

Appendix 2

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	Priority	Responsible Officer	Expected implementation date for recommendation	Date Audit Followed Up	Current Recommendation Status	Further Audit Comments	Target Follow Up Date
Local Transparency Agenda Follow-Up 2015/16	Data published in respect of local authority land should be reviewed to ensure compliance to the Local Transparency Code 2015.	L	Asset Manager	Mar-16. End-Sep-17. Jun-18 Sept 18	Aug-18		Issues with original data included duplicate entries, incomplete data fields and formatting. The majority of data has now been updated and is live on the website. Only data relating to commercial properties needs to be updated and this will be completed by the end of quarter 2.	18-19 q2
Bulky Waste Audit 2016-17	A review of the bulky waste service, including charges, should be carried out.	M	Head of Community Services	Apr-18 Apr-19	Aug-18		Charges are now reviewed (annually); however the service review is yet to be carried out. This this will be done in conjunction with the Javelin Park project.	18-19 q2
Bulky Waste Audit 2016-17	A Data Retention Policy should be developed for bulky waste.	H	Head of Community Services	Apr-17. May-18 Oct-18	Aug-18		This is due to be reviewed in October 2018 alongside other Environmental Health activities in relation to GDPR requirements.	18-19 q2

Bulky Waste Audit 2016-17	Terms of reference for using this service should be established and published.	L	Head of Community Services	Apr-17. Apr-18. Apr-19	Aug-18		The intention was for the terms of reference for the bulky waste service to be set out in the council's waste & recycling collection policy and procedure (adopted by Executive Committee in November 2017. However, review of the policy found that these terms and conditions are not covered.	18-19 q2
Complaints 2016/17	The council's data sharing protocol with the County Council should be updated to include reference to the JWT and complaints data.	H	Head of Community Services	Sep-17. May-18 Oct-18	Aug-18		An updated Data Sharing Policy is being picked up as part of the broader GDPR work.	18-19 q2
Flood Alleviation 2016/17	A waiver should be obtained in relation to the flood alleviation works carried out by OHL Group.	L	Environmental Health Manager	Nov-17. May-18	Aug-18		A retrospective waiver has now been completed.	18-19 q2
ICT Environmental Controls 2016/17	All physical and environmental information security risks should be recognised within appropriate council policies e.g. - ICT security - building security - non electronic information - equipment storage	H	1. Corporate Services Manager/Head of Corporate Services in conjunction with Business Admin Manager (GPDR)	Jan-17. May-18 Apr -19	Aug-18		This action will be picked up within the work of the new ICT Operations Manager. The information security policy and procedures have been reviewed as part of GDPR. Other related policies to be reviewed.	18-19 q2

ICT PSN Submission 2016-17	Key ICT policies and procedures should be reviewed and where appropriate updated.	L	ICT Operations Manager	Nov-16. May-18. Aug-18 Apr -19	Aug-18		These policies and procedures are yet to be reviewed. Change in IT manager has delayed the implementation of this recommendation.	18-19 q2
Information Governance 2016/17	Data protection procedures should be enhanced to ensure compliance with legislation.	H	Head of Corporate Services	May-18	Aug-18		This recommendation is mitigated by the work plan currently being progressed to ensure GDPR compliance.	18-19 q2
Information Governance 2016/17	A review of the Information Governance Policy should be carried out, appropriately approved and communicated to staff.	H	Head of Corporate Services	May-18	Aug-18		This recommendation is mitigated by the work currently taking place with GDPR and the Information Security Policy and Procedures document.	18-19 q2
Information Governance 2016/17	Documents supporting the Information Governance Policy should be reviewed to ensure they remain up to date.	L	1. ICT Operations Manager 2. Policy and Communications manager	May-18 Aug-17	Aug-18		This recommendation is mitigated by the ICT PSN Submission 2016-17 recommendation, whereby key ICT policies and procedures are due to be reviewed, and where appropriate updated, as reference is made to the same policies within the Information Governance Policy.	18-19 q2

Leisure Centre 16-17	The outcome based scorecard should be completed and reported against	M	Asset Manager	Apr-18 Oct-18	Aug-18		The Leisure centre management team are currently working on and ensuring consistency with PfP national operation. Baseline and first year figures will be available within the revised timescale of October 2018.	18-19 q2
Ubico Client Monitoring 2016-17	A Data Sharing Agreement should be established between Tewkesbury Borough Council and Ubico	H	Head of Community Services	Apr-17. May-18 Oct-18	Aug-18		Work around the data sharing agreement is being undertaken alongside the broader GDPR for Environmental Health.	18-19 q2
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.	H	Head of Community Services	Apr-17. Apr-18. Dec-18	Aug-18		A progress report in relation to this recommendation was taken to Audit Committee in September 2017. Speaking with the Grounds Maintenance Project Officer they are now in the process of drawing up general KPI's for UBICO – measures and targets for the PIs need to set.	18-19 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.	H	Head of Community Services	Apr-17. Apr-18.	Aug-18		New set of PIs have been developed in respect of most services. Additional work required to establish measurements and targets for ground maintenance PIs - this is expected to be completed by end December 2018 (see recommendation above). The trade waste review will incorporate setting of PIs for this service – review date not yet set.	18-19 q2

Ubico Client Monitoring 2016-17	Performance monitoring arrangements should be reviewed.	H	Head of Community Services	Apr-17. Apr-18.	Aug-18		Reviewed and completed.	18-19 q2
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.	L	Head of Community Services	Apr-17. Apr-18.	Aug-18		Reviewed and completed.	18-19 q2
Cemeteries 2017-18	The ability for payments to be taken by cemeteries staff should be implemented.	L	Asset Manager	Mar-18. July-18 Dec-18	Aug-18		Progress was being made towards implementation however supplier withdrew their services completely. Web Application and Digital Developer is looking at creating a bespoke in-house system.	18-19 q2
Cemeteries 2017-18	A checklist for the burial process should be developed and regular spot checks of entries carried out.	L	Asset Manager	Jun-18	Aug-18		Checklist and spot-checks verified.	18-19 q2
Council Tax Write Offs 2017-18	Supporting documentation should be retained for data entered into the quarterly return of council tax and non-domestic rates (QRC) form.	L	Revenues and Benefits Manager	Jun-18	Aug-18		Evidence verified.	18-19 q2

Housing Benefits-DHP 2017-18	In line with the scheduled review of the Council's DHP policy, consideration should be given to the recovery of overpayments, monitoring functions and the establishment of contingency funds.	L	Revenues and Benefits Manager in	Jun-18 Oct-18	Aug-18		Discussions still taking place between Revs & Bens and Finance as to the possibility of a contingency fund. No DHP overpayments have been created since the audit report, but the process of reclaiming overpayments will now be identified and discussions are being had with Northgate.	18-19 q2
Licensing Audit 2017-18	A review should be undertaken in respect of license processes regulated by the Licensing Act 2003.	M	Environmental Health Manager	Apr-18 Apr-19	Aug-18		New implementation date agreed.	18-19 q2
Licensing Audit 2017-18	A regular reconciliation should be carried out between licences and the general ledger to identify non-payments, part payments and any miscoding errors.	L	Environmental Health Manager	Apr-18	Aug-18		Evidence verified.	18-19 q2
Licensing Audit 2017-18	A review of taxi/private hire licences should be undertaken in particular the receipt of LOLER certificates	L	Environmental Health Manager	Apr-18 Apr-19	Aug-18		A review of taxi/private hire licences and LOLER certificates will be looked at in conjunction with the Hackney Carriage and Private Hire Drivers Licensing Policy scheduled for April 19.	18-19 q2

Licensing Audit 2017-18	Service requests such as noise complaints that can be associated with a licenced premises should be dealt with through the licencing module.	L	Environmental Health Manager	Apr-18	Aug-18		It was discussed with Environmental Health Manager and was agreed that all service requests such as noise complaints will continue to be dealt through service requests. All noise complaint visits are reviewed before visit made through the unique property reference number (UPRN) which provides a complete property history showing pervious noise complaints.	18-19 q2
Members' Allowances 2017-18	It is recommended that a verification check be completed by Democratic Services after the Payroll Officer has entered the information into the payroll system.	L	Payroll Officer in consultation with the Democratic Services	May-18	Aug-18		Evidence verified.	18-19 q2
Members' Allowances 2017-18	The provision for Councillor's internet should be reviewed and the Members ICT Policy revised as appropriate.	L	Head of Corporate Services in consultation with the Head of Democratic Services	Aug-17 May-18 May-19	Aug-18		New implementation date agreed.	18-19 q2
Property Leases 2017-18	A risk assessment should be completed for the frequency of property inspections.	L	Asset Manager/ Estates Officer	May-18	Aug-18		Risk matrix completed this displays the frequency on which properties will be inspected	18-19 q2