Open Agreed Actions - Cotswold DC

Report Date - 1st July 2023

ID	Audit Title	Issue Title	Issue Status	Responsible Officer	Priority Score	Action Plan Status	Timescale	Revised Timescale	Revised Timescale 2	IA Comment
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	31/01/21	30/11/22	--	Finance now have an officer in situ to support this work and meetings have been arranged to discuss approach and best practise
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	31/03/21	31/03/23	--	Quarterly checks are now carried out
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	30/06/22	30/11/22	--	Finance now have an officer in situ to support this work and meetings have been arranged to discuss approach and best practise
282	CDC - Procurement Cards - Aug 2022	Key Finding 1 – Non-Compliance with Council Policy (Pentana 47405)	Pending Remediation	Business Manager - Finance	1	In Progress	30/09/22	31/03/23	31/05/23	A revised policy for procurement cards has been drafted and shared with SWAP, S151 Officers and Fraud Team
283	CDC - Procurement Cards - Aug 2022	Key Finding 2 – Card Security and Unused Cards (Pentana 47406)	Pending Remediation	Business Manager - Finance	1	In Progress	30/09/22	31/03/23	31/05/23	A revised policy for procurement cards has been drafted and shared with SWAP, S151 Officers and Fraud Team
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	30/11/22	30/11/22	30/06/23	Additional resource bought in but work loads remain high due to CoLiC
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	30/11/22	--	--	Finance now have an officer in situ to support this work and meetings have been arranged to discuss approach and best practise
284	CDC - Procurement Cards - Aug 2022	Key Finding 3 – Recharge of Card Spend (Pentana 47407)	Pending Remediation	Business Manager - Finance	2	In Progress	31/12/22	31/03/23	31/05/23	Work is ongoing to introduce virtual procurement cards which will provide a reduction in the administration relating to procurement card
285	CDC - Procurement Cards - Aug 2022	Key Finding 4 – Policy Updates (Pentana 47408)	Pending Remediation	Business Manager - Finance	2	In Progress	31/12/22	31/03/23	31/05/23	A revised policy for procurement cards has been drafted and shared with SWAP, S151 Officers and Fraud Team
286	CDC - Procurement Cards - Aug 2022	Key Finding 5 – Cardholder Agreements (Pentana 47409)	Pending Remediation	Business Manager - Finance	2	In Progress	31/12/22	31/03/23	31/05/23	Along with the policy update a review has already been undertaken regarding the existing card holders and limits
394	PUB - Revenues and Benefits - 2021/22	Revenues: Inconsistent practices are operating across the service (Pentana 46628)	Pending Remediation	Head of Revenues and Benefits / Revenues Manager	3	In Progress	31/12/22	--	--	Processes are being reviewed and where appropriate, aligned
305	PUB - Vulnerability Management (Shell) - Apr 2022	Device Security Status Checks (Pentana 47107)	Pending Remediation	Chief Technological Officer	2	In Progress	31/01/23	31/03/23	31/07/23	Discussed with the CTO who advised that this is currently being completed on a manual basis and to keep this action open until the revised timescale as an automatic solution is being developed
580	CDC - Revenues & Benefits - Dec 2022	Housing Benefit Overpayment Invoices Not Raised	Pending Remediation	Business Manager - Environmental, Welfare & Revenue Services	1	In Progress	31/05/23	--	--	
758	CDC - Climate Change Strategy - September 2022	Climate Change KPIs Not Defined	Pending Remediation	Head of Climate Action (CDC)	2	In Progress	30/06/23	--	--	
474	CDC - Revenues & Benefits - Dec 2022	Accounts with inhibits are not actively reviewed	Pending Remediation	Business Manager - Revenues & Benefits	2	In Progress	30/06/23	--	--	Will be reviewed in Annual Audit which has commenced
2338	CDC - S106 Agreements and Funds 2022/23	S106 Agreement Reporting	Pending Remediation	CDC Planning Policy Manager	2	In Progress	30/06/23	--	--	
2339	CDC - S106 Agreements and Funds 2022/23	Reconciliation Procedure (Pentana 46965)	Pending Remediation	CDC Planning Policy Officer	3	In Progress	30/06/23	--	--	
2043	CDC - Treasury Management & Cashflow Forecasting - Dec 2022	Forecast vs Actuals Variance Reviews are not performed.	Pending Remediation	Treasury Accountant	2	In Progress	30/06/23	--	--	
2044	CDC - Treasury Management & Cashflow Forecasting - Dec 2022	A single cashflow monitoring spreadsheet is updated.	Pending Remediation	Treasury Accountant	3	In Progress	30/06/23	--	--	
1218	CDC - Revenues & Benefits - Dec 2022	There are significant credit amounts in closed Council Tax accounts.	Pending Remediation	Revenues Operational Lead	2	In Progress	31/07/23	--	--	
2109	CDC - Business Continuity - Dec 2022	Service area level Business Continuity Plan testing/tabletop exercises has not been undertaken.	Pending Remediation	Business Manager- Business Continuity, Governance and Risk	3	In Progress	30/09/23	--	--	
764	CDC - Climate Change Strategy - September 2022	Impact Assessments	Pending Remediation	Head of Climate Action (CDC)	3	In Progress	30/09/23	--	--	
763	CDC - Climate Change Strategy - September 2022	Risk Register Climate Risks	Pending Remediation	Business Manager - Assets and Council Priorities	3	In Progress	30/09/23	--	--	
2110	CDC - Business Continuity - Dec 2022	Advice and guidance from ICT has stalled due to service pressures.	Pending Remediation	Business Manager- Business Continuity, Governance and Risk	3	In Progress	31/12/23	--	--	
2108	CDC - Business Continuity - Dec 2022	Revenues & Benefits – Only a high level Business Continuity Plan is maintained.	Pending Remediation	Business Manager - Environment, Welfare & Revenue Service	2	In Progress	31/12/23	--	--	