



City of Lincoln Council



Audit Recommendations

March 2021

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)	Not Yet Due	Comments / Progress
HMO Licensing and Hazards	Jun 18 Follow up review: Dec 19	Limited	20	20			The 4 remaining recommendations have been implemented.
IT Applications	Oct 18	Limited	8	1	1 High 6 Medium		Update & circulate System Administrator guidance (High) Extended to December 2020 <u>Mar 2021 update</u> BDITM to complete – target date Mar 21
Malware / Anti-virus	Nov 18	Substantial	9	7	1 High 1 Medium		Device control software management (High) Extended to December 2020 <u>Mar 2021 update</u> Rolling out devices over next few months. - configuration complete. Aiming to get all devices out by end September 21. Revised IT Security Policy (Med) Extended to September 2021
Transport Hub	Dec 18	Substantial	3	2	1 Medium		Formal project closure & post implementation review Extended to August 2021

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
Information management	June 19	Substantial	16	15	1 Medium		Assist IAOs to review access to their network drives <u>Update March 2021</u> Exploring new options for doing this. Extended to September 21
Housing Rents	Dec 19	Substantial	4	3	1 High		The possibility of producing a report from UH which flags up new tenancies not at the target rent will be looked into. (High) <u>Update March 2021</u> Very close to completion, requires some further work. Moved to April 2021

Reports that are less than 1 year old

Audit Area	Date	Assurance	No of Recs	Implmtd	Outstanding (extended or overdue)	Not Yet Due	Comments / Progress
Licensing	Feb 20	Substantial	7	3	4 Med		<p>Delayed due to COVID Some actions moved to September 2021</p> <p>Pro-active licensing spot checks completed; conflicts of interest system updated and an annual report completed (verbal update).</p>
ICT Anti-Malware	Mar 20	Substantial	10	1	7 (1 High)	1 (High) 1 (Med)	<p>March 21 Update</p> <p>Review the wording on the alert (computer message) – Implemented</p> <p>Due to responses for Covid and new ways of working, other aspects of the ICT Service have been prioritised. Rollout of new devices, along with the supporting infrastructure has been the priority; this will also help with improving the overall security risk to the Authority by removing some legacy issues with outdated equipment and gain some advantages from global-leading security. A risk register for ICT has also been developed and will be monitored through Corporate Leadership Team. Projects are underway across a range of the higher risk areas to maintain and improve security. Whilst ICT services by their nature are subject to potential attack, there are no highly significant issues caused by the outstanding actions. The Authority continues to provide solutions to monitor and protect against a range of threats. Work is ongoing to address the remaining actions.</p> <ul style="list-style-type: none"> IT security training – extended to June 21 due to license issues

						<ul style="list-style-type: none"> • Agree minimum compliance standards for suppliers – started. Extended to June 2021. • Review incident reporting arrangements (out of hours) – pending review • Security policy linked to mobile device management. Extended September 21 • Review web filtering arrangements – currently obtaining advice. Extended to September 2021 • Review (software) policy areas - currently obtaining advice. September 2021 • Smartphones and Tablets - review the (security) policy. Extended to September 2021 • Complete a briefing note/guidance and training for other IT officers relating to Alien Vault – extended to September 21 • Consider the business requirement for access to file types. Currently obtaining advice. Extended to September 2021 • Review and update the Incident management policy/procedure - Extended September 2021 • Ensure that any configuration changes to the AV solution (and other pertinent security controls) are subject to careful consideration and documented (change control. Review the current change management policy/protocol and also benchmark to other local authorities. Extended to September 2021. Re-circulate the current change-control guidance
De Wint Court project management	Jul 20	Substantial	6	6		The outstanding recommendation has been implemented.

Housing Allocations	Aug 20	Substantial	4	2		2	<p>Introduce and document a sample quality check across all assessors (Jan 2021) (</p> <p><u>March 21 Update</u> There has been a delay due to a system upgrade extension requested to 1/4/21</p> <p>Annual review of applications</p> <p><u>March 21 Update</u> More complex than anticipated so requested further extension. 30/6/21</p>
Homelessness	Aug 20	Substantial	2	1	1		<p>Document retention - workflow (Med) Due Dec 2020</p> <p><u>Update March 2021</u> The Workflow system has recently been upgraded and additional work is now required to address this.</p> <p>Extended to June 21</p>

External Audit Recommendations

Audit Area	Date	Assurance	No of Recs	Implmntd	Outstanding (extended or overdue)	Not Yet Due	Comments / Progress
ISA 260 Report	Nov 20	N/A	3	1		2	1) Remind all staff (service managers) to promptly notify IT for all leavers. Revisit protocols and processes to ensure there is an appropriate control in place to capture any non-notified leavers on IT systems. The Council will remind all managers to ensure that appropriate IT forms are filled into remove leavers from all systems (High)

						<p><u>Management response</u> Completed. Reminder has been issued; all current disabled IT access is under review (ongoing)</p> <p>2) Asset Valuation inputs. The Council should perform an annual reconciliation of key valuation inputs prior to providing information to the nominated valuer. Management response (Med)</p> <p><u>Management response</u> The Council will consider undertaking a review in 20/21.</p> <p>3) The Council should review its approach to the calculation of its debt impairment to ensure that this accords with the requirements of IFRS 9 and the CIPFA Code. Management response (Med)</p> <p><u>Management response</u> To be considered as part of the 2020/21 reporting cycle.</p> <p><u>December 2020 update</u> These two areas will be 20/21 year end exercises so will be covered April 21 as part of the closedown process.</p>
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