

Outstanding Agreed Actions - June 2023												
ID	Audit Title	Issue Title	Issue Status	Remediation Action	Priority Score	AP Status	Timescale	Revised Timescale	Revised Timescale 2	Responsible Officer	Follow-Up Assessment	Remediation Date
382	CBC - Planning Enforcement - 2020/21	The Built Environment Local Enforcement Plan (Planning) has not been recently reviewed (Pentana 44647)	Pending Remediation	<ul style="list-style-type: none"> The Built Environment Local Enforcement Plan (Planning) and associated protocols will be reviewed and updated to ensure guidance is current and accurate. An audit table will be included to record the drafting and approval process for transparency purposes. The Local Enforcement Plan will be uploaded to the CBC website and intranet as a PDF document so any webpages and email addresses can be easily accessed. 	3	In Progress	31/07/21	30/04/22	30/06/23	Senior Enforcement & Compliance Officer	Update 17/01/2023 - Senior Enforcement and Compliance Officer Revised LEP partially drafted. Aim to have it completed by End of June 2023 as clearing backlog and new way of working under new management.	--
314	CBC - Procurement Cards - Jun 2022	Non-Compliance with Policy / Agreed Protocols (Pentana 47129)	Pending Remediation	<p>1.All cardholders will be reminded of the following key control requirements:</p> <ul style="list-style-type: none"> Official VAT receipts/invoices must be obtained whenever possible Use of Sales order confirmation to be used only as a last resort Consideration given to using the purchase order system where possible <p>2.Card access and control will be reviewed to ensure compliance with agreed policies.</p>	2	In Progress	30/09/22	30/06/23	--	Head of Finance	Update 30/03/2023 - Director of Finance & Assets: advised that the updated policy will be published on the staff intranet. However, policy controls are not robust. Requested extension to timeframe to allow for completion of Statement of Accounts.	--
315	CBC - Procurement Cards - Jun 2022	Policy Review (Pentana 47127)	Pending Remediation	<p>1.The CBC Corporate Charge Card Policy and Guidance will be reviewed and updated.</p> <p>2.Cardholder agreements will be reviewed and updated to ensure they are current. Future changes will be updated accordingly.</p> <p>3.Card usage will be reviewed to confirm if a valid business use for a card exists.</p>	3	In Progress	30/09/22	30/06/23	--	Head of Finance	Update 30/03/2023 - Director or Finance & Assets: sent a copy of the revised policy, but controls are not as robust as expected and references GOSS, which does not exist now. Requested an extension to timeframe to allow for completion of Statement of Accounts.	--
404	PUB - Accounts Receivable - 2021/22	Debt Management, recovery and write off guidance. (Pentana 47096)	Pending Remediation	<p>22/23: AR guidance for budget holders, including the main AR guide available via the intranet, will be reviewed and updated to reflect current practices. It will then be communicated and available to all budget holders.</p> <p>21/22: We will ensure debt management, recovery and write off guidance is available to all budget managers.</p>	3	In Progress	31/10/22	31/03/23	30/06/23	Business Manager - Finance	Update 04/04/2023 - Business Manager Finance AR guidance is available on the portal and only documentation updates are required and are in progress.	--
320	CBC - Taxi Licensing (Safeguarding) - Jun 2022	Safeguarding training assurance (Pentana 47396)	Pending Remediation	We will introduce an assessment of safeguarding course content and responsibilities.	3	In Progress	31/12/22	31/05/23	--	Senior Licensing Officer	Update 27/06/2023 - Head of Public Protection & DEPLO: 'I believe this has been completed but will ask Jason [team leader] to confirm next week.' - Awaiting response. Will update once received.	--

322	CBC - Taxi Licensing (Safeguarding) - Jun 2022	Certificate of good character declaration (Pentana 47472)	Pending Remediation	We will update all application forms to include a certificate of good character declaration.	3	In Progress	31/12/22	28/02/23	--	Senior Licensing Officer	<p>CHP 27/6/23 - Update received from Head of Public Protection & DEPLO on 27/6/23: 'Certificate of good character declaration – Our supplier (Idox) have quoted almost £600 to undertake the work on the online form to implement this recommendation. We have adopted a number of additional control measure to address the issue because we cannot justify the expenditure. The additional control measure is a mandatory check on the case management system (see below) [screenshot provided]. So whilst we are not strictly complying with the exact recommendation, we are implementing an alternative solution to address the risk.'</p> <p>- We have been advised that the screenshot provided via email is of the case management system, which is the only "additional control measure" detailed. A field for "certificate of good character requi" can see seen on the list.</p> <p>- It has been accepted that an alternative solution to addressing the risk has been implemented.</p> <p>- Further information required on how the case management system is used before marking as complete. Will update again once received.</p>	--
305	PUB - Vulnerability Management (Shell) - Apr 2022	Device Security Status Checks (Pentana 47107)	Pending Remediation	<p>Management will;</p> <ol style="list-style-type: none"> 1.Consider the most efficient method of executing compliance checks, and; 2.Introduce a regular process of completion as part of an Information Security Management System (ISMS) or security control diary. 3.Create and store evidence in a centralised 'Audit and Compliance' document repository. 	2	In Progress	31/01/23	31/03/23	31/07/23	Chief Technological Officer	<p>Update 15/06/2023- Chief Technology Officer advised: 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.</p>	--
318	CBC - Taxi Licensing (Safeguarding) - Jun 2022	6 monthly enhanced DBS checks are not completed as per the Common Standards (Pentana 47390)	Pending Remediation	We will introduce 6 monthly enhanced DBS checks, including checks against the children and adult Barred Lists as per the Common Standards for Licensing Hackney Carriage and Private Hire Drivers in Gloucestershire.	2	In Progress	31/03/23	30/06/23	--	Senior Licensing Officer	<p>HP 27/6/23 - Update received from Head of Public Protection & DEPLO on 27/6/23: '6 months DBS upload – This work is ongoing but it does require a complex technological solution. We are currently working with Dave Pennington Dave.Pennington@publicagroup.uk to implement this. I do not have copies of the latest email correspondence but will ask Jason to send it over when he is back but, essentially, ongoing.'</p> <p>- In progress.</p> <p>- We extended by 3 months previously, and at that time (March) we advised that if the deadline was not met then it would be escalated to S151 and CGG. All outstanding actions have already been to the CGG.</p> <p>- We emailed the Head of Public Protection & DEPLO and the Team Leader on 27/6/23 asking for a predicted timeframe on this. Will update once we have received a response.</p>	--

317	CBC - Publica Performance Information - Apr 2022	Management Checks (Pentana 47715)	Pending Remediation	No management checks on the validity and/or accuracy of data submitted were present on any of the KPI submissions tested. This increases the possibility of inaccuracy and fraudulent activity.	3	In Progress	30/06/23	30/06/23	--	Client Officer	Not yet implemented, agreed to extend imp date to end June 2023.	--
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