. This was then stored on the clients paper file. A note then	Medium	A review should be undertaken of forms in regular use by Social Workers and where they are not available on Carefirst steps should be undertaken to make these available on Carefirst.	Head of Adult Care	31st December 2012

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	had to be made on Carefirst that the appropriate form had been completed and was available in the client's paper file.				
4	The Carefirst Trainers routinely undertake data management exercises this includes the identification of duplicate entries and monthly internal Carefirst client case file reviews are carried out on Social Worker client case files.	High	The current process of internal client case file review and regular exercises for data management should continue.	Head of Adult Care	31 st March 2012