


AMBER & RED REPORTS ISSUED BETWEEN JANUARY 2018- 27/4/18

Management Summary – DEPRIVATION OF LIBERTY SAFEGUARDS (DOLS)

An audit review commenced¹ 17 August 2017, to provide an opinion on the risk, governance and control environment for Deprivation of Liberty Safeguards (DoLS) and to contribute to the service areas objectives and improvement of processes. This Internal Audit opinion will contribute to the Annual Internal Audit opinion which informs the Council’s Annual Governance Statement.

We would like to thank all staff who provided support and assistance during the audit.

<p>AUDIT OPINION</p> <div style="text-align: center; margin-top: 20px;">  <p style="font-size: 2em; color: white; margin: 0;">Poor</p> </div>	<p>MANAGEMENT SUMMARY</p> <p>Based on objectives tested (See <i>Appendix 2</i>), The system of control is weak and there is evidence of non-compliance with the controls that do exist</p> <p>Recommendations have been made to improve processes, support the achievement of service objectives and the management of risk. These are set out in section 3.</p>						
<p>AREAS OF PARTICULAR CONCERN</p> <p>At the time of the audit the findings determined that there were several areas of particular concern. Areas included the inability to meet the demands of the service and as a result failing to fulfil our statutory obligations for undertaking both standard and urgent assessments.</p>	<p>RECOMMENDATION RISK RATING</p> <table style="margin-left: auto; margin-right: auto; text-align: center;"> <tr> <td style="background-color: red; color: white; padding: 5px;">High</td> <td style="background-color: yellow; padding: 5px;">Medium</td> <td style="background-color: lightgreen; padding: 5px;">Low*</td> </tr> <tr> <td style="background-color: lightgrey; padding: 5px;">8</td> <td style="background-color: lightgrey; padding: 5px;">4</td> <td style="background-color: lightgrey; padding: 5px;">5</td> </tr> </table> <p><small>*See advisory points on Appendix 1</small></p>	High	Medium	Low*	8	4	5
High	Medium	Low*					
8	4	5					

¹ In accordance with PSIAS Code of Practice for Internal Audit in Local Government

Management Summary – WIRELESS NETWORK MANAGEMENT

An audit review commenced² on 29th August 2017, to provide an opinion on the risk, governance and control environment for Wireless Network Management Arrangements and to contribute to the service area's objectives and improvement of processes. This Internal Audit opinion will contribute to the Annual Internal Audit opinion which informs the Council's Annual Governance Statement. The audit objectives were agreed by Vikas Attri, ICT Education Services Architect (Scope attached as Appendix 1). It should be noted that the management of client devices connecting to the wireless network has not formed part of this review.

The use of mobile devices and wireless networks has increased dramatically in recent years. A wireless network has many more vulnerabilities than a traditional wired network. Unlike wired networks, wireless network transmissions can travel well beyond building perimeters. An unauthorised individual therefore no longer needs to gain physical access to the inside of a building to maliciously connect to a network. It is therefore important to proactively safeguard the network against security attack by being aware of the risks that wireless networks and equipment can pose and by adopting a comprehensive risk management strategy to effectively address them.

As well as the Council's Corporate Wireless Network, ICT's Infrastructure Design and Support team provide wireless networks to schools (Education Wireless Network) and to guests. The team also provides support for the wired network which the wireless network is integrated with. A number of schools have engaged the services of a third party provider to install and manage access points connected the Education Wireless Network. The arrangements under which the third party operates within the schools was considered outside the scope of this audit however the third party service provider completed a "3rd Party Supplier Questionnaire" in May 2017 and this has been referred to in this report and used in the overall evaluation ICT's wireless network management arrangements.

It should be noted that ICT have already taken action with regard to a number of the recommendations made in this report.

We would like to thank all staff who provided support and assistance during the audit.

AUDIT OPINION

Reasonable

MANAGEMENT SUMMARY

Based on objectives tested (*See Appendix 2*) the audit opinion has been divided to reflect

- a) The adequacy of the **general management processes**, where there is a sound system of control but there is evidence of non-compliance with some of the controls, and

² In accordance with PSIAS Code of Practice for Internal Audit in Local Government

Poor

b) The management of **third party processes**, where the system of control is weak and there is evidence of non-compliance with the controls that do exist.

Recommendations have been made to improve processes, support the achievement of service objectives and the management of risk. These are set out in section 4.

AREAS OF PARTICULAR CONCERN

1. Lack of evaluation and transparency of third party management and security processes.
2. Lack of specific wireless security policy.
3. Use of an insecure wireless security protocol.
4. Lack of a formalised wireless risk and vulnerability management process.
5. Lack of formalised procurement and deployment standards.

RECOMMENDATION RISK RATING

High	Medium	Low
5	9	1

Management Summary - DISCHARGE FROM HOSPITAL

An audit review commenced³ in September 2017, to provide an opinion on the risk, governance and control environment for Discharge from Hospital and to contribute to the service areas objectives and improvement of processes. This Internal Audit opinion will contribute to the Annual Internal Audit opinion which informs the Council's Annual Governance Statement.

We were unable to undertake any testing in relation to the following control as the service area were not able to provide a report from which a sample could be taken, therefore we are unable to provide an audit opinion: - *Where longer term recovery and rehabilitation is required: A Care Act Assessment has been completed. Care in excess of 6 weeks is funded only in exceptional Circumstances.*

We would like to thank all staff who provided support and assistance during the audit.


<p>AUDIT OPINION</p> <div data-bbox="125 644 943 874" style="text-align: center; border: 1px solid black; border-radius: 15px; background-color: #FFD700; padding: 20px;"><h1>Limited</h1></div>	<p>MANAGEMENT SUMMARY</p> <p>Based on objectives tested (See Appendix 1), whilst there is basically a sound system of control, there are weaknesses in the system that leaves some risks not addressed and there is evidence of non-compliance with some key controls.</p> <p>Recommendations have been made to improve processes, support the achievement of service objectives and the management of risk. These are set out in section 3.</p>						
<p>AREAS OF PARTICULAR CONCERN</p> <p>At the time of the audit the findings determined that there were no areas of particular concern.</p>	<p>RECOMMENDATION RISK RATING</p> <table border="1" data-bbox="1234 1034 1771 1177"><tr><td style="background-color: red; color: white; text-align: center;">High</td><td style="background-color: yellow; text-align: center;">Medium</td><td style="background-color: lightgreen; text-align: center;">Low*</td></tr><tr><td style="text-align: center;">1</td><td style="text-align: center;">8</td><td style="text-align: center;">0</td></tr></table>	High	Medium	Low*	1	8	0
High	Medium	Low*					
1	8	0					

³ In accordance with PSIAS Code of Practice for Internal Audit in Local Government

Management Summary – CORE GROUPS

An audit review commenced⁴ in November 2017, to provide an opinion on the risk, governance and control environment for the Core Groups process and to contribute to the service areas objectives and improvement of processes. This Internal Audit opinion will contribute to the Annual Internal Audit opinion which informs the Council’s Annual Governance Statement.

We would like to thank all staff who provided support and assistance during the audit.


<p>AUDIT OPINION</p> <div style="text-align: center; margin-top: 100px;">  <p>Limited</p> </div>	<p>MANAGEMENT SUMMARY</p> <p>Based on objectives tested (See Appendix 1), whilst there is basically a sound system of control, there are weaknesses in the system that leaves some risks not addressed and there is evidence of non-compliance with some key controls.</p> <p>Recommendations have been made to improve processes, support the achievement of service objectives and the management of risk. These are set out in section 3.</p> <p>8 recommendations were made in the previous 2016-17 audit, 4 of which have been reiterated, these have been highlighted as reiterated against individual recommendations made in section 3.</p> <p>We would like to take the opportunity to thank the Team Managers for their time and co-operation with the testing undertaken for this audit. These Managers took the time to explain minutes and reports in detail, and were open and accepting to all comments made by the auditor. It was also noted that although 2 of the Team Managers were new to their posts they were very knowledgeable in the processes which should be followed, which will in turn assist with the improvement of this grade</p>						
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High	Medium	Low*					
2	6	0					

⁴ In accordance with PSIAS Code of Practice for Internal Audit in Local Government

Management Summary – MY OPTIONS COMFORT FUNDS

An audit review commenced⁵ in January 2018, to provide an opinion on the risk, governance and control environment for My Options Comforts Funds and to contribute to the service areas objectives and improvement of processes. This Internal Audit opinion will contribute to the Annual Internal Audit opinion which informs the Council's Annual Governance Statement.

We would like to thank all staff who provided support and assistance during the audit.

<p>AUDIT OPINION</p> <div data-bbox="123 550 943 778" style="text-align: center;"><p>Limited</p></div>	<p>MANAGEMENT SUMMARY</p> <p>As part of the testing for this audit four comforts funds were reviewed: Lakewood Court Wellbeing Centre Skills & Enterprise Hub Southwood</p> <p>Based on objectives tested (<i>See Appendix 2</i>), there is a sound system of control but there is evidence of non-compliance with some of the controls.</p> <p>Recommendations have been made to improve processes, support the achievement of service objectives and the management of risk. These are set out in section 3</p>						
<p>AREAS OF PARTICULAR CONCERN</p> <p>At the time of the audit the findings determined that a particular area for concern was that there was no access to a bank account which contained a significant amount of funding which had been donated for the benefit of customers of the service area.</p>	<p>RECOMMENDATION RISK RATING</p> <table border="1" data-bbox="1234 1134 1771 1278"><tr><td style="background-color: red; color: white; text-align: center;">High</td><td style="background-color: yellow; text-align: center;">Medium</td><td style="background-color: green; text-align: center;">Low*</td></tr><tr><td style="text-align: center;">4</td><td style="text-align: center;">9</td><td style="text-align: center;">6</td></tr></table> <p><i>*See advisory points on Appendix 1</i></p>	High	Medium	Low*	4	9	6
High	Medium	Low*					
4	9	6					

⁵ In accordance with PSIAS Code of Practice for Internal Audit in Local Government

Management Summary – CRUDGINGTON PRIMARY SCHOOL

An audit review commenced⁶ on 7th March 2018, to provide an opinion on the risk, governance and control environment for Crudgington Primary and to contribute to the schools objectives and improvement of processes. This Internal Audit opinion will contribute to the Annual Internal Audit opinion which informs the Council’s Annual Governance Statement.

We would like to thank all staff who provided support and assistance during the audit.

<p>AUDIT OPINION</p> <div style="text-align: center; border: 1px solid black; border-radius: 15px; background-color: #FFD700; padding: 20px; width: fit-content; margin: 0 auto;"> <p>Limited</p> </div>	<p>MANAGEMENT SUMMARY</p> <p>Based on objectives tested (<i>See Appendix 2</i>), Whilst there is basically a sound system of control, there are weaknesses in the system that leaves some risks not addressed and there is evidence of non-compliance with some key controls.</p> <p>Recommendations have been made to improve processes, support the achievement of service objectives and the management of risk. These are set out in section 3</p>						
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High	Medium	Low*					
0	17	3					

⁶ In accordance with PSIAS Code of Practice for Internal Audit in Local Government