

EFDC Internal Audit Recommendation Tracker (Overdue and In Progress)

Last updated: 15 January 2020

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
Software Licencing Report No. 06.18/19 (February 2019)	1	The Active Directory should be re-structured to reflect the current operating position of the Council. Once achieved the number of users and software requirements, including server-based software, will provide a definitive number for the licences required.	Med	We now intend to implement a single folder structure for all staff to prevent the necessity for future changes should another restructure be required.	Service Manager Business Support and ICT	30/09/19	01/04/20	Oct /Dec 19: This action has been deferred until completion of the people strategy. As the structure is still changing, the Active Directory would have to be changed again later.	Overdue
Software Licencing Report No. 06.18/19 (February 2019)	3	Reports should be produced on a regular basis to identify the number of users with Administrative access and access requirements questioned. In addition, software utilisation should be assessed on an annual basis with limited use being investigated by ICT and discussed with the relevant department/user.	Med	Agreed	Software Asset Licencing Officer/ Service Manager Business Support and ICT	30/09/19	01/04/20	Oct 19: Software utilisation assessments are already occurring for many products, both on a quarterly basis as a part of our SAM managed service compliance reviews and internally when licence or maintenance renewals become due. ICT is exploring the opportunities with the current system supplier (HOTH) regarding which elements it can deliver on, including software licences, asset inventory and supplier contracts. Dec 19: An initial meeting has been held with the system supplier and will be taken forward in conjunction with procurement.	Overdue

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Personal Data shared by Email with Members 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 04/12/19 31/01/20	<p>Jun 19: The roll-out of 'locked-down' devices has commenced, and the vast majority of Members are now in receipt of and 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.</p> <p>Oct /Dec 19: The solution has been installed and tested on a testbed of members and will be rolled out in January 2020.</p>	Overdue
Staff Code of Conduct and Gifts & Hospitality (Staff and Members) Report No. 05.18/19 (March 2019)	3	Gifts and hospitality declared are fully recorded and appropriately authorised by the relevant manager or director but there is no independent high-level review of gifts and hospitality recorded by staff.	Med	HR will take responsibility for the Gifts and Hospitality policy and consideration of a new form will be a development item within the People Team.	HR Manager/ Service Director - Business Services	31/12/19	01/02/20	<p>Oct 19: This task has been allocated to the Business Admin Apprentice to develop an electronic form in consultation with the Senior Business Analyst.</p> <p>Dec 19: The G&H form has been developed in Firmstep and is currently undergoing testing in the People Team. This is due to</p>	Overdue

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		Consideration should be given to automating the process for recording gifts and hospitality through the development of an E-form on the intranet. The new form should include the estimated value of the gift or hospitality.						be released in the next couple of weeks, by 1 st week in February.	
Business Rates – Council Wide Approach Report No. 13.18/19 (April 2019)	2	Representatives from the Local Gazetteer and Licensing teams should be invited to attend the information sharing working group to discuss the commercial property information they hold within the GeoPlace and M3 databases and how this might better be used to the benefit of the Council including but not limited to maximising business rates income. Data Protection Officers / Legal representatives should also be involved to help ensure that any actions recommended by the Forum are GDPR compliant.	Low	Due to long-term sickness the organiser will not be able to re-commence this working group until late summer.	Business Rates Specialist	30/09/19	01/04/20	Oct /Dec 19: Due to long-term sickness it has not been possible to re-commence this working group.	Overdue

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Business Rates – Council Wide Approach 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	Accepted – officers will look at options information from M3 and adapt the reports accordingly	Revenues and Benefits Manager	30/06/19	04/10/19 01/04/20	Jun / Oct / Dec 19: There has been no progress with the Planning M3 system due to the lack of resources and the migration of staff into the Business Performance Unit.	Overdue
Business Rates – Council Wide Approach 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	04/11/19 01/04/20	Jun / Oct / Dec 19: There has been no progress on the allocation of specific time to process information from other departments due to long-term sickness absence within the Business Rates team.	Overdue
Business Rates – Council Wide Approach 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	Low	Accepted - officers will look at options for pulling this information together and adjust processes accordingly	Revenues and Benefits Manager	31/05/19	04/10/19 01/04/20	Jun / Oct / Dec 19: There has been little progress in developing the Planning Information Input Log, 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 by the Business Rates system.	Overdue

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		review 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.							
Business Continuity Planning 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	29/02/20	Oct 19: A wide range of workshops have been taking place across the Council, involving a significant number of staff; these have taken longer than expected. Draft business continuity plans should be in place before Christmas and testing of these planned before the end of the financial year. Dec 19: The vast majority of business continuity plans have been completed and a desk top exercise organised for mid-February to test these.	Overdue
Economic Development Report No. 25.18/19 (May 2019)	1	Following presentation of the findings of the current consultation Cabinet Committee in June 2019 and agreement of the Economic Development Strategy, an operational work plan	Med	Agreed	Service Director Community and Partnerships	30/11/19	31/01/20 01/04/20	June 19: Members asked for further consultation on the Economic Development Strategy so will be presenting back in September 2019 with revisions to the draft strategy. Oct 19: Additional consultation is currently taking place	Overdue

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		should be developed for 2019/20 so that the Economic Development team has a formal documented plan of work, aligned with the Strategy and with detailed milestones for key outputs, that it can monitor its progress.						electronically and in addition, a Stakeholder Consultation event has been arranged for November 13 th at Theydon Bois Village Hall. Following this event consultation feedback will be collated and a report presented to Cabinet with recommendations in January 2020. Dec 19: Over 60 people attended the stakeholder event and the consultation was open until 15 December 2019. A report is now being produced in light of the stakeholder feedback and this will be presented to Cabinet with recommendations, in March/April 2020 to enable findings from the O&S Task & Finish Review on Local High Streets to be included.	
Review of FirstPort Property Services invoices 2018/19	3	There should be a Staff Communication from Business Support to include the following: <ul style="list-style-type: none"> • the procedures for ordering, receipting and processing invoices • new suppliers should be set up promptly and preferably in advance of invoices • staff should not hold onto invoices • staff should request that suppliers include 	Low	A staff communication is being drafted.	Service Manager Business Support and ICT/ Service Director – Business Services	31/07/19	30/11/19 31/01/20	Oct 19: The communication has been drafted. This will be shared with Internal Audit prior to issuing to ensure all issues identified during the current Invoice Payments audit are captured. Dec 19: The communication will be issued once the supporting firmstep form has been finalised with ICT so that instructions for completion of the form can be included in the communication.	Overdue

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		a contact name or department on invoices.							
North Weald Airfield 2018/19 Report No. 20.18/19 (April 2019)	2	All fees imposed by NWA should be included in the annual review and approval of fees and charges. A date should be agreed regarding when the new arrangements will be enforced	Med	A report addressing this issue will be made to Cabinet with a fee regime introduced following call in.	Airfield Manager Service Director Commercial and Regulatory	05/09/19	31/03/20	Oct 19: A report in relation to the April 2020 casual hire fees at the Airfield will be formulated for the relevant Cabinet committee meeting in due course. Dec 19: A schedule of fees for 2020/21 has been devised for casual users and will be submitted to the Service Director. When approved a report will be written for Cabinet.	Overdue
North Weald Airfield 2018/19 Report No. 20.18/19 (April 2019)	4	Airfield Manager to liaise with Finance and IT to include facility to enable landing fees to be paid on the Council website or via card payments. A date should be agreed regarding when it is practical for the new arrangements to be publicised and enforced.	Med	A report addressing this issue will be made to Cabinet with a fee regime introduced following call in.	Airfield Manager Service Director Commercial and Regulatory	05/09/19	31/12/19 01/04/20	Oct /Dec 19: The Airfield Manager is currently working with the Payment Solutions Team to identify the most appropriate methods of collecting fees.	Overdue
North Weald Airfield 2018/19 Report No. 20.18/19	5	Airfield Manager to liaise with IT regarding the fixing of the NWA webpage. This will	Med	The airfield manager will meet with IT to address this matter.	Airfield Manager	30/07/19	31/12/19 31/01/20	Oct 19: The content for the Airfield's microsite has been submitted to PR and we are awaiting feedback.	Overdue

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(April 2019)		enable instructions regarding payment of landing fees and a link to the Council website to enable prior payment or card payment to be included.			Service Director Commercial and Regulatory			Dec 19: The basics of the website are complete and the content is ready to be input. The Council is changing website host and meetings with potential new host are currently taking place.	
Accounts Payable 2018/19 Report No. 09.18/19 (June 2019)	1	A 'Financial Scheme of Delegation' should be created which details the financial limits assigned to staff and should form part of the Financial Regulations. Following on from the above, the Authorised Signatory Lists should be updated to incorporate the financial limits set out in the Financial Scheme of Delegation and assign to staff accordingly.	Med	This will be taken into account as part of the Council-wide review of delegations which is currently in progress.	Service Director – Business Services	31/12/19	31/03/20	Oct /Dec 19: This work is on-going and evolving as the People Strategy is implemented.	Overdue
Review of Payroll BACS and HMRC payments 2019/20 (October 2019)	3	There should be monthly reconciliation of payroll accounts to identify discrepancies which can then be investigated promptly.	Med	Payroll reconciliations will be completed by the Team Manager – People on a monthly basis (HR Manager until recruitment takes place)	Service Director Business Services	01/11/19	31/01/20	Dec 19: Internal Audit has been requested to assist with implementing this process to ensure it properly carried out.	Overdue
Business Support Reconciliations 2019/20 December 2019)	1	The Building Control, legal fees and industrial and commercial rents reconciliations should all be undertaken monthly to provide assurance that fees	High	Reports available in M3 for Building Control and Timebase for Legal will be investigated	Team Manager Business Support – Finance/ Service Manager Business Support and ICT	31/03/20		n/a	In progress

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		due have been received by the Council. If it is confirmed that the only external legal fees relate to commercial and industrial properties it may be appropriate to reconcile legal fees to details transferred into Propman with the commercial and industrial rents (Propman) reconciliation ensuring all fees and charges are invoiced and collected from tenants.							