

Internal Audit Update on Recommendations as at 22 May 2019

Audit Review Title	Function	Recommendation	Original Target Date	Latest Target Date	Last Status Update	Owner	Risk Rating
IT Disaster Recovery (ICT11 1617)	Corporate Development	Governance Establish an IT DR policy that aligns with the Business Continuity (BC) policy and develop supporting frameworks	October 2017	31/12/19	Update as at 18/04/2019 - The underlying position regarding Disaster Recovery capability remains unchanged and is still reliant on the move to cloud computing to reduce this accepted risk. Pilot testing of Office365 is underway and the first deployment of an ECC service in Microsoft Azure is planned for June 2019. A draft ITDR policy has been produced and circulated to TSLT for review and sign-off. A DR Plan has also been drafted, and testing and reporting frameworks will be developed as the DR capability is implemented. ITDR governance will be overseen by the Policy and Assurance Team within TS, reporting to the CTO and with direct connection to the Director of TS if required. Revised target date supplied by CTO.	Interim Director of Technology Services	Critical
IT Disaster Recovery (ICT11 1617)	Corporate Development	Supplier Contracts Responsibilities Ensure that suppliers have provisioned the correct level of ITDR and that it is in-line with ECC's BC requirements.	January 2018	30/09/19	Update as at 18/04/2019 - Initial analysis has started on confirming business RTO and RPO requirements for externally managed services and understanding current contractual obligations. Further work will also need to be undertaken to confirm any dependencies on ECC provided infrastructure (e.g. network links) that are part of the overall solution.	Interim Director of Technology Services	Critical
IT Strategy Review (ICT8 1617)	Corporate Development	Absence of KPIs to monitor return on investment (ROI)	31/0317 (subject to business case approval)	30/09/19	As previously highlighted the former IS strategy has been superseded by the Technology Services OD which is now being transitioned to. Therefore the KPI for ROI must be realigned to be appropriate for the new OD structure, strategic direction and TS Portfolio. Therefore this identified risk should be reviewed as part of an audit review of the effectiveness of the new TS OD.	Interim Director of Technology Services	Major

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IT Strategy Review (ICT8 1617)	Corporate Development	Gaps in IT Strategy	31/01/17	30/09/19	As previously highlighted, the IS Strategy documents that were the subject of this audit were superseded by the ECC OD process for Technology Services (formerly known as Information Services). The TS \OD process included setting a strategic direction for TS which was approved by the OD Design Authority. The agreed OD for TS is now being transitioned to and the delivery of the agreed strategic direction is being implemented through the TS \Portfolio Governance arrangements and the programmes of projects that are in delivery. The TS \OD delivery now replaces the former plans for governance, risk and people development. Therefore this now previously identified risk will now be best reviewed as part of a review of the implementation of TS OD during 2019/20.	Interim Director of Technology Services	Major
IT Performance & Oversight (ICT9 1617)	Corporate Development	IT Security Reporting There is a lack of adequate reporting and oversight to ensure that IT security is being governed effectively.	31/07/17 for investigation of options to be completed, and time limited plan for implementation to be in place.	30/04/20	Further Update 24/4/2019: All the elements of vulnerability listed in the recommendation are addressed through the implementation of the standards ISO27001 Cyber Essentials and Cyber Essentials Plus as per previous update. A further review of this recommendation is suggested for April 2020 but 19/20 Audit workbook plans around Security will be able to evidence/witness the progress of the standards and these vulnerabilities being closed off	Interim Director of Technology Services	Major
Social Media (COR4 1718)	Corporate Development	Approving access to and awareness of social media application use Update the Social Media Policy and Procedures and the online portal.	31/10/18	2/09/19	Social media policy and charter created which will enable greater awareness and ensure that access to social media accounts is appropriate and captured corporately. This information will be held by the social media team and the online systems they use (hootsuite and business managers), so there is no longer a need for an online portal requirement anymore. The establishment of a social media team and the raising of their profile has also raised awareness of social media practice. NB have marked us updated rather than complete due to the fact the policy and charter have yet to be rolled out.	Communications and Marketing Manager	Major

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Facilities Management (COR15 1718)	Place and Public Health	Capacity The team were carrying significant vacancies at the time of the audit review	Subject to OD Completion (expected agreed structure in place by 31/03/2018)	1/05/19	EPF are looking to recruit one more vacant post, advert issued in April 2019. interviews will be held in Jun 2019, the remaining vacancy will remain open due to service exigencies	Head of Facilities Management	Major
Deprivation of Liberty (DoLS) (ASC6 1718)	Adult Social Care	Timeliness of DoLS Decisions Best endeavours need to be made to ensure DoLS assessments and decisions are progressed promptly and issued within the statutory timescales, in a cost efficient way, having regard to the financial budget available.	31/07/18	31/07/18	Update: 22.11.18: Actions to be taken: 1. Triage system review: DoLS team are now adding the oldest historic cases to the priority list so this is now up to 2016. 2. Work with external agency: Allocation of 40 cases per month since to external agency since December 2017. Current progress means online with projection to complete 500 cases. Regular meetings with ECC DoLS Team and the provider. 3. Review of targeted use of BIA's: Frontline staff (social workers) prioritised for this year's training to achieve maximum potential allocations. Due to re-organisation in ASC, some qualified staff were displaced and others moved into new roles resulting in less capacity to complete assessments. Reduced volume of re-approvals BIA's as a result. 4. Financial penalty: Learning agreement completed by staff on undertaking the training is now strengthened to support accountability for allocations, awaiting ALT approval.	Director, Safeguarding & Quality Assurance (Adult Social Care)	Major
Personal Budgets (Families) (Direct Payments) C2 1718)	Children Families and Education	Monitoring and Review	31/12/18	31/12/18	25-04-2019 The RAG ratings have been delayed for a future upgrade as it caused system issues. The processes already outlined above are imbedded and ensure assessments are reviewed annually. Once triggered the C&F assessment is yellow in the workers tray which is an additional prompt. We were not successful in our business case for DP monitoring but this has now been passed to P2P who are factoring this into their reorganisational design. DP guidance has been updated. We are currently reviewing DP rates and giving	Director Local Delivery, South	Major

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					consideration to smaller packages not resulting in a CIN plan. This means the case would not need a review and would need to be re-referred if the needs are still unmet.		
Personal Budgets (Families) (Direct Payments) C2 1718)	Children Families and Education	Direct Payment Agreements	31/12/18	31/12/18	Update as at 26.11.2018 - All teams are now saving the DP agreement under the same heading. DPs are signed off on Mosaic by Service Managers, who check that the DP agreement is uploaded and signed. A financial monitoring form will be added to Mosaic. A business case is being prepared to establish 2x DP monitoring roles to replace capacity lost by deletion of 4x Resource Co-ordinator roles	Service Manager, Mid	Major