

**High Importance Recommendations – Position at 17<sup>th</sup> June 2022**

<b><u>Audit Title (Owner)</u></b>	<b><u>Summary of Finding(s) and Recommendation(s)</u></b>	<b><u>Management Response</u></b>	<b><u>Action Date (by end of)</u></b>	<b><u>Confirmed Implemented</u></b>
<b>Reported July 2022</b>				
<b>Contract Audit - Contract arrangements during the COVID 19 period (Head of Procurement )</b>	<b>The audit identified a number of weaknesses leading to a Partial Assurance rating, but no individual high importance recommendation was made. Recommendations related to fast tracked procedures, designed for the pandemic, are closely monitored and only used in exceptional cases; moving to position where these procedures are no longer relied on. Also ensuring the resourcing is sufficient to support the timely procurement process which is in full compliance with the Procurement Rules.</b>	<b>Process changes have been made that see a greater role at weekly procurement panel meetings regarding the approval of any proposed exceptions to contract rules. The panel plays an important role in challenging this and in effect approving the rationale for any exceptions, which is an important defence to any potential procurement challenge. The pandemic is no longer considered by the Authority to be an acceptable reason for ‘relaxed’ procurement activities. Work will commence in the Summer, led by the new Head of Procurement, to map the capacity of resource to manage the current workload, and imminent changes to the Procurement Contract Regulations will see increases to the workload of the procurement teams.</b>	<b>Sept 22</b>	

<b>Smoking Cessation (Public Health Consultant)</b>	<p>One high importance recommendation relating to performance reporting for smoking cessation was made. The audit identified weaknesses in the quarterly reporting of smoking cessation, missing data of actual performance was identified, consequently it was difficult to assess the progress against expected targets. Management reported issues with data extraction, from the bespoke IT system, has been a major factor in some of the missing data identified in quarterly reporting. Recommendation was made to ensure training is promptly facilitated by the IT Providers to help with the extraction of data to ensure reports provide a complete and accurate position for smoking cessation in the quarterly reports.</p>	<p>Management have reported that implementation of this recommendation will now not take place until the end of July due to other commitments and developments that they are working on that needs to take priority.</p>	<p><b>June 2022</b></p> <p><b>Extend to July 2022</b></p>	
<b>LLEP – Careers Hub Project (Head of Delivery &amp; Governance )</b>	<p>One High importance recommendation was made in the report to improve the preparation and timely submission of grant claims. The recommendation included the need for clear lines of responsibilities, time frames and deadlines to ensure grant claims are prepared appropriately, with supporting evidence and submitted on time.</p>	<p>Follow-up audit testing has confirmed that new procedures and checklists have been introduced, including clear time frames to help ensure claims are prepared on time and with appropriate supporting information, which will enable claims to be reviewed and signed off promptly and submitted on time.</p>	<p><b>June 2022</b></p>	<p><b>Yes</b></p>

Reported March 2022				
<b>Eyres Monsell Primary School (School Headteacher)</b>	A significant number of recommendations were made in this audit report, including 4 high importance (HI), which led to a partial assurance being given. Findings and recommendations in the report related to: Governance, Financial Reporting, Purchasing, Income, Banking, Asset Security, Managing Significant unexpected incidents; the 4 Hi Importance recommendations related to Payroll and Information Governance.	<b>A follow-up audit was undertaken to determine the progress made in the implementation of the recommendations made in the report. The audit confirmed that good progress has been made with the majority of the recommendations made in the report have now been implemented including the 4 Hi importance recommendations.</b>	Jun 2022	<b><u>Yes</u></b>
Reported March 2021				
<b>Social Value within Procurement (Head of Procurement )</b>	<p>One High Importance recommendation was made in this audit report.</p> <p>Finding:</p> <p>Sample testing identified:</p> <ul style="list-style-type: none"> <li>Monitoring arrangement for Social Value (SV) Key Performance Indicators (KPIs) was not specified in the sample contracts</li> <li>there was no evidence to confirm that contract managers were monitoring the suppliers to ensure they had delivered their commitments and fulfilled their contractual obligations with regards to SV.</li> </ul> <p>Recommendation:</p> <p>The monitoring arrangements of SV - KPI's should be determined and included in the contract; these should be actively monitored by contract managers and periodically reported.</p>	<p><b>Management have reported that they are currently at the early stages of the onboarding phase of the Social Value Portal.</b></p> <p><b>The inaugural meeting was on 18/5/2022, and over the next three months there will be various workshops at dates yet to be confirmed.</b></p> <p><b>The anticipated go-live date is late August.</b></p>	<p>July 21</p> <p>Dec 21</p> <p>Jun 22</p> <p><b>Extend to Sept 2022</b></p>	

Reported June 2020				
Schools' Governance – LA Scheme for Financing Schools (Head of Finance, Education and Children's Services)	<p>The Audit highlighted one High Importance recommendation:</p> <p>Finding: The Scheme for Financing has not been amended to reflect the mandatory revisions as notified in the DfE directed revisions dated 19/08/2015 or 22/03/2018.</p> <p>Recommendation: The Scheme for Financing Schools should be updated to reflect any directed revisions as notified by the DfE.</p>	<p>Finalising the Scheme for Financing Schools document is taking longer than anticipated as major updates need to be done. The extension to December 2021 was not adequate. Competing priorities, particularly the completion of the school and other DSG block budgets for the end of January 2022 have taken precedence.</p> <p><b>A further extension to September 22 has been requested.</b></p>	<p>June 20</p> <p>Dec 20</p> <p>June 21</p> <p>Aug 21</p> <p>Oct 21</p> <p>Dec 21</p> <p>Feb 22</p> <p><b>Extend to Sept 22</b></p>	
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:</p> <p>1. The Data Protection Officer should put forward a proposal to Senior Management if it is considered there is a need for additional resources to be allocated to undertake meetings with the Information Asset Owners in order to complete the IAR's and associated action plans.</p> <p>2. Meetings with Information Asset Owners should be undertaken as a matter of urgency to</p>	<p><b>1. An Information Governance assistant is now in post</b></p> <p><b>2. An Enterprise Data Architect has now been appointed. This officer will have two main responsibilities – one to act as the custodian for the Open Data Portal and secondly to establish and implement an enterprise wide data model for the council which looks at best use of data. The Enterprise Data Architect will be looking to work with Information Asset Owners on management of data in this new role. The Data Protection Officer will be working with the Enterprise Data Architect on the data protection side.</b></p>	<p>Jan 21</p> <p>June 21</p> <p>Sept 21</p> <p>Dec 21</p> <p>Jan 22</p> <p><b>Extend to Nov 22</b></p>	<p><b>1. Yes</b></p> <p><b>2. No</b></p>

	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.			
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Audit/A&RC/220316/Appendix 2 HI Progress Report  
Last Revised 17<sup>th</sup> June 2022