

Appendix 1: Overdue Audit Actions and the Service Progress Update @ 03/04/23

| Review Area | Priority Level | Report's Audit Opinion | Agreed Action | Implementation Date | Last Update Date | Update Provided by Service | Months Late |
|-------------------|----------------|------------------------|--|---------------------|------------------|---|-------------|
| PCI DSS 18.19 / 3 | Amber | Adequate | A training needs assessment should be performed for all members of staff that have responsibility for PCI DSS compliance activities so as to determine their training needs. | 01/04/2020 | 07/11/2022 | <p><i>New action to replace:</i></p> <p>Following a discussion with the Council's PCI DSS consultants it was noted that implementing the audit actions, which were recommended a few years ago, will not achieve PCI DSS compliance for the organisation.</p> <p>It is proposed instead to undertake a project achieving PCI DSS by payment channel (web based, automated telephony, face to face and non-automated telephony). This will be the quickest route to compliance, using the regulatory self-assessment</p> | 36 |
| PCI DSS 18.19 / 4 | Amber | Adequate | Compliance should be monitored and action taken when members of staff are found to have not completed the PCI DSS training or have not read the policy and procedures. | 01/04/2020 | 07/11/2022 | <p>It is proposed instead to undertake a project achieving PCI DSS by payment channel (web based, automated telephony, face to face and non-automated telephony). This will be the quickest route to compliance, using the regulatory self-assessment</p> | 36 |

PCI DSS 18.19 / 5

Amber

Adequate

Actions need to be drawn together in a policy which sets out how the council will manage PCA DSS compliance activities and the policy should be reviewed on a regular basis. this should include but not be limited to:

- Assignment of roles and responsibilities for ensuring that the Council is PCS DSS compliant
- Procures for staff that are responsible for taking card payments
- The Council's security strategy in relation to the storage, processing and transmission of credit card data
- A set of instructions for detecting, responding to the storage, processing and transmission of credit card data.

01/04/2020

07/11/2022

questionnaires (SAQ), and will identify where non-compliance exists and the decisions to be made. This could include service transformation work.

36

Land Charges 18.19 / 3

Amber

Limited

Written procedures should be in place to support how the costs and calculation process is carried out.

30/06/2021

23/03/2023

We have taken the model used by South Cambs and have adapted to suit. This working model has been shared with the land charges team and we are awaiting responses to queries which should resolve anomalies

21

Main Accounting
System 2020.21 / 3

Amber

Adequate

The Payroll reconciliation will be remapped / worked up for the new HR / Payroll system. Instructions will be documented and the routine task handed over to the Payroll team for actioning.

30/09/2021

30/03/2023

Ryan (Payroll Manager) has been working very closely with Sharon (Chief Finance Officer) to reconcile the details for 2022/23. This has now been completed and Sharon is very happy with the outcome. There are no major issues to report.

18

The monthly process has been discussed further and reports required clarified. Ryan will be creating a new spreadsheet document for 2023/24 onwards, and prepare / check the payroll details monthly. Finance will then add in their details to identify any further variances for payroll to check.

Budgets and MTFS
2020.21 / 1

Amber

Adequate

Management should perform a training needs analyses to identify and assess the level and type of training required by members of staff and Members with regards to the MTFS and the use of the budget module, which should also identify any training needs for Members.

A mandatory training programme should be put in place that is based upon the requirements of the training needs analysis.

Training completion should be recorded and monitored and training records should be maintained for audit purposes.

31/12/2021

03/01/2023

Work is ongoing to update the procedure notes

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|------------------------------------|-------|----------|---|------------|------------|--|----|
| Main Accounting System 2020.21 / 4 | Amber | Adequate | Debtors reconciliation issues will be investigated and resolved. The process for the reconciliation going forward will be documented and responsibility handed over to the Exchequer Officer. | 31/03/2022 | 03/01/2023 | We are still working with Tech 1, however this is not being prioritised by them. We have had several meetings with the account manager to try and get this, and other problems, resolved. We have stated that this must be done prior to year end. | 12 |
| Small Works Contract 21.22 / 1 | Amber | Limited | A dedicated small works contract or framework agreement will be tendered and formalised for use across the authority. | 30/04/2022 | 01/11/2022 | Project slippage due to current workloads. This is still in the pipeline and will be picked up as soon as possible. Ideally an ITT will go out for contract prior to 2023. | 11 |
| Small Works Contract 21.22 / 2 | Amber | Limited | Staff responsible for procurement will be made aware of the contract, its use mandated, and details of pricing / rates and staff responsibility will be communicated. | 31/05/2022 | 01/11/2022 | As previous update - due to commence ITT prior to 2023. | 10 |

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|---------------------------------------|-------|----------|---|------------|------------|--|---|
| Inventory of IT Assets 2021.22 / 5 | Amber | Limited | Review the inventory to locate gaps in the asset number sequence and create entries to explain the reasons for these gaps. | 29/07/2022 | 30/03/2023 | To complete the reconciliation staff have been asked to bring back devices. Despite regular requests not all staff have complied this has been escalated to relevant IC's. Updating gaps in numbers undertaken | 8 |
| Debtors 21.22 Action 3 | Amber | Limited | Monthly management information and debt collection performance data will be prepared and reviewed to support the ongoing monitoring of activity and workload. | 30/09/2022 | 14/03/2023 | This action is still being investigated. | 6 |
| Payroll - Payments 22.23 / 7 | Amber | Adequate | Annually check the full system admin users on iTrent, to confirm that they are the expected and correct users. | 31/10/2022 | 30/03/2023 | This check of core system users has been added to the HR/Payroll service plan for 2023/24, to be checked every 6 month. Payroll Manager has checked the details today, 30/03/2023 and HDC users are all accurate and correct. A request has been sent to SCDC and Cambs City Councils to review their users. | 5 |

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| Small Works Contract 21.22 / 3 | Amber | Limited | Formal contract management monitoring arrangements will be established, including review of spend, spot checking procurements and routine liaison meetings with service users and the supplier. | 30/11/2022 | | <i>No update provided by Service</i> | 4 |
| Small Works Contract 21.22 / 4 | Amber | Limited | Spend outside of the contract will continue to be monitored. | 30/11/2022 | 01/11/2022 | Change of assigned/action owner - Agreed with SY that would sit with her. | 4 |

Corporate
Enforcement Policy
21.22 / 2

Amber

Adequate

Reminder to all officers that case notes should cover: all discussions and decisions made on a case; explanation as to why cases have been closed; notes detailing the outcome of a case; provide updates for reasons why cases are not going to be investigated; explain any potential delays to an investigation; any previous investigations or enforcement action taken on an individual. Managers/Team leaders should also discuss with teams whether they need further training and support in case management and whether the case management system supports the notes function or if improvements could be made.

30/12/2022

*No update provided by
Service*

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|--|-------|----------|---|------------|--------------------------------------|---|
| Corporate Enforcement Policy 21.22 / 6 | Amber | Adequate | Managers to review a percentage of open and closed cases each month to ensure that the cases are progressing or being closed where necessary. | 30/12/2022 | <i>No update provided by Service</i> | 3 |
| Corporate Enforcement Policy 21.22 / 7 | Amber | Adequate | All cases with the 'Public Safety' team need to be reviewed, updated and closed where necessary, so that caseload and reporting can be accurate. | 30/12/2022 | <i>No update provided by Service</i> | 3 |
| Corporate Enforcement Policy 21.22 / 8 | Amber | Adequate | Ensure that officers within the service review the mechanisms in which they are alerted to legislation changes [ie. Signed up to relevant newsletters/organisations, newsletter alerts] to ensure their knowledge remains up to date. | 30/12/2022 | <i>No update provided by Service</i> | 3 |

18 Overdue actions