

Audit Recommendations - Overdue (Sorted as Assigned To)

Report Type: Actions Report


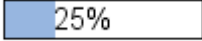
Report Author:





SUMMARY OF OVERDUE RECOMMENDATIONS		
	Priority 1	Priority 2
Total Overdue Recommendations with due dates up to 30/09/19	5	10
“New” Recommendations due in the period	10	24
Total recommendations to be implemented	15	34
Implemented from last Audit report	3	6
“New” but implemented by the period end	5	12
Total implemented in the Period	8	18
Cancelled since last Audit report		
Outstanding from last Audit report	2	4
Overdue added this period	5	12
Total Overdue Recommendations with due dates up to 31/03/20	7	16

Pentana Performance holds all recommendations from Internal Audit, External Audit and those included in the AGS Action Plan


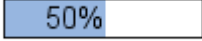
Assigned To Governance and Data Protection Officer

Status Icon	Action Code & Title	Priority	Assigned To	Progress Bar	Due Date	Description	All Notes
	AR-C_143 The draft Records Management Procedure should be reviewed and updated if necessary prior to being authorised and published. Following approval and authorisation it should be subject to regular review by the Data Protection Officer.	1	Governance and Data Protection Officer		31-Dec-2019	Information Governance 2018/19	09-Mar-2020 Draft document is with the DPO to be updated and disseminate to managers for checking the periods of retention against any external body/legal requirements. 19-Dec-2019 Ownership reassigned at request of Director of Corporate Services and Commercial Strategy 29-Jul-2019 Strategy to be reviewed, approved and published on the intranet.


Assigned To Financial Resources Director

Status Icon	Action Code & Title	Priority	Assigned To	Progress Bar	Due Date	Description	All Notes
	AR-C&CR_010 A review of current cash receipting systems and processes is undertaken to ensure that the Payment Card Industry Data Security Standards are met.	1	Financial Resources Director		30-Sep-2017	Cash Receipting 2016/17	24-Jan-2020 upgrade to latest version of CIVICA completed. Other actions o/s from an IT perspective to complete recommendation. 15-Jul-2019 progressing the user acceptance testing phase of the upgrade. 01-Apr-2019 Cash receipting contract re-let. 28-Mar-2019 Chief Finance Officer is working with relevant managers to analyse issues and options to

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							<p>move this action forward.</p> <p>23-Jan-2019 The recommendation was recorded as fully implemented from 30/07/18. As a result of the Follow Up audit the implemented status has been amended to 0%. Due to the impact of the cyber-attack it has not been possible to carry out the PCI DSS review, and, although not currently operational, the issues referenced with the telephony system remain.</p>



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	AR-C&CR_067 a) Staff arrangements to be reviewed to ensure the payroll can be accurately and completely delivered with appropriate separation of duties; b. Payroll business continuity to be reviewed, documented and monitored to ensure sufficient resilience.	1	Financial Resources Director		31-Mar-2020	Payroll Audit 2017/18	30-May-2019 As a result of the Follow Up audit the implemented status has been amended to 50%. The Business Continuity Plan requires review, revision and communication.

Assigned To ICT Manager

Status Icon	Action Code & Title	Priority	Assigned To	Progress Bar	Due Date	Description	All Notes
	AR-AC_072 Develop a disaster recovery plan and perform a test of this plan at the earliest possible convenience.	1	ICT Manager	<div style="border: 1px solid black; width: 100px; height: 15px; background-color: #e0e0e0; position: relative;"> 30% </div>	30-Sep-2018	Grant Thornton Audit Findings 2016/17 – March 2018	<p>12-Mar-2020 DR Plans are part of new ICT Strategy and will be part of the new ICT Programme Action Plan</p> <p>01-Jan-2020 This activity forms part of the ICT Strategy draft currently with CLT for review.</p> <p>27-Oct-2019 Work continues based on Cloud based VM backup in depth</p> <p>29-Sep-2019 This work has been started as part of our wider Active Cyber Resilience</p>


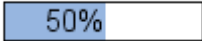
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							<p>Plan. Our two cyber-security apprentices are working on this. Current target for completion is 31-MAR-2020</p> <p>12-Jul-2019 We have been successful in being allocated £5,000 of funding from the LGA Phase two Cyber Resilience bids. Progress is currently awaiting resource availability to progress.</p> <p>24-Jun-2019 Review done of existing DR plan but needs a complete re-write and to be linked to new Cyber resilience plan.</p>

Assigned To Strategic Finance Accountant 02

Status Icon	Action Code & Title	Priority	Assigned To	Progress Bar	Due Date	Description	All Notes
	AR-F&MIS_376 Petty Cash Administration Procedures to be reviewed and updated, ensure they fully reflect current requirements and Financial Regulations; once updated, appropriately communicated, made readily available and adequate training for float holders.	1	Strategic Finance Accountant 02	<div style="width: 30%;"><div style="background-color: #4F81BD; height: 10px; width: 30%;"></div></div> 30%	31-Jan-2020	Petty Cash Audit 2019/20	<p>04-Nov-2019 Draft updated procedures produced. Waiting for confirmation these are appropriate</p> <p>30-Oct-2019 Review and update of Petty Cash Administration Procedures to reflect current practices and the Councils Financial Regulations; subsequently issued to all float holders; and consideration of training requirements.</p>
	AR-F&MIS_379 Authorised signatory	1	Strategic Finance	<div style="width: 60%;"><div style="background-color: #4F81BD; height: 10px; width: 60%;"></div></div> 60%	31-Dec-2019	Petty Cash Audit 2019/20	04-Nov-2019 Authorised signatory

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	forms should be reviewed and updated to include the current signatures and all relevant duties to be performed by an individual within each respective department's budget.		Accountant 02				<p>forms updated and have been sent out for completion. Now chasing for forms to be returned</p> <hr/> <p>30-Oct-2019 New authorised signatory forms sent to departments to obtain updated information. Chase return of those still outstanding.</p>

Assigned To Strategic Finance Accountant 02; Financial Resources Director

Status Icon	Action Code & Title	Priority	Assigned To	Progress Bar	Due Date	Description	All Notes
	AR-F&MIS_377 Management arrangements should ensure that only appropriate expenditure is claimed through the petty cash system, in accordance with the procedures and financial regulations and other, more appropriate systems are used where possible.	1	Strategic Finance Accountant 02; Financial Resources Director		31-Jan-2020	Petty Cash Audit 2019/20	30-Oct-2019 Split into two Milestones: a) Finance verifying all reimbursements for appropriate use. b) Financial Regulations currently under review. Process of fuel for hire cars to be clarified.