

**AGREED ACTIONS AS
AT 31ST AUGUST 2023**

Open Agreed Actions

AP ID	ID	Audit Title	Issue Title	Issue Status	Period	Remediation Action	Priority Score	AP Status	Timescale	Revised Timescale	Revised Timescale 2	Responsible Officer	Follow-Up Assessment	Remediation Date
353	314	CBC - Procurement Cards - Jun 2022	Non-Compliance with Policy / Agreed Protocols (Pentana 47129)	Pending Remediation	2022/23	1.All cardholders will be reminded of the following key control requirements: •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 2.Card access and control will be reviewed to ensure compliance with agreed policies.	2	In Progress	30/09/22	30/06/23	30/09/23	Head of Finance	Policy being reviewed by TM Officer to ensure best practice is adopted	--
354	315	CBC - Procurement Cards - Jun 2022	Policy Review (Pentana 47127)	Pending Remediation	2022/23	1.The CBC Corporate Charge Card Policy and Guidance will be reviewed and updated. 2.Cardholder agreements will be reviewed and updated to ensure they are current. Future changes will be updated accordingly. 3.Card usage will be reviewed to confirm if a valid business use for a card exists.	3	In Progress	30/09/22	30/06/23	30/09/23	Head of Finance	Policy being reviewed by TM Officer to ensure best practice is adopted	--
356	317	CBC - Public Performance Information - Apr 2022	Management Checks (Pentana 47715)	Pending Remediation	2022/23	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	Follow-Up - no response from Officer - July 2023	--
357	318	CBC - Taxi Licensing (Safeguarding) - Jun 2022	6 monthly enhanced DBS checks are not completed as per the Common Standards (Pentana 47390)	Pending Remediation	2022/23	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	31/08/23	Senior Licensing Officer	Meeting held with Team Leader on 24/7/23 Action Remains in progress, timescale revised by 1 month to 31st August 2023 Escalated to CGG and S151.	--

359	320	CBC - Taxi Licensing (Safeguarding) - Jun 2022	Safeguarding training assurance (Pentana 47396)	Pending Remediation	2022/23	We will introduce an assessment of safeguarding course content and responsibilities.	3	In Progress	31/12/22	31/05/23	31/08/23	Senior Licensing Officer	Meeting held with Team Leader on 24/7/23 Action Remains in progress, timescale revised by 1 month to 31st August 2023 Escalated to CGG and S151.	--
424	382	CBC - Planning Enforcement - 2020/21	The Built Environment Local Enforcement Plan (Planning) has not been recently reviewed (Pentana 44647)	Pending Remediation	2020/21	<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	31/12/23	Senior Enforcement & Compliance Officer	This action has been delayed. We are advised that a new Head of Development Management, Enforcement & Compliance will be appointed and they will lead on this until completion which should be by the end of 2023.	--
2315	2181	CBC - Business Continuity (Operational R&B & Elect Services) - March 2023	Offline access to BCP to all relevant officers is not available.	Pending Remediation	2023/24	Service Managers will update teams on how/where to access a copy of their service BCP offline.	2	In Progress	30/09/23	--	--	Head of Revenues & Benefits, Head of Electoral Services		--
2334	2199	CBC - Business Continuity (Operational R&B & Elect Services) - March 2023	Annual Testing and Update of Departmental BCPs	Pending Remediation	2023/24	Service Managers will undertake annual testing and updates of their BCPs and record amendments on a version control document.	2	In Progress	31/12/23	--	--	Head of Revenues & Benefits, Head of Electoral Services		--
2436	2289	CBC - Minster XChange 2022/23	Risk Appetite for New Opportunities	Pending Remediation	2022/23	<p>1.Risk appetite and risk capacity are both considered when evaluating any new programmes and projects and will continue to be part of the business case for starting a new project or programme. All templates e.g., Business Case, Project Initiation will be reviewed and amended to ensure this is highlighted.</p> <p>2.The Leadership team are responsible for overseeing & understanding the level of risk across the CBC portfolio of programmes & projects but there is also a dependence on the individual teams escalating risks and issue at the</p>	1	In Progress	30/09/23	--	--	Executive Team & Ann Wolstencroft	To be followed up during October 2023	--

						appropriate times with the appropriate people. To ensure this happens moving forward and to increase transparency, governance and oversight of projects and programmes in 2023 we are introducing a new Project Control Group (PCG) and a Corporate Project Office. Details of these functions can be found in Appendix 1.								
2437	2290	CBC - Minster XChange 2022/23	Decision Making Gateways	Pending Remediation	2022/23	<p>1.All future Programmes/Projects will be required to identify as part of the planning phase the most appropriate times in their plans to conduct formal gate reviews.</p> <p>2.The Corporate Project Office will monitor the list of gate reviews ensuring these reviews cover the relevant points, are attended by key stakeholders and recorded formally.</p> <p>3.All Projects and Programmes will be required to complete decision logs which are reviewed regularly by the relevant Project/Programme Board.</p>	1	In Progress	30/09/23	--	--	Gareth Edmundson & Ann Wolstencroft	To be followed up during October 2023	--

2438	2291	CBC - Minster XChange 2022/23	In-House Expertise for Construction Projects	Pending Remediation	2022/23	<p>1.The original project expertise included a qualified accountant, qualified surveyor and qualified project managers. Whilst not able to challenge some of the complex construction issues there was an expectation that these individuals would have been able to identify and escalate some of the risks earlier to the appropriate people to enable corrective action to be taken. It should also be noted that WSC are the developer of MX and as such should have had appropriate expertise in place. 2.Any future projects, as part of the evaluation process through the Project Control Group, will ensure that the relevant expertise, be it construction or other expertise, is budgeted for as part of the financial business case.3.During 2022 a Director of Regeneration & Major Development was appointed. Since that time this team has been further strengthened by the appointment of a Senior Development Manager, Head of Construction and a further Development Manager. During June 2023 the team will also be appointing a Construction Manager and a Construction Project Manager. 4.In The Business Change team with a number of generic Project and Programme Managers has been disbanded, three members have taken redundancy and there is only one remaining generic Project Manager.5.The introduction of the Project Control Group and the Corporate Project Office will ensure the initial and ongoing scrutiny is in place to monitor activity.</p>	1	In Progress	30/09/23	--	--	Gareth Edmundson & Ann Wolstencroft	To be followed up during October 2023	--
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2439	2292	CBC - Minster XChange 2022/23	Project Sponsor Training	Pending Remediation	2022/23	<p>1. Project Sponsor training has taken place with the whole of the Leadership team.</p> <p>2. A role profile for Project Sponsor has been developed and will be agreed by the Leadership Team.</p> <p>3. Anyone taking on the role of the sponsor in the future will be trained.</p> <p>4. We also need to ensure that all roles within projects in the future have the relevant technical qualifications and all team members understand the protocols for change control, decision making and escalating issues.</p> <p>5. Checks will also be made to ensure that all team members understand their roles and are undertaking them appropriately to ensure lines, and therefore responsibilities, are not blurred between that of commissioner and developer.</p>	1	In Progress	30/06/23	--	--	Ann Wolstencroft	To be followed up during October 2023	--
2441	2294	CBC - Minster XChange 2022/23	Programme/Project Structure & Documentation Central Repository	Pending Remediation	2022/23	<p>1. The formation of the Corporate Project Office (Appendix 1) will ensure that a strict governance structure is in place in the future and all documents will be stored on a central repository and regular check will be made by the Corporate Project Office to ensure relevant documentation and standards remain in place.</p> <p>2. It will be a requirement that everything will be stored on the agreed corporate project management system to enable internal audit access at relevant times.</p>	1	In Progress	30/09/23	--	--	Ann Wolstencroft	To be followed up during October 2023	--

344	305	PUB - Vulnerability Management (Shell) - Apr 2022	Device Security Status Checks (Pentana 47107)	Pending Remediation	2022/23	Management will; 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	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.	--
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Closed Agreed Actions

AP ID	ID	Audit Title	Issue Title	Issue Status	Period	Remediation Action	Priority Score	AP Status	Timescale	Revised Timescale	Revised Timescale 2	Responsible Officer	Follow-Up Assessment	Remediation Date
360	321	CBC - Taxi Licensing (Safeguarding) - Jun 2022	There are no agreed timeframes for informal taxi complaints (Pentana 47404)	Closed	2022/23	We will introduce target timescales for informal complaints	3	Complete	31/12/22	--	--	Senior Licensing Officer	CHP 27/6/23:- Discussed with JM - action complete.	27/06/23
358	319	CBC - Taxi Licensing (Safeguarding) - Jun 2022	Monitoring and Uniform data (Pentana 47478)	Closed	2022/23	We will;•Undertake regular monitoring of applications and complaints.•Introduce regular spot checking of a sample of applications.	2	Complete	31/03/23	30/06/23	--	Senior Licensing Officer	CHP 27/6/23:- Discussed with JM who is comfortable with this - action complete.	27/06/23
361	322	CBC - Taxi Licensing (Safeguarding) - Jun 2022	Certificate of good character declaration (Pentana 47472)	Closed	2022/23	We will update all application forms to include a certificate of good character declaration.	3	Complete	31/12/22	28/02/23	--	Senior Licensing Officer	CHP 18/7/23:- Marked as complete based on the response from both the Team Leader and Head of Public Protection and DEPLO.	18/07/23
446	404	PUB - Accounts Receivable - 2021/22	Debt Management, recovery and write off guidance. (Pentana 47096)	Closed	2021/22	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. 21/22: We will ensure debt management, recovery and write off guidance is available to all budget managers.	Risk Accepted	Complete	31/10/22	31/03/23	30/06/23	Business Manager - Finance	29.6.23: AM: JM discussed with the Business Manager - Finance (DG) who advised that this guidance would not be updated until the wider finance review to confirm roles and responsibilities etc was complete. Given this context, this action will not add value at this time. Therefore it has been closed and a note has been added to the team audit planner to include an assessment of this in future audits. 8.6.23 AM: Emailed the AP&R Team Leader for an update. 4.4.23 Discussion with the team prompted a decision to reduce the priority rating from a 2 to a 3 based on the fact that AR guidance is	29/06/23

													available on the portal and only documentation updates are required and are in progress. Latest description and action added. 20.3.23 AM update: LB advised documentation has partially been reviewed and GOSS references removed from forms. Due to year end pressures, a revised target implementation date of June 2023 was agreed. Description and Action updated in AB to reflect report and appendix.20.1.23 AM update: Had a Teams meeting with the AP & AR Team Leader LB. Discussed this action, the example guidance with aged debt reports only advised how to interpret the report and was therefore not comprehensive enough. LB advised that the AR Guide available via the Publica Portal will be reviewed for accuracy and updated as required including replacing reference to GOSS with Publica. The revised and updated document will be approved as required and issued with the monthly aged debt reports. LB advised on an end of March 2023 timescale.	
426	384	CBC - Monitoring the Performance of Strategic Commissioned Services - 2021/22	Strategic Commissioned Service risk not identified in risk register (CBC) (Pentana 46754)	Closed	2021/22	The S151 Officer should ensure that the Corporate Risk Register or Service Risk Register includes an individual risk for each of its Strategic Commissioned Service providers, separately and that these are reviewed at least on an annual basis.	2	Complete	30/06/22	31/03/23	--	Section 151 Officer	04/04 - Risks and KPIs to manage commissioned services are evidenced in Clearview. Action complete. Mistry, Jaina (07 September 2022 16:11): Will pick this up in the next RM review. Revised date to April 2023.	04/04/23
355	316	CBC - Publica Performance Information - Apr 2022	KPI Definitions & Targets (Pentana 47714)	Closed	2022/23	CBC's Head of Performance, Projects & Risk and Client Officer will facilitate a full review of KPI's across the client management suit over the coming months.	3	Complete	31/03/23	--	--	Head of Performance, Projects and RiskClient Officer		12/05/23