

EFDC Internal Audit Recommendation Tracker (Overdue and In Progress)

Last updated: 20 January 2016

Audit Year (Date Report Issued)	Rec Ref	Original Recommendation	Priority	Managers Original Response	Responsible Officer / Assistant Director	Agreed Imp Date	Revised Imp Date	Status Update from Management	Status
Previous Priority One Recommendations 2014/15									
Planning Fees Report No. 713 July 2014	4.1	Development Control management to liaise with ICT to establish reports from M3 that are easily reconcilable and if required Cashiers to ensure referencing in the right format to reconcile. Reconciliation to be brought up to date and then completed monthly to establish control within the process.	1	Planning staff are bringing the reconciliation up to date with the assistance of Accountancy staff and will ensure that reconciliation will be carried out in a timely manner. Recent audit input has resulted in a simpler reconciliation which will reduce the work required.	Assistant Director (Development Manager)	March 2015	31/12/15	Aug15: ICT and Accountancy are providing assistance with the reconciliations. A report from M3 has been developed and the reconciliation for June 2015 has been completed. The reconciliations for April and May 2015 are still to be completed. Nov 15: Progress is being made on the reconciliations and efforts are being concentrated on bringing the 2015/16 reconciliations up to date.	Overdue Replaced by new audit recommen- dation (report 760 issued January 2016)
Audit Recommendations 2015/16									
Management of Sickness Absence Report No. 749 July 2015	4.1	In conjunction with Directors and Assistant Directors, Human Resources should monitor the action being taken by Managers in relation to sickness absence to ensure the Managing Absence Policy is being complied with.	2	The case management report is currently under review and will be restarted once the format and content has been agreed.	Assistant Director (Human Resources)	31/12/15	31/03/16	Dec 15: We have been concentrating on the decision from the Data Working Group to send out automated information to managers informing them of their staff who have met the trigger levels and the need to carry out an evaluation meeting. This means there will be no need for sickness databases to be held by Directorate Support Teams. Jan 16: This is still the case and we are carrying out a pilot within Communities regarding the automated emails informing managers of employees meeting the trigger levels.	Overdue
Planning Fees Report No. 760	1	Development Control should work with the Northgate (M3) providers and ICT and establish a	1	Two separate processes will be implemented to ensure adequate audit assurance that the	Business Manager	March 2015	01/04/16		Overdue

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		<p>finance report to enable regular reconciliation, including refunds, between M3 and the General Ledger.</p> <p>In the meantime, the Finance and Procurement Officer should manually reconcile each month's income, including refunds, between M3 and the General Ledger.</p> <p>The Assistant Director of Development Management should sign off the reconciliation each month to evidence that the reconciliation has been completed.</p> <p>Once regular reconciliations are in place, the outcomes should be reported to management on a monthly basis.</p>		<p>financial recording and verification of planning income takes place.</p> <p><u>Effective Reconciliation of DC income at source</u></p> <p>It is proposed the Senior Technical Officer Development Control carries out a weekly reconciliation of DC income to ensure that all planning application income is recorded accurately on all three systems – Northgate M3, Capita and e-financials. Particular emphasis will be on ensuring that cash / cheque payments are recorded accurately against relevant planning applications and those refunds are recorded correctly and verified.</p> <p><u>Overall Periodic Reconciliation</u></p> <p>It will also be recommended that the Development Management Accounts and Invoices Officer will carry out a periodic reconciliation ideally on a monthly basis. The current format and work carried out by the Accounts and Invoices Officer should be further developed in liaison with ICT/Finance.</p>	<p>Assistant Director (Development Management)</p>				

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				<p>This should be submitted in the form of a monthly/periodic written return to the Assistant Director Development Management and the current system and format developed by ICT and Finance should continue to be utilised as an independent verification process.</p> <p>If effective verification of DC Income takes place on a weekly basis at source, then the overall error rate that the Accounts/Invoices Officer experiences at monthly/periodic intervals should be significantly reduced.</p>					
Planning Fees Report No. 760	3	Invalid applications should be returned within three months in accordance with the Council's policy.	3	When workload is high, as it currently has been for the last couple of years, and there has been a turnaround of staff in this section who need training, this admittedly has had a lower priority compared with the main task of registering planning applications, preparing reports for planning committees and issuing planning permission. However, as set out in our policy, we will target this area for improvement and compliance.	Senior Technical Officer Development Control Assistant Director (Development Management)	Sept 2014	30/04/16		Overdue

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