

### Audit Reports Published in 2021

Audit	Agreed Actions	Open	Late	Complete
Income Processing 2020/21	3	0	2	1
Housing Renewals 2020/21	10	6	2	1
Creditors 2020/21	2	1	1	0
NNDR 2020/21	8	1	0	7
Main Accounting System 2020/21	0	0	0	0
Safeguarding 2021/22	5	3	1	1
Housing Benenfits 2020/21	0	0	0	0
Equality & Diversity 2021/22	3	3	0	0
Risk Management 2021	9	2	0	7
Car Parking 2021/22	9	3	1	5
Cemeteries 2021/22	8	7	0	1
Debtors 2021/22	5	1	2	2
Totals	62	27	9	25
		44%	15%	42%

Department	Area	Agreed Action	Officer	Target Date	Status	Comments for Late Actions	High / Medium / Low / Opportunity
ICT	3DS2 Security Compliance	Capita will be updating the infrastructure, with input from TDC IT.	Steve Burgess	Jun-21	Late	The Council is in the process of bringing in 3DS2 security as part of an upgrade. The Council is waiting on Capita to resolve the latest API so that it can swap the Granicus Forms system over to the new system. The actual BACS deadline determining this requirement has been moved back into 2022	Medium
ICT	Paye.net User Declarations	The central record of declarations will be expanded to include all paye.net users responsible for accepting card payments.	Steve Burgess	May-21	Late	As part of the new Capita v1.3 upgrade users will be required to sign a new declaration to go onto the new system. The new upgrade goes live in November 2021	Medium
Housing Renewals	Happy Energy Partner Solutions - retaining evidence of original claim / declaration is shared (backed-up area)	We will ensure that suitable supporting evidence is retained in all instances going forward.	Janet Williams	Jan-21	Late	Update not available as the time of writing this report	medium
Housing Renewals	Partner companies - Supporting documentation of how contractors are selected should be held and available	We will ensure that suitable supporting evidence is retained in all instances going forward.	Janet Williams	Jan-21	Late	Update not available as the time of writing this report	medium
Creditors	Purchase Cards	The procurement officer will review P Cards with no transactions for over 6 months and question the appropriate officers as whether they should be cancelled.  The high usage of P Cards is primarily due to the Council not having a Fuel store for its refuse and street cleansing vehicle fleet.	Luan Stapely	May-21	Late	This is a substantial piece of work, which is not a high priority. It is now planned that customer service staff (rather than the procurement officer) will be engaged to process this piece of work.	Opportunity
Safeguarding	Section 11 Audit	Discussion with other Devon Authorities will continue, however it was agreed the responsibility for publishing the S11 Annual Statement sits with TDC.  It was agreed that the findings and overall opinion in this report provide sufficient assurance for a S11 Statement to be written this year. The Statement will be published on the website.  From 2021/22, following the introduction of the new procedure in 3.2, the S11 Annual Assurance Statement will be incorporated into the Annual Governance Statement.	Staci Dorey	May-21	Late	The updated report is currently being revised and will be completed by 31st October 2021	medium
Car Parking	Business Plan	An Integrated Business Plan for parking services and covering the year 2021-22 was not, as at the time of testing, in place. A meeting is scheduled between the Head of Communities and Place and the Major Projects and Estates Manager, to discuss the way forward.	Tom Phillips	Jul-21	Late	This is not the highest priority within the Estate team, however a tour of the car park estate is scheduled for November once the tourist season has passed. Which will feed into a Car Parking strategy which it is aimed to be completed by December 2021. The strategy will cover areas such as Electric Charging points, ticketing systems, signage etc.	Medium
Debtors	Debtors Invoices	Debtor invoices to be fully detailed, considering the issues raised.  Reminder to be circulated via the staff newsletter, regarding the need for fully detailed VAT invoices.	Karina Baird	Aug-21	Late	Debtors manager currently off sick, am unable to obtain updated timeline	low
Debtors	Recovery process	We will ensure that case notes are updated from time to time as evidence that they are being actively monitored and pursued	Karina Baird	Aug-21	Late	Debtors manager currently off sick, am unable to obtain updated timeline	low