

High Importance Recommendations – Position at 4th November 2022

<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>
<u>Reported Nov 2022</u>				
Direct Payments (Head of Locality East and SRCT)	<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>Accepted in principle. ASC is experiencing significant pressures, due to the combined effect of covid backlogs, additional demand, rising complexity and difficulties securing and recruiting adequate staff. Therefore all reviews, wider than DP cases, are at risk of not being completed annually. This reflects the national position for ASC and there is no identified ‘quick’ solution to reduce this risk.</p> <p>Management have reported that they are in the process of appointing extra staff (to what was originally planned) to deal with the overdue reviews.</p>	Jan 2023	
Rolleston Primary School (Headteacher)	<p>A number of weaknesses were identified in the school financial audit, which included high importance recommendations relating to the governance arrangements:</p> <ol style="list-style-type: none"> Resources committee minutes and supporting documents should be circulated to governors prior to the meeting 	<ol style="list-style-type: none"> Resources minutes and supporting documents will be circulated a week before the FGB. & 3. New clerk to the finance committee appointed to ensure accuracy of minutes and reflection of discussion undertaken. The format of the minutes is being changed to 	Jan 2023	

	<ol style="list-style-type: none"> 2. Approval of key policy documents and prior minutes should be clearly documented. 3. Governors should be encouraged to raise matters at meetings to demonstrate their ‘critical role’ and minutes should be sufficiently detailed to reflect this challenge. 4. Governors’ meeting minutes should clearly document the approval of the deficit budget plan and the deficit position should be monitored against the budget plan to ensure this remains on track. 	<p>clearly show approvals and challenges.</p> <ol style="list-style-type: none"> 4. New clerk will ensure key decisions are clearly documented and the new finance report will help to monitor the school spend against the budget. 		
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 	<p>Agreed - In 2020 the Council invoked its Business Continuity Plans due to the pandemic. In 2021 the Council was in recovery and currently in 2022, IT are in the process of creating a new network and therefore DR and Governance will be reviewed as a result of these changes</p> <p>Currently being drafted alongside the implementation of the new network. Once the Governance is in place a Test Strategy will be drafted and DR tests planned.</p> <p>Above is the last reported update, implementation of the new network is still scheduled for before Christmas. Agreed</p>	Dec 2022	

Reported July 2022				
Smoking Cessation (Public Health Consultant)	<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 confirmed that by the end of October, sufficient training had been received from the IT Provider (Cyber Media Solutions Ltd) to support complete and accurate quarterly reporting going forwards.</p>	<p>June 2022 July 2022 Sept 2022</p>	<p>Yes</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>The LA Scheme for Financing (SfFS) is currently being updated and Internal Audit have confirmed that the directed revisions previously identified as not having been amended in the then published SfFS have been amended in the 2022/23 version.</p>	<p>June 20 Dec 20 June 21 Aug 21 Oct 21 Dec 21 Feb 22 Sept 22</p>	<p>Yes</p>

<p>GDPR (Data Protection Officer - DPO)</p>	<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>Progressing the remaining recommendation has been difficult due to resourcing issues; however, some recent developments have emerged and under the new British GDPR there may be no mandatory requirement for Records of Processing Activities (ROPA) in which case the recommendation would become superseded.</p>	<p>Jan 21 June 21 Sept 21 Dec 21 Jan 22 Apr 22 Nov 22</p>	<p>1. Yes 2. No</p>
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Audit/A&RC/221122/Appendix 1 HI Progress Report
Last Revised 4th November 2022