

EFDC Internal Audit Recommendation Tracker (Overdue and In Progress)

Last updated: 18 November 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><b>Harlow Gilston Garden Town 2019/20</b> 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><del>31/03/22</del> <del>31/12/22</del> 31/03/23</p>	<p><b>May 21:</b> HGGT Solicitors, Weightmans, are developing a partnership agreement between all the HGGT partners. <b>Jul 21:</b> Lead Members and Lead Officers of all five Partner authorities are meeting to progress this. <b>Sep/Oct 21:</b> An HGGT Governance Review Task and Finish Group has been established to take forward the formalisation of governance arrangements for HGGT. Further work to be undertaken towards the establishment of a Joint Committee. <b>Jan 22:</b> Given the scale and complexity of the work, the timescales have been pushed back and now looking for operation of the Joint Committee to commence in September 2022. The Partner Councils will be taking a stage 1 sign-off report through their formal decision-making processes to seek agreement 'in principle'. <b>Jun 22:</b> The stage 1 governance report was approved by all five Partner Councils. The Partnership will formally consult with Members in September 2022 with final draft proposals. An update report is being taken</p>	<p>Overdue</p>

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								<p>to the HGGT Board on 13 June 2022. The expectation is that the joint Committee will be formed and in place during 22/23.</p> <p><b>Aug/Nov 22:</b> A report setting out the legal Joint Delegations Framework will go to HGGT Board 13 Sept 2022 and will include a recommendation to return in Dec 22 with a Inter Authority Agreement formally addressing cost and risk sharing. Subject to approval by all five council partners, anticipate a go live to the Joint committee and IAA for start of municipal year 2023.</p>	
<p><b>Key Financial Controls – Fixed Assets 2019/20</b> Issued November 2020</p>	3	<p>Detailed Fixed Asset financial procedures be drafted, and to include a section on year-end processes.</p>	Med	<p>Detailed financial procedures will be developed and documented alongside updated Financial Regulations.</p>	Chief Financial Officer	30/09/21	<p><del>31/08/22</del> 31/12/22</p>	<p><b>Nov 21/Feb 22:</b> 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><b>Jun 22:</b> 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</p>	Overdue

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								<p>on how well the closedown goes.</p> <p><b>Aug/Nov 22:</b> Due to the late running 2020/21 audit, there was a substantial delay in getting clearance from the external auditors to roll forward the Fixed Asset Register into 2021/22. This led to a condensed timetable for preparing the 2021/22 Statement of Accounts and officers did not have to time to document the system at that point as planned (key content includes the roll forward process) and 'rough notes' were taken during the subsequent closedown process. The Capital team are now committed to completing the task in Quarter 3 (i.e. by 31st December 2022) when clearance is anticipated from the external auditors to roll forward the Fixed Asset Register from 2021/22 into 2022/23.</p>	
<p><b>Active Directory Management 2020/21</b> Issued December 2020</p>	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	<del>31/07/21</del> <del>31/12/21</del> <del>31/01/22</del> <del>30/08/22</del> 31/12/22	<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</p>	Overdue

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								<p>completed and currently agreeing statement of work.</p> <p><b>Nov 21/Jan 22:</b> Project agreed with supplier and ready to instigate. Still awaiting kick off date for work.</p> <p><b>Jun 22:</b> EACS are working through servers, although the work is moving slower than expected.</p> <p><b>Aug 22:</b> Work is progressing. The status of servers is as follows:</p> <ul style="list-style-type: none"> <li>• Ten complete</li> <li>• Six in flight</li> <li>• Eight being clarified</li> </ul> <p><b>Nov 22:</b> EACS have assisted with the upgrade of servers which has proven to be time consuming for EFDC to implement. A group of servers remain that are dependent upon moving to the cloud (links to the Azure project which is undergoing an End Stage Assessment). The likely solution will be to firewall off the remaining 12 servers. The current deadline of December may be under threat depending upon the findings of the PSN audit.</p>	

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<b>Accounts Payable 2020/21</b> Issued May 2021	1	Financial Regulations are formally reviewed, updated, and approved. Once approved the new Financial Regulations be made available to all staff electronically and staff notified of the key changes.	Med	This will be actioned after the implementation of the new Corporate Finance function, which will impact on some of the details within Financial Regulations.	Chief Financial Officer and Deputy S151 Officer.	31/03/22	31/03/23	<b>Jun/Aug/Nov 22:</b> The new Corporate Finance function has recently been Implemented, although a further – relatively short – pause has been introduced pending completion of the ongoing service structure review, to ensure that the updated Financial Regulations accurately reflect the Council's future financial governance needs in the light of any amendments to wider financial procedure (if applicable).	Overdue
<b>Gas Safety</b> Issued August 2021	1	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.  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	Med	Agreed	Head of Asset Strategy	30/09/21	<del>31/12/21</del> <del>31/03/22</del> 31/12/22	<b>Oct 21/Jan 22:</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.  <b>Jun 22:</b> 1. Policy has been reviewed but now needs to be reviewed again largely because the contract is now being run by Qualis Management and we need to ensure that the details match what has been	Overdue

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		<p>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>agreed with Qualis in contract meetings.</p> <p>2. Key performance indicators have been re-assessed in line with both EFDC/Qualis management requirements. Agreed KPIs will be submitted as part of a change control note for amendment on the SLA with Qualis. Once the change control has been signed off, we will make the changes to the policy.</p> <p>3. This forms part of a larger piece of work that housing and property are starting in order to publicise all safety information to residents. Key stakeholders to the Gas servicing contract and policy have been involved in the transfer and mobilisation of service form the old contractor to Qualis. This information is communicated through regular meetings.</p> <p><b>Sept/Nov 22:</b> The existing policy is still relevant and aligns with the regulations. As part of a larger piece of work with a consultant (Pennington's Choices) the policy and procedures for all compliance items (including gas) will be reviewed. Policy changes will be communicated electronically</p>	

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								to all stakeholders and stored on the Council's intranet.	
<b>Gas Safety</b> 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	Head of Asset Strategy	30/09/21	<del>31/03/22</del> 31/12/22	<p><b>Oct 21/Jan 22:</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.</p> <p><b>Jun 22:</b> The reconciliation was started (this was essential to the transfer of the service to Qualis) but identified some issues with the quality of the data the Council holds. We are working with a Data specialist to look to consolidate data from the spreadsheet to be able to manage the data within Ohms and reformat it so that is can ultimately be uploaded to the new system Cx.</p> <p><b>Sept/Nov 22:</b> Reconciliation of data is largely complete. Still working with the Civica CX project team to ensure the data format is suitable for export when required.</p>	Overdue

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IT Major Incident Management Plan Issued May 2022	1	ICT produce a documented Data Backup Policy defining all key data replication tasks. The retention periods for all tape backup media are reviewed. Consideration should be given to increasing the retention period to a full 12 months or to period end.	Med	Accepted. EFDC will write a policy. Accepted. Team Manager – Security and Infrastructure to get quote for grandfather / father / son backups to take to the Council's officer Information Governance group for approval, then implement if agreed.	Team Manager – Security and Infrastructure	31/08/2022	31/12/22	<b>Aug 22:</b> Policy to be allocated to one of the team. <b>Nov 22:</b> Work is progressing on the policy.	Overdue