



## **Internal Audit Report**

Community Services

**CareFirst**

2012-2013

## **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 2012/2013 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:

- Internal Audit Recommendations from the 2011/2012 review have been progressed;
- Data held on CareFirst is complete, accurate, input on time and is authorised; and
- Policies and procedures have been established to ensure relevant information; data and documentation are held securely and are readily accessible by authorised persons.

The Social Work, Learning Disability Service was selected for review.

## **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 the 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 Significant progress has been made since the 2011-2012 Internal Audit Report to ensure that the data held on CareFirst is complete, accurate, input on time and is authorised.

## 6 RECOMMENDATIONS

Four recommendations were identified as a result of the audit, one is high priority, one is medium priority and 2 are 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.

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 Service & Development staff, the CareFirst Trainers 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
3	<p>The responsibility for ensuring that Client records are maintained on CareFirst relies heavily on the support of the CareFirst Trainers who routinely check the system. Internal Audit was advised that there was a facility to record staff supervision notes on each Client record held in CareFirst. This facility is routinely used by Childcare to record that client files have been reviewed by the Team Leader. This practice ensures that there is a robust audit trail in terms of the Team Leader reviewing each allocated case and provides assurance that the Team Leader is providing a review of the information on the client record on CareFirst.</p>	Medium	<p>The Supervision function on each Client Case record should be used by all Team Leaders undertaking staff supervision. This should be applied consistently across all Social Work Teams.</p>	<p>Team Leader, Service Development Team, Community Services</p>	<p>January 2013</p>

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4	<p>Case Managers are entering information on Carefirst Client Files and saving the same information onto the 'I' Drive. Carefirst has been set up with appropriate access controls and access rights are well defined. The information stored within Carefirst Client files is secure and only those with authority to access these files can do so. The 'network' drive does not have the same level of access rights as Carefirst and anyone in the office with a password is able to access all files, this is less secure than Carefirst raising data security issues. This also represents a duplication of client records, the information being stored in two locations.</p>	High	<p>Team Leaders and Social Workers should be advised that client information should be recorded on Carefirst.</p>	<p>Team Leader,            Service Development Team,            Community Services</p>	<p><b>Complete</b></p>