High Importance Recommendations

Audit Title (Director)	Summary of Finding and Recommendation	Management Response	Action Date (by end of)	Confirmed Implemented
Reported September 2015				
SEN Transport risk assessments (E&T)	The Department requested an audit of the risk assessment processes applied to transporting children with SEN. The audit found a range of issues around: - 1. risk assessments including a high proportion of a sample that hadn't been completed, inconsistent processes and reactive follow up reviews 2. not always linking travel care plans (key points on how to manage the identified risks) to transport eligibility assessment forms 3. inadequate training records for transport escorts. Recommended: - 1. completing risk assessments within an agreed time limit 2. documenting processes for undertaking risk assessments and the completion of associated information to ensure consistency 3. maintaining improved training records with regular reviews	Agreed **2/16 – a detailed update (due to be reported to DMT) provides assurances there has been significant progress against implementing all of the recommendations.**	March 2016 **Apr 2016 - IAS to re-test the improvements are embedded in time to report to May Committee.**	

Reported June 2015				

Resource Allocation System (E&T)	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.
	
	Recommended: -
	    1. Processes and training should be reviewed and revised
	    2. Information should be produced on a frequent basis and reviewed by management
		Agreed and actions already in place including internal audit stock checks
		
		2/16 – Whilst improved reporting has been designed and implemented, data quality issues remain. These may not be fully resolved until support posts are filled in the overall restructure.
			Originally July 2015
			
			Extend to Oct 2015; Jan 2016
			
			Review position in June 2016 – but likelihood improvements won't be finalised until September.	