

EFDC Internal Audit Recommendation Tracker (Overdue and High Priority)

Last updated: 10 January 2019

Audit Year (Date Report Issued)	Rec Ref	Original Recommendation	Priority	Managers Original Response	Responsible Officer / Assistant Director	Original Imp Date	Revised Imp Date	Status Update from Management	Status
Audit Recommendations 2017/18									
Commercial Properties – Service Charges Report No. 15.17/18 April 2018	1	The correct Service Charge relating to 2016/17 for the Broadway should be calculated and invoices or credit notes issued.	Med	Agreed	Chief Estates Officer/ Service Director- Commercial and Regulatory.	31/10/18	31/03/19	<p>Sept / Oct 18: The first part of the reconciliation has been undertaken. The service charges will be completed once the service charge figures for 2017-18 have been received.</p> <p>Dec 18: The total annual service charge figure has been received. The correct amounts to be charged to each property will be calculated and either an invoice or credit note will be raised accordingly. The adjustment for each of the 68 properties will be in the region of £10 - £15.</p>	Overdue
Commercial Properties – Service Charges Report No. 15.17/18 April 2018	3	A management fee should be introduced for service charges at the Broadway.	Med	Agreed	Chief Estates Officer/ Service Director- Commercial and Regulatory.	31/10/18	31/03/19	<p>Sept / Oct 18: The appropriate level of management fee is currently being looked into.</p> <p>Dec 18: A typical management fee is around 10% of the service charge applied for the year. Now that the service charge figure is known, this will be calculated and added to the revised invoices/credit notes issued above.</p>	Overdue
Payroll Report No. 22.17/18 April 2018	2	Key procedures for the Payroll Team be produced to ensure existing, new or agency staff have guidance in place to be able to run the	Low	This will be developed and work on this will start in June with a completion date of 31st December	HR Manager, People Team	31/12/18	30/06/19	Dec 18: The Council is moving to a shared payroll service with Braintree and Colchester Councils from June 2019, which will provide additional support for the service.	Overdue

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		payroll in the event that one or more members of the team are absent. The new procedures should reference data protection and information security requirements due to the inherent risk of a breach in this area.							
Absence Management Report No. 23.17/18 April 2018	1	<p>The HR Department should increase the frequency in which it reviews key absence policies and procedures.</p> <p>Policies and procedures should be updated to incorporate the following points:</p> <ul style="list-style-type: none"> ▪ Include a 'related documents' section with hyperlinks to additional relevant information. ▪ Include details of the policy author and who the policy is applicable to, date the policy or procedure was ratified and when it is due for review. <p>Include details of relevant legislation, if applicable.</p>	Med	It should be noted that Absence-related policies and procedures do currently reflect existing legislation. Notwithstanding this, HR policies are in the process of being reviewed. Updated policies will include name of author, and implementation and review dates.	HR Manager, People Team	31/10/18	31/10/19	<p>Sept / Oct 18: Work has not yet commenced on the policy and will not meet the original deadline. This is due to resource issues and although recruitment is underway, this has so far been unsuccessful. The HR policies are being reviewed on a risk basis.</p> <p>Dec 18: The policy was last formally reviewed in 2014 and will be reviewed during 2019. The HR Manager regularly checks employment legislation and case law for any updates to ensure working practices are in line with current legislation.</p>	Overdue

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Absence Management Report No. 23.17/18 April 2018	3	<p>The Managing Absence Procedure should be updated to state the processes to be applied should an employee report absent via text message – for example If an employee sends a text as they are unable to contact their manager via telephone, the employee should be advised they must follow up with a telephone call to their manager or designated individual as soon as practicable.</p> <p>The Managing Absence Procedure to be updated to provide guidance to managers on undertaking Return to Work and Evaluation meetings in private to protect the privacy of the individuals concerned</p> <p>These messages to be reiterated as part of wider Communications from the HR Department raising awareness of the Managing Absence Procedure, including the process</p>	Low	<p>Some of this information can be communicated to managers via District Lines as an update.</p> <p>The Managing Absence Procedure will be reviewed next (currently three other policies – grievance, disciplinary and change are being updated)</p>	HR Manager, People Team	31/10/18	31/10/19	<p>Sept / Oct 18: Work has not yet commenced on the procedure and will not meet the original deadline. This is due to resource issues and although recruitment within the section is underway, this has not yet been successful. The HR policies and procedures are being reviewed on a risk basis.</p> <p>Dec 18: The Managing Absence Procedure was last updated in September 2014 and contains the majority of procedures relating to absence. The procedure is still fit for purpose and HR are available for advice should managers require it. ITrent processes which are currently being developed will also assist managers in managing absences.</p>	Overdue

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		to be applied when an employee falls ill either just before or during a period of annual leave.							
Card Income Payments Report No. 10.17/18 June 2018	1b	Procedures should be reviewed and updated and communicated to relevant Officers.	Med	Procedures to be updated	Service Director – Customer Services	31/12/18	31/01/19	Dec 18: This work has not yet been completed, but is expected to be completed by the end of January.	Overdue
Capital Programme (Non-Housing Related) Projects Report No. 12.17/18 August 2018	2	To improve monitoring of the development of the Council's property assets by the AMEDCC, consideration should be given to including highlight reporting from Pentana as part of the update reports to the AMEDCC.	Low	Where appropriate, highlight reports from Pentana will be presented to the Asset Management and Economic Development Cabinet Committee.	Acting Chief Executive/ Interim Head of Transformation	31/10/18	31/03/19	Oct 18: Highlight reporting from Pentana was not presented to the October meeting. Project management processes, including the reporting mechanisms from Pentana, are currently being reviewed. Dec 18: Pending a review of project reporting, highlight reporting from Pentana is currently being presented to the Finance and Performance Management Cabinet Committee to provide oversight of the progress of projects.	Overdue

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Equality Impact Assessment Report No. 07.18/19 November 2018	1	The Council should agree a timetable for the re-introduction of the Corporate Equality Working Group meetings (or equivalent forum) to monitor progress being made in equality and diversity initiatives including the completion of EqlAs.	Med	The Leadership Team is currently looking at all working groups across the Council with a view to assessing whether they are still fit for purpose and whether the membership is appropriate. I will raise this directly with Rob Pavey (Customer Services Director) for him to consider the recommendation and what working group is best positioned to champion equalities initiatives across the Council.	Acting Chief Executive	31/12/18	01/04/19	Dec 18: The Leadership Team will review the Corporate Working Groups (including the Corporate Equality Working Group) in the new year when service responsibilities are clearer.	Overdue
Off Street Car Parking Report No. 04.18/19 December 2018	1	A process should be agreed between the Payment Solutions Manager and the Parking Team to ensure that all unattended Chip & PIN devices comply with the PCI-DSS standard.	Med	The Car Park and Street Furniture Manager has agreed to visit the Chip & PIN machines to get a new set of the transaction '205' reports for the Payment Solutions Manager, and to speak to the NSL supervisor to ensure that the machines are all in working order.	Car Park and Street Furniture Manager / Director - Contracts and Technical Services	31/12/18	31/03/19	Dec 18: The process has been agreed and the Car Park and Street Furniture Manager is sending reports to the Payment Solutions Manager. A full set of 205 readings, clearly displaying the 'verifone' card reader firmware version numbers, is still required for all machines.	Overdue