Appendix 4 – Recommendations 1-6 Months Overdue

Audit Title	Due Date	Recommendation	Management Response	Update/Opinion	Ownership and Actions
Children Missing from Home	31 March 2019	The Strategic Head of Early Help should ensure that the functionality of Liquid Logic's MFH workflow enables more effective handling of episodes, preferably with a single point of entry which flows through to SW notification, allocation of the IRI, and recording of the IRI outcome.

PRI should confirm reporting requirements can be met from the new workflow in Liquid Logic. | Mapping of missing from home workflow to inform new processes in Liquid Logic and user acceptance testing to be undertaken by MFH workers. In the interim review of current data and spreadsheets to be undertaken to identify some quick wins. | Early discussions with the Liquid Logic development team indicate that the new system will handle MFH cases much more efficiently. Implementation delayed due to Liquid Logic roll-out delays.

Internal Audit opinion: Outstanding | **Director:** Paul Marshall, Strategic Director of Children's Services

Executive Member: Councillor Bridges

Status: Three months overdue

Action: Monitor |
| Children Missing from Home | 31 March 2019 | The Strategic Head of Early Help should re-emphasise with staff the importance of ensuring the completeness and accuracy of Case History data. To monitor this in the short-term, timeliness and accuracy of MiCare updates should be added to the Return Interview Audit form. Moving forward, the necessity of capturing complete and | To be included in the new workflow requirements for Liquid Logic. Dip sampling of missing episodes by the MFH workers and senior social workers to be undertaken to evidence improvements. | Strategic Lead Complex Safeguarding has been dip sampling missing episodes, but that the accuracy of the Case History episode remains an ongoing issue, and therefore that this would not be resolved until Liquid Logic was in place, the roll-out of which has been delayed.

Internal Audit opinion: Outstanding | **Director:** Paul Marshall, Strategic Director of Children's Services

Executive Member: Councillor Bridges

Status: Three months overdue

Action: Monitor |

Audit Title	Due Date	Recommendation	Management Response	Update/Opinion	Ownership and Actions
		accurate data for reporting purposes should be considered in the new MFH workflow within Liquid Logic, such that the data is drawn from essential steps rather than from a retrospective step that is not consistently completed.			
Penalty Notices	31 January 2019	The Strategic Lead for School Attendance & EOTAS should ensure that refunds are issued to the 14 identified parents / carers who paid a penalty notice for a child that was not of compulsory school age, and should consider expanding the time period of this review to identify any further such instances. The Strategic Lead should also ensure that a process is in place to undertake an initial check to ensure the child was of compulsory school age before processing the penalty notice request. Where it is identified that this is not the case this should be flagged	Agreed: Yes Action to be Taken: Refunds will be made to the identified parents. The attendance team have now implemented a 3 level checking system to determine if a pupil is of statutory school age: 1st Level – check DOB before issue on the ONE; 2nd Level – when payments are received the age is checked again; 3rd Level – all unpaid penalty notices are checked again. A circular to be sent to all schools informing them that they should not be requesting penalty notices	Internal Audit confirmed that a circular letter was issued to all schools on 4 March 2019 reminding them not to request statutory action for children of non-statutory school age and that schools must make adequate checks of the pupil's age before a request is submitted. Refunds have been made to families billed in error. To test effectiveness of the attendance team's checking system, we reviewed a data extract of all penalty notices issued since 1 November 2019. We found some errors continue to be made identifying 17 penalty notices were issued and paid for nine children of non-statutory school age. Most	**Director:** Paul Marshall, Strategic Director of Children's Services **Executive Member:** Councillor Bridges **Status:** Five months overdue **Action:** Monitor

Audit Title	Due Date	Recommendation	Management Response	Update/Opinion	Ownership and Actions
		with the respective schools. On a termly basis, a review of penalty notice data should be carried out, comparing the child's date of birth to the dates of unauthorised absence, to identify any penalty notices that have been issued in error and require refunding.	for non-statutory school age pupils and that adequate checks should be in place.	of these were issued in November or December 2018, but two were issued in February and two in March 2019. Internal Audit confirmed to management that refunds should be made. We will request another extract in two months' time (1 August 2019) to confirm no further inappropriate penalty notices have been issued as the new checks bed in. **Internal Audit opinion**: partially implemented	
Factory Project: Financial Reporting 30 January 2019	28 February 2019	The Project Director in liaison with the Finance Lead should inform the Boards of the previously omitted figures. This should provide an explanation of the issues and give assurances that the correct figures are included in monthly Board reports and how this will be assured going forward.	The SRO has requested a reconciliation of the latest figures to those found in SAP in order to ensure all issues have been resolved going forward, this will be reported to the next Board meeting for completeness.	Internal Audit was informed that a separate finance report is now being produced which allows more detailed breakdown of the cost of the programme as the project moves into the construction phase. As this is separate to the main document it ensures that an updated report is prepared and received for each meeting. This also	**Director:** Carol Culley, Deputy Chief Executive and City Treasurer **Executive Member:** Councillor Ollerhead **Status**: Four months overdue **Action:** Monitor

Audit Title	Due Date	Recommendation	Management Response	Update/Opinion	Ownership and Actions
		Once agreed by Board members this process should be utilized immediately for all future finance reports.		means that the figures within the document cannot be changed by other officers which should prevent the issues picked up at audit from recurring. We have yet to see the reconciliation requested by the SRO, once this has been reviewed we will be able to confirm implementation. **Internal Audit Opinion**: Partially implemented.	
Off Rolling Arrangements 6 June 2019	28 June 2019	The Head of Access should introduce periodic validation checks over the numbers of pupils off rolled. Such checks could be facilitated by periodically requesting schools to submit electronic data from SIMs to show the pupils who have been off rolled (migration/leavers report). This could then be checked to the CME team spreadsheets and any anomalies investigated. The timing and extent of the checks including whether the	The admissions team will produce a list containing details of off rolled pupils. The list will be passed to MCC's attendance team who can then cross reference with the schools register whilst they are carrying out their usual audit of the register. The CME team are to alert the Head of Access when there has been no or limited off rolling forms from any particular school.	This recommendation has only recently fallen due, we have requested an update from the service to evaluate progress. **Internal audit opinion**: Outstanding	**Directors:** Amanda Corcoran, Director of Education and Skills Paul Marshall, Strategic Director of Children's Services **Executive Member:** Councillor Bridges **Status:** One month overdue **Action:** Monitor

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		data is checked in its entirety or whether on a sample basis should then be determined.			
Adults Services, management oversight and supervision	31 May 2019	The Assistant Director of Adult Services should complete a thorough review of the Supervision Guidance document, to ensure that it clearly articulates the actual expected procedures and how these requirements should be documented, particularly in those areas identified in the matters arising.	Review the Supervision Policy and how to embed it within the workforce. Additional Resources Required for implementation: Yes – Support from the Reform and Innovation Team secured.	We have been told that a revised Supervision Policy has now been shared with senior managers for approval. On receipt of this Internal Audit will review to verify implementation. **Internal audit opinion:** Outstanding	**Director:** Bernadette Enright, Director of Adults Services **Executive Member:** Councillor Craig **Status:** Two months overdue **Action:** Monitor
Adult Services Management Oversight and Supervision	31 May 2019	The Assistant Director of Adult Services should establish a central means of monitoring the actual frequency of supervisions. Accuracy of this central record should be confirmed as part of the QA process (see recommendation 4.1). The results in terms of frequency and quality should be audited, analysed, and reported annually.	Audit process to be agreed within the Supervision Task & Finish Group. Process will be embedded into the final Supervision Policy. Additional Resources Required for implementation: Yes – Support from the Reform and Innovation Team secured.	The Safeguarding and Quality Assurance Manager shared an early draft of a proposed supervision audit tool; we provided feedback on the content and practicality of the proposal. We have requested an update as to whether a process has been agreed. **Internal audit opinion:** Outstanding	**Director:** Bernadette Enright, Director of Adults Services **Executive Member:** Councillor Craig **Status:** Two months overdue **Action:** Monitor

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ICT Software Licensing 24 July 2018	30 April 2019	The Council should review the need for a business case for dedicated full-time resource and software licensing tools in order to drive a centralised and consistent approach to software licensing management.	ICT will: • Carry out a review of roles and Responsibilities within Service Operations to assess the current limitations in terms of SAM Skillsets and resource: and • Explore other market solutions in conjunction with subject matter experts including Gartner, and present a business case to DLT.	A draft business case document has been prepared and is currently being reviewed. We will assess progress towards full implementation as part of a dedicated follow up review, which is to be arranged. **Internal audit opinion**: Partially implemented	**Director:** Carol Culley, Deputy Chief Executive and City Treasurer **Executive Member:** Councillor Ollerhead **Status:** Four months overdue **Action:** Dedicated follow up review of recommendations to be arranged
ICT Software Licensing 24 July 2018	30 April 2019	Software licensing management roles, responsibilities and capability gaps need to be defined, implemented and communicated to ICT and the Directorates. Additionally, both the end users of licenced applications and IT staff who install and maintain the applications should have a clear	Following the work done in Recommendation 1, ICT will be in a position to define roles and responsibilities for SAM. Beyond this, ICT will devise as part of Recommendation 2, policies and procedures to support Council-wide compliance to a consistent approach to SAM, clearly	We will assess progress towards full implementation as part of a dedicated follow up review, which is to be arranged. **Internal audit opinion**: Outstanding	**Director:** Carol Culley, Deputy Chief Executive and City Treasurer **Executive Member:** Councillor Ollerhead **Status:** Four months overdue **Action:** Dedicated

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		understanding of the appropriate processes and procedures that limit risk to and ensure compliance. This recommendation should be considered in the wider context of the potential requirement to define roles relating to application ownership across the Council, with a specific focus the specific responsibilities that the role entails.	differentiating between centrally managed licensing and those managed locally within business units.		follow up review of recommendations to be arranged
ICT Software Licensing 24 July 2018	30 April 2019	The current systems used by ICT to support software asset management should be reassessed to ensure that they are fit for purpose and possess the capability to process, create and maintain all stores and records for software and related assets. Furthermore, the Council should look to move away from the manually intensive process currently in operation and explore the automation of tasks required to maintain compliance with software	ICT will investigate the work other Council colleagues may be undertaking in relation to the acquisition of tools to manage SAM. ICT will seek to collaborate with such colleagues to ensure best ICT practice implemented and ICT requirements are included in any specifications. If no collaboration opportunities exist, ICT will explore other market solutions and present options to DLT to approve	We will assess progress towards full implementation as part of a dedicated follow up review, which is to be arranged. **Internal audit opinion**: Outstanding	**Director:** Carol Culley, Deputy Chief Executive and City Treasurer **Executive Member:** Councillor Ollerhead **Status:** Four months overdue **Action:** Dedicated follow up review of recommendations to be arranged

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		licenses and control software spending. The tools available to the Council should provide the functionality to detect and manage all exceptions to SAM policies, processes, and procedures; including license use rights and necessary infrastructure and processes for the effective management, control and protection of the software assets, at all stages of the Software license lifecycle. Once reporting is established, regular validation audits should be completed by the SAM team to ensure that the reported position is accurate.	a way forward as per recommendation 1.		