

High Importance Recommendations at 5 May 2023

<u>Audit Title (Director)</u>	<u>Summary of Finding(s) and Recommendation(s)</u>	<u>Management Response</u>	<u>Action Date (by end of) &amp; extensions</u>	<u>Confirmed Implemented /No longer applicable</u>
Reported May 2022				
SEND Overpayments (Children and Family Services)	<p>Two recommendations were made</p> <ol style="list-style-type: none"> <li>1. 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</li> <li>2. The data comparison exercise should be repeated after each termly census submitted.</li> </ol>	<ol style="list-style-type: none"> <li>1. <b>A dashboard has been created to undertake cross-checking of high needs payments to census data. Further work is required to ensure that accurate data is reported. Due to how census data is held prior to the October 2019 census any checking of historical data is limited to October 2019 onwards.</b></li> <li>2. <b>Once the accuracy of the dashboard data is resolved, the cross-checking will be refreshed on a termly basis after each census.</b></li> </ol> <p><b>Delivery of actions will be</b></p>	<p>March 2022 March 2023</p> <p><b>Extend to June 2023</b></p>	

		<p><b>transferred to the Transforming Send in Leicestershire Programme finance processes workstream and be monitored through that governance</b></p>		
<p>Surveillance and CCTV Audit (Consolidated Risk)</p>	<p>Three recommendations were made: -</p> <ol style="list-style-type: none"> <li>1. Contracts for Surveillance and CCTV installations need to be located and reviewed.</li> <li>2. ISRA's and DPIAs should be completed for all surveillance and CCTV installations.</li> <li>3. Site visits/audits should be undertaken to determine compliance with the SCC Code of Practice and LCC CCTV Policies.</li> </ol>	<p><b>All three recommendations were agreed:</b></p> <ol style="list-style-type: none"> <li>1. <b>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&amp;T). However, this work still remains work in progress.</b></li> <li>2. <b>DPIAs have been drafted and are being reviewed so that they can be distributed to the relevant service areas for review and sign off. Work is on-going in this area.</b></li> <li>3. <b>A checklist has been developed and</b></li> </ol>	<p>July 2022 March 2023</p> <p><b>Extend to July 2023</b></p>	

		<p><b>distributed to Property Services so that they can be circulated so that site managers/staff responsible for sites can carry out a self-assessment, removing the need for Information Governance /Audit to visit every site. The Information Governance Team are currently waiting for feedback on checklist completions.</b></p>		
<p>Disaster Recovery (Consolidated Risk)</p>	<p>An audit of Disaster Recovery (DR) arrangements recommended some governance and process improvements.</p>	<p><b>1. A Disaster Recovery Plan/Strategy has been developed for 2023/2024. A copy of this has been obtained by Internal Audit. This includes the DR plan for the infrastructure and Priority 1 and Priority 2 departmental systems. The plan was shared and agreed with the DR Steering group on 6<sup>th</sup> March 2023.</b></p>	<p>December 2022</p>	<p><b>Yes</b></p>

		<p><b>2. A high-level DR Test Strategy has been developed. This has been verbally signed off by the DR Steering Group and will be formally signed off at the meeting on 5th June 2023. A copy of this has been provided to Internal Audit. Examples of testing templates that have been completed have been provided. Progress on any further testing will now be covered as part of the annual Key ICT Controls Audits.</b></p> <p><b>3. Testing of Line of Business Systems (LoB) has progressed as per the DR Plan. Evidence of testing undertaken on LoB was obtained. Progress on any further testing will now be covered as part of the annual Key ICT Controls Audits.</b></p>	<p>March 2023</p> <p>March 2023</p>	
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Reported July 2020				
ICT Externally Hosted Contracts (Consolidated risk)	<p>Three HI recommendations were made: -</p> <ol style="list-style-type: none"> <li>1. Confirm the circumstances of the contract before deleting records – <b>Previously completed</b></li> <li>2. Conduct an audit to determine whether valid contracts are in place</li> <li>3. Decide whether original (signed) contracts should be held centrally.</li> </ol> <p>Recommendations have been expanded to cover the wider contracts database</p>	<p><b>2. From sample testing it was identified that all contracts are now recorded on Pro Contract.</b></p> <p><b>3. The Procurement and Commissioning Support Manager confirmed that all pages of the Toolkit are complete and are with Comms ready for uploading.</b></p>	<p>September 2020 December 2020 March 2021 June 2021 July 2021 January 2023 May 2023</p>	<p><b>Yes</b></p>

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