

EFDC Internal Audit Recommendation Tracker (Overdue and high priority)

Last updated: 14 September 2020

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
Health and Safety Corporate Approach Report No. 14.18/19 (April 2019)	2	H&S Corporate Strategy, Policy and supporting procedures should be reviewed at appropriate level and refreshed if necessary.	Low	There is in the Commercial and Regulatory Services Service Plan for 2019/20 a requirement for corporate risk assessments to be reviewed by March 2020. This requirement will be extended to include a review of the Corporate strategy.	Service Director Business Services	31/03/20	31/10/20	<p>Jun 20: The Council has recently appointed an additional H&S officer to provide the capacity to enable this and other outstanding actions to be progressed, alongside day to day activity.</p> <p>Jul 20: A review of the corporate H&S Strategy is being undertaken by the Strategic H&S Group.</p> <p>Sep 20: A review of the policy will be completed once all the supporting documents and guidance are in place. The following work has been undertaken: the communications structure within the Strategic Safety Group (SSG) and Operational Safety Group (OSG) have been reviewed and clarified.</p>	Overdue
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	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	04/04/20 31/10/20	<p>Oct 19/Feb 20: Due to long-term sickness it has not been possible to re-commence this working group.</p> <p>Jun /Jul/Sep 20: The Business Rates Specialist returned to work in April 2020 and the priority has been dealing with the Council's response to central government's grants initiatives for small businesses. The service has also been progressing several major projects including aligning Council Tax UPRNs to the GIS system to enable weekly</p>	Overdue

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		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.						reconciliation of properties, implementing the new sundry debt system and carrying out prework on the HB subsidy.	
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	01/10/19 01/04/20 31/10/20	Jun 19/Dec 19/Feb 20: 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. Jun/Jul/Sep 20: The Business Rates Specialist returned to work in April 2020 and the priority has been dealing with the Council's response to central government's grants initiatives for small businesses. The service has also been progressing several major projects including aligning Council Tax UPRNs to the GIS system to enable weekly reconciliation of properties, implementing the new sundry debt system and carrying out prework on the HB subsidy.	Overdue

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<p>Business Rates – Council Wide Approach Report No. 13.18/19 (April 2019)</p>	<p>5</p>	<p>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 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>	<p>Low</p>	<p>Accepted - officers will look at options for pulling this information together and adjust processes accordingly</p>	<p>Revenues and Benefits Manager</p>	<p>31/05/19</p>	<p>04/10/19 04/04/20 31/10/20</p>	<p>Jun 19: There has been little progress in developing the Planning Information Input Log, due to the lack of resources.</p> <p>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.</p> <p>Oct /Dec19: Due to long-term sickness it has not been possible to progress this.</p> <p>Feb 20: There has been some progress on aspects of this work, although it has not been possible to complete it yet.</p> <p>Jun/Jul/Sep 20: The Business Rates Specialist returned to work in April 2020 and the priority has been dealing with the Council's response to central government's grants initiatives for small businesses. The service has also been progressing several major projects including aligning Council Tax UPRNs to the GIS system to enable weekly reconciliation of properties, implementing the new sundry debt system and carrying out prework on the HB subsidy.</p>	<p>Overdue</p>

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Council Tax and Business Rates Report No. 11.18/19 (May 2019)	4	Similar to the control operated over Council Tax, the Business Rates Team should undertake a periodic review (ideally annually) of reliefs claimed to ensure that businesses remain eligible.	Low	A program of canvassing will be undertaken for 2019/20	Services Director (Customer Services)	31/03/20	30/09/20	Jun/Jul/Sep 20: The program was due to be introduced in December 2019, before annual billing, but was delayed due to the lack of resources. Ideally it would then have been introduced immediately after annual billing, but this has not been possible due to Covid-19 and the administration of Business Support Grants. The service has also been progressing several major projects including aligning Council Tax UPRNs to the GIS system to enable weekly reconciliation of properties, implementing the new sundry debt system and carrying out prework on the HB subsidy. The canvass will be carried out before 1 October, in time for the second half-year.	Overdue
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	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	Contingency Planning and Corporate Safety Officer.	30/03/20	31/12/20	Jun 20: The Council's immediate response to Covid19 has caused a significant shift in working arrangements which has altered the risk in relation to this recommendation. The current risks in satellite offices has reduced as work from these locations has been either suspended or reduced. The focus of H&S officers has been in ensuring that staff are working safely from home and all staff are being asked to complete a home safety assessment. An additional Health and Safety Officer has recently joined Epping Forest District Council	Overdue

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		<p>assessments are up to date.</p> <p>A Lone Working Risk Assessment is undertaken at Norway House</p> <p>A fire risk assessment be undertaken at the Oakwood Hill Depot to assess whether there is an increased risk whilst the current building works are taking place.</p>		Fire Risk assessment in the hands of Facilities Management.				<p>and a priority task will be addressing these outstanding recommendations, once work on ensuring staff are working safely at home has been completed.</p> <p>Jul 20: This is being prioritised by the Strategic Safety Group (SSG).</p> <p>Sep 20: A risk assessment template is ready to be signed off at the next SSG meeting.</p> <p>An online electronic accident reporting form which links directly with HR records has been produced and is being trialled by some members of staff. This will have a reminder system so the H&S Officer can check for RIDDOR and enables uploading of risk assessments and safe systems of work if the incident calls for investigation. Currently working a way to produce reports for the SSG.</p>	
Health and Safety – Satellite Offices 2019/20 Report No. 06.19/20 (February 2020)	6	At least quarterly, the Contingency Planning and Corporate Safety Officer to receive the training matrices referred to above, to ensure that the appropriate H&S training is being identified and delivered in a timely manner.	Med	All points above are relevant to this and will ensure all training needs are identified in a timely manner.	Contingency Planning and Corporate Safety Officer.	30/03/20	31/12/20	<p>Jun/Jul 20: Linked to the action above. A corporate health & safety officer post has been created and they will implement the issues arising from this audit. The person commenced on 2 June 2020, and a complete review of the audit will be conducted as priority.</p> <p>Sep 20: Essential H&S training for all staff has been fully assessed by the Health & Safety</p>	Overdue

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								Officer and options to obtain more robust online and interactive training modules at varying levels, including maintaining training records and for all H&S subjects prepared. This has been discussed with the Council's Learning & Development Manager to agree a budget for this. Regular reporting to the H&S Officer will be introduced for monitoring purposes.	
Data Retention and Disposals 2019/20 Report No. 09.19/20 (February 2020)	1	Corporate data retention and disposals policy and procedures should be produced, published on the intranet and communicated to staff. The policy should be developed with reference to the Information Commissioners Office (ICO) guidance, setting out the purpose, scope, roles and responsibilities relating to data retention, covering all data types, and be subject to annual review by the Information Governance Group (IGG).	High	The policy will be developed as part of the Information Governance Group.	Business Services Director (As Chair of IGG)	31/07/20	30/9/20	Jul 20: A Strategic Information Governance Group (IGG) has been established whose role will include overseeing the Information Governance framework (including policies), setting standards and monitoring the work programme. An operational IGG will be responsible for day to day operations and providing management information to the Strategic Group. Sep 20: The draft data retention and disposals policy was approved by the strategic IGG 25 August 2020. It will be submitted to the operational IGG for endorsement at its meeting on 23 September 2020, following which it will be published on the intranet and communicated to staff.	Overdue