

Appendix 3 – Follow Up 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
Bulky Waste Audit 2016-17	It is recommended that a Data Retention Policy be developed for the service	Head of Community Services	01/04/2017 May 2018	Sep-17	Follow Up Undertaken - not implemented	The Bulky Waste report presented to Audit Committee in July 2017 notes that the retention policy will be covered within the new General Data Protection Regulations (GDPR) project. Compliance with GDPR needs to be achieved by May 2018. <u>Revised implementation date: May 2018</u>	17-18 q2
Bulky Waste Audit 2016-17	The Customer Records Database should be reviewed in terms of its functionality for delivering the service, including:- Generating a calendar of available time slots and flexibility in the allocating of slots; Ability to develop reports to support Performance Indicators; Opportunity to enter details regarding more irregular collections	Web and Digital Take Up Officer	Apr-17	Sep-17	Follow up Undertaken - implemented	Verbal confirmation was provided from the Web and Digital Take up officer that reports are provided to the bulky waste liaison group on booked and available slots. Demand is determined from this information. Reports supporting PIs could now be provided - currently a request from the service provider has not been received. A new real time collection system is intended to be introduced and will therefore provide information on the current status of the bin collection including on irregular collections.	17-18 q2

Audit	Recommendation Details	Responsible Officer	Expected implementation date for recommendation	Date Audit Followed Up	Current Recommendation Status	Further Audit Comments	Target Follow Up Date
Bulky Waste Audit 2016-17	Terms of reference for using this service should be established and published for the public to view	Head of Community Services	01/04/2017: April 2018	Sep-17	Follow Up Undertaken - not implemented	The Bulky Waste report presented to Audit Committee in July 2017 notes that a waste and recycling policy is currently being drafted and terms and conditions will come from this policy. Approval will need to be obtained and a review from Overview and Scrutiny is planned. Revised implementation date April 2018.	17-18 q2
Bulky Waste Audit 2016-17	The authorised signatory list should be amended to reflect those who have been authorised to supply refunds	Head of Corporate Services	Apr-17	Sep-17	Follow up Undertaken - implemented	A review of the authorised signatory list confirmed that delegated authority has been given to the customer services team leader to authorise bulky waste refunds.	17-18 q2
Bulky Waste Audit 2016-17	A review of the bulky waste service including charges should be conducted to ensure that the delivery of the service is undertaken in a timely cost-effective manner	Head of Community Services	Apr-18	Sep-17	Follow Up Undertaken - partially implemented	Charges have been increased in April 2017 and the intention is for the fees to be reviewed on an annual basis. In respect of the service review, this is to be conducted by the Joint Waste Team and the Head of Community Service confirmed in his Bulky Waste report to Audit Committee in July 2017 that the review is due to be completed by April 2018.	17-18 q2
Community Grants 2016-17	A reconciliation between the financials and the Community Funding Officers monitoring spreadsheet should be completed on a regular basis and documentary evidence recorded of this process	Community Funding Officer	Apr-17	Sep-17	Follow up Undertaken - implemented	On discussion with the Community Funding Officer, it was confirmed that this recommendation has been implemented and monthly reconciliation meetings were held between the CFO and the Trainee Accountant and a monitoring spreadsheet enhanced to include both information from the finance system and the CFO's own workings.	17-18 q2

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HB Audit 2016-17	It is recommended that a review be completed in respect of the procedure with the intention to enhance the process by prioritising specific claims to aid in the progressing of these reviews.	Operations Manager/ Revenues Team Leader	May-17	Sep-17	Follow up Undertaken - implemented	On discussion with the Revenues Team Leader it was confirmed that this recommendation has been implemented. The spreadsheets used to direct the Area Revenues Officer (ARO) to chase outstanding debt is now prioritised to ensure that high value debts are targeted first, and payment arrangements which have now broken down are directed to Bristow and Sutor bailiffs to reduce the workload of the ARO.	17-18 q2
NNDR 2014-15	The Council's discretionary policy should give consideration to the changes introduced by the Localism Act 2011 in which discretionary relief can be given to any ratepayer.	Head of Revenues and Benefits	01/03/2016. Jun-17 Feb-18	Nov 16; Feb 17; Sep 17:	Follow Up Undertaken - not implemented	This recommendation is yet to be completed however discussions are ongoing. It was agreed that this recommendation be deferred for a further 6 months whilst an exercise is completed to identify the financial implications and the feasibility of this discretionary relief. Revised implementation date: February 2018.	17-18 q2
Ubico Client Monitoring 2016-17	As part of the annual review, the Key Performance Indicators within the UBICO contract should be reviewed to ensure they are fit for purpose, robust and that all elements of the service provided by UBICO are monitored where appropriate.	Head of Community Services	01/04/2017; April 2018	Sep-17	Follow Up Undertaken - not implemented	The Head of Community Services has provided a progress report to Audit Committee in September 2017. <u>A revised implementation date for this recommendation has been stated by Head of Community Services as April 2018.</u>	17-18 q2

Audit	Recommendation Details	Responsible Officer	Expected implementation date for recommendation	Date Audit Followed Up	Current Recommendation Status	Further Audit Comments	Target Follow Up Date
Ubico Client Monitoring 2016-17	A KPI should be established to measure non completion of works in relation to the maintenance of Tewkesbury and Bishops Cleeve cemeteries.	Head of Community Services	01/04/2017; April 2018	Sep-17	Follow Up Undertaken - not implemented	The Head of Community Services has provided a progress report to Audit Committee in September 2017. <u>A revised implementation date for this recommendation has been stated by Head of Community Services as April 2018.</u>	17-18 q2
Ubico Client Monitoring 2016-17	Responsibilities across the organisation in respect of the performance and budget monitoring of the contract should be clearly defined in order to ensure that an effective approach is taken and that all elements of the service are adequately monitored.	Head of Community Services	Apr-17	Sep-17	Follow up Undertaken - implemented	The Head of Community Services has provided a progress report to Audit Committee in September 2017 which states that this recommendation has been completed.	17-18 q2
Ubico Client Monitoring 2016-17	Performance monitoring arrangements should be reviewed.	Head of Community Services	01/04/2017; April 2018	Sep-17	Follow Up Undertaken - partially implemented	The Head of Community Services has provided a progress report to Audit Committee in September 2017. <u>A revised implementation date for this recommendation has been stated by Head of Community Services as April 2018.</u>	17-18 q2

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Ubico Client Monitoring 2016-17	The council should establish its requirements for robust stock control procedures with Ubico in order to ensure that adequate stock levels are maintained, new bin orders are made promptly and customers receive an acceptable level of service in respect of bin deliveries.	Head of Community Services	Apr-17	Sep-17	Follow up Undertaken - implemented	The Head of Community Services has provided a progress report to Audit Committee in September 2017 which states that this recommendation has been completed.	17-18 q2
Ubico Client Monitoring 2016-17	In accordance with the terms of the contract, it should be requested that Ubico submit quarterly reconciliation invoices/ credit notes within 14 days of the respective quarter to reflect the actual cost of the services incurred in the preceding quarter.	Head of Community Services	Apr-17	Sep-17	Follow up Undertaken - implemented	The Head of Community Services has provided a progress report to Audit Committee in September 2017 which states that this recommendation has been completed.	17-18 q2
Ubico Client Monitoring 2016-17	A Data Sharing Agreement should be established between Tewkesbury Borough Council and Ubico	Head of Community Services	01/04/2017; May 18	Sep-17	Follow Up Undertaken - not implemented	The Head of Community Services has provided a progress report to Audit Committee in September 2017. This is to be linked with the general data protection regulations review and as a result a <u>revised implementation date for this recommendation is now May 2018.</u>	17-18 q2

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Ubico Client Monitoring 2016-17	The Communications Protocol should be reviewed to ensure consistency with the contract and be amended to refer to Tewkesbury Borough Council.	Head of Community Services	01/04/2017; April 2018	Sep-17	Follow Up Undertaken - not implemented	The Head of Community Services has provided a progress report to Audit Committee in September 2017. <u>A revised implementation date for this recommendation has been stated by Head of Community Services as April 2018.</u>	17-18 q2