

High Importance Recommendations at 28 October 2022

<u>Audit Title (Director)</u>	<u>Summary of Finding(s) and Recommendation(s)</u>	<u>Management Response</u>	<u>Action Date (by end of) & extensions</u>	<u>Confirmed Implemented /No longer applicable</u>
Reported May 2022				
SEND Overpayments (Children and Family Services)	<p>Two recommendations were made</p> <ul style="list-style-type: none"> • There should be a comparison of census data to Education Health and Care Plan (EHCP) funded and Intervention Funding pupil data from the 2018/19 financial year onwards to identify further over/underpayments • The data comparison exercise should be repeated after each termly census submitted. 	<p>Both recommendations agreed</p> <p>1) Business Intelligence Service have devised a draft dashboard product to undertake a cross-check of historical data. This has recently been shared with SEND finance with a view to review to finalising the product by the end of the year. The comparison will then be complete before the end of the financial year. Any reconciliation will then take place during 2023-24 financial year.</p> <p>2. The above process (dashboard) will be refreshed on a rolling basis after each census point on a termly basis.</p>	<p>March 2022</p> <p>Extend to March 2023</p>	
Surveillance and CCTV Audit (Consolidated)	<p>Three recommendations were made: -</p> <ol style="list-style-type: none"> 1. Contracts for Surveillance and CCTV installations need to be located and reviewed. 	<p>All three recommendations were agreed</p>	<p>July 2022</p> <p>Extend to March</p>	

Risk)	<ol style="list-style-type: none"> 2. ISRA's and DPIAs should be completed for all surveillance and CCTV installations. 3. Site visits/audits should be undertaken to determine compliance with the SCC Code of Practice and LCC CCTV Policies. 	<ol style="list-style-type: none"> 1. Information Assurance Group members have commenced this work. This has resulted in some contracts, agreements and other associated documents have been located (mainly in E&T). However this remains work in progress. 2. DPIAs have been drafted and are now being reviewed so that they can be distributed to the relevant service areas for review and sign off. The ones that have been drafted so far are Libraries, Waste Sites, County Hall/Office Spaces and Body Worn Cameras. Work is on-going in this area. 3. A checklist has been drafted and IGT are currently finalising it so that it is ready for use. The checklist will be circulated so that site managers/staff responsible for sites can carry out a self- 	2023	
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		assessment. This would remove the need for IG/Audit to visit every site.		
Disaster Recovery (Consolidated Risk)	<p>Three recommendations were made: -</p> <ol style="list-style-type: none"> 1. A Disaster Recovery Plan should be developed 2. A Disaster Recovery Test Strategy should be developed 3. Resiliency testing of key applications should be planned and undertaken as soon as possible 	<ol style="list-style-type: none"> 1. The DR framework documentation is currently being reviewed as part of its annual review which set the basis for the organisation's DR Plan. Once updates have been completed, these will be taken to DR Steering Group (DRSG) for sign-off. 2. A series of Line of Business (LoB) application tests were approved by DRSG in June 22. The test schedule runs from Aug 22 through to March 23 after which point a further series of DR tests will be suggested and scoped. 3. An application testing programme has been agreed by DRSG for four business 	<ol style="list-style-type: none"> 1. December 2022 2. March 2023 3. March 2023 	

		applications over the next few months. It should be noted that LCC has a significant number of "key" applications which will need to be tested over a period of years due to a number of factors, planning time, system availability/downtime requirements, business test resource etc. Once the initial four systems are tested this will be covered annually by Internal Audits Key ICT Controls work.		
Reported June 2021				
Travel, Subsistence and Related Allowances (COVID-19 related changes) (Consolidated Risk)	<p>No individual HI recommendations, but collective control weaknesses resulted in a partial assurance rating.</p> <p>Recommendations covered:</p> <ul style="list-style-type: none"> Aligning temporary instructions with policy Accuracy of reporting and receipt evidence Authorisation process 	<p>Testing currently being undertaken</p> <p>The recommendations no longer applicable since there is now a permanent system which is being re-audited</p>	<p>June 2021 July 2021 November 2021</p> <p>Extend to June 2022</p>	Yes
Reported July 2020				
ICT Externally Hosted	<p>Three HI recommendations were made: -</p> <ol style="list-style-type: none"> 1. Confirm the circumstances of the contract 	<ol style="list-style-type: none"> 2. ICT contracts are no longer recorded on MARVAL. All 	<p>September 2020 December 2020</p>	

<p>Contracts (Consolidated risk)</p>	<p>before deleting records</p> <ol style="list-style-type: none"> 2. Conduct an audit to determine whether valid contract are in place 3. Decide whether original (signed) contracts should be held centrally. <p>Recommendations have been expanded to cover the wider contracts database</p>	<p>contracts now to be recorded on Pro Contract. A new workflow has been added to allow the contract to be added, this will allow a central point for contract storing and an auditable trail.</p> <p>No retrospective work has been done to add old contracts, but this will be the future process. Further checks to ensure all contracts including those under £25K are being recorded in the register has not been completed</p> <p>3. Toolkit has been drafted and has started its upload on to the intranet, full launch is further delayed until end of this financial year with full training to be provided</p>	<p>March 2021 June 2021 July 2021 Extend to January 2023</p> <p>Extend to May 2023</p>	
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