

MANAGEMENT ACTION PLAN

Directorate:	Adult Social Care
Audit report:	Audit of AIS Care Assessments
Dated:	June 2015

PRIORITY RATINGS

Priority High (H) - major control weakness requiring immediate implementation of recommendation

Priority Medium (M) - existing procedures have a negative impact on internal control or the efficient use of resources

Priority Low (L) - recommendation represents good practice but its implementation is not fundamental to internal control

I agree to the actions below and accept overall accountability for their timely completion. I will inform Internal Audit if timescales are likely to be missed.

The auditor agrees that the actions set out below are satisfactory.

Lead Responsible Officer (HOS): Michelle Head

Auditor

Revinder Hothi

Date 26 June 2015

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Para Ref	Recommendation	Priority Rating	Management Action Proposed	Timescale for Action	Officer Responsible	Audit Agree?
5.10	Guidance notes should be refreshed and re-issued to ensure information is both consistent and up to date.	M	The best practice guidance will be re-issued immediately. As part of the ASC systems replacement we will have a data cleansing work stream and will be prioritising data for migration. Guidance notes will be issued in the short term to reflect this activity and in the longer term to ensure consistent recording in the new system	July 2015 August 2015 July 2016	Toni Carney	Y

5.20	The service should agree specific timescales for data error corrections.	M	The focus for the next 9 months will be cleansing the existing data and building validation in the new system to remove the opportunities for data error. We will have new measures for data quality for go live.	July 2016	Toni Carney	Y
5.21	The service must review the essential information fields in light of service wide impact and previous audit recommendations.	H	This review is underway and will inform our configuration of the new ASC system later this year.	December 2015	Toni Carney	Y
5.28	The service must ensure that information collected is appropriately recorded. All consents to share information must be recorded under the appropriate tab in AIS including refusal to provide consent.	M	There is a significant Data and Information Sharing project as one of the enablers of the Better Care Fund underway and the issue of recording 'consent to share' is part of that project. We cannot use this information effectively in AIS but will explore the functionality in the new system to ensure information is appropriately recorded.	April 2016	Toni Carney	Y
5.32	The service should review AIS records to ensure all cases have an appropriate review date. Team Managers should conduct periodic checks on the review status of service users.	M	The requirement to ensure all cases have future review dates is mandatory in the new ASC system. In the interim all line managers have been tasked with ensuring all cases have a review date by April 2016.	April 2016	Michelle Head	Y
5.37	The service should ensure that the recording of progress against an individual's target outcomes is evident in their records.	M	Practice guidance needs to be reviewed to ensure that it supports practitioners to understand the requirement to record outcomes. The new ASC	July 2016	Michelle Head	Y

			system will ensure that outcomes are recorded within review documentation.			
5.45	Management should consider arranging refresher training on the specifics of AIS recording.	M	The Information Quality team will lead on cleansing data ready for migration to the new system, negating the need for refresher training at this time. However we will build 'data recording' into the training programme for using the replacement system early next year.	March 2016	Toni Carney	
5.46	The service should explore the capacity for the system to hold responses of 'undisclosed' this would clarify that the individuals were asked the relevant question and have actively responded by refusing to share the information.	L	There will be no further developments in the current AIS system but we will explore this functionality in the new system to support clearer recording going forward.	March 2016	Toni Carney	

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