

RECOMMENDATION TRACKING REPORT Q4 2021/22 - REC'S NOT IMPLEMENTED

Audit Title	Date Final Issued	Date of Follow up	Assurance Rating	Recommendations Not Implemented				
				Report Ref	Risk Rating	Agreed Imp. Date	Recommendation	Reason / Comments
Glyn Vivian Art Gallery	31/08/21	19/01/22	Substantial Assurance	2.11.1	MR	Aug-21	A full valuation should now be considered as a substantial time has passed since the last valuation.	We have contacted Bonham's who carried out the last valuation in 2011 to discuss beginning this work in early 2022. With over 12,000 objects in our collection this is a substantial job which will take up to 6 months. We wanted to begin this process last year but unfortunately staff capacity and the pandemic which limits site visits/research etc has meant this is not possible.
Swansea Museum	19/01/22	20/01/22	Substantial Assurance	2.9.1	MR	Dec-21	A full independent valuation of assets should now be considered.	Valuations of collection are ongoing with a budget established to do this. Given collection of 109,000 objects an instant valuation would be physically and financially prohibitive.
Development & Physical Regeneration	03/02/21	01/02/22	Substantial Assurance	2.1.3	GP	Apr-21	The Section's pages on Staffnet and the Swansea Council website should give details of all the schemes currently being managed	Work across the council being undertaken on the website, this is not complete and has been impacted by covid
				2.4.1	LR	on new lease completion	All Tenancy Agreements issued to Market traders should be retained by the service and ensured that the documentation is signed and dated by the Tenants.	These agreements are still in the Civic Centre at the moment with Corporate Property. Access to the office obviously has been an issue due to Covid and the matter has been deferred since the onset of the pandemic. However, in the meantime space has been released at the Market Office to accommodate the files. With the easing of restrictions from 28-1-22, once the Market Team is physically able to so the files will be relocated. Relocate files by the end of March.

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Swansea Market	08/05/19	17/01/22	Substantial Assurance	2.4.3 b)	MR	As above	The correct agreement should be issued to the Tenant at Stall Number C1&2	The execution of this action is subject to the completion of the lease renewal process which has not been completed prior to the start of the pandemic. The economic impact of Covid on the retail sector however means that it could be counter-productive for the Council to enter into renewed discussions with the Market traders at this time. Agree a strategy with Corporate Property and Legal regarding the Market leases (by the end of March).
				2.4.3 c)	LR	As above	The Lease to be completed and signed in pen to ensure the document is legally binding.	As above
Information Governance	19/02/20	15/02/22	Substantial Assurance	2.3.2	MR	May-20	The DPO to chase up HoS to ensure all have returned the GDPR manager's checklist. Responses to be analysed in order to identify weak areas for primary focus, and establish a baseline of 'claimed compliance' in each service area, which can then be further examined during ongoing compliance testing.	Bearing in mind it is now over six months since they were issued, it would be better to do a second exercise on 25/05/2020 on the second anniversary of GDPR. This would ask for evidence of compliance. problem being that Covid has prevented further action. An audit of IG is currently under way. Discussions have taken place about the ownership and frequency of this checklist exercise. Recommendation repeated in most recent audit.
				2.3.8	LR	May-20	The IGU to review completed manager checklists, confirming completion and compliance on an annual basis, also to check completion of training	Comments as above in 2.3.2. I think the first year showed up several flaws which it is necessary to address in Year 2. Comments as above. IGU reviews them when submitted, however the issue needs to be looked at as per 2.3.2

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				2.3.9	MR	May-20	An appropriate mechanism should be established by the IGU / DPO for compliance monitoring, performance management & reporting.	Not implemented due to lockdown and covid
				2.4.6	GP	Mar-20	The DPO should put a mechanism in place to ensure Service Managers review DPIA's after 12 months.	Revisited ICO guidance on this, no timeframe is stipulated – it says you should keep your DPIA under review and redo it if there is any change, but not how often. Not sure how easy this would be to police, given that not all DPIAs get to be copied to the DPO. This problem is being addressed in the current IG audit.

Key

HR - High Risk. MR - Medium Risk. LR - Low Risk. GP - Good Practice.