Shropshire Council

Progress update on Liquidlogic internal audit report

Responsible Officer   Andy Begley
e-mail: Tel: Fax

1.   Summary

As part of the approved internal audit plan for 2018/19 Audit Services have undertaken a review of Liquidlogic Adults Social Care System (LAS) Project. The findings of this review have been included in a Final Internal Audit Report issued on 14th February 2019, which concluded that the current level of assurance is deemed to be 'Limited' and the direction of travel with regard to assurance is deemed to be a 'Weakening control environment'.

The report also includes a breakdown of the Audit findings/observations, potential risks and audit recommendations to mitigate the identified risks. These individual risks and recommendations have been actioned and a relevant response provided to the internal audit team.

2.   Recommendations

The clear evidence in the updates of this report provide assurance that the management controls in place as part of the project, were robust at the time and remain robust during the transition of the system into Business As Usual.

REPORT

3.   Risk Assessment and Opportunities Appraisal

There were 6 recommendations are made where control weaknesses, risks or areas for improvement have been identified in the audit report on 14/2/2019.

These controls were in place throughout the project and particularly so, during the project Go-live decision-making process. It is regrettable that it was not possible to provide the information requested at the time of the audit, as the project was in the final stages of system testing and transition into live service for Adults. This was quickly followed by the final testing and transition to live service of the Children's system by the same project team.

I can confirm that appropriate action has been taken to address the recommendations in the original report and of the six recommended actions, all have now been completed since the report was published.

Date of assessment	Total	Fundamental	Significant	Requires Attention	Best Practice
14/2/2019	6	0	4	2	0
14/8/2019	0	0	0	0	0

The current position of the project is that the case management systems for Adults and Children's services and ContrOCC (the Social care finance system) have all been implemented on time and budget in accordance with the agreed plan.

The defined governance controls were strictly maintained and monitored by the Social Care project board, with oversight by the Digital Transformation Programme board. There will be a lessons learned review at the end of phase one of the project.

There are a number of optional modules from the project scope are now being considered by the operational senior management to deliver further improvements to service delivery, self service for clients and efficiency. Plans will be drawn up for these once further decisions have been made.

A robust change management process has been in place since the new systems went into live service. This maintains the alignment of the business process to all system aspects and provides effective management control.

Improved controls delivered by the project so far include:-

- Increased quality assurance over assessments and support plans resulting from the system and processes to improve the authorisation process of these documents.

- The functionality in the system enables assessments / forms to be staged which allows operations to have multiple workers to contribute to these documents whilst all being captured through the audit trail.

- All communication is captured and managed within the system through the use of defined case notes, notifications and specific trays to hold these tasks, with a full audit trail behind this.

- These additional controls are used to support supervision of frontline operational practice, is monitored, challenged and supported as required.

4.   Conclusions

There were strong project controls in place throughout the project which were followed in accordance with the agreed project governance. Delays in providing information and documents to the audit team around the point of Go-Live have led to a limited assurance level.

 The recommendations have now been completed and documents provided as requested.

List of Background Papers (This MUST be completed for all reports, but does not include items containing exempt or confidential information)
Cabinet Member (Portfolio Holder)
Local Member