

# Borough Council of King's Lynn and West Norfolk Internal Audit Follow Up of recommendations report

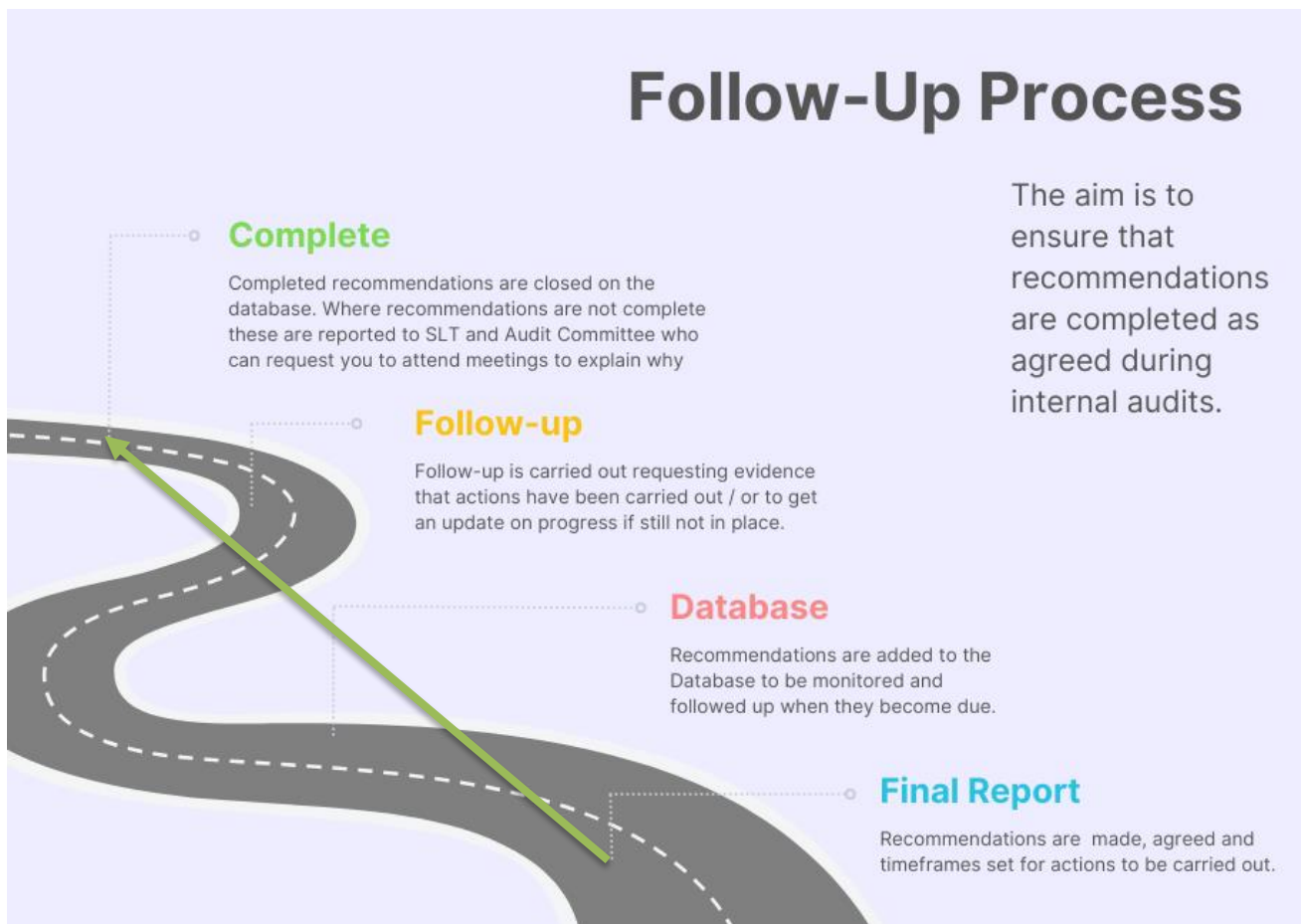
## Contents

1. INTRODUCTION	2
2. THE FOLLOW UP PROCESS	2
3. STATUS OF RECOMMENDATIONS	2
APPENDIX 1 – OUTSTANDING INTERNAL AUDIT RECOMMENDATIONS 2018/19	4
APPENDIX 2 – OUTSTANDING INTERNAL AUDIT RECOMMENDATIONS 2019/20	5
APPENDIX 3 – OUTSTANDING INTERNAL AUDIT RECOMMENDATIONS 2020/21	7
APPENDIX 4 – OUTSTANDING INTERNAL AUDIT RECOMMENDATIONS 2021/22	8
APPENDIX 5 – OUTSTANDING INTERNAL AUDIT RECOMMENDATIONS 2022/23	12
APPENDIX 6 - OUTSTANDING INTERNAL AUDIT RECOMMENDATIONS 2023/24	16

## 1. INTRODUCTION

- 1.1 This report is being issued to assist the Authority in discharging its responsibilities in relation to the Internal Audit activity.
- 1.2 The Public Sector Internal Audit Standards requires the Chief Audit Executive to establish a process to monitor and follow up management actions to ensure that they have been effectively implemented or that senior management have accepted the risk of not taking action. The frequency of reporting and the specific content are for the Authority to determine.

## 2. THE FOLLOW UP PROCESS



## 3. STATUS OF RECOMMENDATIONS

- 3.1 Recommendations are agreed during Internal Audits and timeframes set for their completion which are confirmed with responsible officers and service managers. The management action subsequently taken is monitored by Internal Audit on a regular basis and reported through to Audit Committee on a half yearly basis. Verification work is also undertaken for those recommendations that are reported as closed.
- 3.2 Exercises are undertaken where all responsible officers with overdue recommendations are contacted to provide updates. This involves gathering evidence to demonstrate completion

of high and medium priority recommendations and closing low recommendations where completion has been confirmed.

3.3 Progress is demonstrated in the table below which outlines the position as of 1 May 2024 compared to the position at 30 November 2023.

Position 02/05/2024	High	Medium	Low	Total	%
No. of Recs overdue in last report (November 2023)	6	27	29	62	51.67%
No. of Recs Completed since last report	2	13	22	37	30.83%
No. of Recs that have become overdue since last report	4	15	36	55	45.83%
Sub total of overdue Recs	8	29	43	80	66.67%
No. of Outstanding Recs 100+ days overdue	6	25	37	68	56.67%
No. of Outstanding Recs 365+ days overdue	5	15	15	35	29.17%
No. of Recs not yet due for Follow-up	6	13	21	40	33.33%
<b>Total Outstanding No. of Recs</b>	<b>14</b>	<b>42</b>	<b>64</b>	<b>120</b>	<b>100.00%</b>

3.4 **Appendices 1, 2, 3, 4, 5 and 6** to this report show the details of any high and medium priority outstanding recommendations split by the year in which they were raised. The outstanding recommendations included within each appendix also provides a progress update.

## APPENDIX 1 – OUTSTANDING INTERNAL AUDIT RECOMMENDATIONS 2018/19

Audit area	Recommendation	Priority	Responsible Officer	Agreed Due Date	Days Overdue	Latest Response
Vehicle Fleet	All applicable vehicles should be correctly recorded within Technology Forge.	Medium	Carl Holland, Financial Services Manager	31/12/2020	-1218	It is expected that Technology Forge will move over in the next 6 months barring any issues with year end and external audits. This will address the recommendation.
General Data Protection Regulations 2016 & Data Protection Act 2018	The revised DPP should be publicised to officers and Members. This could be done via an article in Internal Affairs.	Medium	Honor Howell, Corporate Governance Manager	31/12/2019	-1584	This has slipped on the forward work programme for Cabinet and is now on for 11 June - do not foresee any reasons why it would slip further than this.
General Data Protection Regulations 2016 & Data Protection Act 2018	The revised Data Protection Policy (DPP) should go through the prescribed approval process and, if deemed appropriate, be approved by Cabinet.	Medium	Honor Howell, Corporate Governance Manager	31/12/2019	-1584	This has slipped on the forward work programme for Cabinet and is now on for 11 June - do not foresee any reasons why it would slip further than this.

## APPENDIX 2 – OUTSTANDING INTERNAL AUDIT RECOMMENDATIONS 2019/20

Audit area	Recommendation	Priority	Responsible Officer	Agreed Due Date	Days Overdue	Latest Response
Car Parking & Civil Enforcement	As referred to in the King's Lynn Transport Strategy, BCKLWN should develop a Car Parking Strategy. This would ensure that a town-wide approach to car parking management is achieved, together with enabling the delivery of the Transport Strategy's suggested improvements.	Medium	Jemma Curtis, Regeneration Programmes Manager	31/03/2021	-1128	Consultation workshops to inform the development of the strategy was undertaken in Jan - February 2024. Draft strategy for internal review due April 2024.
Careline	Job timings and item costs should be updated on the system to eradicate the need to amend timings and costs by individual officers.	Medium	Andrew Howell, ICT Web Team Manager & Judith Berry, Careline Community Service Manager	31/03/2021	-1128	Charitylog is due for implementation 2024/25 Q1. Currently in progress with CCS/CIC/ICT.  The implementation of this system should supersede this.
Careline	The process of a client calling into the Council and requesting a Careline product should be a seamless process. Consideration should be given to allow one department (CIC or Careline) to follow the process from start to finish. This would allow the customer to call in to request a product, the officer to record all the necessary information, apply the correct costs to any items required, and book a mutually convenient appointment for a Visiting Officer to carry out the works required.	Medium	Judith Berry, Careline Community Service Manager	30/06/2021	-1037	Charitylog is due for implementation 2024/25 Q1. Currently in progress with CCS/CIC/ICT.  The implementation of this system should supersede this.

Careline	<p>Careline and ICT to develop a process during discussions regarding the various methods of recording customer data onto the system, and the pros and cons of each method on both officers and the system.</p> <p>The technology being used by the Visiting Officers should be available at all times and fit for purpose.</p>	Medium	<p>Andrew Howell, ICT Web Team Manager</p> <p>Judith Berry, Careline Community Service Manager</p>	30/06/2021	-1037	<p>Charitylog is due for implementation 2024/25 Q1. Currently in progress with CCS/CIC/ICT.</p> <p>The implementation of this system should supersede this.</p>
Careline	<p>Any time saving / efficiency methods of working within the department should be notified and available to all officers.</p>	Medium	<p>Andrew Howell, ICT Web Team Manager &amp; Judith Berry, Careline Community Service Manager</p>	30/06/2021	-1037	<p>Charitylog is due for implementation 2024/25 Q1. Currently in progress with CCS/CIC/ICT.</p> <p>The implementation of this system should supersede this.</p>

### APPENDIX 3 – OUTSTANDING INTERNAL AUDIT RECOMMENDATIONS 2020/21

Audit area	Recommendation	Priority	Responsible Officer	Agreed Due Date	Days Overdue	Latest Response
ICT - Cyber Security	ICT officers should be included in the preparation and delivery of project plans throughout the authorisation, to ensure all ICT aspects are fully considered and understood within the project.	Medium	Mark Willetts, Technical Services Manager	31/03/2022	-763	The item was bumped to the next ICT Development Group meeting due to running out of time. Next meeting due end May/beginning of June.

## APPENDIX 4 – OUTSTANDING INTERNAL AUDIT RECOMMENDATIONS 2021/22

Audit area	Recommendation	Priority	Responsible Officer	Agreed Due Date	Days Overdue	Latest Response
Financial Governance & Budgetary Control	Where Finance have verbally agreed with a budget holder to undertake a virement, Finance should require the budget holder to confirm the virement via email. This should be supported by an exception report detailing budget virements made during the year.	Medium	Carl Holland, Financial Services Manager	31/07/2022	-641	This needs to be tied into a review of the Financial Regulations. Budget Setting meetings are now being conducted again with budget holders and these help to identify virements as well as the tracker report which has been set up on Unit4 which is reviewed by the Financial Services Manager.
Regeneration & Economic Development	The Council needs an overarching corporate economic development and regeneration strategy to encompass all projects / initiatives and how they meet the corporate business objectives. This should be a cabinet approved document.	Medium	Jemma Curtis, Regeneration Programmes Manager	31/08/2022	-610	Economic Strategy work commissioned Jan 2024, preparation of draft strategy underway. Due to complete Sept 24.
Regeneration & Economic Development	The Council's overarching corporate economic development and regeneration strategy should reflect and capture the organisational aspirations of the Council (including the objectives that underpin the Council's Corporate Business Plan for 2020 – 2024) in terms of sustainability, climate change, carbon reduction, protecting our local environment as well as other matters such as protecting our communities from flooding.	Medium	Jemma Curtis, Regeneration Programmes Manager	31/08/2022	-610	Economic Strategy work commissioned Jan 2024, preparation of draft strategy underway. Due to complete Sept 24.
Capital Programme	The governance process should be enhanced before projects are submitted for inclusion within the Capital Programme. Detailed information relating to finance, resource and risks should be included within project information submitted to Management Team for consideration.	High	Carl Holland, Financial Services Manager.	30/09/2022	-580	Collaboration is currently taking place between the Finance department and Place department. This is to help appropriately resource the PMO, produce a robust set of corporate governance procedures and implement a fit for purpose project management software system. Accountability is in place, a process has been developed for Major Projects as per the IA of Project Management Framework,



						Finance have furthermore reviewed and introduced a tier system approach to Capital Programme items. This recommendation is anticipated to be completed by December 2024.
Capital Programme	<p>Consider creating a suite of documents to enable a complete and fully informed decision-making process.</p> <p>The suite of documents should include the following: -</p> <ul style="list-style-type: none"> <li>• A pre-project proposal form/start up form (capturing the information suggested within this Capital Programme Audit Report)</li> <li>• A project closure form – to evaluate and carry out a lesson learned assessment. The form could also be used to ensure the budget code provided to the project is now concluded, and all payments for the project have made by and received by the Council.</li> <li>• A Flowchart of the proposal through to project closure cycle would be helpful to be included within the initial checklist suite of documents could act as a prompt for each step in the project cycle. This could be referred back to for ease of reference.</li> <li>• A Project register – to keep a file for each project by reference number (this can then assist with the Shared drive idea and allow the key responsible relevant officers to have access to the relevant project references). The register would: - <ul style="list-style-type: none"> <li>o allow a record to be kept of all projects currently being undertaken;</li> <li>o allow statistics to be produced on project information;</li> <li>o enable officers to easily identify the current status, and work undertaken, of a project;</li> <li>o information contained within the shared</li> </ul> </li> </ul>	High	Carl Holland, Financial Services Manager.	30/09/2022	-580	<p>Collaboration is currently taking place between the Finance department and Place department. This is to help appropriately resource the PMO, produce a robust set of corporate governance procedures and implement a fit for purpose project management software system.</p> <p>Accountability is in place, a process has been developed for Major Projects as per the IA of Project Management Framework, Finance have furthermore reviewed and introduced a tier system approach to Capital Programme items.</p> <p>The PMO will help with the better management, consistency, and delivery of the programme of projects. Please note this relates to the Major Projects identified by Cabinet and over-seen by the Member Major Projects Board [MMPB], however this PMO function was not intended to deal with the whole Capital Programme being delivered by the Council. Note that some of the Major Projects also have a management system and format devised under the Town Deal Programme. It is important to note that the PMO is not yet adequately resourced. Two Job Descriptions have been drafted and evaluated - however the budget for these posts has yet to be identified, or an alternative way of funding these posts has yet to be devised/agreed i.e. capitalisation of posts within the capital</p>

	drive would enable knowledge to be shared, skills to be retained and passed on through the project, information would be accessible within one designated area rather than being saved in multiple locations which is not easily accessible.					programme.  The Council has also formed the Project Development Group which is a group of officers that will help develop projects and the project management framework over time.  This recommendation is anticipated to be completed by December 2024.
Alive West Norfolk	<p>A suite of new SLA's should be developed for the relevant Service Areas included in the previous SLA. These need to be developed at the earliest possible opportunity.</p> <p>A new agreed set of KPI's should be produced for each Service Area within the SLA, to ensure the service is being provided efficiently and effectively for both parties. The KPI's should be monitored and reported appropriately to the AWN Board, and a relevant council body if required.</p>	High	<p>Siobhan Cleeve, Head of Leisure.</p> <p>Honor Howell, Corporate Governance Manager.</p>	30/09/2022	-580	<p>No SLAs currently in place between the Council and Alive West Norfolk. Awaiting draft SLAs from council for agreement around KPIs.</p> <p>Can't set KPI until AWN are aware of the work undertaken in the SLA- currently with Council.</p> <p>However, progress has currently been halted whilst a review is undertaken of the overall delivery model of leisure services. In the interim the previous SLA's in place have been deemed acceptable</p>
Alive West Norfolk	<p>Responsible officers from finance and AWN to consider the fees and charges going forward, with a view to amending these to the appropriate values.</p> <p>There is mention within the Financial SLA of additional costs should senior financial officers need to be involved in accounting queries. This cost should ideally be an hourly rate for the services provided, agreed by both parties prior to work commencing.</p> <p>The financial budgets should be amended and reflect actual, and agreed, costs rather than expected costs.</p>	High	<p>Siobhan Cleeve, Head of Leisure.</p> <p>Honor Howell, Corporate Governance Manager.</p>	30/09/2022	-580	<p>This recommendation is still outstanding and awaiting action from the Council.</p> <p>The budgets currently still hold the historic cost + inflationary increases but this will be updated to reflect the SLA amounts agreed (once the SLA is finalised)</p> <p>However, progress has currently been halted whilst a review is undertaken of the overall delivery model of leisure services. In the interim the previous SLA's in place have been deemed acceptable</p>

Alive West Norfolk	When the Management Agreement is next due for review, consider if it is appropriate for member involvement in decisions of AWN.	Medium	Siobhan Cleeve, Head of Leisure.  Honor Howell, Corporate Governance Manager.	30/09/2022	-580	This recommendation is still outstanding and awaiting action from the Council.  Extraordinary meeting called to discuss approaching the council regarding current mgmt. fee and arrangements for this year. Ongoing internal discussions are with council in terms of AWN governance and structure.
Capital Programme	To use the Business Case documentation submitted within the Town Investment Plan (TIP) as a basis, to ensure that all major projects are documented in a consistent manner.  The documentation used for the projects within the Town Investment Plan (TIP), and subsequently submitted to Central Government as Business Cases, uses consistent headings that include: - <ul style="list-style-type: none"> <li>• Objectives;</li> <li>• Aims;</li> <li>• Scope;</li> <li>• Financial implications, including revenue costs and future costs (resource and maintenance costs);</li> <li>• Resource requirements; and</li> <li>• Risk Registers.</li> </ul>	High	Carl Holland, Financial Services Manager.	30/11/2022	-519	The PMO function is developing, in conjunction with relevant officers, a suite of template documents, of which a Business Case is one. The headings suggested in the audit report would form part of the council's standard Business Case format (unless a specific project's business case is required to adhere to HM Treasury Green Book standards, or an alternative format. It is an assertion that any requirement to adhere to a particular standard, would build on the minimum required by the council and therefore be acceptable).  This is not yet complete, a paper is going to SLT 14 <sup>th</sup> May 2024 to make the case for staffing the PMO (as originally determined on 31 <sup>st</sup> January 2023). Depending on the outcome of this (budget proposals) will then determine the timeframe for the completion of this recommendation.
Policies	All policies should be held centrally within one corporate index of policies. This would make it easier to monitor and update policies, ensuring they remain current and effective. A central repository would also make it easier for officers and Members to locate a particular policy.	Medium	Honor Howell, Corporate Governance Manager	31/12/2022	-488	This is a workstream for 2024/2025 with the new Governance and Compliance Officer.

## APPENDIX 5 – OUTSTANDING INTERNAL AUDIT RECOMMENDATIONS 2022/23

Audit area	Recommendation	Priority	Responsible Officer	Agreed Due Date	Days Overdue	Latest Response
Business Continuity	<p>Review whether the BC Portal is the appropriate way to disseminate the information of a BC Incident to officers and members.</p> <p>Once the most appropriate way to disseminate information to officers and members has been decided, the Communications Manager should have access to this and have the ability to add/edit BC incident information appropriately.</p>	Medium	Honor Howell, Corporate Governance Manager	31/12/2022	-488	<p>On hold pending information from Web Team. The role of the BC portal will be reviewed once the intranet improvements have been made.</p> <p>BC Portal meeting being held with ICT Web Team in December to understand the potential next steps.</p>
Procurement & Contract Management	<p>The CSOs should be reviewed and updated where appropriate; for example, the name of the current Monitoring Officer and the names of the current Procurement Team members should be included. The CSOs should also be updated to make reference to the publication of contracts in FTS above the UK threshold (replacing the reference to the publication of contracts in OJEU above the EU threshold). The CSOs should state the frequency of review and the date of the next review.</p> <p>The Council's Procurement Rules as stated on the Authority's website should be updated to reflect the requirement to publish contracts above the UK thresholds in FTS. Also, the threshold levels should be updated.</p>	High	Jane Mitchell, Procurement and Contracts Manager.	30/06/2023	-307	<p>CSO review underway, now linking into an updated Procurement Strategy, following the Procurement Bill proceeding to Royal Assent (Oct 24). Following a six-month preparation period (estimated to begin in April/May 2024), the Government Commercial Function has advised that it expects that the commencement of the new Procurement Act 2023 ("the Act") will take place in October 2024. The councils revised procurement strategy, including full amendments of CSO, will follow this timeline. Interim updates to the CSO may be made before this date following the EELGA review. Updates required to the council's website in the recommendation have been actioned.</p>

<p>Procurement &amp; Contract Management</p>	<p>All procurements over £25,000 should be brought to the attention of Procurement to ensure that procurement rules / CSOs are followed. Procurement should send out a global email to all departments and service areas within BCKLWN and AWN requesting them to provide details of all procurements over £25,000 and send out a reminder email each year.</p> <p>Procurement should monitor responses to ensure all are returned, instead of accepting a non-response as meaning no contracts are in place. If nothing is forthcoming, Procurement need to escalate it to the appropriate AD.</p> <p>This will ensure that Procurement are made aware of all contracts negotiated by the Authority and that they are recorded in the Contracts Register.</p> <p>The Procurement Strategy should be amended to state that all procurements over £25,000 are brought to the attention of the Procurement Team, which is in line with the tender threshold.</p> <p>In addition, Procurement should check that a valid contract exists before a new supplier is set up on the Finance system.</p>	<p>Medium</p>	<p>Jane Mitchell, Procurement and Contracts Manager.</p>	<p>30/06/2023</p>	<p>-307</p>	<p>Updates to procurement strategy referred to in the recommendation will be made as above by the revised due date. In the interim, the CSO may be updated with regards to threshold levels</p>
--	---	---------------	--	-------------------	-------------	---

Procurement & Contract Management	<p>Procurement should be given access to the Analyser function within Unit4 to enable them to analyse supplier spend during the year.</p> <p>Budget override facilities and fund check alerts should be built into Unit4 so as to alert budget managers where spend exceeds CSO thresholds.</p>	Medium	Robert Street, Group Accountant	30/06/2023	-307	A second technically feasible solution has been identified which is hoped to begin implementation prior to year-end."
Accounts Receivable	<p>It should be ensured that debt write-offs are appropriately authorised in accordance with the Authorised Signatories Listing.</p> <p>The Group Accountant should collate the reason for these debts and the reason for the write-off for presentation to the FSM for retrospective consideration resulting either in approval or re-instatement of the debt.</p>	Medium	Carl Holland, Financial Services Manager	31/07/2023	-276	Awaiting information from Embridge on the likely cost to implement this change as well as adding reason codes on Credit Notes (which currently go through an authorisation process).
Accounts Receivable	<p>Debt write-offs should be regularly reported to senior management; they should include the following details:</p> <ul style="list-style-type: none"> <li>• Name of the debtor</li> <li>• Reason for the write-off</li> <li>• Age of debt</li> <li>• Amount written-off</li> <li>• Recovery action that was undertaken, where appropriate, to demonstrate that all avenues were exhausted to recover the debt prior to it being written-off.</li> </ul>	Medium	Carl Holland, Financial Services Manager	31/07/2023	-276	Included within the power bi monitoring. Whilst we currently collected write off reasons - it may be onerous to detail out full steps taken - generally speaking they become un-economic to collect
Income	Annual reviews should be undertaken of Pay360 users to ensure that staff who transfer roles within the Authority have appropriate levels of access to the system, and that leavers have their access removed.	Medium	Joy Coombs, Accounting Technician	30/09/2023	-215	Pay360 Users- task will be completed just before go live as the inactive users change. Go live date had just been put in for 16th & 17th of July.

Environmental Protection	A decision to be made on whether to use idox Uniform or the Tracking Register for the recording of all reported incidents of fly tipping. All reported incidents of fly tipping to be appropriately coded on the designated recording system for the purposes of accurately reporting data via the Waste Data Flow.	Medium	Mark Whitmore, Assistant Director, Health, Well Being and Public Protection  Martin Chisholm Assistant Director Operations and Commercial	31/01/2024	-92	This is still outstanding and needs further discussion with M Chisholm.
--------------------------	---	--------	---	------------	-----	---

## APPENDIX 6 – OUTSTANDING INTERNAL AUDIT RECOMMENDATIONS 2023/24

Audit area	Recommendation	Priority	Responsible Officer	Agreed Due Date	Days Overdue	Latest Response
Complaints and FOIs	<p>Once the Corporate Complaints Policy has been revised and updated, it is recommended that it be placed on the Authority’s website, with a direct reference to the policy clearly sign-posting users to it.</p> <p>The policy to also be placed on InSite so that it is easily accessible by officers and Members.</p> <p>An article to be included in Staff Update notifying staff of the revised policy and the action that staff should take if they receive a complaint.</p>	Medium	Honor Howell, Corporate Governance Manager	30/11/2023	-154	The Corporate Complaint Policy requires a further review following the introduction of the Complaints Handling Code on 1 April 2024. A review is now commencing on this and it will need to go through the democratic process and furthermore training offered to all staff.



Complaints and FOIs	<p>The Corporate Complaints Policy to be enhanced by including the following:</p> <ul style="list-style-type: none"> <li>• Version control / document history,</li> <li>• make reference to the Data Protection Act 2018,</li> <li>• include a flowchart detailing the process for handling a complaint,</li> <li>• have working hyper-links to associated policies and forms,</li> <li>• reference relevant Council policies and procedures,</li> <li>• detail the roles and responsibilities of those officers who deal with complaints handling,</li> <li>• specify the length of time that documents relating to complaints should be held for (in accordance with the Council’s Document Retention Schedule),</li> <li>• a section on “Learning from Complaints” outlining how the Council will learn from complaints, the process of analysing complaints, identifying trends and using it to drive service improvements,</li> <li>• a “Distribution” section outlining how the policy will be distributed i.e., the policy is available on the Council’s website and on InSite.</li> </ul>	Medium	Honor Howell, Corporate Governance Manager	30/11/2023	-154	The Corporate Complaint Policy requires a further review following the introduction of the Complaints Handling Code on 1 April 2024. A review is now commencing on this and it will need to go through the democratic process and furthermore training offered to all staff.
Land Charges	Following the recent signing of the Collaboration Agreement between the Authority and HMLR, a comprehensive Project Plan be compiled setting out the steps involved in the data migration.	Medium	Lee Osler, Office Manager / Deputy SIRO	31/12/2023	-123	We are still waiting for HMLR to assign a delivery manager and until this happens a detail project plan will not be developed and agreed. We are however in discussions with HMLR and there are elements of the project we have commenced to help speed up the project once a delivery manager has been assigned. The LA has no control over the assignment of a delivery manager, this is totally at the discretion of HMLR.

Land Charges	As part of the Project Plan for the data migration from the LLC Register to HMLR, the process for data cleansing and data validation, and the security arrangements to be adopted, such as data encryption, be formally documented.	Medium	Lee Osler, Office Manager / Deputy SIRO	31/12/2023	-123	We are still waiting for HMLR to assign a delivery manager and until this happens a detail project plan will not be developed and agreed. We are however in discussions with HMLR and there are elements of the project we have commenced to help speed up the project once a delivery manager has been assigned. The LA has no control over the assignment of a delivery manager, this is totally at the discretion of HMLR.
Public Open Space - Tree Management	The new Arboricultural Officer should review the current Tree Management recording system and ascertain whether there are more effective and efficient systems available. These systems may allow more interaction with other current Council systems and allow timely reporting for management and Members. Consideration could be given to the following options: <ul style="list-style-type: none"> <li>• use of a new off the shelf Tree Management System, such as Ezytreev;</li> <li>• use of the system used by the Facilities Management Officer for the use of Street Lighting;</li> <li>• use of QGIS and/or Idox/Uniform for the Management of Trees.</li> </ul>	High	Ed Johnson, Arboricultural Officer (POS)	31/03/2024	-32	This is currently with the ICT Development Group.
Complaints and FOIs	To ensure consistency and timeliness of the process, it is recommended that all corporate complaints are received and managed by the Corporate Governance Team. This would ensure that the Corporate Governance Manager is aware of all complaints, both Stage 1 and Stage 2, enabling her to undertake an analysis of complaints which could then be included in the Annual Complaints Report to CPP.	Medium	Honor Howell, Corporate Governance Manager	31/03/2024	-32	In progress, Target Q2 2024/25.  A Corporate Complaint tracker log has been drafted, as well as template emails for the allocation and chasing of Stage 1 complaints, but the process is yet to be transferred fully to the Corporate Governance team.  The Corporate Governance Manager is in discussion with the Democratic Services Manager to agree the transfer of Stage 1.

Complaints and FOIs	Once the Corporate Governance Team are responsible for managing the corporate complaints process, it is recommended that they ensure that all Stage 1 complaints are responded to within 15 working days (as per the stated deadline in the Corporate Complaints Policy) and that evidence is retained of a formal response being sent to the complainant.	Medium	Honor Howell, Corporate Governance Manager	31/03/2024	-32	In progress, Target Q2 2024/25.  A Corporate Complaint tracker log has been drafted, as well as template emails for the allocation and chasing of Stage 1 complaints, but the process is yet to be transferred fully to the Corporate Governance team.  The Corporate Governance Manager is in discussion with the Democratic Services Manager to agree the transfer of Stage 1.
Starters, Movers, Leavers	An overarching procedure document to be introduced outlining the roles and responsibilities for hiring/line managers relating to New Starters, Transfer of Roles and Leavers for ICT, Personnel, and Information Asset Owners.	Medium	Nicola Rigby, Personnel Services Manager  Richard Godfrey, ICT Manager	31/03/2024	-32	This has now been reviewed and in draft format. Personnel and ICT are meeting on 16 <sup>th</sup> May 2024 to review the latest draft.
Starters, Movers, Leavers	Review the list of system administrator recipients that receive the full leavers list to produce a more targeted list of key contacts that receive the list. This list should also include transfer of roles and be made available to system administrators.  Wording to be included in the new overarching SML procedures outlining the roles and responsibilities.	Medium	Nicola Rigby, Personnel Services Manager  Richard Godfrey, ICT Manager	31/03/2024	-32	Wording has been included in the Starters, Movers, Leaver's procedures.
Starters, Movers, Leavers	Conduct a full review of assets and equipment held across the organisation and update the ICT Asset Register accordingly. Include ICT Loan agreements within the review process.	High	Richard Godfrey, ICT Manager	31/03/2024	-32	Data has been extracted from MEMCM/InTune and ICT Asset Register is in the process of being updated (to be completed by end of June). Scanning Team is currently creating an electronic copy of the loan agreement forms which will reside in Teams once complete.

Land Charges	<p>Costs associated with Land Charges to be reviewed to ensure that all relevant costs are included, thereby enabling the correct Land Charges fees to be levied and provide assurance that all relevant costs are covered by the income. Costs to be reviewed on an annual basis to ensure that they remain current.</p> <p>The Authority to be able to explain how the Land Charges fees were calculated and compile procedure notes detailing the cost calculation.</p>	Medium	Lee Osler, Office Manager / Deputy SIRO	01/04/2024	-31	<p>A review of fees has taken place and are set at the level to recover costs as the Land Charge team are not able to make a profit. The annual review will take into account any increase in costs associated with the potential increase for the services NCC provide in relation to Con29 searches. A procedure note is still to be compiled detailing the cost calculation.</p>
--------------	--	--------	---	------------	-----	---