



**INTERNAL AUDIT FOLLOW UP OF  
RECOMMENDATIONS REPORT**

**MALDON DISTRICT COUNCIL**

November 2021

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# 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 October 2021.

## 2018/19 Recommendations

3 high and 13 medium recommendations were raised in 2018/19. Two recommendations were reviewed since the previous PGA:

- Building Control - One high priority recommendation has been implemented
- Safe & Clean Environment - One medium priority recommendation remains overdue.

## 2019/20 Recommendations

5 high and 34 medium recommendations were raised in 2019/20, 35 of which are considered implemented and previously reported to the PGA. The remaining four relate to Flooding Risk Management. Three of these became due since the previous PGA. However, these are yet to be implemented and all are reported as overdue.

## 2020/21 Recommendations

2 high and 10 medium recommendations were raised in 2020/21. Of these, three became due for review since the previous PGA. The current position of these recommendations are as follows:

- Knowledge Management - One medium priority recommendation has been implemented
- Affordable Housing - Two recommendations (one high and one medium) had a target implementation date of September 2021. However, both of these remain overdue.

## 2021/22 Recommendations

3 medium and 2 low recommendations have been raised in 2021/22. These will be followed up as they become due.

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# Recommendations: Implemented

RECOMMENDATION MADE	PRIORITY LEVEL	MANAGER RESPONSIBLE	DUE DATE	CURRENT PROGRESS
<b>2018/19 - Building Control</b>				
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	<del>1 March 2021</del> Revised to September 2021	We confirmed that the Council now has in place Building Control Policy and Procedures which were implemented in July 2021. We noted the documentation to cover four main areas: Enforcement of Building Regulations, Inspection and making safe dangerous structures, Demolition notices and General advice i.e. answering queries, documentation and record keeping.
<b>2020/21 - Knowledge Management</b>				
A) New guidance notes should be developed by the individual teams rather than the improvement team at the time of the process redesign and held centrally on FreshService as a central repository for information, policies and guidance.  B) Evidence of research and meetings with the teams should be retained to ensure the involvement of users can be demonstrated.  C) Sign off should be provided for all new processes before they can go live	Medium	Cheryl Hughes	July 2021	This is now complete due to the introduction of the process improvement checklist. This is working as expected to document the processes as they go live and ensure necessary requirements are met.

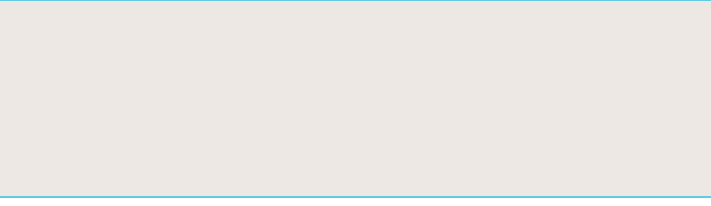
# Recommendations: Overdue

RECOMMENDATION MADE	PRIORITY LEVEL	MANAGER RESPONSIBLE	DUE DATE	CURRENT PROGRESS
2020/21 - Affordable Housing				
<p>A) Ongoing reporting and monitoring of delivery against action plan and the affordable housing targets should be undertaken.</p> <p>B) The Housing Strategy extension should be finalised as soon as possible and an accompanying action plan included which links with the actions in the Housing Service Business Plan.</p> <p>C) The Housing Service Business Plan should be finalised and disseminated to relevant staff.</p>	High	Richard Holmes	<p><del>30 September 2021</del></p> <p>Revised to 31 December 2021</p>	<p>A) We were advised by the Lead Specialist (Community) that whilst there has been internal discussions held around changes required to existing KPI's, this has not yet materialised.</p> <p>B) We were informed by the Lead Specialist (Community) that the existing Housing Strategy is still yet to be taken to Committee members, and will be presented for extension in Q3 2021.</p> <p>C) We were informed by the Lead Specialist (Community) that the Housing Business Plan has been completed and is waiting for sign off/approval before being circulated to key staff.</p>
2.1. The Strategic Housing Board meetings and accompanying terms of reference should be reviewed and meetings re-instituted as soon as possible.	Medium	Richard Holmes	<p><del>30 September 2021</del></p> <p>Revised to 31 January 2022</p>	<p>The first reconstituted Strategic Housing Board (SHB) has now taken place with a range of actions arising. The actions will be used to update the Terms of Reference.</p> <p><i>Audit Comment: Whilst this was noted as completed on Sharepoint, we would require evidence of the ToR having been updated, approved, in place and adhered to before being able to conclude this to be implemented.</i></p>
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	Medium	Richard Holmes	<p><del>30 September 2020</del></p>	We were advised by the Lead Specialist (Community) that the Council has not started to develop training arrangements due to pressures brought on by Covid-19. Despite this, we were advised that staff who are

flooding agencies to lead on specific training as required.			Revised to 31 January 2022	involved with flood risk management still attend relevant Flood Boards, however the Council recognise that updates are required to the Master Flood Sheet, in addition to the Flood Policy being updated to be in line with the Council's Climate Strategy.
<p>A) The newly appointed community lead specialist should contact the key members from each organisation and members within the Council to discuss flooding risks in the short term and ensure the Council are well placed to manage potential risks. Due to the Covid-19 pandemic, if formal face-to-face meetings cannot take place, virtual meetings should be held.</p> <p>B) Discussion should be held with external bodies on the training support they may be able to provide (Finding 1) and discussions should also be held with the service delivery Officers on the elements they would like covered in training.</p>	Medium	Richard Holmes	<p><del>30 September 2021</del></p> <p>Revised to 31 January 2022</p>	<p>We were informed by the Lead Specialist (Community) that the internal flood risk groups are taking place, with actions being identified such as updating key documentation and revising policies. It was noted however that engagement with external organisations such as Anglian Water, Essex or Suffolk County Council continue to be limited.</p> <p>We were informed by the Lead Specialist (Community) that the Council is continuing to seek engagement and support from partner agencies to help develop the Council's training and overall knowledge in terms of Flood Risk, for example through part of the ECC Flood Board. However, the Council has yet to implement dedicated Flood Risk training</p>
The Council should design and implement a formal SUDS strategy that includes the designated responsibilities and formal governance arrangements to manage and monitor SUDS. Training should be provided where necessary potentially incorporating this as part of the wider flooding risk management training	Medium	Richard Holmes	<p><del>30 September 2021</del></p> <p>Revised to 31 January 2022</p>	We were informed by the Lead Specialist (Community) a SUDS strategy, including governance and process arrangements will be added into the overarching MDC Flood Risk Strategy Document. The Council is still in progress however is looking to liaise with Flood Risk experts and wider partners to help develop the strategy.
<b>2018/19 - Safe and Clean Environment</b>				
<p>The Council should create an environmental and waste management strategy of their own. This could incorporate the Inter-Authority Agreement, however should have a wider view of environmental management as a whole.</p> <p>This strategy should outline what the Council would like to achieve in the medium to long term in</p>		Paul Dodson	<p><del>2019/2020</del></p> <p>Revised to 31 March 2022</p>	There no updates for a draft strategy due to ongoing management of Covid relation workstreams.

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regards to the environment, with specific targets and actions to assist in implementing the strategy, as well as an intermittent review to ensure the Council is working towards implementing the strategy.



FOR MORE INFORMATION:

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