

## High Importance Recommendations

<u>Audit Title (Director)</u>	<u>Summary of Finding and Recommendation</u>	<u>Management Response</u>	<u>Action Date (by end of)</u>	<u>Confirmed Implemented</u>
Reported September 2015				
SEN Transport risk assessments (E&T)	<p>The Department requested an audit of the risk assessment processes applied to transporting children with SEN. The audit found a range of issues around: -</p> <ol style="list-style-type: none"> <li>1. risk assessments including a high proportion of a sample that hadn't been completed, inconsistent processes and reactive follow up reviews</li> <li>2. not always linking travel care plans (key points on how to manage the identified risks) to transport eligibility assessment forms</li> <li>3. inadequate training records for transport escorts.</li> </ol> <p>Recommended: -</p> <ol style="list-style-type: none"> <li>1. completing risk assessments within an agreed time limit</li> <li>2. documenting processes for undertaking risk assessments and the completion of associated information to ensure consistency</li> <li>3. maintaining improved training records with regular reviews</li> </ol>	<p>Agreed</p>          <ol style="list-style-type: none"> <li>1. completion now being monitored</li> <li>2. to be included in the transport review being undertaken by consultants</li> <li>3. agreed</li> </ol>	March 2016	

Reported June 2015				
Resource Allocation System (E&T)	<p>An audit of the new Resource Allocation System (vehicles and plant) for highways work revealed that standing data was incomplete, there were delays in recording allocations and other key information and there was not any management information.</p> <p>Recommended: -</p> <ol style="list-style-type: none"> <li>1. Processes and training should be reviewed and revised</li> <li>2. Information should be produced on a frequent basis and reviewed by management</li> </ol>	<p>Agreed and actions already in place including internal audit stock checks</p> <p><b>11/15 - Good progress has been made to develop robust reporting but compliance can't be tested until re-structure is concluded.</b></p>	<p>Originally July 2015</p> <p>Extend to Oct. 2015</p> <p><b>Extend to Jan 2016</b></p>	