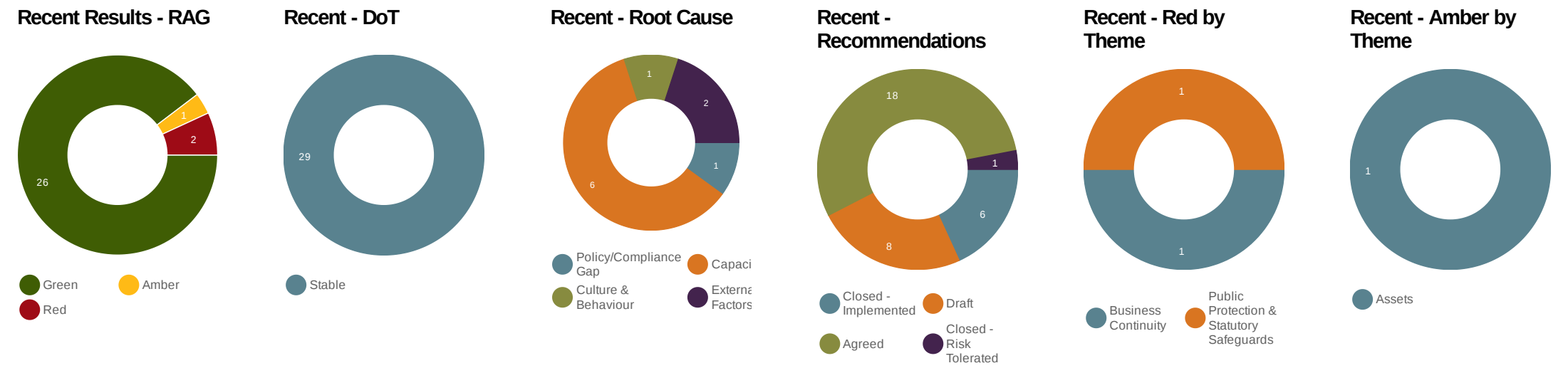


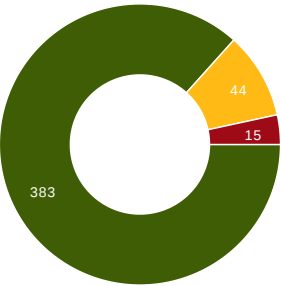
Internal Audit Update - Appendix A

Report Commentary

There have been 2 Red Controls. The first relates to an on-going issue regarding the uploading of fit notes to the payroll system. Despite reminders being sent they are still not being uploaded, however when managers were contacted they were able to produce the documentation. The second relates to waste and recycling targets being achieved, the changes made to the waste collection process are not currently recognised in the figures that are available, improvement is expected. These are both considered low impact controls. The amber control is in relation to the planning of school places, at present we have good planning system and sufficient capacity generally however the concern is around the make-up of capacity with SEND requirements currently outstripping availability, there are projects in place to increase capacity for this type of placement.

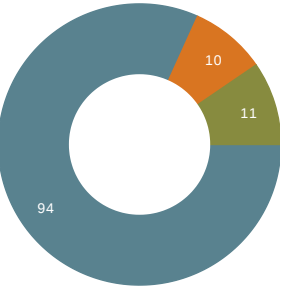


Overall



- Green
- Amber
- Red

Direction of Travel



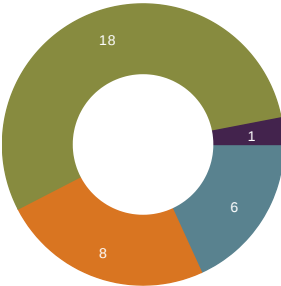
- Stable
- Risk Increasing
- Risk Decreasing

Root Causes



- Capacity & Resources
- Policy/Compliance Gap
- Culture & Behaviour
- External/Environmental Factors
- Training & Awareness

Recommendations

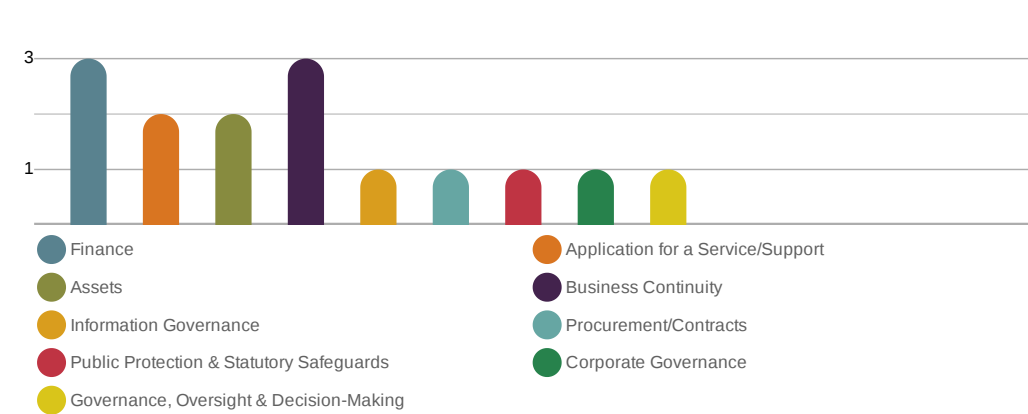


- Closed - Implemented
- Draft
- Agreed
- Closed - Risk Tolerated

Report Commentary

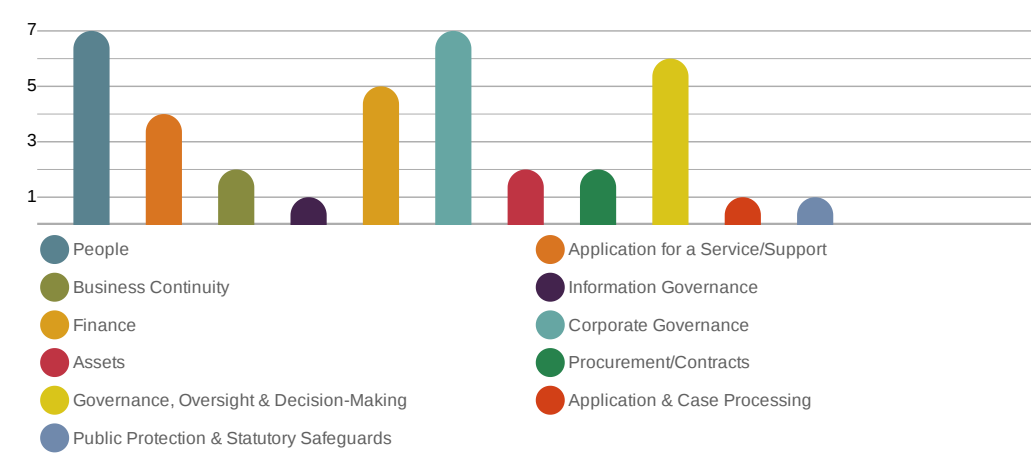
On the whole good levels of assurance are present. What the direction of travel tells us that action is being taken to reduce the levels of risk as issues are raised and whilst other risks have increased we have a degree of confidence that these will be addressed. What the root cause analysis and category breakdown are telling us that there are no clear singular causes for changes in the risk environment. This suggests there are no underlying fundamental issues which need to be brought to the attention of the committee at this time.

Red by Category



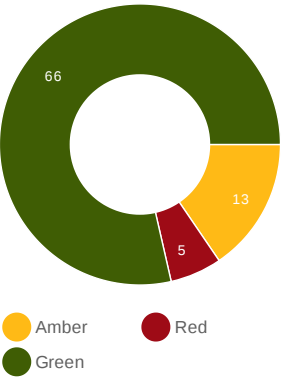
- Finance
- Assets
- Information Governance
- Business Continuity
- Application for a Service/Support
- Procurement/Contracts
- Public Protection & Statutory Safeguards
- Corporate Governance
- Governance, Oversight & Decision-Making

Amber by Category

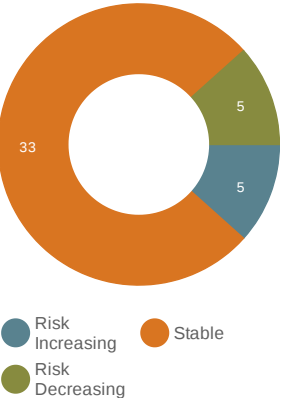


- People
- Business Continuity
- Finance
- Information Governance
- Application for a Service/Support
- Corporate Governance
- Assets
- Procurement/Contracts
- Governance, Oversight & Decision-Making
- Public Protection & Statutory Safeguards

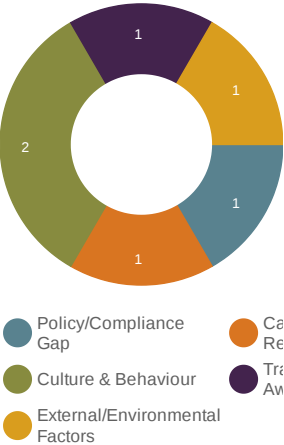
High Impact - RAG



Direction of Travel



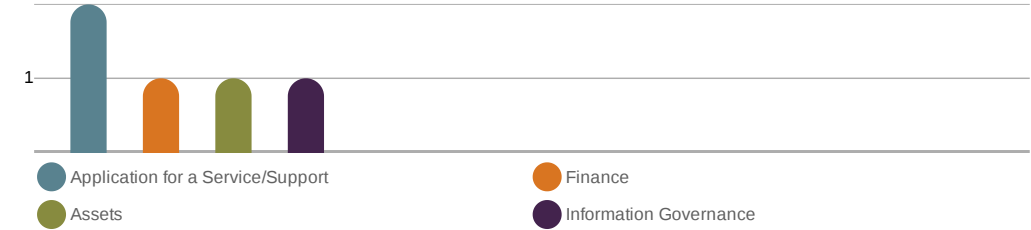
Root Causes



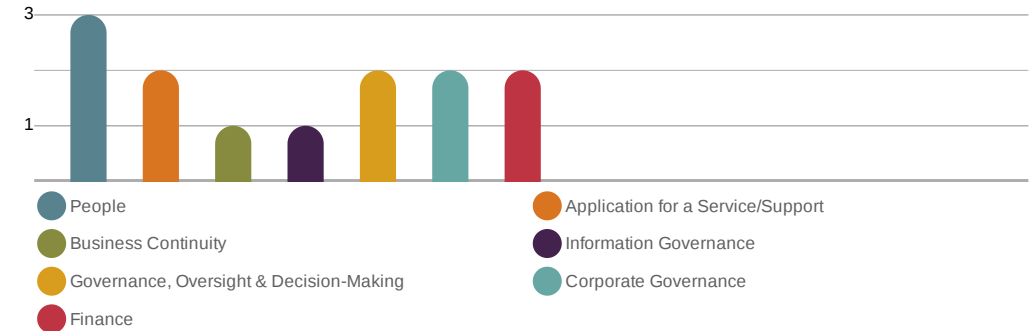
Report Commentary

Three of the Red controls are linked to findings relating to SEND discussed at the previous meeting, work is on-going to review processes and put plans in place to manage the Dedicated Schools grant deficit that currently exists. The remaining two relate to some delays in completing full bridge inspections, progress is due to be reviewed again in the next 6 months and the other relates to out of date internal documentation, the documents haven't been updated to reflect some data sharing arrangements however the relevant data protection controls are in place.

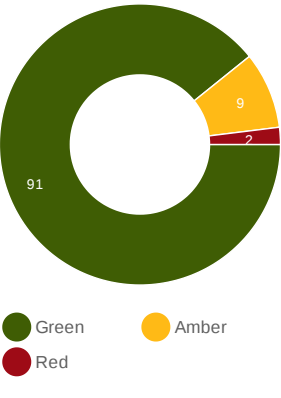
High Impact by Category - Red



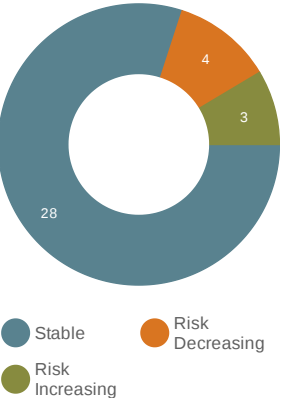
High Impact by Category - Amber



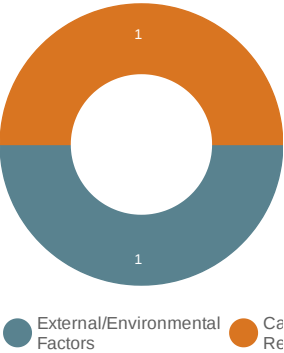
Medium Impact - RAG



Direction of Travel



Root Causes



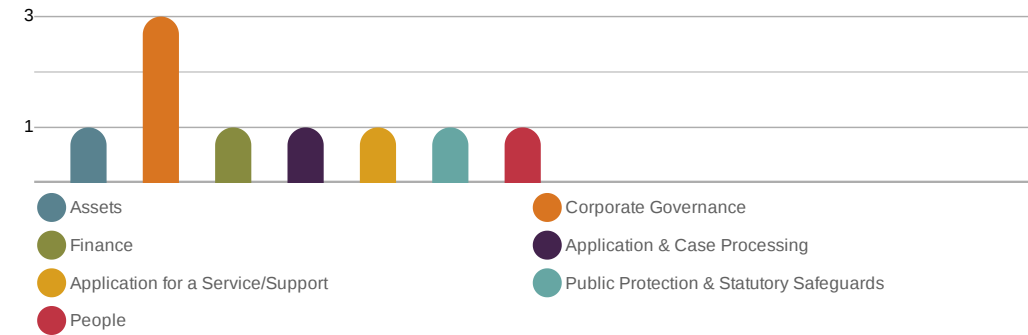
Report Commentary

In terms of the medium impact controls we have two reds. The first relates to the completion of mandatory information governance training in Children's services, the risk is decreasing and the completion numbers are increasing but they are still below the target. The second relates to the issues faced by Children's in being able to source suitable placements, which is a market level issue.

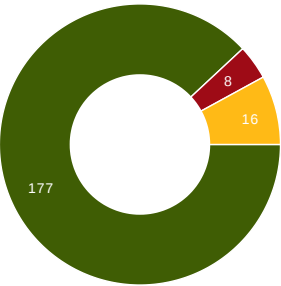
Medium Impact by Category - Red



Medium Impact by Category - Amber

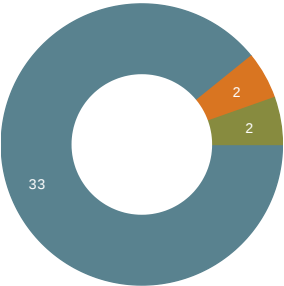


Low Impact - RAG



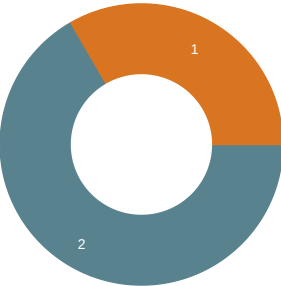
Green
Amber
Red

Direction of Travel



Stable
Risk Decreasing
Risk Increasing

Root Causes



Capacity & Resources
Culture & Behaviour

Report Commentary

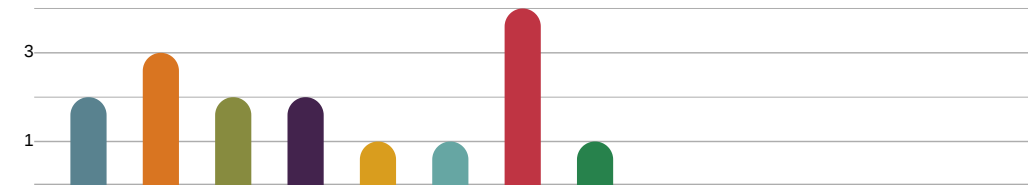
Other than what has already been discussed there are no issues to raise with members at this time. Generally controls in this impact category are more administrative in nature.

Low Impact by Category - Red



Finance
Assets
Business Continuity
Procurement/Contracts
Public Protection & Statutory Safeguards
Governance, Oversight & Decision-Making

Low Impact by Category - Amber



Finance
People
Corporate Governance
Procurement/Contracts
Business Continuity
Assets
Governance, Oversight & Decision-Making
Application for a Service/Support