

High Importance Recommendations at 22 April 2022

<u>Audit Title (Director)</u>	<u>Summary of Finding(s) and Recommendation(s)</u>	<u>Management Response</u>	<u>Action Date (by end of) &amp; extensions</u>	<u>Confirmed Implemented</u>
Reported May 2022				
SEND Overpayments (Children and Family Services)	<p>Two recommendations were made</p> <ul style="list-style-type: none"> <li>• There should be a comparison of census data to Education Health and Care Plan (EHCP) funded and Intervention Funding pupil data from the 2018/19 financial year onwards to identify further over/underpayments</li> <li>• The data comparison exercise should be repeated after each termly census submitted.</li> </ul>	Both recommendations agreed	March 2022	In process of obtaining confirmation
Surveillance and CCTV Audit (Consolidated Risk)	<p>Three recommendations were made: -</p> <ol style="list-style-type: none"> <li>1. Contracts for Surveillance and CCTV installations need to be located and reviewed.</li> <li>2. ISRA's and DPIAs should be completed for all surveillance and CCTV installations.</li> <li>3. Site visits/audits should be undertaken to determine compliance with the SCC Code of Practice and LCC CCTV Policies.</li> </ol>	All three recommendations have been agreed	July 2022	Report issued March 2022. Progress will be reported at the next Committee
Disaster Recovery (Consolidated Risk)	<p>Three recommendations were made: -</p> <ol style="list-style-type: none"> <li>1. A Disaster Recovery Plan should be developed</li> <li>2. A Disaster Recovery Test Strategy should be developed</li> <li>3. Resiliency testing of key applications should be planned and undertaken as soon as possible</li> </ol>	All three recommendations have been agreed	Immediate (dates will be provided but is dependent on background work that needs to be undertaken)	Report issued March 2022. Progress will be reported at the next Committee

Reported June 2021				
Travel, Subsistence and Related Allowances (COVID-19 related changes) (Consolidated Risk)	<p>No individual HI recommendations, but collective control weaknesses resulted in a partial assurance rating.</p> <p>Recommendations covered:</p> <ul style="list-style-type: none"> <li>Aligning temporary instructions with policy</li> <li>Accuracy of reporting and receipt evidence</li> <li>Authorisation process</li> </ul>	Testing currently being undertaken	<p>June 2021 July 2021 November 2021</p> <p>Extend to June 2022</p>	
Reported July 2020				
ICT Externally Hosted Contracts (Consolidated risk)	<p>Three HI recommendations were made: -</p> <ol style="list-style-type: none"> <li>1. Confirm the circumstances of the contract before deleting records</li> <li>2. Conduct an audit to determine whether valid contract are in place</li> <li>3. Decide whether original (signed) contracts should be held centrally.</li> </ol> <p>Recommendations have been expanded to cover the wider contracts database</p>	<p><b>2.</b> ICT contracts are still being recorded on MARVAL. Further checks to ensure those (under £25K) are being recorded in the register.</p> <p><b>3.</b> Still to be discussed with legal whether contracts are to be held centrally. Toolkit further delayed until end of this calendar year.</p>	<p>September 2020 December 2020 March 2021 June 2021 July 2021</p> <p>Extend to June 2022</p>	2&3 - not determined at the time of going to print