

## OUTSTANDING RECOMMENDATIONS REVIEWED

Recommendation Status	Description of Recommendation Status	Priority	Description of Priority
	Recommendation reviewed and found not to be implemented.	H (High)	A fundamental weakness in the system that puts the Authority at risk. This might include non-compliance with legislation or council policy, or may result in major risk of loss or damage to council assets, information or reputation. Requires action as a matter of urgency; ideally to be addressed within a 3-6 month timeframe wherever possible or within an extended time frame as agreed with Internal Audit if the recommendation requires extensive resources or time.
	Recommendation reviewed and found to be partially implemented.	M (Medium)	Observations refer mainly to issues that have an important effect on the system of internal control but do not require immediate action. Legislation or policy are unlikely to be breached as a consequence of these issues, although could cause limited loss of assets, information or adverse publicity or embarrassment. Internal audit suggest improvement to system design to minimise risk and/or improve efficiency of service. To ideally be resolved within a 6-9 month timescale.
	Recommendation reviewed and found to be implemented.	L (Low)	Observations refer to issues that would if corrected, improve internal control in general and ensure good practice, but are not vital to the overall system of internal control. A desirable improvement to the system, to be introduced within a 9-12 month period.

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Cemeteries 2017-18	The burial register should include a signature of the person making the entry.	<b>L</b>	Asset Manager	Jan-18	Mar-18	<b>Follow up Undertaken - implemented</b>	Implemented – signature now in place.	<b>18-19 q1</b>
Cemeteries 2017-18	Terms and conditions of the additional maintenance service should be published on the council's website.	<b>L</b>	Asset Manager	Mar-18.	Mar-18	<b>Follow up Undertaken - implemented</b>	When considered would not be practical as they are different for each client. This year's renewal letters included the individual T&C's for each client, of which there are only three.	<b>18-19 q1</b>
Cemeteries 2017-18	Terms and conditions in respect of refunds should be published on the council's website.	<b>L</b>	Asset Manager	Mar-18.	Mar-18	<b>Follow up Undertaken - implemented</b>	The terms surrounding the granting of refunds, for purchased graves only, have been agreed by the Asset Manager and One Legal. These will now be printed on the Burial Rights Certificate.	<b>18-19 q1</b>

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Cemeteries 2017-18	The ability for payments to be taken by cemeteries staff should be implemented.	L	Asset Manager	Mar 18. July-18	Mar-18	Follow Up Undertaken - partially implemented	New payment platform in place and go live is imminent. <u>New implementation date: July 2018</u>	18-19 q1
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.	M	Head of Corporate Services	Oct-16. Sep-17. Mar-18	Mar-18	Follow Up Undertaken - implemented	Fraud awareness training is part of the Counter Fraud Unit work programme. A member session has taken place. Two staff training sessions have now taken place. A session for Members on cyber security and serious crime fraud will also take place on 2 October 2018.	18-19 q1
FOI Monitoring 2017/18	Consideration should be given to reviewing the functionality of the FOI system.	L	Web Application and Digital Developer in collaboration with the Policy and Communications Manager	<del>Mar-18.</del> Sep-18	Mar-18	Follow Up Undertaken - not implemented	Priority has been given to the garden waste project. The FOI system has been in place for 18 months and is a much improved system. The recommendation is categorised as low in recognition of this – the review is a sense check only. <u>A revised date of September 2018 has been agreed.</u>	18-19 q1

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Housing Benefits-DHP 2017-18	Suspended DHP claims should be investigated prior to year-end in order to ensure all possible payments are included within the DHP return	L	Benefits Team Leader	Mar-18	Apr-18	Follow up Undertaken - implemented	A report of suspended DHP claims was created on 19/03/18 prior to year-end containing 4 claims, 2 of which were suspended.	18-19 q1
ICT helpdesk 2015-16	Supporting procedures should be documented for the helpdesk.	L	ICT Operations Manager	Aug-16. Aug-17. Mar-18	Mar-18	Follow up Undertaken - implemented	Helpdesk response times and priority of jobs are within the helpdesk system parameters.	18-19 q1

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Information Governance 2016/17	Information published on the council's website should be reviewed in line with the Local Government Transparency Code.	M	1. Head of Finance and Asset Management 2. HR Manager 3. Head of Corporate Services	1. Sep-17. 2. Sep-17. 3. Jul-17. <del>Mar-18.</del> August 18.	Dec 17. Mar 18	Follow Up Undertaken - partially implemented	This relates to the following data 1) Fraud- this is still outstanding. 2) Trade Union facility time- this has now been uploaded. 3) Local authority land- this is still outstanding though work has commenced in partnership with Development Services to collate the relevant data. ) Payments to suppliers over £500- this has been completed. <u>A revised implementation date of end of August 2018 has been set for outstanding data relating to fraud and land.</u>	18-19 q1
Licensing Audit 2017-18	A review of street trading processes should be undertaken to give consideration to prime sites	L	Environmental Health Manager	Jan-18	Apr-18	Follow up Undertaken - implemented	Street Traders requiring a license have to submit plans to scale to ensure the proximity to prime sites can be measured.	18-19 q1

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Licensing Audit 2017-18	Data entry within uniform should accurately reflect the licence process, in particular date of receipt, consultees and timing of licences should be recorded correctly.	L	Environmental Health Manager	Jan-18	Apr-18	Follow up Undertaken - implemented	Data entry within Uniform has been updated to reflect the license process- drop down list within the system has been updated and all users have been made aware of the need to input the date of receipt and not the date of entry.	18-19 q1
NNDR 2014-15	The Council's discretionary policy should give consideration to the changes introduced by the Localism Act 2011.	M	Head of Revenues and Benefits	Mar-16. Jun-17. Feb-18. Nov 18	Nov 16; Feb 17; Sep 17: Apr 18;	Follow Up Undertaken - not implemented	This policy will be picked up as part of a wider agenda in relation to economic development. Officers will be looking at this over the summer, led by Deputy Chief Executive. <u>New implementation date: Nov 2018</u>	18-19 q1

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PPD 2015-16	The PPD process should be enhanced to ensure they are updated regularly and staff receive appropriate training.	<b>H</b>	Heads of Service/HR Manager	Sep-15. Sep-17. Mar-18.	Apr-18	<b>Follow up Undertaken - implemented</b>	HR carry out regular PPD training. Reasonable assurance that PPD are being carried out – management have set a September deadline for completion. Note: A review of the PPD process in its entirety to ensure that it remains relevant is include as an action within the Human Resources 2018/19 service plan.	<b>18-19 q1</b>
Risk Management 2014-15	Refresher training should be provided for staff and members who have an involvement with the risk management framework.	<b>L</b>	Head of Corporate Services	Sep-16. Jun-17. Mar-18. Sept 18	Dec-17	<b>Follow Up Undertaken – partially implemented</b>	Risk session for members and senior management took place in June with a further session on risk appetite to take place in September. Management team are currently developing a new corporate risk register.	<b>18-19 q1</b>

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Safeguarding 2016-17	The decision in October 2016 to make safeguarding awareness a requisite to obtaining a taxi licence should be implemented.	H	Senior Licensing officer in conjunction with Environmental Health Manager	Dec-17	Mar-18	<b>Recommendation reviewed and found to be implemented</b>	Safeguarding awareness has been implemented for obtaining a taxi license. It is noted within the application for both new and renewal licences, all taxi licence holders are required to complete training with Gloucestershire County Council and must provide evidence of training within 6 months. The system is set up to generate prompts to licence holders when this 6 month time scale is running out.	<b>18-19 q1</b>
Safeguarding 2016-17	An action plan should be developed to support the implementation of the new Safeguarding Policy within the organisation, and be agreed by the management team	H	Head of Community Services	Mar-18.	Mar-18	<b>Follow up Undertaken - implemented</b>	An action plan is now in place and reported to management team.	<b>18-19 q1</b>



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Tewkesbury Leisure Centre 2016-17	The operating surplus for the leisure centre based on actual income and expenditure should be provided on an annual basis and reported to the Strategic Board.	L	Asset Manager and Contract Monitoring Officer	Dec-17	Mar-18	Follow up Undertaken - implemented	Good assurance was obtained that although the official Operating Surplus is not yet required a quarterly Financial Performance report is issued to keep the board members up to date.	18-19 q1
Tewkesbury Leisure Centre 2016-17	The spreadsheet noting annual reports should be updated to identify the requirements to provide reports on participation, annual services, fire risk assessment, electrical certificates, equipment, licences and legislation and also quality management.	L	Asset Manager and Contract Monitoring Officer	Apr-18	Mar-18	Follow up Undertaken - implemented	Spreadsheet updated to incorporate all identified requirements.	18-19 q1

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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.	M	Asset Manager and Contract Monitoring Officer	Apr-18	Mar-18	<b>Follow up Undertaken - implemented</b>	Discussions are evidenced and demonstrate compliance to the contract conditions.	<b>18-19 q1</b>
Trade Waste Audit 2015-16	Commercial waste debt should be regularly reviewed and appropriate recovery action taken.	H	Head of Community Services	<del>01/03/2017</del> Mar 19	Apr-18	<b>Follow Up Undertaken - not implemented</b>	A system to automate the reminders for non-payments is being explored. The Head of Community Services will identify resource in the team to ensure that those non payers are not delivered a service. This will include a review of existing debt. As at April 2018- total outstanding debt of £18,357.91 requires recovery action (i.e. debt exceeds 90 days old). The majority of customers with debt exceeding a year old and/or with one or more outstanding debts are still receiving	<b>18-19 q1</b>

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							collections despite lack of payment. 34 customers were identified who should potentially have their service suspended until payment is received. <u>New implementation date: March 2019</u>	
Trade Waste Audit 2015-16	Undertake a review of the discretionary trade waste service to ensure it is operating on a viable commercial level.	H	Head of Community Services	01/03/2017 Mar 19	Apr-18	<b>Follow Up Undertaken - not implemented</b>	The Council does not currently deliver a trade recycling service, although this is what the trade are asking for and officers are exploring options for this. Once explored, a report will be brought back to O&S with an action plan detailing a way forward. <u>New implementation date: March 2019</u>	<b>18-19 q1</b>

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Tree Inspections 2016/17	A review of un-adopted land needs to be completed to determine its ownership and ongoing maintenance.	M	Asset Manager	Mar-17. Mar-18. Mar-19.	Mar-18	<b>Follow Up Undertaken - partially implemented</b>	A different route is now being taken for the un-adopted land in the borough. The Land owners are to be identified and asked to register the land and maintain it themselves. One Legal have advised that this process can take up to 8 months for the land to be re-registered and some land owners are yet to be found. <u>New Implementation date: March 2019</u>	<b>18-19 q1</b>