

High Importance Recommendations at 31 October 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) &amp; extensions</u>	<u>Confirmed Implemented/ No longer applicable</u>
Reported December 2024				
Disclosure & Barring Checks – Transport Services  (Environment & Transport)	<p><b>Finding</b></p> <p>Regarding both the BB4 (large vehicles) and SV5 (small vehicles) Dynamic Purchasing System (DPS) frameworks, the Service acknowledges there is significant room for improvement in that there is no definitive list of which drivers are working on which contracts. Whilst ‘crew lists’ are held for each provider, detailing the staff working for them, this information does not extend to matching drivers to routes / contracts.</p> <p><b>Recommended</b></p> <p>IAS is supportive of the Service’s proposed move to a regular data collection process from providers, subject to the process being proportionate and manageable. A timeframe should be established for its introduction. Information collected through the new process should be used proactively by the Contracts and Compliance Team for effective contract monitoring, including spot checks.</p>	<p>Agree with IA comments that this needs to be proportionate and serviceable. On routes where there are specific training requirements or specific sensitivity, it is appropriate to list and record the driving crew working on these contracts but as a blanket approach is unnecessary as standard terms and conditions require DBS clearance for both PAs and drivers, creating further restrictions which may create operational and cost issues for the service.</p> <p>This, and the other (non-priority) audit recommendations, has been escalated to the Transformation Unit for consideration as part of the Service’s wider Safeguarding transformation work. This will be implemented by March 2025.</p>	March 2025	

Reported May 2024				
Worthington, Newbold CE, Witherley CE and Hose CE Primary Schools  (Children & Family Services)	For each, the multi-year budget forecast plan indicated that the school is predicted to be in a deficit situation from either 2023-24 or 2024-25 onwards.  Recommended  Contact should be made as a matter of priority with the Education Finance Team, in order that a deficit plan can be formally agreed.	<b>Requests have been submitted to the DfE for School Resource Management Advisors (SRMAs) for Newbold CE and Witherley CE. These are with the DfE within their allocation methodology.</b>  <b>The Business Partner Team is working within both Children &amp; Family Services and Corporate Resources to identify potential actions and solutions.</b>	June 2024 November 2024  <b>Extend to March 2025</b>	
Reported September 2023				
Highways works - Bond Reimbursement  (Environment & Transport)	There is not a proper process for reconciling information from Oracle agrees with independent records maintained by the service. Recommended 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.	<b>The reconciliation record combines information from both Finance and the Department on one spreadsheet with different tabs for each. Whilst both service areas can view records for each other, password controls have been put in place for each area to prevent inadvertent amendments and to maintain independence.</b>  <b>Further testing was undertaken by Internal Audit, which confirmed that adequate controls are now in place and working correctly.</b>	October 2023 February 2024 May 2024 September 2024	<b>Yes</b>
Reported May 2022				
Surveillance and CCTV Audit  (Consolidated Risk)	Three recommendations were made: -	All three recommendations continue to be progressed; however, these have not yet been completed: -		

	<ol style="list-style-type: none"> <li>1. Contracts for Surveillance and CCTV installations need to be located and reviewed.</li> <li>2. Information Security Risk Assessments (ISRAs) and Data Protection Impact Assessments (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>	<ol style="list-style-type: none"> <li>1. <b>The historic contract has been obtained and an extension will be sought incorporating existing sites.</b></li> <li>2. <b>ISRAs have been drafted and to be signed off following feedback from key Stakeholders. Once feedback has been given and the ISRAs will be finalised. This should all be completed by December 2024.</b></li> <li>3. The responses to the self-assessments have been slow in being returned. IGT will be reminding the remaining teams to complete the questionnaire. <b>Teams are still being chased but a table merge of information is to be finalised and sent out to try and speed up the process.</b></li> </ol>	<p>Various dates before October 2024</p> <p><b>Extend to December 2024</b></p> <p>Various dates before September 2024</p> <p><b>Extend to December 2024</b></p> <p>Various dates before September 2024</p> <p><b>Extend to December 2024</b></p> <p>(dependent on how quickly sites come back with a response)</p>	
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