



## City of Lincoln Council

## Audit Recommendations

September 2020



Appendix A

**Reports that are over 2 years old (under the Follow Up protocol these recommendations will no longer be monitored by IA and Audit Committee). They are still available to management on the recommendation tracker.**

**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. Officers previously attended Committee Rollout of new devices to staff will be linked to specific employees Remove
Responsive Repairs	Jun 17	Substantial	6	5	1 Medium	Take photos of repairs – linked to software upgrade Officers previously attended Committee Remove
Boultham Park Refurbishment	Jun 17	High	2	1	1 Medium	Complete revised partnership agreement Officers previously attended Committee. Remove
IT Disaster Recovery	Oct 17	Substantial	18	17	1 Medium	Ensure that the next BCP desktop exercise includes the IT DR plan IT DR is being monitored as an AGS issue Remove
Code of Corporate Governance	Oct 17	Substantial	6	5	1 Medium	Refresh of Asset Management Plan Remove
IT Applications	Nov 17	Substantial	6	5	1 Medium	Review the agreement arrangements for MyInfo Remove
Tenancy Services	Jan 18	Substantial	11	3	2 High 6 Medium	The two high priority actions: <ul style="list-style-type: none"> <li>Consider a permanent transfer of the Voids team to Tenancy Services (High) – Void Support is with Tenancy Services now (now completed)</li> <li>Develop pre-tenancy processes to improve sustainability (High) – ongoing, process being mapped. Was on hold due to Covid budget funding but the</li> </ul>

						<p>working group has been set up and pilot should start in October.</p> <ul style="list-style-type: none"><li>• Medium actions will be removed</li></ul>
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## Reports that are between 1 and 2 years old

Audit Area	Date	Assurance	No of Recs	Implmtd	Outstanding (extended or overdue)	Not Yet Due	Comments / Progress
HMO Licensing and Hazards	Jun 18  Follow up review Dec 19	Limited	20	16	3 High 1 Medium		<p>Awaiting Update – moved to Dec 2020</p> <ul style="list-style-type: none"> <li>• Consider automating the process to report on and monitor conditions. (High)</li> <li>• APP system reporting on gas certificates due / overdue. (High)</li> <li>• Reconfigure the IT system so that different codes can be used to record the hazard and category (High)</li> <li>• Remind staff of the need to ensure that the process for monitoring and reminding of licences expiring operates consistently.</li> </ul>
Risk Management	Jul 18	Substantial	8	7	1 Medium		<p>Periodic review of partnership risk registers This is linked to current work to update the Partnership register. <b>Remove</b></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. <b>Remove</b></p>
IT Applications	Oct 18	Limited	8	1	1 High 6 Medium		<p>Update &amp; circulate System Administrator guidance (High) Extended to December 2020</p>

Malware / Anti-virus	Nov 18	Substantial	9	7	1 High 1 Medium	Device control software management (High) Extended to December 2020  Revised IT Security Policy (Med) Extended to December 2020
Transport Hub	Dec 18	Substantial	3	2	1 Medium	Formal project closure & post implementation review Extended to March 21

## 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	Moving forward with new issues and workloads arising from Covid unlikely to be progressed as part of the 21/22 process <b>Remove</b>
Information management	June 19	Substantial	16	15	1 Medium		Assist IAOs to review access to their network drives Extended to December 2020
Procurement OJEU & Framework	July 19	Substantial	4	4			Ensure that the LPMM Checklist A and the PIR checklist include a prompt / requirement for 'lodging contracts with Legal Now completed
Housing Rents	Dec 19	Substantial	4	2	1 High 1 Medium		The possibility of producing a report from UH which flags up new tenancies not at the target rent will be looked into. Extended 31/12/2020 (High)  Put in place a process to review Affordable Rents when tenancies change Completed  Produce a new Arrears Policy and supporting procedures / flowchart. Current legal/court changes means we can't finalise the income currently. March 2021 (Med)
Recruitment	Dec 19	Substantial	7	6		1 High	Criteria for posts that require a DS (Disclosure Scotland ) to be identified. Extended to Dec 2020
Licensing	Feb 20	Substantial	7		5 Med	2 Med	All moved to 31 <sup>st</sup> March 2021 due to COVID

Payroll	Mar 20	High	2		2 Med		Data handling will be a standing agenda item at liaison meetings. HR & WBL Manager to sign off quarterly IT access reports for HR and Payroll staff plus any changes to access levels Extended to Dec 2020
ICT Anti-Malware	Mar 20	Substantial	10	1	8 (1 High)	1 (High) 1 (Med)	<ul style="list-style-type: none"> <li>• Progress the provision of training video (Med) Extended to December 2020</li> <li>• Engineers working remotely or on site guidance (High) Extended to December 2020</li> <li>• The Code of connection will be reviewed (High) Jan 2021 <b>Not yet due</b></li> <li>• Officers will review the wording on the alert (computer message)– <b>Implemented</b> (med)</li> <li>• Malware incident reporting by staff (review). Extended to December 2020</li> <li>• Security policy on the MDM (mobile device management) Extended to December 2020</li> <li>• Web filtering -. Extended December 2020</li> <li>• Review policy areas with the Principal IT officer and others - Extended to December 2020</li> <li>• Smartphones and Tablets updates (Med) Feb 2021 (<b>Not yet due</b>)</li> <li>• Alerts from Alien Vault - Extended to December 2020</li> <li>• Consider the business requirement for access to each file type. Extended to December 2020</li> <li>• A detailed incident management policy/procedure will be developed. Extended to December 2020</li> <li>• There is an opportunity to 'tighten' change and configuration control with regard to the AV solution and other security controls that secure the corporate network and</li> </ul>

							<p>associated assets. Extended to December 2020</p> <ul style="list-style-type: none"> <li>• The Senior IT Officer (Security) and Principal IT Officer will re-circulate the current change control guidance Extended to December 2020</li> <li>• BDITM will commit to a review of the current change management policy/protocol and also benchmark to other local authorities. Extended to December 2020</li> </ul>
Risk Management	May 20	Substantial	1	1			The DMD risk register should be updated – Now completed
De Wint Court project management	Jul 20	Substantial	6	4	2		<p>Maintain a lessons learned log.(May 2020) (med) (Completed)</p> <p>The Architect should sign the Deed of Novation of Contract (High) – Signed - awaiting copy</p> <p>The contractor's risk register should be presented to the Board (completed)</p> <p>Produce a client project plan and present it to the Board (Completed) (High)</p> <p>Payment audit trail (High) Extended to 31<sup>st</sup> October 2020</p> <p>A 'Financial working group' will be set up (Completed)</p>
Housing Allocations	Aug 20	Substantial	4	2		2	<p>Introduce and document a sample quality check across all assessors (Jan 2021) (Med) <b>(Not yet due)</b></p> <p>Annual review of applications (Feb 2021).(Med) <b>(Not yet due)</b></p>
Homelessness	Aug 20	Substantial	2	1		1	Document retention - workflow (Med) Not yet due Dec 2020
Efficiency savings							No recs



