



central midlands audit partnership

South Derbyshire District Council – Audit Progress Report

Audit Sub-Committee: 30th May 2018



South Derbyshire
District Council



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Our Vision

Through continuous improvement, the central midlands audit partnership will strive to provide cost effective, high quality internal audit services that meet the needs and expectations of all its partners.

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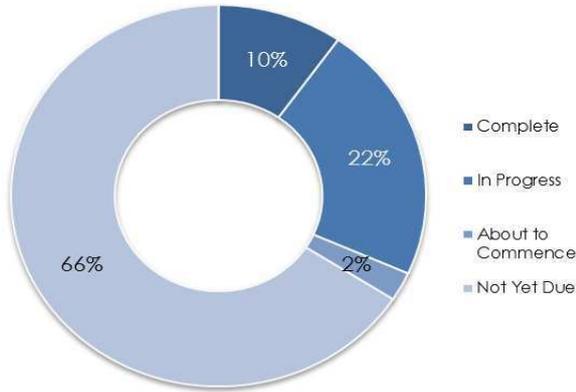


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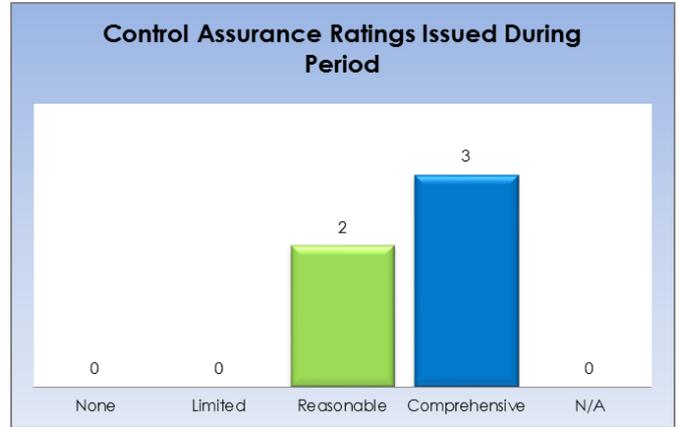
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AUDIT DASHBOARD

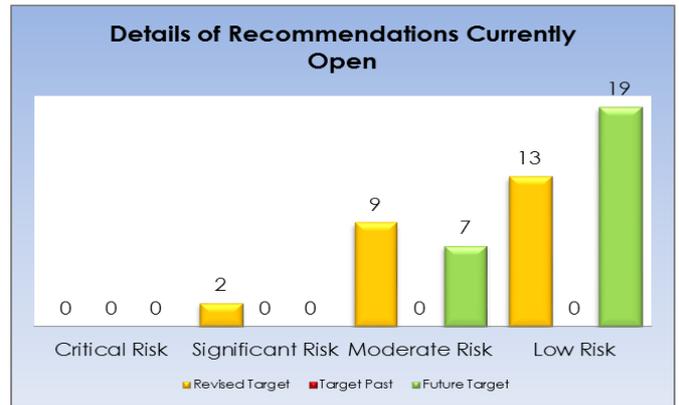
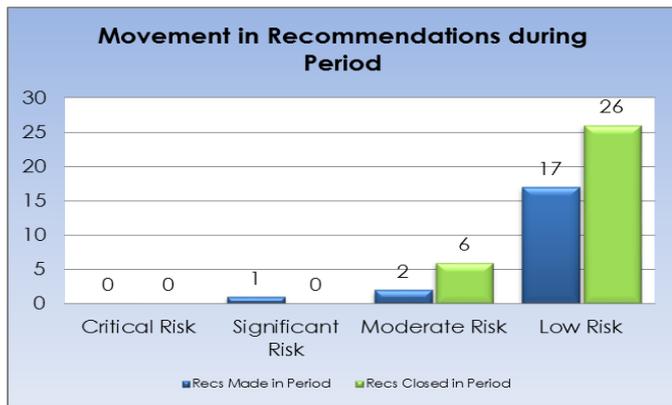
Plan Progress



Jobs Completed in Period

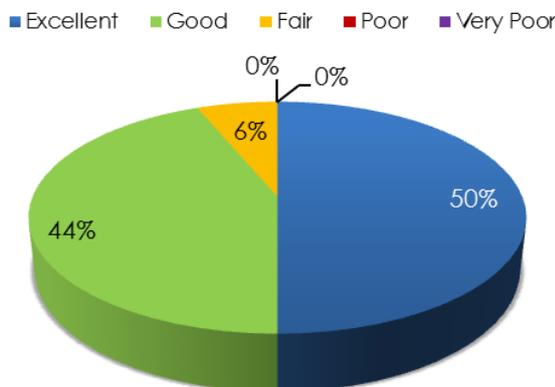


Recommendation Tracking



Customer Satisfaction

Mar 17 to Apr 18



Continuous Improvement

1. CMAP is currently going through a management restructure to meet partner expectations. The driver for the proposals is not to deliver savings, but to strengthen the management tiers within CMAP. A proposed structure is being considered that will offer resilience, whilst also being affordable, and able to support the Partner Organisations' requirements over the next few years.
2. Efforts are being made to develop and enhance the reports presented to Audit Committees, with a view to providing Committees with appropriate risk focused information on the key governance, risk management and control issues highlighted by Internal Audit's work.

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AUDIT PLAN

Progress on Audit Assignments

The following table provide Audit Sub-Committee with information on how audit assignments were progressing as at 30th April 2018.

2017-18 Jobs	Status	% Complete	Assurance Rating
Data Protection & Freedom of Information	Not Started		
Records Management	Not Started		
Treasury Management 2018-19	Not Started		
Insurance 2018-19	Not Started		
Capital Programme	Not Started		
Payroll 2018-19	Not Started		
Creditors 2018-19	Not Started		
Council Tax 2018-19	Not Started		
NDR 2018-19	Not Started		
Housing Benefit & Council Tax Support 2018-19	Not Started		
PCI Compliance	Not Started		
IT Applications	Not Started		
IT Infrastructure	Not Started		
Waste Management (Collection, Trade, Recycling)	Not Started		
Fleet Management	Not Started		
Street Cleansing	Not Started		
Section 106 Agreements	Allocated	0%	
Development Control	Not Started		
Pollution Control	Not Started		
Food Safety	Not Started		
Sport & Health Funding	Not Started		
Rosliston Forestry Centre	Not Started		
Housing Repairs (Planned & Responsive Maint)	Not Started		
Gas/Electric/Asbestos/Legionella/Fire Safety Insp	Not Started		
Allocations & Homelessness	Not Started		
Sheltered Housing / Careline	Not Started		
Community Safety Partnership	Not Started		
Corporate Governance	Not Started		

B/Fwd Jobs	Status	% Complete	Assurance Rating
Risk Management	In Progress	25%	
Organisational Culture & Ethics	Final Report	100%	Reasonable
Council Tax 2017-18	In Progress	60%	
NDR 2017-18	Fieldwork Complete	90%	
Housing Benefit & Council Tax Support 2017-18	In Progress	70%	
Payroll 2017-18	In Progress	75%	
Express Electoral System Security Assessment	Final Report	100%	Reasonable

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Sharpe's Pottery	Final Report	100%	Comprehensive
New Build / Affordable Housing	Draft Report	95%	
Licensing	Final Report	100%	Comprehensive
Health & Safety	In Progress	55%	
Safeguarding	Draft Report	95%	
Followup of Whistleblowing Recommendations	In Progress	30%	

Audit Plan Changes

None since last Sub-Committee.

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AUDIT COVERAGE

Completed Audit Assignments

Between 7th March 2018 and 30th April 2018, the following audit assignments have been finalised since the last Progress Report was presented to this Sub-Committee.

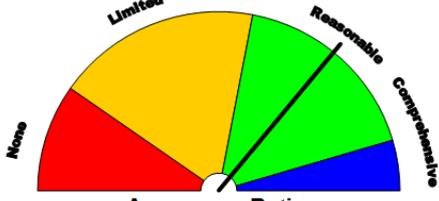
Audit Assignments Completed in Period	Assurance Rating	Recommendations Made				% Recs Closed
		Critical Risk	Significant Risk	Moderate Risk	Low Risk	
Payroll 2016-17	Comprehensive	0	0	0	1	0%
Organisational Culture & Ethics	Reasonable	0	0	1	3	50%
Express Electoral System Security Assessment	Reasonable	0	1	1	4	83%
Licensing	Comprehensive	0	0	0	4	75%
Sharpe's Pottery	Comprehensive	0	0	0	5	20%

Payroll 2016-17	Assurance Rating			
	None	Limited	Reasonable	Comprehensive
Control Objectives Examined	Controls Evaluated	Adequate Controls	Partial Controls	Weak Controls
Verify that up to date and comprehensive policies and guidelines were accessible to all relevant staff.	1	1	0	0
To confirm that payroll records were securely maintained, accurate and promptly updated.	4	4	0	0
To confirm that leavers payroll details were appropriately recorded, final payments correctly calculated and no overpayment occurred.	3	2	0	1
To confirm that deduction transactions were supported by relevant documents, correctly calculated and approved in accordance with the Council's policies.	1	1	0	0
To ascertain the process for prevention and recovery of overpayments; verify that prompt recovery actions had been taken where/if overpayments occurred in 2016/17 financial year.	2	2	0	0
Payroll system records are reconciled for HMRC reporting purposes.	1	1	0	0
TOTALS	12	11	0	1
Summary of Weakness	Risk Rating	Agreed Action Date		
Four Termination forms in a sample of fifteen were authorised by line managers after the actual leaving date, two of them leading to late processing and overpayments	Low Risk	31/05/2018		

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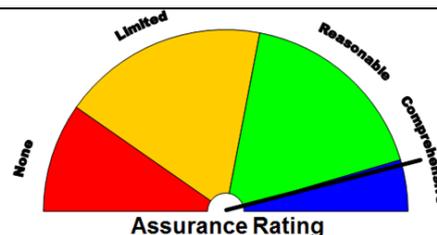
Organisational Culture & Ethics	 <p style="text-align: center;">Assurance Rating</p>			
Control Objectives Examined	Controls Evaluated	Adequate Controls	Partial Controls	Weak Controls
SDDC has a set of meaningful ethical values which are underpinned by relevant policies and guidance which are available to staff and members.	9	6	3	0
SDDC ethical values are known, used and understood throughout the Council	2	1	1	0
The ethical framework is understood, actively encouraged and promotes high standards which are recognised by staff and others as having high personal/professional standards of conduct.	1	1	0	0
Work undertaken by external bodies concludes that the Council displays evidence of having an ethical culture.	1	1	0	0
TOTALS	13	9	4	0
Summary of Weakness	Risk Rating	Agreed Action Date		
The Council had not established a separate, over-arching policy on ethics.	Low Risk	31/05/2018 Implemented		
The decision whether to complete an Equality Impact Assessment was made by the Council's Corporate Equality and Safeguarding Group. However, the justification for the decision made was not formally documented.	Low Risk	31/05/2018 Implemented		
The Council had not undertaken a staff survey which was specifically geared towards the Council's culture, ethics and values.	Moderate Risk	31/10/2018		
The Council did not have regular awareness training for employees and members in respect of ethical issues.	Low Risk	30/11/2018		

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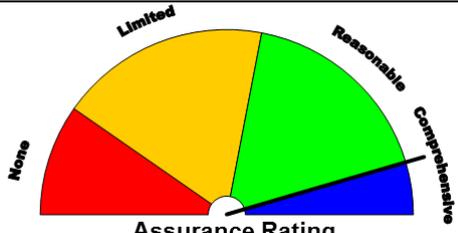
Express Electoral System Security Assessment	 Assurance Rating			
Control Objectives Examined	Controls Evaluated	Adequate Controls	Partial Controls	Weak Controls
Ensure that the eXpress server is secured and managed in line with best practices.	13	11	0	2
Ensure that the eXpress database is secured and managed in line with best practices.	15	12	0	3
Ensure that procedures are in place for maintaining the electoral register in line with the Cabinet Office/Electoral Commission Guidance.	13	6	0	7
Ensure effective systems administration processes are in place for maintaining the system.	7	5	0	2
TOTALS	48	34	0	14
Summary of Weakness	Risk Rating	Agreed Action Date		
3 accounts had access to personal and sensitive registration documents on the 'eXpress' file share via the 'SDDC\express users' security group, which could not be justified. This included officers who had changed role within the Council, and a former consultant whose account had not been disabled. In 2 of these cases, full access to the elections@south-derbys.gov.uk had also not been revoked.	Low Risk	31/01/2018 Implemented		
The page verification settings for the eXpress database were not configured in line with Microsoft best practices.	Low Risk	30/04/2018 Being Implemented 08/06/2018		
The Council's postal vote application form on the main Council website (www.south-derbys.gov.uk) was requesting personal and sensitive information, including names, addresses, dates of birth and contact details to be submitted over an unsecure unencrypted protocol (HTTP).	Significant Risk	31/01/2018 Implemented		
It was not standard practice to include information when issuing copies of the register to eligible parties, setting out how it may be used, the penalty for misuse, and that the data should be securely destroyed once the purpose for which it has been supplied has finished.	Low Risk	19/03/2018 Implemented		
Through discussions with the Technical Support Analyst at the software suppliers, we found that that whereas the version of the software in use was still covered by technical support, the Council were a few minor versions (i.e. patch updates) behind the latest. It was found a number of these patches had been issued to provide functionality updates/enhancements and also address bug fixes.	Low Risk	31/01/2018 Implemented		
A generic shared user account (sysadmin) had been granted administrator permissions in the application, meaning users of the account would be able to view sensitive data when looking at the image tab within the system (e.g. National Insurance number). Furthermore, the account was configured with password never expires, and the password had not been changed in over 20 months.	Moderate Risk	30/04/2018 Implemented		

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Control Objectives Examined	Assurance Rating			
	Controls Evaluated	Adequate Controls	Partial Controls	Weak Controls
The procedures to issue licenses are robust.	6	4	2	0
Licence applications are processed in accordance with the relevant regulations and fees are collected in a timely manner.	9	6	3	0
There is a planned programme of inspections of licence holders/premises in place.	5	3	2	0
Appropriate procedures are in place to prosecute unlicensed premises/individuals.	3	3	0	0
Performance measures have been established and are monitored and reported on a regular basis.	2	2	0	0
TOTALS	25	18	7	0
Summary of Weakness	Risk Rating		Agreed Action Date	
Inconsistent record keeping was identified between the Flare system and the spreadsheet, used in conjunction with the process.	Low Risk		31/05/2018	
Incorrect and unclear payments for licensing had been identified through testing as well as missing evidence of supporting documents and checks having been undertaken on applications.	Low Risk		Implemented	
There was no evidence that spot checks on the work of the Licensing team were being undertaken.	Low Risk		Implemented	
Records of licences issued were not involved in the income reconciliation process.	Low Risk		Implemented	



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Sharpe's Pottery		 <p style="text-align: center;">Assurance Rating</p>			
Control Objectives Examined		Controls Evaluated	Adequate Controls	Partial Controls	Weak Controls
Appropriate financial and service monitoring arrangements have been put in place and are being adhered to in accordance with the Service Level Agreement.		17	12	4	1
TOTALS		17	12	4	1
Summary of Weakness		Risk Rating	Agreed Action Date		
The Service Level Agreement between the Council and Sharpe's Pottery Heritage and Arts Trust Limited was a draft unsigned document, which had not been reviewed or updated when it expired on 31 st March 2017.		Low Risk	21/05/2018		
Sharpe's Pottery had not submitted a financial statement to the Council detailing how the grant paid to them, by the Council, had been spent.		Low Risk	01/09/2018		
Whilst methods of performance had been determined in the Service Level Agreement, criteria from a historic Tourist Information Centre accreditation scheme were being followed instead. However, this was being followed informally with no results documented.		Low Risk	31/03/2019		
An annual return had been completed and submitted to the Council, but the figures relating to the financial performance of the Tourist Information Centre had been omitted.		Low Risk	30/04/2019		
The annual review meeting to discuss the previous year's financial and service performance had not taken place in April as stipulated in the Service Level Agreement.		Low Risk	Implemented		

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RECOMMENDATION TRACKING

Final Report Date	Audit Assignments with Open Recommendations	Assurance Rating	Recommendations Open		
			Action Due	Being Implemented	Future Action
07-Dec-16	Land Charges	Reasonable	-	1	-
26-Jan-17	NDR 2016-17	Reasonable	-	1	-
06-Jun-17	Leisure Centres	Reasonable	-	3	-
07-Aug-17	Parks & Open Spaces	Reasonable	-	6	-
21-Aug-17	Whistleblowing Investigation 2	Reasonable	-	1	-
9-Oct-17	Business Continuity & Emergency Planning	Comprehensive	-	-	1
19-Oct-17	Dry Waste Recycling Contract	Reasonable	-	1	-
13-Nov-17	Officers Expenses & Allowances	Reasonable	-	-	2
17-Nov-17	Backup Server Healthcheck	Limited	-	3	-
23-Nov-17	Housing Contracts Review	Limited	-	7	-
19-Dec-17	People Management 2017-18	Reasonable	-	-	5
19-Jan-18	Rent Accounting 2017-18	Reasonable	-	-	2
02-Mar-18	Backup Policy	Reasonable	-	-	4
06-Mar-18	Tenants Arrears 2017-18	Reasonable	-	-	4
29-Mar-18	Payroll 2016-17	Comprehensive	-	-	1
03-Apr-18	Express Electoral System Security	Reasonable	-	1	-
25-Apr-18	Organisational Culture & Ethics	Reasonable	-	-	2
14-May-18	Licensing 2017-18	Comprehensive	-	-	1
18-May-18	Sharpe's Pottery	Comprehensive	-	-	4
Totals TOTALS			-	24	26

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	Being Implemented		
	Significant Risk	Moderate Risk	Low Risk
Land Charges	-	-	1
NDR 2016-17	-	-	1
Leisure Centres	-	2	1
Parks & Open Spaces	-	2	4
Whistleblowing Investigation 2	-	1	-
Dry Waste Recycling Contract	1	-	-
Backup Server Healthcheck	-	1	2
Housing Contracts Review	1	3	3
Express Electoral System Security Assessment	-	-	1
	2	9	13

Highlighted Recommendations

The following significant or moderate risk outstanding recommendations are detailed for Committee's scrutiny.

Being Implemented Recommendations

Dry Waste Recycling Contract	Rec No. 1
Summary of Weakness / Recommendation	Risk Rating
<p>There was limited information available to support the tender evaluation process which could lead the contract award open to challenge.</p> <p>We recommend that in all future tendering exercises the Council ensure that they assess bids in line with the scoring methodology prescribed in the Invitation to Tender. Full and complete records of tender evaluations should be retained, including all assessments completed by individual members of the Assessment Panel, in order to provide evidence of a clear and transparent process. All documentation associated with contracts should be retained for 6 years after the end of the contract in order to meet the requirements of the Limitation Act 1980.</p>	Significant Risk
Management Response/Action Details	Action Date
<p>This is normal practice. Unfortunately, individual scoring sheets could not be located for this particular tender. All relevant staff are aware of this requirement. The Council is currently reviewing the provision of procurement services and we will ensure that this issue is considered as part of that process.</p>	19/09/2017
Status Update Comments	Revised Date
<p>This recommendation was followed-up by Internal Audit in May 2018, while we consider that progress has been made against implementation, further actions are required for this matter to be fully addressed and embedded into Council systems, following recent changes to the structure and service provision in Housing and Procurement. A revised action date has been agreed with Officers against this recommendation.</p>	01/09/2018

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Housing Contracts Review	Rec No. 1
Summary of Weakness / Recommendation	Risk Rating
<p>Supplier spend analysis was not being effectively undertaken to identify instances where corporate contracts or frameworks would be advantageous.</p> <p>We recommend that the Procurement Section review the organisations identified through our spend analysis to see whether the Council would benefit from establishing corporate contracts and/or frameworks in these areas. Consideration should be given to the following actions:</p> <ul style="list-style-type: none"> • If a contract is in place with the organisation and they have merely not been deposited with Legal Services then this should be addressed with immediate effect. • A corporate contract may be required for the area of spend and as such a formal tender exercise should be undertaken. • The area of spend may be relevant to an existing or new framework agreement/contract which should be used to formalise the process. • It may be that the Council will not be seeking to engage the organisation in the future and as such, no further action would be required. • The organisation may be required to undertake limited work where a tender exercise would not be beneficial to the Council or where the particular organisation is required for a specific reason, should this be the case then a formal exemption from the CPR should be put in place. <p>Furthermore, future spend analysis should be undertaken by the Procurement Section to ensure that all organisations where cumulative spend is above the £25,000 threshold over the last 5 years, are properly reviewed and monitored, with the necessary actions taken in line with those identified above.</p>	<p>Significant Risk</p>
Management Response/Action Details	Action Date
<p>A review of the spend analysis detailed in the report will be undertaken. A schedule will be produced to provide an audit trail of action against each identified supplier or to note that a contract is no longer required, etc. in accordance with the recommended action and commentary within the Audit report. This will be actioned by 8th December 2017.</p> <p>A proposal to transfer the Council's Procurement Function to a Shared Service Arrangement (SSA) will be considered by the Finance and Management Committee on 30th November 2017. As part of that arrangement, an annual spend analysis will be part of the service offered back to the Council. Following the transfer of the Service, it is also intended that the outcomes of the spend analysis will be taken forward.</p> <p>If the proposal to join the Shared Service is not agreed by the Council, current interim arrangements will continue and alternative arrangements will be made to complete this action by the planned date. In the meantime, a review of the spend analysis as detailed above, will be undertaken.</p>	<p>27/04/2018</p>
Status Update Comments	Revised Date
<p>This recommendation was followed-up by Internal Audit in May 2018, while we consider that progress has been made against implementation, further actions are required for this matter to be fully addressed and embedded into Council systems, following recent changes to the structure and service provision in Housing and Procurement. The Financial Services Unit has been requested to undertake this action corporately as an added control. An updated supplier spend analysis from the FMS has been completed and this is being reviewed to identify potential areas of contractual spend. A revised action date has been agreed with Officers against this recommendation.</p>	<p>01/09/2018</p>

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Housing Contracts Review	Rec No. 2
Summary of Weakness / Recommendation	Risk Rating
<p>The Procurement Section were not taking an active role in enforcing annual contract reviews throughout the Council, to ensure that contracts were being legally managed and extended in accordance with legislation.</p> <p>We recommend that the Head of Procurement devise a system for overseeing the various contract management activities within the Council and for actively monitoring them. This should ensure that the on-going monitoring of contracts is not only taking place, but also being evidenced and that it informs subsequent contract management activities. This function should also ensure that contracts are being extended correctly and that formal exemptions are being utilised, where required.</p>	<p>Moderate Risk</p>
Management Response/Action Details	Action Date
<p>As part of the proposed Shared Service, the Council will benefit from a fully automated Contracts Register. This will provide the functionality to aid contract management, which will for example, provide alerts regarding key dates for each major Contract and quarterly meetings with service leads.</p> <p>If the proposal to join the Shared Service is not agreed by the Council, then the current E-tendering portal that the Council currently uses will be upgraded to include a Contract Monitoring module.</p> <p>In the meantime, work is on-going to compile contract information in readiness for transition to the Shared Service or an upgrade to the Council's current system, to enable future monitoring and review.</p>	<p>30/03/2018</p>
Status Update Comments	Revised Date
<p>This recommendation was followed-up by Internal Audit in May 2018, while we consider that progress has been made against implementation, further actions are required for this matter to be fully addressed and embedded into Council systems, following recent changes to the structure and service provision in Housing and Procurement. A revised action date has been agreed with Officers against this recommendation.</p>	<p>01/09/2018</p>

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Housing Contracts Review	Rec No. 3
Summary of Weakness / Recommendation	Risk Rating
<p>Contract opportunities for adaptations (where collective works were over the £25,000 threshold) were not being advertised on the 'Contracts Finder' website, in line with the requirements of the Public Contract Regulations 2015.</p> <p>We recommend that the Head of Procurement identify a range of options available to the Council for complying with this ruling and seek to strengthen systems to ensure compliance with the Public Contract Regulations 2015. Such a system should ensure that the principles of transparency, equal treatment and non-discrimination, under European Union Treaties, are also adhered to.</p>	Moderate Risk
Management Response/Action Details	Action Date
<p>The Council agreed changes to the procurement of Disabled Facility works at a meeting of the Finance and Management Committee on 12th October 2017. The current "standing" list will be replaced by a Framework of 4 to 5 contractors to undertake smaller works below £25,000. This will be subject to an OJEU process.</p> <p>Any larger works above £25,000 will be tendered separately and advertised in the normal way (Source Derbyshire, etc.)</p>	30/03/2018
Status Update Comments	Revised Date
<p>This recommendation was followed-up by Internal Audit in May 2018, while we consider that progress has been made against implementation, further actions are required for this matter to be fully addressed and embedded into Council systems, following recent changes to the structure and service provision in Housing and Procurement. A revised action date has been agreed with Officers against this recommendation.</p>	01/08/2018

Housing Contracts Review	Rec No. 5
Summary of Weakness / Recommendation	Risk Rating
<p>The Procurement Contracts Register was found to be incomplete and out-of-date. As such this did not completely fulfil the purpose of a Contracts Register.</p> <p>We recommend that the Head of Procurement review and update the Contracts Register to ensure that this document is accurate and up-to date. This register should be updated on an on-going basis and used as the central record of all contracts held by the authority in order to facilitate the effective contract management of existing contracts and future procurement exercises.</p>	Moderate Risk
Management Response/Action Details	Action Date
<p>As part of the proposed Shared Service, the Council will benefit from a fully automated Contracts Register.</p> <p>If the proposal to join the Shared Service is not agreed by the Council, then the current E-tendering portal that the Council currently uses will be upgraded to include a register module.</p> <p>In the meantime, work is on-going to review and update the current Register and to provide sufficient and accurate data in order to populate the new Register.</p>	30/03/2018
Status Update Comments	Revised Date
<p>This recommendation was followed-up by Internal Audit in May 2018, while we consider that progress has been made against implementation, further actions are required for this matter to be fully addressed and embedded into Council systems, following recent changes to the structure and service provision in Housing and Procurement. A revised action date has been agreed with Officers against this recommendation.</p>	01/09/2018

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Whistleblowing Investigation 2	Rec No. 5
Summary of Weakness / Recommendation	Risk Rating
<p>Annual contract reviews were not being undertaken by the Contract Managers, to monitor contract spend amongst other requirements, and we believe that certain Housing Contracts may be overspent.</p> <p>We recommend that the Housing Section undertake annual contract reviews over all major Housing Contracts, in conjunction with the Head of Procurement, to ensure that these contracts are operating effectively, providing value for money and are not overspent against official contract values. This process should be formally documented and where issues are identified, appropriate remedial action(s) should be undertaken without undue delay.</p>	Moderate Risk
Management Response/Action Details	Action Date
<p>Reviews will be put into place to evaluate the contract performance, value for money and effectiveness based on the start dates of the individual contracts.</p> <p>This is separate from a need to have an ongoing multi-year programme that should be refreshed and reviewed regularly.</p>	01/04/2018
Status Update Comments	Revised Date
<p>This recommendation was followed-up by Internal Audit in May 2018, while we consider that progress has been made against implementation, further actions are required for this matter to be fully addressed and embedded into Council systems, following recent changes to the structure and service provision in Housing and Procurement. A revised action date has been agreed with Officers against this recommendation.</p>	01/08/2018

Parks & Open Spaces	Rec No. 1
Summary of Weakness / Recommendation	Risk Rating
<p>Comprehensive risk assessments of play equipment were not available for inspection. A limited number of non-descript risk assessments were located with play equipment listed as a hazard, suggesting that risk assessments had not been completed for all playgrounds and equipment across the district.</p> <p>We recommend that the Council establish risk assessments for all the playgrounds and the equipment therein, for which it could be held liable. The risk assessments should be undertaken with the above guidance provided by ROSPA and should consider the activity classification, hazard identification, the evaluation of risk, the evaluation of the control measures and the specification for further action.</p>	Moderate Risk
Management Response/Action Details	Action Date
<p>Agree action plan with H&S officer. Agree content of risk assessments and list of sites to be inspected - SDDC own sites only. Establish which Parish Councils already undertake risk assessments. Write to advise remaining Parish Councils of their responsibilities. NOTE: there may be budget/cost implication</p>	31/12/2017
Status Update Comments	Revised Date
<p>Due to officer departure from the Council don't believe any action has been taken to date so deadline will need moving back probably to end March for now. We now have an interim 3 day replacement and will be convening to discuss how we take the audit recommendations forward.</p> <p>Our internal capacity to progress is temporarily limited but we are undertaking a district wide play audit of our own which will help to address the outstanding recommendations. We are currently engaged in a procurement exercise to secure external expertise to undertake the audit. To allow for the procurement, the audit and then remedial action suggest a revised date for implementing the outstanding recommendations of end September</p>	30/09/2018

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Parks & Open Spaces		Rec No. 8
Summary of Weakness / Recommendation		Risk Rating
<p>Park Keepers and other members of the Grounds Maintenance team undertaking inspections of play equipment had not received appropriate training.</p> <p>We recommend that the Park Keepers and any other members of the Grounds Maintenance team who would be expected to undertake inspections of play equipment, undertake appropriate training on playground inspections. This is in accordance with the Grounds Maintenance Contract Specification which states that routine visual inspections should be undertaken on a daily basis by appropriately trained and accredited staff.</p>		Moderate Risk
Management Response/Action Details		Action Date
Identify relevant staff. Training of all relevant staff to be carried out and documented, including regular refresher training		31/03/2018
Status Update Comments		Revised Date
We would look to book the relevant operatives onto a course as soon as possible in the new financial year. We are now in that period so will look for an appropriate course for the staff to attend.		30/06/2018

Leisure Centres		Rec No. 1
Summary of Weakness / Recommendation		Risk Rating
<p>The Contractor had not included all the areas which it was responsible for maintaining within the planned preventative maintenance schedule and this had not been highlighted by the Council.</p> <p>We recommend that the Council ensure that the existing planned preventative maintenance schedule established by the Contractor is expanded to include all the areas that they are responsible for as per the contract summary of maintenance responsibilities. This would ensure all areas of responsibility are captured and subject to inspection on a periodic basis, thereby serving to minimise any costs which could escalate as a result of unidentified defects.</p>		Moderate Risk
Management Response/Action Details		Action Date
Programme to be confirmed and monitored at Contract Management Meetings		01/10/2017
Status Update Comments		Revised Date
<p>The new control system is on the agenda for our contract meeting on 23rd October 2017. Suggest revise date to 1st November 2017 and minutes of meeting to be sent as evidence.</p> <p>As with Recommendation 4 discussed at contract meeting. Expecting transition by February 2018 so please revise date to end of February 2018.</p> <p>Transition to WAM system more labour intensive than originally envisaged. Now expecting completion in April 2018.</p> <p>WAM still being implemented. Suggest mid-June 2018 for completion.</p>		15/06/2018

South Derbyshire District Council – Audit Progress Report

Leisure Centres	Rec No. 2
Summary of Weakness / Recommendation	
Risk Rating	
<p>The Council had not undertaken inspections on the exterior fabric of the building as per the contract summary of maintenance responsibilities.</p> <p>We recommend that the Council fulfil its obligations in respect of those areas which it has responsibility for maintaining. Inspections should be undertaken on a regular basis, in accordance with any relevant legislation and properly documented.</p>	Moderate Risk
Management Response/Action Details	
Programme of inspections to be agreed with Building Maintenance Officer	01/10/2017
Status Update Comments	
<p>Our public building officer resigned several months ago and has not been replaced pending both a housing services and Council wide restructure. Once responsibility for this area of work is identified in the final structure and someone in post we will be able to commence the required inspections. Given the uncertainty suggest a revised compliance date of 31st January 2018.</p> <p>The long term future of the Public Building Officer post has still not been settled and an interim arrangement with a housing office picking up related duties put in place. This officer has been contacted with a view to them undertaking the inspections pending settlement of the longer term arrangements with this post. Suggest a further revised date of 1st April 2018.</p> <p>Unfortunately no change from last update in terms of recruitments, restructures, capacity. Matter is on corporate agenda but suggest date put back to September 2018.</p>	<p>30/09/2018</p>

Backup Server Healthcheck	Rec No. 4
Summary of Weakness / Recommendation	
Risk Rating	
<p>A local administrator account on one of the Council's Backup Exec Server had a weak corresponding password which was representative of the word password with only minor character substitutes. Furthermore, this password had not been changed in 656 days.</p> <p>We recommend that management looks to strengthen the weak corresponding password vulnerability which has been reported confidentially to the IT team.</p>	Moderate Risk
Management Response/Action Details	
Where possible passwords have been changed to resolve this issue. Again we need to be careful when changing passwords as many accounts run services and so we don't want the Backup processes to start failing. This issue will be fully addressed when a new solution is implemented.	27/04/2018
Status Update Comments	
A project to review the corporate requirements and ICT service approach to Back Ups and Disaster Recovery is underway. Suppliers have been invited to review existing infrastructure and suggest best practice solutions. These will be considered in relations to the 'business requirements' set by engaging core stakeholders in the organisation regarding their needs. The new approach will be documented and reviewed corporately and by the ICT service. This work commenced 1st February 2018 and is due to conclude by late Summer 2018.	31/08/2018