

Title of Report:	Prior Year Recommendations Action Plan
Committee	Audit Committee
Report	
Submitted To:	
Date of Meeting:	16 th September 2021
For Decision or For Information	For Information

Linkage to Counc	il Strategy (2021-25)										
Strategic Theme	Improvement and Innovation										
Outcome All - Providing effective, accessible and sustainable local publ											
	services										
Lead Officer	Director of Corporate Services										

Budgetary Considerations	
Cost of Proposal	N/A
Included in Current Year Estimates	
Capital/Revenue	
Code	
Staffing Costs	

Screening Requirements	Required for new or revised Proposals. N/A	Policies, Plans	, Strategies or Service Delivery
Section 75 Screening	Screening Completed:	Yes/ No	Date:
	EQIA Required and Completed:	Yes /No	Date:
Rural Needs Assessment	Screening Completed	Yes /No	Date:
(RNA)	RNA Required and Completed:	Yes /No	Date:
Data Protection Impact Assessment (DPIA)	Screening Completed:	Yes /No	Date:

1.0 Introduction

The purpose of this report is to inform Members of the Draft Action Plan developed to address the Prior Year Recommendations, presented to Audit Committee in June 2021.

2.0 Background

The Internal Audit Report – Review of Prior Year Recommendations was presented to Audit Committee in June 2021. The report summarised the findings arising from a review of the progress made by CCAG in implementing the prior year internal audit recommendations made as a result of internal audits carried out in 2019/20. This report also included a review of all internal audit recommendations made in 2016/17, 2017/18 and 2018/19 which were being addressed (or had not been addressed) at the time of the previous review of recommendations (in June 2020).

Status	Number	of Recomme	ndations	Total
Status	Priority 1	Priority 2	Priority 3	Total
Issue addressed	2	15	12	29
Issue being addressed	1	36	23	60
Issue not yet addressed	2	6	4	12
Issue no longer applicable - not cost effective	-	1	1	2
Issue integrated in recommendation in more recent audit	-	1	-	1
Total	5	59	40	104

The agreed audit objective was therefore to confirm that the internal audit recommendations are being implemented.

Council agreed that an Action plan be developed to address the outstanding recommendations, with Audit committee overseeing the progress.

3.0 Prior Year Recommendations (PYR) Action Plan

3.1 A detailed summary of the information contained within the "Review of Prior Year Recommendations" has been collated into a table which is attached in Appendix 1 – PYR Action Plan. This Master document provides detail on the areas which were subject to audit, the associated Recommendations (split between Priority 1,2 and 3), and the corresponding progress in each area as at May 2021.

- 3.2 The RAG (Red, Amber, Green) traffic light system has been used within the detailed summary document.
 - Red, for those actions which were identified within the report as "Issue Not Yet Addressed"
 - Amber for issues "Being Addressed" and
 - Green for those issues "Addressed"
- 3.3 From this Master Schedule, the "Issues being addressed" (Amber) and "Issues Not Addressed" (Red) have been filtered into a second schedule in Appendix 2 – which summarises all outstanding actions across all Directorates.
- 3.4 The relevant responsible Director has been identified within the Plan for progressing the recommendations. In some areas, there are a few recommendations which are cross-cutting, hence a few service areas have been included. Appendix 3-6 summarise the outstanding actions between the Directorate/Service area, with 3 being Finance, 4 Corporate, 5 Environmental Services and 6 Leisure & Development.
- 3.4 Progress of Prior Year Recommendations will be a standing item on the SLT Agenda (monthly) and each Director will provide an update report on progress.
- 3.5 The Action Plan Progress Report will be reviewed by SLT at the end of November and end of February in advance of Audit Committee in December and March.
- 3.6 A deadline has been set for all outstanding recommendations to be progressed by February 2022.

4.0 Recommendation

It is recommended that Audit Committee note the Draft Action Plan with a Quarterly Progress report included as Standing Item on the Audit Committee for December 2021 and March 2022.

Causewa	ay Coast and Glens Borough Council														APPENDI	X 1	
	ar Recommendations - Action Plan								<u> </u>								
	ember 2021					-			+								
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2016-17	Budgetary Control	-		4	5				1	4		4				1x P1, 4x P2	
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	Capital Projects				1 1	-							1	1			
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2016/17	ICT Environment		1	3	6 10	1			1		2	1	6	2 3	1	3xP3	1xP3
2016/17	Invoicing and Debtor Management			1	1					1		1				1xP2	
2016/17	Information Governance and Data Protection			1	2 3					1		1	2	2		1xP2, 2xP3	
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	Corporate Governance			1	1 2					1		1	1	1		1xP2, 1xP3	
2017/18	Risk Management			4	1 5					4		4	1	1		4xP2, 1xP3	
2017/18	Corporate and Business Planning			2	1 3					2	2		1	1		1xP3	
	Community Facilities		1		1	1	. 1	L									
2017/18	Asset Management			2	2					2		2				2xP2	
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	Corporate Credit Cards				1 1								1	1			
	Energy Management			2	2					2	2						
2018/19	Facilities and Estates				3 3					_			3	3		3xP3	
2018/19	Grounds Maintenance				1 1				L	_	_		1	1		1xP3	
	Staff Recruitment, Learning and Development			1	1					1	1			_			
2018/19	Strategic Projects				1 1								-	1			
2018/19	Tourism Services				1 1								1	1		1xP3	
2018/19	Town and Village Management			1	1 2					1		1	1	1		1xP2	
2010/10	Transvers Management			1	2 2								2			1	
2018/19	Treasury Management Absence Monitoring/Sickness			2	2 3					2	2		2	1		1xP2, 2xP3	
2018/19	Absence Monitoring/Sickness			2	2			-	<u> </u>	2	2					_	
2019/10	Time recording/overtime			2	2					2		2					2xP2
	Building control			4	2			+	<u> </u>	2	1	2				2xP2	2XP2
	Off-street parking			1	1				<u> </u>	2 4 1		1				1xP2	
	Street cleansing			1	1				<u> </u>	1	-	1				1xP2	
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2018/19	Travel and subsistence		2	1	3		1		1	1		1					1xP1, 1xP2
	Insurance	1	_	1	1		1 1	-	<u>+</u>	1	1	1				1xP2	200 27 201 2
2018/19	Reception services			1	1			1	<u> </u>	1	1	1					
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	Invoicing and debtors			3	2 5					3		1 2	2	2		1xP2	2xP2
	Leisure services - Cash handling				8 8								8	1 4	3	4xP3	3xP3
	PCSP			2	2					2	1	1					1xP2
2019/20	Waste management			2	3 5					2		1		1 2		3xP2, 2xP3	
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018/19	Time recording/overtime		2			2						2			2							2xP2
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2019/20	Invoicing and debtors		3	2		5						3		1	2	2	2				1xP2	2xP2
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2016/17	Information Governance and Data Protection		1	2		3						1		1		2		2			1xP2, 2xP3	
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	Risk Management		4	1		5						4		4		1		1			4xP2, 1xP3	
2017/18	Corporate and Business Planning		2	1		3						2	2			1		1			1xP3	
2017/18	Asset Management		2			2						2		2							2xP2	
2018/19	Facilities and Estates			3		3										3		3			3xP3	
2018/19	Grounds Maintenance			1	_	1	-									 1		1			1xP3	
2018/19	Tourism Services		1	1		1						-		1		1	4	1			1xP3	
2018/19	Town and Village Management		1	1		2	-					1		1		1	1				1xP2	
018/19	Treasury Management		1	2		3						1				2		1			1xP2, 2xP3	
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018/19	Off-street parking		1		1	1		1	1	1		1		1					1		1xP2	1
2018/19	Street cleansing		1			1						1		1							1xP2	
2018/19	Insurance		1			1						1		1							1xP2	
2018/19	Arts and Cultural Centres		2			2						2		2							2xP2	
2019/20	Fuel Management		6	4		10						6	2	4		4	2	1	1		3.5xP2, 1.5xP3	
2019/20	Capital Projects		6	1		7						6	1	5		1		1			5xP2, 1xP3	
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2018/19	Time recording/overtime			2	4	-						2		2							2XP2
2018/19	Travel and subsistence		2	1	3	3	2	1		1		L		1							1xP1, 1xP2
	Invoicing and debtors		3	3 2	2 5	5						3	1	2	2	2				1xP2	2xP2
2019/20	Leisure services - Cash handling			8	3 8	3									8	1	4	. 3	:	4xP3	3xP3
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2016/17	Invoicing and Debtor Management			1	1	L						1	1							1xP2	
2017/18	Asset Management			2	2	2						2	2							2xP2	
2018/19	Treasury Management			1 -	2 3	,									2		1			1xP2, 2xP3	
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Causeway	Coast and Glens Borough Council																					APPENDIX	4	
Action Plan	- Prior Year Recommendations																							
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CORPORAT	TE SERVICES																						9th Septe	ember 2021
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2018/19	Travel and subsistence		2	1			3	2	2 1			1	1				1							1xP1, 1xP2
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2016/17	Information Governance and Data Protection			1	2		3						1			1		2		2	2		1xP2, 2xP3	
2017/18	Corporate Governance			1	1		2						1			1		1		1	L		1xP2, 1xP3	
2017/18	Risk Management			4	1		5					-	4			4		1		1	L		4xP2, 1xP3	+
2017/18	Corporate and Business Planning		0	2	1		3						2	2		c		1		1			1xP3	<u> </u>
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Causeway	Coast and Glens Borough Council																		APPENDI)	(5	
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2018/19	Facilities and Estates			3		3										3	3	1		3xP3	
2018/19	Grounds Maintenance			1		1										1	1			1xP3	
2018/19	Building control		4	4	4	4						4 1		2						2xP2	
2018/19	Off-street parking		1	1		1						1		L						1xP2	
2018/19	Street cleansing		1	1	:	1						1		L						1xP2	
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2019/20	Fuel Management		6	5 4	10	0						5 2	2 4	1		4 2	1	1	L	3.5xP2, 1.5xP3	
2019/20	Capital Projects		6	5 1		7						5 1	1 5	5		1	1			5xP2, 1xP3	
2019/20	Waste management		2	2 3		5						2 1	. :	1		3 1	. 2			3xP2, 2xP3	
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Causeway	Coast and Glens Borough Council																		APPENDIX	6	
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2019/20	Leisure services - Cash handling			8	5	3										8 1	. 4	ц <u>з</u>		4xP3	3xP3
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2018/19	Tourism Services			1		L										1	1			1xP3	L
2018/19	Town and Village Management		1	. 1	. 2	2						1		1		1 1				1xP2	
2018/19	Arts and Cultural Centres		2	2	2	2						2		2						2xP2	L
2019/20	Capital Projects		6	5 1	. 7	7						6	1	5		1	1			5xP2, 1xP3	
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