

Appendix 1 – High rated management actions

Place & Community

Issue	Way Forward	Who	When	Status	Latest Status update
21.21/22 Temporary Accommodation	In line with current plans, the Council will ensure that an up-to date Housing Strategy and Homelessness Strategy is created. Additionally, progress against the action plan will be periodically monitored by an appropriate forum.	Richard West	30/09/2022	Not due	Required as part of the Local Plan. Currently being drafted. Key reference point for the authority. New Housing Act being developed which will make Private Rented Properties licensable
21.21/22 Temporary Accommodation	The Annual Compliance Statement issued to Private Providers will be reviewed to assess whether the terms and conditions satisfies the Council's legislative duties as a housing provider. Following this, the Council will introduce a monitoring mechanism to ensure: <ul style="list-style-type: none"> • Providers are only engaged with should they have a signed Compliance Statement in place; • These Compliance Statements are reviewed and signed annually. 	Ian Blake	30/09/2022	Not due	TA Compliance Assurance of private suppliers drafted and due to go into use 1/8/22 providing TA Team staffing level permits. Temporary accommodation staff are starting on a temporary basis from mid-July. Permanent recruitment to be advertised from September.
21.21/22 Temporary Accommodation	The Council will develop a strategy to identify households which are no longer owed a duty to be accommodated under the Housing Act 1996.	Ian Blake	31/03/2023	Not due	Outstanding and will remain so until TA Team is established. Temporary accommodation staff are starting on a temporary basis from mid-July. Permanent recruitment to be advertised from September.

Corporate Operations

Issue	Way Forward	Who	When	Status	Latest Status update
13.21/22 Council Tax	The Council will restrict the ability of staff to place markers on accounts. This may include limiting such action only to relevant managers or requiring all markers to be approved by a relevant manager before being placed. As part of this, guidance and instructions will be prepared and shared with all staff with access to place markers on council tax accounts. This may form part of an existing or new procedure note and will include why, how and when markers should be used.	Chris Boylett	21/12/2021	Overdue To be completed September 2022	Processes currently being reviewed and instructions on codes being used will be issued but cannot closedown or restrict codes until review below completed. Progress is being made with dealing with priority cases first, authorisation to recruit resources is in place to move the actions on but the council has been unable to find suitably qualified staff, therefore September 22 is a realistic target date
13.21/22 Council Tax	The Council will resume the preparation of council tax reconciliations. This will include investigating and resolving the £2,516,195 variance identified in 2019/20 and retrospectively completing reconciliations for 2020/21 and 2021/22.	Ade Adewumi	31/03/2022	Overdue To be completed 31 st July 2022	A full cash account reconciliation between Agresso & Academy has been completed for 21/22 and there are no major concerns with the process. Revenues are reviewing the 21/22 reconciling items. The £2.5m entry on the reconciliation that was presented to Internal Audit was a hard cased carry forward figure with no backup on an incomplete reconciliation; cumulative variance as at end of 21/22 is £177k and work is underway to validate a definitive cumulative position by 31st July 2022
13.21/22 Council Tax	The Revenues Manager will undertake a review of current Council Tax arrears cases in order to identify cases where debts are not considered economically viable to be chased. These cases will be recommended for write off.	Chris Boylett	31/03/2022	Overdue To be completed September 2022	The service is currently trying to recruit the required resource. This is proving challenging as demand for this type of resource is very high, we have recruited 2 of the 4 resources and September is therefore a realistic target date.
14.21/22 Whistleblowing	The Council will devise a Whistleblowing Culture Improvement Plan to ensure	Sarah Wilson	31/03/2022	Overdue To be	Sufficient assurances are contained in the Whistleblowing Code at part 5.5 of the Council's Constitution. Those assurances will be reinforced by regular reminders

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	actions are taken to improve confidence around the Council's whistleblowing function. Progress against the plan will be monitored thereon by an appropriate forum (for example, the Executive Board), periodically.			completed 19 th July 2022	published in the staff bulletin that the Whistleblowing Policy exists to enable them to make protected disclosures. The Monitoring Officer will take an annual update report to the standards committee on 19 July with a formal review of the policy against national guidance and linking the whistleblowing culture plan to the wider recovery plans. The report recommends a regular staff survey. Whistleblowing Culture is part of a wider piece of work that is being undertaken as part of the Corporate Plan priorities and recovery themes.
17.21/22 Rent Accounts	The Council will assign responsibility within Finance for uploading the rental, council tax, business rates and benefits postings to Agresso. This will then be uploaded to the reconciliations documents on a daily basis for June to September 2021 and then each month thereafter, allowing the reconciliations to be completed.	Ade Adewumi	31/03/2022	Overdue To be completed 31 st August 2022	All postings have been made and a cumulative year end reconciliation for 21/22 has been completed. Once the new team is in place the process will be fully documented. Target date is 31st August 2022.
18.21/22 Debtors Management	An appropriate member of the Finance Team will be assigned to complete monthly accounts receivable reconciliations, as well as a second staff member to check and sign these off. The preparation of the accounts receivable reconciliations will resume, including retrospectively completing all for 2021/22.	Ade Adewumi	31/03/2022	Overdue To be completed 31 st March 2023	The Monthly AP & AR Control Accounts are being prepared by the Principal Systems Office and signed off by a Finance Technical Adviser. The outstanding piece of work in relation to the above is the aligning of the detailed feeder systems to the GL balances which requires liaison with Agresso Systems experts to redefine the report parameters. This will be completed as part of the overall review of the Finance module of Agresso which will commence in June 2022, with a view to overall completion by end of the financial year (31st March 2023)
16.21/22 General Ledger	The Finance Team will assign an appropriate individual to complete the monthly reconciliations of control accounts, as well as a second individual to check these.	Ade Adewumi	30/04/2022	Overdue To be completed 31 st March	The Monthly AP & AR Control Accounts are being prepared by the Principal Systems Office and signed off by a Finance Technical Adviser. The outstanding piece of work in relation to the above is the aligning of the detailed feeder systems to the GL

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	The preparation of the reconciliations will resume, including retrospectively completing all for 2021/22.			2023	balances which requires liaison with Agresso Systems experts to redefine the report parameters. This will be completed as part of the overall review of the Finance module of Agresso which will commence in June 2022, with a view to overall completion by end of the financial year (31st March 2023)
16.21/22 General Ledger	The Finance Team will assign an appropriate individual to review and manage all suspense accounts, including identifying those entries that can be cleared and action this. The clearing of suspense accounts will resume.	Ade Adewumi	30/04/2022	Overdue To be completed 31 st August 2022	There are 3 Suspense Accounts that require the intervention of a Civica Specialist to provide a link between the debits and credits that are all processed via the IKON platform. All other suspense accounts will be cleared in closing the 22/23 accounts, fully reconciled by 31st August 2022
16.21/22 General Ledger	An exercise will be completed to identify all tasks to be completed as part of the month end process. A full month end timetable will be prepared and tasks will be assigned to appropriate staff members. The completion of tasks will be confirmed each month to a relevant manager responsible for overseeing the closedown process.	Ade Adewumi	30/04/2022	Overdue To be completed 31 st March 2023	This will be reviewed as part of the revision of the Finance Function which is planned to commence in June 2022 to be completed by the end of the financial year - 31st March 2023.
16.21/22 General Ledger	The Council will review and clear the 73,629 unposted journals currently in batch input maintenance. This approach will account for transaction dates and values.	Ade Adewumi	30/04/2022	Overdue To be completed 31 st August 2022	All unposted journals to be deleted by 31st August 2022
16.21/22 General Ledger	A periodic checking mechanism will be introduced for unposted journals in batch input maintenance. This will include identifying those that need to be corrected (and communicating this	Ade Adewumi	30/04/2022	Overdue To be completed 31 st August	Journal Process to be reviewed by 31st August 2022

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	to relevant staff) and those that can be deleted.			2022	
16.21/22 General Ledger	The Council will complete an exercise to identify those roles/positions requiring access to Agresso finance functions and the access/functions required. Based on this the Council will implement a training programme covering finance functions on Agresso. Training will be a requirement before system access is granted and will focus on the processes required as part of job roles.	Ade Adewumi	30/04/2022	Overdue To be completed 31 st March 2023	This process is underway and the current ERP Support consultants are building a training plan in conjunction with HR based on all relevant functions which will be followed by a rollout plan which will be incorporated in the agresso finance review which will be completed by the end of the financial year 31st March 2023.
18.21/22 Debtors Management	The ability to park invoices will be restricted to the AR Team and the Finance Manager. Following this new control, the Finance Manager will review parked invoices on a quarterly basis and report outcomes to an appropriate finance manager.	Ade Adewumi	30/04/2022	Overdue To be completed 31 st March 2023	This has been discussed and will be implemented as part of the overall review of the Finance Module of Agresso that will now start in June 2022 which will be incorporated in the agresso finance review which will be completed by the end of the financial year 31st March 2023
18.21/22 Debtors Management	The Interim Group Manager Revenues Benefits and Charges will prepare a debt recovery policy which will be subject to formal review and approval. Once approved, the policy will be shared with and made available to all relevant staff, including the AR Team	Peter Robinson	31/05/2022	Overdue To be completed 31 st December 2022	A new debt recovery policy is being worked on with the intention of it being taken to Cabinet for approval in Q3 of the new financial year.
18.21/22 Debtors Management	The Council will implement a training programme covering accounts receivable functions on Agresso. Training will be a requirement before system access	Ade Adewumi	30/06/2022	Overdue	This will be reviewed as part of the revision of the Finance Function which commencing in June 2022

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24.21/22 GDPR Governance	<p>is granted.</p> <p>The Data Flow Capture Spreadsheet will be updated to include the following areas: • name and contact details of joint controller (if applicable); • categories of individuals; • names of third countries or international organisations that personal data are transferred to (if applicable); • safeguards for exceptional transfers of personal data to third countries or international organisations (if applicable); • Data Protection Act 2018 Schedule 1 Condition for processing; • GDPR Article 6 lawful basis for processing; • link to retention and erasure policy document; and • whether personal data retained and erased in accordance with the retention policy document - reasons for not adhering to retention policy document (if applicable).</p>	Alexander Cowen	30/09/2022	Not due	Reviewing data flow captures has commenced and additional categories identified are being included. Asset owners in each department will be contacted to fill in the gaps. On track
24.21/22 GDPR Governance	<p>The SARS Log will be updated to include: • date request received (at the moment, only the 'Date Reported' is recorded); • staff member who received the request; • format of the request received; • description of the request; • whether the identity of the data subject (or third party) has been verified; • whether the request has been declined; • if declined, why the request has been declined; • if declined, when the data subject</p>	Finbar McSweeney	30/06/2022	Overdue	<p>All requests are logged on the Councils Intalex system where we also log complaints, councillor casework, MP enquiries and FOI's.</p> <p>The date received and the date responded to is inputted along with all communications between internal departments and the council and requester.</p> <p>DPO is reviewing the Right to Removal Log and the updated templates</p> <p>The SBC Right to Removal log falls under the Data Protection Officer's remit and is being responded to separately</p>

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	<p>was informed of this; • whether the request has been made by a third party on behalf of a data subject; • if the request has been made by a third party, whether the authority of the third party has been established; • if the request has been made by a third party, whether the identity of the third party has been established; • the staff in the organisation that the information has been requested from; • date information requested from staff; • date information received from staff; • what information has been sent to data subject; • in what format the information has been sent to the data subject; Responsible Owner: Finbar McSweeney Complaints, Casework & FOI Lead Date: 30th June 2022 Priority: High 14 • date request is due; • whether there has been an extension to the deadline; • if there has been an extension, when the data subject was informed; and • whether the information was sent to the data subject within the required deadlines. Once updated, the Council will ensure that the SBC Right to Removal Log for other personal data requests is consistent with the updated template. Following this, the Council will ensure that all requests are complied with in line with the ICO deadlines</p>				

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23.21/22 Capital Expenditure	The Council will agree the arrangements for approving business cases and adding projects to the capital programme. This will include defined approval thresholds (based on project cost), escalation procedures (to ensure oversight of approvals/additions) and clarity regarding the evidence to be provided before projects are formally added onto the programme.	Brian Khumalo	30/09/2022	Not due	This work is in progress and it is anticipated that it will be completed as scheduled on 30/09/2022
23.21/22 Capital Expenditure	Monitoring and reporting arrangements for all capital projects included on the capital programme will be agreed and adhered to. These arrangements will cover 'on' and 'off portfolio' projects and will include ensuring progress updates are received.	Brian Khumalo	30/09/2022	Not due	This work is in progress and it is anticipated that it will be completed as scheduled on 30/09/2022