

EFDC Internal Audit Recommendation Tracker (High Priority and Overdue)

Last updated: March 2022

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
<p>Harlow Gilston Garden Town 2019/20 Issued July 2020</p>	<p>1</p>	<p>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.</p>	<p>Med</p>	<p>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</p>	<p>HGGT Director HGGT Project Manager HGGT Programme Manager</p>	<p>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</p>	<p>31/03/22 30/09/22</p>	<p>May 21: 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. 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. Feb 22: Cabinet 07 February 2022 agreed 'in principle' to explore the creation of a Harlow & Gilston Garden Town Joint Committee.</p>	<p>Overdue</p>

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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	30/09/21	31/08/22	Nov 21/Feb 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 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	30/04/21	31/07/21 31/12/21 31/01/22 31/03/22	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. An initial review has been completed and currently agreeing statement of work. Nov 21/Feb 22: Project agreed with supplier and ready to instigate. Still awaiting kick off date for work. Project in flight to address this estimated	Overdue

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								delivery date end March 2022.	
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	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 Service Manager- Facilities Management Health and Safety Officer & Emergency Planning Officer	31/10/21	28/02/22 30/06/22	Nov 21: 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. Feb 22: The master record will be completed on the new Civica Housing and Asset IT system once it has been implemented.	Overdue
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 	Med	Accepted. Report will be as set out in the recommendations.	Service Manager- Facilities Management	31/12/21	31/03/22	Feb 22: Detailed reports are being developed.	Overdue

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		single master record; <ul style="list-style-type: none"> • 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 completed quarterly for all offices and other operational site; and • Details of any common themes, accidents and Health and Safety issues at the depots and offices. 							
Qualis Group Governance 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	Low	The shareholder agreement will be reviewed in September 2021 and the issues raised will be dealt with in the update.	Qualis Managing Director	31/10/21	31/03/22	Oct 21/Feb 22: The review has been put on hold due to competing priorities.	Overdue

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		the revised reporting requirements once agreed.							
Gas Safety 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> <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</p>	Med	Agreed	Head of Asset Strategy	30/09/21	31/12/21 31/03/22	Oct 21/Mar 22: Revision of the policy has not yet been completed. 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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		changes in the policy and gas safety legislation and save the policy on the Council's network that is accessible to key officers.							
Gas Safety Issued August 2021	2	1. Update the no access procedure and review it on a regular (annual) periodic basis. Share the updated no access procedure with the contractor. 2. The process of KPI collation, calculation, and reporting should be formally documented.	Med	Agreed	Head of Asset Strategy	30/09/21	31/12/21 31/03/22	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 no access procedure which requires updating with some contact details. Mar 22: This will be carried out in partnership with Qualis.	Overdue
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	Med	Agreed	Head of Asset Strategy	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

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		brought back properties).						Mar 22: This action is on hold as the gas contract is moving to Qualis. The reconciliation will be carried out as part of the transfer.	