

High Importance Recommendations at 12 January 2018

<u>Audit Title (Director)</u>	<u>Summary of Finding(s) and Recommendation(s)</u>	<u>Management Response</u>	<u>Action Date (by end of)</u>	<u>Confirmed Implemented</u>
Reported April 2018				
Iveshead school (C&FS)	<p>A full review was undertaken of the School's financial systems and procedures and a review of the internal controls in place following the merger of Hind Leys College and Shepshed High School, given the significant deficit held by the School. This audit was specifically commissioned by the local authority to give assurances, or otherwise, regarding the School's financial systems and processes.</p> <p>A number of improvements required with some high risk issues to be addressed.</p>	<p>The School devised an action plan which was approved by the governing body on March 6th.</p> <p>The Corporate Resources Finance Business Partner has increased the frequency of monitoring and continues to check progress on the HI recommendations.</p>	June 2018	

Reported January 2018				
Office Safes (A&C)	<p>An investigation into the potential misuse of a service user's funds identified that the employee under suspicion had been able to deposit a large sum of cash into an area office safe, with no evidence of questions asked nor checks undertaken and no record of the deposit. The safe also contained cash and other valuable items held on behalf of service users which are not covered by the LCC insurance policy. Visits to other sites revealed similar with improvements required for controlling access and recording contents.</p> <p>The Department had previously identified gaps in its management of service user's personal property, including that in safes and had instigated a multi-function working group to review and improve practice and put into place a policy. Recommended that finalisation of the policy should be expedited and rolled out to Area Offices regarding safes and contents. Unannounced follow up audit visits will take place.</p>	<p>Agreed</p> <p><b>Policy issue is imminent. Allow time for practice to embed before unannounced follow up internal audit visits and report to July Committee.</b></p>	<p>March 2018</p> <p><b>Extend to end of June 2018</b></p>	

Reported September 2017				
Direct Payments (A&C)	<p>Signed copies of Direct Payment (DP) Card Agreements could not be located for two service users, from a sample of seven that had transferred from cash payments to direct payment cards. The absence of an up to date agreement could cause the Council problems if any misuse, other breaches or disputes arise.</p> <p>Recommended that an up-to-date signed DP card agreement should be obtained for all service users who have transferred from cash payments to DP Cards.</p>	<p>Agreed.</p> <p><b>The responsibility to ensure that all service users have DP Card Agreements has transferred to another manager but progress continues to be made. Internal Audit Service will re-test the position in time to report to the July Committee</b></p> <p><b>The audit of ‘alerts’ and other key reports is concluded and a draft report has been issued showing that good progress has already been made.</b></p>	June 2018	

Reported Sept 15				
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> <ul style="list-style-type: none"> <li>-</li> <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> </ul> <p>Recommended: -</p> <ul 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> </ul>	<p>Agreed - Assurances on progress received from E&amp;T throughout 2016 and 2017. An auditor conducted more testing in January 2018.</p> <p><b>The backlog of outstanding SEN risk assessments was completed (on schedule before the end of January). The situation with in year transitions and new starters is comfortable, with risk assessments generally being completed within 5 working days outside of the summer peak workload.</b></p> <p><b>A review of the backlog of outstanding Social Care transport risk assessments commenced at the end of January and is progressing swiftly and currently stands at 28% completed (130 out of 458 total). Where operational concerns relate to a service user without a risk assessment, there is an established process to escalate concerns resulting in a risk assessment being completed as a priority.</b></p> <p><b>Sickness absence is being managed and recruitment is in progress for an additional temporary resource to safeguard the progress that has been made with both SEN and Social Care.</b></p>	<p>Originally March 2016</p> <p>Extended to: - September 2016; October 2016; January 2018; March 2018</p> <p>Risk added to Corporate Risk Register September 2017.</p> <p><b>Risk removed from CRR April 2018</b></p>	<b>Yes</b>