

Agreed Actions - 18th July 2023

ID	Audit Title	Issue Title	Issue Status	Priority Score	Period	AP Status	Timescale	Revised Timescale	Revised Timescale 2	Responsible Officer	IA Update
393	PUB - Revenues and Benefits - 2020/21	CDC / WODC - Housing Benefit not reconciled during 2020 (Pentana 44592)	Pending Remediation	2	2020/21	In Progress	31/01/21	30/11/22	--	Publica Business Partner Accountant	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	3	2020/21	In Progress	31/03/21	31/03/23	--	Business Manager Operational Services	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	2	2021/22	In Progress	30/06/22	30/11/22	--	Head of Revenues and Benefits / Head of Finance	Finance now have an officer in situ to support this work and meetings have been arranged to discuss approach and best practise
296	WODC - Procurement Cards - Aug 2022	Key Finding 1 – Non-Compliance with Council Policy (Pentana 47405)	Pending Remediation	1	2022/23	In Progress	30/09/22	31/03/23	31/05/23	Business Manager - Finance	A revised policy for procurement cards has been drafted and shared with SWAP, S151 Officers and Fraud Team
297	WODC - Procurement Cards - Aug 2022	Key Finding 2 – Card Security and Unused Cards (Pentana 47406)	Pending Remediation	1	2022/23	In Progress	30/09/22	31/03/23	31/05/23	Business Manager - Finance	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	3	2021/22	In Progress	30/11/22	30/11/22	30/06/23	Head of Revenues and Benefits	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	2	2021/22	In Progress	30/11/22	--	--	Head of Revenues and Benefits / Head of Finance	Finance now have an officer in situ to support this work and meetings have been arranged to discuss approach and best practise
298	WODC - Procurement Cards - Aug 2022	Key Finding 3 – Recharge of Card Spend (Pentana 47407)	Pending Remediation	2	2022/23	In Progress	31/12/22	31/03/23	31/05/23	Business Manager - Finance	Work is ongoing to introduce virtual procurement cards which will provide a reduction in the administration relating to procurement card transactions, including removing the need for use of suspense accounts. It will also provide greater control in terms of obtaining authorisation for transactions from management prior to the transaction taking place and remove the issue of card sharing and use of cards across clients. This process is currently being tested within the Publica client with the plan to roll this out across the councils over the summer.

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299	WODC - Procurement Cards - Aug 2022	Key Finding 4 – Policy Updates (Pentana 47408)	Pending Remediation	2	2022/23	In Progress	31/12/22	31/03/23	31/05/23	Business Manager - Finance	A revised policy for procurement cards has been drafted and shared with SWAP, S151 Officers and Fraud Team
300	WODC - Procurement Cards - Aug 2022	Key Finding 5 – Cardholder Agreements (Pentana 47409)	Pending Remediation	2	2022/23	In Progress	31/12/22	31/03/23	31/05/23	Business Manager - Finance	Along with the policy update a review has already been undertaken regarding the existing card holders and limits
301	WODC - Procurement Cards - Aug 2022	Key Finding 6 – Transparency Reports (Pentana 47410)	Pending Remediation	2	2022/23	In Progress	31/12/22	31/03/23	--	Business Manager - Finance	Officers have been reminded of the need to publish data
394	PUB - Revenues and Benefits - 2021/22	Revenues: Inconsistent practices are operating across the service (Pentana 46628)	Pending Remediation	3	2021/22	In Progress	31/12/22	--	--	Head of Revenues and Benefits / Revenues Manager	Processes are being reviewed and where appropriate, aligned
305	PUB - Vulnerability Management (Shell) - Apr 2022	Device Security Status Checks (Pentana 47107)	Pending Remediation	2	2022/23	In Progress	31/01/23	31/03/23	31/07/23	Chief Technological Officer	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.
918	WODC - S106 Agreements and Funds 2022/23	Unspent historic funds (Pentana 47743)	Pending Remediation	1	2022/23	In Progress	31/03/23	--	--	WODC Planning Policy Manager	
919	WODC - S106 Agreements and Funds 2022/23	'Spend by Date' either blank or 01/01/90 (Pentana 47868)	Pending Remediation	2	2022/23	In Progress	31/03/23	--	--	WODC Planning Policy Manager	
920	WODC - S106 Agreements and Funds 2022/23	S106 Agreement Reporting (Pentana 47869)	Pending Remediation	2	2022/23	In Progress	31/03/23	--	--	WODC Planning Policy Manager	
921	WODC - S106 Agreements and Funds 2022/23	Reconciliation Procedure	Pending Remediation	2	2022/23	In Progress	31/03/23	--	--	WODC Planning Policy Manager	
922	WODC - S106 Agreements and Funds 2022/23	Reconciliation Sign Off (Pentana 47828)	Pending Remediation	3	2022/23	In Progress	31/03/23	--	--	WODC Planning Policy Manager	
581	WODC - Revenues & Benefits - Dec 2022	Invoices to recover Housing Benefit overpayments are not being raised.	Pending Remediation	1	2022/23	In Progress	31/05/23	--	--	Business Manager - Environmental, Welfare & Revenue Service	
475	WODC - Revenues & Benefits - Dec 2022	Accounts with inhibits (supressed accounts) are not actively reviewed	Pending Remediation	2	2022/23	In Progress	31/07/23	--	--	Revenues Operational Lead	
1219	WODC - Revenues & Benefits - Dec 2022	There are significant credit amounts in closed Council Tax accounts.	Pending Remediation	2	2022/23	In Progress	31/07/23	--	--	Revenues Operational Lead	
2045	WODC- Treasury Management & Cashflow Forecasting - Dec 2022	Forecast vs Actuals Variance Reviews are not performed.	Pending Remediation	2	2022/23	In Progress	31/07/23	--	--	Treasury Accountant	
2046	WODC- Treasury Management & Cashflow Forecasting - Dec 2022	A single cashflow monitoring spreadsheet is updated.	Pending Remediation	3	2022/23	In Progress	31/07/23	--	--	Treasury Accountant	
769	WODC - Climate Change Strategy - September 2022	KPI Review and Update	Pending Remediation	3	2022/23	In Progress	30/09/23	--	--	Climate Change Manager (WODC)	

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770	WODC - Climate Change Strategy - September 2022	Strategy and Plan Refresh	Pending Remediation	3	2022/23	In Progress	30/09/23	--	--	Climate Change Manager (WODC)	
771	WODC - Climate Change Strategy - September 2022	Risk Register Climate Risks	Pending Remediation	3	2022/23	In Progress	30/09/23	--	--	Business Manager - Assets and Council Priorities	
2112	WODC - Business Continuity - Dec 2022	Service area level Business Continuity Plan testing/tabletop exercises has not been undertaken.	Pending Remediation	3	2022/23	In Progress	30/09/23	--	--	Business Manager- Business Continuity, Governance and Risk	
2111	WODC - Business Continuity - Dec 2022	Revenues & Benefits – Only a high level Business Continuity Plan is maintained.	Pending Remediation	2	2022/23	In Progress	31/12/23	--	--	Business Manager - Environmental, Welfare & Revenue Service	
	WODC - Business Continuity - Dec 2022	Advice and guidance from ICT has stalled due to service pressures.	Pending Remediation	3	2022/23	In Progress	31/12/23	--	--	Business Manager- Business Continuity, Governance and Risk	