Appendix 3
EFDC Internal Audit Recommendation Tracker (Overdue and In Progress)
Last updated: 09 November 2018

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
Audit Recommendations 2016/17									
Recruitment of Staff Report No. 15.16/17 June 2017	4	The Recruitment Toolkit procedure should be reviewed and updated if appropriate to ensure that they reflect current working practices. Once updated, the latest version should be added to the intranet, so that they are available for reference by all members of staff.	Low	Human Resources have an overall policy review timetable and are currently updating the 'organisational change' policy. The Recruitment Toolkit is scheduled to be reviewed later in the year.	HR Manager	30/08/18	31/12/20	**Aug/Oct 18**: This is now proposed as part of the wider recruitment strategy work plan and will be the last item in 2020.	Overdue
Management of Council Housing Voids Report No. 09.16/17 June 2017	1	The system for transferring void property keys between Housing Options and Housing Repairs should be reviewed ahead of the relocation of the Housing Repairs Service to Oakwood Hill Depot.	Med	A review of the process for transferring keys will be undertaken, both now and when the Repairs Service relocates, to consider if any time can be saved.	Assistant Director Housing Operations/ Assistant Director Housing Property/ Director of Communities	31/03/18	31/04/19	**June/Aug/Oct 18**: The movement of keys between the Repairs Service currently located at Epping Depot and Housing Options has been reviewed and minimised. The transfer of void property keys will need to be reviewed again as part of the relocation of the Housing Repairs Service. This is logged as an action on the live project P150 Relocation of the Repairs Service to Oakwood Hill Depot. The revised target date is in advance of the intended move in April 2019.	Overdue
Audit Recommendations 2017/18									
Commercial Properties – Service Charges Report No.	1	The correct Service Charge relating to 2016/17 for the Broadway should be	Med	Agreed	Chief Estates Officer/ Director of Neighbourhoods.	31/10/18	31/03/19	**Sept / Oct 18**: The first part of the reconciliation has been undertaken. The service charges will be completed	Overdue

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15.17/18 April 2018		calculated and invoices or credit notes issued.						once the service charge figures for 2017-18 have been received.	
Commercial Properties – Service Charges Report No. 15.17/18 April 2018	3	A management fee should be introduced for service charges at the Broadway.	Med	Agreed	Chief Estates Officer/ Director of Neighbourhoods.	31/10/18	31/03/19	**Sept / Oct 18**: The appropriate level of management fee is currently being looked into.	Overdue
Leisure Management Contract Report No. 18.17/18 May 2018	4.4	The financial monitoring and contract payment process should be documented to ensure business continuity.	Low	The processes will be formally documented when resources become available.	Leisure Contract Manager in conjunction with the Assistant Director Accountancy	30/06/18	30/12/18	**June/Sept/Oct 18**: This has been delayed due to resource issues. Although there are no formal written processes, in addition to the Contract Manager, the Senior Capital Accountant is aware of the financial monitoring and contract payment processes. The situation regarding an administrative assistant will be reviewed following the outcome of the current restructure.	Overdue
Payroll Report No. 22.17/18 April 2018	3	The new electronic new starter forms should incorporate an in-built application control that mandates the completion of all fields in the form prior to submission. The HR Team should raise this at the next project development meeting (or equivalent forum).	Low	A form is in the process of being developed with ICT. It will need thorough testing before implementation	HR Manager, People Team	31/08/18	28/02/19	**Aug/Oct 18**: This will be completed as part of the proposed recruitment strategy work plan which is due to start in November 2018 and complete in February 2019.	Overdue

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Absence Management Report No. 23.17/18 April 2018	1	The HR Department should increase the frequency in which it reviews key absence policies and procedures. Policies and procedures should be updated to incorporate the following points: ▪ Include a 'related documents' section with hyperlinks to additional relevant information. ▪ 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. Include details of relevant legislation, if applicable.	Med	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.	HR Manager, People Team	31/10/18	31/10/19	**Sept / Oct 18**: 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.	Overdue
Absence Management Report No. 23.17/18 April 2018	3	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	Low	Some of this information can be communicated to managers via District Lines as an update. The Managing Absence Procedure will be reviewed next (currently three other policies – grievance, disciplinary and change are being updated)	HR Manager, People Team	31/10/18	31/10/19	**Sept / Oct 18**: 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.	Overdue

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		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. 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 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.							
Capital Programme (Non-Housing Related) Projects Report No.	2	To improve monitoring of the development of the Council's property assets by the AMEDCC,	Low	Where appropriate, highlight reports from Pentana will be presented to the Asset Management and Economic	Acting Chief Executive/ Head of Transformation	31/10/18	31/03/19	**Oct 18**: Highlight reporting from Pentana was not presented to the October meeting. Project management processes, including the	Overdue

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12.17/18 August 2018		consideration should be given to including highlight reporting from Pentana as part of the update reports to the AMEDCC.		Development Cabinet Committee.				reporting mechanisms from Pentana, are currently being reviewed.	