

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

Last updated: 09 March 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
<b>Software Licencing</b> 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	<p><b>Oct 19/ Dec 19:</b> 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.</p> <p><b>Feb 20:</b> The People Strategy is still ongoing, so there are some areas of the organisation currently going through, or yet to start, restructure. However, ICT have written out to the organisation requesting details of employees to begin updating the AD.</p>	Overdue
<b>Software Licencing</b> 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	<p><b>Oct 19:</b> 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.</p> <p>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.</p> <p><b>Dec 19:</b> An initial meeting has been held with the system supplier and will be taken</p>	Overdue

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								forward in conjunction with procurement.  <b>Feb 20:</b> A project is underway to re-implement HOTH, which will include an ICT Asset Management/licensing module as standard, as well as reporting tools. ICT are also in the process of building a portfolio of our 90 plus applications, including user groups, licenses etc. Both of these pieces of work feature in the proposed revised ICT Strategy which is due to go to Cabinet in March 2020.	
<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.	Med	Members will be issued with an EFDC password and a corporate device.	Service Director- Customer Services	31/05/19	<del>30/09/19</del> <del>04/12/19</del> <del>31/01/20</del> 31/03/20	<b>Jun 19:</b> 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. An update on the final position will be provided by September 2019.  <b>Oct /Dec 19:</b> The solution has been installed and tested on a	Overdue

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		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.						testbed of members and will be rolled out in January 2020.  <b>Feb 20:</b> The solution for Members who wish to receive Council e-mails on their personal devices was rolled out in January and is continuing. The use of private emails will cease at the end of March, to afford the IT team sufficient time to resolve any outstanding issues with iPads and personal devices.	
<b>Business Rates – Council Wide Approach</b> 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	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	<b>Oct 19 / Feb 20:</b> Due to long-term sickness it has not been possible to re-commence this working group.	Overdue

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		ensure that any actions recommended by the Forum are GDPR compliant.							
<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	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	<b>Jun 19//Dec 19/Feb 20:</b> There has been no progress with the Planning M3 system due to the lack of resources and the migration of staff into the Business Support Unit.	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).	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	<b>Jun 19:</b> 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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		The Business Rates Manager should 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 .						<p><b>Oct /Dec 19:</b> Due to long-term sickness it has not been possible to progress this.</p> <p><b>Feb 20:</b> There has been some progress on aspects of this work, although it has not been possible to complete it yet.</p>	
<b>Economic Development</b> 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 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.	Med	Agreed	Service Director Community and Partnerships	30/11/19	<del>31/01/20</del> 31/03/20	<p><b>June 19:</b> Members asked for further consultation on the Economic Development Strategy so will be presenting back in September 2019 with revisions to the draft strategy.</p> <p><b>Oct 19:</b> Additional consultation is currently taking place electronically and in addition, a Stakeholder Consultation event has been arranged for November 13<sup>th</sup> at Theydon Bois Village Hall.</p> <p>Following this event consultation feedback will be collated and a report presented to Cabinet with recommendations in January 2020.</p> <p><b>Dec 19:</b> 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</p>	Overdue

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								<p>Cabinet with recommendations, in March/April 2020 to enable findings from the O&amp;S Task &amp; Finish Review on Local High Streets to be included.</p> <p><b>Feb 20:</b> A revised report will be presented to Cabinet in March, which will include a set of recommendations and three key priorities for Economic Development in the district. The first meeting of the Local High Streets Task &amp; Finish Review Panel will take place on 24<sup>th</sup> Feb. A DDF item has been flagged to enable the development and implementation of an Economic Development Delivery plan.</p>	
<b>Review of FirstPort Property Services invoices 2018/19</b>	3	<p>There should be a Staff Communication from Business Support to include the following:</p> <ul style="list-style-type: none"> <li>• the procedures for ordering, receipting and processing invoices</li> <li>• new suppliers should be set up promptly and preferably in advance of invoices</li> <li>• staff should not hold onto invoices</li> </ul>	Low	A staff communication is being drafted.	Service Manager Business Support and ICT/ Service Director – Business Services	31/07/19	<del>30/11/19</del> <del>31/01/20</del> 31/03/20	<p><b>Oct 19:</b> 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.</p> <p><b>Dec 19/Feb 20:</b> 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.</p>	Overdue

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		<ul style="list-style-type: none"> <li>staff should request that suppliers include a contact name or department on invoices.</li> </ul>							
<b>North Weald Airfield 2018/19</b> Report No. 20.18/19 (April 2019)	4	<p>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.</p> <p>A date should be agreed regarding when it is practical for the new arrangements to be publicised and enforced.</p>	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	<del>31/12/19</del> 31/05/20	<p><b>Oct 19:</b> The Airfield Manager is currently working with the Payment Solutions Team to identify the most appropriate methods of collecting fees.</p> <p><b>Feb 20:</b> Work is still ongoing, and the aim is to implement a scheme in April/May 2020.</p>	Overdue
<b>North Weald Airfield 2018/19</b> Report No. 20.18/19 (April 2019)	5	Airfield Manager to liaise with IT regarding the fixing of the NWA webpage. This will enable instructions regarding payment of landing fees and a link to the Council website to enable prior payment or card payment to be included.	Med	The airfield manager will meet with IT to address this matter.	Airfield Manager  Service Director Commercial and Regulatory	30/07/19	<del>31/12/19</del> <del>31/01/20</del> 31/03/20	<p><b>Oct 19:</b> The content for the Airfield's microsite has been submitted to PR and we are awaiting feedback.</p> <p><b>Dec 19/ Feb 20:</b> 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.</p>	Overdue
<b>Review of Payroll BACS and HMRC payments</b>	3	There should be monthly reconciliation of payroll accounts to identify discrepancies	Med	Payroll reconciliations will be completed by the Team Manager – People on a monthly basis (HR	Service Director Business Services	From 01/11/19	<del>31/01/20</del> 31/03/20	<b>Dec 19:</b> This was previously carried out with accountancy. Responsibility needs to be reallocated following the	Overdue

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2019/20 (October 2019)		which can then be investigated promptly.		Manager until recruitment takes place)				departure of the member of staff and a meeting has been arranged for 12 March 2020, which includes Internal Audit, to review payroll processes.	
Health and Safety – Satellite Offices 2019/20 Report No. 06.19/20 (February 2020)	2	Managers are formally reminded of the need to bring risk assessments up to date and for these to be reviewed and updated at least annually thereafter or earlier if circumstances change.  Centrally an officer is designated to carry out quarterly check that satellite office/depot risk assessments are up to date.  A Lone Working Risk Assessment is undertaken at Norway House A fire risk assessment be undertaken at the Oakwood Hill Depot to assess whether there is an increased	High	All team managers have been instructed with immediate effect to record all training and training needs, risk assessments and upload these onto a matrix based on that of Oakwood Hill. They will also be tasked with discussing H&S at each team meeting and all records will be required to be sent to their Level 2 Service Manager ahead of the quarterly Corporate Safety Team to be checked for compliance with HSAWA Fire Risk assessment in the hands of Facilities Management.	Contingency Planning and Corporate Safety Officer.	30/03/20			In progress



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		risk whilst the current building works are taking place.							