

EFDC Internal Audit Recommendation Tracker (Overdue and In Progress)

Last updated: 15 November 2016

Appendix 2

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 2015/16									
Licensing Report No. 765 February 2016	1	A review of all policy, procedural and guidance documentation should be completed to ensure compliance with current Legislation.	3	The update of the fee structure in accordance with the Deregulation Act was undertaken following full consultation in October. The Hackney Carriage and Private Hire Licensing Policy is currently undergoing a full revision which has included a review by a Member/officer working party. Once this review has taken place the revised policy will be subject to a full consultation process prior to Council approval.	Assistant Director Neighbourhood Services	26/04/16	01/07/16 30/09/16 01/12/16	<p>Apr 16: The Member/Officer review is now complete. However the section has been advised to carry out the consultation after the appointment of the new Chairman of the Licensing Committee in June 2016.</p> <p>June 16: The Hackney Carriage and Private Hire Licensing Policy is currently undergoing a full revision and the revised policy will be subject to full consultation process. The process will entail consultation with all Public Hire licence holders (some 600+ people) all the Town and Parish Councils, all Members and a selected group of interested parties such as the Police and Essex County Council etc. The consultation period will be six weeks and we hope to start at the beginning of July.</p> <p>July 16: The consultation hasn't started yet but is due to start in the next couple of weeks.</p> <p>Aug 16: Consultation process has begun. Time frame: 26/07/2016 – 30/09/2016</p> <p>Sept 16: Consultation process ongoing.</p> <p>Oct 16: The consultation is finished, the results will go to licensing committee on the 19th and then go on to Council.</p>	Overdue

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								Nov 16: The Hackney Carriage and Private Hire Licensing Conditions and Guidance were reviewed in the Licensing Committee on 19 th October. Decision to go to Council for approval.	
Rent Assistance Loans Report No. 774 May 2016	2	The new Communities Debt Recovery Officer should carry out a reconciliation of Rent Assistance Loans income and expenditure to the General Ledger on a quarterly basis.	2	Again, we need to be realistic as to the amount of work the new DRO can take on. Furthermore, in terms of this Audit the responsible officers have no line management responsibility for the DRO and will therefore not have control over priorities for the new Post.	Housing Options Manager / Assistant Director (Housing Operations)	31/10/16	09/01/17	<p>Sept 16: The Housing Options Manager has only recently met with the new Debt recovery officer. Her first action will be to deal with outstanding debts on rental loans that are not dealt with by the prevention team.</p> <p>Oct 16: Due to the large volume of work the Debt Recovery Officer, the Housing Options Manager is going to look at the amount of work involved on this. If he can undertake it himself he will do so, if not the work will be allocated to another member of staff.</p> <p>Nov 16: The Housing Options Manager will be undertaking the reconciliation. Work on the reconciliation will commence during this month. Implementation date extended to allow the Housing Options Manager to develop and complete the reconciliation process.</p>	Overdue
Sundry Debtors Audit Report No. 769 June 2016	1	The Sundry Income and Debt Policy should be reviewed and updated to reflect the current debt collection procedures. In addition, the policy/process for refunds should be documented within the Policy.	2	Agreed. The Policy needs updating and expanding to cover refunds.	Risk Management & Insurance Officer	31/10/16	01/04/17	<p>Sept 16: The recommendation will be incorporated together with other amendments previously agreed by Management Board into the policy and submit to the Management Board via the next Corporate Debt Working Group meeting.</p> <p>Oct 16: The next Corporate Debt Working Group meeting will take place in the next couple of weeks</p>	Overdue

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								where the recommendation will be included (as mentioned above). Nov 16: The planned Corporate Debt Working Group meeting was cancelled. The recommendation will be included in the next meeting.	
Housing Repairs Report No. 777 July 2016	2	Effective action should be taken to pursue non-payment of debts. Irrecoverable charges should be written off promptly.	2	Subject to the appointment of a new Customer Repairs Officer and the imminent start of the new Debt Recovery Officer, a review of the Recharge Policy will be undertaken. This will include writing off where the debt recovery agency cannot recover the debt.	Repairs Manager	31/10/16	31/12/16	Sept 16: The new Customer Repairs Manager starts with us on Monday 12th September. The manager will have inductions and will start the project of looking into recharges etc. Oct 16: The new Customer Repairs Manager has commenced a review of the recharges process Nov 16: The Customer Repairs Manager now in post and will form a project team to discuss options.	Overdue

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Housing Repairs Report No. 777 July 2016	3	Equipment/tools owned by the Council should be asset registered. A process should be implemented to ensure equipment/tools are returned when Operatives leave the Council's employment.	3	The majority of tools used by Tradesmen are their own. However, certain specialist equipment is supplied by EFDC. The Asst Area Repairs Manager (M&E) is to prepare an asset register, which will be used to log the allocation of equipment. This will be maintained when equipment is issued and then returned by the Operatives.	Housing Repairs Manager	31/10/16	31/03/17	<p>Sept 16: The Electrical Manager has already been keeping a record of EFDC owned equipment and register. This is ongoing as staff take equipment for a job and return it. (spreadsheet in evidence file)</p> <p>Oct 16: Regarding the tracking of equipment, The Electrical Manager is the person who the operatives have to go and see. The Manager keeps control of the record and will they have to return it to the Manager as well. A procedure note will be written.</p> <p>Nov 16: Housing Repairs Manager agreed to change the implementation date because Facilities Management will need to mark the assets, which will take time. The Housing Repairs Manager has provided a copy of the procedure note for issuing equipment to Operatives.</p>	Overdue
Health and Safety at Epping Depot Report No. 776 July 2016	2	Council Health and Safety policies should be reviewed on a regular basis, for example annually, with any notifications of significant revisions communicated to employees via email. Note: The May 2016 Corporate Governance Group meeting agreed that significant changes to H&S policies and procedures should be communicated via an	2	A timetable of policy review will be implemented for the following policies: <ul style="list-style-type: none"> • Accident & Incident Reporting Guidance • Asbestos Policy • Corporate Safety Policy • Risk Assessment • Lone Working Guidance Updated policies will be published on the intranet and advertised via District Lines and all staff email.	Safety Officer / Assistant Director (HR)	31/10/16	30/11/16	<p>Oct 16: Progress as described below:</p> <ul style="list-style-type: none"> * Accident & Incident Reporting Guidance: Completed * Asbestos Policy: Partially completed * Corporate Safety Policy: Partially completed * Risk Assessment: Still to update * Lone Working Guidance: Still to update. This is an ongoing process as in addition to this recommendation there are also changes being made to bring the 	Overdue

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		all staff email, with a caveat for managers to cascade these to staff without email access, as well as putting an article in District Lines.						<p>policy in to align with the Careline lone working documents.</p> <p>Nov 16: In progress – work on the below policies is still ongoing:</p> <ul style="list-style-type: none"> * Asbestos Policy: * Corporate Safety Policy * Risk Assessment * Lone Working Guidance <p>This is currently being priced by Mears as a new key deliverable</p>	
<p>Health and Safety at Epping Depot Report No. 776 July 2016</p>	5	The workshop extractor should be examined and tested by an externally qualified ventilation engineer to ensure it is maintained in accordance with the requirements of the control of Substances Hazardous to Health regulations	2	<p>Housing Repairs Manager to make enquiries to identify a ventilation Engineer that can inspect and certify the extract fans to the workshop.</p> <p>Operatives who use the joinery workshop must wear the correct PPE. In the meantime, the 2 operatives who use the workshop have received advice and guidance from the Council's H&S Officer</p>	Repairs Manager/ Assistant Director Property & Development	31/10/16	31/12/16	<p>Oct 16: 2 companies have attended the workshop. Sedgewick and Wadkins. Both have stated there is limited scope to improve the current extraction unless we lose a quarter of the workshop to install an internal extraction unit, but this has its own flaws, for 2 reasons. 1) still need to extract out, no access at rear, leaving extraction at the front, unable to do due to vehicles and open doors to workshop. 2) by losing such a large section of workshop, would impact on work that can be done in the workshop, this would impact on repair jobs and delivery of the service and KPI's. 2 Operatives are to continue to work to current risk assessment and wearing correct PPE. Workshop visited by the Health and Safety Officer as part of H&S Audit.</p> <p>Nov 16: A specialist firm have attended and have confirmed that the existing extractors cannot be maintained to comply and therefore a new system should be installed. This is impractical due to the short</p>	Overdue

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								timeframe left at the current depot facility. Therefore an Acceptable Use Procedure needs to be agreed to use the facility.	
Health and Safety at Epping Depot Report No. 776 July 2016	7	The Mears Safety Health and Environment policy should be formally accepted by employees at the Depot and evidence of this retained.	3	The forms that are in the handbook must be signed by the individual Tradesmen upon issue. Whilst the Mears H&S Officer has a record of who has been issued with a handbook there will be a one off exercise to obtain signatures of all those who have been issued with a Policy Document. This will be reviewed as part of the annual PDR process.	Repairs Manager/ Assistant Director Property & Development	31/10/16	31/03/17	Oct 16: Forms have been changed to remove any Mears logo's as this appeared to be a stumbling block with operatives signing the handbook. It was agreed that rather than sign for the book, there is a separate form for the RAMS. This has also caused some negative reactions, as the operatives would rather go through the RAMS before signing them. It has been agreed that Mears H&S, will arrange dates in December for a day's training to cover the RAMS and all the operatives attending will sign the forms then. Nov 16: In progress - This is currently being priced by Mears as a new key deliverable. Training dates have been arranged for the operatives in December.	Overdue
Audit Recommendations 2016/17									
Health and Safety - Townmead Depot Report No. 05.16/17 September 2016		An action plan to address H&S failings identified in this audit should be drawn up and implemented. Regular reporting on progress being made with the action plan should be reported to Internal Audit and the Council's H&S Officer.	High	This is a cross directorate piece of work which will be coordinated and project managed by the Assistant Director (Technical Services) and require the support of the Safety Officer and Facilities Management for repairs and maintenance.	Director of Neighbourhoods Assistant Director (Technical Services)	31/12/16		Nov 16: Several site visits have taken place, including officers from Facilities Management and the Safety Officer, and discussions have taken place with Waltham Abbey Town Council on a way forward. Remedial work has taken place including putting in CCTV, minor repairs, tidying up and making secure the compound and introducing regular site visits Under Facilities' Management 5 year planned preventative	In progress

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								<p>maintenance programme £75K has been allocated for security and safety works at the depot in 2017/18 including new gates, refurbishment of the toilet facilities and improvement of the boundary fencing.</p> <p>Internal Audit note: If significant progress continues to be made to improve H&S at the depot then this recommendation will be removed from the tracker by the time of the next Audit and Governance Committee in February 2017.</p>	