



central midlands audit partnership

# South Derbyshire District Council – Audit Progress Report

Audit Sub-Committee: 8<sup>th</sup> December 2021



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## Our Vision

To bring about improvements in the control, governance and risk management arrangements of our Partners by providing cost effective, high quality internal audit services.

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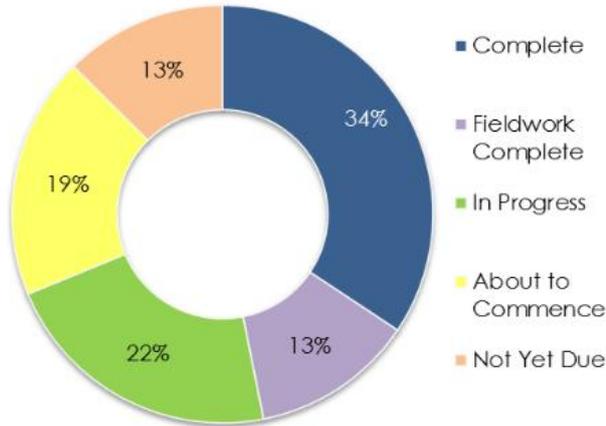
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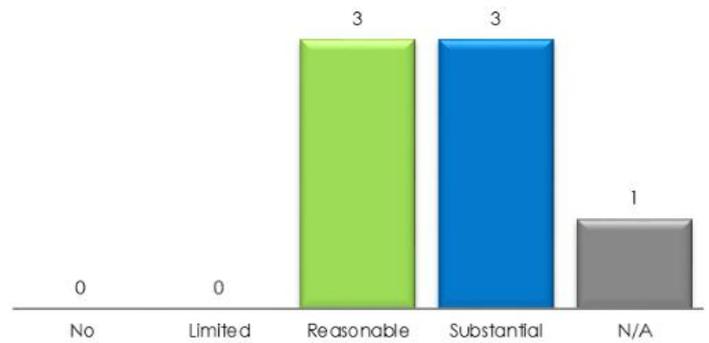
# AUDIT DASHBOARD

## Plan Progress



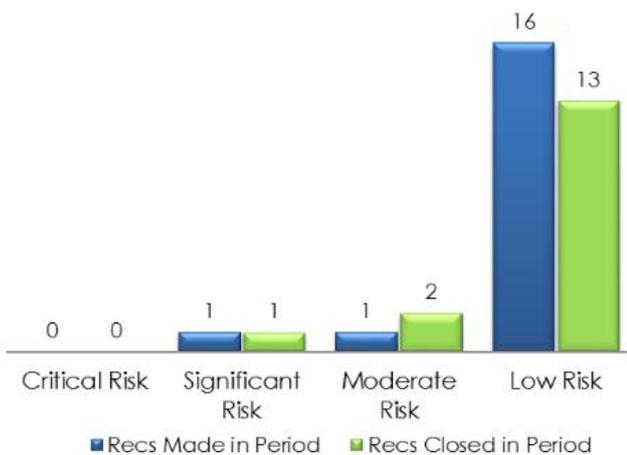
## Jobs Completed in Period

Control Assurance Ratings During Period



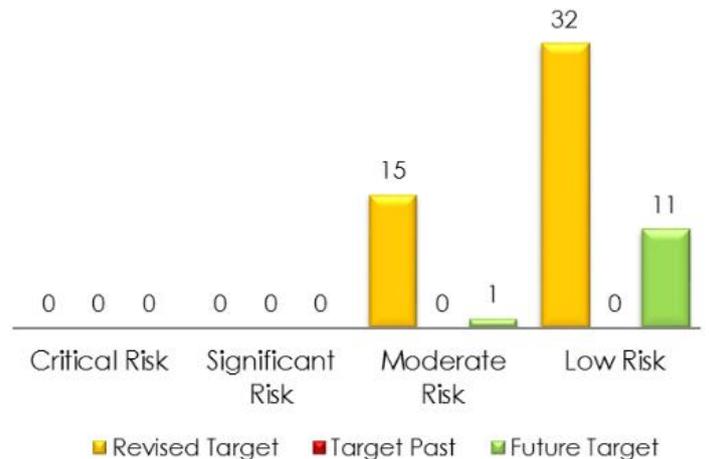
## Recommendations

Movement During Period



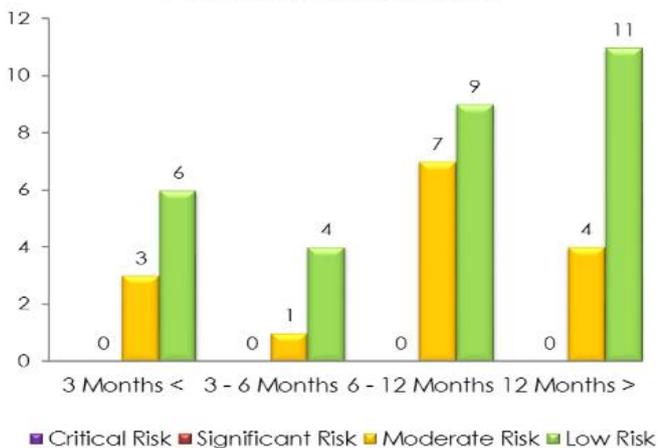
## Recommendations

Recommendations Currently Open



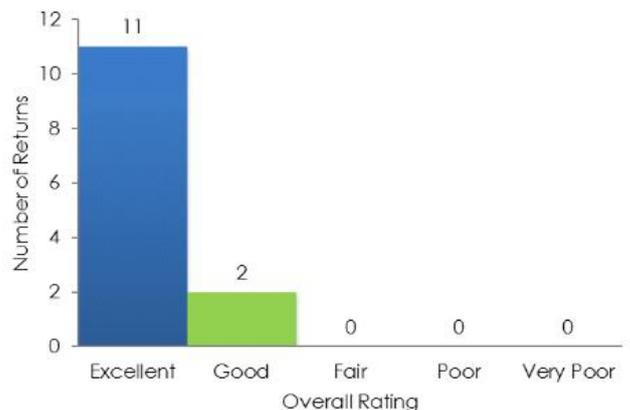
## Recommendations

Overdue Recommendations



## Customer Satisfaction

Returns Between Nov 20 & Nov 21



## South Derbyshire District Council – Audit Progress Report

### AUDIT PLAN

#### Progress on Audit Assignments

The following tables provide Audit Sub-Committee with information on how audit assignments were progressing as at 31<sup>st</sup> October 2021.

2021-22 Jobs	Status	% Complete	Assurance Rating
Data Protection & FOI 2021-22	Final Report	100%	Reasonable
Procurement 2021-22	In Progress	0%	
Income Streams 2021-22	Not Allocated	0%	
Financial Management Standards 2021-22	Final Report	100%	Reasonable
Covid Related 2021-22	Not Allocated	0%	
Insurance 2021-22	Final Report	100%	Substantial
Taxation 2021-22	Final Report	100%	Substantial
Payroll Probity 2021-22	In Progress	20%	
Creditors 2021-22	Allocated	0%	
Asset Management 2021-22	In Progress	65%	
Revenues Systems 2021-22	Allocated	5%	
Cashiering 2021-22	Fieldwork Complete	90%	
IT Applications 2021-22	In Progress	10%	
IT Infrastructure 2021-22	Not Allocated	0%	
Project Management 2021-22	In Progress	45%	
People Management 2021-22	Allocated	10%	
Data Quality & Performance Management	Final Report	100%	Substantial
Development Management 2021-22	Not Allocated	0%	
Climate Change 2021-22	In Progress	20%	
Affordable Housing 2021-22	Final Report	100%	N/A
Allocations & Homelessness 2021-22	Allocated	10%	
Rent Accounting 2021-22	Draft Report	95%	
Corporate Governance 2021-22	Draft Report	95%	
B/Fwd Jobs	Status	% Complete	Assurance Rating
Business Continuity & Emergency Planning	Final Report	100%	Reasonable
Procurement 2020-21	Final Report	100%	Reasonable
Housing Benefit & Council Tax Support	In Progress	75%	
Microsoft 365 Platform	Final Report	100%	Reasonable
Financial Reporting - Impact of Covid19	Final Report	100%	Substantial
Leisure Centres 2020-21	Allocated	5%	
Housing Repairs 2020-21	Final Report	100%	Limited
Waste Contract - Pre-Procurement Stage	Final Report	100%	Reasonable
Electoral Services 2020-21	Allocated	20%	

#### Plan Changes

None.

## South Derbyshire District Council – Audit Progress Report

### AUDIT COVERAGE

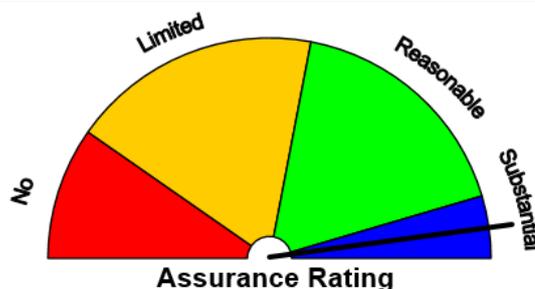
#### Completed Audit Assignments

Between 25<sup>th</sup> August 2021 and 29<sup>h</sup> November 2021, the following audit assignments have been finalised.

Audit Assignments Completed in Period	Assurance Rating	Recommendations Made				% Recs Closed
		Critical Risk	Significant Risk	Moderate Risk	Low Risk	
Insurance	Substantial				2	0%
Taxation 2021-22	Substantial					n/a
Data Quality & Performance Management	Substantial					n/a
Data Protection & Freedom of Information	Reasonable			1	10	36%
Business Continuity	Reasonable				3	33%
Affordable Housing	N/A					n/a
Financial Management Standards	Reasonable		1		1	100%

Control Objectives Examined	Controls Evaluated	Adequate Controls	Partial Controls	Weak Controls
	Adequate insurance cover is in place, to cover known areas of insurable risk, legal and other contractual requirements.	6	4	2
Insurance Claims are promptly and adequately assessed, processed and dealt with to conclusion with summary information reported to management.	4	4	0	0
Data relating to insurance policies and claims is appropriately stored and managed.	4	3	1	0
The insurance function is appropriately recognised throughout the Council and given sufficient priority to enable the Insurance Team to deliver their service effectively.	3	2	1	0
<b>TOTALS</b>	<b>17</b>	<b>13</b>	<b>4</b>	<b>0</b>
Summary of Weakness		Risk Rating	Agreed Action Date	
The Council may not be realising best value for money from its present insurance product, due to the length of time between independent broker assessments of its circumstances.		Low Risk	30/06/2026 Future Action	
The insurance guidance was found to be out-of-date and contained a number of minor errors throughout the documents.		Low Risk	31/03/2022 Future Action	

### Insurance

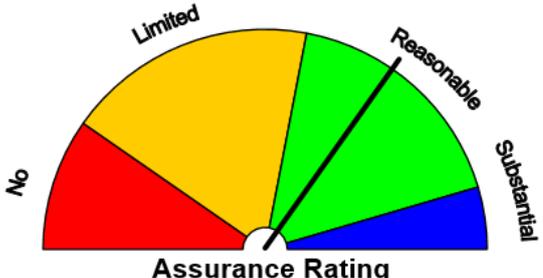


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Taxation 2021-22					
Control Objectives Examined	Controls Evaluated	Adequate Controls	Partial Controls	Weak Controls	
Procedural documentation and guidance is in place in respect to taxation and sufficient training and support is provided to staff.	5	5	0	0	
VAT for elections expenses has been calculated and reported accurately, with suitable supporting documentation retained.	7	7	0	0	
VAT reconciliations have been completed regularly and financial system reports are accurate & reliable.	3	3	0	0	
<b>TOTALS</b>	<b>15</b>	<b>15</b>	<b>0</b>	<b>0</b>	
This report contained no recommendations, as no key control weaknesses were identified by the audit review.					

Data Quality & Performance Management					
Control Objectives Examined	Controls Evaluated	Adequate Controls	Partial Controls	Weak Controls	
There are suitable governance arrangements in place for the successful management and monitoring of data quality throughout the authority.	7	7	0	0	
There are robust processes for managing individual performance indicators and ensuring the accuracy of the reported performance figures.	6	6	0	0	
There are adequate quality checks in place for ensuring the validity of the performance data and the resulting data trail.	6	6	0	0	
<b>TOTALS</b>	<b>19</b>	<b>19</b>	<b>0</b>	<b>0</b>	
This report contained no recommendations, as no key control weaknesses were identified by the audit review.					

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Data Protection & Freedom of Information	 <p style="text-align: center;"><b>Assurance Rating</b></p>			
Control Objectives Examined	Controls Evaluated	Adequate Controls	Partial Controls	Weak Controls
The Council has embedded key requirements of the General Data Protection Regulations into its business as usual processes.	7	2	4	1
The Council has established appropriate policies for dealing with Freedom of Information requests	4	0	1	3
Employees have been made aware of and provided with appropriate training in Freedom of Information legislation	3	1	0	2
Robust systems have been established for processing and monitoring Freedom of Information requests	6	5	1	0
<b>TOTALS</b>	<b>20</b>	<b>8</b>	<b>6</b>	<b>6</b>
Summary of Weakness		Risk Rating	Agreed Action Date	
The presentation and content of policy documents relating to the Data Protection Framework were inconsistent with respect to the inclusion of version control and carrying out a review.		Low Risk	31/12/2021 Future Action	
Privacy notices had not been subject to regular review to ensure they remained fit for purpose.		Low Risk	31/12/2021 Future Action	
Not all staff had completed the annual mandatory GDPR refresher training and not all Members had attended and completed GDPR training.		Moderate Risk	31/12/2021 Future Action	
The content of the Information Asset Register had not been reviewed since it was established during 2018.		Low Risk	31/12/2021 Future Action	
Not all ISA's and IPA's had been signed or reviewed and the Council had not established a central log of the ISA's & IPA's that it held.		Low Risk	31/12/2021 Future Action	
The Council had not established and published a FOI policy.		Low Risk	07/10/2021 Implemented	
The Council had not fully adopted the Model Publication Scheme created by the Information Commissioners Office for public authorities.		Low Risk	07/10/2021 Implemented	
The Council had published two different limits at which point a charge for information could be made and had not established a schedule of charges detailing the different types of charges that may be made.		Low Risk	07/10/2021 Implemented	
Officers responsible for administering FOI requests received by the Council had not received appropriate training on the topic.		Low Risk	31/12/2021 Future Action	
Officers across the Council had not received any training in the requirements of the FOI Act 2000.		Low Risk	31/12/2021 Future Action	
Key information set out by the ICO and pertinent to making an FOI request had been omitted from the Council's FOI guidance webpages.		Low Risk	07/10/2021 Implemented	

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Business Continuity	Assurance Rating			
	No	Limited	Reasonable	Substantial
<b>Control Objectives Examined</b>	<b>Controls Evaluated</b>	<b>Adequate Controls</b>	<b>Partial Controls</b>	<b>Weak Controls</b>
Appropriate Business Continuity Management arrangements have been established and fully embedded within the Council, in accordance with the Civil Contingencies Act 2004.	10	4	6	0
An effective corporate Business Continuity response to Covid-19 has been implemented.	17	13	3	1
<b>TOTALS</b>	<b>27</b>	<b>17</b>	<b>9</b>	<b>1</b>
<b>Summary of Weakness</b>		<b>Risk Rating</b>	<b>Agreed Action Date</b>	
Inconsistencies or instances of incomplete information were identified in the Business Continuity Plan.		Low Risk	31/12/2021 Future Action	
Testing of the Universal Contact List had not taken place in 2020 despite this being a crucial element to the business continuity arrangements.		Low Risk	31/12/2021 Future Action	
Minutes of the Leadership Team meetings did not always provide a comprehensive and clear record of decisions made and actions taken during the Covid-19 pandemic.		Low Risk	Risk Accepted	

## Affordable Housing

We undertook a consultancy review and spoke to officers in the Council's Strategic Housing Team and reviewed relevant information to establish the current arrangements for providing affordable housing.

We also sought to provide some comparative information in relation to the provision of affordable housing by a small sample of other local Council's within and in close proximity to the Derbyshire county area. Where areas of best practice were identified, we have advised on any gaps in procedures or areas where we feel these can be improved upon.

we have undertaken a consultancy review and have spoken to officers in the Council's Strategic Housing Team and reviewed relevant information to establish the current arrangements for providing affordable housing.

Having considered the information we have collated and the results of the discussions we have held with the Strategic Housing and Development Manager, we are of the opinion that there is no current cause for concern in respect of the Council's provision of affordable housing to the district.

We have formed this opinion based on the following:

- The Council seeks to negotiate up to 30% affordable housing on development sites of 15 dwellings or more. The Council's Local Plan identifies the 30% target as a starting point for negotiations, acknowledging possible issues with viability and that, in agreement with the Council, a lower target could be used. The issue of viability is one also acknowledged in the SHMA (January 2020).
- The Council has consistently exceeded the target set of delivering 150 new affordable homes in the district, since at least 2016/17, including 2020/21 when the Covid pandemic hit. It also remains on target to deliver during 2021/22.

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- Review of Planning Committee reports in 2020 demonstrate that the Strategic Housing Team are actively involved in planning applications which include affordable housing provisions and S106 agreements.
- The Strategic Housing Team are actively engaged with and support Registered Providers in the area and hold quarterly forum meetings, chaired by the Council's Strategic Housing and Development Manager, to discuss housing related topics, including affordable housing.
- The Strategic Housing and Development Manager chairs the quarterly meetings of Derbyshire Strategic Housing Officers Group, held to discuss housing topics and issues across the county. This further demonstrates the Strategic Housing Team actively engaging with Strategic Housing Officers from across the county of Derbyshire.
- There are limited differences when drawing comparisons with other local Council's in the area. Three of the five Council's reviewed (including South Derbyshire) seek to provide up to 30% affordable housing with two Council's taking a slightly different approach in terms of their percentage affordable housing target.

Whilst for the reasons listed above, we are of the opinion that there is no current cause for concern, based on the information provided to us, we feel we must caveat this with a note of caution, specifically in relation to the economic climate. The Council has demonstrated its success in its provision of affordable housing over recent years but should be mindful that factors outside of its control may come to the fore and detrimentally impact that success in the months and years to come. As suggested earlier in this report, we would encourage the Council to consider re-introducing the Corporate Performance Measure in this regard such that this can be actively monitored on a regular basis.

Financial Management Standards	Assurance Rating			
	No	Limited	Reasonable	Substantial
Control Objectives Examined	Controls Evaluated	Adequate Controls	Partial Controls	Weak Controls
The Council has considered its financial sustainability and taken appropriate action to demonstrate its compliance with the principles and standards set out in CIPFAs Financial Management Code.	7	5	1	1
<b>TOTALS</b>	<b>7</b>	<b>5</b>	<b>1</b>	<b>1</b>
Summary of Weakness		Risk Rating	Agreed Action Date	
The annual General Fund, Housing Revenue Account and Capital budgets were not formally received and approved by Full Council, as required by the Council's Constitution and to meet the requirements of the Local Government Act 2000.		Significant Risk	Not Accepted	
The Council had not engaged where appropriate with key stakeholders in developing its long-term financial strategy, medium-term financial plan and annual budget.		Low Risk	Risk Accepted	

Given that we have raised a significant risk weakness that the Council has not accepted, it is considered appropriate that we provide Committee with greater detail of the Audit finding as well as management's full response:

### Detailed Finding – The Annual Budget

We expected that the Council would have taken appropriate action to assess its compliance with the standards set out in Section 4 of the Financial Management Code (the annual budget).

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Standard J of the Financial Management Code requires that the Authority complies with its statutory obligations in respect of the budget setting process. CIPFA's Financial Management Code states that the Local Government Act 2000 requires the Full Council to approve the annual budget. We could find no evidence that this was the case at the Council.

For the 2021/22 budget the following occurred:

- Special budget committees were convened in January to consider proposed Service budgets.
- The budget proposal was presented to Overview and Scrutiny Committee on 10<sup>th</sup> February 2021; paragraph 3.4 stated: "*Full Council due to consider and approve final proposals on 24<sup>th</sup> February*".
- The Finance and Management Committee considered the consolidated budget on 11<sup>th</sup> February 2021 and resolved that "*the Committee considered and approved the estimates of revenue income and expenditure on the General Fund for 2021/22*". There were similar resolutions for the Housing Revenue Account and Capital budgets.
- The Section 151 Officers report and the Council Tax Setting report were presented to the Full Council at the 24<sup>th</sup> February 2021 meeting, but the annual budget was not.
- The minutes of the 11<sup>th</sup> February 2021 Finance and Management Committee were not received by Full Council until the 16<sup>th</sup> September 2021, and we could find no minutes that recorded the Full Council's approval of the 2021/22 budget.

The Strategic Director (Corporate Resources) has indicated that the approval process recounted above for 2021/22 is the same annual budget approval process that the Council has followed for over 20 years. Evidence from Council minutes would seem to support this assertion.

We reviewed the Council's Constitution and found that Article 4 (4.02 bullets 5 and 6) stated that only the Full Council would approve and adopt the revenue and capital budgets. Article 20 (the Responsibilities of Committees) stated that the responsibility of the Finance and Management Committee (FM08) and the Housing and Community Services Committee (HCS01) was to recommend an annual budget to be set by Full Council. The Council's Financial Regulations and Financial Procedure Rules also stipulated that budgets required the approval of Full Council (see also Appendix A).

If the annual General Fund, Housing Revenue Account and Capital budgets are not approved by Full Council, the Council could be failing to act in accordance with the Local Government Act 2000 and legally could be considered not to have set a budget.

### Appendix A – Information Re – Budget Setting

#### **CIPFA Financial Management Code Guidance Notes (page 74):**

##### **“STATUTORY REQUIREMENTS REGARDING BUDGET-SETTING**

There is a considerable volume of legislation surrounding the budget-setting process for authorities. The specific legislation and associated compliance requirements will depend on (a) the nature of the authority and (b) the UK home nation in which it is situated.

In general, authorities are required by statute to set and agree an income and expenditure budget prior to the beginning of the financial year to which the budget relates. For local authorities in England and Wales, for example:

- the Local Government Act 2000 requires the full council to approve the annual budget, on the recommendation of the executive or equivalent, together with the associated council tax demand.

#### **Local Government Association: A Councillors Workbook on Local Government Finance (page 11):**

“This section considers how a local council plans its finance and agrees its annual budget.

There is a significant amount of legislation around local authority financial planning and budgeting. This is outlined below.

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- The Local Government Act 2000 states that it is the responsibility of the full council, on the recommendation of the executive (or the elected mayor) to approve the budget and related council tax demand."

### Local Government Association: How Are Decisions Made?

"Whichever [executive] system an authority opts for, it must have a full council on which all councillors sit. This is responsible for setting the policy framework, agreeing the budget and spending plans, electing the leader and making constitutional decisions. It is also a forum for debate on major issues affecting the council and its local area."

### South Derbyshire DC's Constitution (Article 4 – Full Council - 4.02 Functions of Full Council):

"Only Full Council will exercise the following functions:

4. To approve and adopt the Council's Revenue Budget (General Fund and Housing Revenue Account);
5. To approve and adopt the Council's Capital programme (General Fund & Housing);"

### South Derbyshire DC's Financial Regulations (A: Financial Management):

"FULL COUNCIL

2. Full Council is responsible for adopting the Constitution and Members' Code of Conduct and for approving the Budget and Policy Framework within which the Policy Committees operate. It is also responsible for approving and monitoring compliance with the Authority's overall framework of accountability and control and for agreeing procedures for carrying forward under- and overspending on budget headings."

&

"COMMITTEES - FINANCE AND MANAGEMENT COMMITTEE

5. The Finance and Management Committee is responsible for proposing the Budget and Policy Framework to Full Council."

### South Derbyshire DC's Financial Procedure Rules (B: Financial Planning):

"**Strategic Director (Corporate Resources)**

- B2.1 To advise the Members on the format of the Budget that is approved by Full Council. "

&

"**Chief Officers**

- B2.20 To prepare estimates of income and expenditure, in consultation with the Strategic Director (Corporate Resources), to be submitted to Full Council."

## Audit Recommendation

We recommend that the Council takes appropriate advice on the legal standing of its 2021/22 budgets. Going forward, in accordance with the Council's Constitution, the Full Council should receive General Fund, Housing Revenue Account and Capital budgets and should minute that they have been considered and approved before the March deadline.

## Management's Response

In line with the Council's Constitution and Committee System, the Council does not receive full budget details. Following an open and transparent process through the Committee system, Finance and Management Committee recommend the level of income and expenditure to Full Council as part of Council Tax setting. This is backed up by the report of the Section 151 Officer and the Budget Statement delivered by the Leader.

At the Full Council meeting, members have the opportunity to challenge and ask questions regarding the Budget and have prior access to all reports considered by the Policy Committees. Many members would also have the opportunity to scrutinise proposals at these Committees.

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When the Council Tax is set, this also effectively approves the Budget as recommended by Finance and Management Committee, subject to any changes made at the Full Council meeting.

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### RECOMMENDATION TRACKING

Final Report Date	Audit Assignments with Open Recommendations	Assurance Rating	Recommendations Open		
			Action Due	Being Implemented	Future Action
06-Sep-21	Data Protection & Freedom of Information	Reasonable			7
15-Sep-21	Insurance	Substantial			2
27-Sep-21	Business Continuity 2020-21	Reasonable			2
06-Jan-21	Tenancy Management (	Substantial		1	
27-Jan-21	Housing Safety Inspections 2020-21	Reasonable		3	
03-Feb-21	Waste Management (Trade Waste)	Reasonable		3	
16-Jun-21	Housing Repairs 2020-21	Limited		9	
21-Dec-20	Safeguarding 2020-21	Reasonable		1	
26-Mar-21	Revenues Systems 2020-21	Substantial		3	
17-Aug-21	Financial Reporting - Impact of Covid19	Substantial		1	
09-Jun-20	Treasury Management 2019-20	Reasonable		1	
25-Nov-20	Payroll 2019-20	Reasonable		1	
06-Aug-20	Bereavement Services 2019-20	Reasonable		3	
22-Oct-20	Grounds Maintenance 2019-20	Reasonable		6	1
03-Mar-20	Improvement Grants 2019-20	Reasonable		1	
17-Dec-19	Active Communities & Health	Substantial		1	
26-Mar-19	Fleet Management	Reasonable		2	
23-Jul-19	Payroll 2018-19	Reasonable		1	
29-Aug-19	Corporate Governance 2018-19	Reasonable		1	
13-Nov-19	Development Management 2018-19	Reasonable		1	
12-Feb-19	PCI Compliance 2018-19	Reasonable		3	
14-Feb-19	Allocations & Homelessness 2018-19	Reasonable		1	
25-Jan-19	Section 106 Agreements 2018-19	Reasonable		1	
13-Nov-17	Officers Expenses & Allowances	Reasonable		1	
07-Aug-17	Parks & Open Spaces	Reasonable		2	
		<b>TOTALS</b>		<b>47</b>	<b>12</b>

**Action Due** = The agreed actions are due, but Internal Audit has been unable to ascertain any progress information from the responsible officer.

**Being Implemented** = The original action date has now passed and the agreed actions have yet to be completed. Internal Audit has obtained status update comments from the responsible officer and a revised action date.

**Future Action** = The agreed actions are not yet due, so Internal Audit has not followed the matter up.

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Audit Assignments with Recommendations Due	Action Due			Being Implemented		
	Significant Risk	Moderate Risk	Low Risk	Significant Risk	Moderate Risk	Low Risk
Tenancy Management						1
Housing Safety Inspections 2020-21					2	1
Waste Management (Trade Waste)					1	2
Housing Repairs 2020-21					4	5
Safeguarding 2020-21						1
Revenues Systems 2020-21						3
Financial Reporting - Impact of Covid19						1
Treasury Management 2019-20					1	
Payroll 2019-20						1
Bereavement Services 2019-20					1	2
Grounds Maintenance 2019-20					2	4
Improvement Grants 2019-20					1	
Active Communities & Health						1
Fleet Management						2
Payroll 2018-19					1	
Corporate Governance 2018-19						1
Development Management 2018-19						1
PCI Compliance 2018-19					1	2
Allocations & Homelessness 2018-19						1
Section 106 Agreements 2018-19						1
Officers Expenses & Allowances					1	
Parks & Open Spaces						2
<b>TOTALS</b>					<b>15</b>	<b>32</b>

## South Derbyshire District Council – Audit Progress Report

### HIGHLIGHTED RECOMMENDATIONS

#### Being Implemented – Significant or Moderate Risk Recommendations

The following significant or moderate risk rated recommendations, that have not yet been implemented, are detailed for Committee's scrutiny.

PCI Compliance 2018-19	Rec No. 8
Summary of Weakness / Recommendation	Risk Rating
<p>The Council was not PCI Compliant and was paying non-compliance fees to a third party. Further management fees were being paid to the financial system provider for PCI and they were also charging the Council for a verbal assessment that no-one at the Council knew anything about.</p> <p>We recommend that the Council establishes a PCI Compliance Action Plan which should take account of the non-compliance fees being paid and should look to work with the third party to ensure that they are able to provide compliance to them and remove the non-compliance fee. The Council should also determine what benefits the Council receives for the PCI DSS Management Fee and verbal assessment.</p>	Moderate Risk
Management Response/Action Details	Action Date
This matter has been raised with Capita360 and there are several issues that have been raised previously about responsibility for the various elements of PCI DSS compliance and which appear to affect compliance. Following the meeting with Capita on 15 <sup>th</sup> February 2019 a compliance action plan will be drafted for agreement by each team.	01/04/2019
Status Update Comments	Revised Date
The Council has undertaken a comprehensive PCI audit with a specialist consultancy. Two key recommendations were made, namely the delivery of Call Secure Plus and P2PE, as well as the update of a few key policies and submission of the council's PCI accreditation. These projects and spend were approved by Finance & Management Committee in March 2021. Call Secure Plus project is ready to go, but is dependent on the delivery of SIP which is now being progressed. P2PE is dependent on the supplier (Capita) and is in the final stages of testing and delivery. The PCI questionnaires/ accreditation and updated policies are due to be approved/submitted by 31 December 2021 and annually thereafter.	31/12/2021 Future Action

Officers Expenses & Allowances	Rec No. 2
Summary of Weakness / Recommendation	Risk Rating
<p>The review of essential user allowances process, which was due to be carried out annually, had not been carried out.</p> <p>We recommend that the Council considers a root and branch review of its approach to the payment of travel expenses, with a view to reducing the number of uneconomic payments made through the essential user scheme.</p>	Moderate Risk
Management Response/Action Details	Action Date
The payments are contractual for employees and therefore formal consultation will need to be undertaken. The Council is completing a job evaluation project and it is planned to commence discussions with the Trade Unions as part of a wider review of employment conditions and to fit in line with negotiations being completed on a national basis. Position to be reviewed 30 <sup>th</sup> September 2019.	30/09/2018
Status Update Comments	Revised Date
The payments are contractual for employees and therefore formal consultation will	31/03/2022

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need to be undertaken. A wider review of employment terms and conditions is to be completed as part of the post-Covid actions and this will be considered further as part of this work.	Future Action
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Payroll 2018-19	Rec No. 1
Summary of Weakness / Recommendation	Risk Rating
<p>There was no process in place to check that all changes made on the Resource Link Payroll system were valid and supported by appropriate documentation.</p> <p>We recommend that a standard report should be setup on the Resource Link system that produces a listing of all changes made to Payroll records by all users within the period. This should then be used to ensure that appropriate documentation is held to support all changes made, and that they have been accurately input. Furthermore, the Checked by column in the HR spreadsheet should be regularly completed to evidence each item listed has been checked.</p>	<b>Moderate Risk</b>
Management Response/Action Details	Action Date
A number of options are being explored to address this issue with the software provider and will subsequently eradicate the level of risk. There is already a report developed that can be used to run reports on all users from Resource Link. The process of running reports was agreed in the previous audit 2017/18. Subject to the implementation of a new reporting tool, reports will be run on all users to identify any new starters and changes made to the system. In addition, the previously agreed arrangements will continue and this will include the exchange of information between HR and payroll to clarify any other changes that impact on an employee's salary. This will include the completion of the checked by column.	01/10/2019
Status Update Comments	Revised Date
<p>Work has been completed to ensure that adequate separation of duties is in place and documented evidence provided.</p> <p>The monthly spreadsheet detailing changes will continue to be produced and exchanged by HR and Payroll.</p> <p>Work is to be progressed during 2021/22 in relation to the ongoing provision of the Payroll service and this will include the establishment of ongoing controls on this area.</p>	<p>01/04/2022</p> <p>Future Action</p>

Improvement Grants 2019-20	Rec No. 5
Summary of Weakness / Recommendation	Risk Rating
<p>No performance targets had been set for the key stages of the DFG process, and there was no regular monitoring or reporting of performance to management.</p> <p>We recommend that appropriate targets are identified for the standard types of adaptation. Performance against these targets should be monitored and reported regularly to management.</p>	<b>Moderate Risk</b>
Management Response/Action Details	Action Date
This will need to be developed in collaboration with other local authorities within the Derbyshire county council area. To enable comparison and benchmarking	30/06/2020
Status Update Comments	Revised Date
New PIs have been devised for incorporation within the Foundation IT Package	24/12/2021
	Future Action

## South Derbyshire District Council – Audit Progress Report

Bereavement Services 2019-20	Rec No. 2
Summary of Weakness / Recommendation	Risk Rating
<p>Contract opportunities for the provision of a grave digging service had not been advertised on the Contracts Finder website, in line with the requirements of the Public Contract Regulations 2015, and there was no current contract in place.</p> <p>We recommend that the Council pursues one of the following actions: A corporate contract may be required for the area of spend and as such a formal tender exercise should be undertaken. Engage the Council's DSO to provide the service at the rural cemeteries as well as the urban cemeteries. The area of spend may be relevant to an existing or new framework agreement/contract which should be used to formalise the process. If no competitive market is available this should be demonstrated and a formal exemption from the Contract Procedure Rule should be put in place.</p>	Moderate Risk
Management Response/Action Details	Action Date
All options will be assessed and taken forward after the Covid-19 pandemic is over as the risk of any changes to the service are too great at the present time.	01/01/2021
Status Update Comments	Revised Date
Delay in procurement due to COVID management requirements. Desire to minimise any potential risk to service continuity.	01/04/2022
	Future Action

Treasury Management 2019-20	Rec No. 1
Summary of Weakness / Recommendation	Risk Rating
<p>Officers could not locate a contract or similar agreement between the Council and its appointed financial advisor. A letter of appointment had been provided by the advisors that suggested that the current arrangement had been in place for eight years, seemingly without review or reaffirmation. Accordingly, Contract Procedure Rules could have been breached and the procurement could be non-compliant with Procurement Regulations.</p> <p>It is recommended that the Contract Procedure Rules are invoked for the procurement of investment advice, following which the arrangements between the Council and its chosen advisors are made the subject of a formal contract or SLA in which the service expectations for both parties are clearly identified.</p>	Moderate Risk
Management Response/Action Details	Action Date
A review of potential procurement frameworks alongside a market test of providers and discussions with other Local Authorities across Derbyshire regarding their advisors will be undertaken prior to the renewal date.	28/02/2021
Status Update Comments	Revised Date
A Value for Money exercise has been undertaken and a report will be presented to the Finance and Management Committee on 13 January 2022. This will recommend the appointment of advisors on a 3-year contract based on proposals submitted and a service level agreement will be put in place. Revised implementation date 31 January 2022.	31/01/2022
	Future Action

## South Derbyshire District Council – Audit Progress Report

Grounds Maintenance 2019-20	Rec No. 3
Summary of Weakness / Recommendation	Risk Rating
<p>The capacity of Operational Services for carrying out tree maintenance works was insufficient, limiting responsiveness.</p> <p>We recommend that appropriate funds are identified to ensure that the new Tree Strategy and Tree Policy can be adequately resourced and implemented.</p>	Moderate Risk
Management Response/Action Details	Action Date
Tree Strategy and Policy is planned to go to Committee February 2021	01/03/2021
Status Update Comments	Revised Date
<p>The draft Tree Strategy and Policy has been reviewed by the Council's insurers, Zurich to ascertain level of risk and to identify any required financial commitment.</p> <p>Following this review, external consultants have been brought to provide SME support and objective challenge in relation to the draft Tree Strategy and Policy, as well provide a review of the current status of trees management and recommend what appropriate resourcing will be required meaningfully address current identified issues/concerns. This is due to be completed by the end of 2021. This will be followed by soft-market testing, to inform how we strategically position trees management (&amp; possibly part of/linked to grounds maintenance) moving forward.</p> <p>Tree Strategy and Policy is planned to go to Committee Spring/Summer 2022</p>	<p>31/03/2022</p> <p>Future Action</p>

Grounds Maintenance 2019-20	Rec No. 6
Summary of Weakness / Recommendation	Risk Rating
<p>Reactive work requested and performed was not consistently recorded.</p> <p>We recommend that reactive work requests should be logged and the outcome recorded. This should include, as a minimum, the following details:</p> <ul style="list-style-type: none"> <li>• Date and time issue was reported.</li> <li>• Location of work.</li> <li>• Details of issue.</li> <li>• Urgency.</li> <li>• Customer details.</li> <li>• Work completed date.</li> <li>• Time spent on work.</li> <li>• Operative name.</li> <li>• Outcome.</li> </ul> <p>This information should be monitored to draw out the following:</p> <ul style="list-style-type: none"> <li>• Time spent on reactive work vs planned work, to inform workforce planning.</li> <li>• Responsiveness to requests, to allow effectiveness to be determined.</li> <li>• Trends in the types of work requested, to inform planned maintenance.</li> </ul>	Moderate Risk
Management Response/Action Details	Action Date
Operational Services is currently undertaking a management restructure, a formal process will be developed and implemented following this restructure.	01/04/2021
Status Update Comments	Revised Date
<p>This issue is now part of the asset management transformation project phase two. Original plan was to develop an in-house system, this is still in the design stage and a specification for requirements has now been developed.</p>	<p>01/03/2022</p> <p>Future Action</p>

## South Derbyshire District Council – Audit Progress Report

Housing Safety Inspections 2020-21	Rec No.5
Summary of Weakness / Recommendation	Risk Rating
<p>Fire Risk Assessments had not been reviewed at the required frequency for all relevant properties.</p> <p>We recommend that the intended procurement of a Fire Risk Assessment provider be prioritised and that all overdue Fire Risk Assessments are undertaken and documented as soon as practically possible.</p>	<b>Moderate Risk</b>
Management Response/Action Details	Action Date
Short term – requested to be completed by SDDC H&S and some urgent properties undertaken by MAGG. Operational responsibility is assigned to Repairs and Improvements Team Leader.	31/03/2021
Status Update Comments	Revised Date
New FRA being carried out by WSG. 4 completed to date and action plans implemented. Programme on going.	31/12/2021 Future Action

Housing Safety Inspections 2020-21	Rec No. 6
Summary of Weakness / Recommendation	Risk Rating
<p>While action had been taken to address many of the action points identified in Fire Risk Assessments dating back to 2016 and 2017, issues had not yet been fully addressed.</p> <p>We recommend that the Council ensures the completion of all outstanding points from Fire Risk Assessments as soon as practically possible. A plan should also be put in place to ensure that there is sufficient capacity to address any further fire safety risks identified once FRAs are refreshed following completion of the works.</p>	<b>Moderate Risk</b>
Management Response/Action Details	Action Date
From the compartmentalisation surveys commissioned via Aquilum (Ventro/OmniZone) a contract was generated. £235k of firestopping works were carried out. Overall number of tasks allocated: 888 tasks completed, 420 Fire doors to be complete. Fire doors to install by Novus. Unfortunately, initial contractor consistently underperformed and have had to source alternative provision for renewal of fire doors. Fitting of these has now commenced. Operational responsibility is assigned to Repairs and Improvements Team Leader.	25/03/2021
Status Update Comments	Revised Date
All fire Risk Assessments are being reviewed with appropriate remedial action to follow	31/12/2021 Future Action

## South Derbyshire District Council – Audit Progress Report

Waste Management (Trade Waste)	Rec No.6
Summary of Weakness / Recommendation	Risk Rating
<p>Mandatory Health &amp; Safety training had not been refreshed in line with the required 3-year timescale.</p> <p>We recommend that, whilst being mindful of the current Covid-19 restrictions, the delivery of mandatory Health &amp; Safety training is pursued and delivered as a priority, when safe to do so. To bring the required training up-to-date, this should incorporate all members of the team and include all those Health &amp; Safety training courses which are mandatory. Whilst training delivery continues to be problematic due to the Covid-19 pandemic, toolbox talks should continue in an effort to keep Health &amp; Safety awareness at the forefront of everyone's mind.</p>	<b>Moderate Risk</b>
Management Response/Action Details	Action Date
<p>Mandatory training, including but not limited to Health &amp; Safety, for all Operational Services employees, without access to Myview, has now been organised. The training will be delivered over the following dates to ensure Covid safety measures are followed during delivery of the training. 3rd February, 23rd February, 10th March, 11th March, 23rd March, 25th March and 1st April</p>	01/04/2021
Status Update Comments	Revised Date
<p>Due to the limited availability of training staff and limited times when training can be delivered to the refuse workforce it continues to be problematic to deliver mandatory training to 100% of the refuse workforce. Despite numerous attempts to resolve the current approach is not working. Operational Services and Human resources have now agreed on a new approach to resolve the issue. A number of training films are being developed which will give greater flexibility for delivery of mandatory training. Whilst in development employees will continue to receive regular toolbox talks, delivered by management and covering the essential Health &amp; Safety topics, particularly manual handling and vehicle reversing.</p>	01/04/2022 Future Action

## South Derbyshire District Council – Audit Progress Report

Housing Repairs 2020-21	Rec No. 3
Summary of Weakness / Recommendation	Risk Rating
<p>There was a high degree of manual input in scheduling repair jobs and the system in place to record repairs was heavily reliant on paper job tickets, resulting in inefficiencies and possible inaccuracies. We were unable to locate a job ticket for 10 of the 19 completed repair jobs selected for testing.</p> <p>We recommend that the Council considers the procurement of dynamic scheduling software. In the interim we recommend that:</p> <ul style="list-style-type: none"> <li>o Clear guidelines are provided to operatives on the information required to be completed on job tickets and timesheets, to improve the quality of data subsequently entered into Orchard, the Council's Housing Management System.</li> <li>o The possibility of sending job tickets directly from Orchard to operative's smartphones (or scanning and emailing them) is investigated.</li> <li>o The capability of the smartphones issued is reviewed to establish whether job tickets can be viewed and edited or whether other hardware /software is required to do this.</li> <li>o Training requirements for operatives are considered to allow implementation of the above and further training be undertaken, where required.</li> </ul>	<b>Moderate Risk</b>
Management Response/Action Details	Action Date
<p>As part of the Council's Transformation Project, the renewed Orchard Contract package includes the option for the future purchase of dynamic scheduling/mobile working software.</p> <p>Written instruction for the completion of job tickets will be provided for operatives by the Interim Team Leader (by 30/07/2021).</p> <p>A possible interim solution for the electronic transmission of job tickets has been identified and is being tested. This will require new devices to be provided to operatives. The use of smartphone for this process has been tested and found to be not viable. Once testing of the process and new devices is complete this will be implemented across the team with the appropriate training.</p>	01/10/2021
Status Update Comments	Revised Date
Paperless production of repair job tickets is being tested by the Repairs Team	04/01/2022 Future Action

Housing Repairs 2020-21	Rec No. 5
Summary of Weakness / Recommendation	Risk Rating
<p>Orchard, the Council's Housing Management System, did not contain a full record of materials used on a job and there was consequently no tracking of materials purchased over the counter to confirm their usage.</p> <p>We recommend that all materials used on a job should be recorded on the job ticket used to populate Orchard. This will ensure full data is available for the purposes of costing and post inspections. Operatives should be provided with clear instruction and</p>	<b>Moderate Risk</b>
Management Response/Action Details	Action Date
Written instruction for the completion of job tickets will be provided for operatives by the Interim Team Leader.	30/07/2021
Status Update Comments	Revised Date
Work ongoing with Buildbase to implement app which will account for materials issued and used, linked to SOR within Orchard.	01/04/2022 Future Action

## South Derbyshire District Council – Audit Progress Report

Housing Repairs 2020-21	Rec No. 6
Summary of Weakness / Recommendation	Risk Rating
<p>Van stocks were not being tightly controlled, as annual audits only consisted of a count and valuation and did not track the usage of materials.</p> <p>The Council should consider how the van stock audit regime might be strengthened to prevent the possible theft of materials. This should include an annual audit based on an inventory of van materials, taking into account materials purchased and materials used over the period to identify possible discrepancies, along with in-year spot checks.</p>	Moderate Risk
Management Response/Action Details	Action Date
<p>A quarterly audit of van stock will be implemented by the new Repair Manager once appointed.</p> <p>An electronic method of managing materials and van stocks is being investigated with the current materials provider.</p>	01/10/2021
Status Update Comments	Revised Date
<p>Work ongoing with Buildbase to implement app which will account for materials issued and used, linked to SOR within Orchard.</p>	<p>01/04/2022</p> <p>Future Action</p>

## South Derbyshire District Council – Audit Progress Report

Housing Repairs 2020-21	Rec No. 8
Summary of Weakness / Recommendation	Risk Rating
<p>Management information requirements had not been set out for the repairs service and only minimal management information was being extracted and reviewed from Orchard, the Council's Housing Management System.</p> <p>We recommend that an exercise should be undertaken to identify what information would be useful to inform management's understanding of the repairs service and its performance; including who should be responsible for collating and analysing the data and who should be responsible for reviewing the information. Consideration should be given to the reporting capability of Orchard and whether the ability to record and retrieve the information requires additional technical support to be engaged.</p> <p>Examples of information management may consider useful are as follows:</p> <ul style="list-style-type: none"> <li>• Most common types of repair works.</li> <li>• Proportion of emergency /urgent /non-urgent repairs.</li> <li>• % completion of jobs within target date.</li> <li>• Operative productivity.</li> <li>• Recurring repairs.</li> <li>• Cost per job.</li> <li>• Time per job compared to National Housing Maintenance Forum Schedule of Rates.</li> </ul> <p>We note that some of this information is not currently available within the Orchard as highlighted separately within this report.</p>	<p><b>Moderate Risk</b></p>
Management Response/Action Details	Action Date
<p>The Government's Housing White Paper was presented to the Housing and Community Services Committee on 28/1/21. This suggests a wider range of performance indicators and management information that should be collected by Housing Providers. Consequently, a new suite of indicators /management information has been included within the Service Plan for 2021/22.</p> <p>These additional reporting requirements will be investigated by the newly appointed Repair Manager and Housing Policy and Research Officer once in post.</p>	<p>01/11/2021</p>
Status Update Comments	Revised Date
<p>Business Object Training Required. Initial set of standard reports to be reviewed.</p>	<p>30/11/2021</p> <p>Future Action</p>

## South Derbyshire District Council – Audit Progress Report

### Being Implemented - Low Risk Recommendations Over 12 Months

The following low risk rated recommendations, that have not yet been implemented and have exceeded their original action date by more than 12 months, are also detailed for Committee's scrutiny.

Parks & Open Spaces	Rec No. 5
Summary of Weakness / Recommendation	Risk Rating
<p>Files and documentation confirming compliance with safety standards was not held centrally, but rather in separate project files in the Cultural Services Department.</p> <p>We recommend that the documentation held by the Council in respect of play equipment and playground surfacing which demonstrates compliance with the relevant safety standards, should be held centrally. Ideally, the relevant documents confirming compliance for each play area should be scanned and stored on separate electronic files, headed up for each play area. Access to the files should be allowed for both the Open Space and Facilities Development Manager and the Street Scene Manager. This would allow all officers involved in the process to access the information as necessary (i.e. for ordering parts) and would serve to ensure that the information was complete and easily accessible.</p>	Low Risk
Management Response/Action Details	Action Date
Central folder to be set up for all Play Equipment paperwork on S Drive. Scan in all relevant documents.	31/03/2018
Status Update Comments	Revised Date
Cultural Services have a project to bring these together electronically. Staff not visiting the office so project will resume when the Covid 19 risk has reduced.	31/12/2021
	Future Action

Parks & Open Spaces	Rec No. 7
Summary of Weakness / Recommendation	Risk Rating
<p>Signs at play areas did not clearly identify the site operator, relying instead on a display of the Council's emblem, not necessarily identifiable with all users of the play areas. In addition, out of hours contact details differed on one sign compared to the other three we viewed.</p> <p>We recommend that the signs displayed at the children's play areas across the district clearly display, the name of the site operator, i.e. the district council or parish council as appropriate. This would allow users of the play areas to clearly identify the site operators in the event of accident or equipment failure. In addition, all the signs situated in the play areas should display the correct contact numbers, both in and out of office hours.</p>	Low Risk
Management Response/Action Details	Action Date
Review of signage to be undertaken. New signage to be designed and approved. New signs to be installed on all Council operated play areas – NOTE: subject to budget/cost constraints	31/03/2018
Status Update Comments	Revised Date
This is being actioned as part of the play project programme.	31/12/2022
	Future Action

## South Derbyshire District Council – Audit Progress Report

PCI Compliance 2018-19	Rec. No. 4
Summary of Weakness / Recommendation	Risk Rating
<p>The Council had not maintained an inventory of hardware and software components relating to equipment used to take card payments.</p> <p>We recommend that the Council either introduces an inventory of hardware and software components relating to equipment used to take card payments or these devices are removed in favour of alternative methods the Council uses to receive card payments.</p>	Low Risk
Management Response/Action Details	Action Date
<p>We are in the process of removing the android chip and pin devices and replacing with a single digit device. The kiosks will be replaced by December 2019 as not PCI DSS compliant beyond that date Our understanding is that firmware is incorporated with the machines</p>	01/01/2020
Status Update Comments	Revised Date
<p>The Council has undertaken a comprehensive PCI audit with a specialist consultancy. The Council no longer has active card payment hardware to collect payments at its Civic Offices and all old devices have been returned, apart from the new kiosk, which is currently out of action due to COVID and will be reviewed at the end of the six-month face-to-face trial that has been approved by Finance &amp; Management Committee (review will take place by end of May 2022). The only site active hardware is at Rosliston and this is documented in the PCI questionnaire/accreditation documentation.</p>	<p>31/05/2022 Future Action</p>

PCI Compliance 2018-19	Rec. No. 6
Summary of Weakness / Recommendation	Risk Rating
<p>The document which outlined duties and responsibilities in terms of PCI Standards contained out-of-date references.</p> <p>We recommend that the document outlining duties and responsibilities in terms of PCI Standards is updated to reflect the Council's current structure.</p>	Low Risk
Management Response/Action Details	Action Date
<p>Procedural polices updates including communication and training to staff will be updated by Customer Services.</p>	01/04/2019
Status Update Comments	Revised Date
<p>The Council has undertaken a comprehensive PCI audit with a specialist consultancy. The resulting PCI questionnaires/accreditation and updated policies are due to be approved/submitted by 31 December 2021 and annually thereafter.</p>	<p>31/12/2021 Future Action</p>

## South Derbyshire District Council – Audit Progress Report

Section 106 Agreements 2018-19	Rec. No. 1
Summary of Weakness / Recommendation	Risk Rating
<p>The Section 106 Agreements version 8 - A guide for Developers document had not been reviewed since April 2010 and contained out-of-date information.</p> <p>We recommend that the Section 106 Agreements version 8 - A guide for Developers document should be subject to a full review and update. Going forward, this document should be subject to regular review and update.</p>	Low Risk
Management Response/Action Details	Action Date
Review to be undertaken in 2019/2020 - to produce formal supplementary planning document (statutory process) - then reviewed as part of the Local Plan process.	01/04/2019
Status Update Comments	Revised Date
This is included as a target in the Service Delivery Plan for 2021-22.	31/03/2022
	Future Action

Allocations & Homelessness 2018-19	Rec. No. 1
Summary of Weakness / Recommendation	Risk Rating
<p>There were no formal procedure notes detailing the allocation process</p> <p>We recommend that, once a revised Allocations Policy is in place, a formal procedure note is produced detailing the allocations process.</p>	Low Risk
Management Response/Action Details	Action Date
Procedure notes to be completed after the implementation of new Housing Allocations Policy.	30/07/2019
Status Update Comments	Revised Date
The New "Jigsaw" Choice Based Lettings system is in test. Once complete and implemented procedure notes will be completed	31/03/2022
	Future Action

Fleet Management	Rec. No. 2
Summary of Weakness / Recommendation	Risk Rating
<p>A number of policies and procedures related to vehicle management and driving were inconsistent with the current regulations, out-of-date or drafted but not formally approved.</p> <p>We recommend that the set of policies / procedures supporting the Vehicle Management Strategy are reviewed and updated to provide staff with clear instructions on the latest working practices.</p>	Low Risk
Management Response/Action Details	Action Date
All Direct Services employees have had a driving licence check and signed a declaration of fitness to drive. A briefing will be submitted to the Leadership Team to establish the preferred option for checking all employees' driving licences.	31/03/2020
Status Update Comments	Revised Date
Most policies have been reviewed and are now being updated. There has been a delay due to implementation of the recycling contract and bringing the collection service in house.	01/03/2022
	Future Action

## South Derbyshire District Council – Audit Progress Report

Fleet Management	Rec. No. 6
Summary of Weakness / Recommendation	Risk Rating
<p>There was no centralised record of the drivers employed by the Council, and no centralised checks were undertaken for validity of driving licences.</p> <p>We recommend that a centralised record of all drivers operating the Council's vehicles should be maintained. This record should evidence regular checks for drivers licence information and other relevant details.</p>	Low Risk
Management Response/Action Details	Action Date
<p>All Direct Services employees have had a driving licence check and signed a declaration of fitness to drive. A briefing will be submitted to the Leadership Team to establish the preferred option for checking all employees' driving licences.</p>	30/06/2019
Status Update Comments	Revised Date
<p>This is now being dealt with by the Human Resources Manager, following agreement that it is a corporate responsibility and the Head of Operational Services does not have the required access to all drivers personal details. A provider has been identified and contract arrangements agreed, although no formal commencement date has been provided.</p>	<p>01/01/2021 Future Action</p>

Active Communities & Health	Rec. No. 1
Summary of Weakness / Recommendation	Risk Rating
<p>Community consultations were not considered to be appropriately inclusive of all members of the disabled community.</p> <p>We recommend that when conducting community consultations intended to include disabled people, the Active Communities &amp; Health team should contact a local equalities team, such as Access Derbyshire (Derbyshire County Council), for them to assess the appropriateness of the consultation document for the disabled community.</p>	Low Risk
Management Response/Action Details	Action Date
<p>The 50+ survey is still in draft stage and all information has not been included yet. We will ensure that these are picked up for this consultation which will be launched in January 2020 all being well.</p>	31/01/2020
Status Update Comments	Revised Date
<p>Requested to postpone until end of June- as due to Covid situation not deemed appropriate to releases such a survey at this moment in time due to lockdown three. Hoping to release in Q1 or Q2 of 2021-22</p>	<p>31/08/2021 Action Due</p>

## South Derbyshire District Council – Audit Progress Report

Development Management 2018-19	Rec. No. 2
Summary of Weakness / Recommendation	Risk Rating
<p>Responses to consultations and notifications were not always effectively recorded in the planning software.</p> <p>We recommend that the use of tags within the document management facility in the new planning software, to allow consultation responses to be automatically linked to consultations sent, is implemented and tested to ensure a full audit trail is maintained.</p>	Low Risk
Management Response/Action Details	Action Date
<p>Agree that this is an ideal remedy but implementation rests on further development of software to allow for consultees, etc. to upload responses directly to the system. Training and dialogue with third parties also necessary in advance of implementation.</p>	01/09/2020
Status Update Comments	Revised Date
<p>This requires upgrade to the software and testing.</p>	01/11/2021
	Action Due

Bereavement Services 2019-20	Rec. No. 9
Summary of Weakness / Recommendation	Risk Rating
<p>Memorials inspections due in 2019 had not yet taken place.</p> <p>We recommend that the procurement of memorial safety inspections is expedited and outstanding inspections are completed promptly.</p>	Low Risk
Management Response/Action Details	Action Date
<p>Memorial Inspection Policy being updated, and programme put in place for inspections following Covid-19 pandemic and risk assessments. Draft policy April 2020. To Committee September 2020.</p>	01/10/2020
Status Update Comments	Revised Date
<p>Due to Covid inspections will be carried out when it is safe to do so but anticipate this is in 2021.</p>	31/12/2021
	Future Action