



City of Lincoln Council



Audit Recommendations September 2019

Recommendations Update (at September 2019)

Audit Area	Date	Assurance	No of Recs	Implemented	Outstanding (extended or overdue)	Not Yet Due	Comments / Progress since previous Committee
2015/16							
ICT Mobile Devices	Mar 16	Substantial	6 (1 High)	5 (1 High)	1		Extended to 31/03/2020 Officers previously attended Committee
2017/18							
Responsive Repairs	Jun 17	Substantial	6	5	1		Extended to March 2020 Officers previously attended Committee. Linked to software upgrade.
Boultham Park Refurbishment	Jun 17	High	2	1	1		Extended to February 2020 Officers previously attended Committee.
IT Disaster Recovery	Oct 17	Substantial	18	17	1		Due to proposed changes in infrastructure during 2019/20 and updated BCP's this will be moved to 31/03/2020. Note this is also being monitored as an AGS issue and be part of an AGS report in September.
Code of Corporate Governance	Oct 17	Substantial	6	5	1		Moved to Dec 2019 Asset management plan – delay partly due to Property Service Manager vacancy and other priorities.
IT Applications	Nov 17	Substantial	6	5	1		Extended to December 2019 Software (My info) contract/GDPR compliance Officers previously attended Committee

Audit Area	Date	Assurance	No of Recs	Implemented	Outstanding (extended or overdue)	Not Yet Due	Comments / Progress since previous Committee
Tenancy Services	Jan 18	Substantial	10 (3 High)	3 (1 High)	7 (2 High)		Extended to 31 March 2020 Officers previously attended Committee. Attending again in December. See detailed report 6 are extended to March 2020 and 1 to December 2019.
HMO Licensing and Hazards	Jun 18	Limited	20 (5 High)	19 (4 High)	1 (1 High)		September 2019 See detailed report Officer attending September 19 and audit follow up due quarter 3.
Housing Investment	Jun 18	Substantial	23 (4 High)	21 (4 High)	2		Actions nearing completion. 31/3/2020 See detailed report Officer will attend if necessary March/April 2020
2018/19							
Risk Management	Jul 18	Substantial	8	7	1		Extended Dec 2019 Linked to current work on partnerships
Commercialisation	Oct 18	Substantial	4 (1 High)	1 (1 High)	3		Extended to March 2020
IT Applications	Oct 18	Limited	8 (2 High)	1 (1 High)	7 (1 High)		High - System administrator guidance. Draft prepared - to link into new security policies. Working to December 19. Other IT actions have been followed up in July (IA) and further follow up will take place September and

							December. Good progress in general.
Malware / Anti-virus	Nov 18	Substantial	9 (5 High)	6 (3 High)	3 (2 High)		<p>A) Appropriate user training around IT security (including Malware) will be developed for induction and an annual update for all users. Some technical issues working to December 19</p> <p>C) Removable media/ devices on Council hardware, device control software. Subject to review of removable media requirements and working to December 19</p> <p>G) To ensure IT policies and guidance/procedures (sitting below the main IT security policy) are appropriate and up to date officers will carry out a full review as some are overdue for review. Officers will also consider following a standard policy structure (e.g. ITIL). Policies now in draft and currently being reviewed – working to December 19.</p>
Transport Hub	Dec 18	Substantial	2	1	1		<p>Once all works are completed, a further programme board meeting will be arranged to consider arrangements for the PIR as well as the updated budget position, final account, risk register and project plan and then a further Board to consider the PIR and project closure.</p> <p>Extended to Sept 19 due to other priorities. Completion Dec 19.</p>

Council House Sales	Feb 19	Substantial	3 (1 High)	3 (1 High)			All completed
Sickness Absence Follow Up	Mar 19	Substantial	2	2			All completed
Fees & Charges	Apr 19	Substantial	3			3	The template will be updated to reflect strategic priorities, when issued staff will be reminded to use the template for both new & revised fees. Extended to 31/3/2020
Information management	June 19	Substantial	16 (3 High)	7 (1 High)	5	4	2 High are due October 2019 and delivery is on track.
Procurement OJEU & Framework	July 19	Substantial	4	1	1	2	
Boultham Park	July 19	Substantial	2	1		1	

Officers attending

Recommendations over 2 years old

Ref	Dir	Assist Dir	Audit	Revised Due Date	Agreed Action & Priority	Status	Service Manager comments
1	CX	CFO	Code of Corporate Governance	31/12/2019	Consider the need for a detailed Asset management Plan in light of the other investment and asset rationalization strategies (for example the commercial property investment strategy)	Extended	Moved to Dec 2019 Partly due to Property Service Manager vacancy and other priorities.

Recommendations over 1 year old

An extended audit follow up of HMO licensing will take place in the Autumn

Ref	Dir	Assist Dir	Audit	Revised Due Date	Agreed Action & Priority	Status	Service Manager comments
1	DCE	AD-HES	HMO Licensing and Hazards	30/09/2019	Update the PSH Enforcement Policy.(High)	In progress	This has been incorporated into the draft "health and Environment Enforcement Policy 2019-2024" which is scheduled to go to Policy Scrutiny Committee in October 19 and then Executive. Includes Private sector housing, environmental health- food safety, health and safety, environmental protection, contaminated land, public protection and licensing. As the policy is far broader than initially anticipated this has taken longer to complete. We are still able to enforce effectively Target date 31 Dec 19

2	DCE	AD-HES	HMO Licensing and Hazards	31/05/2019	<p>Work will be undertaken with the system administrator to reconfigure the IT system so that different codes can be used to record the hazard and category.</p> <p>This will enable monitoring and reporting to be undertaken.</p> <p>The original service request will be used and closed dates will be recorded (High)</p>	Complete	<p>This has been completed. 29 hazard codes have been created and are now being used within APP.</p> <p>Codes are used for Housing Standards Part 1 of Housing Act 2004.</p> <p>HMO's are inspected under Part 2 of the Housing Act 2004 and have additional requirements to Part 1 above.</p> <p>Within APP the coding structure is such that the scheduled date will record the date the Category 1 hazard was identified and the completed date will record the date that the Category 1 hazard was removed.</p> <p>These codes will be used as part of the private housing performance management framework.</p>
3	DCE	AD-HES	HMO Licensing and Hazards	31/08/2019 (PMF)	<p>New performance measures are being considered; to include condition monitoring, hazard rectification and gas safety certificate renewal (Medium)</p>	Complete/ In progress	<p>Coding structures within APP have been developed and systems are in place that alert case officers to follow up on conditions, hazard rectification. Monthly 1 to 1's with officers monitor all workstreams.</p> <p>Gas safety certificates, Verso automatically sends out reminders to Licence holders when a new certificate is required. In addition monthly reports can be generated from APP to cross reference with Verso.</p> <p>These areas will form part of the performance management framework.</p>

4	DCE	AD-HES	HMO Licensing and Hazards	31/05/2019	The Method Statement / procedure notes should be updated(Medium)	Complete	Completed and issued to all private housing team staff as part of the operational procedures and will subject to regular review.
5	DCE	AD-HES	HMO Licensing and Hazards	31/05/2019	Clarification will be obtained from the Council's Data Protection Officer with regard to whether personal information should be disposed of once it has been used for the purpose that it was provided. (Medium)	Complete	Detailed advice received from Legal and DP officer. Declaration in Verso for the fit and proper person is sufficient. DBS not required unless certain triggers reached from the application process.
6	DCE	AD-HES	HMO Licensing and Hazards	31/05/2019	Phase out use of the monitoring spreadsheet(Medium)	Complete	No longer used superceded by the additional coding structure in APP.
8	DHI	AD-HIS	Housing Investment	31/03/2020	Add timescales to the existing Pro-contract programme milestones (Medium)	In progress	In progress -the software is being used but could be further utilised hence the work around additional milestones which will be set and delivered over the next few months. Project will be led by the Investment Team Leader.
9	DHI	AD-HIS	Housing Investment	31/03/2020	Review contractor cost data at least annually to identify any potential duplicates(Medium)	In progress	Previous reviews have taken place. Staff have the relevant data but require further training and support and this needs to be scheduled.
10	DHI	ADH	Tenancy Services	31/03/2020	Assistant Director agrees to consider a permanent transfer of the voids team (or part of the voids team) to tenancy services which will provide a more coordinated approach	Extended	Options being considered. Need full review of Voids process first as needs to be evidence based. TSM attending weekly Voids meetings so picking up issues. Also links to other potential business cases. Extend to 31/3/2020

11	DHI	ADH	Tenancy Services	31/03/2020	Pre-tenancy process developed to make sure up front work smooths sustainability of the tenancy	Extended	Currently developing a business case - for pre-tenancy support and ongoing support throughout the life of the tenancy - Extend to March 2020
12	DHI	ADH	Tenancy Services	31/03/2018	Staff to log out of APP once information has been obtained	Completed	Communicated to staff, now working
13	DHI	ADH	Tenancy Services	31/03/2020	Look at procedures and continue to review and update	Extended	Started to review processes and procedures - significant work. Looking to complete this on income and universal credit by end of Sept 19 and ASB/Housing processes by end of March 2020. Also looking at storage/access.
14	DHI	ADH	Tenancy Services	31/03/2020	Look at the way forward for update of Service Standards as part of the new allocation system	Extended	Tenancy Services Manager to liaise with the Resident Involvement Manager
15	DHI	ADH	Tenancy Services	31/09/2019	Photographic ID evidence to be stored on workflow so that it can be checked when tenant is seen	Extended	Should be possible to have in place by Sept 19.
16	DHI	ADH	Tenancy Services	31/09/2019	Once the photographic evidence process is put in place the Voids & Housing Officers will check ID at sign up and the 3 week visit	Extended	Should be possible by Sept - the three week visit will move to week 1 visit
17	DHI	ADH	Tenancy Services	31/03/2020	Tenancy Fraud Risk Assessment to be undertaken in conjunction with the Housing Business Support Manager	Extended	Waiting until current tenancy fraud (tenancy verification match) is further completed to help inform the risk assessment. Moved to 31/03/2020. There is currently a summary risk assessment within the corporate fraud risk register
18	DHI	ADH	Tenancy Services	31/03/2020	Undertake pro-active counter fraud work	Completed	Data matching completed and work started on the matches.
19	DHI	ADH	Tenancy Services	31/03/2020	Update the fraud policy and strategy and train as required	Extended	Waiting until current tenancy fraud (tenancy verification match) is further completed to help inform the policy and strategy. Moved to 31/03/2020.

20	DHI	ADH	Tenancy Services	31/09/2019	Tenancy Services Manager to consider annual tenancy inspections	Deferred	This is something that has been considered but there are other risks where resources need to be prioritized so for the moment this is likely to be something to implement in 2-3 years' time.
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