

UPDATE ON THE IMPLEMENTATION OF RECOMMENDATIONS SUPPLIED BY INTERNAL AUDIT											
Audit Title	Assurance Rating	No of recommendations	Details of recommendation	Not yet due for implementation	Superseded	Not implemented	Partially implemented/ongoing	Implemented	Priority	Responsible Officer/s	Commentary from internal audit & response
Council Tax/Benefits Support System 2017/18	Reasonable Assurance	1	Management to ensure that reconciliations are produced on a weekly basis to check for any imbalances. Documents to be signed and dated by the preparer and reviewer					1	MEDIUM	Judith Doney/Pete Wells	Weekly reconciliations are being undertaken.
Business Process Review 2017/18	Reasonable Assurance	3	<b>Lack of communication</b> 1For future BPRs, management responsible for the implementation of actions and delivery of cost savings, should be involved in a final meeting to establish the key actions required.				1		MEDIUM	Gillian McTaggart	No future BPR's have been undertaken so we can not evidence this action. They are due to be reinstated although specific details are not agreed. This recommendation is marked as on going as can not be evidenced
Business Process Review 2017/18	Reasonable Assurance		<b>Dissemination to key staff</b> 2.Following the introduction of the Homelessness Reduction Act, all Contact Centre staff should be given training on the Housing Options Wizard		1				MEDIUM	Annette Snell	Due to changes in the Homelessness Reduction Act, the training of Contact Centre staff on the Housing Options Wizard is not now appropriate.
Business Process Review Homelessness 2017/18	Reasonable Assurance		<b>Attributable cost savings</b> .Cost savings achieved should be linked and attributable, at least in part, to the actions implemented following the BPR. Where possible future BPRs should detail how proposed efficiency measures can be measured and linked to anticipated (and actual) costs reductions.				1		MEDIUM	Gillian McTaggart	As part of lessons learnt any future BPR's will link any cost savings identified into the actions implemented.
Payroll Procedural Documents 2017/18	Reasonable Assurance	6	There is currently no procedural document in place to explain the process of payroll, or the roles and responsibilities of individuals since the migration of payroll to an outsourcing faculty. The Council will ensure a procedural document is in place to detail the roles and responsibilities and changes in process to the outsourcing of payroll since April 2017.				1		MEDIUM	Shona Mason/Debbie Childs	Partially implemented - ongoing.

<b>Payroll Reconciliation 2017/18</b>	<b>Reasonable Assurance</b>		Reconciliation between Payroll and the General Ledger are undertaken by the Council's Finance team. Management to ensure that reconciliations are performed on a monthly basis. They will be calculated by the Financial Accountant before being signed off by the Senior Accountant. Signed copies will be stored on file.	-	-	-	-	1	MEDIUM	Chris Morgan	Reconciliation between Payroll and the General Ledger is being undertaken on a monthly basis
<b>Corporate Governance Complaints Process 2017/18</b>	<b>Reasonable Assurance</b>	4	A new complaint process introduced in January 2018 with a narrower definition of a complaint was determined. Clarification and training needs to be provided to the staff to differentiate between a formal complaint and a standard rectification request in respect of service failure, in addition to an overview of the new two stage process and the narrower definition.					1	MEDIUM	Gillian McTaggart/Emma Jeffrey	Two stage process for complaints is explained in the Customer Charter on the EEBC website. All staff received refresher training following the audit. All new staff are trained on the feedback policy.
<b>Corporate Governance Monitoring Update to Committee 2017/18</b>	<b>Reasonable Assurance</b>		A monitoring update on complaints received has not been provided to the Audit, Crime & Disorder and Scrutiny Committee in the last 12 months. An annual monitoring update will be provided to members through a report to the Audit Committee. It will report on year on year trends in complaint numbers as well as the number of complaints reaching Stage 2 and Local Government Obudsmen level and an overall compliance to the 15 day response target.					1	MEDIUM	Gillian McTaggart/Joy Stevens	A report was taken to the June ACD & S committee providing members with an opportunity to scrutinise complaints
<b>Emergency Planning Critical Function Analysis 2017/18</b>	<b>Reasonable Assurance</b>		The ICT department will undertake a review into their current Business Continuity Plan and provide further detail surrounding the critical function analysis. The critical function analysis should adequately document the details of the function and any resources required for the recovery of the function.				1		MEDIUM	Phil Gall/Gill Marchbank	This is ongoing the ICT manager is reviewing the business continuity arrangements and the disaster recovery arrangements. The critical function analysis will be undertaken as part of this.
<b>Emergency Planning Shared ICT service with Elmbridge BC, memorandum of agreement 2017/18</b>	<b>Reasonable Assurance</b>		The Emergency Planning & Business Continuity officer and the acting Head of ICT will liaise to review the current Memorandum of Agreement for the ICT Shared Service with Elmbridge BC. A discussion will be undertaken with senior officers at Elmbridge BC to establish what arrangements are still in place and can be agreed going forward with particular focus on desk space at the respective Council's in cases of emergency.		1				MEDIUM	Phil Gall	This recommendation is superceded as we are no longer part of a shared service with Elmbridge BC. EEBC need to ensure that new arrangements are sufficient and this is monitored through the IT New Ways of Working Group.

Emergency Planning Shared Data Centre, disaster recovery procedures 2017/18	Reasonable Assurance		The Acting Head of ICT will liaise with the relevant officer at Elmbridge and the lead at the new data centre to confirm a review of the current disaster recovery controls in place at the new data centre. These should be undertaken prior to the new data centre going live. Disaster recovery procedures should be tested on a regular basis to confirm adequate business continuity measures are in place.					1		MEDIUM	Judith Dorney/Phil Gail	The datacentre no longer provides this service and went into administration. The Council now has a contract with ADAM continuity for DR, but this still needs testing. Current DR arrangements need to be reviewed once we have migrated the datacentre on to the new kit the DR arrangements will be tested.
Local Plan Annual Monitoring Report 2017/18	Reasonable Assurance	2	Section 35 of the Planning and Compulsory Act 2004 (as amended) requires local planning authorities to publish monitoring information to the public at least yearly in the interests of transparency. In order to comply with statute the Housing Annual Monitoring Report 2016/17 will be produced as soon as possible.					1		MEDIUM	Ruth Ormelli/Karol Jakubczyk	The 16/17 Housing Annual Monitoring report has been reported to Committee. The 17/18 Housing Annual Report is due to go to Committee in March
Revenues Reminders/Final Letters/ Summons Letters 2017/18	Reasonable Assurance		Management will ensure that the identified case (#100892778) is followed up and summons are issued to the individual responsible. The Council's recovery timetable should be followed to maximise the chances of recovering the debt. In addition, management will ensure that a review of all NNDR cases that are currently in arrears is undertaken to ensure all cases are currently being managed in line with the Council's recovery timetable.					1		MEDIUM	Siobhan Gavigan	The identified case is now on an arrangement to pay, a summons did not become necessary. NNDR arrears cases are now being monitored and managed in line with the Council's recovery timetable.
Cyber Security 2017/18	Advisory		10 medium audit recommendations were identified	10							Judith Doney	The 10 recommendations have not fallen due for implementation and a separate report on progress will be reported to the AC&DS Committee in April
Building & Planning Control Attributable cost savings 2016/17	Reasonable Assurance	1	When the Customer Services Team receive outstanding information to complete a building or planning control application this is not always filtered through to the Planning and Building Control Team promptly. This results in applications being delayed. There is a risk that if applications are not being promptly processed that : - there is a delay in income due to the Council; and - Reputational damage occurs meaning the building control service will potentially receive less repeat business.	-	-	-	-	1		Medium	Emma Jeffrey	The auditors have received management assurance that the action has been implemented. The Customer Service staff confirmed that there are processes in place for applications and once activated, customer services staff can access appointments for building control direct and the diaries are shared. There is no backlog. There is a process for checking open cases although this is done as resources require and cases can be open for a number of years as work is not completed for a final certificate

