

**Outstanding Audit Recommendations**

	Recommendation reviewed and found not implemented
	Recommendation reviewed and found to be partially implemented
	Recommendation reviewed and found to be implemented

Audit	Recommendation Details	Responsible Officer	Expected implementation date for recommendation	Date Audit Followed Up	Current Recommendation Status	Further Audit Comments	Target Follow Up Date
Garden Waste 2015-16	The retention and cleansing of garden waste data should be reviewed for data protection and service delivery purposes and include data checks and cleansing together with a reconciliation between TBC and UBICO data.	Policy and Communications Manager	Dec-16.	Apr-17	Follow up Undertaken - implemented	On discussion with the Policy and Communications Manager (PCM) it was identified that this recommendation has been implemented in that a review of the service has been completed and an independent project plan has been established. The Policy and Communications Manager confirmed that data cleansing is completed on a regular basis by Customer Services. A new garden waste system is in the process of being implemented and will take into consideration any internal recommendations made previously.	17-18 q1

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<p>Garden Waste 2015-16</p>	<p>A review of the garden waste subscriptions processes should be undertaken in respect of non-renewal accounts, demonstrating customer agreement to the council's terms of reference, establishing a stock management system and authorising renewal extensions</p>	<p>1. Policy and Communications Manager 2. Head of Community Services</p>	<p>Dec-16</p>	<p>Apr-17</p>	<p>Follow up Undertaken - implemented</p>	<p>See above – a number of the audit recommendations have been superseded with the implementation of a new system. Recommendations that have been feasible to implement, have been completed eg</p> <ul style="list-style-type: none"> <li>• Awareness to terms and conditions</li> <li>• Implementation of stock control</li> </ul>	<p>17-18 q1</p>
<p>ICT Environmental Controls 2016/17</p>	<p>Appropriate council policies should be developed/ updated in order to ensure that all physical and environmental information security risks have been recognised; which in addition to ICT security should include building security, non-electronic information, computer equipment storage etc.</p>	<p>1. Communications and Policy Manager/Head of Corporate Services 2. ICT Operations Manager</p>	<p><del>Jan-17.</del> May-18</p>	<p>Apr-17</p>	<p>Follow Up Undertaken - not implemented</p>	<p>All policies relating to information security will be covered within the new General Data Protection Regulations (GDPRs) project. Compliance with GDPR needs to be achieved by May 2018.</p>	<p>17-18 q1</p>

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<p>ICT Environmental Controls 2016/17</p>	<p>There should be organisational awareness of the open access arrangements within the Public Services Centre between the hours of 9am to 5pm; in order to manage the associated security and data protection risks.</p>	<p>Asset Manager</p>	<p><del>Mar-17.</del> Dec-17</p>	<p>Apr-17</p>	<p>Follow Up Undertaken - not implemented</p>	<p>This has been discussed at corporate management team and needs to be discussed further with PSC partners.  <u>Revised implementation date: December 2017.</u></p>	<p>17-18 q1</p>
<p>ICT Environmental Controls 2016/17</p>	<p>An up to date establishment list should be obtained from all organisations within the building and checked against the G4S system in order to remove any staff no longer requiring access to the building.</p>	<p>Asset Manager</p>	<p><del>Dec-16.</del> Dec-17</p>	<p>Apr-17</p>	<p>Follow Up Undertaken - not implemented</p>	<p>Not yet undertaken. <u>Revised implementation date: December 2017</u></p>	<p>17-18 q1</p>
<p>ICT Environmental Controls 2016/17</p>	<p>In compliance with DCLG guidance an annual Display Energy Certificate (DEC) should be obtained for the council's air conditioning system and a list of preferred suppliers for repairs and maintenance be established.</p>	<p>Asset Manager</p>	<p>Dec-16</p>	<p>Apr-17</p>	<p>Follow up Undertaken - implemented</p>	<p>The AM provided a copy of the Air conditioning inspection report. Next inspection due 01-10-2021. Whilst a list of suppliers has not been compiled the Asset Manager has received quotes from three companies for repairs and maintenance.</p>	<p>17-18 q1</p>
<p>ICT PSN Submission 2016-17</p>	<p>The following policies and procedures should be reviewed and updated: 1. Acceptable Use of Council ICT Resources (ICT Policy) 2. Use of ICT resources by Elected Members Code of Practice 3. Information Security Incident Management Operational Policy and Procedure (to be updated and tested as part of the ICT business continuity review) 4. Change Management Policy (to be reviewed against ITIL best practice and enhanced to include specific application periods as required by the PSN)</p>	<p>ICT Operations Manager</p>	<p><del>Nov-16.</del> May-18</p>	<p>Apr-17</p>	<p>Follow Up Undertaken - partially implemented</p>	<p>These are linked to the implementation of GDPR whereby all supporting policies will be reviewed in their entirety.</p>	<p>17-18 q1</p>

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<p>ICT PSN Submission 2016-17</p>	<p>The responsibilities of the SIRO role should be defined and approval for the Deputy Chief Executive to undertake this role be formally agreed by CLT.</p>	<p>Head of Corporate Services/ ICT Operations Manager</p>	<p>Nov-16. Jun-17</p>	<p>Apr-17</p>	<p>Follow Up Undertaken - implemented</p>	<p>The Chief Executive has been designated as the SIRO.</p>	<p>17-18 q1</p>
<p>Payroll 2015-16</p>	<p>To review the processes in relation to employee rights to holiday leave/pay particularly in light of recent employment tribunal case law</p>	<p>HR Manager</p>	<p>Dec-16.</p>	<p>Apr-17</p>	<p>Follow Up Undertaken - implemented</p>	<p>Managers inform HR when a member of staff completes overtime, and the overtime policy reinforces this. In order to effectively ascertain whether a member of staff is entitled to additional annual leave/pay, quarterly reports from Finance will be reviewed to identify staff working regular overtime. The HRM suggested that with the introduction of a new HR system (project currently ongoing) this should make the monitoring of overtime easier. For the meantime the HRM agreed to check OTE reports provided by Finance.</p>	<p>17-18 q1</p>
<p>Tell Us Once 2016/17</p>	<p>The End User Tracker (EUT) should be updated and submitted to DWP to ensure that it is an accurate reflection of the sponsors and agents who process the notifications. Moving forward the EUT should be subject to an annual check by the Sponsor.</p>	<p>Operational Manager- Revenues &amp; Benefits &amp; Customer Services</p>	<p>Oct-16</p>	<p>Apr-17</p>	<p>Follow up Undertaken - implemented</p>	<p>On discussion with the Operations Manager (OM), it was confirmed that this has now been completed and the OM was able to provide the updated EUT.</p>	<p>17-18 q1</p>
<p>Tell Us Once 2016/17</p>	<p>Consideration should be given to Housing Services, the volunteer litter picking scheme administrator and Area Revenues Officer (Sundry Debts) receiveing Tell Us Once notifications, provided that it is acceptable to share this information under Data Protection.</p>	<p>Communications and Policy Manager</p>	<p>01/01/2017. Jul-17</p>	<p>Apr-17</p>	<p>Follow Up Undertaken - partially implemented</p>	<p>Final confirmation on whether this approach is acceptable is awaited from the DWP.</p>	<p>17-18 q1</p>

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Tell Us Once 2016/17	PSN accounts should be requested for the Group Manager Corporate Services and the Communications and Policy Manager, in order to satisfy the requirements of their role as business sponsors for Tell Us Once.	Head of Corporate Services	01/10/2016. Jul-17	Apr-17	Follow Up Undertaken - partially implemented	Head of Corporate Services has been set up. Policy and Comms Manager request is currently being processed.	17-18 q1
Tell Us Once 2016/17	In order to ensure that the council is protecting any personal information that it receives and that this is retained appropriately; a review of data management should be carried out to include: 1) Appropriate retention periods-supported by a retention policy 2) The level of information held 3) Identification of appropriate user training and delivery 4) Development of a Privacy Policy The review should take into account any requirements stated within terms of reference with the council's data suppliers.	Head of Corporate Services	01/03/2017. Jul-17	Apr-17	Follow Up Undertaken - partially implemented	On discussion with the HoCS and the PCM it was identified that this recommendation is partially implemented. The HoCS has produced a retention schedule specifically for TEO notifications and explained that work is progressing re Privacy Policy and the Comm and Policy Manager has consulted with the contact at the DWP. New implementation date: <u>end of July 2017.</u>	17-18 q1
Trade Waste Audit 2015-16	The review of commercial waste services should give consideration to commercial viability, the regularity of reviewing charges, website enhancements, the adequacy of financial data being provided between UBICO and Financial Services	Head of Community Services	Mar-17	Apr-17	Follow Up Undertaken - not implemented	UBICO have commissioned a review of the trade waste service. This has been undertaken by APSE. The final report is imminent and will inform any future work that needs to be undertaken. A new implementation date will be agreed following receipt of this report.	17-18 q1

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Trade Waste Audit 2015-16	Arrangements need to be established by Environment and Housing to regularly review commercial waste debt and to take appropriate recovery action such as recovery of bins and the timely escalation of debt recovery.	Head of Community Services	Mar-17	Apr-17	Follow Up Undertaken - partially implemented	An interim process had been established to manage the customer base, but a formal, long term arrangement for income collection is yet to be established. The interim process consisted of work between the Finance Team and Ubico and resulted in no outstanding debt in relation to its current customers (when reported in December 2016). The process in place is that at the end of the quarter any customer who has not paid for that quarter will have their service suspended.	17-18 q1
Trade Waste Audit 2015-16	A stock management review process should be established to ensure that stock retained by UBICO is maintained at an appropriate level for delivery of the service and to enable procurement activities to be undertaken in a timely manner	Head of Community Services	Mar-17	Apr-17	Follow up Undertaken - implemented	At the October 2016 contract meeting between the Joint Waste Team and Ubico, an action for Ubico to supply stock figures at contract monitoring meetings in future was agreed. This regular monitoring of stock control should inform TBC when bins (relating to domestic and commercial) should be ordered to prevent stocks running out. At the Contract Management Meeting on 2 December 2016, the stock level controls were discussed and spreadsheets of all domestic and commercial stock levels, order times and lead times were made available to verify the management controls now in place	17-18 q1
Trade Waste Audit 2015-16	Data should be collected in respect of the Ubico contractual performance indicators ID4 and ID6 and reported through quarterly performance reports.	Head of Community Services	Mar-17	Apr-17	Follow up Undertaken - implemented	Since June, Ubico have provided the missed bin and performance data at the contract meetings with the Joint Waste Team. This is recorded within in the Partnership Board KPI information.	17-18 q1

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<p>Tree Inspections 2016/17</p>	<p>Unadopted land should be reviewed in respect of council ownership and the continued ongoing maintenance of these areas by the council. The outcomes of this review together with any tree safety management policy updates required concerning the new inspection process should be reported to members</p>	<p>Asset Manager</p>	<p>01/03/2017. Mar-18</p>	<p>Apr-17</p>	<p>Follow Up Undertaken - partially implemented</p>	<p>A Tree Safety Management Policy has been approved following a review of the inspection process. On discussion with the AM it was established that there has been a review of unadopted land in regards to what the council owns although this is an ongoing piece of work. The AM explained that there are areas that are not officially owned by the council but have been assumed and maintained (e.g. areas in Mitton) and there are areas that members may wish to adopt, but this is yet to be taken to and agreed by members. <u>Revised implementation date: March 2018.</u></p>	<p>17-18 q1</p>
<p>Tree Inspections 2016/17</p>	<p>Tree reporting notifications from members of the public and associated actions carried out should be recorded into the PSS Live system.</p>	<p>Asset Manager</p>	<p>01/03/2017. Aug-17</p>	<p>Apr-17</p>	<p>Follow Up Undertaken - partially implemented</p>	<p>A review of the process has been completed and new practices have been outlined in the new TSMP. The AM explained that the intention is that all notifications in regards to trees will be directed to Property Services when logged on the self-serve portal. At this time it will be the responsibility of Property Services to direct the grounds maintenance tree to the site. In doing this, all information reported by the public in regards to tree defects will be recorded into the PSS system. However, the AM explained that in order to facilitate this, the self-serve dashboard needs to be amended to allow for tree reports to come directly to the Council rather than to UBICO. Until this is actioned the recommendation remains partially implemented: <u>revised implementation date: August 2017.</u></p>	<p>17-18 q1</p>

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<p>Tree Inspections 2016/17</p>	<p>Controls need to be put in place to ensure that data on the cloud based PSS Live system is secure and complete. In addition, a data extraction procedure should be established to ensure that access to tree data will be available notwithstanding changes to the service provider.</p>	<p>Asset Manager</p>	<p>01/03/2017. Aug-17</p>	<p>Apr-17</p>	<p>Follow up Undertaken - implemented</p>	<p>The AM confirmed that the information can be downloaded in the form of an excel sheet, and whilst this may not retain all information, it will retain the relevant information; therefore it is agreed that downloads will be completed on a monthly basis during inspection season (October, November, December, January and February). 2 further downloads will be completed during the rest of the year; one at the end of May and one at the end of September. The Property Services Administrator confirmed that the annual download is due to exported 01/06/2017 and therefore it is considered that this recommendation has been implemented.</p>	<p>17-18 q1</p>
<p>Tree Inspections 2016/17</p>	<p>Additional training should be provided to the Inspection Officer and the Grounds Maintenance Manager on the use of the handheld device, particularly in relation to the risk scoring and the inspection module</p>	<p>Asset Manager</p>	<p>01/03/2017. Aug-17</p>	<p>Apr-17</p>	<p>Follow up Undertaken - implemented</p>	<p>Training was completed in November 2017 for 3 members of staff at UBICO.</p>	<p>17-18 q1</p>
<p>Recycling 2016/17</p>	<p>Verification of the MRF invoice should be completed prior to payment of invoice.</p>	<p>Head of Community Services</p>	<p>Apr-17</p>	<p>May-17</p>	<p>Follow up Undertaken - implemented</p>	<p>Verification check in place.</p>	<p>17-18 q1</p>