

Appendix 2 EFDC Internal Audit Recommendation Tracker (Overdue and High Priority)

Last updated: January 2022

Audit Title (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 will include 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	Political and corporate agreement to proposals – 31/03/21 Shadow structures then up and running Formal decision making will need to follow the local election period – 30/09/21	31/03/22	May 21: HGGT Solicitors, Weightmans, are developing a partnership agreement between all the HGGT partners. Jul 21: A meeting at Lead Member and Lead Officer level of all five Partner authorities is being held to progress this, with the intention that a new formalised governance model will be agreed in September 2021 and implemented before March 2022. Sep/Oct 21: An HGGT Governance Review Task and Finish Group has been established 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. Jan 22: Work is ongoing but given the scale and complexity, the timescales have been pushed back and now looking for formal approval of the new governance arrangements in the summer 2022 and operation of the new Joint	Overdue

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								Committee to commence in September 2022.	
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	30/09/21	31/08/22	Nov 21/Jan 22: 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. 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.	Overdue
Active Directory Management 2020/21	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	30/04/21	31/07/21 31/12/21 31/01/22	Jun 21: A project to assess the 2008 servers and produce a technical plan for migrating or rebuilding has been started. Sep 21: A project is in flight with the IT company EACS.	Overdue

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Issued December 2020								An initial review has been completed and currently agreeing statement of work. Nov 21/Jan 22: Project agreed with supplier and ready to instigate. Still awaiting kick off date for work.	
Accounts Payable 2020/21 No. 04.20/21	5	The monthly management reporting includes reports on trading as and factoring payees that are not the supplier.	Low	Agreed.	Service Manager – Business Support Services	30/09/21	31/03/22	Nov 21/Jan 22: 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 Issued May 2021	5	A documented and approved IT Business Continuity Plan (BCP) should be produced. The plan should include provision for recovery of the SAN domain.	Med	The ICT Infrastructure & Compliance Manager will coordinate the compilation of a new ICT BCP plan.	ICT Infrastructure & Compliance Manager	31/12/21	31/03/22	Jan 22: This work will be completed as part of the Council's review of all BCPs. The document is in flight.	Overdue
IT Disaster Recovery 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	31/12/21	31/01/22	Sep 21: ICT Manager has received an ITDR plan template from the auditor and is being progressed. Nov 21/Jan 22: The ITDR Plan is in progress. Advice and guidance have been received from the auditor regarding the structure and	Overdue

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								elements to include in the plan.	
Health & Safety – Council buildings and depots compliance 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	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 Service Manager- Facilities Management Health and Safety Officer & Emergency Planning Officer	31/10/21	28/02/22	Nov 21/Jan 22: 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. The risk management training has started but has been slightly delayed due to the postponement of two sessions due to COVID.	Overdue
Health & Safety – Council buildings and depots compliance Issued July 2021	3	A single master record is established for each site to record all actions and matters arising and the deadlines for implementation. This record can then be monitored by operational manager	Med	Service Director to lead on initial discussions and set up of a Project Group Health and Safety Officer & Emergency Planning Officer to provide a Risk Assessment template for Service Managers to complete in Teams	Service Director, Corporate Services Service Manager, Facilities Management Health & Safety Officer &	31/12/21	31/03/22	Jan 22: A risk assessment template has been developed and is being introduced in the training sessions and will be launched at the end of all the training.	Overdue

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		using each site and Corporate Health and Safety Officers. This should include records of <ul style="list-style-type: none"> ▪ PAT testing ▪ Fire Safety Risk Assessments ▪ Up to date COSHH sheets ▪ Hazardous materials list ▪ First Aid boxes ▪ General matters i.e. pest control, accidents, meeting and site visit recommendations 		Health & Safety Officer & Emergency Planning Officer to be available for team meetings to explain requirements and discuss. Training is underway with 2 pilot courses w/c 19 July 21 Senior Building Surveyor to include the recommendations from the Fire Risk Assessment for Oakwood Hill	Emergency Planning Officer Senior Building Surveyor				
Health & Safety – Council buildings and depots compliance Issued July 2021	4	A Fire Risk Assessment and Electrical Inspection Certificate testing be undertaken at the Town Mead Depot as soon as possible.	Med	Accepted.	Service Manager – Facilities Management	31/12/21	31/01/22	Jan 22: Awaiting confirmation of the outcomes.	Overdue
Health & Safety – Council buildings and depots compliance	5	The Health and Safety site tour record should be used to undertake quarterly inspections of all Council Offices.	Med	Processes will be developed to capture and share information via the Corporate Safety Group	Service Manager – Facilities Management	31/12/21	31/03/22	Jan 22: Processes are being developed.	Overdue

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Issued July 2021									
Health & Safety – Council buildings and depots compliance Issued July 2021	6	There should be a quarterly report to the Corporate Safety Team covering Depots and Offices, the report should contain the following: <ul style="list-style-type: none"> • Detail any overdue compliance matters from the single master record. • Details of any actions and matters arising from compliance work that are outstanding and past their due date. • Confirmation that Health and Safety site tours were completed month at the depots. • Confirmation that Health and Safety site tours were 	Med	Report will be as set out in the recommendations.	Service Manager-Facilities Management	31/12/21	31/03/22	Jan 22: Detailed reports are being developed.	Overdue

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		<p>completed quarterly for all offices and other operational site; and</p> <ul style="list-style-type: none"> Details of any common themes, accidents and Health and Safety issues at the depots and offices. 							
<p>Qualis Group Governance Issued July 2021</p>	6	<p>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.</p>	Low	<p>The shareholder agreement will be reviewed in September 2021 and the issues raised will be dealt with in the update.</p>	Qualis Managing Director	31/10/21	31/03/22	<p>Oct 21/Jan 22: The review has been put on hold due to competing priorities.</p>	Overdue
<p>Gas Safety Issued August 2021</p>	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</p>	Med	Agreed	Team Manager – Mechanical and Electrical Services	30/09/21	<p>31/12/21 31/03/22</p>	<p>Oct 21/Jan 22: 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.</p>	Overdue

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		<p>governance and assurance (i.e. monitoring of gas safety compliance, roles and responsibilities and key performance indicators) and equality and diversity considerations</p> <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>							
<p>Gas Safety Issued August 2021</p>	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>	Med	Agreed	Team Manager – Mechanical and Electrical Services	30/09/21	<p>31/12/21 31/03/22</p>	<p>Oct 21/Jan 22: 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</p>	Overdue

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		2. The process of KPI collation, calculation, and reporting should be formally documented.						updating with some contact details.	
Gas Safety 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	30/09/21	31/03/22	Oct 21/Jan 22: 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 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"> Regular periodic gas safety awareness updates in Council customer communications e.g. Housing News 	Low	Agreed	Team Manager – Mechanical and Electrical Services	31/12/21	31/03/22	Jan 22: 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

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		<ul style="list-style-type: none">A Gas Safety guide for tenants to be published on the Council's website and included in the new tenant pack							