



City of Lincoln Council

Appendix A

Progress Report – September 2018



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Introduction

1. The purpose of this report is to:
 - Advise of progress made with the Audit Plan
 - Provide details of the audit work undertaken since the last progress report.
 - Provide details of the current position with agreed management actions in respect of previously issued reports
 - Raise any other matters that may be relevant to the Audit Committee role

Key Messages

2. The 2017/18 audit plan is complete; the final two reports were issued in June and July.
3. The 2018/19 audit plan is progressing well; at the end of August 42% has been completed, which is on target. The Plan is attached at Appendix 2 and shows progress to date.
4. Information on audit recommendations can be found in Para 9 and Appendix 5.

Internal Audit Reports Completed May - August

5. The following final reports have been issued since the last progress report;

High Assurance	Substantial Assurance	Limited Assurance	Low Assurance	Consultancy
None	Council Tax (17/18) Planned Maintenance (17/18) Risk Management Sincil Bank Regeneration	None	None	None

Note: The Audit Committee should note that the assurance expressed is at the time of issue of the report but before the full implementation of the agreed management action plan. Definitions levels are shown in Appendix 4.

Below are summaries of the audit reports issued.

Council Tax – Substantial Assurance

The audit reviewed and tested processes operating at both the City of Lincoln Council and North Kesteven District Council. It examined the following risks;

- Discounts or exemptions are incorrectly applied, or fraudulently obtained by customers.
- Refunds are made incorrectly or inappropriately.
- Data from e-forms is not correctly and completely transferred to the Council Tax system.

Our review found that;

- Information and advice regarding discounts and exemptions is available for Council Tax payers.
- Comprehensive electronic procedure notes are available to Council Tax officers, although a recommendation has been made that procedure notes are updated to reflect recent changes.
- From a sample of 100 most popular discounts and exemptions awarded we found that Council Tax staff had obtained sufficient evidence to support the award and the Northgate system had been correctly updated. We found only two errors and recommendations have been made to address these processing errors.
- A process is in place to guard against fraudulent refunds, and refunds are appropriately authorised.
- The introduction of the direct debit e-forms has had a positive impact on collection as more Council Tax payers choose to pay by direct debit.
- Other e-forms have led to reduced customer contact resulting in administrative savings / staff time. Performance indicators are recording the lowest level ever for outstanding customer changes.

We have identified other areas for improvement and have agreed that;

- Quality control checks should be re-introduced to review a sample of all work undertaken by officers within the Council Tax administration team.
- The Business Development and I.T team should inform the Council Tax Team of any proposed changes to processing, e.g. e-forms, to enable re-testing to be undertaken to confirm changes have not impacted on how the form is operating.
- Guidance will be given to staff on the application of the discount code for empty and unoccupied properties

Planned Maintenance – Substantial Assurance

The aim of the review was to provide assurance on programme and contract management covering the Decent Homes and Lincoln Standards, with particular focus on the work linked to the two main contractors / partners.

The following risks were reviewed;

- Budgetary control and programmes of work not managed effectively
- Contract management is not effective

- Incorrect payments

We also reviewed aspects of health and safety, systems and data protection.

Our review found that;

- Budget and programmes.
Budgets are set and approved – these have been based on the work undertaken by staff including a 20% survey during 2015/16. There have been significant improvements in data analysis over the last 2/3 years. A review of the 30 year business plan is scheduled for 18/19.
Budget monitoring arrangements are satisfactory. The issuing of programmes and work is improving and with full implementation of the pro-contract system this should improve further
On the KIER side, all properties are currently pre-surveyed. Completed work is updated into the asset management system. The Decent Homes and Lincoln Standard are regularly reviewed, although the latter could be considered further – see below. Electrical test/installation and gas servicing are pursued where these are refused. Gas servicing performance is monitored and there are no concerns.
- Contract management
Partnering contracts are in place for and the KIER contract has recently been extended (subject to sign off). Contract costs are agreed / established and any increases are checked / approved. The current Aaron contract is under review as there is a possibility to extend from April 2019. There are regular contract meetings – both operational and strategic. Contractors are monitored for quality, cost (via the contract), performance (delivery), and satisfaction. Member and officer reporting is generally satisfactory. Staffing within the Investment team is now back at full capacity but there were resource issues during 2017/18.
- Payments
Satisfactory arrangements are in place to ensure expenditure is correctly reviewed, authorised and coded.
- Health and safety, systems and data protection
We have not reviewed this area in detail but assurance received that processes are working appropriately but improvements to IT systems and processes can be made and this is planned for 18/19. Fire risks appear to be adequately covered through contracts although this area will be covered in a separate audit in 18/19. Processes are in place to assess and manage asbestos risks. Arrangements to ensure gas and electrical safety are in place. Control of contractor arrangements in place with regular reviews.

We have made some recommendations to strengthen controls which include;

- Reviewing investment budgets using current “system data” and consider future stock survey strategies to inform future programmes. Reviewing the range of stock system data available to management and ensure this is communicated effectively.
- Considering performance arrangements related to the Lincoln and Decent Homes standards
- Improving communication between HRS (Housing repairs service) and Investment teams to co-ordinate improvements and also ensure warranty work is correctly managed.

- Reviewing contract management arrangements in some areas
- Considering introducing formal KPI's for Aaron on core programme and quality.
- Monitoring post inspection levels by KIER and Aaron and record COLC post inspection levels and results.
- Reviewing written procedures for training and contingency planning purposes
- Considering action on smoke alarm (and CO) refusals.
- Collecting asbestos cleaning and re-occupation certificates
- Reviewing system development plans (pro-contract) and data protection arrangements
- Creating an additional invoice pre-authoriser, ensuring the budget holder pre-authorises large payments and project officers formally convey checks completed.

Risk Management – Substantial Assurance

The review focussed on the Strategic and Directorate risk registers to ensure that they are up to date, regularly reviewed and risks are actively managed using the correct template.

We also reviewed;

- Risk management and the new LPMM guidance.
- Partnership / shared services / contract risk registers.
- Progress on previous audit recommendations
- A (limited) comparison of major risks facing the organisation with other local authorities strategic registers.
- Identification of red and amber areas on the combined assurance report that have not been considered for inclusion in the risk registers.

The review did not include project risk registers.

We found that overall Risk Management arrangements were in place and working well;

- The Council continues to work with Lincolnshire County Council who provide risk management advice, guidance and training.
- The Risk Management Strategy was reviewed in February 2018 (minor amendments), the risk toolkit has been updated, and a new risk appetite of “opportunistic” has been introduced.
- Risk training has recently been delivered to service managers, Members and CLT. An E-Learning risk training package will be rolled out later in 2018 for new staff / managers.
- Performance Scrutiny committee are provided with a status update for strategic risks on a quarterly basis.
- The Lincoln Project Management Model has recently been revised; it includes guidance in relation to Risk Management and the ownership and monitoring of risks.
- A partnership register is being developed and this will enable identification of key partnerships and provide an opportunity to consider whether a risk register should be in place.

We identified some areas where improvements are required and the key ones are;

- The identity of the officer/member risk champion needs to be more specific within risk management documentation (strategy & toolkit) to help with the profile of risk management.
- Make the risk strategy available to staff via authority wide and city people.
- Consider additional guidance on the front of the template regarding risk appetite and the need for target dates and responsibility for mitigating actions to be recorded.
- Risk template to include the need to record responsibility for mitigating actions
- Risks for Kier & Aaron are to be transferred to the new template and long standing green risks (business as usual) to be removed to allow focus on current risks.
- The MDD risk register should be reviewed promptly; followed by regular quarterly updates
- A process to be developed to ensure that all directorate risks are reviewed at the required time to enable progress against all risks to be reported.
- Business Management & Team Leader to undertake a more proactive role in reviewing risk registers for key contracts and partnerships.

All directorate risk registers have been updated following sessions with service managers and there is an opportunity for the Principal Risk Officer to hold further workshops to continue to drive forward engagement with risk management.

A Partnership audit is due to be completed later this year which will provide additional assurance regarding how risks are managed for strategic partnerships.

Sincil Bank Regeneration – Substantial Assurance

The Sincil Bank Place Shaping Strategy was launched in June 2017, with three underpinning action plans which are now underway;

- Streets & spaces for people
- Homes
- Community hub, skills & enterprise

The programme is part of the Councils Vision 2020 strategic plan and all of the theme groups have some involvement in the delivery of the programme. The strategy is being delivered in partnership with the community and other service providers, public and private sector organisations. The City Council has both a community leadership role and responsibility for delivery of projects.

The review was undertaken to provide assurance on the delivery of the Council's elements of the programme and how the Council works with partners to deliver the overall Sincil Bank Place Shaping Strategy, taking into account the Councils community leadership role. We sought to achieve this through reviewing programme & project management processes including;

- Governance arrangements, for example, decision making, reporting structures, roles and responsibilities, risk management and links with other partners
- Monitoring performance & delivery of the overall programme and individual projects
- Resource Management (capacity and financial)

We found that;

- Place checks of the Sincil Bank area have been undertaken since 2001. Current work input by the Council and officers to engage with the community, support development of the Place Shaping Strategy and get partners and other stakeholders on board to deliver change cannot be underestimated. There is a real focus on improving the area and ensuring that mechanisms are in place for the community to continue this long term programme of improvement.
- In year one the focus of the programme has been on developing community hubs and engaging with the local community to raise awareness of the focus on the Sincil Bank area. Work has also been undertaken on submitting bids for external funding, data collections and setting up a community chest to kick start small community activities.
- There has been a focus on “quick wins” to enhance the physical appearance of the area for example piloting CCTV, reducing fly tipping and refurbishing street name plates. In this way the community can be engaged and can see that changes are being made.
- A governance structure has been developed through the existing Neighbourhood Board which is being strengthened and encouraged to take on new responsibilities. The Board oversees three working groups and two steering groups who are developing and delivering the Place Shaping Strategy action plans. The City of Lincoln Council inputs as a partner to the Board and the working groups. We have recommended that process and procedures to support delivery of the Boards terms of reference are put in place.
- The Neighbourhood Board is open to all interested parties and the working groups are attended by external partners from the private sector. There is a potential for a conflict of interest where Council owned land has been identified for development and private sector partners present potential plans for the land prior to the Council decision making process. Council staff have identified this as a risk particularly around future procurement processes. Officers have also identified that as the Board evolves the type and level of decisions made in this forum should be identified to help mitigate the potential risk.
- The Council has set up a Sincil Bank Internal Working Group which includes officers from various departments across the Council who have an interest in providing services to the community. This group aids communication across the Council, programme & project management and decision making. Work on developing terms of reference and work plans for the group is taking place and this will support the effectiveness of delivery.

Effective assurance on the delivery of the programme is achieved through the Vision 2020 working groups and Corporate Management Team (CMT).

As the programme moves forward into year 2 and Council projects are developed the following processes should be put in place;

- Risk management
- Programme and project briefs
- Project management processes based on the Lincoln Project Management Model
- Completion of the Council's joint working checklist and partnership register

- Developing an engagement plan to ensure that the effective community engagement which has already taken place is continued
- Involve financial services in processes for using the capital budget
- Develop a resource plan

Programme Officers had already identified a number of these requirements and are working towards implementation.

Other Significant Work

6. Updates on other significant work;

Housing Benefit Subsidy Testing

Detailed testing has been completed and is awaiting review by the External Auditor.

De Wint Court

Internal Audit have provided project risk management support for the feasibility group.

Allocations / Choice Based Lettings

This year's Audit Plan contained some time to look at the implementation of a new IT system and to undertake some detailed follow up work on the 2017/18 Allocations audit (Low assurance).

A high level review of the implementation of the new system has been completed, and no issues were identified.

A Short Life Working Group has been set up to ensure that the allocation of 172 new build properties is appropriately resourced, runs smoothly and there are no delays.

Internal Audit are providing risk management support (through the development of a risk register) for this group, and also for another group which has been set up to review the wider allocation process.

Given the resource and work pressures in this service the assurance audit of allocations / choice based lettings will be undertaken in 2019/20.

Audit Plan Changes

7. There have been some changes to the Audit Plan which have been agreed with the Chief Finance Officer;

- The Growth audit has been postponed to 2019/20, as the Growth strategies are still in development.
- The Values & Culture review requires more time than anticipated and has been allocated an extra 20 days (10 from Growth and 10 from an overtime budget).

- Following discussions with the Assistant Director – Health & Environmental Services it has been decided that the audit of the grant arrangements for a new Private Sector Housing Heating scheme are no longer required.

Audits in Progress

8. The following audits are in progress;

- Values & Culture – fieldwork in progress
- City Lottery – fieldwork in progress
- Assets / Commercialisation – fieldwork in progress
- Health & Safety (Housing Fire risk) – fieldwork in progress
- IT Applications – fieldwork in progress
- Transport Hub (final account) – being prepared
- Fees & Charges VFM – being prepared
- Vision 2020 (Housing) – being prepared

Audit Recommendations

9. There is a formal process for tracking Internal Audit recommendations; they are recorded on a monitoring spreadsheet which management can record progress updates on at any time. Performance Departmental Management Teams (DMT's) and Portfolio Holders monitor progress quarterly. On a monthly basis Internal Audit monitor recommendations becoming due. Prior to each Audit Committee Internal Audit will obtain a status report and review progress with management.

Internal Audit undertake formal follow up on all High priority recommendations and all recommendations made in audits where the overall assurance is Limited or Low; evidence of implementation will be requested and examined.

The table below shows a summary of all audits where recommendations are implemented, overdue / extended and not yet due.

Details of overdue / extended recommendations are shown at Appendix 5.

Recommendations Update (at 30th August 2018)

Audit Area	Date	Assurance	No of Recs	Implemented	Outstanding (extended or overdue)	Not Yet Due	Comments / Progress since previous Committee
2012/13							
Vehicle Fuel Management	Feb 2013	Limited	8 (1 High)	7 (1 High)	1		Agreed but driver code to be rolled out across the whole fleet and not just HRS
2015/16							
Accountancy	June 15	Effective	3	2	1		
ICT Mobile Devices	Mar 16	Substantial	6 (1 High)	4	2 (1 High)		
2016/17							
Revenues and Benefits – Support Services	Jul 16	Substantial	5 (1 High)	5 (1 High)			Final recommendation completed
Control Centre	Oct 16	Substantial	8 (2 High)	7 (2 High)	1		Extended 3 mths A new, GDPR compliant agreement is with legal for finalising.
Malware	Nov 16	Substantial	8 (3 High)	7 (3 High)	1		Extended 6 mths
Revenues & Benefits – Information Governance	Feb 17	Limited	15 (8 High)	14 (7 High)	1 (High)		1 High completed 1 High extended 3 mths
Recovery	Mar 17	Substantial	11	10	1		
2017/18							
Transport Hub	April 17	Substantial	9	8	1		2 completed
Responsive Repairs	Jun 17	Substantial	6	5		1	

Audit Area	Date	Assurance	No of Recs	Implemented	Outstanding (extended or overdue)	Not Yet Due	Comments / Progress since previous Committee
Boultham Park Refurbishment	Jun 17	High	2	1	1		Extended 6 mths. Contractual issues are taking priority. Work on the revised agreement is in progress.
Corporate Governance	Oct 17	Substantial	6	5	1		
IT Disaster Recovery	Oct 17	Substantial	19	8	11		11 recs extended 9mths – work in progress but complexities around recovery site means further time required
Customer Experience Strategy	Nov 17	Substantial	10 (2 High)	8	2 (1 High)		1H and 1M extended 7mths 2 completed
IT Applications	Nov 17	Substantial	7	3	4		4 recs extended 3-7mths 2 completed
Stores	Nov 17	Limited	12 (2 High)	12 (2 High)			2 recs completed
Tenancy Services	Jan 18	Substantial	9 (3 High)	1 (1 High)	3 (2 High)	5	1 completed
Asset acquisitions	Feb 18	Substantial	9	5	4		4 extended 2mths
Vision 2020	Mar 18	Substantial	7	7			7 completed
Procurement	Apr 18	Substantial	6 (1 High)	4 (1 High)	1	1	
Car parking	Mar 18	Substantial	7	6	1		
HMO Licensing and Hazards	Jun 18	Limited	18 (8 High)			18 (8 High)	All actions are due for implementation by 30 Sept 18. A detailed follow up will be undertaken and reported to this committee in December.
Housing Investment	Jun 18	Substantial	23 (4 High)	3	11	9 (4 High)	2 completed.
Council Tax	Jul 18	Substantial	6	4	1	1	1 completed

Audit Area	Date	Assurance	No of Recs	Implemented	Outstanding (extended or overdue)	Not Yet Due	Comments / Progress since previous Committee
2018/19							
Risk Management	Jul 18	Substantial	8	6		2	6 completed
Sincil Bank Regeneration	Aug 18	Substantial	10 (1 High)			10 (1 High)	

Performance Information

10. Our performance is measured against a range of indicators and is shown at Appendix 4. There are no concerns in any areas.

Other Matters of Interest

11. There are none.

Appendix 1 – Details of Limited / Low Assurance Reports

There are none.

Appendix 2 – Audit Plan Schedule

Area	Indicative Scope	Planned Start Date	Actual Start Date	Final Report Issued	Current Status / Assurance Opinion
Chief Executive	Critical Activities				
Human Resources (10)	Workbased learning – financial and operational risks	Q3-4			
Human Resources (3)	Attendance management follow up	Q2			
<i>Human Resources</i>	<i>Implementation of the new people strategy</i>				<i>(Potential audit – if time allows)</i>
Human Resources (10)	Recruitment process	Q3			Being prepared
Commercial Property and Small Business Support (10)	Commercial property income Managed workspace	Q3			
Business Strategy (Vision 2020) (10)	Management of key projects in the Housing area	Q2-3			Being prepared
Partnerships (10)	Partnership governance and effectiveness.	Q4			
Commercialisation/ Asset Rationalisation (10)	Review of strategy / projects	Q2-3	July		In progress
Director of Housing and Regeneration	Critical Activities				
Housing Allocations/Choice Based Lettings (10)	Migration of data Data accuracy	N/A	N/A	N/A	Used to support Working Groups – see section 6 for details
<i>Housing Voids, Aids & Adaptations, Rechargeable repairs</i>	<i>Management arrangements</i>	<i>TBA</i>			<i>(Potential audit – if time allows)</i>
Council house sales (5)	Sales / discounts and income.	Q4			
New Build / Housing Company (10)	Contracts and links to the housing company	TBA			Used to support De Wint Court project group
Health and Safety (10)	Housing fire risk - governance arrangements	Q3	Sept		In progress
Strategic Director – Communities & Environment	Critical Activities				
Planning (10)	CIL (Community Infrastructure Levy) and S106. Local plan delivery and monitoring.	TBA			<i>Audit in conjunction with Assurance Lincolnshire</i>

Area	Indicative Scope	Planned Start Date	Actual Start Date	Final Report Issued	Current Status / Assurance Opinion
CCTV	<i>Management / monitoring of CCTV</i>				<i>(Potential audit – if time allows)</i>
Private Sector Housing (5)	DFG / Arrangements for the new Heating scheme	Q2	N/A	N/A	Background work has found that the audit is no longer required. The days will be used for existing audits.
Major Developments Directorate	Critical Activities				
Growth (10)	Economic & Growth agenda - strategies, investment, partnerships, infrastructure.	N/A			Postponed to 19/20 as strategies are being developed during 18/19. The days will be used for the Values & Culture review.
Transport Hub (8)	Closedown of works and final account	Q2-3	Sept		In progress
Financial Governance					
Chief Executive					
Benefits (10)	Universal Credit roll out incl Housing impact.	TBA			
Counter Fraud (20)	We will continue to liaise with the Lincolnshire Counter fraud partnership, undertake a Counter fraud healthcheck, engage with NFI and build on work from Fraud risk assessment and continue to roll out the fraud e-learning training.	Q1-Q4			In progress.
NNDR (5)	Business Rates Growth Policy/Reliefs	TBA			
Bank (5)	Key controls around the Council' banking arrangements.	Q3			
Procurement (10)	Review of frameworks and other OJEU level procurement plus social value policy.	Q4			
City Lottery (3)	Governance arrangements	Q2	Aug		In progress
Governance (10)	The Council's cultural framework	Q1	May		In progress
Governance (5)	Annual assurance We will consider the key	Q1	April	May	Completed – no issues.

Area	Indicative Scope	Planned Start Date	Actual Start Date	Final Report Issued	Current Status / Assurance Opinion
	elements of governance				
Risk Management (5)	Council's risk management arrangements	Q1	April	July	Completed – Substantial assurance
Information Governance (10)	General Data Protection Regulations	Q3/Q4			
ICT Audit (30)	Applications	Q1	July		In progress
	Cyber risks	Q2-3			Prepared
	ICT Strategy implementation and ICT project / programme management	Q3			Prepared
IT DR/Business Continuity (3)	We will follow up with the Business Continuity Group actions arising from the IT DR audit in 2017/18	Q3			
Western Growth (15)	To review project management arrangements	Q1			
Programmes and Projects (13)	Sincil Bank Regeneration	Q1	June	Aug	Completed – Substantial assurance
	Review of project / programme governance arrangements, incl SPIT replacement	Q3			
Consultancy / VFM (10)	Focus to be agreed	Q2-4	Sept		Fees & Charges review being prepared
Emerging Legislation (2)	Management arrangements for forthcoming legislation	TBA			
Audit follow up work (10)	Assurance that actions from previous key audits have been implemented	Q1-Q4	Q1		
Combined Assurance (10)	Completing the integrated assurance mapping process for the Council	Q3/4			
	We will provide additional assurance information on equality and diversity				

Area	Indicative Scope	Planned Start Date	Actual Start Date	Final Report Issued	Current Status / Assurance Opinion
	assurance pending an audit review in 19/20				
Contingency and Emerging risks (30)	Contingency for any brought forward work and emerging risks	Q1-Q4			Part used for completion of 17/18 audits.
Advice and liaison, management, reactive investigations (35)	As area	Q1-Q4			Ongoing
Annual Internal Audit Report (3)	As area	Q1	April	May	Completed. To Audit Cttee June 18
Audit Committee – (20)	Audit Committee support	Q1-Q4			Ongoing
Housing Benefit Subsidy (50)	Testing on behalf of External Audit	Q1-2	May		Detailed testing completed – awaiting EA review
Review IA Strategy and Planning – (5)	New Plan for 2019/20	Q4			

Appendix 3- Assurance Definitions¹

High Assurance	<p>Our critical review or assessment on the activity gives us a high level of confidence on service delivery arrangements, management of risks, and the operation of controls and / or performance.</p> <p>The risk of the activity not achieving its objectives or outcomes is low. Controls have been evaluated as adequate, appropriate and are operating effectively.</p>
Substantial Assurance	<p>Our critical review or assessment on the activity gives us a substantial level of confidence (assurance) on service delivery arrangements, management of risks, and operation of controls and / or performance.</p> <p>There are some improvements needed in the application of controls to manage risks. However, the controls have been evaluated as adequate, appropriate and operating sufficiently so that the risk of the activity not achieving its objectives is medium to low.</p>
Limited Assurance	<p>Our critical review or assessment on the activity gives us a limited level of confidence on service delivery arrangements, management of risks, and operation of controls and / or performance.</p> <p>The controls to manage the key risks were found not always to be operating or are inadequate. Therefore, the controls evaluated are unlikely to give a reasonable level of confidence (assurance) that the risks are being managed effectively. It is unlikely that the activity will achieve its objectives.</p>
Low Assurance	<p>Our critical review or assessment on the activity identified significant concerns on service delivery arrangements, management of risks, and operation of controls and / or performance.</p> <p>There are either gaps in the control framework managing the key risks or the controls have been evaluated as not adequate, appropriate or are not being effectively operated. Therefore the risk of the activity not achieving its objectives is high.</p>

¹ These definitions are used as a means of measuring or judging the results and impact of matters identified in the audit. The assurance opinion is based on information and evidence which came to our attention during the audit. Our work cannot provide absolute assurance that material errors, loss or fraud do not exist.

Appendix 4 - Performance Details 2018/19 Planned Work

Performance Indicator	Annual Target	Profiled Target	Actual
Percentage of plan completed.	100%	25% end June 50% end Sept 75% end Dec 100% end Mar	42% (end of August)
Percentage of key financial systems completed.	100%	100% end Mar	0% (none due)
Percentage of recommendations agreed.	100%	100%	100% (11 out of 11)
Percentage of High priority recommendations due implemented.	100% or escalated	100% or escalated	0% (none due)
Timescales: Draft report issued within 10 working days of completing audit. Final report issued within 5 working days of closure meeting / receipt of management responses. Period taken to complete audit –within 2 months from fieldwork commencing to the issue of the draft report.	100% 100% 80%	100% 100% 80%	100% (2 out of 2) 100% (2 out of 2) 100% (2 out of 2)
Client Feedback on Audit (average)	Good to excellent	Good to excellent	Good to excellent. Average score – 31 out of 32. (2 issued and 2 returned)

Appendix 5 – Recommendations Overdue / Extended (at 30th August 2018)

Ref	Dir	Assist Dir	Date of report	Audit	Priority	Revised Due Date	STATUS	Agreed Action	Status
1	DHR	AD-HIS	01/02/2013	Fleet Management	Medium	30/11/2018	Extended	Update the Driver Code of Practice	Agreed unions and management - but to extend Corporately so awaiting further Exec report
2	CX	CFO	01/06/2015	Accountancy	Medium	31/03/2019	Extended	Update Budget Holder manual	Extended due to FS restructure
4	CX	AD-SD	01/03/2016	ICT Mobile Devices	High	31/03/2019	Extended	Identify and locate IT assets	In progress - further time required
5	CX	CFO	01/03/2016	ICT Mobile Devices	Medium	31/03/2019	Extended	Complete the annual inventory check	In progress - further time required
7	CX	AD-SD	01/09/2016	ICT Malware	Medium	31/12/2018	Extended	IT security summary training	In progress - further time required
8	DHR	AD-H	01/10/2016	Lincare Control Centre 2016	Medium	31/12/2018	Extended	Staged review of contracts - GDPR	Further time required for completion
9	CX	CFO	01/02/2017	Information Governance Revenues and Benefits	High	31/12/2018	Extended	Finalise NKDC + CoIC ICT SLA	In progress - further time required
11	CX	CFO	01/03/2017	Recovery	Medium	31/01/2019	Extended	Fair Collection & Debt Recovery Policy monitoring	Further time required for completion
15	DMD	DMD	01/04/2017	Transport Hub	Medium	30/09/2018	Extended	Transport Hub health and safety file	In progress - further time required

19	DCE	AD-CSS	01/06/2017	Restoration of Boultham Park	Medium	30/09/2018	Extended	Partnership Agreement to be signed	Extension required to September
24	CX	CFO	01/10/2017	Code of Corporate Governance	Medium	31/12/2018	Extended	Update detailed AMP (Asset Management Plan)	In progress - further time required
25	CX	CFO	01/09/2017	IT Disaster Recovery	Medium	31/12/2018	Extended	Seating allocation at Hamilton House	In progress - further time required
26	CX	AD-H	01/09/2017	IT Disaster Recovery	Medium	31/12/2018	Extended	Accommodation for contractors.	In progress - further time required
27	CX	AD-SD	01/09/2017	IT Disaster Recovery	Medium	31/12/2018	Extended	LAN connections Hamilton House.	In progress - further time required
28	CX	CFO	01/09/2017	IT Disaster Recovery	Medium	31/12/2018	Extended	Property to review power, water, drainage	In progress - further time required
29	CX	CFO	01/09/2017	IT Disaster Recovery	Medium	31/12/2018	Extended	Limited Business Continuity Plans for all services	In progress - further time required
30	CX	CFO	01/09/2017	IT Disaster Recovery	Medium	31/12/2018	Extended	Address the lack of RPOs in BCPs.	In progress - further time required
31	CX	CFO	01/09/2017	IT Disaster Recovery	Medium	31/12/2018	Extended	Next BCP desktop exercise to include the IT DR plan	In progress - further time required
32	CX	AD-SD	01/09/2017	IT Disaster Recovery	Medium	31/12/2018	Extended	Wider staff education and awareness	In progress - further time required
33	CX	AD-SD	01/09/2017	IT Disaster Recovery	Medium	30/06/2019	Extended	Produce a test plan.	In progress - further time required
34	CX	CFO	01/09/2017	IT Disaster Recovery	Medium	31/03/2019	Extended	Review approach for assessing risks in BCPs	In progress - further time required
34.1	CX	CFO	02/09/2017	IT Disaster Recovery	Medium	31/03/2019	Extended	Services to plan for loss up to 2 weeks	In progress - further time required
39	CX	AD-SD	01/10/2016	Customer Experience Strategy	High	31/10/2018	Extended	CA BENS CofC place on the action plan	In progress - further time required
40	CX	AD-SD	01/10/2016	Customer Experience Strategy	Medium	30/11/2018	Extended	Review statistical information presentation	In progress - further time required

44	CX	AD-SD	01/11/2017	IT Applications	Medium	31/11/2018	Extended	Circulate Sys Ops guidance - General	In progress - further time required
46	CX	AD-SD	01/11/2017	IT Applications	Medium	31/10/2018	Extended	Obtain support and maintenance agreement Agresso	In progress - further time required
47	CX	AD-SD	01/11/2017	IT Applications	Medium	30/11/2018	Extended	Review current agreement arrangement My Info	In progress - further time required
48	CX	AD-SD	01/11/2017	IT Applications	Medium	31/10/2018	Extended	Obtain support and maintenance agreement Forms	In progress - further time required
51	DHR	AD-H	01/01/2018	Tenancy Services	High	31/12/2018	Extended	Consider transfer of voids team to tenancy services	In progress - further time required
52	DHR	AD-H	01/01/2018	Tenancy Services	High	31/12/2018	Extended	Pre-tenancy process developed further	In progress - further time required
56	DHR	AD-H	01/01/2018	Tenancy Services	Medium	31/12/2018	Extended	Photographic evidence to be stored on workflow	In progress - further time required
61	CX	CFO	01/03/2018	Asset Acquisition	Medium	31/08/2018	Extended	Include Government guidance on MRP in strategy	In progress - further time required
62	CX	CFO	01/03/2018	Asset Acquisition	Medium	31/10/2018	Extended	Review the strategy annually	In progress - further time required
63	CX	CFO	01/03/2018	Asset Acquisition	Medium	31/10/2018	Extended	Develop one filing structure	In progress - further time required
64	CX	CFO	01/03/2018	Asset Acquisition	Medium	31/10/2018	Extended	Decision making records held re document retention	In progress - further time required
69	DCE	AD-CSS	01/03/2018	Car Park Income	Medium	31/12/2018	Extended	Cash collection health and safety risk assessment	In progress - further time required
110	DHR	AD-HIS	28/06/2018	Housing Investment	Medium	31/12/2018	Extended	Core Group meeting frequency	In progress - further time required
111	DHR	AD-HIS	28/06/2018	Housing Investment	Medium	31/12/2018	Extended	Partner meetings - minutes distribution	In progress - further time required

112	DHR	AD-HIS	28/06/2018	Housing Investment	Medium	31/10/2018	Extended	Re-establish performance meetings for contractors	In progress - further time required
114	DHR	AD-HIS	28/06/2018	Housing Investment	Medium	31/10/2018	Extended	Formal KPI's - core programme performance and quality	In progress - further time required
115	DHR	AD-HIS	28/06/2018	Housing Investment	Medium	31/10/2018	Extended	Post inspections review and monitoring	In progress - further time required
116	DHR	AD-HIS	28/06/2018	Housing Investment	Medium	31/10/2018	Extended	QA checks completed by ColC officers will be recorded	In progress - further time required
119	DHR	AD-HIS	28/06/2018	Housing Investment	Medium	31/07/2018	Extended	Asbestos certificates (both cleaning and re-occupation)	In progress - further time required
120	DHR	AD-HIS	28/06/2018	Housing Investment	Medium	31/10/2018	Extended	Timescales add to existing pro-contract programme	In progress - further time required
123	DHR	AD-HIS	28/06/2018	Housing Investment	Medium	31/10/2018	Extended	Valuation checks - confirmation, guidance	In progress - further time required
124	DHR	AD-HIS	28/06/2018	Housing Investment	Medium	31/10/2018	Extended	Review of Aaron cost data	In progress - further time required
125	CX	CFO	01/07/2018	Council Tax	Medium	31/03/2019	Extended	Quality checking process will be re-introduced.	In progress - further time required