



Title of Report:	Prior Year Recommendations Action Plan
Committee Report Submitted To:	Audit Committee
Date of Meeting:	21st September 2022
For Decision or For Information	For Information

Linkage to Council Strategy (2021-25)	
Strategic Theme	Improvement and Innovation
Outcome	All - Providing effective, accessible and sustainable local public 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 Policies, Plans, Strategies or Service Delivery Proposals. N/A		
Section 75 Screening	Screening Completed:	Yes/No	Date:
	EQIA Required and Completed:	Yes/No	Date:
Rural Needs Assessment (RNA)	Screening Completed	Yes/No	Date:
	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 update Members in terms of Progress on Prior Year Recommendations, following the Report to Audit Committee by Moore NI in June 2022.

2.0 Background

The Internal Audit Report – Review of Prior Year Recommendations was presented to Audit Committee in June 2022. 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 2020/21. This report also included a review of all internal audit recommendations made in 2016/17, 2017/18, 2018/19 and 2019/20 which were being addressed (or had not been addressed) at the time of the previous review of recommendations (in June 2021).

Table E (Source June 2022 Audit Committee Report – Agenda Item 7.5)

Status	Number of Recommendations			Total
	Priority 1	Priority 2	Priority 3	
Issue addressed	4	32	16	52
Issue being addressed		28	5	33
Issue not yet addressed		6	7	12
Total	4	66	28	98

As at September 2022 – progress since June 2022, on Internal Audit Recommendations up to Year-End 2021

tatus	Number of Recommendations			Total
	Priority 1	Priority 2	Priority 3	
Issue addressed		9	7	16
Issue being addressed		24	4	28
Issue not yet addressed		1	1	2
Total		34	12	46

Appendix 1 provides further details in terms of progress.

3.0 Prior Year Recommendations (PYR) Action Plan

- 3.1 The Prior Year Action Plan is currently being further developed to ensure all PYR as at year-end 2021, and current In-year recommendations (2021/22 and 2022/23 year-to date) are collated in one document and updated on a Quarterly basis. This will assist with monitoring and reviewing all outstanding recommendations, on a Priority basis – Priority 1, 2 and 3, and identifying issues Not yet addressed (Red), Being Addressed (Amber) or Addressed (Green).
- 3.2 The relevant responsible Director has been identified within the Plan for progressing the recommendations.
- 3.3 Progress of Prior Year Recommendations will be a standing item on the SLT Agenda (quarterly) and each Director will provide an update report on progress.
- 3.4 The Action Plan Progress Report will be reviewed by SLT at the end of November in advance of the update to December Audit Committee.
- 3.5 A deadline has been set for all outstanding recommendations up to 2021/22, to be progressed by February 2023.

4.0 Recommendation

It is recommended that Audit Committee note the Prior Year Recommendations Progress Report with a Quarterly Progress.

Appendix 1											
Causeway Coast and Glens Borough Council											
Prior Year Recommendations											
Summary											
Update as at 19th September 2022.											
Section	Detail of Review of Prior Year Recommendations	Directorate/Service Area	Outstanding Recommendations as at June Audit Committee	Progress as at 19.09.22 -Update provided to September Audit Committee	Completed since June			Issue being addressed/Not Being			
					P1	P2	P3	P1	P2	P3	
1	2016-17 Budgetary Control	Finance	3 x P2s being addressed	3 x P2s being addressed				3			CFO
2	2016-17 Partnership	LD	1 x P2 Not Yet Addressed					1			LD
3	2016-17 ICT Environment	Corporate	Addressed								
4	2016-17 Invoicing and Debtor Management	Finance	Addressed								
5	2019-20 Invoicing and Debtors	Finance	3 x P2's, 2 Being Addressed, 1 Not Yet Addressed	3 x P2's, 2 Being Addressed, 1 Not Yet Addressed				3			CFO
6	2016-17 Information Governance and Data Protection	Performance	2 x P2's being addressed					1			Performance
7	2017-18 Corporate Governance	Corporate	1 x P2 being addressed								CS
8	2017-18 Asset Management	Finance	2 x P2's being addressed					2			CFO
9	2018-19 Town and Village Management	LD	1 x P2 being addressed					1			LD
10	2018-19 Time Recording and Overtime	Finance	2 x P2s not yet addressed	2 x P2s not yet addressed				2			CFO
11	2018-19 Off-Street Parking	ES	1 x P2 Issue being addressed	Complete							ES
12	2018-19 Travel and Subsistence	Finance	1 x P2 Issue being addressed	1 x P2 Issue being addressed				1			CFO
13	2018-19 Insurance	Performance	1 x P2 Issue being addressed	1 x P2 Issue being addressed				1			Performance
14	2018-19 Arts & Cultural Centres	LD	Addressed								LD
15	2019-20 Fuel Management	ES	2 x P2s Issues being addressed	1xComplete, 1xOngoing				1			LD
16	2019-20 Waste Management	ES	Addressed								ES
						0	0	0	0	16	0
17	2020-21 ICT – Working from Home (June 21)	ICT/Finance	2 x P2s Issues being addressed					2			
18	2020-21 Business Continuity and Emergency Planning (March 21)	ES	3 x P2s Issues being addressed 1 x P3 issue not addressed	Complete		3	1				ES
19	2020-21 Corporate Health and Safety	CHS	Addressed								Performance
20	2020-21 Environmental Health – Licencing	ES	1 x P2 and 2 x P3 being addressed	1xP2 being addressed. All P3 complete				2	1		ES
21	2020-21 Capital Projects	ES	2 x P2s Issues being addressed	Complete				2			ES
22	2020-21 Agency Staff	Corporate	Addressed								CS
23	2020-21 Review of Credit Card Usage (March 21/December 21)	Finance	2 x P3 Issue not addressed, 3xP2 being addressed, 1xP1 being addressed			1	2	3			CFO
24	2020-21 Performance Improvement (June 21)	Performance	2 x P2s 1 P3Being Addressed, 1 x P2 and 1 x P3 not being addressed	2 x P2 and 1 x P3 addressed, 3 x P2's and 1 P3 being addressed			2	1	3	1	Performance
25	2020-21 Community Planning	Corporate	Addressed								CS
26	2020-21 Treasury Management (June 21)	Finance	1 x P2 and 2 x P3 being addressed, 3 Px 2 Not being addressed					3	2 (1-IBS, 1-NBA)		CFO
						1	9	7	0	9	4