

Appendix 2 EFDC High Priority and Overdue Recommendations Tracker – November 2021

Audit Year (Date Report Issued)	Rec Ref	Original Recommendation	Priority	Managers Original Response	Responsible Officer / Service Director	Original Imp date	Revised Imp Date	Status Update from Management	Status
Harlow Gilston Garden Town 2019/20 Issued July 2020	1	To clarify the accountability and extent of any liability of each partner in the HGGT a signed overarching agreement between the councils should be prepared. This includes a data sharing agreement. Arrangements regarding the recovery of costs incurred by the councils should be agreed by all parties and included in the agreement.	Med	Work is now well underway on the next steps to establish Combined Delivery Service following Board decision on 10 Feb 2020. Legal work is underway to clarify arrangements and delegations for the CDS Link to HIG delivery and governance	HGGT Director  HGGT Project Manager  HGGT Programme Manager	31/03/2021  Political and corporate agreement to proposals – Shadow structures then up and running  Formal decision making will need to follow the local election period – 30/09/21	31/03/2022	<b>May 21:</b> HGGT Solicitors, Weightmans, are developing a partnership agreement between all the HGGT partners. Jul 21: A meeting is taking place on 13 July at Lead Member and Lead Officer level of all five Partner authorities to progress this, with the intention that a new formalised governance model will be agreed in September 2021 and implemented before March 2022. <b>Sep/Oct 21:</b> An HGGT Governance Review Task and Finish Group has been established. A series of meetings with HGGT Partner Leaders and Chief Executives, and the Task & Finish Group have been set up to take forward the formalisation of governance arrangements for HGGT. The Task and Finish Group agreed for further work to be undertaken towards the establishment of a Joint Committee. The Leaders of the HGGT Partner Councils are keen for this work to take place at pace and are seeking to have formalised arrangements in place by March 2022.	Overdue

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Key Financial Controls – Fixed Assets 2019/20 Issued November 2020	3	Detailed Fixed Asset financial procedures be drafted, and to include a section on year-end processes.	Med	Detailed financial procedures will be developed and documented alongside updated Financial Regulations.	Chief Financial Officer	30/09/2021	31/08/2022	<p>A Senior Finance Business Partner has been appointed to cover HRA, Capital and Projects. The Capital role includes responsibility for the Fixed Asset Register (FAR). Processes are being reviewed as well as understanding how the CIPFA asset system works and how it feeds into the year-end processes.</p> <p>Process notes will be compiled (including the roll forward of the FAR through to closedown). It will take time to do this and is dependent on how well the closedown goes.</p>	Overdue

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Active Directory Management 2020/21 Issued December 2020	9	All unsupported Windows Server 2008 servers should be promptly replaced or decommissioned with a target set to achieve this.	Med	Accepted. An external Project Manager will be appointed to manage the identification and replacement of all unsupported Windows servers.	Interim IT Service Manager	30/04/2021	<del>31/07/2021</del> <del>31/12/2021</del> 31/01/2022	<p><b>Jun 21:</b> A project to assess the 2008 servers and produce a technical plan for migrating or rebuilding has been started.</p> <p><b>Sep 21:</b> A project is in flight with the IT company EACS. An initial review has been completed and currently agreeing statement of work.</p> <p><b>Nov 21:</b> Project agreed with supplier and ready to instigate. Still awaiting kick off date for work.</p>	Overdue
Accounts Payable 2020/21 Issued May 2021	3	A 'set' of monthly management reports should be formulated for review, for example: • The Aged Creditors listing; • Disputed invoices; • Suspected duplicate payments; • Invoices with no Purchase Orders; and • Changes to Supplier Master file	Low	Agreed	Service Manager – Business Support Services	30/09/2021	31/12/2021	<p><b>Nov 21:</b> Aged creditors, disputed invoices and changes to supplier master file reports are already built into eFinancials so these will be implemented once the new Senior Business Support officer has had training on running the reports this week. HOTH calls will be raised to investigate the possibility of running other reports in eFinancials.</p>	Overdue

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Accounts Payable 2020/21 Issued May 2021	5	The monthly reporting recommended at recommendation 3 above includes reports on trading as and factoring payees that are not the supplier.	Low	Agreed	Service Manager – Business Support Services	30/09/2021	31/03/2022	<b>Nov 21:</b> The possibility of producing reports on 'trading as' payees will be investigated as part of the Efinancials upgrade which is currently in progress.	Overdue
Storage Area Network 2020/21 Issued May 2021	2	All firewall administrators are assigned individual and uniquely identifiable user accounts. Robust password policies should be implemented on the WatchGuard firewall appliance to prevent unauthorised access.	High	Individual user accounts will be assigned to all firewall administrators. Firewall appliance password policies will be enabled to prevent unauthorised access.	ICT Infrastructure & Compliance Manager	30/06/2021	<del>31/08/2021</del> <del>30/09/2021</del> 30/11/2021	<b>Jun 21:</b> New policies and accounts will be implemented on the new firewall. However, this is not too much of an issue as there is no direct connectivity to Council data through the firewall; it only allows access to the management console. It is appreciated that logging of individual user connectivity should be provided.  <b>Sep 21:</b> This will be done as part of SAN firewall in recommendation 1 above.  <b>Nov 21:</b> New firewall has been put in place and individual accounts will be set up shortly.	Overdue

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IT Disaster Recovery 2020/21 Issued July 2021	1	A documented IT Disaster Recovery Plan should be produced outlining all key stages to recover the Council's IT infrastructure.	High	A documented and approved IT DR plan will be produced.	ICT Infrastructure & Compliance Manager	31/12/2021		<p><b>Sep 21:</b> ICT Manager has received an ITDR plan template from the auditor and is being progressed.</p> <p><b>Nov 21:</b> The ITDR Plan is in progress. Advice and guidance have been received from the auditor regarding the structure and elements to include in the plan.</p>	In progress
Health & Safety – Council buildings and depots compliance 2020/21 Issued July 2021	1	A policy and supporting procedure should be developed to clearly define the Health and Safety framework and allocation of responsibilities across the Council's Offices and Depots.	Med	Accepted	Head of Assets and Property Operations	31/10/2021	30/11/2021	<p><b>Nov 21:</b> The document has been drafted and is now awaiting additional detail in order to complete the document. This has been requested as a matter of urgency.</p>	Overdue

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Health & Safety – Council buildings and depots compliance 2020/21 Issued July 2021	2	A single master record of all compliance testing, checking servicing and risk assessments is required to cover all Council sites. It may be appropriate to further develop the spreadsheet maintained by the Operational Assets and Compliance (OA&C) Team.	Med	Accepted. The Safety Officer will undertake a gap analysis of Risk Assessments. OA&C to share compliance records. Service and Team Managers will be responsible for providing the relevant information. Strategic Director to email Service Managers informing them of the importance of the Risk Assessment requirements. Health and Safety Officer & Emergency Planning Officer to set up spreadsheet in Teams.	Service Director- Corporate Services  Head of Assets and Property Operations  Health and Safety Officer & Emergency Planning Officer	31/10/2021	28/02/2022	<b>Nov 21:</b> This was started in September following the Strategic Safety Group but requires further engagement with managers to complete it. Managers are now undertaking mandatory risk assessment training which is assisting with the identification of risk assessment gaps. This is due to be completed by Feb 2022.	Overdue
Qualis Group Governance 2020/21 Issued July 2021	1	The scheme of delegation should be expanded to distinguish between • Reserved matters – requiring Shareholder approval • Board matters – requiring Board approval Managing Director and	Med	A list of decisions and delegated decision-making responsibilities will be set out and agreed with Qualis.	Strategic Director and S151 Officer working in conjunction with Qualis	30/09/2021	31/12/2021	<b>Nov 21:</b> Work on this is in progress.	Overdue

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		other director matters – may be dealt with outside of the Board (individually or via committees).							
Qualis Group Governance 2020/21 Issued July 2021	5	As good practice a Qualis directors Register of Interests should be maintained.	Low	Set up of a conflicts register is already on the Company Secretary's work plan and will be in place utilising a module contained within the new corporate database.	Qualis Group Managing Director	31/07/2021	30/11/2021	<p><b>Sep 21:</b> Due to the Company Secretary's absence from July to September this has not been progressed but now they have returned it is expected to be in place by end October 2021. Conflicts have previously been disclosed and any updates are invited at each Board meeting but a formal register is to be set up.</p> <p><b>Oct 21:</b> Training has now been received on the corporate database which will house the conflicts of interest register and this will be set up and in place by the end of November 2021.</p>	Overdue

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Qualis Group Governance 2020/21 Issued July 2021	6	The Shareholder Agreement should be amended to reflect that a four-year rather than six-year business plan will be prepared and include the revised reporting requirements once agreed.	Low	The shareholder agreement will be reviewed in September 2021 and the issues raised will be dealt with in the update.	Qualis Group Managing Director	31/10/2021	31/03/2022	<b>Oct 21:</b> The review has been put on hold due to competing priorities.	Overdue
Gas Safety 2020/21 Issued August 2021	1	<p>1. Update and finalise the Gas Safety Policy, ensuring the policy is reviewed and updated on a regular (annual) basis in line with current Gas Safety legislation.</p> <p>2. Review other council's Gas Safety Policy's and adopt best practice, e.g. including details on governance and assurance (i.e. monitoring of gas safety compliance, roles and responsibilities and key performance indicators) and equality and diversity considerations</p>	Med	Agreed	Team Manager – Mechanical and Electrical Services	30/09/2021	31/12/2021	<b>Oct 21:</b> Revision of the policy has not yet been completed due to competing priorities. The existing policy is in line with Gas Safety legislation and is being updated to reflect current council procedures and best practice. Once finalised and approved it will be communicated to relevant staff and published on the Council's website.	Overdue

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		<p>3. Publish the Gas Safety Policy on the Council's website</p> <p>4. Notify key officers of the update Gas Safety Policy ensuring they are kept informed of changes in the policy and gas safety legislation and save the policy on the Council's network that is accessible to key officers.</p>							
Gas Safety 2020/21 Issued August 2021	2	<p>1. Update the no access procedure and review it on a regular (annual) periodic basis. Share the updated no access procedure with the contractor.</p> <p>2. The process of KPI collation, calculation, and reporting should be formally documented.</p>	Med	Agreed	Team Manager – Mechanical and Electrical Services	30/09/2021	31/12/2021	<b>Oct 21:</b> Update of the no access procedure and documentation of the KPI process have not yet been completed due to competing priorities. The contractor is aware of the current (2019/20) no access procedure which requires updating with some contact details.	Overdue

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Gas Safety 2020/21 Issued August 2021	3	Full reconciliations between the Gracelands gas safety database (Job Logic) and OHMS/CIVICA (Housing system) to completed at least annually to ensure that information held on the gas safety database is accurate (particularly focusing on sold, new and brought back properties).	Med	Agreed	Team Manager – Mechanical and Electrical Services	30/09/2021	31/03/2022	<b>Oct 21:</b> A full reconciliation between Job Logic and OHMS was performed as part of the audit (August 2021), at which time differences due to sold properties were identified. Processes were improved during the audit to ensure the database is updated promptly with sold properties. A reconciliation will be completed at the year end and then at least annually.	Overdue
Gas Safety 2020/21 Issued August 2021	4	As part of best practice in sharing gas safety information to tenants the following should be considered:  <ul style="list-style-type: none"> <li>• Regular periodic gas safety awareness updates in Council customer communications e.g. Housing News</li> <li>• A Gas Safety guide for tenants to be published on the Council's website and included in the new tenant pack.</li> </ul>	Low	Agreed	Team Manager – Mechanical and Electrical Services	30/09/2021	31/12/2021	<b>Oct 21:</b> There is a notice on the Council's website notifying tenants of the importance of annual gas safety checks. A reminder and other regular will be published in the Housing News.	Overdue