

High Importance Recommendations at 12 January 2024

<u>Audit Title (Director)</u>	<u>Summary of Finding(s) and Recommendation(s)</u>	<u>Management Response</u>	<u>Action Date (by end of) & extensions</u>	<u>Confirmed Implemented /No longer applicable</u>
January 2024				
Children & Family Services – Maplewell School	Recommended that minibus driver’s licences should be checked annually to ensure that the drivers hold a valid licence.	Agreed. Evidence of this was followed up in October 2023. A record of driver licence checks was provided. A sample of licences were reviewed to confirm the recommendation had been implemented. No issues identified.	October 2023	Yes
Reported September 2023				
Highways works - Bond Reimbursement (Environment & Transportation)	<p>There is no proper process for reconciling information from Oracle, agrees with independent records maintained by the service.</p> <p>Recommended</p> <p>A record of bonds should be maintained within the Service area. Responsibility for reconciling records should be assigned to a suitable individual, who should undertake regular reconciliations.</p>	<p>A record of bonds has now been established by the Service area. Responsibility for quarterly reconciliations has been assigned to an Assistant Accountant within the Finance Analysis and Information Team. The first reconciliation is due to be completed in January 2024, for the quarter ended December 2023. A further review will be completed by Internal Audit Service to confirm reconciliations are completed quarterly.</p> <p>Discussions around the possibility of an online payment system to reduce the number of payments still made by cheque or by BACS is a potential improvement, but not a necessity in relation to the recommendation.</p>	<p>October 2023</p> <p>Extend to February 2024</p>	

		Whilst this will be pursued by the relevant staff, no further audit follow up will be undertaken.		
Reported May 2022				
SEND Overpayments (Children & Family Services)	<p>Two recommendations were made</p> <ol style="list-style-type: none"> 1. 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 2. The data comparison exercise should be repeated after each termly census submitted. 	<p>Due to the change in the information system used and additional resource that would be required to implement both recommendations, and with the agreement of the Assistant Director (Finance, Strategic Property & Commissioning), testing of high needs payments to schools during 2022/23 was undertaken. The audit concluded that data quality issues remained which led to overpayments of funding to schools. The Finance Business Partner confirmed these have been recovered.</p> <p>The finance workstream of the Transforming SEND in Leicestershire programme covers a number of data quality issues that have led to either potential or confirmed overpayments. Two products have been designed as part of the programme to meet the data quality challenges. These products were rolled out in November 2023.</p>	<p>March 2022 March 2023 June 2023</p> <p>Extend to October 2023</p>	<p>Yes - No longer applicable</p> <p><i>NB: Internal Audit Service testing of the two new products will feature in the 2024/25 Audit Plan.</i></p>

<p>Surveillance and CCTV Audit (Consolidated Risk)</p>	<p>Three recommendations were made: -</p> <ol style="list-style-type: none"> 1. Contracts for Surveillance and CCTV installations need to be located and reviewed. 2. Information Security Risk Assessments (ISRAs) and Data Protection Impact Assessments (DPIAs) should be completed for all surveillance and CCTV installations. 3. Site visits/audits should be undertaken to determine compliance with the SCC Code of Practice and LCC CCTV Policies. 	<p>All three recommendations are being progressed; however, these have not yet been completed: -</p> <ol style="list-style-type: none"> 1. Contracts are still being located but may have to wait for the new contract covering the majority of the sites to be signed this year. The current contract comes to an end in April 2024. 2. ISRAs and DPIAs are in hand and these are expected to be signed off within the deadline stated within the previous report. 3. The self-assessments have been piloted and there have been no issues. The Information Governance Team will be looking to extend this to all sites as it will work better for costs and timings for them to be completed in this way. <p>A member of the Information Governance Team who was actively involved with the work has left the Authority. The Data Protection Officer is now overseeing the implementation of the above three recommendations.</p>	<p>Extended to April 2024</p> <p>February 2024</p> <p>April 2024 (dependent on how quickly sites come back with a response)</p>	
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