

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
Homeless 2014-15	To demonstrate best value, a procurement exercise in relation to the storage of personal belongings for homelessness persons should be undertaken	L	Housing Services Manager	Apr-16. Dec-17. Sept-18. March 19.	Nov-18		A service specification and pricing evaluation has been drafted by Internal Audit through corporate improvement days. On discussion with the Housing Manager it was stated that this recommendation is yet to be taken further due to work load and other work pressures. Revised implementation date agreed.	18-19 q3
Risk Management 2014-15	Refresher training should be provided for staff and members who have an involvement with the risk management framework.	L	Head of Corporate Services	Sep-16. Jun-17. Mar-18. May 18. Sept-18	Nov-18		Risk sessions for members and senior management took place in June and September 2018.	18-19 q3

Appendix 2

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. Sep-17. Jun-18. Sept 18.	Nov-18		Data is now published in accordance with the Local Transparency Code.	18-19 q3
Business Continuity 2016/17	The Corporate BCP (CBCP) should be reviewed and updated accordingly.	M	Head of Corporate Services	July-17. Sep-18. Jan-19.	Nov-18		The management cohort within corporate services is now fully resourced to move this forward. The implementation date reflects the date within the Annual Governance Statement. Initial work has commenced on the update of the plan.	18-19 q3

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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.	M	Asset Manager in conjunction with Deputy Chief Executive	Mar-17. Dec-17. Aug-18.	Nov-18		There is 'open access' arrangements in place between public service partners except for access to the police, ICT server room and top floor tenants. Management team at their meeting on 12 November 2018 confirmed they are satisfied with these arrangements as they meet the ethos of partnership working. Awareness to GDPR compliance helps mitigate potential data protection issues.	18-19 q3
Information Governance 2016/17	Information published on the council's website should be reviewed in line with the Local Government Transparency Code.	M	Head of Finance and Asset Management , HR Manager & Head of Corporate Services	1. Sep-17. 2. Sep-17. 3. Jul-17. Mar-18. Jun-18. Aug-18	Nov-18		All relevant data is now published on the council's website.	18-19 q3

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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.	L	Head of Community Services in collaboration with JWT	Sep-17. Sep-18. Apr-19.	Nov-18		A recycling data protocol has been drafted and we are in consultation with the other parties to get this agreed and finalised. New implementation date agreed.	18-19 q3
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.	L	TIC Manager and Economic and Community Development Manager	Aug-17. Sep-18. Feb-19.	Nov-18		The Economic and Community Development Manager has had a discussion with the Winchcombe Trust and has requested a copy of the agreement. Revised implementation date agreed.	18-19 q3

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Council Tax Recovery 2017-18	An order form should be completed for the enforcement agent's contract, including appropriate performance and monitoring measures.	M	Revenues and Benefits Manager in collaboration with One Legal	Sep-18. Dec-18.	Nov-18		Discussion had with The Revenues and Benefits Manager who stated that it had been an over optimistic implementation date. Revised implementation date agreed.	18-19 q3
Council Tax Recovery 2017-18	The council's collection policy should be reviewed to ensure that the policy remains relevant, robust and any changes to legislation have been included.	L	Revenues and Benefits Manager	Sep-18. Dec-18.	Nov-18		Discussion had with The Revenues and Benefits Manager who stated that it had been an over optimistic implementation date. Revised implementation date agreed.	18-19 q3
Council Tax Write Offs 2017-18	The process for raising and authorising write offs should be reviewed to ensure that the Section 151 Officer is receiving accurate values for write off.	M	Revenues and Benefits Manager in consultation with the Revenues Team Leader	Sep-18	Nov-18		A process is now in place whereby the value of write offs are reviewed prior to authorisation by the Section 151 Officer.	18-19 q3

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Disabled Facilities Grants 2017/18	Regular monitoring of DFG claims should be undertaken to ensure they are approved in a timely manner.	L	Environmental Health Manager	Oct-17. July-18. Feb-19.	Nov-18		Once the revised Environmental Health structure is fully resourced, the intention is for a monthly report of unapproved grants to be reviewed and actioned by officers (within their geographical areas). Revised procedures will also be developed to reflect this. Revised implementation date agreed.	18-19 q3

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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
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 Corporate Services Manager	Mar-18. Sep-18	Nov-18		Previously, the council did not have in place a robust system for responding to and monitoring FOI requests. An in-house digital solution was implemented that provides an 'end to end' process including management reporting. The system was implemented two years ago. An early audit confirmed the integrity of the system and recommended it would be prudent to review once fully established. A review has been carried out by corporate services and concludes it is still fit for purpose. An exercise to mitigate the number of FOI received is underway with service areas.	18-19 q3

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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
Licensing Audit 2017-18	A review of the animal boarding application process should be undertaken.	L	Environmental Health Manager	Sep-18. Apr-19.	Nov-18		New legislation came into force in October 2018 and work is currently being carried out to review the application process in light of this. The website has been updated and fees will be reviewed in preparation for 1 April 2019. Revised implementation date agreed.	18-19 q3
Licensing Audit 2017-18	An online facility for the public to report licensable complaints should be provided.	L	Environmental Health Manager	Jun-18. Nov-19.	Nov-18		This will be considered as part of the broader CRM project. An initial report from the consultant is due by the end of the financial year. Revised implementation date agreed.	18-19 q3