

High Importance Recommendations – Position at 5th July 2023

<u>Audit Title (Owner)</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 July 2023				
CCTV Head of Standards & Development	<p>Three High Importance recommendations were raised in this report:</p> <ol style="list-style-type: none"> 1. A decision needs to be made on how the standalone CCTV installations can be captured. and how these should be recorded and managed 2. Compliance reviews should be undertaken on the standalone CCTV installations. 3. Guidance should be developed for Business Risk Owners on the correct processes to follow when procuring a new CCTV system. 	<ol style="list-style-type: none"> 1. A corporate working group to be established for all Data owners across the council. This group will co-ordinate the audit actions and decide the best methods of centralising the data owner information 2. to be decided as part of the CCTV working group 3. to be developed as part of Corporate CCTV Working Group 	Dec 23	
Reported March 2023				
Inglehurst Infant School (Headteacher)	<p>One high importance recommendation was made in the report relating to the schools’ budget deficit position.</p> <p>Finding: The 2022/23 budget forecast plan showed that the school was predicting an in-year deficit of £132,847 and an overall carry forward deficit of £49k; 2023/24- £137,635 (deficit) and followed by 2024/25 - £245,032 (deficit).</p> <p>Recommendation: The Governing Body should work closely with the school and the Local Authority to ensure that the deficit budget plan (when in place) is followed to ensure that the school’s finances are strictly in line with agreed plan</p>	The school will be transferring to the Attenborough Learning Trust on 1st July 2023. The deficit balance (£110,000) will not transfer with the school to the Trust.	<p>January 2023</p> <p>Extend to April 2023</p>	Yes

<p>Construction Projects (CDM Compliance)</p> <p>Corporate Health & Safety Manager</p>	<p>Finding: Some arrangements exist for the review of project compliance with CDM requirements; however, there isn't a central team/resource in place to provide overall, independent oversight in accordance with a formal strategy and central listing of all capital projects.</p> <p>Recommendation: An appropriate and experienced officer should review the existing arrangements for CDM compliance and ensure that clear, aligned approach for the on-going assessment of CDM compliance across the Council is documented in a CDM compliance strategy. This strategy should be referenced to a suite of supporting procedures as well as a central database that identifies all capital projects, identifying compliance requirements and details of evidenced assessment. Once approved, it should be ensured that the CDM compliance strategy is appropriately communicated.</p>	<p>The Corporate Health & Safety Manager has completed a review of governance arrangements for CDM compliance. Senior management oversight of the revised governance structure will be provided by the Strategic Director of City, Development and Neighbourhoods. A CDM Compliance Strategy was agreed at the May 2023 meeting of the City, Development and Neighbourhood's (CDN) DMT and supporting activities are now taking place to ensure that the new governance arrangements are fully introduced. As at the end of June 2023, the register of 'live' notifiable projects had been populated and it is expected that Management Information (MI) reporting will be presented to the next meeting of the CDN DMT to support their review of Quarter 1 (2023/24) activity. To allow the reporting and review by the CDN DMT to be confirmed, the target date for completing the action has been extended to the end of August 2023.</p>	<p>Jun 2023 Extend to Aug 23</p>	
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<p>St John the Baptist Primary School (Headteacher)</p>	<p>The report included a number of recommendations of which five were high importance recommendations.</p> <ol style="list-style-type: none"> 1. The school's Standards for Financial Administration Policy should be updated and ratified by the Governing Body. 2. Outturn statements and budget revisions should be presented and approved by the Governing Body prior to them being submitted to the Local Authority. 3. The School Improvement Plan and Annual Budgets should be formally presented to the Governing Body, discussion and approvals of this should be clearly minuted. 4. Payroll tabulation reports should be reconciled each month against the school's staffing and pay documentation; previous period reconciliations should be brought up to date. 5. Audit testing identified discrepancies on payroll tabs - recommendation made to ensure staff members' personnel records on SIMS.net are kept up to date with any changes to staff contracts including changes in the pay scales 	<p>Internal Audit have undertaken a follow-up of all the high importance recommendations. The school has responded positively and provided evidence to confirm that all these recommendations have now been implemented.</p>	<p>January 2023</p> <p>Extend to April 2023</p>	<p>Yes</p>
<p>Bed & Breakfast Emergency Placement (Head of Service - Housing)</p>	<p>One high importance recommendation was made.</p> <p>Findings: Audit testing identified a number of service charges for booking hotels and breakfast charges, which were considered to be incorrectly charged as per the contract.</p> <p>Recommendation: Advice should be sought from Legal Services to establish exactly what charges the Council should be legitimately paying as per the contract. Following this advice, any charges that are considered to be overcharges should be promptly recovered.</p>	<p>Legal Services have now clarified what is chargeable and non-chargeable fees for bookings. Management have confirmed that all charges presented, have been reconciled and approved by a Senior Manager.</p> <p>Internal Audit will be undertaking follow-up testing to confirm implementation of the recommendation.</p>	<p>Dec 2022 Mar 23</p> <p>Extend to Aug 23</p>	

<p>Emergency Repairs (Head of Service - Housing)</p>	<p>One High Importance Recommendation was made.</p> <p>Finding : Reviews of emergency repair jobs do not regularly take place to confirm that issues have been appropriately evaluated as emergencies and that emergency repair work has been appropriately completed and recorded.</p> <p>Recommendation : A programme of evidenced, sample-based reviews of emergency repair activity will be introduced. The information required to support the programme of sample-based reviews will be agreed as readily available with the third party responsible for out-of-hours call handling services. Where issues are identified through the review process, appropriate action will be taken (e.g. the provision of additional training and guidance; the correction of recorded data).</p>	<p>Management have confirmed that a programme of sample-based reviews of emergency repair activity has been introduced, which will take place on an evidenced, quarterly basis (and follow the first sample-based review that took place in April 2023). Information to support the programme of sample-based reviews is obtained from the provider of out-of-hours call handling services and where issues are identified, appropriate action is agreed and completed, e.g. the provision of additional training and guidance. Internal Audit have reviewed the evidence of management checks undertaken in April 23 and can confirm implementation of this recommendation.</p>	<p>Mar 2023</p>	<p>Yes</p>
<p>Reported November 2022</p>				
<p>Direct Payments (Head of Locality East and SRCT)</p>	<p>The audit highlighted weakness in the annual review process. One high importance recommendation was made:</p> <p>Annual reviews of the support plans should be undertaken to establish whether the needs of the person on Direct Payments had changed and the Direct Payments remained appropriate.</p>	<p>Management are still in the process of recruiting for the Care Management Officers positions across the service areas to tackle the overdue reviews. The ones who have been recruited are dealing with the oldest reviews 24 months + and management will be stratifying the risks with the further data segmentation. Whilst management wants the most out of date reviews</p>	<p>Jan 2023 Jun 2023</p> <p>Extend to Dec 2023</p>	

		<p>completing they are also committed to the Strength Based approach. Therefore, the reviews position is a risk, but that is balanced against the risk of simply reviewing and maintaining the status quo. Internal Audit will be undertaking a follow-up review of the risk based approach that management have introduced.</p>		
Reported Sept 2022				
Key ICT Controls (2020-21) (Head of IT Operations)	<p>The audit identified a number of weaknesses, three high importance recommendations were made in the report:</p> <ol style="list-style-type: none"> 1. Adequate Disaster Recovery (DR) governance arrangements should be established. 2. A High-level Disaster Recovery Test Strategy should be developed with lower-level assessments being undertaken for individual DR tests as they are planned. 3. Resiliency testing of the network and key applications should be planned and undertaken as soon as possible 	<ol style="list-style-type: none"> 1. Governance Arrangements for Disaster Recovery arrangements have been established and approved by the Architecture Board on 25th May 2023. 2. A Digital & Data Technology (DDaT) Operations Disaster Recovery Plan has been developed and was approved by the Architecture Board on 25th May 2023. 3. Resiliency testing has been planned and is currently being undertaken. 	<p>Dec 2022 April 2023</p> <p>Extend to Nov 23</p>	<ol style="list-style-type: none"> 1. Yes 2. Yes 3. No

Reported June 2020				
GDPR (Data Protection Officer – DPO)	<p>Within the earlier audit (Nov 18) it was confirmed that although Information Asset Registers (IAR) had been completed by relevant sections, gaps had yet to be identified – this could potentially lead to Data/Information breaches as gaps in compliance are not identified.</p> <p>Two High Importance recommendations were made, one of which was cleared at the last Committee update. The remaining HI is as follows:</p> <p>Meetings with Information Asset Owners should be undertaken as a matter of urgency to identify possible gaps in meeting Data Protection Act requirements. These gaps should then form sectional action plans which the relevant section should be monitored against.</p>	<p>The Data Protection and Digital Information Bill has passed the 2nd reading and committee stage in the House of Commons and is at the report stage, before going for a 3rd reading and then to the House of Lords. Current proposals include the deletion of the need for Records of Processing Activities under GDPR Article 30, to be replaced with the requirement of a lighter touch record (Article 30A) only for processing that poses a high risk to data subjects. Once the Bill has become law, the Data Protection Officer proposes to review the Council’s existing ROPA documents and revise it to meet the new requirements.</p>	<p>Jan 21 June 21 Sept 21 Dec 21 Jan 22 Apr 22 Nov 22 July 23 Extend to Sept 23</p>	<p>1. Yes 2. No</p>

Audit/A&RC/230719/Appendix 1 HI Progress Report
Last Revised 5th July 2023