

ABERDEEN CITY COUNCIL

COMMITTEE	Audit, Risk and Scrutiny Committee
DATE	30 June 2022
EXEMPT	No
CONFIDENTIAL	No
REPORT TITLE	Internal Audit Report – Care Management
REPORT NUMBER	IA/22/007
DIRECTOR	N/A
REPORT AUTHOR	Jamie Dale
TERMS OF REFERENCE	2.2

1. PURPOSE OF REPORT

- 1.1 The purpose of this report is to present the planned Internal Audit report on Care Management.

2. RECOMMENDATION

- 2.1 It is recommended that the Committee review, discuss and comment on the issues raised within this report and the attached appendix.

3. BACKGROUND / MAIN ISSUES

- 3.1 Internal Audit has completed the attached report which relates to an audit of Care Management.

4. FINANCIAL IMPLICATIONS

- 4.1 There are no direct financial implications arising from the recommendations of this report.

5. LEGAL IMPLICATIONS

- 5.1 There are no direct legal implications arising from the recommendations of this report.

6. MANAGEMENT OF RISK

- 6.1 The Internal Audit process considers risks involved in the areas subject to review. Any risk implications identified through the Internal Audit process are as detailed in the attached appendix.

7. OUTCOMES

- 7.1 There are no direct impacts, as a result of this report, in relation to the Council Delivery Plan, or the Local Outcome Improvement Plan Themes of Prosperous Economy, People or Place.
- 7.2 However, Internal Audit plays a key role in providing assurance over, and helping to improve, the Council's framework of governance, risk management and control. These arrangements, put in place by the Council, help ensure that the Council achieves its strategic objectives in a well-managed and controlled environment.

8. IMPACT ASSESSMENTS

Assessment	Outcome
Impact Assessment	An assessment is not required because the reason for this report is for Committee to review, discuss and comment on the outcome of an internal audit. As a result, there will be no differential impact, as a result of the proposals in this report, on people with protected characteristics.
Privacy Impact Assessment	Not required

9. APPENDICES

- 9.1 Internal Audit Report – Care Management

10. REPORT AUTHOR DETAILS

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Internal Audit Update

Health and Social Care

Care Management Recording and Transactions

Issued to:

Sandra Macleod, Chief Officer – Health and Social Care Partnership
Andy MacDonald, Director of Customer
Steve Roud, Chief Officer – Digital and Technology
Alex Stephen, Chief Finance Officer – Health and Social Care Partnership
Fraser Bell, Chief Officer – Governance
Jonathan Belford, Chief Officer – Finance
External Audit

SUMMARY

Background

Aberdeen City Health and Social Care Partnership (HSCP) provides or commissions care and support to a variety of individuals who are identified as requiring it following assessment of their social care needs.

Data relating to individuals, their assessments, and follow-up care management reviews are held on the Care Management System. The system is also used to record planned care and support, and the associated costs, to match against invoices and requests for payment for services delivered.

Objective

The original objective of this audit was to obtain assurance over coordination, recording and payment for care services.

Due to reprioritisation of resources by the HSCP to support an external inspection and to develop and implement a new Care Management System during 2021 and 2022, it has not been possible to carry out a full in-depth review of care management recording and payments. Instead, a review has been undertaken of the plans and progress with implementation of the new system to obtain assurance that these adequately cover risks in respect of care management recording and payments.

Assurance

Assurance has been obtained from Digital and Technology over the project implementation plans for the new Care Management System.

There is a formal governance and programme management process in place, with regular reporting scheduled to provide updated on progress with delivery of the new system, and any exceptions being escalated to the appropriate level. The system is scheduled to go live in September 2022.

System functionality has been clearly mapped out, building on existing practice. There are clear plans and practical steps in place for migrating data from the old system onto the new one and verifying its accuracy. This includes mapping of data from the old system to the new system, and validation of data format and content, to ensure it matches the appropriate rules built into the system which govern processing of transactions.

An iterative testing programme is in progress, with exceptions being identified, addressed, and reduced with each test run. Complex cases and any errors are passed back to the HSCP for review prior to corrections being applied. A read-only version of the old system will remain in place until March 2023 so data will not be lost and can be reviewed if any issues are identified at a later stage.

Assurance over the new arrangements in practice will be obtained through a planned Internal Audit of the new Care Management System during 2023-24.

Management Response

The finance elements of new system development have been a key area of focus. Adoption of the dedicated finance module will enable additional rigour to be applied to Care Management recording and transactions. The iterative data load and validation cycles for finance have allowed a robust approach to the assurance around the new processes under the direct control of the Chief Officer Finance.