

AGREED ACTIONS AS AT 2ND OCTOBER 2023

AP ID	ID	Audit Title	Issue Title	Issue Status	Period	Priority Score	AP Status	Timescale	Revised Timescale	Revised Timescale 2	Follow-Up Assessment
324	286	CDC - Procurement Cards - Aug 2022	Key Finding 5 – Cardholder Agreements (Pentana 47409)	Pending Remediation	2022/23	3	In Progress	31/12/22	31/05/23	31/10/23	Review of cardholders has been conducted, along with the issue of the revised policy. Priority score reduced due to the work that has been undertaken.
522	474	CDC - Revenues & Benefits - Dec 2022	Accounts with inhibits are not actively reviewed	Pending Remediation	2022/23	2	In Progress	30/06/23	31/10/23	--	To be included in the Annual Revs and Bens Audit / Service Review Audit. Timescale revised as audit is in progress
631	580	CDC - Revenues & Benefits - Dec 2022	Housing Benefit Overpayment Invoices Not Raised	Pending Remediation	2022/23	1	In Progress	31/05/23	31/10/23	--	Work is progressing. To be included in the Annual Revs and Bens Audit / Service Review Audit. Timescale revised as audit is in progress
821	758	CDC - Climate Change Strategy - September 2022	Climate Change KPIs Not Defined	Pending Remediation	2022/23	2	In Progress	30/06/23	31/10/23	--	CDCs Head of Climate Action advised that he will engage with the relevant Assistant Directors to provide an update on when this action will be completed. Timescale revised until October 2023 until update received.
828	763	CDC - Climate Change Strategy - September 2022	Risk Register Climate Risks	Pending Remediation	2022/23	3	In Progress	30/09/23	--	--	Raised this with the Business Manager - Business Continuity, Governance and Risk, advised that risk registers will be updated and provided to close this action.
829	764	CDC - Climate Change Strategy - September 2022	Impact Assessments	Pending Remediation	2022/23	3	In Progress	30/09/23	30/11/23	--	CDC Head of Climate Action advised that the use of the impact assessments are still being trialled on selected projects. As the trial is ongoing, the review, approval and implementation phase of this action is not complete. Timescale revised until November
1310	1218	CDC - Revenues & Benefits - Dec 2022	There are significant credit amounts in closed Council Tax accounts.	Pending Remediation	2022/23	2	In Progress	31/07/23	31/10/23	--	Work is progressing. To be included in the Annual Revs and Bens Audit / Service Review Audit. Timescale revised as audit is in progress
2212	2108	CDC - Business Continuity - Dec 2022	Revenues & Benefits – Only a high level Business Continuity Plan is maintained.	Pending Remediation	2022/23	2	In Progress	31/12/23	--	--	
2213	2109	CDC - Business Continuity - Dec 2022	Service area level Business Continuity Plan testing/tabletop exercises has not been undertaken.	Pending Remediation	2022/23	3	In Progress	30/09/23	--	--	
2214	2110	CDC - Business Continuity - Dec 2022	Advice and guidance from ICT has stalled due to service pressures.	Pending Remediation	2022/23	3	In Progress	31/12/23	--	--	
2485	2338	CDC - S106 Agreements and Funds 2022/23	S106 Agreement Reporting	Pending Remediation	2022/23	2	In Progress	30/06/23	31/12/23	--	Procedure has been drafted and being presented to Management which includes reporting. Extend date to allow consultation with Members re reporting requirements.
2820	2629	CDC - Freedom of Information - 2023/24	Access to Information policy and Publication Scheme is not regularly reviewed or updated.	Pending Remediation	2023/24	2	In Progress	30/11/23	--	--	Policy has been updated - IA to check and close agreed action if appropriate
2821	2630	CDC - Freedom of Information - 2023/24	Basic training/awareness on Freedom of Information requests for Service Areas is not in place.	Pending Remediation	2023/24	2	In Progress	31/03/24	--	--	
2822	2631	CDC - Freedom of Information - 2023/24	FOI request statistics are not published in the public domain.	Pending Remediation	2023/24	3	In Progress	30/11/23	--	--	
2823	2632	CDC - Freedom of Information - 2023/24	There is no formal process to identify and communicate FOI requests received via social media.	Pending Remediation	2023/24	3	In Progress	30/11/23	--	--	Policy has been updated - IA to check and close agreed action if appropriate
2934	2738	CDC - Follow-Up of Agreed Actions 2023/24	Procurement Cards Follow-Up	Pending Remediation	2023/24	3	In Progress	31/10/23	--	--	
434	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	2020/21	3	In Progress	31/03/21	31/03/23	31/10/23	Work is progressing. To be included in the Annual Revs and Bens Audit / Service Review Audit. Timescale revised as audit is in progress

435	393	PUB - Revenues and Benefits - 2020/21	CDC / WODC - Housing Benefit not reconciled during 2020 (Pentana 44592)	Pending Remediation	2020/21	2	In Progress	31/01/21	30/11/22	31/10/23	Work is progressing. To be included in the Annual Revs and Bens Audit / Service Review Audit. Timescale revised as audit is in progress
436	394	PUB - Revenues and Benefits - 2021/22	Revenues: Inconsistent practices are operating across the service (Pentana 46628)	Pending Remediation	2021/22	3	In Progress	31/12/22	31/10/23	--	Work is progressing. To be included in the Annual Revs and Bens Audit / Service Review Audit. Timescale revised as audit is in progress
437	395	PUB - Revenues and Benefits - 2021/22	Backlogs exist in processing Housing Benefits claims (CDC, FoDDC and WODC) (Pentana 46966)	Pending Remediation	2021/22	3	In Progress	30/11/22	30/11/22	31/10/23	Work is progressing. To be included in the Annual Revs and Bens Audit / Service Review Audit. Timescale revised as audit is in progress
438	396	PUB - Revenues and Benefits - 2021/22	Regular Financial Reconciliations (HB) are not completed (CDC and WODC) (Pentana 46965)	Pending Remediation	2021/22	2	In Progress	30/06/22	30/11/22	31/10/23	Work is progressing. To be included in the Annual Revs and Bens Audit / Service Review Audit. Timescale revised as audit is in progress
439	397	PUB - Revenues and Benefits - 2021/22	Regular Financial Reconciliations (CT and NNDR) are not completed (CDC and WODC) (Pentana 46965)	Pending Remediation	2021/22	2	In Progress	30/11/22	31/10/23	--	Work is progressing. To be included in the Annual Revs and Bens Audit / Service Review Audit. Timescale revised as audit is in progress

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2578	2420	CDC - Payroll - Jan 2023	CDC Website information relating to Officer's pay requires updating	Closed	2023/24	3	Complete	30/09/23	--	--	
325	287	CDC - Procurement Cards - Aug 2022	Key Finding 6 – Transparency Reports (Pentana 47410)	Closed	2022/23	2	Complete	31/12/22	31/03/23	--	
349	310	CDC - Election Expenses Treatment of VAT - Apr 2022	VAT code check list for invoice processing (Pentana 47324)	Closed	2022/23	3	Complete	31/03/23	30/06/23	--	
323	285	CDC - Procurement Cards - Aug 2022	Key Finding 4 – Policy Updates (Pentana 47408)	Closed	2022/23	2	Complete	31/12/22	31/03/23	31/05/23	
320	282	CDC - Procurement Cards - Aug 2022	Key Finding 1 – Non-Compliance with Council Policy (Pentana 47405)	Closed	2022/23	1	Complete	30/09/22	31/03/23	31/05/23	
2142	2044	CDC - Treasury Management & Cashflow Forecasting - Dec 2022	A single cashflow monitoring spreadsheet is updated.	Closed	2022/23	3	Complete	30/06/23	--	--	
322	284	CDC - Procurement Cards - Aug 2022	Key Finding 3 – Recharge of Card Spend (Pentana 47407)	Closed	2022/23	2	Complete	31/12/22	31/03/23	31/05/23	
321	283	CDC - Procurement Cards - Aug 2022	Key Finding 2 – Card Security and Unused Cards (Pentana 47406)	Closed	2022/23	1	Complete	30/09/22	31/03/23	31/05/23	
344	305	PUB - Vulnerability Management (Shell) - Apr 2022	Device Security Status Checks (Pentana 47107)	Closed	2022/23	2	Complete	31/01/23	31/03/23	31/07/23	
446	404	PUB - Accounts Receivable - 2021/22	Debt Management, recovery and write off guidance. (Pentana 47096)	Closed	2021/22	Risk Accepted	Complete	31/10/22	31/03/23	30/06/23	
445	403	PUB - Accounts Receivable - 2021/22	Write off Separation of duties. (Pentana 47056)	Closed	2021/22	2	Complete	31/10/22	--	--	
2141	2043	CDC - Treasury Management & Cashflow Forecasting - Dec 2022	Forecast vs Actuals Variance Reviews are not performed.	Pending Remediation	2022/23	2	In Progress	30/06/23	30/09/23	--	
2486	2339	CDC - S106 Agreements and Funds 2022/23	Reconciliation Procedure (Pentana 46965)	Pending Remediation	2022/23	3	In Progress	30/06/23	--	--	Sept 2023 - 2022/23 data has been reconciled. Any differences between Exacom and BW have been listed and explained. Finance officer has checked the reconciliation. Now business usual. IA will undertake cursory check when 2023/24 data is collated.

Remediation Date

15/09/23

04/07/23

08/06/23

31/08/23

31/08/23

07/08/23

20/07/23

31/08/23

20/09/23

29/06/23

20/03/23

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06/10/23