

Audit Plan 2015/16

Data Protection 2015/16							
Final report issued October 2015							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
02	The Authority should also consider putting in place an overarching Data Sharing Protocol / Policy, which would provide a framework for the authority, helping them adopt good practices with regard to Data Sharing.	Medium	<p>Head of Democracy and Governance to develop a protocol.</p> <p>Position – November 2015 Not yet due</p> <p>Position – February 2016 Not started due to work commitments.</p> <p>Position – June 2016 Not yet due.</p> <p>Position – September 2016 Still to be developed.</p> <p>Position – November 2016 Draft being looked at.</p> <p>Position – February 2017 Still to be progressed.</p> <p>Position – June 2017 Due to the GDPR to be introduced from May 2018 we will need to review our whole DP processes. A working group is being set up to consider the implications</p> <p>Position – September 2017 Working group established. Data audit being undertaken as part of the service</p>	Head of Democracy and Governance	31 January 2016	*	<p>30 June 2016</p> <p>1 January 2017</p> <p>1 June 2017</p> <p>31 May 2018</p>

WBC Internal Audit Recommendations Follow Up – February 2018

APPENDIX C

Data Protection 2015/16 Final report issued October 2015							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			transformation project. Position – November 2017 Data audits being worked through. Position – February 2018 Contracts with third parties and data sharing agreements are being looked at to ensure GDPR compliance.				

Safeguarding 2015/16 Final report issued November 2015							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	We recommend that the next review be approved by Leadership Team and Members.	Medium	Agreed, will take next review to Leadership Team and Cabinet. Position – February 2016 Leadership Team report re- scheduled for March 2016. Position – June 2016 Due to recent structure changes, a report to CABINET to be moved till the Autumn to allow time to have a review of Safeguarding roles and responsibilities. The current structure remains and CSE has been included in the policy and procedures. Position – September 2016 LT report scheduled for October.	Culture and Play Section Head Head of Environmental Health & Licensing	31 January 2016 (Leadership Team)	*	31 March 2016 31 October 2016 31 July 2017 31 October 2017 31 January 2018 30 June

Safeguarding 2015/16

Final report issued November 2015

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
			<p>Position – November 2016 Due to changes in service provision e.g. recent cessation of direct provision of Play Services, it has been agreed to conduct a full and comprehensive review of safeguarding roles, procedures, policy and resources between April – July 2017. In the interim the Section Head for Culture and Play will provide the lead, conduct a self-assessment and make any relevant recommendations to LT for the review team to consider.</p> <p>Position – February 2017 In progress</p> <p>Position – June 2017 The lead for the review has been allocated to the Head of Environmental Services and Licensing. This allows the Head of Culture and Events to manage the existing day to day matters of safeguarding whilst the review takes place. The Head of Culture and Events has developed a brief for the review which is being developed. The Review is set to be completed in October 2017 with implementation now scheduled for April 2018.</p> <p>Position – September 2017 Review scope being approved ready for implementation. Completion date should be revised as whilst the review will be complete the report to leadership team will require an implementation plan so this will be ready in January to enable implementation by April as previously reported.</p>				2018

Safeguarding 2015/16							
Final report issued November 2015							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
			<p>Position – November 2017 Review in progress, project team agreed, brief agreed and PID being developed for final approval.</p> <p>Position – February 2018 PID approved and procurement completed for external consultant to undertake review. Timescales to allow proper review mean a revised date of June 2018 for report to leadership team that will include action/improvement plan. In addition this will be timed to incorporate any outcomes from the self-assessment and feedback from Herts County Council who are meeting with the Managing Director and Safeguarding Lead in March 2018.</p>				

Freedom of Information 2016/17							
Final report issued August 2016							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
04	We also recommend that the Lead Officer's half year report could be improved by detailing the FOI and EIR request split and including details of reviews / appeals which indicate additional staff time used.	Merits Attention	<p>Once Client Liaison Officers have been trained and are differentiating the requests</p> <p>Position – September 2016 No further update on above as final audit report only issued on 11 August 2016.</p> <p>Position – November 2016 Will be progressed for next half yearly report.</p> <p>Position – February 2017 As November comment. Half yearly report not yet due.</p> <p>Position – June 2017 Due to changes in personnel in Customer Services and issues with the Lagan CRM this has not been progressed</p> <p>Position – September 2017 Will endeavour to introduce for next half yearly report.</p> <p>Position – November 2017 Half yearly report due to be issued at next Audit Committee.</p> <p>Position – February 2018 Completed</p>	Head of Democracy & Governance	30 April 2017	✓	31 October 2017 7 December 2017

Tree Surveying 2016/17

Final report issued April 2017

WBC Internal Audit Recommendations Follow Up – February 2018

APPENDIX C

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	<p>We recommend that during the review process to finalise the Woodland and Tree Strategy, the Council ensures that the strategy addresses the following:</p> <p>a) Measurement of the aims and objectives contained within the strategy;</p> <p>b) Frequency of inspections to be completed, both routine and high risk trees; and Detail of the maintenance programmes to be adopted.</p>	Merits Attention	<p>The strategy is meant to be an overview of trees and woodlands and intended to take a more strategic overview of tree and woodland management in the Borough. However, what this has raised is that the specification in the Parks and Open Spaces contract documentation, detailing what is required of Veolia does not cover enough detail in relation to planned maintenance and there is a clear emphasis on reactive management rather than proactive management. A review of the specification needs to be undertaken and ensure that the Strategy is aligned with this.</p> <p>Position – June 2017 As above.</p> <p>Position – September 2017 As above but delayed due to Cassiobury Park operational issues.</p> <p>Position – November 2017 No update received.</p> <p>Position – February 2018 The overarching Green Spaces Strategy is currently being reviewed as part of the Local Plan 2 work and this has the wider view of Trees and Woodlands. An action plan will be updated within this to ensure trees, woodlands and biodiversity are included and the need to update the Tree and Woodland Strategy. This will eventually be approved by PFH or Cabinet.</p>	Section Head Parks, Open Spaces and Projects	30 September 2017 and to be presented to Strategic Partnership Board.	*	31 December 2017 31 May 2018
02	We recommend that the Council develops a planned approach to tree inspections that is forward looking, proactive and achievable.	Medium	As above, this needs to be re-visited and assessed by the WBC client team as was not in the original specification. A report will be presented to Strategic Partnership Board as this will impact on the current contract and will	Section Head Parks, Open Spaces and Projects	30 September 2017 and to be presented to Strategic Partnership	*	31 December 2017 31 May

WBC Internal Audit Recommendations Follow Up – February 2018

APPENDIX C

	<p>An inspection programme should be developed that allows prioritisation of inspections for high risk trees but also supports the Council in inspecting all trees within a three year rolling period.</p> <p>As tree inspections are contracted to Veolia, the Council may wish to consider requesting reports on the number of trees inspected each month / quarter to verify that the contractor is on target to complete all inspections due.</p>		<p>result in a contract variation.</p> <p>Position – June 2017 As above.</p> <p>Position – September 2017 As above but delayed due to Cassiobury Park operational issues.</p> <p>Position – November 2017 No update received.</p> <p>Position – February 2018 The overarching Green Spaces Strategy is currently being reviewed as part of the Local Plan 2 work and this has the wider view of Trees and Woodlands. An action plan will be updated within this to ensure trees, woodlands and biodiversity are included and the need to update the Tree and Woodland Strategy. This will eventually.</p>		Board.		2018
03	<p>We recommend that risk assessments are completed that assess the impact and likelihood of emerging risks.</p> <p>We recommend that the risk assessments include, but are not limited to:</p> <ul style="list-style-type: none"> a) Tree disease; b) Vandalism; and c) Storm damage. <p>The risks should be considered when developing the inspection programme, recommended at 2 above.</p>	Merits Attention	<p>Whilst individual risks can be quantified regarding condition by the application of a proprietary system such as QTRA (Quantified Tree Risk Assessment), this system would require a surveyor to be trained but can be activated on Ezytreev at no additional cost and could be incorporated into inspections. To quantify the risks in a, b and c are more difficult to assess and we would need more clarity on this.</p> <p>Position – June 2017 No courses available until September / October 2017 but we will register an interest.</p> <p>Position – September 2017 As above but delayed due to Cassiobury Park operational issues.</p>	Arboricultural Officer	30 June 2017	*	<p>30 Sept 2017 and to be presented to Strategic Partnership Board.</p> <p>31 December 2017</p> <p>31 May 2018</p>

WBC Internal Audit Recommendations Follow Up – February 2018

APPENDIX C

			<p>Position – November 2017 No update received.</p> <p>Position – February 2018 The overarching Green Spaces Strategy is currently being reviewed as part of the Local Plan 2 work and this has the wider view of Trees and Woodlands. An action plan will be updated within this to ensure trees, woodlands and biodiversity are included and the need to update the Tree and Woodland Strategy. This will eventually.</p>				
04	<p>We recommend that a maintenance programme is developed and implemented.</p> <p>The maintenance programme should consider the works that have been identified from inspections completed, the priority level given and the risk indicator of the tree.</p> <p>The maintenance programme should be fully costed to provide the Council with a tool for setting the budget for tree related works.</p>	Medium	<p>A proactive maintenance programme does need to be developed and costed – additional funding may be required to carry out an updated survey.</p> <p>The figure of 5,150 trees requiring work includes all work both safety and what could be described as desirable and not essential therefore gives a higher weighted figure.</p> <p>Position – June 2017 As above.</p> <p>Position – September 2017 As above but delayed due to Cassiobury Park operational issues.</p> <p>Position – November 2017 No update received.</p> <p>Position – February 2018 The overarching Green Spaces Strategy is currently being reviewed as part of the Local Plan 2 work and this has the wider view of Trees and Woodlands. An action plan will be updated within this to ensure trees, woodlands and biodiversity are included and the need to update the Tree and Woodland Strategy. This will</p>	Section Head Parks, Open Spaces and Projects	30 September 2017 and to be presented to Strategic Partnership Board.	*	<p>31 December 2017</p> <p>31 May 2018</p>

WBC Internal Audit Recommendations Follow Up – February 2018

APPENDIX C

			eventually.				
05	We recommend that, in order to ensure continuity of service, that policies and procedures relating to tree inspections, maintenance and works are developed.	Medium	<p>As above, this needs to be re-visited and assessed by the WBC client team as was not in the original specification. A report will be presented to Strategic Partnership Board as this will impact on the current contract and will result in a contract variation.</p> <p>Position – June 2017 As above.</p> <p>Position – September 2017 As above but delayed due to Cassiobury Park operational issues.</p> <p>Position – November 2017 No update received.</p> <p>Position – February 2018 The overarching Green Spaces Strategy is currently being reviewed as part of the Local Plan 2 work and this has the wider view of Trees and Woodlands. An action plan will be updated within this to ensure trees, woodlands and biodiversity are included and the need to update the Tree and Woodland Strategy. This will eventually.</p>	Section Head Parks, Open Spaces and Projects	30 September 2017 and to be presented to Strategic Partnership Board.	*	31 December 2017 31 May 2018

Starters & Leavers 2016/17

Final report issued May 2017

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
03	We recommend that the Organisational Development team should ensure that starters complete	Medium	Agreed Position – June 2017	HR Managers (job share post)	31 July 2017	*	31 December 2017

Starters & Leavers 2016/17							
Final report issued May 2017							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
	all mandatory courses and reminders are sent to line managers where necessary.		<p>In progress.</p> <p>Position – September 2017 At present, the OD team receive an automated email via RL alerting them of new starters. A welcome email is sent, including log in details for the elearning they need to undertake. At present we are relying on the member of staff/manager to complete these as due to technical issues with Vine (the software provider for the elearning), we are currently unable to run a reliable report on who has/has not completed the elearning so it would not be possible for us to chase them. The Council's e-learning platform is being upgraded from October 2017, this will include updating our modules, improved user friendliness and access to reporting tools, so that HR and managers can review staff completion levels. Once these technical issues have been ironed out, we will be able to run a report of all new starters per quarter and confirm they completed their e-learning modules.</p> <p>A timeline is being reviewed with the supplier for our upgrade but will be in place by end December 2017 at the latest.</p> <p>Position – November 2017 Plans are still moving ahead for a new e-learning platform and reporting tools in December. The provider will be coming in to carry out a demonstration shortly.</p> <p>In the meantime, the e-learning compliance is:</p> <ul style="list-style-type: none"> - Review new starter spreadsheet for 				30 April 2018

Starters & Leavers 2016/17 Final report issued May 2017							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			starters - Check e-learning compliance (3-months from start date) (This will tie in with the 3-month probation period when all e-learning should be completed and managers do have this on their induction checklist) - Send reminder to Staff / Manager to complete e-learning - Follow up with staff monthly. Position – February 2018 The contract with our existing provider is being reviewed; our existing contract expires 30 April 2018, rather than rely on a ‘quick report fix’ and in-line with the digital transformation and improving administrative efficiency, a recommendation is being proposed to the Council’s leadership team to upgrade our e-learning offer to an automated LMS, either through our current provider (Creative Learning Solutions) or Hertfordshire County Council. It has been recognised that our e-learning platform requires modernisation. The upgrade will include: - A managed service with improved reporting to monitor e-learning compliance. This will include quarterly reports for HR and Subject Matter Experts to pro-actively review compliance (this will remove the				

Starters & Leavers 2016/17							
Final report issued May 2017							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
			<p>technical errors the Council has been facing regarding reporting)</p> <ul style="list-style-type: none"> - Increased access to content: a suite of over 50 mandatory, personal & professional modules - Modernise how staff access e-learning and learning opportunities - Updating our existing Moodle themes (modernise the image / look of the platform) - Use of Plugins to enable videos and webinars (phase 2) - Track and Update one system with staff training records (phase 2) <p>The project is going to our IT Steering Group on 27th Feb for approval so firm dates for implementation will be developed following this.</p>				
05	We recommend that IT in conjunction with HR agree and implement a robust process for granting / deleting IT systems access for starters and leavers, including where possible the use of e-forms via the Intranet. This should cover roles and responsibilities and the retention of supporting evidence for actions taken. Details of starters and leavers could be circulated on a regular basis (say monthly) to Heads of Service and Leadership Team / Management Board in order to raise visibility across services.	Medium	<p>Agreed.</p> <p>Position – June 2017 In progress.</p> <p>Position – September 2017 Starter/Leaver information is given to IT via the starter/leaver form. We have not yet been able to create an embedded form (due to technical issues) but we are working on a resolution for this. A monthly list of starters/leavers is provided for LT/MB.</p> <p>Position – November 2017 We are no closer to the creation of an embedded form. However, this is in no way affecting the process success. We will</p>	HR Managers (job share post)	31 July 2017	✓	31 March 2018

Starters & Leavers 2016/17

Final report issued May 2017

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
			<p>continue to work towards a solution to the embedded forms.</p> <p>Position – February 2018 The creation of an embedded form has not yet been possible but this is in no way detracting from our ability to carry out an effective starters/leavers process, which is now working successfully. We continue to provide starters/leavers reports to LT/MB. There is a wider project planned (starting imminently) on modernising the whole of the recruitment process and as the starters/leavers is a small part of this, the focus is now on making some bigger and more positive changes to the way we recruit. It is planned that the starters/leavers embedded form will form a part of this project but I would consider this objective to be completed as the embedded form is not necessary for the success of the process.</p>				

Audit Plan 2017/18

Follow Up of IT Audit Recommendations and Extended DR Scope 2017/18							
Final report issued August 2017							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	In partnership with the Councils' continuity teams, the business continuity plans and IT disaster recovery plans should be reviewed and, where necessary, updated so that expectations of all stakeholders are met.	Medium	<p>Agreed - This will be raised with the continuity teams within both Councils.</p> <p>Position - September 2017 As above – final report only issued recently.</p> <p>Position – November 2017 In progress. Revision of recovery time objectives for systems to be issued to all service heads.</p> <p>Position – February 2018 Completed. All services confirmed recovery time expectations. ICT BC plan confirmed for review on 20 March 2018.</p>	ICT Section Head	31 December 2017	✓	
02	<p>Management should arrange for a full test of its IT disaster recovery plan to be carried out.</p> <p>In the interim period, Management should arrange for a table-top</p>	Medium	<p>Agreed - A test will be arranged and elements of the Plan will be tested when the opportunity arises.</p> <p>Position - September 2017 As above – final report only issued recently.</p>	ICT Section Head	31 December 2017	✓	

Follow Up of IT Audit Recommendations and Extended DR Scope 2017/18							
Final report issued August 2017							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
	exercise to be performed and for elements of the IT disaster recovery plan to be tested.		<p>Position – November 2017 This is currently being scheduled. Likely to be January as the IT service resources pre Xmas are focused on: Network upgrade, migration of data to the new Storage solution, implementation of the new backup solution. IT service agreed that it makes sense to DR with the new backup solution in place.</p> <p>Position – February 2018 Completed. DR test held for some key systems from 23rd January to 26 January 2018. ICT was able to test recovery from backup tapes and test recovery of both physical and virtual servers. Wider estate test to be completed post core infrastructure completion – Q4 18/19.</p>				
04	<p>The status of the rollout of the MDM solution to mobile devices should be reported on to senior management.</p> <p>Issues encountered should be assessed and appropriate action taken to prevent the rollout from being delayed.</p>	Medium	<p>Agreed - The MDM roll out will be monitored.</p> <p>Position - September 2017 As above – final report only issued recently.</p> <p>Position – November 2017 On track. Testing for MDM solution (Mobile Iron), procured earlier this year. This will be deployed as part of the Active Directory migration project and installed on all corporate mobile devices e.g. corporate mobile phones and surface pro devices. Laptops will be encrypted as part of the same process. Testing is already underway.</p> <p>Position – February 2018 On track. Installation and configuration complete. Pilot user rollout for testing to</p>	ICT Section Head	30 June 2018	*	

WBC Internal Audit Recommendations Follow Up – February 2018

APPENDIX C

Follow Up of IT Audit Recommendations and Extended DR Scope 2017/18

Final report issued August 2017

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			commenced Feb 2018.				

Cyber Security 2017/18

Final report issued September 2017

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	<p>Management should review and revoke elevated access rights from user accounts where they are found to be inappropriate or no longer required.</p> <p>Elevated permission should not be granted to a user's standard network account and should only be accessed where there is a demonstrable reason.</p> <p>There should be a record of the accounts that have been granted elevated permissions, which is reviewed for adequacy on a routine basis.</p>	High	<p>Agreed – The Service is in the process of reviewing these accounts and, where possible reviewing this access</p> <p>Position - September 2017 As above – final report only recently issued.</p> <p>Position – November 2017 Accounts with elevated access rights have been reviewed: WBC 72 from the original 223 TRDC 68 from the original 204</p> <p>Next phase is to work with suppliers to provide delegated rights.</p> <p>Policy in place to ensure that any domain administrator accounts are only created once they have been approved at Change Board (held weekly).</p> <p>Position – February 2018 Process in place now to create a log of any</p>	ICT Section Head	31 December 2017	✓	

Cyber Security 2017/18							
Final report issued September 2017							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			user granted elevated permissions of any kind e.g. Read only access to a server.				
02	<p>All devices that are running unsupported operating systems should be upgraded to run operating systems that are supported by the developer.</p> <p>Where it is not possible to upgrade the operating system of a device, it must be isolated from the Councils' IT network and appropriate security controls implemented.</p>	High	<p>Agreed – This will be discussed with the relevant IT system owners in order to agree the best way forward to migrate off of legacy operating systems.</p> <p>TRDC XP machines – down to: 2</p> <p>WBC XP machines – down to: 0</p> <p>Decommissioning is part of the core infrastructure programme. Since Jan 2017 67 servers have been decommissioned.</p> <p>Position - September 2017 As above – final report only recently issued.</p> <p>Position – November 2017 Significant progress. 96 servers have now been decommissioned. There are 45 remaining with an unsupported operating system installed. All servers have been reviewed and there is an associated plan in place to upgrade and/or decommission. The majority of these services have associated services or impact line of business applications, and need to be upgraded in line with services.</p> <p>TRDC XP machine: 1. This is a system that provides telephone reports. The hardware and OS has been further secured, reducing the risk, by removing all Internet and Email access.</p>	ICT Section Head	30 June 2018	*	

WBC Internal Audit Recommendations Follow Up – February 2018

APPENDIX C

Cyber Security 2017/18 Final report issued September 2017							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
			Position – February 2018 On track. Further decommissioning / upgrades of servers completed.				
06	There should be a record of the configuration of the Councils' firewalls, which includes but is not limited to: <ul style="list-style-type: none"> • The purpose of all of the rules and the associated services • The expected configuration and activity for each rule • The member of staff that requested the rule • The member of staff that approved the rule. Firewall rules should be reviewed on a routine basis. The IT network diagram should be updated so that it accurately reflects the design of the IT network.	Medium	Agreed – The IT network diagram has now been updated and the review of the firewall rules is ongoing. Position - September 2017 As above – final report only recently issued. Position – November 2017 This is underway. All firewall changes already go through a change process and there is now a policy and associated procedure in place in order to inform a central infrastructure document where all firewall rules are recorded. The retrospective piece is underway, however this is a time-consuming piece of work. Position – February 2018 On track.	ICT Section Head	30 June 2018	*	

Procurement Process – Contract Signing 2017/18 Final report issued September 2017							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	We recommend that:	Medium	Agreed	Procurement Manager	31 March 2018	*	30 April 2018

WBC Internal Audit Recommendations Follow Up – February 2018

APPENDIX C

Procurement Process – Contract Signing 2017/18 Final report issued September 2017							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
	a) Contract Managers are given sufficient training to understand what a Letter of Intent is and when it is required.		Position - November 2017 In progress. Position – February 2018 Letter of Intent Lunch & Learn session arranged with HR for Wednesday 25th April 2018.				
02	We recommend that: a) Legal Services should put a checklist in place for setting up of contracts, which could include steps that need to be followed to set up a contract along with timescales as a guide for contract managers.	Medium	Agreed Position - November 2017 In progress. This has been drafted and circulated for comment, I need to assimilate that feedback and complete the checklist. Position – February 2018 Checklist completed and issued 19 December 2017.	Senior Solicitor	1 November 2017	✓	31 December 2017

Council Tax 2017/18 Final report issued November 2017							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	Revenues Officers should be reminded to enter provisional end dates for Student Exemptions.	Medium	Billing Team Leader to review on a quarterly basis. Position – February 2018	Billing Team Leader	31 December 2017	✓	

WBC Internal Audit Recommendations Follow Up – February 2018

APPENDIX C

Council Tax 2017/18							
Final report issued November 2017							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
	An exercise should be performed to check existing Student Exemptions cases to ensure that dates are in place. This review should be undertaken annually in future.		Exercise completed and will be targeted quarterly by Billing Team Leader .				
02	Revenues Officers should be reminded to enter review dates for Disabled Discounts. An exercise should be performed to check existing Disabled Discount cases to ensure that review dates are in place. This review should be undertaken annually in future.	Medium	Billing Team Leader to review with the assistance of our Inspectors annually. Position – February 2018 Accounts targeted and reviewed template prior to issuing annual review .	Billing Team Leader	31 December 2017	*	31 March 2018
03	Revenues, Customer Services and Enforcement Agents entering hold codes on Council Tax accounts, should be reminded of the requirement to monitor and remove hold codes and 'RECOVERY STOPPED' alerts following the end of the period of recovery suppression.	Merits Attention	Recovery Team Leader to review monthly as and when recovery notices are issued, i.e. review reports for Officer's expired diary dates. Position – February 2018 Recovery Team Leader review recovery reports for potential recovery HOLDS.	Recovery Team Leader	31 December 2017	✓	

NDR 2017/18							
Final report issued November 2017							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved * or ✓	Revised Deadline
01	We recommend that:	Medium	Agreed.	Revenues Manager	Immediate	✓	

NDR 2017/18 Final report issued November 2017							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved x or ✓	Revised Deadline
	<ul style="list-style-type: none"> A review is undertaken of Business Rates Write-Off Procedure and that the final version is approved in accordance with the respective Constitutions of TRDC and WBC, as appropriate, The Write-Off Procedure is harmonised with the Write-Off Form and details of exceptions are included where amounts to be written off above £3,000 that do not need to be prepared for Committee approval, <p>Write-offs should be approved in accordance with the current delegations. Consideration should also be given to whether it is appropriate to exclude write-offs of amounts over £3,000 where the claimant has died from Committee approval and incorporation on the list of exceptions within the Write-Off Procedure, as appropriate.</p>		<p>Position – February 2018 Completed.</p>				