

Appendix 2

AUDIT RECOMMENDATIONS FOLLOWED UP IN 2017-18 QUARTER 4

Audit	Recommendation Details	Responsible Officer	Expected implementation date for recommendation	Date Audit Followed Up	Current Recommendation Status	Further Audit Comments	Target Follow Up Date
Business Continuity 2016/17	A review of the service specific BCPs should be undertaken to understand whether the plans provide sufficient information to recover critical functions in a timely manner in the event of a disruption	Head of Corporate Services	Jul-17	Feb-18	Follow up Undertaken - implemented	Through audit corporate improvement planned days assistance was provided to operational managers in the updating of the business continuity plans.	17-18 q4
Business Continuity 2016/17	The Corporate BCP (CBCP) should be reviewed and updated accordingly	Head of Corporate Services	Jul-17 September 18	Feb-18	Follow Up Undertaken - partially implemented	The Head of Corporate Services confirmed that the corporate business continuity plan is now at draft. The plan is to be circulated prior to finalisation. <u>Revised implementation date: September 2018</u>	17-18 q4

Appendix 2

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Business Continuity 2016/17	Testing at TBC's ITDR facility should be completed alongside frontline staff, e.g. a benefit assessor, to ensure that the system is not only live, but operationally functional.	ICT Operations Manager	Sep-17	Feb-18	Follow up Undertaken - implemented	The ICT Operations Manager was able to provide a report demonstrating the completion of disaster recovery testing of TBC IT system including connection of drives and applications including those relating to Revenues and Benefits.	17-18 q4
Complaints 2016/17	To review the handling and data retention practices when dealing with customer complaints	Corporate Services Manager	Sep-17 November 18	Feb-18	Follow Up Undertaken - partially implemented	A review of complaints handling is complete. Retention of complaints information is being looked at as part of GDPR requirements. Complaints are handled through the firmstep software system. The continued use of this system has to be reviewed particularly in relation to data protection prior to the end of the contract in November 2018.	17-18 q4

Appendix 2

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Complaints 2016/17	The data sharing protocol established with the county council in 2014 should be updated to include reference to the JWT and the handling of complaints data.	Head of Community Services	Sep-17 May-18	Mar-18	Follow Up Undertaken - not implemented	On discussion with the Head of Community Services, it was stated that this work has been delayed pending the update of the protocol in line with GDPR. <u>New implementation date agreed: May 2018</u>	17-18 q4
Disabled Facilities Grants 2017/18	That a regular review of unapproved eligible claims is undertaken in order to ensure these are processed promptly to the approved stage. A monthly estimation of paid, approved and eligible grants reviewed against the funding allocation would assist in identifying shortfalls in county allocated funding promptly.	Environmental Health Manager	Oct-17 July 18	Feb-18	Follow Up Undertaken - not implemented	The new EHM explained that he is currently in the process of setting up a service plan in respect of dfgs and will review this recommendation as part of the setting up of this plan. The intention is to have this plan (and recommendation) established by July 2018.	17-18 q4

Appendix 2

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Flood Alleviation 2016/17	Procurement for OHL Group Tewkesbury Flood Management Works corrected.	Environmental Health Manager	Nov-17 May 18	Feb-18	Follow Up Undertaken - not implemented	The Flood Risk Management Engineers confirmed that this recommendation is outstanding. He has now agreed to engage with legal services within the next couple of weeks and the <u>revised</u> implementation date is May 2018	17-18 q4
Flood Alleviation 2016/17	A finalised, signed agreement between TBC and GCC with regards grant payments to undertake flood alleviation schemes needs to be obtained	Environmental Health Manager	Nov-17	Feb-18	Follow up Undertaken - implemented	The Flood Risk Management Engineer (FRME) provided a template agreement. The contents of which have been agreed with the country and this template will now be used in respect of future flood alleviation projects partnered with the county council. The FRME indicated that the county would not enter into retrospective agreements concerning previous flood alleviation schemes.	17-18 q4
FOI Monitoring 2017/18	In relation to the recommendation made in the Information Governance audit 2016/17, handling procedures for FOIs should be further enhanced to include definitions of internal reviews and exemptions	Corporate Services Manager	Dec-17	Feb-18	Follow up Undertaken - implemented	Handling procedural notes have now been formally documented and include reference to both internal reviews and exemptions.	17-18 q4

Appendix 2

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Homeless 2014-15	To demonstrate best value a procurement exercise in relation to storage should be undertaken	Housing Services Manager	Apr-16 Dec-17 Sept-18	Feb-18	Follow Up Undertaken - partially implemented	Procurement support will be provided through audit corporate days allocated in the audit plan 2018/19. <u>Revised implementation date: September 2018.</u>	17-18 q4
ICT Environmental Controls 2016/17	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.	Asset Manager	Mar-17. Dec-17 Aug -18	01/04/2017 Feb-18	Follow Up Undertaken - not implemented	The AM explained that the refurbishment of the building will be completed by end of August and as a result security and data protection issues will need to be considered in respect of the entire building.	17-18 q4

Appendix 2

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ICT Environmental Controls 2016/17	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.	Asset Manager	Dec-16. Dec-17	01/04/2017 Feb-18	Follow up Undertaken - implemented	The Property Services Assistant verbally confirmed that a review of access cards for TBC staff and other building users has been completed.	17-18 q4
Recycling 2016/17	Further consideration should be given to establishing a recycling data protocol between the JWT, UBICO and TBC to identify expected audit and contract performance monitoring exercises and escalation procedures in the possible event of non-payment of recycling credits.	Head of Community Services in collaboration with JWT	Sep-17 Sep-18	Mar-18	Follow Up Undertaken - not implemented	On discussion with the Head of Community Services (HoCS), it was stated that this piece of work has not been completed due to a lack of resources. The HoCS confirmed that there are mechanisms in place for checking recycling data and that a protocol will be developed by the new deadline. <u>New implementation date: September 2018.</u>	17-18 q4

Appendix 2

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Recycling 2016/17	Invoices for the claiming of recycling credits should be raised promptly after receipt of relevant data produced by the recycling providers and verification procedures are in place to ensure that invoices are raised for the correct amount.	Joint Waste Team	Sep-17	Feb-18	Follow up Undertaken - implemented	Since November invoicing processing has improved and this was verified through a review of the recycling credit invoices from the general ledger	17-18 q4
TIC 2016-17	In cases where TBC act as an agent for the sale of event tickets, an appropriate stock check system should be developed and documented to ensure that actual number and values of tickets sold are accurate.	TIC Manager	Aug-17	Feb-18	Follow up Undertaken - implemented	There is now written confirmation of the number of tickets accepted by TIC from the seller and where tickets are in a numbered form a record of the number of tickets sold is maintained.	17-18 q4

Appendix 2

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TIC 2016-17	The agreement between TBC and Winchcombe Town Trust should be located and updated to outline the conditions and rental fee for the lease of the room used for Winchcombe TIC.	TIC Manager and Economic and Community Development Manager	Aug-17 Sep 18	Feb-18	Follow Up Undertaken - partially implemented	The Economic and Community Development Manager verbally confirmed that the agreement with Winchcombe Town Trust has yet to be located. However, meeting arrangements are being made with the Trust in order to discuss updating the conditions and rental charge. <u>A revised implementation date has been agreed as September 2018</u>	17-18 q4
TIC 2016-17	A data retention policy should be developed and excess data removed and destroyed appropriately, in line with the Data Protection Act.	TIC Manager and Economic and Community Development Manager	May-17	Feb-18	Follow up Undertaken - implemented	The Economic and Community Development Manager verbally confirmed the completion of a retention policy and that the destruction of data in accordance with this policy was currently being carried out.	17-18 q4

Appendix 2

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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 & Feb 18	Follow up Undertaken - implemented	The Finance Accountant confirmed that financial data now being receipted was adequate in respect of supporting the setting of the budget and in the assisting the monitoring the budget.	17-18 q4
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 & Feb 18	Follow up Undertaken - implemented	The Joint Waste Team Officer confirmed that stock trigger points have been established and was able to demonstrate through the January 2018 monthly meeting minutes that these are reviewed at each monitoring meeting	17-18 q4

Appendix 2

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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 & Feb 18	Follow up Undertaken - implemented	An invoice review demonstrated the implementation of this recommendation.	17-18 q4