

Appendix 1: Overdue Audit Actions and the Service Progress Update @ 15/06/23

Ref	Area	Priority Level	Agreed Action	Agreed Implementation date	Service Area	Progress Update (provided by Service)	Months late from fixed
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Overdue actions now replaced with new action (record for transparency) – these will be removed from the system and no longer reported.

1529	PCI DSS 18.19 / 3	Amber	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	Corporate Resources	14/06/2023 <i>THIS ACTION REPLACES THE ORIGINAL ACTIONS 1-3 OF THE PCI-DSS 18.19 ALL OF WHICH WERE OUTSTANDING AT CLOSURE IN JUNE 2023.</i> Launch a PCI-DSS compliance programme to achieve compliance for all channels across the organisation including business change were required.	38
1530	PCI DSS 18.19 / 4	Amber	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	Corporate Resources	14/06/2023 A long implementation date (Sep 24) has been given until phases of the programme have been determined, at which point it is hoped each phase will have a date attached. Regular progress updates will be provided in 4Action and to Corporate Governance Committee.	38

153 1	PCI DSS 18.19 / 5	Amber	<p>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:</p> <ul style="list-style-type: none"> - 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	Corporate Resources	14/06/2023	38
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Other Actions reported

156 8	Land Charges 18.19 / 3	Amber	Written procedures should be in place to support how the costs and calculation process is carried out.	30/06/2021	Corporate Resources	13/06/2023	We are still awaiting responses from the Land Charges Team, which are still outstanding despite chasing. The new model is attached for reference	23
159 2	Main Accounting System 2020.21 / 3	Amber	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	Corporate Resources	14/06/2023	Work continues on finalising the process. Slight delay while Finance Team have been working on external audit. Ryan aims to have this closed of by end of Q2.	20

157 1	Budgets and MTFS 2020.21 / 1	Amber	<p>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.</p> <p>A mandatory training programme should be put in place that is based upon the requirements of the training needs analysis.</p> <p>Training completion should be recorded and monitored and training records should be maintained for audit purposes.</p>	31/12/2021	Corporate Resources	13/06/2023	<p>The external audit for 2021/22 has taken far longer than anticipated, and the pressures this has put upon Finance staff at an already busy time of year, means that this has slipped off the radar. A member of the team has been tasked to review and update the guidance notes ready for this year's budget process (September 2023).</p>	17
159 4	Main Accounting System 2020.21 / 4	Amber	<p>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.</p>	31/03/2022	Corporate Resources	13/06/2023	<p>Process has passed to the AR team. Procedure notes attached. We are advised that the differences identified seem to relate to the timing of the clear down of the disbursement accounts. Due to the nature of these, it is not always possible to clear down immediately. We will continue to monitor.</p> <p>Information from TechOne was analysed to identify the main users of the small works contract. This was identified as the Strategic Estates team. On the basis of this, a sub team comprising Estates and FM (as subject matter experts) are compiling the information necessary to allow the Small Works Contract to either be re-tendered or to propose an existing framework that can be used.</p>	14
161 0	Small Works Contract 21.22 / 1	Amber	<p>A dedicated small works contract or framework agreement will be tendered and formalised for use across the authority.</p>	30/04/2022	Corporate Resources	14/06/2023	<p>Information from TechOne was analysed to identify the main users of the small works contract. This was identified as the Strategic Estates team. On the basis of this, a sub team comprising Estates and FM (as subject matter experts) are compiling the information necessary to allow the Small Works Contract to either be re-tendered or to propose an existing framework that can be used.</p>	13

161 1	Small Works Contract 21.22 / 2	Amber	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	Corporate Resources	14/06/2023	Once the contract is re-tendered, information from TechOne will be reviewed in the usual way by budget managers for appropriateness of spend, and reports can be run by supplier to monitor usage.	12
162 1	Inventory of IT Assets 2021.22 / 5	Amber	Review the inventory to locate gaps in the asset number sequence and create entries to explain the reasons for these gaps.	29/07/2022	3C ICT	14/06/2023	HDC Compliance list Sept 22 requested within "Action for Managers" that the ICT Inventory audit form to be completed to re-affirm assigned equipment. All staff asked to validate their own equipment.	10
163 8	Debtors 21.22 Action 3	Amber	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	Corporate Resources	06/06/2023	This action is still being investigated.	8
161 2	Small Works Contract 21.22 / 3	Amber	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	Corporate Resources	14/06/2023	As above	6
161 3	Small Works Contract 21.22 / 4	Amber	Spend outside of the contract will continue to be monitored.	30/11/2022	Corporate Resources	14/06/2023	As above	6

1650	Corporate Enforcement Policy 21.22 / 2	Amber	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	Chief Operating Officer	14/06/2023	Following implementation of a new management structure, the new managers have prioritised all team members being aware of the expectations around case notes. The Tascomi review has enabled dip samples to take place and where Officers have been identified as not being consistent with the information they are providing, this has been dealt with on an individual basis.	5
1654	Corporate Enforcement Policy 21.22 / 6	Amber	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	Chief Operating Officer		Now recruitment to the teams is near completion, it will be possible to agree how many reviews per service area will be completed per year. This will be decided by the end of July 2023 and the first reviews carried out by the end of September.	5

165
8

Shadow IT /
Service-
Procured
Systems
21.22 / 1

Amber

The Council's Procurement Lead should review and, where necessary, update the Council's Code of Procurement so that it establishes a requirement for the procurement of any service to include the involvement of all relevant stakeholders, including the procurement of any IT system requiring the involvement of the ICT Service.

This should be approved, in consultation with various key stakeholders across the Council, communicated to members of staff and reviewed on a routine basis or following any significant changes to the Council's operations.

31/03/2023

3C ICT

14/06/2023

Update - amendments are been made and awaiting authorisation of how to proceed.

2

166
1

ICT
Procurement and
Contract Management
21.22 / 1

Amber

Note: 2 responsible owners; This action is assigned to Alex Young and Sarah Youthed.

The ICT Service and the Council's Procurement Lead should review and, where necessary, update the Council's contract register so that it is aligned to the Council's Application Support Matrix and includes, but is not limited to:

- Supplier identification and contact details.
- The products and services they deliver
- Contract start and end dates and contract duration.
- Whether they process personal data or provide IT services on which critical services rely and an assessment of the data protection risk associated with the supplier.

The register should be updated on a regular basis to ensure that it accurately reflects the Council's ICT supplier landscape.

31/03/2023

3C ICT

14/06/2023

The Procurement Team are working alongside ICT and are collating data/contracts which is being entered onto HDC's contract register.

2

164 3	Payroll - Payments 22.23 / 3	Amber	Create formal process notes to cover all elements of the Payroll process including dates of when processes need to be completed; details of officer responsibility; Payslip processes for those that can't access them online; where to save all information and confirmation emails.	31/03/2023	Corporate Resources	14/06/2023	Work continues on documenting processes. Ideally complete by end of Q2	2
164 4	Payroll - Payments 22.23 / 4	Amber	Create a disaster recovery/business continuity plan that covers all scenarios, including what to do if HDC servers go down or a cyber-attack leading to long term outage (to include workarounds to continue the payroll service).	31/03/2023	Corporate Resources	14/06/2023	Key data now stored monthly for emergency situation. Payroll Manager and HR Manager confident this is sufficient to ensure employees continue to be paid.	2
164 5	Payroll - Payments 22.23 / 5	Amber	Payroll Manager to input parameter data changes into the iTrent system and send a copy of the input data to HR officer to check and confirm that the input is correct. This confirmation will then saved within the relevant file.	31/03/2023	Corporate Resources	14/06/2023	Process created, whereby HR System Analyst checks the changes applied. Process note to be finalised.	2

167 6	Social Value in Procurement 22.23 Action 6	Amber	Arrangements will be considered and agreed for how social value is embedded in service planning and the new ideas processes going forward.	31/03/2023	Corporate Resources	14/06/2023	The New Ideas process asks proposers to include details of how their idea links into the Corporate Plan, which gives an opportunity for SVP benefits to be noted at this stage. However, this is not relevant to all ideas submitted. Where ideas are deemed "business as usual" and are returned to the service to implement, the Code of Procurement will be the control for SVP, if procurement is required. Other projects, if progressed, will be subject to Major Change Board review and monitoring. Service plans do not include procurement decision points and it would be difficult to implement SVP through these.	2
167 5	Social Value in Procurement 22.23 Action 5	Amber	A series of Lunch and Learn sessions, covering key aspects of social value, contracting and procurement will be developed and delivered. Training will be supported by signposting to key documents / sources of information.	30/04/2023	Corporate Resources	14/06/2023	HDC Procurement have received slides from South Cambs which need adapting to reflect HDC's Social Value commitments. I would suggest an ext. on this action to September 2023 for full roll out of small training/information sessions.	1

1649	Corporate Enforcement Policy 21.22 / 1	Amber	Community Support, Public Safety, Food Hygiene, Licensing and Planning Enforcement teams to produce procedure notes. Procedure notes should include, but not be limited to, opening notes and checks, when to close a case and what enquires can be made using legislations. Procedure notes should be produced and saved where all officers have access to them.	31/05/2023	Chief Operating Officer	02/12/2022	Recruitment into the teams is near completion meaning that the work around the procedure notes can be finalised. To date, the notes for CPE and Licensing are complete and the ones for EH are near completion.	0
1653	Corporate Enforcement Policy 21.22 / 5	Amber	Discussion to be held with key officers to determine the appetite for enforcement so that all teams are enforcing to a consistent approach across the Council.	31/05/2023	Chief Operating Officer	29/06/23	Update @ 29/06/23: Recent discussions with all enforcing services has demonstrated that appetite is inconsistent. This predominantly relates to capacity. The Communities Team has a high level of enthusiasm to utilise the enforcement tools available to them and will continue to do so as and when is appropriate. This is clearly demonstrated within their service activity. <i>It is not possible to impose the same level of expectation of services that sit outside of Communities. We are happy to share best practise and act as advisors to other services.</i>	0

Total = 21 *

* Since running the original report for calculation of the statistics, there have been further movements:

2 x Corp Enf now closed and deleted from list

3 x PCI actions are closed and one new consolidated action set up with new date of Sep 24