

Appendix A



**City of Lincoln Council**



**Audit Recommendations**

**March 2020**

## Recommendations Update (at March 2020)

**Reports that are over 2 years old (under the Follow Up protocol these recommendations will no longer be monitored by IA and Audit Committee)**

**Management have been notified of the new protocol and advised to continue monitoring these actions via DMTs.**

Audit Area	Date	Assurance	No of Recs	Implmntd	Outstanding (extended or overdue)	Comments / Progress
ICT Mobile Devices	Mar 16	Substantial	6	5	1 High	Identify mobile IT assets not connected to the network. Extended to March 2020 Officers previously attended Committee
Responsive Repairs	Jun 17	Substantial	6	5	1 Medium	Take photos of repairs – linked to software upgrade Extended to March 2020 Officers previously attended Committee
Boultham Park Refurbishment	Jun 17	High	2	1	1 Medium	Complete revised partnership agreement Extended to February 2020 Officers previously attended Committee.
IT Disaster Recovery	Oct 17	Substantial	18	17	1 Medium	Ensure that the next BCP desktop exercise includes the IT DR plan Extended to March 2020 Note that IT DR is being monitored as an AGS issue
Code of Corporate Governance	Oct 17	Substantial	6	5	1 Medium	Refresh of Asset Management Plan Extended to Dec 2020 Officers previously attended Committee.
IT Applications	Nov 17	Substantial	6	5	1 Medium	Review the agreement arrangements for MyInfo Extended to March 2020 Officers previously attended Committee

Tenancy Services	Jan 18	Substantial	11	3	2 High 6 Medium	<p>Consider a permanent transfer of the Voids team to Tenancy Services (High)</p> <p>Develop pre-tenancy processes to improve sustainability (High)</p> <p>Review the way forward for service standards</p> <p>Obtain &amp; store photographic ID evidence and check at sign up and the 3 week visit</p> <p>Undertake a Tenancy Fraud risk assessment</p> <p>Undertake pro-active counter fraud work (in progress)</p> <p>Update the fraud policy / strategy and train staff</p> <p>Extended to March 2020</p> <p>Officers previously attended Committee (twice)</p>
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## Reports that are between 1 and 2 years old

Audit Area	Date	Assurance	No of Recs	Implmntd	Outstanding (extended or overdue)	Not Yet Due	Comments / Progress
HMO Licensing and Hazards	Jun 18	Limited	20	16	3 High 1 Medium		<p>Condition monitoring process (High)                      Gas certificate renewal process (High)                      Hazard monitoring process (High)                      Licence expiry monitoring process                      Extended Follow up completed &amp; reported to Audit Committee in December 2019 (officer attended)                      Actions extended to March 2020</p> <p>Awaiting Update</p>
Risk Management	Jul 18	Substantial	8	7	1 Medium		<p>Periodic review of partnership risk registers                      Extended to August 2020                      This is linked to current work to update the Partnership register.                      Officers attending</p>
Commercialisation	Oct 18	Substantial	4	1	3 Medium		<p>The CFO has advised that the TFS programme has changed focus and this area is no longer a priority.                      The recommendations will be marked as superseded but can be resurrected in the future.</p>
IT Applications	Oct 18	Limited	8	1	1 High 6 Medium		<p>Update &amp; circulate System Administrator guidance (High) Extended to April 2020 (agreed)                      The other actions have been followed up by IA (in July 2019) and a further follow up will take place in December. Good progress in general.                      Officers attending</p>

Malware / Anti-virus	Nov 18	Substantial	9	6	2 High 1 Medium	<p>User training around IT security (including Malware) for induction and an annual update for all users (High). Some technical issues. Extended to July 2020 (agreed)</p> <p>Device control software &amp; encryption project (High). Extended May 2020 (agreed)</p> <p>Ensure IT policies and guidance / procedures (sitting below the main IT security policy) are appropriate and up to date. Policies now in draft. Extended to October 2020 agreed</p> <p>Officers attending</p>
Transport Hub	Dec 18	Substantial	3	2	1 Medium	<p>Formal project closure &amp; post implementation review Due December 2019</p> <p>Extended to August 2020 (agreed)</p> <p>Officers attending</p> <p>Awaiting defects liability period end and evaluation reports to DfT and GLLEP</p>

## Reports that are less than 1 year old

Audit Area	Date	Assurance	No of Recs	Implmntd	Outstanding (extended or overdue)	Not Yet Due	Comments / Progress
Fees & Charges	Apr 19	Substantial	3			3 Med	Recommendations due March 2020 Update requested.
Information management	June 19	Substantial	16	15	1 Medium		Extended to June 2020
Procurement OJEU & Framework	July 19	Substantial	4	3	1 Medium		Extended to September 2020 This is linked to a current LPMM review, which may be completed by September 2020.
Housing Rents	Dec 19	Substantial	4	1	1 High 2 Medium		High is due June 20. Mediums are due March 2020 & July 2020
Recruitment	Dec 19	Substantial	7	6		1 High	
Licensing	Feb 20	Substantial	7			7 Med	NYD recs are; 2 due March 2020 – Awaiting update 3 due July 2020 1 due Jan 21 1 due Apr 21

