



central midlands audit partnership

South Derbyshire District Council – Audit Progress Report

Audit Sub-Committee: 8th September 2021



South Derbyshire
District Council



Contents

Page

AUDIT DASHBOARD	3
AUDIT PLAN	4
AUDIT COVERAGE	5
RECOMMENDATION TRACKING	7
HIGHLIGHTED RECOMMENDATIONS	9

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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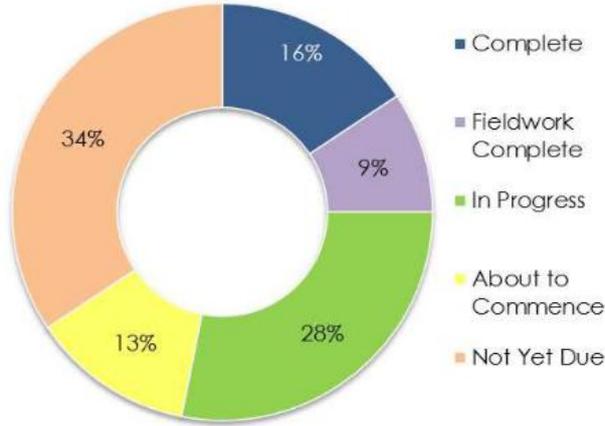


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Providing Excellent Audit Services in the Public Sector

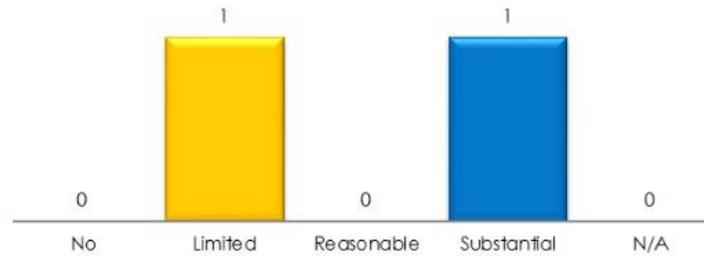
AUDIT DASHBOARD

Plan Progress



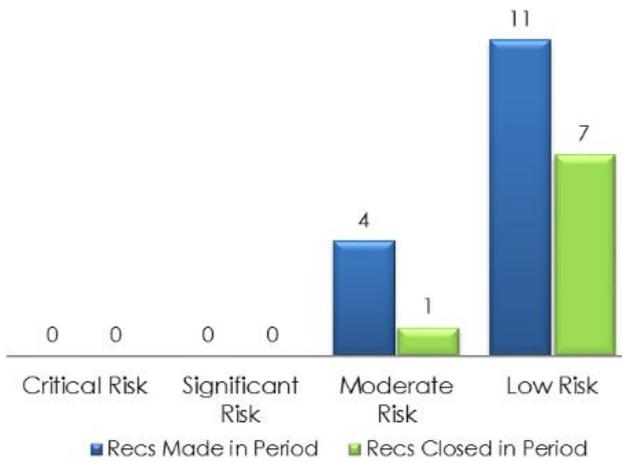
Jobs Completed in Period

Control Assurance Ratings During Period



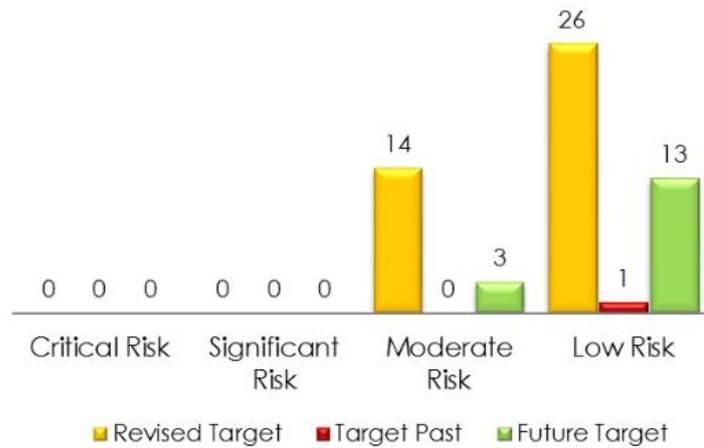
Recommendations

Movement During Period



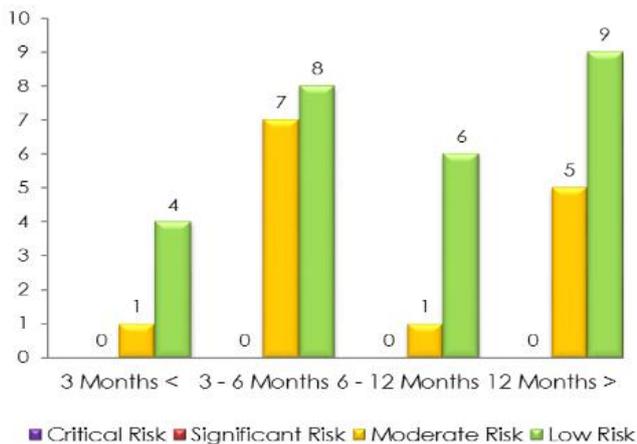
Recommendations

Recommendations Currently Open



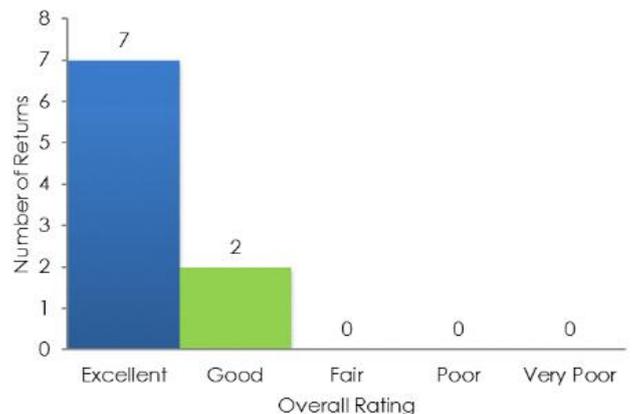
Recommendations

Overdue Recommendations



Customer Satisfaction

Returns Between Aug 20 & Aug 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 31st July 2021.

2021-22 Jobs	Status	% Complete	Assurance Rating
Data Protection & FOI 2021-22	Draft Report	95%	
Procurement 2021-22	Not Allocated		
Income Streams 2021-22	Not Allocated		
Financial Management Standards 2021-22	In Progress	50%	
Covid Related 2021-22	Not Allocated		
Insurance 2021-22	Draft Report	95%	
Taxation 2021-22	Allocated	10%	
Payroll Probity 2021-22	Not Allocated		
Creditors 2021-22	Not Allocated		
Asset Management 2021-22	Allocated		
Revenues Systems 2021-22	Not Allocated		
Cashiering 2021-22	In Progress	15%	
IT Applications 2021-22	Not Allocated		
IT Infrastructure 2021-22	Not Allocated		
Project Management 2021-22	In Progress	40%	
People Management 2021-22	Not Allocated		
Data Quality & Performance Management	In Progress	35%	
Development Management 2021-22	Not Allocated		
Climate Change 2021-22	Not Allocated		
Affordable Housing 2021-22	In Progress	20%	
Allocations & Homelessness 2021-22	Not Allocated		
Rent Accounting 2021-22	Not Allocated	5%	
Corporate Governance 2021-22	In Progress	65%	
B/Fwd Jobs	Status	% Complete	Assurance Rating
Business Continuity & Emergency Planning	Draft Report	95%	
Procurement 2020-21	Final Report	100%	Reasonable
Housing Benefit & Council Tax Support	In Progress	45%	
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

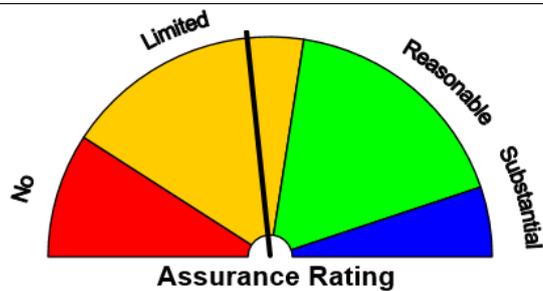
Completed Audit Assignments

Between 8th June 2021 and 24th August 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	
Housing Repairs 2020-21	Limited			4	7	0%
Financial Reporting - Impact of Covid19	Substantial				4	25%

Control Objectives Examined	Controls Evaluated	Adequate Controls	Partial Controls	Weak Controls
	Robust systems are in place to respond to repairs identified, ensuring that they are completed timely and properly recorded.	17	4	5
Management information is utilised to monitor the repairs service and ensure that it is operating effectively.	10	3	1	6
TOTALS	27	7	6	14

Summary of Weakness	Risk Rating	Agreed Action Date
The Repairs Policy was dated 2013 and was found to be out-of-date. Operational procedural guidance for the repairs process had not been produced at all.	Low Risk	30/11/2021 Future Action
Tenant information had not been updated to reflect the new arrangements for reporting repairs, and previous phone numbers were still in use. Furthermore, the online repairs reporting form had not been sufficiently promoted and therefore had a low uptake.	Low Risk	01/04/2022 Future Action
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.	Moderate Risk	01/10/2021 Future Action
Jobs completed by the repairs & maintenance contractor were not always being promptly logged as completed on Orchard, the Council's Housing Management System.	Low Risk	01/10/2021 Future Action
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.	Moderate Risk	30/07/2021 Being Implemented 30/10/2021
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.	Moderate Risk	01/10/2021 Future Action
Although the Council had a contract in place for the supply of building materials, there was significant expenditure with an alternative supplier in contravention of Council rules and Procurement Regulations.	Low Risk	01/11/2021 Future Action
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.	Moderate Risk	01/11/2021 Future Action
Post inspections were not being carried out on a sample of day-to-day repairs.	Low Risk	01/11/2021 Future Action



South Derbyshire District Council – Audit Progress Report

There was no clear process by which work was allocated to the repairs & maintenance contractor, rather than the Direct Labour Organisation (DLO), and there was no formal monitoring of the distribution of work to the DLO in comparison to the contractor.	Low Risk	30/11/2021 Future Action
Customer satisfaction was not being routinely measured for day-to-day repairs carried out by the Direct Labour Organisation (DLO).	Low Risk	01/10/2021 Future Action

Financial Reporting - Impact of Covid-19	<p style="text-align: center;">Assurance Rating</p>			
	Control Objectives Examined	Controls Evaluated	Adequate Controls	Partial Controls
The Council has considered the impact of Covid-19 on its control environment, identifying critical controls to reduce the risk of fraud or error	6	4	1	1
The Council has considered the regularity of its spending to ensure it adheres to the principles set out in Managing Public Money	7	5	1	1
TOTALS	13	9	2	2
Summary of Weakness		Risk Rating	Agreed Action Date	
There was no retention process documented or implemented for authorisation emails.		Low Risk	31/10/2021 Future Action	
Risk Registers had not been fully updated to reflect new or increased risks resulting from the Covid-19 pandemic.		Low Risk	Implemented	
The procurement register of exemptions was incomplete.		Low Risk	31/08/2021 Future Action	
The potential fraud risks due to Covid-19 had not been acknowledged in the <i>Anti-Fraud and Corruption Action Plan 2020/21</i> , <i>Counter Fraud Partnership Performance Update</i> , or the accompanying Committee Report presented to the Audit Sub-Committee in September 2020.		Low Risk	08/09/2021 Future Action	

South Derbyshire District Council – Audit Progress Report

RECOMMENDATION TRACKING

Final Report Date	Audit Assignments with Open Recommendations	Assurance Rating	Recommendations Open		
			Action Due	Being Implemented	Future Action
17-Aug-21	Financial Reporting - Impact of Covid-19	Substantial			3
06-Jan-21	Tenancy Management	Substantial		1	
27-Jan-21	Housing Safety Inspections 2020-21	Reasonable		5	
03-Feb-21	Waste Management (Trade Waste)	Reasonable	1	1	1
16-Jun-21	Housing Repairs 2020-21	Limited		1	10
21-Dec-20	Safeguarding 2020-21	Reasonable		1	
26-Mar-21	Revenues Systems 2020-21	Substantial		3	
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		4	
22-Oct-20	Grounds Maintenance 2019-20	Reasonable		5	2
03-Mar-20	Improvement Grants 2019-20	Reasonable		1	
19-Jan-21	Revenue Systems 2019-20	Substantial		1	
26-Nov-19	Council House Sales - Right To Buy 2019-20	Limited		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	
		TOTALS	1	40	16

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.

South Derbyshire District Council – Audit Progress Report

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					3	2
Waste Management (Trade Waste)			1		1	
Housing Repairs 2020-21					1	
Safeguarding 2020-21						1
Revenues Systems 2020-21						3
Treasury Management 2019-20					1	
Payroll 2019-20						1
Bereavement Services 2019-20					1	3
Grounds Maintenance 2019-20					2	3
Improvement Grants 2019-20					1	
Revenue Systems 2019-20						1
Council House Sales - Right To Buy 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
TOTALS			1		14	26

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 th 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. These projects and spend were approved by Finance & Management Committee in March 2021, and the PCI questionnaire will be submitted by end of March 2021, with a commitment to deliver these projects in the short-term. The projects are currently underway and will be delivered in quarter 1/2 of 2021, dependent on technical requirements.	01/10/2021 Future Action

Council House Sales: Right To Buy	Rec No. 6
Summary of Weakness / Recommendation	Risk Rating
<p>Only one Right To Buy valuer had been utilised for over 10 years during which time there had been no procurement exercise, and the valuer did not hold the expected professional qualification.</p> <p>We recommend that a procurement exercise is undertaken to engage an appropriately qualified valuer(s). Consideration should be given to obtaining more than one independent valuation for Right to Buy property sales.</p>	Moderate Risk
Management Response/Action Details	Action Date
To be implemented as per recommendation	01/02/2020
Status Update Comments	Revised Date
First attempt to procure service did not attract any RICS qualified providers. Formal tender process now being followed.	01/11/2021 Future Action

South Derbyshire District Council – Audit Progress Report

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
<p>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 30th September 2019.</p>	30/09/2018
Status Update Comments	Revised Date
<p>The payments are contractual for employees and therefore formal consultation will 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.</p>	31/03/2022 Action Due

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>	Moderate Risk
Management Response/Action Details	Action Date
<p>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.</p>	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>	01/04/2022 Future Action

South Derbyshire District Council – Audit Progress Report

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>	Moderate Risk
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
Provisional performance targets have been set and agreed, and will be implemented in September 2021.	30/09/2021
	Future Action

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

South Derbyshire District Council – Audit Progress Report

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
<p>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.</p>		28/02/2021
Status Update Comments		Revised Date
<p>Market testing is underway; priorities associated with the Covid-19 pandemic have delayed full implementation. A revised implementation date of 30th September 2021 has been identified.</p>		30/09/2021 Future Action

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
<p>Tree Strategy and Policy is planned to go to Committee February 2021</p>		01/03/2021
Status Update Comments		Revised Date
<p>The Tree Strategy is undergoing consideration by the Council's insurers to ascertain level of risk and inform any financial commitment. It is intended that the Strategy will be presented to Housing and Community Services committee in the Autumn.</p>		11/10/2021 Future Action

South Derbyshire District Council – Audit Progress Report

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"> • Date and time issue was reported. • Location of work. • Details of issue. • Urgency. • Customer details. • Work completed date. • Time spent on work. • Operative name. • Outcome. <p>This information should be monitored to draw out the following:</p> <ul style="list-style-type: none"> • Time spent on reactive work vs planned work, to inform workforce planning. • Responsiveness to requests, to allow effectiveness to be determined. • Trends in the types of work requested, to inform planned maintenance. 		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
The database system currently being developed by Operational Services and the Business Transformation team, has not been completed due to conflicting priorities and annual leave, the basic principles and design have been progressed however a go live date hasn't yet been agreed and implementation is unlikely to take place before 01/11/21.		30/11/2021 Future Action

Housing Safety Inspections 2020-21		Rec No. 1
Summary of Weakness / Recommendation		Risk Rating
<p>Safety inspection certificates and the information contained within them were generally stored on the Council's shared V drive and a series of Excel spreadsheets rather than against individual properties on a central database, and this did not allow efficient retrieval of up-to-date information on a property.</p> <p>We recommend that an asset management software solution is identified and implemented as a matter of priority, to facilitate the appropriate storage of certification and associated information. It is noted that this could present a number of additional benefits, including greater accuracy and efficiency in creating and monitoring inspection cycles, easier tracking of remedial works, and improved management information, which would assist in the achievement of other recommendations within this report.</p>		Moderate Risk
Management Response/Action Details		Action Date
LifeSpan is to be re launched at least as an interim measure. USO uploading rewires from Jan 2020 and EICR certificates. Gas certs from Jan 2021 being uploaded. Operational responsibility is assigned to Repairs and Improvements Team Leader		30/04/2021
Status Update Comments		Revised Date
Original date was 30/4/21 for decision to be made - this has now been met and agreed to continue with LifeSpan.		31/12/2021 Future Action

South Derbyshire District Council – Audit Progress Report

Work progressing to establish architecture to LifeSpan to enable efficient use. New certification being uploaded and a process for uploading and registering historic records being created.

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>	Moderate Risk
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
FRA timetable in place with external consultants.	30/08/2021
	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>	Moderate Risk
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
Fire stopping items complete. Fire doors to be complete by new contractor. New actions will be identified through the FRA programme	30/08/2021
	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 & 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 & 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 & 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 & Safety awareness at the forefront of everyone's mind.</p>	Moderate Risk
Management Response/Action Details	Action Date
Mandatory training, including but not limited to Health & 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	01/04/2021
Status Update Comments	Revised Date
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 & Safety topics, particularly manual handling and vehicle reversing.	01/04/2022 Future Action

Housing Repairs 2020-21	Rec No. 5
Summary of Weakness / Recommendation	Risk Rating
<p>Orchard, the Councils 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>	Moderate Risk
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
For resolution by newly appointed Repairs Manager who start in post 09/09/2021	30/10/2021 Future Action

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
Files and documentation confirming compliance with safety standards was not held centrally, but rather in separate project files in the Cultural Services Department. 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.	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
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. 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.	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
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	01/01/2020
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. These projects and spend were approved by Finance & Management Committee in March 2021, and the PCI questionnaire will be submitted by end of March 2021, with a commitment to deliver these projects in the short-term. The projects are currently underway and will be delivered in quarter 1/2 of 2021, dependent on technical requirements.	01/10/2021 Future Action

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
Procedural polices updates including communication and training to staff will be updated by Customer Services.	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. These projects and spend were approved by Finance & Management Committee in March 2021, and the PCI questionnaire will be submitted by end of March 2021, with a commitment to deliver these projects in the short-term. The projects are currently underway and will be delivered in quarter 1/2 of 2021, dependent on technical requirements.	01/10/2021 Future Action

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
Choice Based Lettings Project now underway - new system to be implemented by end of December 2021.	21/12/2021
	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
Resource issues have delayed some of the progress, all policies are currently being reviewed and updated by the interim Waste and Transport Manager. A drivers handbook /procedures has been completed and will be issued shortly.	30/09/2021
	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
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.	30/06/2019
Status Update Comments	Revised Date
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 driver's personal details. The Head of Operational Services is providing support. However, the Human Resources Manager is delivering the project. Progress has been made on the introduction of a specialist third party system and will need consultation with employees.	30/09/2021 Future Action

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 & 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
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.	31/01/2020
Status Update Comments	Revised Date
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	31/08/2021 Future Action