Update Report on Previously Reported High Priority Recommendations
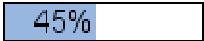
Report Type: Audit Recommendations Report
Report Author: Angela Struthers
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Audit Recommendation Code & Title	Audit Recommendation Status Icon	Audit Recommendation Progress Bar	Manager Updates Further Manager Comments
1112 DQRM 3.1c Processes to remove old sensitive data	🔴	41%	D – TechCP – Archive to be completed annually. Secure process in place as access to archived data will be granted by ICT. Communications regarding archiving to be completed.
1112 DQRM 3.2a Scanning Facilities	🔴	0%	D – TEchCP – to be completed in line with roll out of EDRMS. Awareness to be completed through NetConsent.
1213 T&S 3.3 Documentation provided annually	✅	100%	D – TCP Claim forms highlight the requirement (as do the PDR forms) for managers to make a declaration. HR do not chase this requirement, which will be built into ESS for ITrent.
1314 Com&Ind06.1 a) Monitoring	✅	100%	D– AE The spreadsheet is reviewed quarterly with finance colleagues and used for budget forecast.
1314 Com&Ind06.1 b) Monitoring	✅	100%	D – AE The spreadsheet is monitored quarterly with finance colleagues and used for budget forecasting.

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1314 Com&Ind09.3 a) Rent Reviews	🛑	50%	D – AE Rent reviews are being completed and where they are not going to be done reasons are recorded.
1314 Com&Ind09.3 b) Rent Reviews	🛑	50%	D – AE Rent reviews are being completed or where they aren't going to be done reasons are recorded. This will be an ongoing issue.
1314 ComAdmin9.8 Business Continuity	✅	100%	D – AE Agreed to update annually in June each year new plan in place for 21 November 2014
1314 Legal 01.1 Business Continuity	✅	100%	STTC Now updated will be circulated by 21 November 2014
1314 Legal 08.1 Legal Documents	🛑	0%	STTC Legal Services is not the sole user of documents in the safe nor does it have sole access. Assets staff have keys and access too. Agreed action will meet with director Assets and Environment and agree protocols.
1314 Legal 12.1 Risk Treatment Measures	✅	100%	STTC
1314 Legal 14.1 Segregation of Duties	✅	100%	STTC Risk remains income does not come via the post room but form other sources such as tickets for events Staff member dealing with this matter is trustworthy and also aware of the risk
1314 Legal 17.2 Legislation Changes	🛑	48%	STTC Task is too onerous for Legal services to accept responsibility for the whole authority as well as continued

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			operation of the depository
			Agreed action obtain views of CMT and heads of service on whether depository required/needed. explore alternatives.
1314 Legal 17.3 Updates to CMT	🔴	50%	STTC As per previous comment this task it too onerous for legal services alone to undertake will liaise with CMT colleagues as to reporting requirements
1314 Legal 19.1 Risk Register Review	✅	100%	STTC
1314 RIPA 2.2 Identification of court representatives	✅	100%	STTC In 3 years we have not had one application On contacting the court they get no applications from Councils It seems disproportionate therefore to train a pool of people who will never put the practise into use
			There are enough skills in the trained officers and external support from our trainer and staff at the magistrates court to make a successful application Should the situation ever arise
			Contact made with Magistrates Court
1314 RIPA 3.1 Policy	🔴	45%	STTC Agreed to put policy on NETconsent however the policy requires a few minor changes following the IC visit on 6/10/14 Updated policy will probably be approved

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			at Council on 16/12/14 then put on NETconsent with few questions to follow. Training to be rolled out to CMT and all Heads of Service.
1415 Com&Ind IR1 Invoice Coding	✅	100%	D – AE All invoices raised through the Environmental Management team and checked prior to issue.
1415 Com&Ind IR2 Notify NNDR Billing & Collections	✅	100%	D – AE As soon as we become aware that a property becomes formally vacant revenues are notified. There will be instances where there are delays as we are not always notified immediately and only become aware of a vacancy when rents become overdue.