

## IdentiTrip FAQ's

LCC Internal Audit comments are included below in red type.

- What security measures will be in place re the laptop / pc? Will it be held in a secure location when not in use? Are details uploaded to the schools computerised system or does it all get actioned on the laptop? What controls will be in place to ensure there is sufficient memory to hold all the information? Will backups of information be prepared? Frequency of backups? If the laptop 'stops working' what other procedures will be operated?

As long as a backup of the system has been performed then your service agreement covers reinstallation of the system to recover a failed laptop/desktop. Backups should be taken at regular intervals, however a hard copy audit trail and electronic audit trail are stored for disaster recovery.

- Each student registers on the system initially with a scanned fingerprint and / or photo
- Later in your notes it says the finger image isn't stored. Therefore how can checks be made to individual pupils? What checks are made to ensure all pupils are captured on the system? What about pupils starting during the term? How are pupils removed once they leave the school? How will details of their payments be retained?

The software automatically generates a "tick" along side the pupils name when they are captured on the system. Pupils can be added manually during the term and can be removed when they leave school. The system generates an audit trail of all payments which is contained within a backup file.

The finger print is not stored. A template is produced with approximately 16 key features from the fingerprint. This template is unique to the specific finger and cannot be regenerated from this template.

- Single transactions take 8-10 seconds to enter
- What happens where the system doesn't recognise the fingerprint? What if the system links it to an incorrect pupil? Will there be built in checks to enable verbal confirmation with the pupil that they are paying for a certain event during the transaction entry?

Manual override is available, common sense checks while performing transactions are sufficient to ensure all data is correct.

If the photograph element of the system is utilised then this can also act as a double check against identity.

- A receipt is issued for every deposit
- When are the receipts prepared? How will they be issued to pupils? Is there a record of receipt numbers maintained on the system to utilise for audit check purposes? Is the receipt issued during the transaction period of 8-10 seconds? What happens when the receipting machine breaks down?

Receipts are generated within the transaction timescale. Receipts are issued to pupils during the transaction. We would suggest that receipts are stored initially with the deposits, once the transaction report is generated for banking the receipts get attached to that report and are stored securely.

The receipt printer is covered by the service contract. Should a new printer be required then delivery is up to 3 days from order.

- Reports can be issued for teaching staff organising trips at the touch of a mouse showing who has paid what, so that outstanding payments can easily be chased up
- (If need be, teachers / support staff can also be registered to deposit money)

### Advantages

- No more money collecting for teachers – workforce reform issues resolved.
- All teachers need to do is let us know which students are involved in the event, and the likely cost for set up purposes. Cheque requests remain the same.
- **Huge** time saving for – no hand written ledgers, no daily cash book, automatic daily reconciliation, one banking a day, no envelopes to open, no visits from teachers ‘paying in’..., no more emptying coin bags, brown envelopes and manually updating form lists, no more endless spreadsheets. Time spent administering the school fund would reduce to around one and a half hours a day. Currently updating records manually and counting cash ad hoc probably takes an average 3 hours a day, often more. Bear in mind the annual turnover of the fund is nearly £500,000. Reconciliation takes a full day a month. Preparing the annual statement of account takes longer than that.
- **How will refunds and amendments be actioned? What procedures will be in place when cash/cheques collected do not agree to amount the system says has been receipted? Procedures will still be required for independent reconciliations, etc. It would be appropriate for a minimum of three members of staff to be able to fully utilise the system to allow for staff sickness, etc.**

We are happy to train 3 people (further training comment below)

Refunds are stored in the same way as payments, receipts are automatically produced. The system forces a double check against the amount entered. We have encountered no incorrect entries being captured to date.

- I am assured that an audit trail is built in.
- **What is included within the audit trail?**
- Two reports are available:
- Transaction Report (Specific To Trip) Between Any Dates Showing:
  - Transaction Number
  - Pupil Name
  - Transaction Date
  - Refunds
  - Cash Deposit
  - Cheque Deposit
  - Cheque Number
  - Totals
 Further Information Regarding DD's is available

Account Balances (Specific To Trip) Report Showing:

- Trip Name And Date
- Pupil Name
- Class
- Year Group
- Current Balance
- Amount Outstanding

Receipts Are Also Generated For Each Transaction Showing:

Unique ID  
Date & Time  
Trip  
Pupils Name  
Class  
Cost of Trip  
Paid Already  
Deposits Today  
Total Paid  
Amount Outstanding  
Cheque Number if Applicable

Payment History:

This facility is available on each students account page and is specific for each trip / money collection activity. The history shows payment dates, deposit / refund type (cash / cheque)

All reports can be generated from the system at any time. Sensible protocol is to produce and save transaction reports on the day of banking and archive, also to archive account balances reports either when requested or on trip completion. Two separate audit trails are then stored digitally with receipts acting as the hard copy back. Alternatively you may print and store the reports if required.

- **What about the sensitivity of information? Will there be a requirement for some information to be encrypted?**
- I have contacted a school in Manchester (Ashton on Mersey) who have used the system for some time, and they have invited me to go and have a look. They are very enthusiastic about the system. To date no Leeds schools use the system, though several in Manchester do. Pinecone are now canvassing in Leeds.
- **It is strongly recommended that you see the system in operation, and discuss any concerns they have with the system, prior to committing to this.**
- The cost is £1,750 for the initial installation, which includes training, fingerprint scanner, receipt printer and a helpline. Thereafter annual maintenance is £250. Laptop cost estimate £600.
- **Will there be a detailed specification prepared relating to the level of training provided / expected? May additional expenditure be incurred here? Will a laptop be capable of undertaking these functions?**
- Training to date has incurred a maximum of 4 hours. Our commitment is to train as many people as is required (your requirement of 3 people is standard). Should further training be required then we are happy to provide it. We make this commitment in the knowledge that the systems simplicity dictates that training requirements will not be oppressive. Telephone support / training is available constantly as part of the service agreement.

### **Disadvantages**

- Need to check that there are no data protection issues relating to the finger scanner. Apparently the finger image isn't stored. Pinecone says there are no issues. All of the data held on students is password protected. I will check with internal audit.

### **Overall**

We strongly recommend that we buy into Identitrip. If we could install the system during August, then we could register all the students during the first week of September. The school fund account cycle works on the academic year, not financial year.

We look forward to your comments.

Many thanks