

Agreed Actions - Cheltenham BC

Report 20TH MARCH 2023

Issue ID	Audit	Issue Title	Issue Status	Priority Score	Action Plan Status	Timescale	Responsible Officer	Revised Timescale	Revised Timescale 2	Action Plan Remediation Date	IA Comment
OPEN / OUSTANDING AGREED ACTIONS											
382	Planning Enforcement - 2020/21	The Built Environment Local Enforcement Plan (Planning) has not been recently reviewed (Pentana 44647)	Pending Remediation	3	In Progress	31/07/21	Senior Enforcement and Compliance Officer	30/04/22	30/06/23		Followed Up Jan 2023. LEP Partially drafted
403	Accounts Receivable - 2021/22	Write off Separation of duties are not in place. (Pentana 47056)	Pending Remediation	2	In Progress	31/10/22	Business Manager - Finance	31/03/23			Followed up in the annual AR review which is currently at draft stage
404	Accounts Receivable - 2021/22	Debt Management, recovery and write off guidance is not available. (Pentana 47096)	Pending Remediation	2	In Progress	31/10/22	Business Manager - Finance	31/03/23			Followed up in the annual AR review which is currently at draft stage
305	Vulnerability Management (Shell) - Apr 2022	Device Security Status Checks could be enhanced. (Pentana 47107)	Pending Remediation	2	In Progress	31/01/23	Chief Technological Officer	31/03/23			
315	Procurement Cards (Business Charge Cards) - Jun 2022	Policy Review not undertaken since 2015. (Pentana 47127)	Pending Remediation	3	In Progress	30/09/22	Head of Finance	26/01/23	30/06/23		Policy to be reviewed. Timescale revised to allow for final accounts to be prepared.
314	Procurement Cards (Business Charge Cards) - Jun 2022	Non-Compliance with Policy / Agreed Protocols (Pentana 47129)	Pending Remediation	2	In Progress	30/09/22	Head of Finance	26/01/23	30/06/23		Once the Policy is reviewed it will be published on the staff intranet
384	Monitoring the Performance of Strategic Commissioned Services - 2021/22	Strategic Commissioned Service risk not identified in risk register. (Pentana 46754)	Pending Remediation	2	In Progress	30/06/22	Executive Director Finance, Assets and Regeneration	31/03/23			
316	Publica Performance Information - Apr 2022	KPI Definitions & Targets have not been reviewed since they were first developed. (Pentana 47714)	Pending Remediation	3	In Progress	31/03/23	Head of Performance, Projects and Risk				
317	Publica Performance Information - Apr 2022	Management Checks not undertaken on the validity of data provided by Publica (Pentana 47715)	Pending Remediation	3	In Progress	31/03/23	Client Officer				
318	Taxi Licensing (Safeguarding) - Jun 2022	6 monthly enhanced DBS checks are not completed as per the Common Standards (Pentana 47390)	Pending Remediation	2	In Progress	31/03/23	Senior Licensing Officer				
320	Taxi Licensing (Safeguarding) - Jun 2022	Safeguarding training assurance not sought from attendees. (Pentana 47396)	Pending Remediation	3	In Progress	31/12/22	Senior Licensing Officer	31/05/23			
321	Taxi Licensing (Safeguarding) - Jun 2022	There are no agreed timeframes for informal taxi complaints (Pentana 47404)	Pending Remediation	3	In Progress	31/12/22	Senior Licensing Officer	28/02/23			Awaiting response
322	Taxi Licensing (Safeguarding) - Jun 2022	Certificate of good character declaration is not always available. (Pentana 47472)	Pending Remediation	3	In Progress	31/12/22	Senior Licensing Officer	28/02/23			Awaiting response
319	Taxi Licensing (Safeguarding) - Jun 2022	Monitoring is not regularly undertaken. (Pentana 47478)	Pending Remediation	2	In Progress	31/03/23	Senior Licensing Officer				
579	Revenues & Benefits - Dec 2022	Suppressed Accounts Reports do not show clear separation of duties.	Open	3	In Progress	31/03/23	Head of Revenues and Benefits				Follow Up in progress

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COMPLETED / CLOSED AGREED ACTIONS											
44563	Cyber Security - Incident Management	There is no clear tracking mechanism for ongoing and recurring vulnerabilities.	Closed	3	Closed - Recommendation Complete	31/12/21		30/06/22		11/07/22	
45452	ICT Audit Deployment of Anti-Malware Devices	There is currently no formal process in place to review, identify, validate and remediate gaps in anti-malware status and coverage.	Closed	3	Complete	31/10/21		30/04/22		11/07/22	
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	30/04/21		30/09/22		13/10/22	
44561	Cyber Security - Incident Management	Incident Response plans are not fully documented.	Closed	3	Complete	31/12/21		30/09/22		15/09/22	
44562	Cyber Security - Incident Management	Incident Management and investigation procedures are not documented.	Closed	2	Complete	31/12/21		30/09/22		15/09/22	
44678	Asset Management	Reconciliation between the Uniform system and the Council's finance system is not completed as per the Financial Rules.	Closed	2	Complete	30/06/21		31/03/22		18/05/22	
45115	Systems Administration	Privileged user accounts remain active when not required.	Closed	2	Closed - Recommendation Complete	31/01/22		30/06/22		17/05/22	
45236	Systems Administration	A lack of control surrounds the Business World SYSTEM account.	Closed	2	Complete	31/01/22		30/06/22		12/04/22	
44743	Revenues and Benefits	User Ids are not disabled when no longer required. Group permissions are not reviewed.	Closed	3	Complete	31/01/22		30/04/22		13/07/22	
45747	ICT Audit Data Recovery Capabilities	A Data Recovery Test Schedule was not available.	Closed	3	Complete	31/12/21				08/06/22	
47154	Procurement Cards	Transparency Data not published in a timely manner	Closed	3	Complete	30/09/22				23/06/22	
46173	Emergency Planning	Some Gold Commanders have not undertaken training in the last 3 years.	Closed	2	Complete	31/03/22		30/06/22		26/07/22	
46219	Emergency Planning	CBC Emergency Planning is not fully resourced.	Closed	1	Complete	31/01/22		30/06/22		26/07/22	
46708	Monitoring the Performance of Strategic Commissioned Services	Corporate Risk Register	Closed	2	Closed - Recommendation Complete	30/06/22				07/09/22	
46851	ICT - Control of Accounts with Administrative Privileges	Accountability (enforced reason entry to view accounts)	Closed	3	Complete	30/11/22				13/10/22	
47089	ICT - Control of Accounts with Administrative Privileges	Last (current) Logged on user within Virtual environments	Closed	3	Complete (Client Self Assessment)	30/11/22				13/10/22	
46438	H & S Fire Risk Assessments	There is no fire risk assessment work schedule	Closed	2	Complete	31/03/22		31/07/22		12/10/22	
46745	Monitoring the Performance of Strategic Commissioned Services	SWAP Board Papers	Closed	2	Complete	30/06/22				27/09/22	
47032	ICT - Control of Accounts with Administrative Privileges	Administrator Rights	Closed	3	Closed - Recommendation Complete	30/11/22				05/01/23	
381	Revenues and Benefits - 2019/20	Discounts and exemption reviews undertaken ar	Closed	3	Complete	31/03/20		31/12/22		24/01/23	
383	Emergency Planning - 2021/22	No guidance for the use of Emergency Response	Closed	2	Complete	31/01/22		31/12/22		17/01/23	