

Appendix 3 – Recommendations 6-9 Months Overdue

Audit Title	Due Date	Recommendation	Management Response	Update/Opinion	Ownership and Actions
Children Missing from Home	31 October 2018	<p>The Strategic Head of Early Help and the Performance Manager (People) should ensure that key performance indicators, as described in the MFH&C Strategy, are agreed and targets defined. Other routine reporting should be reconsidered to ensure that the focus is on key trends and that it is generated from the most timely and accurate data. The rationale for the reports, including whether they should prompt certain actions (and if so, what and by whom), should be described in the MFH Procedures.</p>	Development of a fit for purpose dashboard for missing and complex safeguarding services.	<p>The planned Complex Safeguarding dashboard now includes CSE and CCE, but inclusion of MFH activity in this dashboard has been delayed. Work is underway to agree across GM on a 'core data set' including missing indicators. We were informed that this will be included in the CS Dashboard once Liquid Logic is in place and data can be pulled directly from Liquid Logic.</p> <p>Internal Audit Opinion: Outstanding</p>	<p>Director: Paul Marshall, Strategic Director of Children's Services</p> <p>Executive Member: Councillor Bridges</p> <p>Status: Eight months overdue</p> <p>Action: Notification of overdue recommendation letter to be issued to Executive Member and Director, July 2019.</p>
Multi Links Commissioning Review – Advice and Guidance 22 August	31 Dec 2018	The Fostering Services Manager should, in line with strategic plans for the short break provision, begin the recommissioning of the service as soon as possible and should incorporate the	Recommissioning exercise has begun. Extensions have been put in place of existing contract with three of the providers who are compliant with the number of nights required for the	The Strategic Director has recently confirmed that he has provided feedback to key officers on the draft contracts and they will be ready for issuing to providers in early July. We have seen the draft	<p>Director: Paul Marshall Strategic Director of Children's Services</p> <p>Executive Member: Councillor Bridges</p>

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2018		<p>key elements described below: All current multi-link contracts should be terminated ahead of new contracts being issued. A full review of the current terms and conditions document should be undertaken to ensure that all issues, potential risks and shortfalls identified during the life of the current contract are addressed and any obvious errors or omissions are rectified. New contracts should be consistent across all providers and copies of key contractual documents should be signed and copies retained by the service. The difference between short break and multi-link care provision should be clearly defined and communicated to relevant officers.</p>	<p>service. This extension is for a period of three months whilst new contracts are drafted. Two providers have had their contract ended without any extension.</p> <p>A full review of the scheme is in process with key officer oversight. The steering group are meeting regularly to ensure there is no drift on meeting this recommendation.</p>	<p>contracts and are satisfied they address risks identified during our review. Once contracts are issued to providers we can confirm that this recommendation is implemented.</p> <p>Internal Audit Opinion: Partially Implemented</p>	<p>Status: Six months overdue</p> <p>Action: Notification of overdue recommendation letter to be issued to Executive Member and Director, July 2019.</p>
Purchase Cards	31 Dec 2018	The City Treasurer should develop guidelines setting out the general principles for	The City Solicitor, supported by the City Treasurer, will develop	The City Solicitor has not yet completed a draft of this policy for review. It is planned to	Director: Fiona Ledden, City Solicitor and Carol

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19 September 2018		<p>providing hospitality to others, including where a Council officer or member also benefits from the expenditure. This should be supported by examples as appropriate. Internal Audit will support implementation of this recommendation by providing an outline of potential areas for inclusion, and will provide further details of test findings on request.</p>	<p>guidance on the provision of hospitality. They will also identify a suitable place within the existing guidance framework for this to be published.</p>	<p>include this guidance as part of the employee and member codes of conduct. The City Solicitor has suggested that the implementation of this recommendation will take up to 12 months to implement as part of a wider programme of review and it is proposed that a new implementation target date be set which will enable required work to be carried out.</p> <p>Internal Audit Opinion: Outstanding</p>	<p>Culley, Deputy Chief Executive & City Treasurer</p> <p>Executive Member: Councillor Leese</p> <p>Status: Six months overdue</p> <p>Action: Notification of overdue recommendations letter issued to Executive Member and Director proposing that the City Solicitor attends Audit Committee to confirm progress and plans to address the risk.</p> <p>Audit Committee to consider a request for a new target implementation date of July 2020</p>

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<p>ICT Software Licensing</p> <p>24 July 2018</p>	<p>31 Dec 2018</p>	<p>In accordance with industry good practice (ISO 19770-1), the Council should implement a Software Asset Management (SAM) policy and ensure that it provides an overarching approach to the acquisition, implementation and disposal of software as well as key compliance requirements.</p> <p>The policy should reference key software licensing processes, such as software acquisition, monitoring, disposal and ongoing compliance. Where processes do not follow a centralised approach they should be formally documented for each application.</p> <p>Furthermore it should state the process for reviewing, approving, issuing, and controlling relevant process and procedural documentation.</p>	<p>Research current best practice and submit SAM policy as per IA recommendation, including:</p> <ul style="list-style-type: none"> - approach to the acquisition, implementation and disposal of software; - key compliance requirements; - guidelines/instructions for locally managed software; and - process for reviewing, approving, issuing and controlling process and procedural documentation. <p>for approval by ICT Direct Leadership Team.</p>	<p>We have reviewed an early draft of this policy which is currently being worked on and will provide comments to support its development. We will assess progress towards full implementation as part of a dedicated follow up review, which is to be arranged.</p> <p>Internal Audit Opinion: Partially Implemented</p>	<p>Director: Carol Culley, Deputy Chief Executive & City Treasurer</p> <p>Executive Member: Councillor Ollerhead</p> <p>Status: Six months overdue</p> <p>Action: Dedicated follow up review of recommendations to be carried out to assess progress.</p>