Outstanding Recommendations   Appendix A

Members requested written explanations for all audit recommendations outstanding for more than one year plus responsible officers to attend to provide explanations. These are set out in the tables below.

Recommendations over 2 years old

Ref	Dir	Assist Dir	Audit	Revised Due Date	Agreed Action & Priority	Status	Service Manager comments
1	DoH	AD-SD	ICT Mobile Devices	31/03/2019	Identify and locate IT assets (High)	In progress	An asset register is held in IT. This exercise has been completed previously, but IT are now considering options to detect most devices in an automated manner – now largely complete. This is linked to a wider rollout of technology and will be updated once that has been completed. Finance are also to complete a full inventory - which will help for comparison purposes. It is very difficult to track every asset as some are mobile devices which move frequently and are not always connected to the network, so rely on visible checks over a period.
2	CX	CFO	ICT Mobile Devices	31/03/2019	Complete the (Corporate) annual inventory check (Medium)	In progress	Finance are in the process of facilitating an inventory check, with Directorates; This will help IT asset audit for comparison purposes.
3	CX	AD-SD	ICT Malware	31/03/2019	IT security summary training (Medium)	In progress	Delayed due to getting Netconsent operational and producing the material. NC is now operational and have bought materials but need to test to determine if there are any technical issues. This is being tested and trialled currently. Questions are being developed to ensure the effectiveness of the training. New target date 31 March 2019

Recommendations over 1 year old

Ref	Dir	Assist Dir	Audit	Revised Due Date	Agreed Action & Priority	Status	Service Manager comments
1	DCE	AD-CSS	Restoration of Boultham Park	31/03/2019	Partnership Agreement to be signed (Medium)	In progress. 6mth extension agreed.	We made good progress on agreeing the terms of the revised Partnership Agreement with Linkage. There are just a few details to finalise which neither party envisages causing any problems. The delay has been purely down to the lack of staff resource to deal with this within the service. The Boultham Park project has been without a dedicated Project Manager for over a year now, and this task is one of many that are having to be covered by the Community Services Manager as caretaker Project Manager, alongside 'business as usual' and other projects. We are aware of the need to sign off the revised agreement and doing our best to prioritise this by the end of February. In the meantime, we have a Partnership Agreement which fulfils the needs for the project at the current stage. (Community Services Manager)
2	DHI	AD-H	Responsive Repairs	30/01/2020	Take and store photographs for repairs completed (Medium)	In progress	Current software does not allow this but a planned software upgrade is likely to have this capability. The revised target date is linked to software upgrade.
3	CX	CFO	IT Disaster Recovery	31/03/2019	Seating allocation at Hamilton House (Medium)	In progress	Seating arrangements and draft accommodation designs now complete and presented to Service Managers – now needs incorporating into Alternative Accommodation Strategy and presenting to CMT
4	CX	AD-H	IT Disaster Recovery	31/03/2019	Accommodation for contractors. (Medium)	In progress	Formal confirmation required. In progress

5	CX	AD-SD	IT Disaster Recovery	31/03/2019	LAN connections Hamilton House. (Medium)	In progress	As draft accommodation plans are in place, suppliers have been contacted to determine options for connectivity in the event on invocation.
6	CX	CFO	IT Disaster Recovery	31/03/2019	Limited Business Continuity Plans for all services (Medium)	In progress	Identified that Building Control need to produce a BCP. LCC attending service managers in December 18 to go through BIA's (business impact assessments) and identify any further critical services and to also highlight fact managers can still prepare at BCP (Business continuity plan) even if they aren't on the critical list.
7	CX	CFO	IT Disaster Recovery	31/03/2019	Address the lack of RPOs (Recovery Point Objective) in BCPs (Business Continuity Plans) . (Medium)	In progress	Will be addressed in refreshed BCP's for 2019.
8	CX	CFO	IT Disaster Recovery	31/03/2019	Next BCP desktop exercise to include the IT DR plan (Medium)	In progress	Has been delayed pending resolution of the accommodation strategy and completion of a number of the audit recommendations. However propose that this is undertaken Feb/Mar 19.
9	CX	AD-SD	IT Disaster Recovery	30/06/2019	Produce a test plan. (Medium)	Risk accepted	Testing already occurs for backup of data. Significant elements of the ICT infrastructure are due to be replaced, so any test plan will also change substantially. In addition any testing beyond a low level is likely to be extremely intrusive into the day-to-day running of the business for a sizeable amount of time, so is likely to be unfeasible. Testing would take place if and when the situation arose where testing could be completed more easily.

							No further tracking
10	CX	CFO	IT Disaster Recovery	31/03/2019	Services to plan for loss up to 2 weeks (Medium)	In progress	Issue was highlighted to service managers at SMT session in November 18. This will then be included in the refresh of BCP's in 2019.
11	CX	AD-SD	IT Applications	31/03/2019	Review current agreement arrangement My Info (Medium)	In progress	New solution pending - agreement will be reviewed at that time. SLA currently in place.
12	HI	AD-H	Tenancy Services	31/03/2019	Assistant Director agrees to consider a permanent transfer of the voids team to tenancy services will provide a more coordinated approach	In progress	New Director requested service review which is still in progress - until outcome no decisions to be made

Currently Voids Team under repairs & maintenance, Tenancy Services Manager attends weekly Voids update meeting. Housing Solutions allocating housing now situated in the Tenancy Services office to help better information sharing. |
| 13 | HI | AD-H | Tenancy Services | 31/3/2019 | Pre-tenancy process developed to make sure up front work smooths sustainability of the tenancy | In progress | Will be linked to decision above |

14	HI	AD-H	Tenancy Services	31/3/2019	Look at procedures and continue to review and update	In progress	Tenancy staff currently updating procedures hope to complete by end of March Introduction of universal credits changing a lot of the procedures, working with the benefits team this will require the update of procedures when clear on process.
15	HI	AD-H	Tenancy Services	31/3/2019	Look at the way forward for update of Service Standards as part of the new allocation system	In progress	Linked to review of allocations - still ongoing and service standards rely on outcome of review The Services Standards officer is now working under the repairs and maintenance service. The ASB improvement plan will also require service standards to be updated.
16	HI	AD-H	Tenancy Services	31/3/2019	Photographic evidence to be stored on workflow so that it can be checked when tenant is seen	In progress	Implementation of checks part of review by Assistant Director no outcome until review complete
17	HI	AD-H	Tenancy Services	31/3/2019	Once the photographic evidence process is put in place the Voids & Housing Officers will check ID at sign up and the 3 week visit	In progress	As above

18	HI	AD-H	Tenancy Services	31/3/2019	Tenancy Fraud Risk Assessment to be undertaken in conjunction with the Housing Business Support Manager	In progress	Current data matching exercise to identify potential tenancy fraud – results should be received by end of February 19. Fraud risk assessment will be updated following review
19	HI	AD-H	Tenancy Services	30/06/2019	Once updates to the fraud policy and strategy have taken place review the training needed	In progress	Linked to action on fraud above Policy and strategy will be updated following review
20	HI	AD-H	Tenancy Services	31/3/2019	Tenancy Services Manager to consider annual tenancy inspections	In progress	Currently the volume of tenancies and the resources available make annual inspections of all properties impractical. Review again based on the outcomes of the external review and identification of potential fraud cases.