

### Appendix 3

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

Last updated: August 2019

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
<b>Audit Recommendations 2017/18</b>									
<b>Absence Management</b> Report No. 23.17/18 April 2018	1	<p>The HR Department should increase the frequency in which it reviews key absence policies and procedures.</p> <p>Policies and procedures should be updated to incorporate the following points:</p> <ul style="list-style-type: none"> <li>▪ Include a 'related documents' section with hyperlinks to additional relevant information.</li> <li>▪ Include details of the policy author and who the policy is applicable to, date the policy or procedure was ratified and when it is due for review.</li> </ul> <p>Include details of relevant legislation, if applicable.</p>	Med	<p>It should be noted that Absence-related policies and procedures do currently reflect existing legislation. Notwithstanding this, HR policies are in the process of being reviewed. Updated policies will include name of author, and implementation and review dates.</p>	HR Manager, People Team	31/10/18	31/10/19	<p><b>Sept / Oct 18:</b> Work has not yet commenced on the policy and will not meet the original deadline. This is due to resource issues and although recruitment is underway, this has so far been unsuccessful. The HR policies are being reviewed on a risk basis.</p> <p><b>Dec 18/Jan 19/Mar 19:</b> The policy was last formally reviewed in 2014 and will be reviewed during 2019. The HR Manager regularly checks employment legislation and case law for any updates to ensure working practices are in line with current legislation.</p> <p><b>Jun 19:</b> Due to a number of leavers in the People Team, resulting in competing priorities with reduced capacity, the formal review of this policy has been delayed.</p> <p>The current policy is still fit for purpose but legislation will continue to be reviewed and any immediate amendments required will</p>	Overdue

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								be implemented straightaway.  Work will start on a full review, including the format of the policy once new staff have been recruited to post.	
<b>Absence Management</b> Report No. 23.17/18 April 2018	3	<p>The Managing Absence Procedure should be updated to state the processes to be applied should an employee report absent via text message – for example If an employee sends a text as they are unable to contact their manager via telephone, the employee should be advised they must follow up with a telephone call to their manager or designated individual as soon as practicable.</p> <p>The Managing Absence Procedure to be updated to provide guidance to managers on undertaking Return to Work and Evaluation meetings in private to protect the privacy of the individuals concerned</p>	Low	<p>Some of this information can be communicated to managers via District Lines as an update.</p> <p>The Managing Absence Procedure will be reviewed next (currently three other policies – grievance, disciplinary and change are being updated)</p>	HR Manager, People Team	31/10/18	31/10/19	<p><b>Sept / Oct 18:</b> Work has not commenced on the policy yet and will not meet the original deadline. This is due to resource issues and although recruitment is underway, this has not yet been successful. The HR policies are being reviewed on a risk basis.</p> <p><b>Dec 18/Jan 19/Mar 19:</b> The Managing Absence Procedure was last updated in September 2014 and contains the majority of procedures relating to absence.</p> <p>The procedure is still fit for purpose and HR are available for advice should managers require it. ITrent processes which are currently being developed will also assist managers in managing absences.</p> <p><b>Jun 19:</b> Due to a number of leavers in the People</p>	Overdue

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		<p>These messages to be reiterated as part of wider Communications from the HR Department raising awareness of the Managing Absence Procedure, including the process to be applied when an employee falls ill either just before or during a period of annual leave.</p>						<p>Team, resulting in competing priorities with reduced capacity, the formal review of this policy has been delayed.</p> <p>The current policy is still fit for purpose but legislation will continue to be reviewed and any immediate amendments required will be implemented straightaway.</p> <p>Work will start on a full review, including the format of the policy once new staff have been recruited to post.</p>	
<p><b>Equality Impact Assessment</b> Report No. 07.18/19 November 2018</p>	<p>1</p>	<p>The Council should agree a timetable for the re-introduction of the Corporate Equality Working Group meetings (or equivalent forum) to monitor progress being made in equality and diversity initiatives including the completion of EqlAs.</p>	<p>Med</p>	<p>The Leadership Team is currently looking at all working groups across the Council with a view to assessing whether they are still fit for purpose and whether the membership is appropriate. I will raise this directly with Rob Pavey (Customer Services Director) for him to consider the recommendation and what working group</p>	<p>Service Director, Customer Services</p>	<p>31/12/18</p>	<p>01/04/19 01/10/19</p>	<p><b>Dec 18:</b> The Leadership Team will review the Corporate Working Groups (including the Corporate Equality Working Group) in the new year when service responsibilities are clearer.</p> <p><b>Mar 19:</b> Equalities, including Equality Impact Assessments (EIAs), will be included as part of the Customer Excellence Programme within Customer Services, which will report to the Stronger Communities Select Committee. A report on</p>	<p>Overdue</p>

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				is best positioned to champion equalities initiatives across the Council.				<p>behalf of the Customer Directorate will be presented at each meeting which will report not only on Customer Satisfaction etc. but also on any equality related issues arising out of any EIAs and any other equality issues identified.</p> <p><b>Jun 19:</b> A Corporate Working Group is currently re-designing the Council's performance management system. The Group is to discuss how performance on Equalities is managed and the audit recommendations are being fed into this work.</p>	
<p><b>Equality Impact Assessment</b> Report No. 07.18/19 November 2018</p>	2	<p>The Council to maintain a log or tracker of all completed EqlAs that records the date, title, and equality impact (Low, Medium or High) together with any improvement actions raised in the action plan. This information should then be discussed at Equality Working Group Meetings and used to help inform the Annual Equality Action Plan and the Annual Equality Report.</p>	Med	<p>We agree with the need for and benefit of the Council tracking and monitoring the EqlAs that it completes and then using this information to drive improvement. We will need to consider the impact on the Council in collecting the information and what we will do with this information. This will be an action for the Equalities</p>	<p>Responsibility: Service Director, Customer Services</p>	31/03/19	01/10/19	<p><b>Jun 19:</b> A Corporate Working Group is currently re-designing the Council's performance management system. The Group is to discuss how performance on Equalities is managed and the audit recommendations are being fed into this work.</p>	Overdue

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				Working Group (or equivalent forum) to take forward once this agreed.					
<b>Equality Impact Assessment</b> Report No. 07.18/19 November 2018	3	Appropriate actions should be developed by the Council to continue improving awareness of the need to complete EqlAs and ensuring that all sections of the EqlA form are completed.	Med	There are a number of actions to address this. Firstly, making sure the forms and advice are clear. Secondly it is down to Heads of Service and Democratic Services to check forms completed in full. Finally, there is a role for strategic board members not to allow reports to be submitted without a completed EqlA. All of the above points are relevant for inclusion in the training we deliver to members and officers.	Service Director, Customer Services	31/03/19	01/10/19	<b>Jun 19:</b> A Corporate Working Group is currently re-designing the Council's performance management system. The Group is to discuss how performance on Equalities is managed and the audit recommendations are being fed into this work.	Overdue
<b>Equality Impact Assessment</b> Report No. 07.18/19 November 2018	4	The Equality and Diversity Policy on its next review to be updated so it is clear that there is a requirement for staff to complete EqlAs, when they are required, how	Low	Agreed	Service Director, Customer Services	31/03/19	01/10/19	<b>Jun 19:</b> A Corporate Working Group is currently re-designing the Council's performance management system. The Group is to discuss how performance on Equalities is managed and the audit	Overdue

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		they help the Council demonstrate compliance with the Public Sector Equality Duty and who is responsible for completing them.						recommendations are being fed into this work.	
<b>Personal Data shared by Email with Members</b> Report No. 24.18/19 (March 2019)	1	The Council should ensure that all Members are issued with an Epping Forest District Council email address and that all communication from Officers is sent via this corporate email address. Until the corporate email accounts have been introduced officers should use the Mimecast secure email facility when sending any personal/sensitive data to Members. As part of the wider review of IT provision, consideration should be given to issuing Members with a corporate device (phone, tablet etc) to access their corporate emails, similar to that in place at Broxbourne and Harlow Councils.	Med	Members will be issued with an EFDC password and a corporate device.	Service Director- Customer Services	31/05/19	30/09/19	<b>Jun 19:</b> The roll-out of 'locked-down' devices has commenced and the vast majority of Members are now in receipt of an i-pad for this purpose. The work around e-mails has been paused. It is recognised that there needs to be more flexibility for Members to enable them to access e-mails on their personal phones so they can undertake their duties effectively. Officers are assessing options to allow this flexibility whilst retaining the necessary security.	Overdue

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<b>Business Rates – Council Wide Approach</b> Report No. 13.18/19 (April 2019)	3	The Business Rates Team to request bespoke reports to be written from the M3 system used by the Planning Team that only identifies information in respect of commercial properties which would eliminate the need for the Business Rates Team spending their time sifting through lengthy reports.	Low	Officers will look at the reporting options from M3 and adapt the reports accordingly	Revenues and Benefits Manager	30/06/19	01/10/19	<b>Jun 19:</b> There has been insufficient resource to investigate reporting from the Planning M3 system due to the transfer of staff into the Business Support Team and long-term sickness absence in the team.	Overdue
<b>Business Rates – Council Wide Approach</b> Report No. 13.18/19 (April 2019)	4	The Business Rates Team to allocate specific time each month for processing information received from other departments to fit around responding to customer queries and liaison with the VOA.	Low	Accepted	Revenues and Benefits Manager	01/05/19	01/11/19	<b>Jun 19:</b> It has not been possible to allocate specific time to process information from other departments due to long-term sickness absence within the Business Rates Team.	Overdue
<b>Business Rates – Council Wide Approach</b> Report No. 13.18/19 (April 2019)	5	The format of the Planning Information Input Log should be amended so that it takes account of information received from other Council departments (such as Economic Development, Local Gazetteer, Licensing and Legal for example). The Business Rates Manager should review	Low	Accepted - officers will look at options for pulling this information together and adjust processes accordingly	Revenues and Benefits Manager	31/05/19	01/10/19	<b>Jun 19:</b> The format of the Planning Information Input Log has not yet been amended due to the lack of resources.  The team has received a considerable amount of information from the Council's Licensing Team, which they are comparing to the information held on the Business Rates system.	Overdue

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		the Information Input Log on a more regular basis so that he can encourage the business rates officers to keep up to date with processing tasks.							
<b>Business Continuity Planning</b> Report No. 12.18/19 (May 2019)	1	An action plan to address business continuity and IT Disaster Recovery 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 Corporate Governance Group (CGG).	High	Following a meeting of interested parties and a report to CGG it was agreed that outside consultancy be engaged to directly address the issues raised in the Internal Audit report. An independent business continuity consultant has been engaged and a timeline is being agreed for work to be undertaken to ensure compliance with audit requirements and provide a robust framework for business continuity going forward. The consultants work should be concluded by end October 2019.	Service Director – Commercial and Regulatory Services	31/10/19		<p><b>Jun 19:</b> A business continuity consultant has been appointed and draft documentation including a business continuity management policy along with corporate and departmental business continuity management plans have been developed.</p> <p>A workshop has been held with the Leadership Team to review the policy and plans, determine the Council's requirements for business continuity and decide on service and system priorities in event of an incident.</p> <p>Workshops with operational staff are currently being held to help them develop their service business continuity plans, including ICT.</p>	In progress