

High Importance Recommendations at 8 September 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) & extensions</u>	<u>Confirmed Implemented /No longer applicable</u>
Reported September 2023				
Highways works - Bond Reimbursement (Environment & Transportation)	<p>There is no proper process for reconciling information from Oracle, agrees with independent records maintained by the service.</p> <p>Recommended</p> <p>A record of bonds should be maintained within the Service area. Responsibility for reconciling records should be assigned to a suitable individual, who should undertake regular reconciliations.</p>	<p>Agreed. Finance will complete the regular reconciliations of the service’s records to Oracle GL, pending the service establishing and maintaining a mechanism for recording bond receipt and reimbursement. Further discussions required with Finance and ICT about the possibility of an online payment system to reduce the number of payments still made by cheque or by BACS before an invoice has been raised.</p>	October 2023	
Reported May 2022				
SEND Overpayments (Children and Family Services)	<p>Two recommendations were made</p> <ol style="list-style-type: none"> 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 2. The data comparison exercise should be repeated after each termly census submitted. 	<p>Delivery of actions has been transferred to the Transforming Send in Leicestershire Programme finance processes workstream but will continue to be monitored by the Committee until completion.</p> <p>Some further testing of census data to pupil data used to calculate High Needs payments to schools to ensure accuracy of payments, has been requested by the</p>	<p>March 2022 March 2023 June 2023</p> <p>Extend to October 2023</p>	

		Assistant Director (Finance, Strategic Property & Commissioning).		
Surveillance and CCTV Audit (Consolidated Risk)	Three recommendations were made: - 1. Contracts for Surveillance and CCTV installations need to be located and reviewed. 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.	A detailed follow-up of the Surveillance and CCTV Audit was undertaken. It was noted that all three recommendations are being progressed, however, these have not yet been completed: - 1. Work has progressed but not many contracts have been located. The largest contract is due to come to an end in April 2024 and therefore a new contract will be in place. 2. A number of Information Security Risk Assessments (ISRAs) and Data Protection Impact Assessments (DPIAs) have now been completed but had yet to be signed off. 3. Due to resourcing issues the Information Governance Team (IGT) decided to issue Self-Assessment questionnaires and then undertake physical site visits if required. A self-assessment checklist was developed by the IGT. These were then issued to the Service Areas for completion to obtain information regarding the Surveillance and CCTV systems in operation. Internal Audit inputted into the checklist. The checklist is based on the Principles of the Surveillance and CCTV Code of Practice. IGT has received some feedback on the self-assessments.	July 2022 March 2023 July 2023 Extend to February 2024 Extend to February 2024 Extend to February 2024	

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