

High Importance Recommendations at 12 October 2018

<u>Audit Title (Director)</u>	<u>Summary of Finding(s) and Recommendation(s)</u>	<u>Management Response</u>	<u>Action Date (by end of)</u>	<u>Confirmed Implemented</u>
Reported January 2018				
Office Safes (A&C)	<p>An investigation into the potential misuse of a service user’s funds identified that the employee under suspicion had been able to deposit a large sum of cash into an area office safe, with no evidence of questions asked nor checks undertaken and no record of the deposit. The safe also contained cash and other valuable items held on behalf of service users which are not covered by the LCC insurance policy. Visits to other sites revealed similar with improvements required for controlling access and recording contents.</p> <p>The Department had previously identified gaps in its management of service user’s personal property, including that in safes and had instigated a multi-function working group to review and improve practice and put into place a policy. Recommended that finalisation of the policy should be expedited and rolled out to Area Offices regarding safes and contents. Unannounced follow up audit visits will take place.</p>	<p>Agreed</p> <p><b>Further progress has been made. The policy oversight group has informed that it is happy that there has been a sufficient contribution from the Department that it doesn’t need to formally review and sign off the policy. Last final cosmetic tweaks are underway. The intention is to present at December’s Management Team and thereafter at a joint A&amp;C and C&amp;FS management team.</b></p> <p><b>In the meantime, the Department has confirmed that processes around safes are now embedded and there are periodic checks from business support team to ensure they are being followed. Internal Audit Service intends to review the scope and findings of those checks and conduct its own (unannounced) compliance audits.</b></p>	<p>March 2018</p> <p>Extend to end of June 2018; September 2018</p> <p><b>January 2019</b></p>	

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