

# EFDC Internal Audit Recommendation Tracker (Overdue and High Priority)

Last updated: 17 January 2017

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
<b>Audit Recommendations 2015/16</b>									
<b>Grounds Maintenance</b> Report No. 755 December 2015	2	Ensure there is adequate staff resilience to ensure there is not too much reliance on the Finance Officer. This could be achieved by ensuring someone else has been trained and there are documented procedures.	2	It is recognised the work of the GM technical support team form an essential part of the Service and that many of the processes and systems associated with their role are unique to this Service. As part of the GM 'workforce planning' this potential risk was identified and as a consequence, the team have been documenting the various key tasks & procedures. Therefore in agreement with the audit findings, this work will continue in order to help safeguard business continuity. Succession planning is also something management will consider to minimise potential risk to service provision.	General Manager (Neighbourhoods)	31/12/16	30/09/17	Nov 16: The Grounds Maintenance Technical Team have been busy documenting their core duties since the audit and much progress has been made with numerous processes now set out in a 'walkthrough' type format. An office move has caused some delays to completing the recommendation and therefore an extension has been requested and agreed.  Jan 17: Work is continuing to address this. Numerous financial and admin processes associated with the work of the GM support team have now been catalogued. The GM Service is currently in the process of recruiting a new Tech/Finance officer who will be trained in all aspects of this work area in order to build further resilience into the section.	Overdue
<b>Email, Internet and Telephone Usage</b> Report No. 779 May 2016	2	Monthly reports of telephone usage should be produced by ICT and forwarded to the Director of Resources for monitoring once the new SIP trunks are in place.	2	Telephone usage will be reported and monitored once the new SIP trunks are in place.	Assistant Director ICT & Facilities Management/ Director of Resources	31/12/16	01/04/17	Oct 16: The telephone reports cannot be produced until SIP trunking is in place. We are completely reliant on third party suppliers to install SIP. The 31st December date is now unlikely to be achieved. The end of the current financial year is the supplier's current estimated completion date.  Nov 16: In progress –	Overdue

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								<p>Implementation date extended.</p> <p>Jan 17: The groundwork for SIP is nearing completion. Implementation of SIP will mean some downtime for the Councils phone system out of hours. As the Council has out of hour's telephone services, the ICT Operations Manager is discussing with the Assistant Director (Housing Property &amp; Development - the lead officer for out of hour's services), as to a suitable implementation date.</p>	
<b>Sundry Debtors Audit</b> 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 where the recommendation will be included (as mentioned above).</p> <p>Nov 16: The planned Corporate Debt Working Group meeting was cancelled. The recommendation will be included in the next meeting on 20/12/16.</p> <p>Jan 17: The Sundry Income and Debt Policy was discussed in the Corporate Debt Working Group in December. The policy will be reviewed in Quarter 4.</p>	Overdue

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Audit Recommendations 2016/17									
<b>HR Sickness Absence Performance Indicator</b> Report No. 04.16/17 October 2016	5	Written guidance A brief 'how to' guide should be drafted to: <ul style="list-style-type: none"> <li>• Explain current procedures for producing RES001</li> <li>• Explain key parts of the calculation not covered by the corporate definition (e.g. simple average for quarterly FTE staff numbers, the sum of staff and leavers sickness data)</li> <li>• Act as a reference guide in case of absence of key staff (and so improve resilience)</li> <li>• Act as a reference guide for the review (ensuring review is robust with the reviewer fully understanding the process)</li> <li>• Replace sections of the obsolete Management Information Manual.</li> </ul>	Low	Assistant Director to write out in full their guidance notes.	Assistant Director (Human Resources)  HR Manager  Workforce Data Analyst	31/12/16	31/03/17	Jan 17: Most of the details have been addressed and are included in the RES001 submission, in the appropriate places, in detail. This includes all the method of calculation and all the actual figures and calculations.  The "how to" instructions will be completed after the transition to the new HR system currently being introduced is fully in use and training has been completed.	Overdue

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<b>Off Street Car Park Income</b> Report No. 06.2016/17 November 2016	1	Credit Card payments made in respect of pay and display car park charges should be reconciled at least monthly to the bank statements. The appropriate frequency of the reconciliations will be decided once the reconciliation process has been formalised.	Med	The Parking and Street Furniture Support Officer has met with the Payment Solutions Manager to discuss the way forward with the reconciliations. The Council is now able to log into both the Credit Call and the bank systems to check the income received by the Council. A report of credit card payments from the ticket machines has been set up in order to perform the reconciliations. The Parking and Street Furniture Support Officer is developing the most appropriate method for the reconciliations with the Customer Services Officer.	Parking and Street Furniture Manager  Assistant Director Technical Services	01/01/17	31/03/17	Jan 17: Neighbourhoods Finance has reconciled the Chip and Pin income to date with the figures supplied by Credit Call. The Parking & Street Furniture Officer runs the Transaction report off the Metric system and the Customer Services Officer matches this with the Credit Call information.  The Customer Services Officer is waiting for Finance to provide income reports showing what the bank have paid us. The Customer Services Officer will then be able to reconcile what Credit call have processed and what the bank has paid us and in turn charged us.	Overdue
<b>Health and Safety - Townmead Depot</b> Report No. 05.16/17 September 2016	2	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 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' 5 year planned preventative maintenance programme £75K has been allocated for security and safety works in 2017/18 including new	Complete

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								<p>gates, refurbishment of the toilet facilities and improvement of the boundary fencing. It will be for the next financial year so no works this year. The Assistant Director (Technical Services) will be making another site visit next week and will review the works required, carry out inspections. The Assistant Director (Technical Services) will also be arranging a meeting with Waltham abbey town council to start discussion on the way forward.</p> <p>Jan 17: The action plan is monitored by the Assistant Director Technical Services. Updates on each action are required on a monthly basis from all officers involved. The £75k allocated for works has now been allocated to this financial year (16/17).</p> <p>Fire Risk Assessment – A quote for the risk assessment has been received and will be carried out on 1 February 2017.</p> <p>Site inspections – Health and Safety inspections are being carried out monthly, the most recent one on 21 December 2016.</p> <p>Safe storage of materials and equipment - Following the inspection, a skip is being arranged to remove general rubbish from the site.</p> <p>Budget allocation for essential</p>	

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								health and safety works – None of the £75k has yet been spent. The first task is to secure the site. Negotiations are underway with Waltham Abbey Town Council regarding the positioning of the perimeter fence before submitting the planning application. Other works will commence after the site has been secured.	