CURRENT IMPLEMENTATION POSITION FOR LOW AND MEDIUM RISK RECOMMENDATIONS
ISSUED IN QUARTER 1 2018/19

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
IT Governance: The Council's Compliance with General Data Protection Regulations – Follow-up – 22 May 2018		
A comprehensive information audit should be undertaken to formulate an Information Asset Register sufficient to meet the requirements of Article 30.	*Information Governance Manager & Heads of Services:* 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. PID: 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.	This issue was discussed at the Information Governance Group meeting on 7/03/2019. Service areas have a responsibility to review and update this record on a regular basis. Teams that have not completed are: Assets, Community Partnership team who have significant information missing. Greenspace, Housing Strategy and Development Management are mostly complete but have some data missing. Managers to contact Information Governance Manager and set up a meeting to receive support and guidance to complete this record. Meetings to be held by July 2019.

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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.	*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. PID: 1 October 2018	On the working directly with teams, I would say this is completed and demonstrated by the above, i.e. the Information Governance Group but also the rest of the detail in the draft report (which is out for consultation with Information Governance Group and is planned to be issued to SMT in April).
Highways Functions – 13 July 2018		
A formal method of identifying new areas and items that will become the Council's responsibility should be devised and adopted.	*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. PID: December 2018	New Team Structure in place from November, 2018. Technical Manager recruited and started April 2019 and Compliance Manger recruited and started in December, 2018. Asset Manager in place to oversee the whole team. A new Asset Management Strategy is to be produced by September, 2019 and Asset Management Steering Group is re-established and these will form the framework for identifying and recording responsibility for new and existing assets

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Consideration should be given to providing staff cover to ensure that all inspections are performed in line with the established frequencies.	*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. PID: December 2018	New Team Structure in place from November, 2018. Technical Manager recruited and started April 2019. Additional Building Surveyor posts and one remains unfilled despite several recruitment exercises so temporary cover being considered.
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.	*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. PID: December 2018	Risk Register is available via the Intranet and is reviewed by the Asset Manager and forms a standing item at Asset Management Team meetings.

CURRENT IMPLEMENTATION POSITION FOR HIGH RISK RECOMMENDATIONS
ISSUED IN QUARTER 3 2018/19

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Community Infrastructure Levy and Section 106 Agreements – 10 December 2018		
A formal naming protocol should be introduced for documents stored on IDOX so that all contribution requests can be easily identified.	*Business Managers:* This is now in place. PID: Completed.	Recommendation implemented. No further response required.
Consideration should be given to investigating whether the s106 agreement can be amended in the relevant case so that the NHS contribution can be secured.	Head of Development Services / Development Manager It is not possible to secure this contribution but revised processes whereby 'heads of terms' clauses are included as standard in reports relating to housing sites of over 10 dwellings will prevent this reoccurring. PID: Not applicable.	No further response required.
The contribution request from the Police should be included within final s106 agreement in the relevant case.	*Development Manager and Business Managers:* The Police contribution has now been included in the final agreement. PID: Completed.	Recommendation implemented. No further response required.