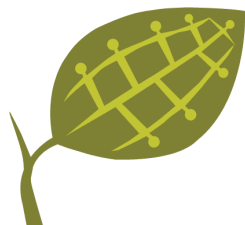




**QUALITY AUDIT OF CARANUA'S CASE MANAGEMENT SYSTEM  
FOR CONSISTENCY & ACCURACY OF DATA**



**CARANUA**

support for survivors of institutional abuse

**Summary Observations**

**12/08/2015**

**OBJECTIVE:**

Treacy Consulting were commissioned by Caranua to conduct a Quality Audit of the Case Management System for Consistency & Accuracy of Data. Caranua currently utilise a bespoke Salesforce.com customer relationship management (CRM) enterprise system as a complete integrated solution for managing all interactions with survivors and applicants.

As at August 5<sup>th</sup> 2015 the Caranua Salesforce.com CRM system contained information relating 2,763 applicants whose eligibility status had been confirmed and have been assigned to a Caranua Advisor. Of these eligible applicants, the applications of 2,226 survivors had reached the “application stage” i.e. the applicants were eligible to apply to the fund, have submitted Part 2 of their applicant, and have been assigned to a Caranua Advisor. The ‘Master Report’ on the Caranua Salesforce.com CRM system that was generated for these 2,226 applicants contained information relating to 15,032 applications.

**NB:** *It is important to note that Caranua have already identified some amendments required to the existing Salesforce.com CRM system and are working with their Salesforce.com developer on a project that would involve there only ever being ONE Case File per applicant. This was Caranua’s original request when the system was being developed but it wasn’t possible at the time.*

*In parallel, Caranua’s accountants are working on a separate validation project to reconcile the applications on Salesforce.com against their payments statement. Once this is complete Caranua will be better able to identify exactly how many applications are actual applications.*

**APPROACH:**

Treacy Consulting took a random sample of 2.5% of the 2,226 applicants that had reached application stage using their unique **Contact PIN** (automatically generated by the system). The resulting 56 unique applicants had an average of 6 “applications” each, a total of 352 separate line items in the CRM system, ranging from 1 application to 28 applications per individual. **Please note that this does not represent a statistically significant sample.**

The sample of 352 applications was exported into a bespoke MS Excel based Standardised Review Document (SRD) in order to analyse the data contained on the system. This was analysed:

- For completion status, to understand whether all relevant data fields were populated and / or complete;
- For consistency against the standardised application process and timelines, to understand whether internal procedure is being adhered to or whether there were potential errors in the date input fields;
- For accuracy in reporting and supporting the decision making process, to understand whether sufficient evidence is being documented to justify the decision made on individual applications.

## OBSERVATIONS:

### General Observations – Completion Status

- 47.7% of the 352 applications analysed on the system were incomplete, with one or more data points blank, for example relevant dates missing, no details documented under “Decision Comments”, or no detail relating to the “Service” category.
- 5.1% of the 352 applications analysed on the system did not document the date on which the Part 2 Application Form was received by Caranua. This is an error of omission as all applications in the sample size would have had to submit a Part 2 to proceed.
- 4.3% of the 352 applications analysed on the system did not document the date on which the application was assigned by the Director of Services to an individual advisor.
- 2.8% of the 352 applications analysed on the system did not document the date on which the assigned advisor made their assessment call to the applicant.
- 30.7% of the 352 applications analysed on the system did not document any evidence to justify the decision made under “Decision Comments” or provide any information to back-up the decision making process.
- 16.2% of the 352 applications analysed on the system did not document any supporting information or provide further information to support the “Record Type”, e.g. Health Detail, Housing Detail, etc. Only the “Record Type” and “Service” were populated.

### Process Timelines – Open Applications

- Of the 352 applications analysed on the system, 203 applications (or 57.7% of the sample) had a Case Status of “Open”.
- 112 applications (or 55.2% of Open Applications) had Assessment Calls completed before September 2014. 9 applications (or 4.4% of Open Applications) had Assessment Calls completed before May 2014.
- 27.1% of Open Applications had a Case File Created Date prior to the Part 2 Received Date.
- 53.2% of Open Applications had an Application Assigned Date prior to the Case File Created Date.
- 30.5% of Open Applications had an Assessment Call prior to the Application Assigned Date.
- 3.9% of Open Applications had an Application Creation Date prior to the Assessment Call.
- 19.7% of Open Applications had a Decision Date prior to the Application Creation Date.
- The percentages above indicate a number of errors of omission and / or errors of data entry as the application process in Caranua is sequential in nature, so no processes should be able to be completed prior to the previous step in the process.
- Anecdotal evidence has been given noting certain dates being overwritten by Advisors when applications are transferred to a new Advisor or to record a duty call.

### Process Timelines – Pending Repeat Applications

- Of the 352 applications analysed on the system, 4 applications (or 1.1% of the sample) had a Case Status of “Pending Repeat”.
- 4 applications (or 100.0% of Pending Repeat Applications) had Assessment Calls completed before September 2014. 4 applications (or 100.0% of Pending Repeat Applications) had Assessment Calls completed before May 2014.

- 25.0% of Pending Repeat Applications had no Part 2 Received Date, or Case File Created Date.
- 0% of Pending Repeat Applications had a Case File Created Date prior to the Part 2 Received Date.
- 0% of Pending Repeat Applications had an Application Assigned Date.

### Process Timelines – Case Completed Applications

- Of the 352 applications analysed on the system, 126 applications (or 35.8% of the sample) had a Case Status of “Case Completed”.
- 76 applications (or 60.3% of Case Completed Applications) had Assessment Calls completed before September 2014. 2 applications (or 1.6% of Case Completed Applications) had Assessment Calls completed before May 2014.
- 14.3% of Case Completed Applications had a Case File Created Date prior to the Part 2 Received Date.
- 72.2% of Case Completed Applications had an Application Assigned Date prior to the Case File Created Date.
- 9.5% of Case Completed Applications had an Assessment Call prior to the Application Assigned Date.
- 0% of Case Completed Applications had an Application Creation Date prior to the Assessment Call.
- 30.2% of Case Completed Applications had a Decision Date prior to the Application Creation Date.
- The percentages above indicate a number of errors of omission and / or errors of data entry as the application process in Caranua is sequential in nature, so no processes should be able to be completed prior to the previous step in the process.
- Anecdotal evidence has been given noting certain dates being overwritten by Advisors when applications are transferred to a new Advisor or to record a duty call.

### Process Timelines – Dormant Applications

- Of the 352 applications analysed on the system, 19 applications (or 5.4% of the sample) had a Case Status of “Dormant”.
- 18 applications (or 100.0% of Dormant Applications) had Assessment Calls completed before September 2014. 0 applications (or 0% of Dormant Applications) had Assessment Calls completed before May 2014.
- 11.1% of Dormant Applications had a Case File Created Date prior to the Part 2 Received Date.
- 100.0% of Dormant Applications had an Application Assigned Date prior to the Case File Created Date.
- 0% of Dormant Applications had an Assessment Call prior to the Application Assigned Date.
- 0% of Dormant Applications had an Application Creation Date prior to the Assessment Call.
- 22.2% of Dormant Applications had a Decision Date prior to the Application Creation Date.
- The percentages above indicate a number of errors of omission and / or errors of data entry as the application process in Caranua is sequential in nature, so no processes should be able to be completed prior to the previous step in the process.
- Anecdotal evidence has been given noting certain dates being overwritten by Advisors when applications are transferred to a new Advisor or to record a duty call.

### Evidence to Justify Decision – Decision Comments

- 30.7% of the 352 applications analysed on the system did not document any evidence to justify the decision made under “Decision Comments” or provide any information to back-up the decision making process. There were 244 applications that made an entry under Decision Comments.
- Treacy Consulting were instructed that the “Decision Comments” category should be populated with evidence to justify the decision made and the payment approved. Therefore we undertook qualitative analysis to categorise the 244 applications that were populated:
  - 144 applications (or 40.9% of the 352 applications analysed on the system) were classified as Category A – incomplete, very little information to justify the decision and award made
  - 96 applications (or 27.3% of the 352 applications analysed on the system) were classified as Category B – limited information, primarily relating to the service type or service detail
  - 4 applications (or 1.1% of the 352 applications analysed on the system) were classified as Category C – sufficient information to support the decision and award made.

### Evidence to Justify Decision – Case Notes

- Of the 56 unique applicants in the sample size, there were 115 individual case notes associated, ranging from 1 case note to 8 case notes per individual.
- Of the 115 individual case notes in the sample size, 13.0% had no case note number documented, and 13.0% had no details documented in the “Comments” section.
- The “Comments” section was qualitatively analysed for accuracy in reporting and to understand whether sufficient evidence is being documented to justify the decision made.
- The general directive provided to Advisors is that the “Comment” section of the Case Notes should record the outcome of every communication with an applicant. Further the outcome of the assessment of the applicants needs should be documented within the Case Notes with justification for all approved applications.
- Therefore, the Case Notes were analysed to understand how completely they addressed the following criteria:
  - Is the outcome of every communication with the applicant recorded? Yes / No
  - Is the outcome of the assessment of need recorded? Yes / No
  - Has justification for an approved application been recorded? Yes / No
  - Is there a correlation between Case Notes Comments and Decision Comments? Yes / No
- Only 12.2% of individual case notes fully met all four criteria, representing 14 case note entries associated with 6 case file numbers:
  - 67.8% of individual case notes were deemed to have recorded the outcome of every communication with the applicant;
  - 56.6% of individual case notes were deemed to have recorded the outcome of the assessment of need;
  - 65.2% of individual case notes were deemed to have given justification for approved applications;
  - 26.1% of individual case notes were deemed to adequately correlate with the Decision Comments.

**FINDINGS:**

- Procedural changes since the fund initially started accepting applications may have had an indirect impact on the consistency and quality of information being input into the system.
- However, there are a significant number of instances emerging from our initial sample where information has been omitted where it is required, or incomplete information has been entered.
- The reporting function on Salesforce.com is not 100% fit for purpose, with limitations on the categories of information we are able to pull into a consolidated report. Where multiple reports are required to present a holistic picture, there are discrepancies with the data appearing on the multiple reports. For example, not all Case Applications in the separate Health Report or Housing Report appear in the Master Report and vice versa.
- There are also a significant number of instances where the application timescale doesn't follow the internal procedural timeline, where certain steps in the procedure have been completed before an earlier step, or where the date has been incorrectly entered that skews the timeline.
- Caranua need to continue to work closely with your Salesforce.com developer to amend the current system and reconfigure to more appropriately meet the needs of management, advisors and the survivors themselves.
- A definitive application procedure needs to be agreed, documented and widely communicated in order to mitigate against incorrect data inputting by advisors. A corresponding detailed "user manual" should be developed to confirm the process and all variations thereof in transparent detail, and to provide clear direction for everyone using the system.
- Appropriate training on the definitive application procedure needs to be rolled out to all existing staff members, and a greater emphasis should be placed on communicating the procedure at induction.
- The importance of the "Decisions Comment" section needs to be further emphasised, making it a mandatory category on the system, and providing clearer direction as to the type of information that is required. This is of critical importance as this category should contain the evidence to justify the decision made and award granted.
- The critical importance of the "Case Notes Comments" section also needs greater emphasis, making it a mandatory category on the system. Every entry in the Case Notes Comments section needs:
  - To ensure that the outcome of every point of communication with the applicant is recorded (including reference to written communication such as emails and letters) with relevant dates documented for every instance of applicant communication;
  - To ensure that the outcome of the assessment of need is recorded (this doesn't necessarily need to be done for every individual Case Note Number, but at a minimum for each Case File Number and for each new application);
  - To ensure that sufficient evidence is documented and / referred to in order to support the decision made and provide justification for approved applications;
  - To ensure that the information documented under the Case Notes Comments section correlates with the information documented under the Decision Comments section of the Master Report.
- A detailed data audit and data cleansing exercise needs to be undertaken as a matter of urgency, to rectify some of the errors identified in this data sample and backfill any information gaps in the existing applications where possible.