



Comhairle nan Eilean Siar
Internal Audit Follow Up Review
ECLIPSE – Social Care Management System
Final Report – FU15-23/24

14 March 2025

COMHAIRLE NAN EILEAN SIAR
INTERNAL AUDIT FOLLOW UP REPORT
ECLIPSE – Social Care Management System

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SECTION 1: EXECUTIVE SUMMARY

Introduction

- 1.1 The Report has been prepared for the Comhairle's Audit and Scrutiny Committee. The original report advised of 2 recommendations made in the ECLIPSE report which was issued on 18 September 2024. The follow up review was undertaken in accordance with the operational annual internal audit plan for 2023/24.

Internal Audit Objective

- 1.2 Following up internal audit reports and assessing the level of compliance with recommendations made is an important part of the internal audit function.
- 1.3 In accordance with the remit detailed in the operational annual internal audit plan for 2023/24, our internal audit work was designed to obtain assurance that the original recommendations have been implemented. We obtained this assurance through internal audit testing and undertaking discussions with key personnel.
- 1.4 The main recommendations in the original report were:
- Housekeeping issues of a minor nature which require to be undertaken to ensure the system has up to date information at all times.

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Detailed Findings

- 1.5 The current status of progress against the original recommendations can be summarised as follows:

Key to Status



Fully implemented;



Partly implemented, although further work is required to meet the objective of the recommendation; or



Insufficient progress to date

Recommendations	Action to Date	Status
Regular audit logs must be run to confirm that: <ul style="list-style-type: none">the access levels are up to date,no temporary users remain on the system,user activity is appropriate,leavers are removed, and to give assurance to Managers the system is being monitored.	Partly implemented	
Retention periods should be in line with the corporate policy once formalised.	Fully implemented	

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Concluding Remarks

- 1.6 From our follow up testing, we note that out of the 2 follow up recommendations made in the original 1 appears to have been fully implemented, and management have confirmed that the remaining recommendations will be implemented by June 2025.
- 1.7 For Comhairle Nan Eilean Siar Internal Audit Section

Internal Audit
Comhairle Nan Eilean Siar
Sandwick Road
Stornoway
Isle of Lewis
HS1 2BW

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SECTION 2 - DETAILED FINDINGS AND RECOMMENDATIONS

Action Recommended	Action By	Progress to Date	Action Outstanding
2.1			
<p>Regular audit logs must be run to confirm that:</p> <ul style="list-style-type: none"> the access levels are up to date, no temporary users remain on the system, user activity is appropriate, leavers are removed, <p>and to give assurance to Managers the system is being monitored.</p>	Principal Administrative Officer	<p>Controls</p> <p>Access Security</p> <p>Microsoft Single Sign on is implemented across CnES and applies to all Eclipse Users. This has enhanced system security by reducing the need for a specific password, users creating weak passwords, and users sharing passwords. Authentication is enhanced. Users are automatically added or removed based on group membership through Microsoft, reducing the risk of unauthorised access.</p> <p>Access Levels</p> <p>1. Discretionary Access Control</p> <p>Access is granted based on the identity of the user. The owner of the case management system decides which roles can access the system, based on service need.</p> <p>Line managers complete a New User Access Form for new staff to sign off access permissions. Link to New User Access Form: https://forms.cne-siar.gov.uk/form/auto/hsc_system_access</p>	<p>Develop and agree an Inappropriate usage audit. – Lillian Crichton</p> <p>Complete by June 2025</p>

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		<p>2. Role-Based Access Control</p> <p>Access is granted based on the user's role within the organisation. Roles are assigned specific permissions to access sections of a client record or specific record types. Roles are specific to job functions such as; <i>Adult Social Worker; Adult Social Work Manager; Child Social Worker; Integration Guardian Role; Security Administrator Role; View Only Role.</i></p> <p>3. Group of rights</p> <p>Instead of assigning permissions to individual users, we assign them to a group. This makes it easier to manage and update permissions.</p> <p>Groups are aligned to job functions, making it clear who is responsible for what actions within the system. We can track which group has access to specific resources, ensuring accountability and compliance. Example of groups are; <i>Administer Security Rights; ACM Manage Person Rights; Admin Configuration Rights</i></p> <p>Grouping rights, or using roles and permission sets, significantly aids in auditing by providing a structured and efficient way to manage and review access controls.</p>	
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		<p>Temporary Users or Leavers</p> <p>All users are required to agree to the Acceptable Use Policy and complete an Acceptable Use Form before they are given access to Eclipse. This record is logged in a spreadsheet in Sharepoint.</p> <p>User status is logged on a spreadsheet in Sharepoint. Temporary users are logged with their details including role, reason for temporary access and date to be cease access to the system.</p> <p>The User log is monitored weekly by senior administrators and checked monthly by the Principal Administrative Officer. This information for assurance is to be recorded in the minutes of the Eclipse Implementation Team going forward.</p> <p>Inappropriate Usage Audit</p> <p>An audit plan has been developed and is in draft format. Administrators can check log in times and dates and can check the ID of the client record. This is the extent of audit functionality in Eclipse. Administrators can log which client records the user was in and provide a report for their line manager to check if it is appropriate. This needs to be agreed with service leads.</p>	
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Action Recommended	Action By	Progress to Date	Action Outstanding
2.2			
Retention periods should be in line with the corporate policy once formalised.	Principal Administrative Officer	Retention classifications have been approved in line with Corporate policy and recorded on all client records in Eclipse. This ensures that records are kept for the required duration and improve searchability for implementation of the records disposal procedure.	None

RESPECTIVE RESPONSIBILITIES OF MANAGEMENT AND INTERNAL AUDIT

Responsibility in Relation to Internal Controls

It is the responsibility of the Comhairle's management to maintain adequate and effective financial systems and to arrange for a system of internal controls. Our responsibility as internal auditors is to evaluate the financial systems and associated internal controls. In practice, we cannot examine every financial implication and accounting procedure within an activity, and we cannot substitute for management's responsibility to maintain adequate systems of internal controls over financial systems. We therefore may not identify all weaknesses that exist in this regard.

Responsibilities in Relation to Fraud and Corruption

The prime responsibility for the prevention and detection of fraud and irregularities rests with management. They also have a duty to take reasonable steps to limit the opportunity for corrupt practices. It is our responsibility to review the adequacy of these arrangements, but our work does not remove the possibility that fraud, corruption or irregularity may have occurred and remained undetected.

We nevertheless endeavour to plan our internal audit work so that we have reasonable expectation of detecting material fraud, but our examination should not be relied upon to disclose all such material frauds that may exist.