

Agreed Actions - West Oxfordshire DC

Report Date: 15th March 2023

Issue ID	Audit	Issue Title	Issue Status	Priority Score	Action Plan Status	Action Plan			Action Plan Remediation Date	IA Comment
						Timescale	Revised Timescale	Revised Timescale 2		
OPEN / OUSTANDING AGREED ACTIONS										
393	PUB - Revenues and Benefits - 2020/21	CDC / WODC - Housing Benefit not reconciled during 2020 (Pentana 44592)	Pending Remediation	2	In Progress	31/01/2021	30/11/2022			Followed Up during Annual Audit. Work in Progress.
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	3	In Progress	31/03/2021	31/03/2023			Followed Up during Annual Audit. Work in Progress.
402	PUB - Payroll - 2021/22	Outstanding balances accumulating in suspense accounts (Pentana 46799)	Pending Remediation	3	In Progress	30/06/2022	31/12/2022	31/08/2023		Followed Up during Annual Audit. Work in Progress.
396	PUB - Revenues and Benefits - 2021/22	Regular Financial Reconciliations (HB) are not completed (CDC and WODC) (Pentana 46965)	Pending Remediation	2	In Progress	30/06/2022	30/11/2022			Followed Up during Annual Audit. Work in Progress.
395	PUB - Revenues and Benefits - 2021/22	Backlogs exist in processing Housing Benefits claims (CDC, FoDDC and WODC) (Pentana 46966)	Pending Remediation	3	In Progress	30/11/2022	30/11/2022	30/06/2023		Followed Up during Annual Audit. Work in Progress.
397	PUB - Revenues and Benefits - 2021/22	Regular Financial Reconciliations (CT and NNDR) are not completed (CDC and WODC) (Pentana 46965)	Pending Remediation	2	In Progress	30/11/2022				Followed Up during Annual Audit. Work in Progress.
394	PUB - Revenues and Benefits - 2021/22	Revenues: Inconsistent practices are operating across the service (Pentana 46628)	Pending Remediation	3	In Progress	31/12/2022				Followed Up during Annual Audit. Work in Progress.
403	PUB - Accounts Receivable - 2021/22	Write off Separation of duties. (Pentana 47056)	Pending Remediation	2	In Progress	31/10/2022				Followed Up during Annual Audit. Work in Progress.
404	PUB - Accounts Receivable - 2021/22	Debt Management, recovery and write off guidance. (Pentana 47096)	Pending Remediation	2	In Progress	31/10/2022	31/03/2023			Followed Up during Annual Audit. Work in Progress.
305	PUB - Vulnerability Management (Shell) - Apr 2022	Device Security Status Checks (Pentana 47107)	Pending Remediation	2	In Progress	31/03/2023	31/03/2023			
296	WODC - Procurement Cards - Aug 2022	Key Finding 1 – Non-Compliance with Council Policy (Pentana 47405)	Pending Remediation	1	In Progress	30/09/2022	31/03/2023			Policy has been drafted. With CFO for review and comment.
297	WODC - Procurement Cards - Aug 2022	Key Finding 2 – Card Security and Unused Cards (Pentana 47406)	Pending Remediation	1	In Progress	30/09/2022	31/03/2023			Policy has been drafted. With CFO for review and comment.
298	WODC - Procurement Cards - Aug 2022	Key Finding 3 – Recharge of Card Spend (Pentana 47407)	Pending Remediation	2	In Progress	31/12/2022	31/03/2023			Policy has been drafted. With CFO for review and comment.
299	WODC - Procurement Cards - Aug 2022	Key Finding 4 – Policy Updates (Pentana 47408)	Pending Remediation	2	In Progress	31/12/2022	31/03/2023			Policy has been drafted. With CFO for review and comment.
300	WODC - Procurement Cards - Aug 2022	Key Finding 5 – Cardholder Agreements (Pentana 47409)	Pending Remediation	2	In Progress	31/12/2022	31/03/2023			Policy has been drafted. With CFO for review and comment.
301	WODC - Procurement Cards - Aug 2022	Key Finding 6 – Transparency Reports (Pentana 47410)	Pending Remediation	2	In Progress	31/12/2022	31/03/2023			Policy has been drafted. With CFO for review and comment.
311	WODC - Election Expenses Treatment of VAT - Aug 2022	BW financial management system training (Pentana 47511)	Pending Remediation	3	In Progress	31/03/2023				
312	WODC - Election Expenses Treatment of VAT - Aug 2022	VAT code check list for invoice processing (Pentana 47595)	Pending Remediation	3	In Progress	31/03/2023				
769	WODC - Climate Change Strategy - September 2022	KPI Review and Update	Pending Remediation	3	In Progress	30/09/2023				
770	WODC - Climate Change Strategy - September 2022	Strategy and Plan Refresh	Pending Remediation	3	In Progress	30/09/2023				
771 Unrestricted	WODC - Climate Change Strategy - September 2022	Risk Register Climate Risks	Pending Remediation	3	In Progress	30/09/2023				

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918	WODC - S106 Agreements and Funds 2022/23	Unspent historic funds (Pentana 47743)	Pending Remediation	1	In Progress	31/03/2023			
919	WODC - S106 Agreements and Funds 2022/23	'Spend by Date' either blank or 01/01/90 (Pentana 47868)	Pending Remediation	2	In Progress	31/03/2023			
920	WODC - S106 Agreements and Funds 2022/23	S106 Agreement Reporting (Pentana 47869)	Pending Remediation	2	In Progress	31/03/2023			
921	WODC - S106 Agreements and Funds 2022/23	Reconciliation Procedure	Pending Remediation	2	In Progress	31/03/2023			
922	WODC - S106 Agreements and Funds 2022/23	Reconciliation Sign Off (Pentana 47828)	Pending Remediation	3	In Progress	31/03/2023			
COMPLETED / CLOSED AGREED ACTIONS									
44563	Cyber Security - Incident Management	Tracking mechanism for ongoing and recurring vulnerabilities.	Closed	3	Complete	31/12/2021		30/06/2022	11/07/2022
45223	Human Resources (Learning & Development)	There is no Learning Management System in place	Closed	3	Complete	31/03/2022			06/07/2022
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	31/03/2022			06/07/2022
45287	Human Resources (Learning & Development)	The Publica 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	30/09/2021		30/11/2021	06/07/2022
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	31/10/2021			06/07/2022
45452	ICT Audit Deployment of Anti-Malware Devices	Process to check for anti-malware status and coverage.	Closed	3	Complete	31/10/2021		30/04/2022	11/07/2022
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	30/04/2021		30/09/2022	13/10/2022
44561	Cyber Security - Incident Management	Incident Response plans are not fully documented.	Closed	3	Complete	31/12/2021		30/09/2022	15/09/2022
44562	Cyber Security - Incident Management	Incident Management and investigation procedures are not documented.	Closed	2	Complete	31/12/2021		30/09/2022	15/09/2022
45973	Risk Management (CDC, FoDDC, WODC, Pub)	Universal Risk Register Templates are to be issued, with consideration of dedicated Risk Management Tooling.	Closed	2	Complete	31/10/2021		31/12/2022	23/09/2022
45115	Systems Administration	Privileged user accounts activity	Closed	2	Closed - Recommendation Complete	31/01/2022			
45236	Systems Administration	A lack of control surrounds the Business World SYSTEM account.	Closed	2	Complete	31/01/2022			
45747	ICT Audit Data Recovery Capabilities	A Data Recovery Test Schedule was not available.	Closed	3	Complete	31/12/2021			
45890 Unrestricted	H&S - Fire Risk Assessments	Fire Risk Assessments Work Schedule is not current and incomplete	Closed	2	Complete	31/12/2021			

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46080	Emergency Planning (CDC, FoDDC, WODC)	Gold Commanders have not undertaken training in the last 3 years.	Closed	2	Complete	31/12/2021	30/06/2022	17/05/2022	
46220	Procurement - Contract Management and Monitoring	Contract could not be located - WODC	Closed	3	Complete	31/03/2022	30/06/2022	12/04/2022	
46222	Procurement - Contract Management and Monitoring	Contractor's BCP arrangements are not reviewed	Closed	3	Complete	31/03/2022		08/06/2022	
46119	Emergency Planning (CDC, FoDDC, WODC)	No guidance for the use of Emergency Response WhatsApp groups.	Closed	2	Complete	31/12/2021	31/03/2022	04/05/2022	
46168	Emergency Planning (CDC, FoDDC, WODC)	Statutory roles and responsibilities are not clearly defined	Closed	2	Closed - Recommendation Complete	31/12/2021		04/05/2022	
46851	ICT - Control of Accounts with Administrative Privileges	Privelege Account Access	Closed	3	Complete	30/11/2022		04/04/2022	
47089	ICT - Control of Accounts with Administrative Privileges	Last (current) Logged on user	Closed	3	Complete (Client Self Assessment)	30/11/2022		04/04/2022	
47032	ICT - Control of Accounts with Administrative Privileges	Administrator Rights	Closed	3	Closed - Recommendation Complete	30/11/2022		05/01/2023	
46565	Governance of Programmes and Projects	Statutory Officers not consulted on project/programme governance decisions; Framework requires updating	Closed	2	Closed - Recommendation Complete	30/09/2022		11/01/2023	
46807	Governance of Programmes and Projects	Inconsistencies with the quality of key milestones.	Closed	2	Closed - Recommendation Complete	30/09/2022		03/11/2022	
391	WODC - Monitoring the Performance of Strategic Commissioned Services - 2021/	Risk Relating to Strategic Partnerships (WODC) (Pentana 46714)	Closed	2	Complete	31/12/2022		16/01/2023	