

Agreed Actions - Cotswold DC

Data revision date: 01/09/2022

Audit Period	Audit Name	Unique Reference	Issue	Status June 2022	Status Aug 2022	Priority	Created Date	Target Implementation	End Date	Revised End	Closed Date
								Date		Date	
OPEN / OUTSTANDING AGREED ACTIONS											
Pre 2021/22 Audits		6									
July 2019	Cyber Security - Incident Management	44560	The Incident Management Policy, along with the Information Security Framework of policies, were last updated in 2017.	Outstanding	Outstanding	2	10/11/2020	30/04/2021	31/05/2021	30/09/2022	
July 2019	Cyber Security - Incident Management	44561	Incident Response plans are not fully documented.	Agreed	Agreed	3	10/11/2020	31/12/2021	31/01/2022	30/09/2022	
July 2019	Cyber Security - Incident Management	44562	Incident Management and investigation procedures are not documented.	Agreed	Agreed	2	10/11/2020	31/12/2021	31/01/2022	30/09/2022	
October 2020	Revenues and Benefits (CDC, FoDDC, WODC)	44592	Housing Benefit not reconciled during 2020	Ongoing	Ongoing	2	18/11/2020	31/01/2021	01/02/2021	31/07/2022	
October 2020	Revenues and Benefits (CDC, FoDDC, WODC)	44540	Officer system access is not revoked when it is no longer required.	Ongoing	Ongoing	3	09/11/2020	31/03/2021	30/06/2021	30/11/2022	
January 2021	Risk Management (CDC, FoDDC, WODC, Pub)	45973	Universal Risk Register Templates are to be issued, with consideration of dedicated Risk Management Tooling.	Outstanding	Outstanding	2	09/09/2021	31/10/2021	30/11/2021	31/12/2022	
2021/22 Audits		22									
September 2021	Emergency Planning (CDC, FoDDC, WODC)	46168	Statutory roles and responsibilities are not clearly defined	Ongoing	Ongoing	2	26/10/2021	31/12/2021	31/01/2022	31/12/2022	
October 2021	Revenues and Benefits - Ctax and NNDR (CDC, FoDDC, WODC)	46965	Regular Financial Reconciliations are not completed	Agreed	Agreed	2	08/04/2022	31/07/2022	31/07/2022		
October 2021	Revenues and Benefits - Hsg Benefit and Ctax Support (CDC, FoDDC, WODC)	46965	Regular Financial Reconciliations are not completed	Agreed	Agreed	2	08/04/2022	31/07/2022	31/07/2022		
October 2021	Revenues and Benefits - Hsg Benefit and Ctax Support (CDC, FoDDC, WODC)	46966	Backlogs exist in processing Housing Benefits claims	Agreed	Agreed	3	08/04/2022	31/07/2022	31/08/2022		
October 2021	Revenues and Benefits - Ctax and NNDR (CDC, FoDDC, WODC)	46628	Revenues: Inconsistent practices are operating across the service	Agreed	Agreed	3	09/12/2021	30/11/2022	31/12/2022		
October 2021	Main Accounting and Accounts Receivable (CDC, FoDDC, WODC)	47056	Write off Separation of duties.	Agreed	Agreed	2	04/05/2022	30/09/2022	31/10/2022		
October 2021	Main Accounting and Accounts Receivable (CDC, FoDDC, WODC)	47096	Debt Management, recovery and write off guidance.	Agreed	Agreed	2	17/05/2022	30/09/2022	31/10/2022		
October 2021	Payroll (CDC, FoDDC, WODC)	46799	Outstanding balances accumulating in suspense accounts	Agreed	Agreed	3	25/02/2022	30/09/2022	30/09/2022	31/12/2022	
November 2021	ICT - Control of Accounts with Administrative Privileges	46851	Privelege Account Access	Agreed	Agreed	3	03/03/2022	30/11/2022	31/12/2022		
November 2021	ICT - Control of Accounts with Administrative Privileges	47032	Administrator Rights	Agreed	Agreed	3	11/04/2022	30/11/2022	31/12/2022		
November 2021	ICT - Control of Accounts with Administrative Privileges	47089	Last (current) Logged on user	Agreed	Agreed	3	13/05/2022	30/11/2022	31/12/2022		
January 2022	Governance of Programmes and Projects	46565	Statutory Officers not consulted on project/programme governance decisions; Framework requires updating	Agreed	Agreed	2	05/01/2022	30/09/2022	31/10/2022		
January 2022	Governance of Programmes and Projects	46807	Inconsistencies with the quality of key milestones.	Agreed	Agreed	2	01/03/2022	30/09/2022	31/10/2022		
September 2021	Election Expenses - Treatment of VAT	47324	Lack of a VAT code check list to aid invoice processing		Agreed	3	25/07/2022	31/03/2023	30/04/2023		
September 2021	ICT - Vulnerability Management	47107	Device Security Status Checks		Agreed	2	18/05/2022	31/12/2022	31/01/2023		
January 2022	Monitoring the Performance of Strategic Commissioned Services	46746	S151 Officer is not receiving SWAP Board Papers		Agreed	2	16/02/2022	30/06/2022	31/07/2022		
January 2022	Procurement Cards	47405	Non-Compliance with Council Policy		Agreed	1	28/07/2022	30/09/2022			
January 2022	Procurement Cards	47406	Card Sharing and Unused Cards		Agreed	1	28/07/2022	30/09/2022			
January 2022	Procurement Cards	47407	Recharge of Card Spend		Agreed	2	28/07/2022	30/12/2022			
January 2022	Procurement Cards	47408	Policy Updates		Agreed	2	28/07/2022	30/12/2022			
January 2022	Procurement Cards	47409	Cardholder Agreements		Agreed	2	28/07/2022	30/12/2022			

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January 2022	Procurement Cards	47410	Transparency Reports		Agreed	2	28/07/2022	30/12/2022			
COMPLETED / CLOSED AGREED ACTIONS											
Pre 2021/22 Audits - Agreed Actions Completed		6									
July 2019	Cyber Security - Incident Management	44563	Tracking mechanism for ongoing and recurring vulnerabilities.	Agreed	Closed - Recommendation Complete	3	10/11/2020	31/12/2021	31/01/2022	30/06/2022	11/07/2022
January 2021	Human Resources (Learning & Development)	45223	There is no Learning Management System in place	Agreed	Closed due to Time Limits	3	23/03/2021	31/03/2022	30/04/2022		06/07/2022
January 2021	Human Resources (Learning & Development)	45249	Third parties and/or temporary staff working for or on behalf of the Council are not required to carry out mandatory training modules	Agreed	Closed due to Time Limits	2	30/03/2021	31/03/2022	30/04/2022		06/07/2022
January 2021	Human Resources (Learning & Development)	45287	The Public Learning and Development Guidance and associated forms (Training Brief form and Learning Contract) have not been fully approved by relevant Employee Trade Unions.	Agreed	Closed due to Time Limits	2	13/04/2021	30/09/2021	31/10/2021	30/11/2021	06/07/2022
January 2021	Human Resources (Learning & Development)	45266	Course completion data extracted from iHasco is unreliable and incomplete, meaning it cannot be used for reliable reporting and training monitoring	Agreed	Closed due to Time Limits	3	09/04/2021	31/10/2021	30/11/2021		06/07/2022
October 2020	ICT Audit Deployment of Anti-Malware Devices	45452	Process to check for anti-malware status and coverage.	Ongoing	Complete	3	17/05/2021	31/10/2021	30/11/2021	30/04/2022	11/07/2022
2021/22 Audits - Agreed Action Completed		7									
July 2020	Systems Administration	45115	Privileged user accounts activity	Closed - Recommendation Complete	Closed - Recommendation Complete	2	04/03/2021	31/01/2022	31/01/2022	30/06/2022	17/05/2022
July 2020	Systems Administration	45236	A lack of control surrounds the Business World SYSTEM account.	Complete	Complete	2	25/03/2021	31/01/2022	31/01/2022	30/06/2022	12/04/2022
January 2021	ICT Audit Data Recovery Capabilities	45747	A Data Recovery Test Schedule was not available.	Complete	Complete	3	22/07/2021	31/12/2021	31/01/2022		08/06/2022
June 2021	H&S - Fire Risk Assessments	45890	Fire Risk Assessments Work Schedule is not current and incomplete	Complete	Complete	2	18/08/2021	31/12/2021	31/01/2022	31/03/2022	04/05/2022
September 2021	Emergency Planning (CDC, FoDDC, WODC)	46080	Gold Commanders have not undertaken training in the last 3 years.	Complete	Complete	2	04/10/2021	31/12/2021	31/01/2022		04/05/2022
January 2022	Monitoring the Performance of Strate	46712	SWAP Risk is not included in Risk Register		Closed - Recommendation Complete	2	14/02/2022	30/06/2022	31/07/2022		03/08/2022
September 2021	Emergency Planning (CDC, FoDDC, WODC)	46119	No guidance for the use of Emergency Response WhatsApp groups.	Ongoing	Complete	2	13/10/2021	31/12/2021	31/01/2022	30/06/2022	26/07/2022