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Meeting	Audit Committee
Date	21 December 2005
Subject	**SWIFT Computer system/**
	Social Service Debt (Adult Services)
Report of	Chief Internal Auditor

Summary	To provide the Committee with a review of how well SWIFT is meeting its objectives efficiently, effectively and economically.
	To provide the Committee with an opinion on the control environment for managing social service debt (Adult Services).
	The report has been deferred from the previous meeting and has been subject to revision.

Officer Contributors	Chief Internal Auditor
Status (public or exempt)	Public
Wards affected	N/A
Enclosures	Appendix A : (Management response/action : Adult Services).
	Appendix B : Follow-up : Audit Review of SWIFT dated November 2005 (Adult Services).
	Appendix C : Final report/ Follow-up : Audit Review of Income and Assessment Section dated September 2005 (Adult Services).
For decision by	Audit Committee
Function of	Council
Reason for urgency / exemption from call-in (if appropriate)	N/A

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Beacon
Council

2002-2003
Improving Urban Green Spaces
Libraries as a Community Resource
2002-2004
Community Cohesion

1. **RECOMMENDATIONS**

1.1 **That the committee note the report.**

2. **RELEVANT PREVIOUS DECISIONS**

2.1 The Audit and Resources Overview and Scrutiny Committee on 22 February 2005 included a report on SWIFT in the work programme for 2005-6.

2.2 The Audit Committee on 10 October 2005 resolved that the report on Swift Computer System/Social Services Debt be finalised with comment and input from the Heads of Service concerned, and brought back to the next meeting of the Committee.

3. **CORPORATE PRIORITIES AND POLICY CONSIDERATIONS**

3.1 An effective SWIFT system will contribute to the effective achievement of the corporate priority to support the vulnerable in the community, as well as first class education service and tackling crime.

4. **RISK MANAGEMENT ISSUES**

4.1 The report is concerned with the risks around the SWIFT system meeting its objectives.

4.2 Failure of the SWIFT system could result in the Adult Services and Children and Families service not meeting their service objectives.

5. **FINANCIAL, STAFFING, ICT AND PROPERTY IMPLICATIONS**

5.1 Financial and ICT implications are detailed in the report.

6. **LEGAL ISSUES**

6.1 None

7. **CONSTITUTIONAL POWERS**

7.1 Constitution Part 3, Section 2 details the functions of the Audit Committee including "Ensuring that… the action taken by the Council to implement fully a risk management system are fair, balanced, conform to accountancy standards and meet prevailing best practice."

8 **BACKGROUND INFORMATION**

8.1 This report is in response to a request from the Audit and Resources Overview and Scrutiny Committee to give an update on the SWIFT project and an assessment of the overall impact of SWIFT on the risk profile of the Council. Also the Committee requested the review to

include details of the control environment for managing Social Service debt (Adult Services).

8.2 Internal Audit can provide limited assurance on SWIFT meeting its objective in Adult Social Services because of the risks identified below. However, effective and prompt management action to address the risks identified will increase the assurance level.

8.3 Within the Children and Families service we can provide satisfactory assurance on SWIFT meeting its objective.

8.4 Internal Audit acknowledge the following issues concerning the SWIFT system :

- Prior to SWIFT going live in October 2003 systems were primarily paper-based, with limited information held on CRISSP (the previous IT system) which was purely used as an administrative tool.

- Since SWIFT went live, considerable changes in practice have been realised with all social work staff now using SWIFT to record case-based information, although paper files are still held. There is an ongoing change process with further embedding of SWIFT taking place.

- In the future, the Electronic Social Care Records (Children & Families service and Adult Social Services) and Integrated Children's System (Children & Families service) initiatives will enable all information to be created and stored electronically in electronic case files, which will have the added benefit of the improved security and confidentiality that comes from e-systems.

- Management are improving processes and procedures to address concerns regarding completeness and accuracy of data.

SWIFT

8.5 The main findings and risks of the review are as follows:

SWIFT issues

8.6 Statutory and Local Reporting requirements

Adult Social Services

8.6.1 The review confirmed that SWIFT was able to provide local reports for management purposes. However, due to data integrity issues (see para no. 8.8.1-2 : Linking of information on service users), management information for statutory and local reporting requirements

may be inaccurate and incomplete due to a historical lack of adequate data controls.

8.6.2 Internal Audit has placed reliance on work carried out by External Audit covering SWIFT's ability to meet the statutory reporting requirements. A management letter from External Audit, dated July 2005, stated that all eight of the Best Value Performance Indicators (BVPIs) in Adult Social Services will probably be reserved for 2004/05 (ie the external auditor cannot be satisfied that the information is complete, valid, accurate or timely). It should be noted that the above management letter made reference to the following improvements in Adult Social Services:

- There has been improvement in overall data quality particularly in determining appropriate policy direction and reporting of performance;
- The Council has clearly started to address our main concerns about the completeness and accuracy of data across all the key indicators;
- The level of join up between data held on the SWIFT system and the supporting files is strengthening although there is still some way to go;
- Arrangements for dealing with third party providers in terms of data quality are starting to strengthen although will need further detailed work.

Risk: *Priority 1*

Ineffective management decisions may be made and BVPIs reserved as a result of inaccurate and incomplete performance data.

Management response/action (Adult Social Services):

1. See management response/action : Appendix A.
Children & Families Service

8.6.3 We have been informed by External Audit and management that none of the 5 SWIFT based BVPIs will be reserved. The report on BVPIs is due to be issued in November 2005.

Management response/action (Children & Families Service) :
No action required.

8.7 Business Processes

8.7.1 The review confirmed that business processes have been changed as a result of the implementation of SWIFT.

Adult Social Services

8.7.2 No review has been carried out to assess if the new processes are effective or if efficiencies have been realised .

> *Risk:* *Priority 2*
>
> *If business processes have not been reviewed to assess efficiencies and effectiveness of systems, management cannot assess the benefits realised.*

Management response/action (Adult Social Services):

1. See management response/action : Appendix A.

Children & Families Service

8.7.3 A review was carried out by the Council which identified benefits realised in the Children & Families service. Also we were informed by management that the service is currently reviewing the business processes to comply with central government requirements for implementing Electronic Social Care Records (ESCR) and Integrated Children's System (ICS).

Management response/action (Children & Families Service) :
No action required.

Infrastructure issues

8.8 Linking of information on service users

Adult Social Services

8.8.1 Limited data integrity checks are carried out by officers to ensure that data is accurately and completely input on SWIFT.

8.8.2 We have been informed by Adult Services management that a Data Error Resolution System has been implemented to ensure completeness and accuracy of data; for example, by producing error reports and compiling procedures for officers to correct errors identified. In addition, Adult Services has arranged a 'mock' BVPI audit with internal audit to test data integrity.

> *Risk:* *Priority 1*
>
> *Ineffective management decisions may be made as a result of inaccurate and incomplete client and performance data.*

Management response/action (Adult Social Services):

1. See management response/action : Appendix A.

Children & Families service

8.8.3 The Service has implemented systems regarding data integrity and are further improving systems to ensure that service teams take responsibility for ensuring that data is accurate and complete.

Management response/action (Children & Families Service) :
No action required.

8.9   E-Government agenda

8.9.1 The Council will not meet all of the central government timescales for implementing Electronic Social Care Records (ESCR) and Integrated Children's System (ICS).

8.9.2 The Information Systems service have appointed an EDRM Programme Manager to procure a corporate computer solution for the electronic document records management system (EDRM system) which will assist the Council in achieving the ESCR central government target. It should be noted that Internal Audit have carried out a review of Document Management Systems (DMS). Management (IS service) stated that the most effective way to improve systems in this area is for a strategy to be compiled on DMS and to procure a system to be used for recording social care records which may be used as a corporate solution for implementing DMS in the Council.

8.9.3 The project plans, as at August 2005, stated that the EDRM System solution is planned to be purchased in February 2006.

Adult Social Services & Children & Familes service

8.9.4 The central government target on ESCR requires the Council to keep client records electronically. The timescales for meeting the target are:

  a) All new documents created or received for new cases are made available electronically by October 2005, and

  b) All new and pre-existing documents for current cases are made available electronically by October 2006.

Children & Families service

8.9.5 Integrated Children's System is a requirement of social services departments that looks to improve practice, building on learning from a wide-range of areas such as the Laming Enquiry. This improved practice must be supported by a process driven electronic system that

will incorporate a workflow and electronic forms so that all information can be created/captured electronically and then stored in electronic form (ESCR). This will interface with SWIFT to provide financial and performance information. The timescales for meeting the targets are:

a) To have an IT system in place to support ICS for all new referrals by 1st January 2006.

b) The system should be fully operational by 1st January 2007.

Risk:	*Priority 2*
Absence of electronic client records as required by the e-government agenda could affect the Council providing an efficient, timely and effective service.	

Management response/action (Adult Social Service) :

1. See management response/action : Appendix A.

Management response/action (Childrens & Families Service) :

1. The IS service have appointed a Project Manager to procure an electronic document records management system (EDRM) system which will ensure that all data will be easily accessible. When the EDRM system has been procured, the Service will implement the ESCR system. This Project Manager will also manage the procurement process of the ICS system.

2. Current usage of SWIFT meets the first target for new referrals.

3. The new ICS system will be procured in early 2006. This system and the ESCR are planned to go live at the same time in October 2006.

Management response/action (IS service) :

1. At this stage it is understood that a significant number of councils are unlikely to meet the Government target implementation dates for ESCR and, to a lesser extent, ICS. There are no financial or other (Corporate Performance Assessment score, etc) penalties for not meeting the target dates providing that robust plans exist to implement the solutions. The Council already has those plans in place.

8.10 IT Infrastructure

8.10.1 A report, dated July 2005, has been compiled for the SWIFT Management Group on improvements to be made to the IT

infrastructure. However, no officers and implementation dates have been assigned to the issues identified on the report. At the time of the review, management stated that they were liaising with the IS service on this matter.

Risk: *Priority 2*

Ineffective IT infrastructure could affect efficient, timely and effective service delivery.

Management response/action (IS service) :

1. This is being addressed in the Modernising our Infrastructure Project which is targeted for completion by March 2006.

Management response/action (Adult Social Services):

1. See management response/action : Appendix A.

Management response/action (Childrens & Families Service) : No action required.

8.11   Integration of care management and finance system

8.11.1 At the time of the review SWIFT was being interfaced with SAP/Council's core financial system. We were informed by management that the monitoring of expenditure and income elements on clients will be done in SWIFT, and SAP will be used to monitor the overall budget position from information and data coming from SWIFT. Also management stated that the main expenditure and income elements that originate in SWIFT which are interfaced with SAP are the following:

   (i)   Expenditure : external care purchased for adult clients as part of their care plan;
   (ii) Expenditure: care for looked after children (foster carers);
   (iii) Income : adult client charges concerning homecare, residential and nursing care.

Management response/action (Adult Social Services):

1. See management response/action : Appendix A.

8.12   Final report/ Follow-up : Audit Review of SWIFT dated November 2005   (Adult Services)

8.12.1 A follow-up of the previous audit report on SWIFT/Performance management (Adult Services) revealed that out of the 4

recommendations made, one has been implemented, one has been partially implemented and two not implemented. Management have agreed revised implementation dates to address the above outstanding recommendations (see Appendix B).

8.13   Social Service Debt (Adult Social Services)

8.13.1 As at July 2005, social service debt (Adult Services) was £7,795,070 (source of information aged debt analysis: Income Section). The debt mainly refers to the following charges :

- Meals at home (£120, 545),
- Home helps (£643, 393),
- Residential accommodation (£4,151,851),
- Respite care (£141,109),
- Nursing care recharged to PCT (£161,761),
- Residential care: due from Department of Works & Pensions (£34,295),
- Piper lifeline : emergency call out system (£23, 084),
- Barnet Primary Care Trust and other Local Authorities : client and staff charges (£2,519,032).

8.13.2 The Assessment and Income section (Adult Services) manage most of the above debts (£5,252,954) except for those relating to Barnet Primary Care Trust and other local Authorities (£2,519,032) and Piper Lifeline (£23,084).

8.13.3 The Borough Treasurer stated that the following issues should be noted on the above social service debt position:-

- £1m of residential care accommodation is covered by charges on property.
- Home help charges are affected by poor and late information on which to calculate and invoice charges to clients. At the time of the review SWIFT was being interfaced with SAP and the electronic data capture system which should improve the above issue.
- Social services debt is difficult to collect and enforce, largely because the Council has no right to stop providing services if the client does not pay.
- A major debt review is currently in progress in order to write-off irrecoverable amounts. This was reported to the Audit Committee on 31 August 2005.
- The central debt provision was increased by £1.75m in the 2004/05 accounts, with the expectation that a significant proportion of this will be taken up by social services debts. It should be noted that a specific bad debt provision for Adult Services of £3.7 m has been detailed in the 2004/05 accounts.

8.13.4 Internal Audit carried out a review of the Assessment and Income section in April 2004 and gave limited assurance (medium risk exposure rating) that management's objectives for the Service are being achieved.

8.13.5 A follow-up review (September 2005) revealed that out of seven recommendations made, one has been implemented, five have not been implemented and one was partially implemented. A high risk exposure rating was given for the Assessment and Income Section (see Appendix C : Final report/Follow-up : Audit Review of the Assessment and Income Section dated September 2005).

8.13.6 The recommendations not/partially implemented refer to the following issues:
(i)   Duplication of systems regarding the assessment process.
(ii)   Lack of management and exception reports generated.
(iii)   Control processes for posting receipts
(iv)   Identification of management information for performance purposes.
(v)   Lack of review of the debtors process to identify slow moving and irrecoverable debtor balances.
(vi)   No review carried out of debtors balances to identify bad-debts to be written-off.

8.13.7 As at November 2005, management (see detailed management response to the follow-up Audit report below) have stated that 4 out of the 6 recommendations which have been not/partially implemented are no longer applicable due to the implementation of the SAP financial system. Also the 2 recommendations outstanding will be addressed by the financial assessment module which is due to be implemented in January 2006.

8.13.8 At the time of the review we were informed by management that control procedures and processes are being developed to ensure that services raise invoices on SWIFT/SAP accurately and completely.

Risk:	*Priority 1*
In the absence of effective debt management procedures the Council may not be maximising income due and additional resources may be needed to collect outstanding debts.	

Management Response (Adult Services) :

1. There needs to be a clear distinction between the SWIFT audit and debt-related elements of the Income and Assessments Audit. There is no direct link between the two other than the improvements that are being made with data quality within SWIFT are enabling invoices and thus debt issues to be raised on a more timely basis. The existing focus of the Income and Assessments Audit and follow-up review is now out

of date with current developments in this area and across Council (particularly the implementation of SAP).

2. A key point that has just been agreed in October 2005 is the clear division of responsibilities for debt management between the Income and Assessment team in Adult Social Services and Central Income Team at the corporate centre. This has a profound impact on the existing recommendations in the follow-up review paper as many are no longer applicable to Income and Assessment activities. This together with data quality improvement and the development of a service level agreement between income and assessments and the central debt recovery team should prevent the build up of further bad debt in the future.

3. This has not been clarified with the Central Income Team, but their remit   will now cover the following key aspects:

- The production of a debt recovery strategy (in consultation with the Income and Assessment team). We believe a draft of this strategy is currently with the Borough Treasurer's department.

- Drawing up a Service Level Agreement (SLA) with the Income and Assessment team that will cover issues such as timeliness of passing information, quality standards and checks.

- Addressing the backlog of debt – with someone already in place tackling this problem.

4. Management response (Adult Services) as at November 2005 : Final report/ Follow-up : Audit Review of Income and Assessment Section dated September 2005.

(Internal Audit have not verified the following below. The risks identified in this area will be assessed as part of the planning process for the Audit Plan 2006/07).

Response to recommendation 1

Implemented.

Response to recommendation 2

The Financial Assessments module of SWIFT could not have been implemented in all previous versions or in the existing version of SWIFT. However SWIFT is now being upgraded to version 20 (which can accommodate Financial Assessments), with technical testing planned for November, user acceptance testing planned for November/December 2005, and 'go live' planned for January 2006. The Income and Assessments team and the SWIFT team are working closely with Anite to ensure effective implementation and are reviewing

business processes and any potential areas of duplication as part of the upgrade.

Response to recommendation 3

The implementation of the SAP financial system across the Council resulted in a corporate decision to manage all income collection through SAP and not SWIFT. Coupled with the response to recommendation 2, this recommendation is no longer appropriate.

Response to recommendation 4

As recommendation 3.

Response to recommendation 5

Superseded by activities of Central Income Team outlined in Point 3 above. This recommendation is no longer valid.

Response to recommendation 6

Superseded by activities of Central Income Team outlined in Point 3 above. This recommendation is no longer valid.

Response to recommendation 7

The Financial Assessments (FA) module has the potential to produce reports that will inform management decision-making. The test plan for implementing the FA module will also cover reporting. The Income and Assessments team are reviewing the production of detailed reports for their area as well as producing briefing notes and update reports for Adult Social Services senior management team on a monthly basis.

Management response (IS service):

Reports and validation procedures are now in place to check the data integrity before it goes to the SAP system for invoicing.

8.14 **Guide to Risk Priority**

Priority 1 - Significant risk that either objectives will not be met efficiently and effectively or that fraud or irregularity will not be prevented or detected. Should be mitigated within 3 months unless the nature of work required to mitigate the risk does not easily allow this.

Priority 2 - Only limited assurance that objectives will be met efficiently and effectively and that fraud or irregularity will be prevented or

detected. Should be mitigated as soon as possible but ideally within 6 months.

Priority 3 - Should be mitigated as soon as resources allow, but at least within 12 months.

Timing - These are standard definitions and as such cannot capture the circumstances behind individual risks. Clients and auditors should agree a timescale for mitigating each risk which is relevant to the significance identified.

9 LIST OF BACKGROUND PAPERS

9.1 None

Legal: JEL
BT: CM

Adult Social Services : management response/action dated November 2005

Adult Social Services acknowledges the report compiled by the internal audit team and wishes to make the following management comments in relation to the seven main objectives of the Swift audit:

1. **Statutory and Local Reporting Requirements.** The report highlights the risk that ineffective management decisions may be made and BVPIs reserved as a result of inaccurate and incomplete performance data. In response:

   Management response and action

   - After the recent external audit of Best Value Performance Indicators in Adult Social Services, a BVPI Audit Action Plan was developed to address the issues raised. This is now being implemented and tackles issues around the accuracy, timeliness, reliability and completeness of data in Swift and consistency with the paper casefile.

   - In 2005, external auditors said that "There has been improvements in overall data quality particularly in determining appropriate policy direction and reporting of performance" and "the Council has clearly started to address our main concerns about the completeness and accuracy of data across all the key indicators".

   - A Data Error Resolution System was implemented from September 2005 to ensure completeness and accuracy of data in Swift. This involves systematic production of error reports which are then resolved by front line staff to encourage learning and to reduce recurring errors.

   - ASSD are working with internal audit to arrange a mock BVPI audit to test data integrity, examine the sources of the data used in performance indicators and involve middle managers to improve data and performance. This is scheduled for December 2005.

   - A system of data integrity checking by middle managers is now in place whereby every case where social worker involvement is closed is checked for both data completeness and performance against targets.

   - All performance indicators that can be produced from Swift data are now produced from Swift data in line with audit requirements.

   - Monthly performance reports are issued to senior managers and service teams. A performance improvement action plan monitors each PI for progress towards targets.

2. **Business Processes.** The report highlights the risk that if business processes have not been reviewed to assess efficiencies, management cannot assess the benefits realised. In response:

Management response and action

- The implementation of the Swift programme in January 2005 established 5 projects that looked specifically at Swift related issues. As part of our project management methodologies, we mapped business processes across a range of functions that will be fed into a wider review of business processes in 2006. Many business processes have already been reviewed and revised to improve the efficiency and effectiveness of key activities. For example:

    i. The implementation of Swift has changed the business processes within ASSD, with front line social workers now responsible for inputting the client contact, referrals and assessments directly into the Swift database. This information is linked closely in Swift with the purchasing data about provision of client services, the costings for these services and the purchasing and invoicing function of the department.

    ii. Examination of business processes also led to a change in the client reviewing system. A mini-project identified potential efficiencies in the reviewing process and changes have now been implemented to ensure all Barnet clients get an annual review thus meeting the relevant performance indicator.

- ASSD will be launching a 'remodelling core business' project in the first quarter of 2006. This project will use information from the earlier Swift programme to assess efficiencies across core functions as well as looking at further streamlining of processes where they interface with Swift.

- ASSD has established formal project management methodologies to be able to fully realise the benefits of Swift. As part of the project mentioned above we will a) identify the original and planned benefits of Swift and assess these benefits against the original business case and b) identify any new benefits and efficiencies.

3. **Link all information on service users.** The report highlights the risk that ineffective management decisions may be made as a result of inaccurate and incomplete client and performance data.

Management response and action

- All action points and project listed in previous sections support the joining-up of service user information across Adult Social Services and partners.

4. **E-Government Agenda.** The report highlights the risk that the absence of electronic client records as required by the e-government agenda could affect the Council providing an efficient timely and effective service.

Management response and action

- The department now has an agreed project initiation document to implement the Electronic Social Care Record system. ASSD are working jointly with Children & Families and the IS Division to procure and pilot a document management system that will eventually by rolled out across the Council. This system will link to the Swift client record.

- It is widely known that only a small number of Councils in England and Wales have implemented the first stage of ESCR to the original deadline of October 2005; LBB intends to meet the second stage target of all current client files being electronic by October 2006.

5. **IT Infrastructure.** The report highlights the risk that an ineffective IT infrastructure could affect efficient, timely and effective service delivery.

Management response and action

- The Business Improvement and Performance Manager now meets on a monthly basis with the Social Affairs IS manager to review hardware, software and network issues affecting staff – both centred around Swift and the other applications used to deliver our service.

- The current network configuration within the council prohibits the sharing of Swift generated documents; only the user who created the document can presently access it after saving. This will be addressed by both the Electronic Social Care Record project which will manage documents within bespoke software and the 'Modernising our Infrastructure' project which will update the networks and provide a central storage place for all electronic files.

- The platform that hosts Swift, called Citrix, is now being managed and supported by PRIME – our IT network contracted partners; this will increase stability and hasten resolution of Citrix problems.

6. **Integration of care management and finance system.** The report mentions that Swift was being integrated with the core MCS SAP software at the time of the audit. In response:

Management response and action

- Swift is now fully integrated with MCS SAP through an electronic interface which was designed, implemented and worked successfully to the deadline of 1st August.

- This interface is used to pay all ASSD care invoices which are processed through Swift; SAP then transfers these to the corporate Payments Team for payment.

- Project plans are now in place to complete the financial integration with MCS SAP for the accounts receivable (client charging) interface in January 2006.

- Budget management and monitoring can now be achieved through the SAP system as planned.

7. **Interfaces with Other Systems.** The report highlights the need to determine the effectiveness of the interfaces as part of the post implementation review of SAP.

Management response and action

- Two interfaces are currently in operation with Swift; the first is to the MCS SAP financial system. This is used to transfer invoices that have been reconciled in Swift into payments to suppliers through SAP. The second is to the CM2000 CallConfirm homecare monitoring system which pulls details of homecare clients from Swift to populate CallConfirm. The other major interface project, with the Mental Health Trust ePex system, was fully investigated but found to be not cost effective because of the imminent replacement of ePex and the cost of the interface solution.

- The Single Assessment project is a medium-long term project looking at the future integration of systems across our range of partners.

Audit: Swift/Performance Management : FOLLOW UP REVIEW

Client: Adult Social Services   **FINAL ACTION PLAN**

Date: November 2005

Review of previous audit : report no. 2004-137 dated March 2004 and followed up March 2005 report no.50074

REF NO.	FINDING	AGREED ACTION	RESPONSIBLE OFFICER	ACTION TAKEN
1.	**Data Mapping** There is no overall knowledge where source data is held for the completion of statutory returns. Care management data is held within Swift and other computer/manual systems.	*Agreed* - A SWIFT project on 'Statutory Returns and Obligations' will pull together a corporate calendar of statutory returns, a data mapping exercise completed in March 2004 and detailed procedures of how each statutory return is collated, analysed, completed and submitted. This will incorporate information from other databases including financial systems.	**Business Improvement & Performance Manager/ Divisional Manager Performance & Quality**	**Partially implemented** **Implementation date: November 2005** **(Implementation date agreed at follow-up review dated March 2005 report no.50074)**

REF NO.	FINDING	AGREED ACTION	RESPONSIBLE OFFICER	ACTION TAKEN
2.	**Interfacing (or integrating) with other systems – incompleteness of data** All relevant data is not being captured by Swift for performance management purposes and statutory requirements. The review identified service areas from whom care management data is currently not collected. There are some systems that have not been interfaced with Swift. As part of the interfacing (or integrating) with other systems, only one business case was submitted to the Swift Project Board (from the Meals on Wheels section).	**Agreed-** Interface projects now exist between SWIFT and three other systems: ePEX is the health case management database and a project is running to interface it with SWIFT for mental health and learning disability clients to reduce double-entry on both systems. Call Confirm in a home-care monitoring system that will provide data on actual home-care provision delivered by our 14 contracted agencies for reconciliation with invoices. SAP is the Modernising Core Systems software that will link financial information with SWIFT information.	**Business Support Manager**	**Not implemented** **Implementation date: August 2006** **(Outstanding interface : Call Confirm)**

REF NO.	FINDING	AGREED ACTION	RESPONSIBLE OFFICER	ACTION TAKEN
3.	**Migration of Data** As part of the migration of data from CRISSP to Swift, there was a period of three weeks during which the care groups were required to record data manually, i.e. before Swift went live. However, a number of care groups did not record data on the manual forms as provided.	*Agreed-* An exercise is taking place to reconcile data from social worker's caseloads, peripheral databases and manual referral logging systems with SWIFT; this is to ensure that all referrals and assessments completed between the switching off of CRISSP and the go-live of SWIFT in Oct/Nov 2003 have been transferred onto SWIFT. Outstanding areas include Occupational Therapists with equipment referrals, Meals clients and deceased clients. Data capture clerks are now working on this.	**Business Improvement & Performance Manager/ Divisional Manager Performance & Quality**	**Implemented**

REF NO.	FINDING	AGREED ACTION	RESPONSIBLE OFFICER	ACTION TAKEN
4.	**Inter-Agency Working** The complexity of increased inter-agency working has added to the challenges of cross-system information sharing and integrated working between the Council, the local Primary Care Trusts and other voluntary sectors. There is no effective integrated strategic planning between Social Services and Health in relation to performance management. Community Care, PCT and the voluntary sector should have strategic performance frameworks in which they can collect, exchange and share performance management information.	**Agreed-**The service focus will on implementation of SWIFT and interfacing between other agency's databases.	**Business Improvement & Performance Manager/ Divisional Manager Performance & Quality**	**Not implemented** **Implementation date: October 2006**

Recommendation	Agreed Action	Implem. Date	Responsible Officer	Status
Objectives and policies Recommendation 1 Priority 2 Management should establish, document and communicate to staff the objectives and policies for the service.	Agreed and implemented Recommendation accepted in respect of the need for formal documentation. Issues of "fairness" to our clients are something that are often raised & discussed at team meetings. Priorities for the service are communicated & discussed at team meetings which are documented by way of meeting minutes.	June '04	Assessment and Income Manager	**Implemented** Service objectives are published on Council Intranet site.
Assessments Recommendation 2 Priority 2 To improve efficiency within the assessment process, management should review the process and eliminate any duplication within the process.	Agreed This will be removed with the implementation of the SWIFT FA module where all assessment officers will be responsible for input of their own assessments and will calculate charges on-	Sept / October '04	Assessment and Income Manager (date to go live is dependent on swift team.)	**Not Implemented** Management Comment: SWIFT FA is not implemented. Further Action: Ensure that duplication of process is eliminated after SWIFT FA is implemented.

Recommendation	Agreed Action	Implem. Date	Responsible Officer	Status
	line. The current duplication exists because of the inadequacy of the access db to cope with input from multiple staff. It is therefore necessary to rely on one central input point with the manual assessment information being recorded to enable one operator input.			Implementation Date: December 2005
Assessment and invoicing Recommendation 3 Priority 1 Management has planned to implement a financial module within the 'SWIFT' system. Management should ensure that the package is capable of reducing the inefficiencies within the current process and the package is capable of performing both the assessment and invoicing process and generate appropriate management information that will be	Agreed The implementation of the SWIFT FA module is planned for Sept/Oct 2004 with version 17 of SWIFT. SWIFT will be used to do the assessments and will then interface with Core Financials System for the invoicing process.	April '05	Assessment and Income Manager and the SWIFT team.	**Not Implemented** Management Comment: As per recommendation 1. Further Action: Ensure that new module is capable of carrying out functions specified within recommendation. Implementation Date: December2005

Recommendation	Agreed Action	Implem. Date	Responsible Officer	Status
required to effectively manage the service.				
Financial management Recommendation 4 Priority 1 Management is currently reviewing the financial module within the SWIFT package for implementation within the service. Management should ensure that the financial module is capable of processing receipts from clients which should eliminate inefficiencies within the current process. Management must ensure appropriate controls are in place to ensure the data within the SWIFT module are completely and accurately imported into LAFIS financial accounting system.	Agreed This is part of the current consideration being given to the two invoicing options as described above. The interface between SWIFT & the Core Financial system would be developed by the SWIFT team/ IS rather than A&I, but the A&I team expect to be fully involved with the evaluation & testing of whichever option is chosen.	April '05	Assessment and Income Manager	**Not Implemented** Management comment: SWIFT FA not implemented. The AIM is involved in creating an interface between SWIFT FA and SAP. Further Action: As per recommendation 4. Implementation Date: December 2005

Recommendation	Agreed Action	Implem. Date	Responsible Officer	Status
Debtors management Recommendation 5 Priority 1 Management should implement a debtors' review process to identify slow moving and irrecoverable debtors balances. Positive action should then be taken to speed up the payment process.	Agreed This is underway. One member of staff has been relieved of normal duties to undertake a specific & targeted debt collection exercise. The longer term aim of this is to identify the most effective & efficient strategies for debt recovery & the most effective way of incorporating this within normal work routines. This process will be assisted by the release of resources later this year from routine but time-expensive tasks such as the duplication identified by the Auditor in the assessment process following the implementation of SWIFT FA module and subsequent to that the implementation of a new	August '04	Assessment and Income Manager	**Not Implemented** Management Comment: Small debts have been written off. However nothing is done at present because the debtors system is not accessible. Further Action: Ensure that appropriate process is put in place for effective monitoring of debtors. Take appropriate action to speed up income collection and address irrecoverable balances. Implementation Date: October 2005

Recommendation	Agreed Action	Implem. Date	Responsible Officer	Status
	invoicing system which will release resources now used for invoice punching.			
Debtors Review Recommendation 6 Priority 1 Management should implement a periodic review of debtors balances to identify any balances where recovery is remote. A list of irrecoverable balances should be drafted and presented to committee for approval, to write-off the irrecoverable amounts.	Agreed Management would implement a quarterly review of the debtors balances. There is a formal review of debts outstanding usually at the end of service/ on death where debts may be identified as appropriate for a write off recommendation. Since we are often able to recover debt through a claim against a deceased client's estate it will not often be appropriate to recommend write off before this point. However the process of collating these for approval has not been given proper attention in recent years due largely to shortages in staffing and numerous major system & legislative changes requiring management time to be	November '04	Assessment and Income Manager	**Not Implemented** Management comment: An Officer is currently in process of identifying old debts to be written off. Further Action: Complete identification of irrecoverable debts and gain appropriate approval for write-off. Ensure that write-offs have been processed accurately. **Implementation Date:** October 2005.

Recommendation	Agreed Action	Implem. Date	Responsible Officer	Status
	diverted to maintaining acceptable levels of client service. This now needs to be addressed.			
Performance management Recommendation 7 Priority 1 Management should identify the specific information that would be required to effectively manage the service. Management should ensure that the SWIFT system is capable of generating the specific information required. Appropriate controls should be implemented to ensure that the management information system in place, generates information which is complete, reliable and specific to management's needs.	Agreed During August/September 2004, requirements would be identified during the testing stage. During the first three months after SWIFT Financial assessments has gone live, test what has been specified is being generated. Formalise reporting procedures.	July '04	Assessment and Income Manager	**Partially Implemented** Management Comment: We have not yet reached the testing stage for SWIFT FA. Further Action: Ensure that System is capable of generating the required information. Ensure that information generated from system in accurate and complete. Implementation Date: December 2005