

INTERNAL AUDIT FOLLOW UP OF RECOMMENDATIONS REPORT

MALDON DISTRICT COUNCIL

DECEMBER 2020

IDEAS | PEOPLE | TRUST



Summary

2018/19	Total Recs				To follow up	Complete		In progress		Overdue		No Response		Not Due		% Recommendations Implemented
		H	M	L		H	M	H	M	H	M	H	M			
18/19. Fraud Risk Assessment	1	1	-	-	1	1	-	-	-	-	-	-	-	-	-	100%
18/19. Budgets and Performance Management	4	-	1	3	1	-	1	-	-	-	-	-	-	-	-	100%
18/19. Main Financial Systems	2	-	1	1	1	-	1	-	-	-	-	-	-	-	-	100%
18/19. Safe and Clean Environment	6	-	5	1	5	-	4	-	-	-	1	-	-	-	-	80%
18/19. Transformation Programme	1	-	1	-	1	-	1	-	-	-	-	-	-	-	-	100%
18/19. Local Development Plan	3	-	2	1	2	-	2	-	-	-	-	-	-	-	-	100%
18/19. Building Control	5	2	3	-	5	1	3	-	-	-	-	-	-	-	1	80%
	22	3	13	6	16	2	12	-	-	-	1	-	-	-	1	

2019/20

	Total Recs				To follow up	Complete		In progress		Overdue		No Response		Not Due		% Recommendations Implemented
		H	M	L		H	M	H	M	H	M	H	M			
		H	M	L		H	M	H	M	H	M	H	M			
19/20. GDPR Compliance	3	-	3	-	3	-	3	-	-	-	-	-	-	-	-	100%
19/20. Risk Maturity Assessment	5	-	5	-	5	-	5	-	-	-	-	-	-	-	-	100%
19/20. Procurement & Contract Management	6	1	3	2	4	1	3	-	-	-	-	-	-	-	-	100%
19/20. IT Disaster Recovery	4	1	3	-	4	1	3	-	-	-	-	-	-	-	-	100%
19/20. Key Financial Systems	9	2	7	-	9	2	7	-	-	-	-	-	-	-	-	100%
19/20. Workforce Management	3	-	1	2	1	-	1	-	-	-	-	-	-	-	-	100%
19/20. Network Security	7	1	3	3	4	1	3	-	-	-	-	-	-	-	-	100%
19/20. Community Safety	2	-	2	-	2	-	2	-	-	-	-	-	-	-	-	100%
19/20. Flooding Risk Management	4	-	4	-	4	-	-	-	-	-	-	-	-	4	-	0%
19/20. Corporate Governance	5	-	3	2	3	-	3	-	-	-	-	-	-	-	-	100%
	48	5	34	9	39	5	30	-	-	-	-	-	-	4	-	

2020/21

	Total Recs				To follow up	Complete		In progress		Overdue		No Response		Not Due		% Recommendations Implemented
		H	M	L		H	M	H	M	H	M	H	M			
		H	M	L		H	M	H	M	H	M	H	M			
20/21. Safeguarding	5	1	3	1	4	-	-	-	-	-	-	-	-	4	-	0%
20/21. CIPFA FM Preparedness	1	-	-	1	-	-	-	-	-	-	-	-	-	-	-	-
20/21. Workforce Management	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
20/21. Information Management	2	-	2	-	2	-	-	-	-	-	-	-	-	2	-	0%
	8	1	5	2	6	-	-	-	-	-	-	-	-	6	-	

Summary

We regularly follow up progress with the implementation of recommendations raised by Internal Audit and we report to the Performance, Governance & Audit Committee. We request commentary by responsible officers on the progress towards implementation of our recommendations and for high and medium priority recommendations we verify the progress to source evidence and conclude either that the recommendation is complete or incomplete. This information is collected via the Sharepoint portal. This report represents the status of all internal audit recommendations as at 11 December 2020.

2018/19 Recommendations

3 high and 13 medium recommendations have been raised in 2018/19. The current position of these recommendations is as follows:

- 14 are considered implemented as previously reported relating to Budgets and Performance Management (1 recommendation), Main financial Systems (1 recommendation), Safe and Clean Environment (4 recommendations), Transformation Programme (1 recommendation), Local Development Plan (2 recommendations) and Building Control (4 recommendations), Fraud Risk Assessment (1 High)
- Safe & Clean Environment- 1 recommendation is now overdue.
- The below recommendations are not yet due for follow up:
 - Building Control- One high recommendation not yet due (31.12.2020).

2019/20 Recommendations

- 5 high and 34 medium recommendations have been raised in 2019/20, 35 of which are considered implemented and previously reported to the PGA.
- 4 recommendations are not yet due for follow up (Flood Risk Management)

2020/21 Recommendations

- 1 high and 5 medium recommendations have been raised in 2020/21. None of these recommendations are due for follow up.

Recommendations: Overdue

RECOMMENDATION MADE	PRIORITY LEVEL	MANAGER RESPONSIBLE	DUE DATE	CURRENT PROGRESS
2018/19- Safe and Clean Environment				
Create and environmental and waste management strategy.	Medium	Damien Ghela	December 2020 March 2021	<p>We will request a copy of the Climate Change Strategy once approved to ensure this closes off the recommendation appropriately.</p> <p>At the last PGA, the Lead Specialist Community in response to a query regarding the timing of the Climate Change and Waste Strategy report to Strategy and Resources Committee advised that a version with a much wider scope was currently being worked on and shared with internal partners. It was due to be submitted to the Strategy and Resources Committee in December 2020 however this is behind schedule due to operational pressures.</p>

FOR MORE INFORMATION:

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