

Priority 1 list - November 2022

Appendix C

Report Number/Date	Title	Opinion	Details of original Recommendation	Responsible Officer	Lead Officer	Comments
CORP/01/2020 Finalised 30th September 2021	Information Governance and GDPR	Limited	See Appendix E - Part 2	Director of Corporate Services	Head of Information Management	See Appendix E - part 2
CEX/03/2018/AU Finalised 29th May 2020	Controls to Mitigate the Risk of ICT System Failures	Limited	Management should ensure that :- -The replacement of the electrical mains and generator control is completed by the TFM contractor as soon as possible - A review of the process to escalate outstanding job requests to Amey in a timely and formal manner is undertaken -The roles and responsibilities with regard to the electrical supply on the Civic Centre site and the need to mitigate the risk of system failure and loss of data is clarified.	Director of Corporate Services	Head of Information System Services  Senior Property Manager	In progress - see Internal Audit and Fraud Progress Report paragraph 3.2.5.
PEO/03/2020 Finalised 7th December 2021	Supported Living Audit 2020/21	Reasonable	Management should ensure that a voids monitoring process is implemented by Commissioning, to regularly monitor voids to keep them at a minimum to ensure that unnecessary costs are not incurred by the Authority. -Void costs within the supported living service should be easily identifiable. -An agreed process should be in place for the monitoring of voids which should be undertaken by an officer identified by management. -The average void weekly cost will need to be determined for contracts going forward, in order to determine the total costs for the voids identified at each unit.	Director of Adult Services	Head of Service Complex & Long Term Commissioning	Complete - This has now been implemented. See Internal Audit and Fraud Progress Report paragraphs 3.2.11 - 3.2.12.
CEX/01/2021 Finalised 28 January 2022	IT asset register	Limited	Management should put appropriate procedures and controls in place to enable them to gain assurance that the information recorded in the IT asset register by the Council's IT contractor is accurate, complete and up to date. This should include: (i) specifying to the Council's IT contractor what detailed information should be recorded, how it should be categorised and what management information is required and when, and (ii) carrying out, periodically, an independent review of the information recorded in the register to identify any gaps in information or inaccuracies and confirming that assets purchased have been correctly added to the register.	Director of Corporate Services	IT Contract and Operations Manager	Complete - This has now been implemented. See Internal Audit and Fraud Progress Report paragraphs 3.2.6 - 3.2.9.
PLA/02/2021 Finalised 28 September 2022	Drainage Cleaning	Limited	See Appendix E - Part 2	Director of Environment & Public Protection	Head of Neighbourhood Management	Not yet due
PLA/02/2021 Finalised 28 September 2022	Drainage Cleaning	Limited	See Appendix E - Part 2	Director of Environment & Public Protection	Head of Neighbourhood Management	Not yet due
PEO/07/2021 Finalised 9 June 2022	SEND	Limited	Ensure that, in conjunction with the future discussions with the Education & Skills Funding Agency, organisational arrangements are put in place to manage financial demand for SEN placements including the availability of funding: (i) when a placement is approved,  (ii) when any increase in educational needs requiring additional funding is identified from the annual review of a young person's EHC plan, and  (iii) with an estimate of the full life costs of the placement carried out to inform future financial forecasting.	Director of Education	Head of SEN	In progress - see Internal Audit and Fraud Progress Report paragraph 3.2.13 - 3.2.14.
CORP/03/2021 finalised 22-03-22	Cyber Security	Limited	See Appendix E - Part 2	Director of Corporate Services	Head of Information Management and Assistant Director HR Organisational Development (Human Resources)	See Appendix E - Part 2
PLA/04/2022 Finalised 05.10.2022	Housing Allocations	Limited	See Appendix E - Part 2	Director of Housing, Planning and Regeneration	Head of Housing Allocations and Accommodation	Not yet due
PLA/06/2022 Finalised 28.9.22	Parks Management and Grounds Maintenance	Limited	Availability of documentation to support key contractual decisions There should be an adequate audit trail of supporting documentation for all aspects of the contract and decisions agreed with the provider. This should be held as contract documentation in the shared area and should include any supporting documentation for the performance thresholds and annual review.	Director of Environment & Public Protection	Assistant Director, Carbon Management and Greenspace	Not yet due
PLA/06/2022 Finalised 28.9.22	Parks Management and Grounds Maintenance	Limited	Client Monitoring Function The Department should formalise the LBB client monitoring role and visits, the purpose, target number and reporting. The target number of visits should be achievable, meaningful and deliver an assurance of the contractor's performance with regard to grounds maintenance and their management of the service. The purpose of the client function should be clarified and ensure all aspects of the contract are monitored whilst avoiding duplication.	Director of Environment & Public Protection	Assistant Director, Carbon Management and Greenspace	Not yet due