

## Closed Internal Audit Actions



Generated Date		Jun-26				
Closed		Since Last Committee Meeting				
Business Rates						
Reference	Priority Level	Action Detail	Original Target	Revised Target	Closed	Closure Update
4287	Low	<p>Management will:</p> <ul style="list-style-type: none"> <li>• Update the procedure index in respect of Business Rates</li> <li>• Complete the update and migration of all Business Rates procedures into the new standardised format and template</li> <li>• Address any remaining gaps in procedures identified during the update process</li> </ul> <p>Implement and follow a clear timeline to coordinate the completion of this work, using the central tracking spreadsheet to monitor progress</p>	31 Dec 2025	30 Apr 2026	30 Apr 2026	Closure Details: Closed: The Business Rates procedure index has been successfully completed and reviewed, with all required procedures appropriately captured. Further Information:
Complaints and Compliments Management						
Reference	Priority Level	Action Detail	Original Target	Revised Target	Closed	Closure Update
4288	Medium	<p>Management to review the current Gap Analysis and Project and Implementation Plan, ensuring the following:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> all passages from the Complaints Handling Code are analysed as part gap analysis, even where gaps are known to not exist;</li> <li><input type="checkbox"/> all agreed actions are SMART with a clear owner and specific target implementation date;</li> <li><input type="checkbox"/> a process is in place for monitoring action completion and assuring the relevant oversight group over progress.</li> </ul> <p>The Gap Analysis and Project and Implementation Plan will undergo the Council's transformation and approval process to confirm its comprehensiveness, and the Council is able to deliver the necessary change. As part of the transition under the new Complaints Handling Code, management will review the current complaints process to identify</p>	31 Oct 2025	31 Oct 2025	14 May 2026	Closure Details: Closed: Implemented - all actions completed Further Information:
4289	Medium	<p>Management will ensure that both the external and internal staff feedback policies align in content, have appropriate version control and are subject to formal approval. As part of the gap analysis against Complaints Handling Code, consideration should be given as to whether one single policy should be made available to both customer and staff.</p>	31 Mar 2026	31 Mar 2026	14 May 2026	Closure Details: Closed: Implemented - new Policy approved and published Further Information:
4291	Medium	<p>Management will remind services of the requirement to send acknowledgments within five working days of a complaint being received and to retain and upload evidence this.</p> <p>Management will consider the value in implementing a process for monitoring the completion of SIAs. This might include:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> The lead responsible for agreeing the SIA applying a due date;</li> <li><input type="checkbox"/> The lead responsible providing narrative/evidence that the action has been completed by the due date; and,</li> <li><input type="checkbox"/> At the due date, the Complaints and Compliments Lead confirming and closing the SIA.</li> </ul>	31 Mar 2026	31 Mar 2026	27 May 2026	Closure Details: Closed: Complaints Tracker has been updated with new Stage 1 timescales Further Information:
4292	Medium	<p>The Communications and Engagement Lead to consider the best way to communicate compliments in collaboration with the Complaints and Compliments Lead. As part of this and to aid analysis of compliments, management will add a "compliment type" field to the Compliments Tracker, e.g., service excellence, staff courtesy, responsiveness, problem solving, community engagement, or innovation/improvement.</p>	31 Mar 2026	31 Mar 2026	27 May 2026	Closure Details: Closed: The Compliments tracker has now been updated with the 'Compliment Type' field requested Further Information:

Council Tax						
Reference	Priority Level	Action Detail	Original Target	Revised Target	Closed	Closure Update
3936	Low	Management will continue to: <ul style="list-style-type: none"> <li>• Complete the procedure index for Council Tax, ensuring all necessary procedures are included</li> <li>• Address any subsequent gaps in procedures identified</li> <li>• Update refund procedures to clearly document approval levels based on refund value</li> <li>• Implement a process to periodically review and update procedures</li> </ul>	31 Dec 2025	30 Apr 2026	30 Apr 2026	Closure Details: Closed: The Council Tax procedure index has been successfully completed and reviewed, with all required procedures appropriately captured. Further Information:

Data Protection						
Reference	Priority Level	Action Detail	Original Target	Revised Target	Closed	Closure Update
5299	Medium	Formal Key Performance Indicator reporting will be reinstated, with training completion data incorporated into quarterly Information Governance Board packs and clear escalation routes established for persistent non-completion.	31 May 2026	31 May 2026	23 Apr 2026	Closure Details: Closed: Completed as part of April 2026 board meeting Further Information:
5300	Low	An organisation-wide, risk-based training programme will be developed, ensuring all higher-risk roles receive structured, tailored data protection training aligned to their responsibilities and risk exposure. Completion of this enhanced training will be monitored alongside mandatory modules to ensure consistent capability uplift.	31 Dec 2026	31 Dec 2026	14 May 2026	Closure Details: Closed: TNA approved by SIRO - delivery program built in to support Further Information:

Democratic Services						
Reference	Priority Level	Action Detail	Original Target	Revised Target	Closed	Closure Update
5280	Medium	Management will consider the appropriateness of the current scope of the Action Tracker and determine whether it should be expanded to capture a wider range of actions arising from Committee meetings to ensure comprehensive monitoring, clearer accountability, and improved transparency.	31 May 2026	31 May 2026	02 Jun 2026	Closure Details: Closed: Closure comments provided by Democratic Services Team leader - Management has agreed the Action Tracker should incorporate a wider range of actions. The range of committees has been extended to include Cabinet, Licensing Committee and Licensing and Protection Committee. For clarity, tabs have been established for each committee. Further Information:
5277	Low	Management will ensure that all entries in the Forward Plan include a clear and concise description of the decision to be taken beneath the 'Matter for Decision' title. This will be achieved by implementing a quality assurance check before publication to confirm compliance with this requirement.	31 May 2026	31 May 2026	02 Jun 2026	Closure Details: Closed: Closure comments provided by Democratic Services Team leader - An instruction has been issued that a description should be included in the Notice of Executive Key Decisions going forward. This commenced from the Notice published on 23rd March 2026. The Notice is published on the Council's website. Further Information:
5278	Low	Management will explore the potential to expand the number of SharePoint administrators so that access permissions can be managed by more than one individual.	20 Mar 2026	20 Mar 2026	20 Mar 2026	Closure Details: Closed: As per the Final Democratic Services report, action is noted as Implemented Further Information:
5279	Low	The Action Tracker will be enhanced to include unique action references, target due dates, and a mandatory 'date closed' field, and these fields will be consistently populated to strengthen oversight and provide clear evidence of action completion.	31 May 2026	31 May 2026	02 Jun 2026	Closure Details: Closed: Closure comments provided by Democratic Services Team leader - The Action Tracker template has been amended and now includes columns for unique action references for each committee, due dates, date closed marked as "Mandatory". Actions are allocated to individual Officers who will then be notified and contacted in advance of the completion date. Further Information:
5281	Low	Management will ensure all actions on the Tracker include clear commentary confirming completion, and implement regular reviews to update the status of open actions in a timely manner.	31 May 2026	31 May 2026	02 Jun 2026	Closure Details: Closed: Closure comments provided by Democratic Services Team leader - The template includes a column for completion to be indicated. Actions will be reviewed as a minimum in advance of the next meeting of each committee. In addition, the template is available to the Corporate Leadership Team via SharePoint. Further Information:

Follow Up Capital Programme						
Reference	Priority Level	Action Detail	Original Target	Revised Target	Closed	Closure Update
5186	Low	The Council will ensure that the month end checklist is reviewed and signed off by a senior post-holder.	31 Mar 2026	31 Mar 2026	17 Mar 2026	Closure Details: Closed: Completed Further Information:

Housing Benefits						
Reference	Priority Level	Action Detail	Original Target	Revised Target	Closed	Closure Update
3931	Low	Once parameters are input, both managers will sign the parameter record, and a scanned copy of the signature sheet will be held as evidence of this two-stage verification process	31 Mar 2026	31 Mar 2026	02 Apr 2026	Closure Details: Closed: Task Complete Further Information:

IT Remediation Review						
Reference	Priority Level	Action Detail	Original Target	Revised Target	Closed	Closure Update
5282	Medium	A revised, realistic plan for completing or re-baselining the remaining Year One success criteria will be agreed and documented. This will include clear timelines, ownership, and governance reporting to evidence progress and maintain confidence in programme delivery. Where criteria are no longer achievable due to maturity constraints, success measures will be formally updated to reflect agreed priorities and dependencies.	30 Apr 2026	30 Apr 2026	21 Mar 2026	Closure Details: Closed: All three 3C Partner Councils approached regarding an alternative approach which was agreed. No further action needed. Further Information:
5283	Medium	A concise close-out plan will be agreed and documented that will: 1. Ensure the recruitment of the customer experience manager; 2. Assign ownership, timelines, and reporting for survey-identified service gaps (Hornbill Phase Two, Applications Support review, device/meeting-room upgrades); and 3. Re-baseline success measures where capacity or maturity constraints require staged delivery.	30 Apr 2026	30 Apr 2026	21 Mar 2026	Closure Details: Closed: No further action needed Further Information:

Market Towns Programme						
Reference	Priority Level	Action Detail	Original Target	Revised Target	Closed	Closure Update
5291	Medium	Management will establish a standard change control process for future projects, setting out how changes to scope, cost, and timescales should be approved and evidenced.	30 Jun 2026	30 Jun 2026	19 May 2026	Closure Details: Closed: Action completed - The new project methodology and process has been launched across the council (copy of guidance attached). There is now clear processes and gating for project decisions. The Councils PMO are to attend the Market Towns Delivery Programme to provide guidance and support with processing change requests, reporting and governance and assurance. Further Information:
5290	Low	Management will ensure project initiation documents for remaining and future projects are maintained in line with corporate expectations and updated appropriately throughout the project lifecycle, including where governance or reporting arrangements evolve	30 Jun 2026	30 Jun 2026	26 May 2026	Closure Details: Closed: Actions completed Further Information:
5292	Low	Management will implement a central change log or register to record and track changes across projects, including the nature of the change and the approval obtained.	30 Sep 2026	30 Sep 2026	26 May 2026	Closure Details: Closed: Actions completed. Further Information:

Transformation						
Reference	Priority Level	Action Detail	Original Target	Revised Target	Closed	Closure Update
3756	High	The PMO will create a standardised project management toolkit, which will include including templates and guidance for consistent project management. This could be supported by training for Project Managers to ensure consistent application and continuous improvement of project management practices.	31 Mar 2026	31 Mar 2026	26 Mar 2026	Closure Details: Closed: This action is now complete. The project toolkit for Officers has been launched on the internal intranet and communicated with staff. The toolkit includes templates, guidance and procedures. The toolkit provides clear expectations regarding consistent use of project templates for different project types. Further Information:
3757	Medium	Management will explore ways in which a project management system can be utilised to aid in the planning, tracking, and monitoring of all projects, which will aid in the standardization of project management within the Council. Options analysis should take place to understand potential benefits and risks.	31 Mar 2026	31 Mar 2026	26 Mar 2026	Closure Details: Closed: This action is now complete. Review undertaken and options going forward identified. The Project Management system will support the planning, tracking, and monitoring of all projects, and will aid in the standardization of project management within the Council. The intention is to implement the new project Management System by end of June 2026. Further Information:
3760	Medium	The PMO will ensure that financial assessments are completed and signed-off by the Finance Business Partner prior to project initiation.	31 Mar 2026	31 Mar 2026	26 Mar 2026	Closure Details: Closed: This action is now complete. The project management toolkit has been launched with staff. This includes processes involving the sign-off by the Finance Business Partners for Business Case documents and Project Initiation Documents. Further Information:
3761	Medium	The PMO should ensure that a risk register is developed, maintained, and regularly reviewed for each project. The register should capture identified risks, their potential impact and likelihood, assigned risk owners, risk scores and mitigation or response plans.	31 Mar 2026	31 Mar 2026	26 Mar 2026	Closure Details: Closed: This action is now complete. The project management toolkit has been launched with staff. This includes standard documents for capturing risks and relevant details such as risk owner, score and mitigation. The Transformation Project Office will review these risks regularly, managing and reporting any potential issues. These will be reported collectively once the new project management system is launched end of Qrt1 2026/27. Further Information:
3766	Medium	The PMO will consider ways in which a live dashboard can be implemented to provide real-time visibility into all projects within the Transformation Programme to ensure continuous monitoring and accountability.	31 Mar 2026	31 Mar 2026	26 Mar 2026	Closure Details: Closed: This action is now complete. The live dashboard reporting project information will be designed using Microsoft Power BI solution. The Power BI pages will include a high-level dashboard with the ability to drill down into individual programmes or service areas or project categories. Further Information:
3759	Low	The PMO should ensure that a project initiation document is completed prior to project initiation. The document should include planned aspects of the project, such as the scope, benefits, agreed milestones and tolerances, budget, risks and governance structures.	31 Mar 2026	31 Mar 2026	26 Mar 2026	Closure Details: Closed: This action is now complete. The project management toolkit has been launched with staff. This includes guidance for staff as to when a Project Initiation Document should be completed, which after the relevant approval process and before the project starts. Further Information:
3763	Low	The PMO will ensure that each project has an identified Finance Business Partner and that areas of future financial implications and costs, such as efficiency savings are identified prior as part of the project planning process prior to project initiation.	31 Mar 2026	31 Mar 2026	26 Mar 2026	Closure Details: Closed: This action is now complete. The project management toolkit has been launched with staff. This includes processes involving the sign-off by the Finance Business Partners for Business Case documents and Project Initiation Documents. Further Information: