

Audit Recommendations - Quarter 4 2019/20 Follow Up

KEY		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.

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
SOCF-Licensing 2019/20	DBS/conviction checks are completed on operators who have no driver licence.	Low	EH Manager/ Senior Licensing Officer	Oct-19.	Feb-20		As of October 2019, all operator licence applications are now DBS checked accordingly. This was verified through a sample check of applications received from October 2019 onwards.	n/a

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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
Garden Waste 2018-19	A regular reconciliation should be carried out between the payments system and the garden waste customer database to identify and investigate any variances.	Medium	Corporate Services Manager	Apr-19. Dec-19.	Feb-20		An annual, year-end reconciliation is currently carried out supported by ad-hoc reconciliations during the year.	n/a
General Data Protection Regulation (privacy notices) 2018/19	<p>All aspects of the council's services should be covered by an appropriate privacy notice:</p> <ul style="list-style-type: none"> - Where gaps have been identified these should be included within an action plan and progress against their completion and/or any issues escalated to the GDPR Information Group. - A review of the council's existing privacy notices should be undertaken to ensure they are inclusive of 'the lawful basis for processing' and list all processing activities and organisations with whom the data is shared. - Consideration must be given to where there is a right to withdraw consent requirement. <p>Moving forward, all privacy notices should be subject to an annual review.</p>	High	Business Admin Manager/ Operational Managers	Dec-19.	Jan-20		As reported to Audit and Governance Committee on 22 January a new action plan for GDPR is being developed. This will inform future audit work moving forward.	n/a

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General Data Protection Regulation (privacy notices) 2018/19	A review of documentation should be undertaken to ensure that where this involves the processing of personal data the relevant privacy information is published.	High	Business Admin Manager/ Operational Managers	Dec-19.	Jan-20		See above.	n/a
HR Leave Review 2018/19 (corporate improvement)	A review of the electronic flexi spreadsheet should be undertaken to ensure that: -Leave can be booked in hours for part-time workers -spreadsheet formulae is correct prior to its annual release on the staff intranet	Medium	HR Manager/ Finance Manager	Dec-19. Mar-21.	Mar-20		The flexi-sheet is currently being reviewed in relation to the inclusion of Annual Leave in hour format. As the flexi-sheet is excel based, the Finance Manager has been tasked with completing this action. In view of other work priorities a fresh implementation date has been agreed as March 2021.	21-22 q1
HR Leave Review 2018/19 (corporate improvement)	Guidelines in respect of the type of courses and levels of expenditure that could be supported through the training policy should be established. In addition, a schedule of costs should be included within the training agreement in order to identify the full cost of the training provision to be approved.	Medium	HR Manager	Sep-19. Mar-21.	Mar-20		The recently appointed HR Manager has included this within the HR service plan for 2020/21. A comprehensive review of training is to be undertaken with the possible introduction of a training strategy and related protocols on access to training, levels of training, acceptable training courses and associated costs will be developed.	21-22 q1

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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
New Income System 2018/19	The Council should comply with the Payment Card Industry Data Security Standards and in this respect should give consideration to:- <ul style="list-style-type: none"> - the transaction process relating to phone payments - payments taken at the reception desk - the physical environment in which card transactions are handled - undertaking a PCI-DSS compliance certification - staff members taking payments when working from home 	Medium	Head of Corporate Services/Head of Finance and Asset Management	Dec-19. Jan-21.	Feb-20		Chip and pin machines have been implemented at both the Tourist Information Centre and at reception. In relation to ensuring phone security, a firewall update took place beginning of February 2020. Further phone security measures such as voice calls over the internet and a mid-call handling solution are due to be implemented during 2020. Certification of PCI-DSS will be applied for once all measures have been implemented.	21-22 q1
Project Management Framework 2018/19	Training on the project management framework, including risk management, should be provided to all officers involved in project delivery. Formal project management training should also be offered where appropriate.	Medium	Corporate Services Manager	Oct-19. Oct-20.	Mar-20		Annual update training on the PMF has been diarised for 27 April. The Head of Corporate Services confirmed that risk management training will be held within the next six months.	20-21 q4
Ubico fleet management 2018/19	The reporting of RIDDOR accidents to TBC should be undertaken within 24 hours of reporting the incident to the HSE.	Medium	Ubico	Jun-19. Dec-19.	n/a		The follow-up of this recommendation has been postponed until Q1 2020/21. This is due to resources within the Community Services team being prioritised to respond to the latest flooding incident within the Borough.	20-21 q1

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Ubico Health & Safety Monitoring 2018/19	An overview of all completed risk assessments and safe systems of work against each operational activity should be requested from Ubico, this should include review dates in order for effective monitoring to take place.	Medium	Joint Waste Team Officer & Grounds Maintenance Project Officer	Oct-19.	n/a		The follow-up of this recommendation has been postponed until Q1 2020/21. This is due to resources within the Community Services team being prioritised to respond to the latest flooding incident within the Borough.	20-21 q1
Ubico Health & Safety Monitoring 2018/19	Evidence of the resolutions to risks identified within the service risk register should be requested and target dates agreed in respect of their completion.	Low	Joint Waste Team Officer & Grounds Maintenance Project Officer	Oct-19.	n/a		The follow-up of this recommendation has been postponed until Q1 2020/21. This is due to resources within the Community Services team being prioritised to respond to the latest flooding incident within the Borough.	20-21 q1
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.	Low	Revenues and Benefits Manager	Jun-18. Oct-18. Apr-19. Dec-19. Apr-20.	Feb-20		A process for the recovery of DHP overpayments has been agreed whereby these will be recovered as a sundry debtor. The recovery of these payments is yet to be actioned.	20-21 q2
Licensing Audit 2017-18	An online facility for the public to report licensable complaints should be provided.	Low	Environmental Health Manager	Jun-18. Nov-19.	Feb-20		Complaints relating to licensing issues can now be reported online through the 'report it' function on the council's website.	n/a

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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.	Low	TIC Manager and Economic and Community Development Manager	Aug-17. Sep-18. Feb-19. Dec-19. Apr-20.	Feb-20		Winchcombe TIC is currently operating from Winchcombe Library. This is on a temporary basis and an appropriate hire agreement is in place. The council are liaising with Winchcombe Town Council (who fund the TIC service) and Winchcombe Town Trust (who own the Town Hall) regarding returning to the Town Hall once the refurbishment is completed. The TIC will not return until a lease has been agreed and signed.	n/a
Commercial Waste Audit 2015-16	Commercial waste debt should be regularly reviewed and appropriate recovery action taken.	High	Head of Community Services	Mar-17. Mar-19. Oct-19	n/a		The follow-up of this recommendation has been postponed until Q1 2020/21. This is due to resources within the Community Services team being prioritised to respond to the latest flooding incident within the Borough.	20-21 q1