

# Agreed Actions - Cotswold DC

Report Date: 4th April 2023

Issue ID	Audit	Issue Title	Issue Status	Responsible Owner	Priority Score	Action Plan Status	Timescale	Revised Timescale	Revised Timescale 2	Action Plan Remediation Date
<b>OPEN / OUSTANDING AGREED ACTIONS</b>										
393	PUB - Revenues and Benefits - 2020/21	CDC / WODC - Housing Benefit not reconciled during 2020 (Pentana 44592)	Pending Remediation	Publica Business Partner Accountant	2	In Progress	31/01/2021	30/11/2022		
392	PUB - Revenues and Benefits - 2020/21	CDC and WODC - Officer system access is not revoked when it is no longer required. (Pentana 44540)	Pending Remediation	Business Manager - Operational Services	3	In Progress	31/03/2021	31/03/2023		
402	PUB - Payroll - 2021/22	Outstanding balances accumulating in suspense accounts (Pentana 46799)	Pending Remediation	Payroll Team Leader	3	In Progress	30/06/22	31/12/22	31/08/23	
396	PUB - Revenues and Benefits - 2021/22	Regular Financial Reconciliations (HB) are not completed (CDC and WODC) (Pentana 46965)	Pending Remediation	Head of Revenues and Benefits / Head of Finance	2	In Progress	30/06/2022	30/11/2022		
395	PUB - Revenues and Benefits - 2021/22	Backlogs exist in processing Housing Benefits claims (CDC, FoDDC and WODC) (Pentana 46966)	Pending Remediation	Head of Revenues and Benefits	3	In Progress	30/11/2022	30/11/2022	30/06/2023	
397	PUB - Revenues and Benefits - 2021/22	Regular Financial Reconciliations (CT and NNDR) are not completed (CDC and WODC) (Pentana 46965)	Pending Remediation	Head of Revenues and Benefits / Head of Finance	2	In Progress	30/11/2022			
394	PUB - Revenues and Benefits - 2021/22	Revenues: Inconsistent practices are operating across the service (Pentana 46628)	Pending Remediation	Head of Revenues and Benefits / Head of Finance	3	In Progress	31/12/2022			
404	PUB - Accounts Receivable - 2021/22	Debt Management, recovery and write off guidance. (Pentana 47096)	Pending Remediation	Business Manager - Finance	2	In Progress	31/10/2022	31/03/2023		
305	PUB - Vulnerability Management (Shell) - Apr 2022	Device Security Status Checks (Pentana 47107)	Pending Remediation	Chief Technological Officer	2	In Progress	31/03/2023	31/03/2023		
282	CDC - Procurement Cards - Aug 2022	Key Finding 1 – Non-Compliance with Council Policy (Pentana 47405)	Pending Remediation	Business Manager - Finance	1	In Progress	30/09/2022	31/03/2023		
283	CDC - Procurement Cards - Aug 2022	Key Finding 2 – Card Security and Unused Cards (Pentana 47406)	Pending Remediation	Business Manager - Finance	1	In Progress	30/09/2022	31/03/2023		
284	CDC - Procurement Cards - Aug 2022	Key Finding 3 – Recharge of Card Spend (Pentana 47407)	Pending Remediation	Business Manager - Finance	2	In Progress	31/12/2022	31/03/2023		
285	CDC - Procurement Cards - Aug 2022	Key Finding 4 – Policy Updates (Pentana 47408)	Pending Remediation	Business Manager - Finance	2	In Progress	31/12/2022	31/03/2023		
286	CDC - Procurement Cards - Aug 2022	Key Finding 5 – Cardholder Agreements (Pentana 47409)	Pending Remediation	Business Manager - Finance	2	In Progress	31/12/2022	31/03/2023		
287	CDC - Procurement Cards - Aug 2022	Key Finding 6 – Transparency Reports (Pentana 47410)	Pending Remediation	Business Manager - Finance	2	In Progress	31/12/2022	31/03/2023		
758	CDC - Climate Change Strategy - September 2021	Climate Change KPIs Not Defined	Pending Remediation	Business Manager - Finance	2	In Progress	30/06/2023			
763	CDC - Climate Change Strategy - September 2021	Risk Register Climate Risks	Pending Remediation	Business Manager - Assets and Council Priorities	3	In Progress	30/09/2023			
764	CDC - Climate Change Strategy - September 2021	Impact Assessments	Pending Remediation	Head of Climate Action (CDC)	3	In Progress	30/09/2023			

Unrestricted

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<b>COMPLETED / CLOSED AGREED ACTIONS</b>										
44563	Cyber Security - Incident Management	Tracking mechanism for ongoing and recurring vulnerabilities.	Closed		3	Complete	31/12/21	30/06/22		11/07/22
45223	Human Resources (Learning & Development)	There is no Learning Management System in place	Closed		3	Complete	31/03/22			06/07/22
45249	Human Resources (Learning & Development)	Third parties and/or temporary staff working for or on behalf of the Council are not required to carry out mandatory training modules	Closed		2	Complete	31/03/22			06/07/22
45287	Human Resources (Learning & Development)	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.	Closed		2	Complete	30/09/21	30/11/21		06/07/22
45266	Human Resources (Learning & Development)	Course completion data extracted from iHasco is unreliable and incomplete, meaning it cannot be used for reliable reporting and training monitoring	Closed		3	Complete	31/10/21			06/07/22
45452	ICT Audit Deployment of Anti-Malware Devices	Process to check for anti-malware status and coverage.	Closed		3	Complete	31/10/21	30/04/22		11/07/22
44560	Cyber Security - Incident Management	The Incident Management Policy, along with the Information Security Framework of policies, were last updated in 2017.	Closed		2	Complete	30/04/21	30/09/22		13/10/22
44561	Cyber Security - Incident Management	Incident Response plans are not fully documented.	Closed		3	Complete	31/12/21	30/09/22		15/09/22
44562	Cyber Security - Incident Management	Incident Management and investigation procedures are not documented.	Closed		2	Complete	31/12/21	30/09/22		15/09/22
45973	Risk Management (CDC, FoDDC, WODC, Pub)	Universal Risk Register Templates are to be issued, with consideration of dedicated Risk Management Tooling.	Closed		2	Closed - Recommendation Complete	31/10/21	31/12/22		23/09/22
45115	Systems Administration	Privileged user accounts activity	Closed		2	Closed - Recommendation Complete	31/01/22	30/06/22		17/05/22
45236	Systems Administration	A lack of control surrounds the Business World SYSTEM account.	Closed		2	Closed - Recommendation Complete	31/01/22	30/06/22		12/04/22
45747	ICT Audit Data Recovery Capabilities	A Data Recovery Test Schedule was not available.	Closed		3	Closed - Recommendation Complete	31/12/21			08/06/22
45890	H&S - Fire Risk Assessments	Fire Risk Assessments Work Schedule is not current and incomplete	Closed		2	Closed - Recommendation Complete	31/12/21	31/03/22		04/05/22
46080	Emergency Planning (CDC, FoDDC, WODC)	Gold Commanders have not undertaken training in the last 3 years.	Closed		2	Closed - Recommendation Complete	31/12/21			04/05/22
46712	Monitoring the Performance of Strategic Commi	SWAP Risk is not included in Risk Register	Closed		2	Closed - Recommendation Complete	30/06/22			03/08/22

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46119	Emergency Planning (CDC, FoDDC, WODC)	No guidance for the use of Emergency Response WhatsApp groups.	Closed		2	Closed - Recommendation Complete	31/12/21	30/06/22		26/07/22
46168	Emergency Planning (CDC, FoDDC, WODC)	Statutory roles and responsibilities are not clearly defined	Closed		2	Closed - Recommendation Complete	31/12/21	31/12/22		17/10/22
46851	ICT - Control of Accounts with Administrative Privileges	Privelege Account Access	Closed		3	Complete	30/11/22			13/10/22
47032	ICT - Control of Accounts with Administrative Privileges	Administrator Rights	Closed		3	Closed - Recommendation Complete	30/11/22			05/01/23
47089	ICT - Control of Accounts with Administrative Privileges	Last (current) Logged on user	Closed		3	Complete (Client Self Assessment P3)	30/11/22			13/10/22
46807	Governance of Programmes and Projects	Inconsistencies with the quality of key milestones.	Closed		2	Complete	30/09/22			03/11/22
46746	Monitoring the Performance of Strategic Commissioned Services	S151 Officer is not receiving SWAP Board Papers	Closed		2	Complete	30/06/22			30/09/22
46565	Governance of Programmes and Projects	Statutory Officers not consulted on project/programme governance decisions; Framework requires updating	Closed		2	Complete	30/09/22			11/01/23
403	PUB - Accounts Receivable - 2021/22	Write off Separation of duties. (Pentana 47056)	Closed		2	Closed - Recommendation Complete	31/10/2022			30/03/23

IA Comment

Followed Up during Annual Audit. Work in Progress.

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Policy has been drafted. With CFO for review and comment.

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