



**INTERNAL AUDIT FOLLOW UP
OF RECOMMENDATIONS REPORT**

Maldon District Council

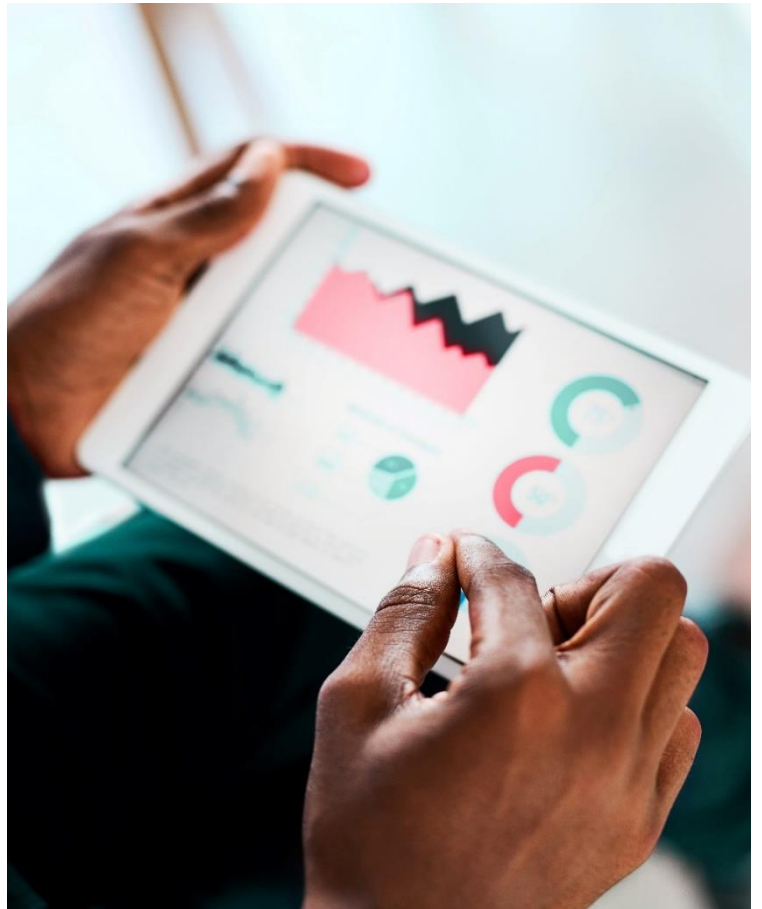
March 2023

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SUMMARY

2019/20	Total Recs	H	M	L	To follow up	Complete		Overdue		Not Due	
						H	M	H	M	H	M
Flood Risk Management	4	-	4	-	4	-	1	-	3	-	-
Total	4	-	4	-	4	-	1	-	3	-	-

2020/21	Total Recs	H	M	L	To follow up	Complete		Overdue		Not Due	
						H	M	H	M	H	M
Knowledge Management	3	-	3	-	3	-	2	-	1	-	-
Total	3	-	3	-	3	1	8	-	1	-	-

2021/22	Total Recs	H	M	L	To follow up	Complete		Overdue		Not Due	
						H	M	H	M	H	M
Management of Property	4	1	3	-	4	-	1	1	2	-	-
Commercialisation	4	-	1	3	1	-	-	-	-	-	1
Contract Management	3	-	3	-	3	-	-	-	-	-	3
Total	11	1	7	3	8	-	1	1	2	-	4

2022/23	Total Recs	H	M	L	To follow up	Complete		Overdue		Not Due	
						H	M	H	M	H	M
Corporate Governance	2	-	2	-	2	-	2	-	-	-	-
Payment Controls	4	1	3	-	4	1	3	-	-	-	-
Flood Management	2	-	2	-	2	-	-	-	1	-	1
Safeguarding	4	1	3	-	4	-	-	-	1	1	2
Strategic Performance - Place	2	-	1	1	1	-	-	-	-	-	1
Community Safety	2	-	1	1	1	-	-	-	-	-	1
Total	15	2	11	2	14	1	5	-	2	1	5

SUMMARY

2019/20

- ▶ Flood Risk Management - Three recommendations remain overdue despite an extended implementation date as part of the recent 2022/23 review. These are reported below.

2020/21

Of the 2 high and 10 medium recommendations raised in 2020/21, there has been movement as per below:

- ▶ Knowledge Management - There remains one medium priority recommendation which has a further revised implementation date of June 2023. This is reported below as overdue.

2021/2022

1 high and 16 medium recommendations were raised in 2021/22 in total. No recommendations have become due since the previous PGA.

2022/2023

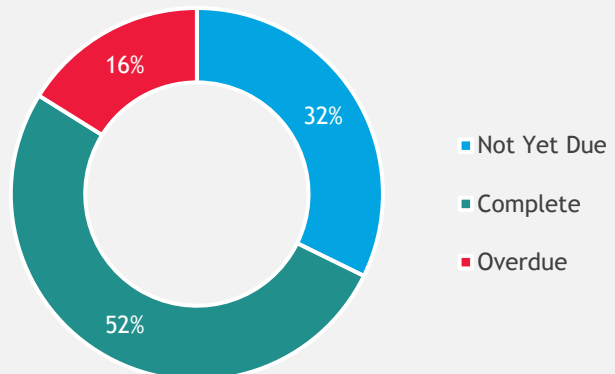
2 high and 11 medium recommendations have been raised as part of the 2022/23 plan to date. Of these, three have become due:

- ▶ Corporate Governance - Both recommendations have now been implemented and reported as complete below.
- ▶ Safeguarding - One recommendation has become due and is not yet fully implemented.

REQUIRED AUDIT COMMITTEE ACTION:

We ask the Audit Committee to note the progress against the recommendations.

Total Cumulative implementation 21/22 and 22/23



RECOMMENDATIONS: COMPLETE

AUDIT	ACTIONS AGREED	PRIORITY LEVEL	MANAGER RESPONSIBLE	DUE DATE	CURRENT PROGRESS
2022/23					
Corporate Governance	The report from the CGWG should be reconsidered by the Council. If the Council is unwilling to accept the full recommendations at this time it should be considered whether separate voting be done on the recommendations of the report, to allow adoption of some of the other five improvements in the absence of the full report being approved.	Medium	Cheryl Hughes	31 December 2022	The area planning matter was reconsidered, as recommended, by Council on 15 th December 2022. Additionally, Overview and Scrutiny committee also has a workplan item of planning decision making so the wider points are also being picked up.
Corporate Governance	<p>A) The Council should continue to remind Members of the importance of completing regular training, which for key areas such as Planning, Licensing and Scrutiny should be on an annual basis.</p> <p>B) Due to Scrutiny training being considered mandatory, the Council should assess if it is appropriate to remove Councillors from committees where they have not yet completed the necessary scrutiny training, similar to those who do not attend Planning and Licensing training who have their roles reduced and are temporarily prevented from voting on certain items.</p>	Medium	Cheryl Hughes	31 January 2022	<p>A) Draft training onboarding plan agreed at working group 30/01. Members agreed to mandatory courses to be added, and comms on the training dates will be shared with Members far in advance to ensure attendance (when they register as an election candidate).</p> <p>B) Working group agreed with the mandatory training element. While there has not been a constitutional update, it has been advertised for the Member onboarding. Once the PGA working group is set up, it is something we would take back through them if there is an issue with compliance.</p> <p><i>Audit Comment: Minutes from the onboarding group were seen and verified</i></p>

RECOMMENDATIONS: OVERDUE

These recommendations have been marked as overdue as they missed their agreed implementation date or no update has been provided.

AUDIT	ACTIONS AGREED	PRIORITY LEVEL	MANAGER RESPONSIBLE	DUE DATE	CURRENT PROGRESS
2019/20					
Flood Risk Management	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	Damien Ghela	30 September 2021 31 January 2022 31 December 2022 30 June 2023	Maldon Council are not the lead flood authority. Flooding responsibility sits with the EA and Essex County Council. As such, Maldon are governed by the ECC wide SUDS strategy and flood strategy which ECC control. However, MDC have our own master list. It is intended that this will be formed into a more strategic document to support the County wide strategies. The Maldon Master Flood List has been given to partners for update. An adapted Strategy will be drafted after the list is updated.
Flood Risk Management	Discussion should be held with external bodies on the training support they may be able to provide and discussions should also be held with the service delivery officers on the elements they would like covered in training.	Medium	Damien Ghela	30 September 2021 31 January 2022 31 December 2022 30 June 2023	Anglian water have engaged with recent flood partnership meetings however, there are no flood management training courses other than ad-hoc, informal training. The Officer overseeing the Flood Workstream has had partnership meetings to discuss Maldon's flood risk requirements.
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	30 September 2021 31 January 2022 31 December 2022 30 June 2023	Anglian water have engaged with recent flood partnership meetings however, there are no flood management training courses other than ad-hoc, informal training. The Officer overseeing the Flood Workstream has had partnership meetings to discuss Maldon's flood risk requirements. <i>Audit Comment: Given the similarities in the two above recommendations and work being done to complete these, it is suggested that these are amalgamated as one action whereby training needs are collated and external agencies are utilised to deliver this training where possible.</i>

2020/21						
Knowledge Management	Ensure all BCPs are updated and held centrally	Medium	Hannah Wheatley	31 December 2021 31 December 2022 30 June 2023	Initial discussions with another local authority in Essex to see how they may be able to assist. The proposal is for the LA to share all templates and activity they have undertaken. Current thinking is to build this work into the service planning work this spring. Service delivery will be re shaped over this period and Heads of Service will have the clarity over the services to complete. We have also reviewed out statutory service lists to establish what must continue in the event of disruption (this work is in connection with possible national power failure) so activity is happening there. In addition, IT maintain the Disaster Recovery Plan of all ICT which of course underpins BC.	
2022/23						
Flood Risk Management	The Council should review the Action Plan to assess whether it could be further improved to incorporate the key risks, controls and action owners and to ensure that the projects sufficiently cover all of the specific flooding risks faced by the Council.	Medium	Damien Ghela	31 December 2022 31 March 2023	Original action from 19/20 review was completed, However, through the new flood risk management audit a further improvement has been identified with a recommendation made. This is being worked on and will be updated in due course.	
Safeguarding	<p>A) All required attendees should be reminded of their responsibility to attend the bi-monthly safeguarding meetings and continual non-attendance escalated to CLT</p> <p>B) A tracker should be introduced within the safeguarding meeting to ensure the attendees are able to monitor progression of any actions raised.</p>		Damien Ghela and Alistair Morrell	31 January 2023 31 May 2023	<p>A) Current DSOs have been reminded of the need to attend the safeguarding meeting. Work on updating our DSOs has begun. It was a discussion point in the Safeguarding and ASB meeting on the 09/02/23.</p> <p>B) This was also part of discussions. The action tracker should be in place from April 2023 meeting onwards.</p>	

FOR MORE INFORMATION:

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