Audit and Governance
Action Tracker.

Outstanding Actions						
Number	Action	Officers/Cllrs asked to complete action.	Date action issued	Date Due	Latest Status	Date of Completion
3	Evolving Pace of AI and how it could be manipulated asked to come back to the Committee.	James Ailward (Head of ICT Operations) or Marc Eyre (Service Manager for Assurance)	12th January 2026		In-Progress	
4	Item 194 on the report was referenced which refers to the instability in the high needs bloc budget may create increased deficit in the dedicated school grant resulting in deficit in Dorset Council's financial position. It was identified as a significant issue for the Council and there was a request for reassurance from the Cabinet Member for Education and finance to reassure the Committee to mitigate significant financial risk to the organisation.	Cabinet Member for Education and Finance.	12th January 2026		In-Progress	
5	The committee has requested a deeper understanding of the most significant strategic risks captured within the risk management framework. Priority has been placed on Risk 22 (Migrating and Managing Data) and Risk 91 (Cyber Attack). Risk 200 (Health Service Reform) has also been requested, to be provided when sufficient information becomes available. This	Chris Swain (Risk Management and Reporting Officer).	12th January 2026		In-Progress Work is underway to deliver a useful but proportionate view that is suitable for committee,	

	approach is intended to strengthen thematic oversight of key strategic risks				especially given the nature of the cyber risk.	
6	The Council does not currently maintain a complete record of all systems holding personal data, has identified inconsistencies between Information Asset Owners and service teams, and has approximately 36,000 paper records awaiting retention decisions, can officers explain how the Council is currently assuring itself that it is meeting its data governance and data protection obligations? Can officers set out the risks arising from the current position, including regulatory and financial exposure, and confirm whether officers recognise that non-compliance could, in principle, expose the Council to enforcement action and fines of up to 4% of annual turnover, however unlikely that outcome may be? Can officers outline the concrete actions, leadership arrangements, and timescales in place to address these issues, including system oversight, resourcing, and training?	Marc Eyre (Service Manager for Assurance).	12th January 2026	Updated Information Governance Report - 27 April 2026.	In-Progress	

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9	Our Future Council Update – for future reports, it was asked for more focus around IT risks and around risks.	Lisa Cotton (Corporate Director Transformation, Customer and Culture).	24th November	23rd February 2026	In-progress	
Completed Actions						
11	Take away responses from 4th August meeting and update the Committee around payroll access to sensitive IT Capabilities - The Committee members highlighted that in their view the management responses to the action plan did not fully address the findings raised by the external auditor and officers agreed to take these away to revisit and update.	Christopher Matthews (Head of People and Work Force)	4th August 2025		Completed – updated Committee.	24th November 2025.
12	Cllr Steve Murcer asked - To provide greater analysis of reserves - what the reserves looked like, what the committed reserves are and what the free reserves are. So that the Council knows what level of reserves that could be used to balance the books at the end of the year. Looking to see if the Council has headroom in reserves. Cllr Clifford- said that he would get accurate figures of the reserves sent around to the Committee.	Sean Cremer (Corporate Director Finance and Commercial).	13th October 2025		Completed	2nd January 2026.

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13	Expand in key areas of the report – more detail - such as, Cllr Jill Haynes referenced pg 72 and 73 of the P4 report - £28 Million social care debt but only £17 Million collectable. Pg 75 12 that was going to be written off – no story behind that. A written response to be sent to the rest of the Committee Members along with the additional answer given during the Committee regarding if this would be collectable eventually and what percentage of the debt would never be collected and written off?	Sean Cremer (Corporate Director Finance and Commercial).	13th October 2025		Completed	4th February 2026.
14	Organise Risk Briefing and Demonstration of Risk Dashboard.	Chris Swain (Risk Reporting Officer) and Liz Crocker (Head of Service Strategy).	13th October 2025		Complete – Briefing held on 20th November 2025.	20th November 2025.
15	Circulate a more detailed written answer on the process of revenues and benefits continuous review.	Sean Cremer (Corporate Director Finance and Commercial).			Completed	15th January 2026.
1	Process Mapping to demonstrate the amended and strengthened approach to order approvals and financial sign off and the payment of invoices.	Sean Cremer (Corporate Director Finance and Commercial).	12th January 2026		Completed	18th May 2026
2	Cllr reference group which looked at compliance and the audit action which had been investigated and put forward. Need to decide on whether the group had done its job or did the Committee want	Audit and Governance Committee	12th January 2026	23rd February 2026	Completed	27th May 2026

	the group to continue or change the terms of reference.					
7	Children in care with reference to the competition of markets authority report in 2022. In that report there was a series of suggestions on what local authorities could do to increase their purchasing power for example, collaborating across authorities. What conclusion was drawn from that and for it to be added as an action that could be completed as a written response.	Sean Cremer (Corporate Director Finance and Commercial).	13th October 2025		Completed	27th April 2026
8	Review the thresholds and look at an off-system approval process and how it was being dealt with. To bring to the next meeting.	Sean Cremer (Corporate Director Finance and Commercial).	24th November 2025	12th January 2026.	Completed	27th April 2026
10	Simon Roach requested that officers issue a short summary response to the questions on Grant Thornton Audit Progress Report - pg 154 – suggested questions that the Committee might ask.	Sean Cremer (Corporate Director Finance and Commercial).	13th October 2025	23rd February 2026	Complete	27th April 2026