

SUMMARY OF RECOMMENDATIONS AND MANAGEMENT RESPONSES FROM INTERNAL AUDIT REPORTS
ISSUED QUARTER 1, 2018/19

Report Reference	Recommendation	Risk Rating ¹	Responsible Officer	Management Response and Target Implementation Date (TID)
IT Governance: The Council's Compliance with General Data Protection Regulations – Follow-up – 22 May 2018				
4.1.1 (table item 4)	The Council should document and implement a procedure for Data Protection Impact Assessments (DPIA).	High	Information Governance Manager	It is recognised this is a high priority and work is progressing on these. An officer working party has now been established to work on these further to provide consistency. In addition to this the Democratic Services Manager is assisting with this as an interim position. TID: 23 May 2018
4.1.1 (table item 5)	A comprehensive information audit should be undertaken to formulate an Information Asset Register sufficient to meet the requirements of Article 30.	Medium	Information Governance Manager & Heads of Service	The data audit is largely complete. Primary concerns would be Assets, Community Partnership, Sustaining Tenancies, Audit, Development Policy & Projects as these seems to have significant gaps if not no data at all. A reminder will be sent to the relevant Heads of Service to progress this. TID: Reminder to be sent by 18 May 2018 with responses due by no later than 1 June 2018 to enable Data Asset Register to be signed off.

¹ Risk Ratings are defined as follows:

- High: Issue of significant importance requiring urgent attention.
Medium: Issue of moderate importance requiring prompt attention.
Low: Issue of minor importance requiring attention.

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4.2.1	The new Information Governance Manager moves to working directly with the Information Asset Owners to guide them individually on their requirements, rather than issuing generic advice and guidance.	Medium	Democratic Services Manager	Agreed as this will be the priority along with training for all staff. The adopted policies have now been published on the intranet and will be promoted to staff for consideration. TID: 1 October 2018
Electoral Registration – 29 June 2018				
No recommendations resulting from review.				
Highways Functions – 13 July 2018				
4.3.2	A formal method of identifying new areas and items that will become the Council's responsibility should be devised and adopted.	Low	Asset Manager	There are existing arrangements in place for areas that the Council is taking on responsibility to be added to the Asset Register but it is a concern that the junior staff interviewed were unaware of them. The longstanding management weaknesses within the team, of which this is symptomatic, are being addressed through the Assets re-design which has passed the Final Proposals consultation stage and will be the subject of reports to Executive in August and Employment Committee in September. A new Asset Manager is being recruited in advance of these wider changes, which will allow the procedures to be reviewed and staff properly trained. TID: December 2018

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4.3.11	Consideration should be given to providing staff cover to ensure that all inspections are performed in line with the established frequencies.	Medium	Asset Manager	The proposals within the Assets re-design include the creation of a new team under a Technical Manager. This will comprise of the Team Manager, two Team Leaders and an increased complement of six Building Surveyors. The responsibility for this work will transfer to this team which will have eight staff available to share the work rather than the current three. TID: December 2018
4.6.2	Once located, senior staff within the Assets section should familiarise themselves with the risk register and should regularly review its contents to ensure that it remains relevant.	Low	Deputy Chief Executive (BH)	The Asset team risk register was last reviewed in April 2018 by the Deputy Chief Executive (BH) and the (then, temporary) Asset Manager but had been stored by the latter on their H drive rather than the team I drive. The register has specific risk headings for failure to maintain rural street and footway lighting and failure to maintain existing or replace missing street nameplates. The current register has been shared with relevant staff. The register will be reviewed when the re-design has been implemented and the new management team is in place. TID: December 2018
Customer Access Facilities – 12 July 2018				
No recommendations resulting from review.				