

National Office Provider Financial Assurance (NOPFA) Team

Electronic Records Project

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Background



Leading learning and skills

- **Historically, for audit purposes, LSC placed reliance on original documents that have been hand signed using a pen and ink.**
- **Several working groups have looked at e signatures and concluded that risks too great.**
- **Summer 2008, National Employer Service (NES) raised a business case to pilot electronic records and received authority to proceed.**

Background



Leading learning and skills

- NES and NOPFA engaged with PWC to develop the Paperless Systems Framework (PSF).
- PSF set out standards to be met for LSC to be able place reliance on electronic records.
- Two employers agreed to take part in pilot of the PSF.

Background



Leading learning and skills

Working with pilot employers, an audit process for assessing employer systems was developed and continues to evolve.

Process built on PWC training and embraced BS 10008 (2008)

There are others, ISO 27001/2, CISMP and the Information Systems Audit and Control Association (ISACA) standard.

Background



Leading learning and skills

Authority sought for all NES employers to go electronic if they want to, providing systems meet LSC accountability standards

Authority sought for scanning pilot (currently underway)

Authority sought for general provider pilot (now underway with 13 organisations engaged)

Assessment Process



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All organisations are different. Golden rule is forget electronic/paper myth, what counts is relevant, reliable and robust evidence.

Change in emphasis from original signed documents to placing reliance on the strength of the information security management system (ISMS)

Assessment Process



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- **Scoping meeting**
- **Completion of self assessment tool – Electronic Platform Controls Risk Assessment (EPCRA)**
- **Desk top review of EPCRA, resolve issues.**
- **Arrange visit to carry out compliance tests**

Assessment Process



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- Risk assess ISMS on the evidence gathered
- If reliance can be placed issue initial monitoring (IMV) report giving an unqualified opinion on controls
- Organisation runs e records and manual systems in parallel for approximately three months
- Follow up visit after three months to carry out compliance & substantive tests

Assessment Process



Leading learning and skills

- If test results are satisfactory, flying solo
- Audit within twelve months
- Normal PFA risk assessment process.
- After the pilot phase, allowing employers and providers to arrange their own certification being considered.

The Information Management Environment

- information management;
- information security
- records management and
- data protection.

Operating an Electronic Learning System (ELS)

- access rights and controls
- information capture
- information storage
- information transfer
- compliance with LSC funding requirements; and
- back-up and recovery procedures.

Monitoring, Maintenance and Improvement

- internal audit
- management reviews
- maintenance and monitoring arrangements; and
- continual improvement processes

Any Questions?