

High Importance Recommendations – Position at 27th February 2024

<u>Audit Title (Owner)</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 March 2024				
Spinney Hill Primary School	One High Importance recommendation was made The school should ensure forecast positions provided to the Governors and the Council’s Schools Finance team provide more accurate positions particularly as they approach the year end. This will also assist Governors make decisions based on more realistic budget position of the school.	Awaiting Response	Feb 24	
Herrick Primary School	Two High Importance recommendations were made: 1. The governing body should work closely with the school and the Local Authority Schools Finance team to ensure the deficit position is closely monitored and improvements are made in line with the deficit budget plan (when in place). 2. The school along with the Local Authority should take immediate action to investigate the cause of the large overdraft position on the bank balance. Once resolved, the school should ensure a positive bank balance is maintained.	The school is working closely with the LA’s School Finance team and Governors to improve the deficit position and rectify the overdraft position. In December 23 the Head Teacher (HT) presented a 3 year Financial Planning Proposal to deal with the deficit position; a 3 year budget deficit plan has been agreed by Governors, but it is noted that further work is required. The HT has reported that since July 23 there has been a significant fall in overspend as a result of staffing changes and formulation of the development plan; however, it is acknowledged that further work is needed and new measures are being reviewed.	Feb 24 Extend to Jun 24	

Reported July 2023				
2022-23 CCTV (Head of Standards & Development)	<p>Three High Importance recommendations were raised in this report:</p> <ol style="list-style-type: none"> 1. A decision needs to be made on how the standalone CCTV installations can be captured, and how these should be recorded and managed 2. Compliance reviews should be undertaken on the standalone CCTV installations. 3. Guidance should be developed for Business Risk Owners on the correct processes to follow when procuring a new CCTV system. 	<ol style="list-style-type: none"> 1. Discussions have taken place with officers in the CCTV working group for the best location for the centralised records of these. Currently exploring options for collating information on Open Leicester or a centralised database. 2. A new form is to be introduced for CCTV business owners to confirm that they have reviewed their CCTV systems on an annual basis. It is proposed that this compliance check is managed by the Information Governance team, as part of corporate governance around data protection. A CCTV Management checklist has been included in the Best Practice Guide. Organisational Development are currently updating the data protection and information security training modules to make it one combined module. As part of that refresh they have been asked to add an extra slide in the data protection content under the 'Policies and responsibilities' section that points staff with responsibility for CCTV to read the info and CCTV Code of Conduct on the SharePoint site. 3. A new procedure has been introduced into the IT procurement process to ensure that Business Owners are aware of their responsibilities should they wish to 	<p>Dec 23 Jan 24 Extend to Mar 24</p>	<ol style="list-style-type: none"> 1. No 2. No 3. Yes

		procure a new CCTV system. Internal Audit has reviewed the documentation and have now cleared recommendation 3.		
Reported November 2022				
(2021-22) Direct Payments (Head of Locality East/SRCT and Care Navigators)	<p>The audit highlighted weakness in the annual review process. One high importance recommendation was made:</p> <p>Annual reviews of the support plans should be undertaken to establish whether the needs of the person on Direct Payments had changed, and the Direct Payments remained appropriate.</p>	<p>The Head of Locality East/SRCT and Care Navigators presented an overview of Direct Payments report to the Adult Social Care Scrutiny Commission on 25th January 2024. Under future development it reported ‘oversight of the achievement of outcomes via a DP is largely managed via the social work review process. Given the challenges regarding overdue reviews, this is recognised as an area of risk and as noted in the Council’s audit programme. A dashboard now allows ASC to see at a glance the outstanding overdue reviews by each service area and a risk matrix is being tested, to enable the prioritisation of DP reviews’.</p> <p>Work is still ongoing with IT to amalgamate the dashboard with other data. Internal Audit will undertake testing once work is completed.</p>	<p>Jan 2023 Jun 2023 Dec 2023 Jan 2024 Extend Jun 2024</p>	

Reported Sept 2022				
Key ICT Controls (2020-21) (Head of IT Operations)	<p>The audit identified a number of weaknesses, three high importance recommendations were made in the report:</p> <ol style="list-style-type: none"> 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 	<p>Tests were undertaken by IT in December 2023. Due to some issues identified from the testing a review of the technical architecture for the network was undertaken. New DR tests are to be undertaken by IT following the revised network architecture. This is likely to be by the end of February 2024 at a small scale and then if further large scale testing is required this will be undertaken in March 2024.</p>	<p>Dec 2022 April 2023 Nov 23 Jan 24 Extend to Mar 24</p>	<ol style="list-style-type: none"> 1. Yes 2. Yes 3. No

Audit/A&RC/240313/Appendix 1 HI Progress Report
Last Revised 27th February 2024