High Importance Recommendations – Position at 5th September 2022

Audit Title (Owner)	Summary of Finding(s) and Recommendation(s)	Management Response	Action Date (by end of)	Confirmed Implemented
Reported Sept 2022				
Key ICT Controls (2020-21) (Head of IT Operations)	**The audit identified a number of weaknesses, three high importance recommendations were made in the report :** 1. **Adequate Disaster Recovery (DR) governance arrangements should be established.** 2. **A High-level Disaster Recovery Test Strategy should be developed with lower-level assessments being undertaken for individual DR tests as they are planned.** 3. **Resiliency testing of the network and key applications should be planned and undertaken as soon as possible**	**Agreed - In 2020 the Council invoked its Business Continuity Plans due to the pandemic. In 2021 the Council was in recovery and currently in 2022, IT are in the process of creating a new network and therefore DR and Governance will be reviewed as a result of these changes** **Currently being drafted alongside the implementation of the new network. Once the Governance is in place a Test Strategy will be drafted and DR tests planned.**	**Dec 2022**	
Reported July 2022				
Contract Audit - Contract arrangements during the COVID 19 period (Head of Procurement)	The audit identified a number of weaknesses leading to a Partial Assurance rating, but no individual high importance recommendation was made. Recommendations related to fast tracked procedures, designed for the pandemic, are closely monitored and only used in exceptional cases; moving to position where these procedures are no longer relied on. Also ensuring the resourcing is sufficient to support the timely procurement process which is in full compliance with the Procurement Rules.	**The Head of Procurement has completed the exercise of mapping the capacity of resource to manage the current workload, along with the impact of the changes to the regulations.** **This has resulted in the start of recruitment to fill the gaps; the Procurement Admin Team Leader**	Sept 22	**Yes**

		post has been filled and the Procurement Manager post is currently being advertised to internal candidates, if not successful then this will be advertised externally.		
Smoking Cessation (Public Health Consultant)	One high importance recommendation relating to performance reporting for smoking cessation was made. The audit identified weaknesses in the quarterly reporting of smoking cessation, missing data of actual performance was identified, consequently it was difficult to assess the progress against expected targets. Management reported issues with data extraction, from the bespoke IT system, has been a major factor in some of the missing data identified in quarterly reporting. Recommendation was made to ensure training is promptly facilitated by the IT Providers to help with the extraction of data to ensure reports provide a complete and accurate position for smoking cessation in the quarterly reports.	**The original target dates were delayed due to other work priorities and the Live Well Leicester team are now trying to confirm dates for training delivery with the supplier. Although it's the busy holiday season it is hoped that dates will be agreed by the end of August and that the required training will be delivered by the end of September.**	June 2022 July 2022 **Extend to Sept 22**	
Reported March 2021				
Social Value within Procurement (Head of Procurement)	One High Importance recommendation was made in this audit report. Finding: Sample testing identified: • Monitoring arrangement for Social Value (SV) Key Performance Indicators (KPIs) was not specified in the sample contracts • There was no evidence to confirm that contract managers were monitoring the suppliers to ensure they had delivered their commitments and fulfilled their contractual obligations with regards to SV. Recommendation:	**The remaining training sessions relating to the Social Value Portal, prior to go live are now planned, and will conclude on the 19th of September. This will then trigger the effective go-live of the portal.** **An options paper will go to the review group on the 21st to confirm this, and for approval.**	July 21 Dec 21 Jun 22 Sept 22	**Yes**

	The monitoring arrangements of SV - KPI's should be determined and included in the contract; these should be actively monitored by contract managers and periodically reported.			
Reported June 2020				
Schools' Governance – LA Scheme for Financing Schools (Head of Finance, Education and Children's Services)	The Audit highlighted one High Importance recommendation: Finding: The Scheme for Financing has not been amended to reflect the mandatory revisions as notified in the DfE directed revisions dated 19/08/2015 or 22/03/2018. Recommendation: The Scheme for Financing Schools should be updated to reflect any directed revisions as notified by the DfE.	**Work is underway with a view to Finalising the Scheme for Financing Schools document by the end of September 22.**	June 20 Dec 20 June 21 Aug 21 Oct 21 Dec 21 Feb 22 Sept 22	
GDPR (Data Protection Officer - DPO)	Within the earlier audit (Nov 18) it was confirmed that although Information Asset Registers (IAR) had been completed by relevant sections, gaps had yet to be identified – this could potentially lead to Data/Information breaches as gaps in compliance are not identified. Two High Importance recommendations were made: 1. The Data Protection Officer should put forward a proposal to Senior Management if it is considered there is a need for additional resources to be allocated to undertake meetings with the Information Asset Owners in order to complete the IAR's and associated action plans.	1. An Information Governance assistant is now in post 2. **Governance surrounding the use of data has been firmed up. An Open Data Governance Policy is in place which has been signed off by the Transformation board. The Data Warehouse Policy and a Data Quality Policy is currently**	Jan 21 June 21 Sept 21 Dec 21 Jan 22 Apr 22	1. Yes 2. **No**

	2. Meetings with Information Asset Owners should be undertaken as a matter of urgency to identify possible gaps in meeting Data Protection Act requirements. These gaps should then form sectional action plans which the relevant section should be monitored against.	**in the process of being developed. There is an Enterprise Data Model in draft form. Once the governance is in place, work with Information Asset Owners will begin. The Data Protection Officer has shared Records of Processing Activities (ROPA) with the Enterprise Data Architect.**	Nov 22

Audit/A&RC/220928/Appendix 1 HI Progress Report
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