

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
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.	Head of Corporate Services	01/10/2016. Sep-17. Mar-18	Dec-17	Follow Up Undertaken - not implemented	Fraud awareness training is part of the Counter Fraud Unit work programme. A member session has taken place. <u>Revised implemented date: March-18</u>	17-18 q3
Creditors 2016-17	A review of the CIS monthly returns processed to date should be carried out in order to ensure that the scheme has been correctly applied. Further guidance should be sought from HMRC where required and the appropriate action taken as a result.	Finance Manager	Jul-17	Dec-17	Follow up Undertaken - implemented	The Finance Manager confirmed that a company 'PSTAX' came in February 2017 and undertook a full review of the CIS processes and confirmed that they were robust. This review involved the checking of the CIS monthly returns.	17-18 q3

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ICT helpdesk 2015-16	Supporting procedures should be documented for the helpdesk.	ICT Operations Manager	01/08/2016. Aug-17 Mar-18	Dec-17	Follow Up Undertaken - partially implemented	Procedures have been flowcharted but need to be supported with service standards that meets the need of users. This needs to be discussed with operational managers.	17-18 q3
ICT helpdesk 2015-16	Feedback on the new system should be sought from users.	ICT Operations Manager	01/08/2016. Aug-17	Dec-17	Follow up Undertaken - implemented	Feedback form is now available on the intranet and has been circulated to members.	17-18 q3
Information Governance 2016/17	Handling procedures for Environmental Information Regulations requests should be established to provide customers with information as to how the council will handle these requests. As the FOI act and the EIRs are so closely aligned, it may be appropriate to maintain a single document for the handling of both requests; should these be produced as separate documents, both pieces of legislation should be made reference to in the corresponding documents.	Corporate Services Manager	Jul-17	Dec-17	Follow up Undertaken - implemented	The Corporate Services Manager demonstrated that draft procedures have been established which incorporates both FOI and EIR. The draft is being worked on by the graphics officer in order to produce a reader friendly version.	17-18 q3

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<p>Information Governance 2016/17</p>	<p>A review of the information published on the council's website should be completed, in regards to the Local Government Transparency Code and the publication scheme (as directed by the FOIA), to ensure that the council is meeting its legislative duties to proactively publish information.</p>	<p>1. Head of Finance and Asset Management 2. HR Manager 3. Head of Corporate Services</p>	<p>1. Sep-17 2. Sep-17 3. Jul-17 Mar-18</p>	<p>Dec-17</p>	<p>Follow Up Undertaken - partially implemented</p>	<p>This recommendation relates to the following transparency details: - 1)Fraud - latest information posted for 2014-15. This needs to be updated to reflect the current delivery of fraud through revenues and benefits services and also the counter fraud hub 2)Trade Union - latest information posted for 2014-15, however, evidence has now been provided that the required information for years 15/16 and 16/17 has been created and is due to be posted on the website shortly 3) local authority land - latest information posted to 2014 4) payment to suppliers over £500 - this information was now found to be current. <u>A revised implemented date of end of June 2018 has been set for outstanding data relating to fraud and land.</u></p>	<p>17-18 q3</p>
<p>Insurances 2016-17</p>	<p>Insurance conditions/endorsements should be disseminated to the appropriate council officers and relevant third parties</p>	<p>1. Insurance Officer 2. Asset Manager</p>	<p>Sep-17</p>	<p>Dec-17</p>	<p>Follow up Undertaken - implemented</p>	<p>A review of the intranet confirmed that insurance policy schedules are available to view.</p>	<p>17-18 q3</p>
<p>Local Transparency Agenda Follow-Up 2015/16</p>	<p>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</p>	<p>Asset Manager</p>	<p>01/03/2016. End Sep-17 Jun-18</p>	<p>Dec-17</p>	<p>Follow Up Undertaken - not implemented</p>	<p>The published data on land areas remains unaltered. Issues with this data includes duplicate entries, incomplete data fields and poor formatting. A review of the internet confirms that land information has not been updated and a <u>revised implementation date of June 18</u></p>	<p>17-18 q3</p>

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	should be carried out to ensure the information is clear and compliant to the code					<u>has been confirmed.</u>	
NNDR3 Audit 2016-17	It is recommended that the process for completing mini reviews be streamlined to enable reviews to be completed promptly.	Head of Revenues and Benefits	May-17	Dec-17	Follow up undertaken - implemented	A new discretionary policy has been established which requires full reviews to be undertaken every 4 years and for mini-reviews to be abolished. This recommendation is therefore considered mitigated through the introduction of the new policy	17-18 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.	Heads of Service/HR Manager	01/09/2015. Sep-17 Mar-18	Dec-17	Follow Up Undertaken - partially implemented	Training is taking place on a regular basis. Management team have implemented a set of management commitments as a result of the outcome of the staff survey. One core commitment is that an annual PPD should take place supported by follow up meetings. Internal audit are currently undertaking a piece of work to give assurance as to the implementation of these commitments. HR are also in the process of implementing a new HR system which will allow PPD completion to be more effectively monitored.	17-18 q3

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Risk Management 2015-16	Refresher training should be provided for staff and members who have an involvement with the risk management framework.	Head of Corporate Services	01/09/2016. Jun-17. Mar-18	Dec-17	Follow Up Undertaken - not implemented	_Quotes currently being obtained and the intention is to deliver to senior management and members by end March 2018.	17-18 q3
Tell Us Once 2016/17	Consideration should be given to Housing Services, the volunteer litter picking scheme administrator and Area Revenues Officer (Sundry Debts) receiving Tell Us Once notifications, provided that it is acceptable to share this information under Data Protection.	Corporate Services Manager	01/01/2017. Jul-17	Dec-17	Follow up Undertaken - implemented	In consultation with DWP, the Corporate Services Manager indicated that under the current tell us once service this can be shared to housing services. However, the tell us once service will not be extended to VLP and Area Revenues Officer (sundry debt) - as a separate set of consent protocols would need to be established and the impact of the services receiving this information would be limited.	17-18 q3
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	Dec-17	Follow up Undertaken - implemented	Verbal update provided by Head of Corporate Services and Corporate Services Manager that PSN accounts have now been obtained.	17-18 q3

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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	Head of Corporate Services	01/03/2017. Jul-17	Dec-17	Follow up Undertaken - implemented	Retention schedule produced. User and service training carried out on 23 October with DWP. A privacy statement added to website - the main DWP privacy statement will be initially used and a laminated copy of this is available on the reception.	17-18 q3
Tewkesbury Leisure Centre 2016-17	Appropriate documentary evidence is retained that demonstrate that PFP's insurance is current, and that the council's insurance conditions are being complied to.	Asset Manager and Contract Monitoring Officer	Aug-17	Dec-17	Follow up Undertaken - implemented	The Asset Manager confirmed that insurance documentation in relation to PFP is being retained. The council's insurance conditions are also being met through contracts that PFP have in place in relation to fire and intruder alarms.	17-18 q3
Tewkesbury Leisure Centre 2016-17	A feedback facility to include the reporting of complaints should be made available at the leisure centre.	Asset Manager and Contract Monitoring Officer	Jul-17	Dec-17	Follow up Undertaken - implemented	A visit to the leisure centre found that a feedback facility has now been implemented.	17-18 q3
Tewkesbury Leisure Centre 2016-17	The formal reporting should demonstrate compliance to contract specification outcomes.	Asset Manager and Contract Monitoring Officer	Aug-17	Dec-17	Follow up Undertaken - implemented	Updated reports in respect of management and maintenance have now been established.	17-18 q3

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Tewkesbury Leisure Centre 2016-17	The feedback in respect of the monthly meetings undertaken by the contract monitoring officer should demonstrate compliance to the contract conditions in respect of the topics discussed.	Asset Manager and Contract Monitoring Officer	01/10/2017 Mar-18	Dec-17	Follow Up Undertaken - partially implemented	Key monitoring conditions are currently being extrapolated from the contract specification and once complete these will be used by the monitoring officer. <u>A revised date for the implementation of this recommendation is March 2018.</u>	17-18 q3
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.	Asset Manager	01/03/2017. Aug-17	Dec-17	Follow up Undertaken - implemented	A review of the process has been completed and new intended practices have been outlined in the new TMSP. The self-service dashboard has now been amended and verbal assurance was provided that tree issues are reported directly to the council.	17-18 q3