

# INTERNAL AUDIT FOLLOW UP OF RECOMMENDATIONS REPORT

MALDON DISTRICT COUNCIL

MARCH 2021

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# 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			
		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	-	-	-	-	



# 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 28 February 2021.

## 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, however this recommendation will be picked up through the 2021 audit of Climate Change.
- Building Control- 1 recommendation is now overdue.

## 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.
- 3 recommendations are not yet due for follow up (Flood Risk Management)
- 1 recommendation (Flood Management) is now implemented.

## 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: Implemented

RECOMMENDATION MADE	PRIORITY LEVEL	MANAGER RESPONSIBLE	DUE DATE	CURRENT PROGRESS
2019/20- Flood Risk Management				
The Council should ensure all staff across the Council work-streams involved in managing flooding risks undertake and complete training on flooding risk management. The Council should consider involvement and representation from external flooding agencies to lead on specific training as required	Medium	Damien Ghela- Lead Specialist, Com munity Service Delivery Directorate	October 2020	<p>The Council has re-employed our previous flood specialist who previously managed the flooding workstream. As such, the knowledge of flooding and historic Maldon flooding issues is back within the organisation.</p> <p>The Council have approached partners at Essex County Council and the Environment Agency regarding the availability of flood train. Covid has caused issues in being able to undertake training, mainly because Flood Officers have had to focus on covid management.</p> <p>Covid aside, MDC internal Flooding meetings and participation in County Flooding meetings are back on track, with projects being completed by partner agencies and positive feedback on works thus far.</p> <p>Partners have been represented at the internal flood meetings and delivered updates within their area of expertise. While this isn't formal training, information is being cascaded well by both the Environmental Agency and County Council partners.</p> <p>Internal audit comment: Agreed as implemented.</p>

## Recommendations: Overdue

RECOMMENDATION MADE	PRIORITY LEVEL	MANAGER RESPONSIBLE	DUE DATE	CURRENT PROGRESS
2018/19- Building Control				
Implement adequate policies and procedures providing guidance on the Building Control service function, requirements and deadlines. This should cover the process once notification of planning applications, building notices, demolitions and dangerous structures are received. The timeframes that need to be met including the fees/charges requirement, the process for dealing with under/overpayments and refunds. Once completed and approved this should be made available to all staff.	High	Hannah Wheatley - Specialist Services Manager	<del>December 2020</del> March 2021	<p>Management comment:</p> <p>This has been delayed further due to the Covid pandemic and delays with reviewing the processes as scheduled. The deadline for this audit action will need to be extended to 31-12-20 to give the team time to handle the backlog of building control inspections, agree where changes are required to ways of working, implement these changes and then document them in the necessary policies and procedures.</p> <p>Internal audit comment:</p> <p>No further update was received following the 31 December 2020 revised deadline.</p>

**FOR MORE INFORMATION:**

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