

**Internal Audit Recommendations**

Status Overdue and Not Yet Completed - 24 November 2022

Code	Title	Progress	Original Due Date	Current Due Date	Status	Priority	Managed By	Assigned To
AUDIT.095	(2019) Performance Management – DMT Agenda Item	<div style="width: 10%;"><div style="background-color: #0070C0; height: 10px;"></div></div> 10%	30-Sep-19	31-Mar-23	In Progress	Medium	Director People Performance & Change	Corporate Performance Lead
AUDIT.106	(2019) Developer Contributions / Development Management Fees – Operating Procedures	<div style="width: 30%;"><div style="background-color: #0070C0; height: 10px;"></div></div> 30%	30-Jun-20	31-Mar-23	In Progress	Medium	Planning & Development Standards Manager	Lead Planning Officer
AUDIT.145	(2020) LDS Financial Management – Budget	<div style="width: 80%;"><div style="background-color: #0070C0; height: 10px;"></div></div> 80%	31-Jul-21	28-Feb-23	In Progress	Medium	Chief Officer IJB/Health & Social Care Partnership	General Manager Mental Health & Learning Disabilities
AUDIT.149	(2021) Business Continuity – BC Policy	<div style="width: 10%;"><div style="background-color: #0070C0; height: 10px;"></div></div> 10%	30-Sep-22	30-Nov-22	In Progress	Medium	Emergency Planning Officer	Emergency Planning Officer
AUDIT.151	(2021) Business Continuity – Resources & Training	<div style="width: 10%;"><div style="background-color: #0070C0; height: 10px;"></div></div> 10%	30-Sep-22	28-Feb-23	In Progress	Medium	Emergency Planning Officer	Emergency Planning Officer
AUDIT.152	(2021) Business Continuity – Programme of Testing	<div style="width: 25%;"><div style="background-color: #0070C0; height: 10px;"></div></div> 25%	30-Sep-22	31-Mar-23	In Progress	Medium	Emergency Planning Officer	Emergency Planning Officer
AUDIT.156	(2021) Schools Financial and Business Admin Processes – Training	<div style="width: 70%;"><div style="background-color: #0070C0; height: 10px;"></div></div> 70%	31-Aug-22	31-Dec-22	In Progress	High	Director Education & Lifelong Learning	Director Education & Lifelong Learning
AUDIT.157	(2021) Schools Financial and Business Admin Processes – Data Checks	<div style="width: 95%;"><div style="background-color: #0070C0; height: 10px;"></div></div> 95%	31-Aug-22	31-Dec-22	In Progress	Low	Director Resilient Communities	Senior Business Services Manager
AUDIT.158	(2021) Grants incorporating FPP – Waiver Process	<div style="width: 60%;"><div style="background-color: #0070C0; height: 10px;"></div></div> 60%	31-Mar-22	31-Jan-23	In Progress	Low	Director Resilient Communities	Communities and Partnership Manager
AUDIT.159	(2021) Sustainable Environment – Annual Declaration	<div style="width: 60%;"><div style="background-color: #0070C0; height: 10px;"></div></div> 60%	31-Dec-22	31-Dec-22	In Progress	Medium	Director Environment & Infrastructure	Environmental Strategy Co-ordinator
AUDIT.160	(2021) Sustainable Environment – Data Validation	<div style="width: 75%;"><div style="background-color: #0070C0; height: 10px;"></div></div> 75%	30-Jun-22	30-Nov-22	In Progress	Medium	Director Environment & Infrastructure	Corporate Policy Adviser; Environmental Strategy Co-ordinator
AUDIT.162	(2021) Economic Development Industrial Property – Performance Indicators	<div style="width: 0%;"><div style="background-color: #0070C0; height: 10px;"></div></div> 0%	30-Jun-23	30-Jun-23	In Progress	Medium	Director Environment & Infrastructure	Estates Strategy Manager
AUDIT.163	(2021) Roads Asset Management – RAMP	<div style="width: 5%;"><div style="background-color: #0070C0; height: 10px;"></div></div> 5%	31-Mar-24	31-Mar-24	In Progress	Medium	Director Environment & Infrastructure	Network Manager
AUDIT.164	(2021) Roads Asset Management – Financial Plans	<div style="width: 0%;"><div style="background-color: #0070C0; height: 10px;"></div></div> 0%	31-Mar-25	31-Mar-25	In Progress	Medium	Director Environment & Infrastructure	Network Manager
AUDIT.165	(2021) Roads Asset Management – Performance Monitoring	<div style="width: 0%;"><div style="background-color: #0070C0; height: 10px;"></div></div> 0%	31-Mar-26	31-Mar-26	In Progress	Medium	Director Environment & Infrastructure	Network Manager
AUDIT.166	(2021) Capital Investment – Asset Management Plans	<div style="width: 5%;"><div style="background-color: #0070C0; height: 10px;"></div></div> 5%	31-Dec-23	31-Dec-23	In Progress	Medium	Director Environment & Infrastructure	Director Environment & Infrastructure
AUDIT.167	(2021) Capital Investment – Capital Board	<div style="width: 75%;"><div style="background-color: #0070C0; height: 10px;"></div></div> 75%	30-Sep-22	31-Mar-23	In Progress	Medium	Director Environment & Infrastructure	Director Environment & Infrastructure
AUDIT.168	(2021) Capital Investment – Risk Register	<div style="width: 75%;"><div style="background-color: #0070C0; height: 10px;"></div></div> 75%	30-Sep-22	31-Mar-23	In Progress	Medium	Director Environment & Infrastructure	Director Environment & Infrastructure
AUDIT.169	(2021) Capital Investment – Sustainability	<div style="width: 0%;"><div style="background-color: #0070C0; height: 10px;"></div></div> 0%	31-Dec-22	31-Dec-22	In Progress	Medium	Director Environment & Infrastructure	Director Environment & Infrastructure
AUDIT.170	(2021) IT Asset Management – Strategy	<div style="width: 0%;"><div style="background-color: #0070C0; height: 10px;"></div></div> 0%	30-Nov-22	30-Nov-22	In Progress	Medium	Director Strategic Commissioning & Partnerships	ICT Client Manager
AUDIT.171	(2021) IT Asset Management – Business World	<div style="width: 0%;"><div style="background-color: #0070C0; height: 10px;"></div></div> 0%	31-May-23	31-May-23	In Progress	Low	Director Strategic Commissioning & Partnerships	ICT Client Manager
AUDIT.172	(2021) IT Asset Management – Review of assets	<div style="width: 0%;"><div style="background-color: #0070C0; height: 10px;"></div></div> 0%	30-Nov-22	30-Nov-22	In Progress	Low	Director Strategic Commissioning & Partnerships	ICT Client Manager
AUDIT.174	(2021) Business World – Mandatory Training	<div style="width: 73%;"><div style="background-color: #0070C0; height: 10px;"></div></div> 73%	31-Dec-22	31-Dec-22	In Progress	Medium	Director People Performance & Change	Employee Relations Manager
AUDIT.177	(2022) Winter Service – Policy Evaluation	<div style="width: 60%;"><div style="background-color: #0070C0; height: 10px;"></div></div> 60%	30-Sep-23	30-Sep-23	In Progress	Low	Director Environment & Infrastructure	Chief Officer Roads
AUDIT.178	(2022) Winter Service – Performance Assessment	<div style="width: 0%;"><div style="background-color: #0070C0; height: 10px;"></div></div> 0%	30-Sep-23	30-Sep-23	In Progress	Low	Director Environment & Infrastructure	Chief Officer Roads
AUDIT.179	(2022) Winter Service – Cost Benefit Analysis	<div style="width: 0%;"><div style="background-color: #0070C0; height: 10px;"></div></div> 0%	30-Sep-23	30-Sep-23	In Progress	Low	Director Environment & Infrastructure	Chief Officer Roads
AUDIT.180	(2022) Contract Management – Live Borders Service Provision Agreement	<div style="width: 0%;"><div style="background-color: #0070C0; height: 10px;"></div></div> 0%	31-Dec-22	31-Dec-22	In Progress	Medium	Director Resilient Communities	Director Resilient Communities
AUDIT.181	(2022) LGBF – Live Borders	<div style="width: 0%;"><div style="background-color: #0070C0; height: 10px;"></div></div> 0%	31-Dec-22	31-Dec-22	In Progress	Low	Director Resilient Communities	Director Resilient Communities
AUDIT.183	(2022) Attendance Management – Training Completion	<div style="width: 50%;"><div style="background-color: #0070C0; height: 10px;"></div></div> 50%	31-Dec-22	31-Dec-22	In Progress	Medium	Director People Performance & Change	Employee Relations Manager
AUDIT.184	(2022) Self Directed Support – Policy Review	<div style="width: 25%;"><div style="background-color: #0070C0; height: 10px;"></div></div> 25%	31-Dec-22	31-Dec-22	In Progress	Low	Director Social Work & Practice	Self-Directed Support/Unpaid Carers Lead (SDS Team Lead)
AUDIT.185	(2022) Self Directed Support – Monitoring and Reporting	<div style="width: 5%;"><div style="background-color: #0070C0; height: 10px;"></div></div> 5%	31-Dec-22	31-Dec-22	In Progress	Medium	Director Social Work & Practice	Self-Directed Support/Unpaid Carers Lead (SDS Team Lead)
AUDIT.188	(2022) Members Allowances – Develop Policy	<div style="width: 0%;"><div style="background-color: #0070C0; height: 10px;"></div></div> 0%	31-Mar-23	31-Mar-23	In Progress	Low	Chief Legal Officer	Clerk to the Council
AUDIT.189	(2022) Members Allowances – Electronic Process	<div style="width: 0%;"><div style="background-color: #0070C0; height: 10px;"></div></div> 0%	31-Aug-23	31-Aug-23	In Progress	Low	HR Shared Services Business Partner	Clerk to the Council

**Comments:**

**6 previous actions have been completed since last report 19 July 2022:**

(150 – Business Continuity: Continuity2 System; 153 – Waste & Recycling: Performance Data; 154 – Digital Strategy – Governance Structure; 155 – Schools Financial & Business Admin Processes; 161 – Economic Development Industrial Property: Financial Performance; 173 – Business World – Petty Cash)

**13 previous actions have shown an increase in % progress since last report 19 July 2022:**

(149, 151 & 152 – Business Continuity: Policy, Resources & Training, Testing; 156 & 157 – Schools Financial and Business Admin Processes: Training, Data checks; 158 – Grants incorporating FPP – Waiver Process; 159 & 160 – Sustainable Environment: Annual Declaration, Data Validation; 163 – Roads Asset Management: RAMP; 166, 167 & 168 Capital Investment: Asset Management Plans, Capital Board, Risk Registers; 174 – Business World: Mandatory Training)

**12 previous actions have had an extension to due date granted by Internal Audit since last report 19 July 2022:**

(095 – Performance Management: DMT Oversight; 106 – Developer Contributions: Operating Procedures; 145 – LDS Financial Management: Budget; 149, 151 & 152 – Business Continuity: Policy, Resources & Training, Testing; 156 & 157 – Schools Financial and Business Admin Processes: Training, Data checks); 158 – Grants incorporating FPP – Waiver Process; 160 – Sustainable Environment: Data Validation; 167 & 168 Capital Investment: Capital Board, Risk Registers;

**0 actions overdue**

(5 actions overdue at last report 19 July 2022)

**13 new actions since last report 19 July 2022 (3 of those completed: 182 – Attendance Management: eLearning Update; 186 & 187 – Self Directed Support: Care Plans Actions & Data Reconciliations)**

(177, 178 & 179 – Winter Service: Policy Evaluation, Performance Assessment, Cost/Benefit Analysis; 180 – Contract Management: Live Borders; 181 – LGBF Live Borders; 182 & 183 – Attendance Management: eLearning Update, Training Completion; 184, 185, 186 & 187 – Self Directed Support; 188 & 189 – Members Allowances)