

APPENDIX B

2015/16 Followed Up Audits since the last meeting - High Risk Exceptions	High Risk Open		High Risk Closed		Total High Risk	Comments
Audit Title						
1516-052 - Application Archiving - Finance & Information Service - Chris Ward	1	100%		0%	1	One high risk exception was found to still be open. Solutions are still being investigated regarding the deletion of old data within the Authority's databases.
F1516-00 - IS Application Data Quality and security (Swift) - Adult Social Care - Innes Richens	0	0%	1	100%	1	
F1516-006 - Direct Payments - Adult Social Care - Innes Richens	1	50%	1	50%	2	One high risk exception was found to still be open in relation to timeliness of reviews. A new tracker spreadsheet has been developed but this was not being monitored by the team manager.
F1516-007 - Deprivation of Liberty Safeguards - Adult Social Care - Innes Richens	1	33%	2	67%	3	One high risk exception was found to still be open in relation to referrals not being actioned in line with set timescales. Team capacity will be addressed and closer monitoring of timeliness will be put in place.
F1516-009 - Through Care Team - Children's Social Care - Alison Jeffery	5	100%	0	0%	5	All 5 exceptions remain open. Pre-paid cards are to be brought in and processes around these will be developed.
F1516-025 - Risk Management & Business Planning - Public Health - Jason Horsley	1	100%	0	0%	1	The high risk exception remains open due to the business plans being revisited. Further audit work will be carried out in 2017/18 to review progress of this.
F1516-027 - Hire Cars - Transport, Environment & Business Support - Alan Cufley	0	0%	1	100%	1	
F1516-029 - PCMI Manufacturing - Transport, Environment & Business Support - Alan Cufley	3	60%	2	40%	5	Two of the high risk exceptions still remain open in relation to compliance with the Copyright Act, Design & Patent Act 1998 and separation of duties over cash collection.

F1516-042 - Special Educational Needs & Disabilities (SEND) - Children's Services Education - Alison Jeffery	1	50%	1	50%	2	One of the high risk exceptions has been partially addressed. Performance data with regards to conversion of clients from Special Educational Needs statements to Education & Health Care Plans was not obtainable at the time of the follow-up but was to be provided by the end of March 2017.
F1516-043 - Children with Disabilities - Children's Services Education - Alison Jeffery	1	100%	0	0%	1	One of the high risk exceptions has been partially addressed in relation to recording of information within the Client Case Management system. The Team Manager will address this by reinforcing the processes with the team.
F1516-082 - CCTV - Housing & Property & Corporate Wide - Owen Buckwell	3	75%	1	25%	4	3 high risk exceptions were found to be in progress. Follow-up testing found that the CCTV Code of Practice had been written but yet to be published, training and improved signage had been implemented and viewing of CCTV footage restricted, with privacy impact assessments still to be completed. A Senior Responsible Officer is yet to be appointed.
Total	17	65%	9	35%	26	

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2015/16 Followed Up Audits since the last meeting - Medium Risk Exceptions	Medium Risk Open		Medium Risk Closed		Total Medium Risk
Audit Title					
F1516-009 - Through Care Team - Children's Social Care - Alison Jeffery	1	100%	0	0%	1
F1516-027 - Hire Cars - Transport, Environment & Business Support - Alan Cufley	1	100%	0	0%	1
F1516-043 - Children with Disabilities - Children's Services Education - Alison Jeffery	1	50%	1	50%	2
F1516-082 - CCTV - Housing & Property and Corporate Wide - Owen Buckwell	1	50%	1	50%	2

Total	4	67%	2	33%	6
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