Implementation Reviews Quarter 2 201415
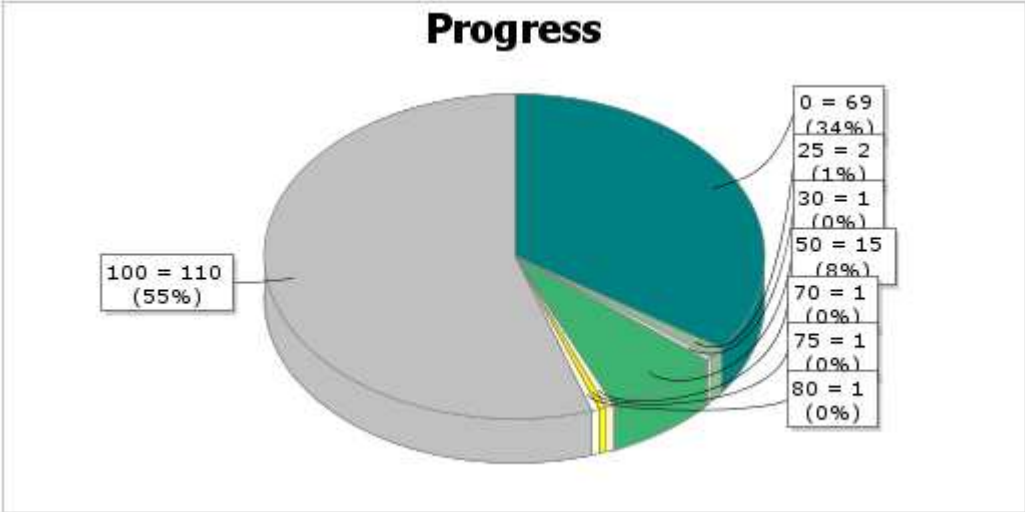
Audit Recommendation Code & Title	Audit Recommendation Status Icon	Directorate	Audit Recommendation Priority	Audit Recommendation Progress Bar
1112 DQRM 3.1c Processes to remove old sensitive data	✅ To be completed after Records Management Policy approved	Tech CP	High Priority	0%
1112 DQRM 3.2a Scanning Facilities	✅ Policy will be drafted in line with Records Management Policy	Tech CXP	High Priority	0%
1213 T&S 3.3 Documentation provided annually	✅ Spreadsheet not yet fully developed	TCP	High Priority	0%

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Audit Recommendation Code & Title	Audit Recommendation Status Icon	Directorate	Audit Recommendation Priority	Audit Recommendation Progress Bar
1314 Com&Ind06.1 a) Monitoring	🔴 Spreadsheet not yet fully developed	AE	High Priority	0%
1314 Com&Ind06.1 b) Monitoring	🔴 Revised date	AE	High Priority	0%
1314 Com&Ind09.3 a) Rent Reviews	🔴 Revised date	AE	High Priority	0%
1314 Com&Ind09.3 b) Rent Reviews	🔴 Revised date	AE	High Priority	0%
1314 ComAdmin9.8 Business Continuity	🔴 Revised date	AE	High Priority	0%
1314 Legal 01.1 Business Continuity	🔴 Revised date	STTC	High Priority	0%
1314 Legal 08.1 Legal Documents	🔴 Revised date	STTC	High Priority	0%
1314 Legal 12.1 Risk Treatment Measures	🔴 Revised date	STTC	High Priority	0%
1314 Legal 14.1 Segregation of Duties	🔴 Revised date – new staff	STTC	High Priority	0%
1314 Legal 17.2 Legislation Changes	🔴 Discussions to be had corporately to see if can be implemented	STTC	High Priority	0%
1314 Legal 17.3 Updates to CMT	🔴 Following above once decided	STTC	High Priority	0%
1314 Legal 19.1 Risk Register Review	✅ Revised date	STTC	High Priority	0%
1314 RIPA 2.2 Identification of court representatives	✅ Revised date	STTC	High Priority	0%
1314 RIPA 3.1 Policy	✅ Revised date	STTC	High Priority	0%
1415 Com&Ind IR1 Invoice Coding	🔴 Additional recommendation	AE	High Priority	0%
1415 Com&Ind IR2 Notify NNDR Billing & Collections	🔴 Additional recommendation	AE	High Priority	0%

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1112 DQRM 1.1 Policies and Procedures	✅ Policies in draft	Tech CP	Medium Priority	0%
1112 DQRM 1.3 Review and update internet	✅ One new policy – others need replacing	Tech CP	Medium Priority	0%
1112 DQRM 2.07b Destroyed Records	✅ Waiting approval of policy	Tech CP	Medium Priority	0%
1112 DQRM 3.1b Guidance on attaching large files with emails	✅ Waiting approval of policy	Tech CP	Medium Priority	0%
1112 DQRM 3.2b Co-ordinator for Data Quality and Records Management in each Service Area	✅ Waiting approval of policy	Tech CP	Medium Priority	0%
1112 DQRM 3.2c Independent Reviews	✅ Revised date	Tech CP	Medium Priority	0%
1112 DQRM 4.1 Data Quality and Records Management Training	✅ To be included in Data Protection training	Tech CP	Medium Priority	0%
1112 DQRM 4.2 Review of Staff Training	✅ Revised date	Tech CP	Medium Priority	0%
1213 Castle 1.2 Updating of Plans	🛑 Recently implemented	CPP	Medium Priority	0%
1213 Castle 1.3 Maintenance Plan	✅ Aligned to budget setting	CPP	Medium Priority	0%
1213 LC 1.2a Business Continuity	🛑 Revised date	STTC	Medium Priority	0%
1213 LC 1.2b Business Continuity	🛑 Revised date	STTC	Medium Priority	0%
1213 LC 8.1a Users	🛑 Revised date	STTC	Medium Priority	0%
1213 LC 8.1b Users	🛑 Revised date	STTC	Medium Priority	0%
1213 LC 8.2 System Parameter Checks	🛑 Revised date	STTC	Medium Priority	0%

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1213 T&S 3.2 Insurance and other vehicle documentation	✅ Will be completed as part of the implementation of Self Serve on ITrent system	TCP	Medium Priority	0%
1213 T&S 4.3 Policy Updated	🛑 Revised date	TCP	Medium Priority	0%
1213 T&S 6.1 Car Sharing Policy	✅ Revised date	TCP	Medium Priority	0%
1314 Com&Ind01.1 Procedures	🛑 Revised date	AE	Medium Priority	0%
1314 Com&Ind02.1 Title of Ownership	✅ Revised date	AE	Medium Priority	0%
1314 Com&Ind03.1 Insurance Recharges	✅ Revised date	AE	Medium Priority	0%
1314 Com&Ind03.3 Insurance Recharges	🛑 Revised date	AE	Medium Priority	0%
1314 Com&Ind03.5 Insurance Recharges	🛑 Revised date	AE	Medium Priority	0%
1314 Com&Ind07.1 Asset Management Property Records	🛑 Other solution identified and work in progress	AE	Medium Priority	0%
1314 Com&Ind07.2 Asset Management Property Records	🛑 Revised date	AE	Medium Priority	0%
1314 Com&Ind07.2 Asset Management Property Records	🛑 Revised date	AE	Medium Priority	0%
1314 Com&Ind07.3 Asset Management Property Records	✅ Waiting roll out of EDRMS	AE	Medium Priority	0%
1314 Com&Ind09.1 Rent Reviews	✅ Revised date	AE	Medium Priority	0%
1314 Com&Ind09.2 Rent Reviews	🛑 Revised date	AE	Medium Priority	0%

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1314 Com&Ind11.1 Lease Renewals	🛑 Revised date	AE	Medium Priority	0%
1314 Com&Ind11.2 Lease Renewal	🛑 Revised date	AE	Medium Priority	0%
1314 Com&Ind15.5 Temporary Licences	🛑 Revised date	AE	Medium Priority	0%
1314 Com&Ind8.12 Leases	🛑 Revised date	AE	Medium Priority	0%
1314 ComLeis 2.1 Regular Monitoring	🛑 Risk register to be revisited	CPP	Medium Priority	0%
1314 ComLeis 3.1 Sports Development Classes	🛑 SLA not finalised	CPP	Medium Priority	0%
1314 ComLeis 3.4 Invoices	🛑 To be completed on next invoice cycle	CPP	Medium Priority	0%
1314 ComLeis 3.5 Invoices Raised Timely	🛑 To be completed on next invoice cycle	CPP	Medium Priority	0%
1314 ComLeis 8.1 Community Leisure Risk Register	🛑 Revised date	CPP	Medium Priority	0%
1314 DFG 1.01 DFG Risk Register	✅ To be reviewed in line with the new contract	AE	Medium Priority	0%
1314 DFG 2.01 Publicise DFG	🛑 Deferred to new contract start date	AE	Medium Priority	0%
1314 Food 013 Lone working policy	✅ Revised date	AE	Medium Priority	0%
1314 Legal 03.1 Training & Awareness	✅ Revised date	STTC	Medium Priority	0%
1314 RIPA 2.1 HMCTS Contact	✅ Revised date	STTC	Medium Priority	0%
1314 T&TC 013 Place Strategy	🛑 Revised date	CPP	Medium Priority	0%
1314 T&TC 013 Place Strategy	🛑 Revised date	CPP	Medium Priority	0%

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1314 T&TC 1.1 Tourism and Town Centre Risk Register	● Now completed	CPP	Medium Priority	0%
1314 T&TC 1.2 Review Risk Treatment Measures	● Revised date	CPP	Medium Priority	0%
1415 Com&Ind IR3 Business Rates	● Additional recommendation made at implementation review	AE	Medium Priority	0%
1415 Com&Ind IR4 Commercial & Industrial Properties Spreadsheet	● Additional recommendation made at implementation review	AE	Medium Priority	0%

✔ Revised implementation not reached

● Revised implementation date exceeded implementation not confirmed