Social Care Services Board
4 March 2016

AIS Care Assessment Audit - Update

Purpose of the report: Scrutiny of Services

The report provides an update on the management action plan in response to the internal audit of assessment recording in AIS and the implementation of the new IT system 'Liquidlogic Adults System'.

Introduction:

1. In June 2015, internal audit conducted an audit of assessment recording in AIS, i.e., Adults Information System, the main case management system for Adult Social Care. The auditor made 8 recommendations to improve recording practice. A management action plan was agreed with internal audit to address the concerns. Many of the actions were directly linked to the replacement of AIS.

2. In 2016, the AIS legacy system will be replaced with a new case management system provided by Liquidlogic and new financial modules provided by Oxford Computer Consultants. The new systems will provide better functionality to streamline business processes and improve our data recording.

3. This report provides an update on the action plan to improve recording and an update on the replacement of AIS with LAS, the Liquidlogic Adults System.

Audit of care assessment recording

Audit of AIS Care Assessments

4. An audit of recording in AIS was conducted by internal audit in June 2015. The audit focussed on specific areas of record keeping in AIS. The areas of concern are detailed in the attached management action plan at Appendix A. The overall outcome of the audit was that significant improvement was needed. However, the auditor acknowledged that limitations in the current system were partly responsible for existing

recording practises and further, that the decision to replace ASC IT systems, provided an opportunity to review our approach to recording and specify improvements.

5. The ambition in June 2015 was to replace ASC IT systems by March 2016 to enable the council to implement the funding reforms scheduled to take effect from 1 April 2016. The management action plan reflected this time frame. However, the decision to defer the funding reforms to 2020 has enabled the service to revise the implementation timetable for the new system to build in further rounds of system testing. The management action plan in response to the audit has therefore been updated to reflect the new time frames. The agreed actions are on track as set out in Annex B.

6. In designing the new system, the project team has taken account of the audit recommendations and internal audit participate in project team meetings where possible.

Replacement of ASC IT systems

Timetable for replacing ASC IT system – Phase 1

7. On 26 May 2015, Cabinet agreed to the replacement of ASC IT systems with a new case management system provided by Liquidlogic and new financial modules provided by Oxford Computer Consultants [OCC]. Replacing ASC IT systems is a major undertaking for the council and significant resources from ASC, IMT and Finance are committed to this project. The first phase of the project is to deliver a new case management system and financial system by the summer of 2016.

8. There are three major work-streams to the first phase of the project; to migrate all relevant care and financial data from AIS to the new systems; to design our business processes, forms and interfaces and to train more than 2,000 staff in the use of the new systems.

9. Key design principles for the new system are to keep recording simple, avoid duplication, achieve efficiencies and enable consistency. The system is not delivered, 'ready to use out of the box' and requires a substantial amount of configuration design by the project team to ensure the system will support frontline staff in managing their work.

10. A significant benefit of the new system is the transparency around workloads and outstanding tasks, for example, it is not possible to finalise a case without setting a review date. This means that 100% of cases will have a planned review date. Managers will have complete oversight of outstanding work and will be able to transfer tasks to other workers when required.

11. To help us design a system that is fit for purpose, we have over 60 'system champions' who work on the frontline and act as advisers to the project to make sure our decision making reflects good practice. The system champions will be trained up to be 'super users' to support their colleagues when we go live in the summer.

12. This is a challenging project and not without difficulties, not least the tight time frames and fitting legacy data into a new system but the project team are extremely hard-working and should be commended for their commitment to date and keeping the project on track.

Phase 2 - ASC IT system

13. In addition to the main case management and financial systems we have purchased a number of modules to enable us to work in a more automated way. These include a Provider Portal to facilitate e-invoicing; a Citizens Portal to enable residents, particularly self-funders, to find information and services for themselves and a Client Portal to enable the people we support to undertake self-assessments, financial assessments and reviews on line and to directly access their own support plans.

14. Work on phase 2 will start over the next few months in parallel with the current project to enable residents, providers and the service to benefit from the new functionality at the earliest opportunity. However, this second phase will involve a significant element of co-design to optimise accessibility and usage and is expected to go live in the autumn 2016.

Conclusions:

15. The ASC IT replacement project team will continue to work together to deliver a replacement system that will support the frontline teams, provide effective financial and audit controls and meets the needs of all areas of the service as efficiently as possible.

Recommendations:

16. It is recommended that the Social Care Services Board:

a) Note the progress made to date against the management action plan arising from the internal audit
b) Receives an update on the management action plan and the ASC IT replacement project in October 2016.

Next steps:

17. To agree project timeframes and milestones for phase 2 of the project.

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Sources/background papers: Cabinet Report 26 May 2015 – [Provision of a New System for Adult Social Care](#)