CITY OF Lincoln COUNCIL

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City of Lincoln Council
Appendix A
Audit Recommendations
December 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 2020 Asset management plan – delay partly due to Property Service Manager vacancy and other priorities.
IT Applications	Nov 17	Substantial	6	5	1		Extended to March 2020 Software (My info) contract/GDPR compliance Officers previously attended Committee
Audit Area	**Date**	**Assurance**	**No of Recs**	**Implemented**	**Outstanding**	**Not Yet Due**	**Comments / Progress since previous Committee**

					(extended or overdue)		
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)	16 (2 High)	4 (3 High)		Audit Extended Follow up completed Actions extended to March 20
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 March 2020 Linked to current work on partnerships 2e. Following completion of the Partnership register the BM&TL will undertake periodic reviews of the register to ensure (where appropriate) that risk registers are completed and reviewed on regular basis.
Commercialisation	Oct 18	Substantial	4 (1 High)	1 (1 High)	3		Extended to March 2020

							1a Develop a high level strategy to provide a standard definition of commercialisation and support implementation across the Council 1c. Organisational Development linked through inclusion of skills and competencies in the strategy 1d. Strategy will be communicated and reinforced through the TFS programme
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 March 2020 Other IT actions have been followed up in July (IA) and further follow up will take place December. Good progress in general.
Malware / Anti-virus	Nov 18	Substantial	9 (5 High)	6 (3 High)	3 (2 High)		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 March 2020 C) Removable media/ devices on Council hardware, device control software. Subject to review of removable media requirements and working to February 2020 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 March 2020
Transport Hub	Dec 18	Substantial	2	1	1		Post implementation review Working to Dec 19. – follows DFT monitoring and evaluation submission
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)	14(2 High)	2		Extended. DP training will be completed by March 2020 (High) Assist IAOs to review access to their network drives March 2020
Procurement OJEU & Framework	July 19	Substantial	4	3	1		Ensure that the LPMM Checklist A and the PIR checklist include a prompt / requirement for 'lodging contracts with Legal' End February 2020

Boultham Park	July 19	Substantial	2	1		1	• Submission of the final account to HLF and claim for financial reimbursement *– some works still outstanding - final claim to follow* • Approval of the draft project evaluation; *was revised and reissued. We're awaiting NLHF feedback and final sign off.* • Award of green flag status - *completed* • Sharing of information by partners of contract documentation *– some completed / will be completed post project* *Extended date 31/3/20*

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 2020 Partly due to Property Service Manager vacancy and other priorities.
2	CX	BDIT	ICT Mobile devices	31/3/2020	Identify (mobile) IT assets not connected to network	Extended	New asset management software being installed
3	DHI	AD	Responsive Repairs	31/03/2020	Identify if current hand held devices used by operatives can take and submit photographs for each repair	Extended	Extended to March 2020 Officers previously attended Committee. Linked to software upgrade.
4	DCE	ADCSS	Boultham Park Refurbishment	28/02/2020	Revisions to Partnership Agreement with Linkage to be agreed by both parties and board and signed.	Extended	Extended to February 2020 Officers previously attended Committee.
5	CX	CFO	IT Disaster Recovery	31/03/2020	Ensure that the next BCP desktop exercise includes the IT DR plan	Extended	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 the AGS update report
7	DHI	BDIT	IT Applications	31/03/2020	Software (My info) contract/GDPR compliance		Extended to March 2020 Officers previously attended Committee

Recommendations over 1 year old

Ref	Dir	Assist Dir	Audit	Revised Due Date	Agreed Action & Priority	Status	Service Manager comments
1	DCE	AD-HES	HMO Licensing and Hazards	31/03/2020	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. This will enable monitoring and reporting to be undertaken. The original service request will be used and closed dates will be recorded	Extended	29 hazard codes have been created and are now being used within APP. Codes are used for Housing Standards Part 1 of Housing Act 2004. HMO's are inspected under Part 2 of the Housing Act 2004 and have additional requirements to Part 1 above. 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. These codes will be used as part of the private housing performance management framework. Testing shows some non-compliance with procedures – to address.
2	DCE	AD-HES	HMO Licensing and Hazards	31/03/2020	Consider automating the process to report on and monitor conditions	Extended	Testing shows some non-compliance with procedures. To address. Status amended to Extended with a target date of March 20
3	DCE	AD-HES	HMO Licensing and Hazards	31/03/2020	Look into using the APP system to produce reports	Extended	Testing shows some non-compliance with procedures. To address. All APP

					on gas certificates due / overdue		data will be migrated to Verso and a new version of Verso (Jan 20) will automate this process. Status amended to Extended with a target date of March 2020
4	DCE	AD-HES	HMO Licensing and Hazards	31/03/2020	Remind staff of the need to ensure that the process for monitoring and reminding of licences expiring operates consistently.	Extended	Testing shows some non-compliance with procedures. To address. Status amended to Extended with a target date of March 20
5	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.
6	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.
7	DHI	ADH	Tenancy Services	31/03/2020	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. Extended to 31/3/2020
8	DHI	ADH	Tenancy Services	31/03/2020	Pre-tenancy process developed to make sure up front work smooths sustainability of the tenancy	Extended	Business case completed. Pre tenancy mapping underway. Extend to March 2020

9	*DHI*	*ADH*	*Tenancy Services*	*31/03/2018*	*Staff to log out of APP once information has been obtained*	*Completed*	*Communicated to staff, now working*
10	*DHI*	*ADH*	*Tenancy Services*	*31/03/2020*	*Look at general procedures and continue to review and update*	*Completed*	*Implemented new UC procedure for new tenants.* *Ongoing reviews*
11	*DHI*	*ADH*	Tenancy Services	31/03/2020	Service Standards which identify what the tenant can expect were produced in 2013, these also require review. The Resident Involvement Manager has been tasked with this review.	Extended	Awaiting update The Resident Involvement Manager
12	*DHI*	*ADH*	Tenancy Services	31/12/2019	Photographic ID evidence to be stored on workflow so that it can be checked when tenant is seen	Extended	Looking to have something in place by December 2019
13	*DHI*	*ADH*	Tenancy Services	31/12/2019	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	Looking to have something in place by December 2019
14	*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
15	*DHI*	*ADH*	Tenancy Services	31/03/2020	Undertake pro-active counter fraud work	Extended	Data matching completed and work started on the matches.

16	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.
17	DHI	ADH	Tenancy Services		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.
18	CX	CFO	Risk Management	31/3/2020	Ensure (where appropriate) that risk registers are completed and reviewed on regular basis. Key partnerships	Extended	Extended March 2020 Linked to current work on partnerships 2e. Following completion of the Partnership register the BM&TL will undertake periodic reviews of the register to ensure (where appropriate) that risk registers are completed and reviewed on regular basis.
19	CX	CFO	Commercialisation	31/3/2020	1a Develop a high level strategy to provide a standard definition of commercialisation and support implementation across the Council 1c. Organisational Development linked through inclusion of skills and competencies in the strategy 1d. Strategy will be communicated and reinforced through the TFS programme	Extended	Extended to March 2020

20	ALL ALL	BDIT	IT Applications	31/3/2020	System administrator guidance Specific actions linked to applications	Extended	High - System administrator guidance. Draft prepared - to link into new security policies. Working to March 2020 Other IT actions have been followed up in July (IA) and further follow up will take place December. Good progress in general.
21	DHI	BDIT	Malware / Anti-virus	31/3/2020	A) Appropriate user training around IT security (including Malware) will be developed for induction and an annual update for all users. C) Removable media/ devices on Council hardware, device control software. 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).	Extended	A) Some technical issues - working to March 2020 C) Subject to review of removable media requirements and working to December 19 G) Policies now in draft and currently being reviewed – working to March 2020 or before.