

### Audit Reports Published in 2021/22

Audit	Agreed Actions	Open	Late	Complete
Income Processing 2020/21	3	0	1	2
Housing Renewals 2020/21	10	0	2	8
Creditors 2020/21	2	1	0	1
NNDR 2020/21	8	0	1	7
Main Accounting System 2020/21	0	0	0	0
Safeguarding 2021/22	5	0	0	5
Housing Benenefits 2020/21	0	0	0	0
Equality & Diversity 2021/22	3	0	1	2
Risk Management 2021	9	1	1	7
Car Parking 2021/22	9	0	0	9
Cemeteries 2021/22	8	4	2	2
Debtors 2021/22	5	0	0	5
Payroll 2021/22	1	0	0	1
Health & Saftey 2021/22	5	2	0	3
Homeworking 2021/22	11	0	1	10
Harbours 2021/22	6	1	0	5
Emergency Planning 2021/22	4	4	0	0
Recruitment 2021/22	3	0	0	3
Estates Management 2021/22	7	5	1	1
Building Control 2021/22	1	1	0	0
Totals	100	19	10	71
		19%	10%	71%

Area	Agreed Action	Officer	Target Date	Status	Comments for Late Actions	High / Medium / Low / Oppurtunity
<b>Income Processing</b> - 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 has been moved back into 2022	Medium
<b>Housing Renewals</b> - Empty Homes Strategy not updated since 2015	Team capacity has been increased with further increases being considered. Part of the role for the new officer will be a review of policies and procedures to bring them up to date.	Janet Williams	Oct-21	Late	<b>Verbal Update to be provided at meeting on 29th March - Officer concerned wasn't available to provide update</b>	Medium
<b>Housing Renewals</b> - HMO's on IDOX	Additional team capacity has been put in place, with further capacity being considered. This increased level of staff resources should help to address the issues raised.	Janet Williams	Oct-21	Late	Recently recruited apprentices will undertake this task in the new year	Medium
<b>NNDR</b> - Discretionary Rate Relief Policy	KB -This work was started Feb 2020 but then we went into lockdown and grants administration and had to cease this review. We hope to recommence once the C19 crisis & grants are over.	Karina Baird	Mar-22	Late	The Business Team has been tasked with the delivery of further Business Support Grants (Omicron) and cosequently this task has been delayed.	Medium
<b>Equality &amp; Diversity</b> - Annual Reporting Requirement	Annual review will be carried out and a report will be published to meet statutory requirements for 2020/21 and thereafter	Staci Dorey	Dec-21	Late	The Council disagrees with Audit's assesment that a	Medium
<b>Risk Management</b> - Independent member of A&G	We will continue in our independent efforts to recruit a suitable candidate. We are also working on this with DAP who are intending to identify a suitable pool of candidates for deployment within the region.	David Heyes	Sep-21	Late	DAP are still trying to recruit a suitably qualified individual	Medium
<b>Cemeteries</b> - Backup arrangements of Cemetery Pro	This is an unacceptable risk and warrants further investigation to remedy as a priority.	Tom Phillips	Oct-21	Late	6 Jan 2022 - TP had proposed a backup solution with Cemetery Pro and sorted a plan by 10 Jan. This was ran by TDC's IT department before implementing and IT wanted to take controllership of the solution to the audit point. IT have now been chased and if they do not come up with an alternative solution, then the database will be periodically download to excel and stored on the Council's infrastructure	Medium
<b>Cemeteries</b> - Manual burial registers	prior to migration to Cemetery Pro, a scanned copy of the new pages in the manual entry would provide some additional cover.	Caddsdwn Reception	Sep-21	Late	30% - No progress made since start of year unfortunately. I hear non-sop about staffing / resource issues at Caddsdwn and we are trying to hire an apprentice to alleviate the apparent pressures. All the current documents are scanned over as they come in, so it is just the historical paperwork that needs to be sorted. Additional resource has been secured from 21st March for a period of circa 3 weeks, it is envisaged this will clear the backlog	Oppurtunity
<b>Homeworking</b> - Password Deny List	Review a password blacklist/deny list. A deny list can be created from published lists of common passords or tailored to the Council	Jon Walter	Jan-22	Late	Software purchased and tested, implementation due April 22	Medium
<b>Estates Management</b> - Database	Creation of a single system and database to hold details of all estate assets and the maintenance work undertaken or planned on them.	Tom Phillips	Dec-22	Late	RG has beeb investigating although it has put down the priority list due to major contract workouts by end of March 22. The SAM/ELF system partly covers this. There is some data in there but it is out of date. Significant financial / resources are required to meet this audit action. The Estates team is currently trying to recruit an admin post.	MEDIUM