



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	Expected implementation date for recommendation	Date Audit Followed Up	Current Recommendation Status	Further Audit Comments	Target Follow Up Date
Homeless 2014-15	To demonstrate best value a procurement exercise in relation to storage should be undertaken	Apr-16				16-17 q1
Homeless 2014-15	Call off contracts for B&B properties should be established and assurance of the continuing suitability of the accommodation being provided should be obtained	Jun-16				16-17 q1
Benefits Audit 2014-15	The checking of benefit claims should give consideration to the following:- The checks undertaken by the Benefits Team Leader should be dated. The checking regime will be documented Consideration should be given to staff resilience to ensure that checking is undertaken on a consistent basis	Mar-16	Nov-16	Follow up Undertaken - implemented	verbal assurance was provided that the BTL now dates any checks undertaken. It is also acknowledged by the Operational Manager that the checking of benefit claims would continue where the BTL was off on long term absence although currently actual staff resources to undertake this check have not yet been identified.	16-17 q2

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Local Transparency Agenda Follow-Up 2015/16	The following action should be undertaken in order to comply with the publication requirements of the Local Transparency Code 2015. 1. A review of the data published in respect of local authority land should be carried out to ensure the information is clear and compliant to the code	Mar-16				16-17 q2
Local Transparency Agenda Follow-Up 2015/16	Overall responsibility for the council's contract register should be defined.	Mar-16				16-17 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.	Mar-16	Nov-16	Follow Up Undertaken - not implemented	The RBGM explained that discussions were held between himself, Finance and Economic Development to develop this policy on a broader scale, led by the previous Deputy Chief Executive. The RBGM agreed that discussions will continue and has agreed to work with the Grants Working Group to establish a criteria for the policy. <u>Revised implementation date: Jun-17</u>	16-17 q2
Property Audit – TBC building tenant leases 2014-15	The disposal of commercial waste by TBC on behalf of tenants should be incorporated within the lease and the appropriate debt raised against the tenants	Dec-15		Follow Up Undertaken - partially implemented	The AM has established that transfer waste notices need to be in place for both Glos CC and The Police these are to be completed by end December 16. He still needs to identify if the DWP and Glos carers are using the TBC waste services. <u>Revised implementation date:</u>	16-17 q2

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					Jan-17	
Property Audit – TBC building tenant leases 2014-15	Property inspections should be carried out when a lease is initiated and then at least on an annual basis	Mar-16	Nov-16	Follow up Undertaken - implemented	The AM demonstrated through review of manual files that the lease of the depot that an inspection at the end of the lease was performed. In addition, annual inspections have now started and this was shown through manual recorded relating to the two Clevedon properties and all 5 homeless properties.	16-17 q2
Council Tax 2014-15	Inspection process needs to be enhanced to ensure that council tax is raised at the earliest opportunity	Feb-16				16-17 q3
Creditors 2015-16	Undertake a periodic stocktake of cheques	Mar-16				16-17 q3
Creditors 2015-16	Pre-signed cheques should be stored in a strong room or safe with appropriate access controls	Mar-17				16-17 q3
ICT helpdesk 2015-16	Supporting procedures should be documented for the helpdesk.	Aug-16				16-17 q3
ICT helpdesk 2015-16	A periodic check of open tickets should be carried out to ensure they are being closed off promptly.	Aug-16				16-17 q3

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ICT helpdesk 2015-16	Further promotion of the self-service portal should be carried out.	Aug-16				16-17 q3
ICT helpdesk 2015-16	Feedback on the new system should be sought from users.	Aug-16				16-17 q3
PPD 2015-16	The PPD process should be enhanced to ensure that PPD's are updated on a regular basis and that staff involved in the PPD process are appropriately trained.	Sep-15				16-17 q3
Risk Management 2015-16	Refresher training should be provided for staff and members who have an involvement with the risk management framework.	Sep-16				16-17 q3
S106 2014-15	The monitoring process should give consideration to actively identifying completion of properties with the S106 module	Dec-15				16-17 q3
Budgetary Control (15/16)	The budget scheme of delegation should be updated on an annual basis.	Apr-16				16-17 q4
Budgetary Control (15/16)	The council's Financial Procedure Rules should be updated.	Jun-16			New implementation date agreed at May '15 follow-up. Financial procedure rules have been updated but need to be approved by council, this will be done as part of the amendments to the constitution.	16-17 q4
Corporate improvement-fighting fraud checklist for governance 2015-16	Ensure all staff, members and agency workers are aware of the risks of fraud and how it can be reported.	Oct-16				16-17 q4

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Playground Inspections 2016/17	The Playground Inspection Plan (PIP) should be updated to reflect current work practices, such as giving consideration to manufacturer specifications within the inspection regime, training/competency and the use of mobile devices. Further reviews of both the risk assessment and the PIP documents should be undertaken on an annual basis	Dec-16				16-17 q4
Playground Inspections 2016/17	Training is provided to the inspecting officers on the approach to risk scoring of findings this will assist in ensuring a consistent approach to scoring is adopted and eliminate the additional check of the scores by property services.	Nov-16				16-17 q4
Treasury Management 2015-16	Where a need to borrow has been identified. Supporting documentation should be retained for approval purposes that identify the various options considered and support the decision made.	Mar-17				16-17 q4
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.	Dec-16				17-18 q1
Garden Waste 2015-16	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	Dec-16				17-18 q1

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<p>ICT PSN Submission 2016-17</p>	<p>The following policies and procedures should be reviewed and updated:</p> <ol style="list-style-type: none"> 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>Nov-16</p>				<p>17-18 q1</p>
<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>Nov-16</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>Dec-16</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>Oct-16</p>				<p>17-18 q1</p>

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Tell Us Once 2016/17	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.	Jan-17				17-18 q1
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.	Oct-16				17-18 q1
Tell Us Once 2016/17	In order to ensure that the council is protecting any personal information that it recieves and that this is retained appropriately; a review of data management should be carried out to include: <ol style="list-style-type: none"> 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.	Mar-17				17-18 q1

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Tree Inspections 2016/17	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	Mar-17				17-18 q1
Tree Inspections 2016/17	Tree reporting notifications from members of the public and associated actions carried out should be recorded into the PSS Live system.	Mar-17				17-18 q1
Tree Inspections 2016/17	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.	Mar-17				17-18 q1
Tree Inspections 2016/17	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	Mar-17				17-18 q1

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ICT Environmental Controls 2016/17	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.	Jan-17				17-18 q1
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.	Mar-17				17-18 q1
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.	Dec-16				17-18 q1
ICT Environmental Controls 2016/17	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.	Dec-16				17-18 q1
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	Apr-17				17-18 q2

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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	Mar-17			update to be provided to Audit Committee 14/12/16	17-18 q1
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.	Mar-17			update to be provided to Audit Committee 14/12/16	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	Mar-17			update to be provided to Audit Committee 14/12/16	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.	Mar-17			update to be provided to Audit Committee 14/12/16	17-18 q1
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	Apr-18				18-19 q1
Bulky Waste Audit 2016-17	It is recommended that a Data Retention Policy be developed for the service	Apr-17				17-18 q2

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<p>Bulky Waste Audit 2016-17</p>	<p>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</p>	<p>Apr-17</p>				<p>17-18 q2</p>
<p>Bulky Waste Audit 2016-17</p>	<p>Terms of reference for using this service should be established and published for the public to view</p>	<p>Apr-17</p>				<p>17-18 q2</p>
<p>Bulky Waste Audit 2016-17</p>	<p>The authorised signatory list should be amended to reflect those who have been authorised to supply refunds</p>	<p>Apr-17</p>				<p>17-18 q2</p>