

Open Agreed Actions – October 2024

SWAP Action Tracker - Cotswold and Cheltenham Team

Analytics DB Access



Open Management Actions

Organisation
Multiple selections

Audit Title
All

Issue Tester
All

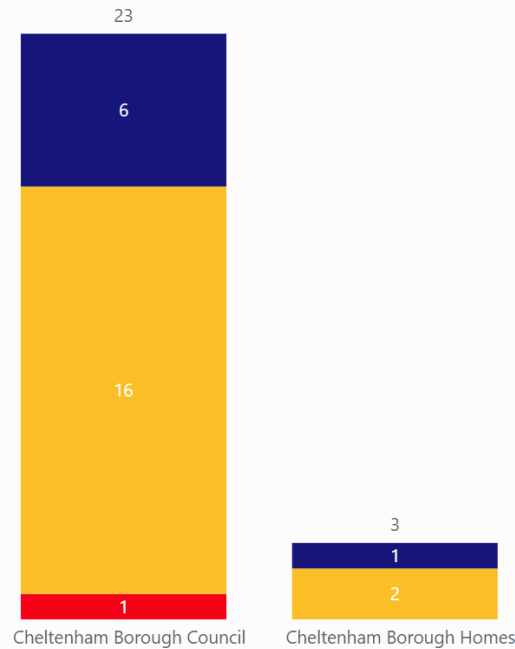
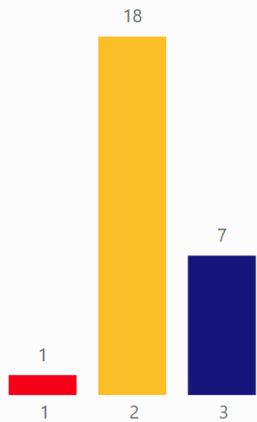
Issue Subscriber
All

Not yet due	Due within 30 days	1-30 days overdue	31-60 days overdue	61-90 days overdue	91+ days overdue	Total Actions
11	11	1	(Blank)	1	2	26

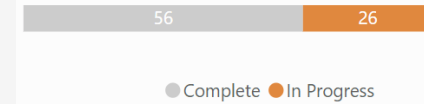
Open Actions by Organisation

Priority ● 1 ● 2 ● 3

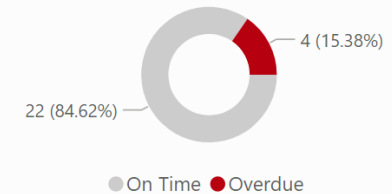
Open Actions by Priority



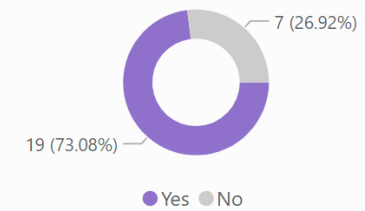
Open/Closed Actions



Overdue Open Actions



Open Actions with Extended Dates



CBC Agreed Actions October 2024										
AP ID	ID	Audit Title	Issue Title	Issue Status	Period	Priority Score	AP Status	Original Timescale	Timescale	Follow-Up Assessment
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	3	In Progress	30/07/2021	31/12/2024	Sept 2024: Officers have advised that the draft policy is being reviewed and there will need to be engagement with members before implementation. Decision by Cabinet now due November 2024
2992	2794	CBC - Access to Information - 2023/24	Retention of Personal Data does not comply with the Council's Privacy Statement	Pending Remediation	2023/24	2	In Progress	31/10/2023	31/07/2024	11.04.24 Update: The digital platform for FOIs is currently being built in house. The target date is July 2024. The Customer Relations and Information Officer advised this has been partially implemented. She confirmed the review of the FOI spreadsheet has been completed, and the new digital platform for FOI will automatically delete anything older when the system is brought in.
3860	3617	CBC - Community Infrastructure Levy Governance - 2023/24	There is insufficient internal governance in place in the CIL process.	Pending Remediation	2023/24	2	In Progress	30/06/2024	31/10/2024	Jul 2024: Update provided by Director of Community & Economic Development. Date extended. Update and evidence attached.
4160	3900	CBC - Community Infrastructure Levy Governance - 2023/24	Reconciliation between the Exacom system and Finance system, Business World, is undertaken annually rather than quarterly, and is therefore not compliant with the Financial Rules.	Pending Remediation	2023/24	2	In Progress	30/06/2024	31/10/2024	Jul 2024: Update provided by Director of Community & Economic Development. Date extended. Update and evidence attached.
4161	3901	CBC - Community Infrastructure Levy Governance - 2023/24	There is insufficient evidence of regular reporting/communication with Members, outside of the Infrastructure Funding Statement process, to ensure sufficient oversight and appropriate spending of funds.	Pending Remediation	2023/24	2	In Progress	30/09/2024	31/10/2024	Jul 2024: Update provided by Director of Community & Economic Development. Date extended. Update and evidence attached.
4186	3925	CBC - Grant Income - 2023/24	Policies and Procedures	Pending Remediation	2023/24	2	In Progress	30/09/2024	31/03/2025	Sept 2024: Follow Up audit planned for Jan/Feb 2025. 12/09 - Policy to go Nov Cab meeting to allow time for the ECFU to align with their toolkit. Will then go to ELT, O&S and Cabinet for approval.
4187	3926	CBC - Grant Income - 2023/24	Grant funding terms and conditions	Pending Remediation	2023/24	2	In Progress	30/09/2024	31/03/2025	Sept 2024: Follow up audit planned for Jan/Feb 2025.
4188	3927	CBC - Grant Income - 2023/24	Assessment and awarding grants	Pending Remediation	2023/24	2	In Progress	30/09/2024	31/03/2025	Sept 2024: Follow up audit planned for Jan/Feb 2025.
4189	3928	CBC - Grant Income - 2023/24	Reporting and Transparency	Pending Remediation	2023/24	3	In Progress	30/09/2024	31/03/2025	Sept 2024: Follow up audit planned for Jan/Feb 2025.
3715	3477	CBC - S106 Process - 2023/24	There is insufficient internal governance in place in the S106 process.	Pending Remediation	2023/24	1	In Progress	30/06/2024	31/10/2024	Jul 2024: Update provided by Director of Community & Economic Development. Date extended. Update (spreadsheet) and evidence attached.
4157	3897	CBC - S106 Process - 2023/24	Manual Spreadsheets are in use, rather than the Exacom system.	Pending Remediation	2023/24	2	In Progress	30/09/2024	31/10/2024	Jul 2024: Update provided by Director of Community & Economic Development. Date extended. Update and evidence attached.
4158	3898	CBC - S106 Process - 2023/24	The Financial Rules are not complied with - there is no process in place for complete and quarterly reconciliations.	Pending Remediation	2023/24	2	In Progress	30/06/2024	31/10/2024	Jul 2024: Update provided by Director of Community & Economic Development. Date extended. Update and evidence attached.
4159	3899	CBC - S106 Process - 2023/24	There is insufficient evidence of reporting/communication with Members outside of the Infrastructure Funding Statement process to ensure sufficient oversight and appropriate spending of funds.	Pending Remediation	2023/24	2	In Progress	30/09/2024	31/10/2024	Jul 2024: Update provided by Director of Community & Economic Development. Date extended. Update and evidence attached.

AP ID	ID	Audit Title	Issue Title	Issue Status	Period	Priority Score	AP Status	Original Timescale	Timescale	Follow-Up Assessment
3203	2996	CBC - Transparency Data - 2023/24	Non compliance with code	Pending Remediation	2023/24	2	In Progress	31/03/2024		Sept 2024: Awaiting response from The Head of Corporate Services
3164	2958	PUB - ICT Business Continuity/Disaster Recovery 2023/24	Documentation Updates	Pending Remediation	2023/24	3	In Progress	31/03/2024	31/10/2024	July 2024: The CTO advised that this action is nearly complete. Copies of the updated documentation will be provided to close this action.
3175	2968	PUB - ICT Business Continuity/Disaster Recovery 2023/24	ICT and Emergency Planning Formal Engagement and Alignment	Pending Remediation	2023/24	2	In Progress	31/03/2024	31/01/2025	July 2024: The CTO advised that this action has progressed but will not be completed until after the first phase of the Publica transition. The detailed Publica transition plan alludes to the fact that a long-term decision on managing emergency planning is required. Further alignment won't happen until this decision has been made. Timescale extended to January 2025 to check after the phase one transition has settled.
3536	3313	PUB - Use of Waivers - 2023/24	Contract Waiver Report Templates	Pending Remediation	2023/24	3	In Progress	31/12/2024		
3537	3314	PUB - Use of Waivers - 2023/24	Use of Waivers Training	Pending Remediation	2023/24	3	In Progress	31/12/2024		
4744	4434	CBC - Appointment of Consultants - 2023/24	There is no oversight or proactive reporting of consultants.	Pending Remediation	2024/25	2	In Progress	31/10/2024	31/10/2024	
4745	4435	CBC - Appointment of Consultants - 2023/24	There is no induction or regular refresher training on Procurement for staff.	Pending Remediation	2024/25	3	In Progress	31/10/2024	31/03/2025	
4492	4208	CBC - Funding Provided by Government 2024/25	Management Checks on Expenditure	Pending Remediation	2024/25	2	In Progress	30/09/2024		
4505	4221	CBC - Planning Review 2024/25	There is a lack of formal communication.	Pending Remediation	2024/25	2	In Progress	31/10/2024	31/10/2024	
4506	4222	CBC - Planning Review 2024/25	Viability Statements are not always published.	Pending Remediation	2024/25	2	In Progress	31/10/2024	31/10/2024	

CBH Agreed Actions October 2024										
AP ID	ID	Audit Title	Issue Title	Issue Status	Period	Priority Score	AP Status	Original Timescale	Timescale	Follow-Up Assessment
2674	2508	CBH - Data Quality and Reporting - Feb 2023	Inefficiencies within the Tenant Satisfaction Measures Survey (TSMs) process.	Pending Remediation	2023/24	2	In Progress	31/03/2024	30/11/2024	Sept 2024: Process will be documented by 31/10/2024.
2372	2233	CBH - James Donovan Court Service Charges - 2022/23 Audit	There are no policies or procedures for James Donovan Court	Pending Remediation	2023/24	2	In Progress	--	30/06/2024	Sept 2024: Contacted Claire Hughes, Stafford - forwarded to Matt Ward for an update.
4167	3907	CBH - Repairs & Maintenance DMC - 2023/24	Reporting of DMC Timescales	Pending Remediation	2023/24	3	In Progress	30/06/2024	31/12/2024	Sept 2024: Action is work in progress. Extend review date to 31/12/2024.