

central midlands audit partnership

# South Derbyshire District Council – Audit Progress Report

Audit Sub-Committee: 29<sup>th</sup> May 2019



**South Derbyshire**  
District Council



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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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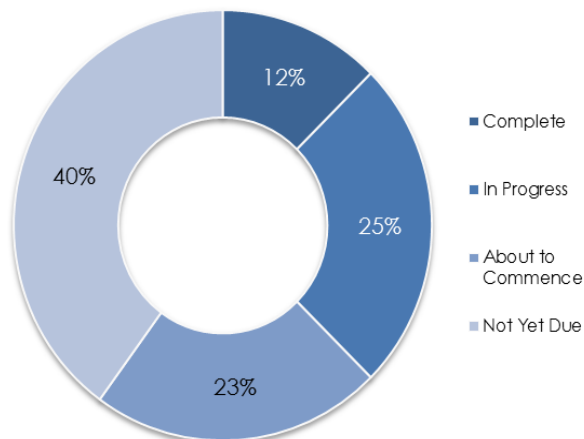


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*Providing Excellent Audit Services in the Public Sector*

# South Derbyshire District Council – Audit Progress Report

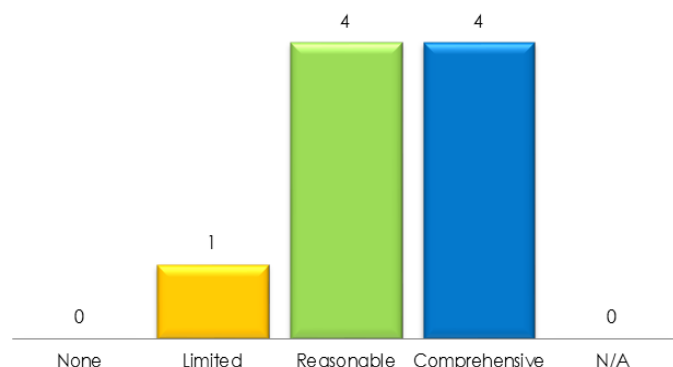
## AUDIT DASHBOARD

### Plan Progress



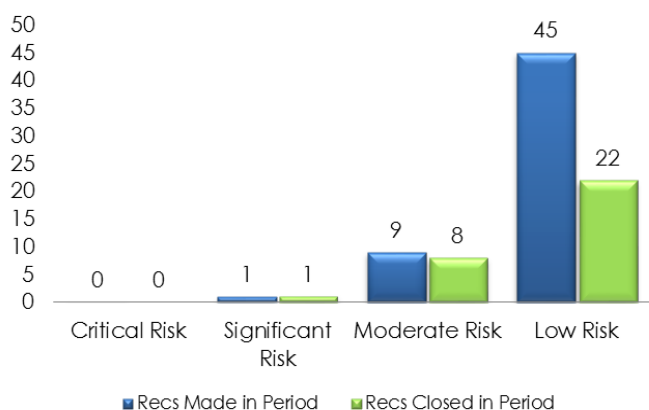
### Jobs Completed in Period

#### Control Assurance Ratings During Period



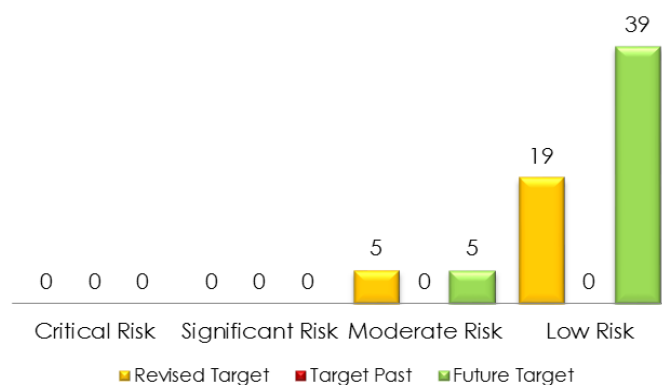
### Recommendations

#### Movement During Period



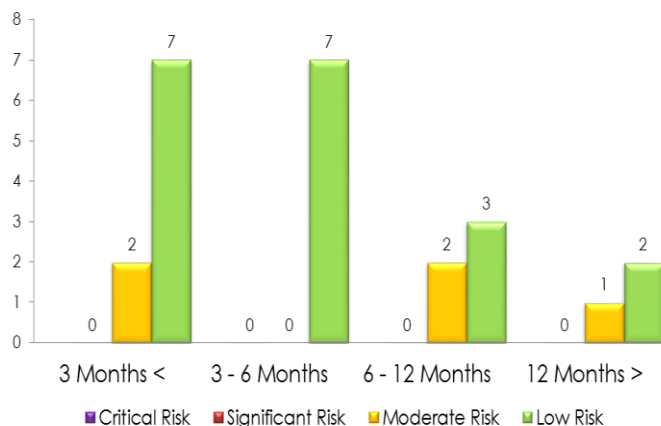
### Recommendations

#### Recommendations Currently Open



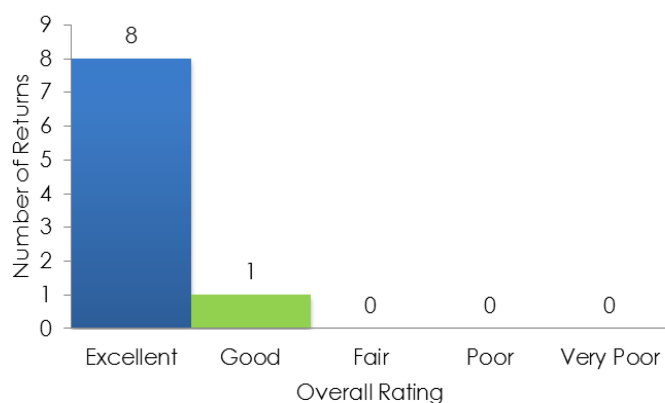
### Recommendations

#### Overdue Recommendations



### Customer Satisfaction

#### Returns Between May 18 & Apr 19



# 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 30<sup>th</sup> April 2018.

2019-20 Jobs	Status	% Complete	Assurance Rating
Significant Contracts	Not Allocated		
Main Accounting System 2019-20	Not Allocated		
Treasury Management 2019-20	Not Allocated		
Banking Services 2019-20	Allocated	10%	
Payroll 2019-20	Not Allocated		
Officers Expenses & Allowances 2019-20	In Progress	20%	
Creditors 2019-20	Not Allocated		
Fixed Assets 2019-20	Allocated	5%	
Revenues Systems 2019-20	Not Allocated		
Cashiering 2019-20	In Progress	30%	
Housing Benefit & Council Tax Support 2019-20	Not Allocated		
Anti-Fraud & Corruption 2019-20	Allocated	10%	
IT Applications	Not Allocated		
IT Infrastructure	Not Allocated		
Project Management	Not Allocated		
Business Change & Transformation	Not Allocated		
Data Quality & Perf. Management 2019-20	Allocated		
Rent Accounting 2019-20	In Progress	20%	
Former Tenants Arrears 2019-20	Allocated		
Council House Sales - Right To Buy 2019-20	Allocated	5%	
Grounds Maintenance	Not Allocated		
Improvement Grants (Disabled Facilities Grant)	Not Allocated		
Bereavement Services 2019-20	Not Allocated		
Electoral Services 2019-20	Not Allocated		
Economic Development 2019-20	Not Allocated		

B/Fwd Jobs	Status	% Complete	Assurance Rating
Information Governance	In Progress	45%	
Capital Programme	Allocated	0%	
Payroll 2018-19	Draft Report	95%	
Creditors 2018-19	Final Report	100%	Reasonable
Revenue Systems 2018-19	Final Report	100%	Comprehensive
Housing Benefit & Council Tax Support 2018-19	Draft Report	95%	
File Server Security	Final Report	100%	Reasonable
Development Control	Allocated	5%	
Food Safety 2018-19	Draft Report	95%	
Sport & Health Funding	Allocated	10%	
Rosliston Forestry Centre	Draft Report	95%	
Planned & Responsive Maint. - Public Buildings	In Progress	40%	
Housing Safety Inspections	Fieldwork Complete	80%	
Community Safety Partnership 2018-19	In Progress	75%	
Corporate Governance 2018-19	Fieldwork Complete	90%	

# South Derbyshire District Council – Audit Progress Report

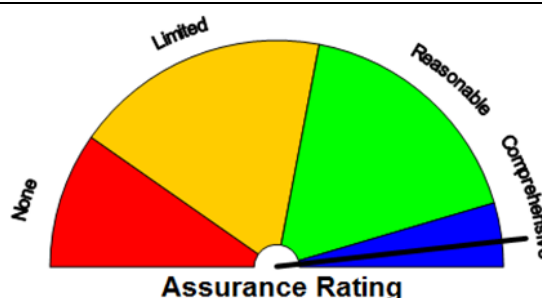
## AUDIT COVERAGE

### Completed Audit Assignments

Between 1st March 2019 and 16<sup>th</sup> May 2019, 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	
Street Cleansing 2018-19	Comprehensive				2	50%
Fleet Management	Reasonable				8	50%
Treasury Management 2018-19	Comprehensive				2	100%
Orchard IT Application	Limited			3	15	6%
File Server Security	Reasonable			4	5	44%
Revenue Systems 2018-19	Comprehensive				4	0%
Creditors 2018-19	Reasonable		1	1	4	50%
Housing Benefit & CTax Support 2018-19	Comprehensive				2	0%
Food Safety 2018-19	Reasonable			1	3	0%

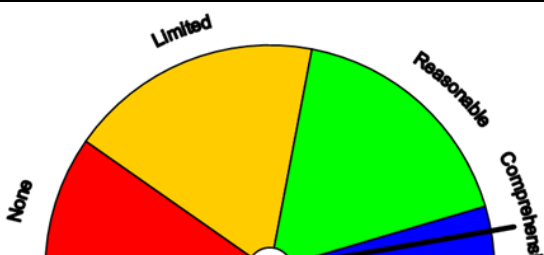
### Street Cleansing 2018-19



Control Objectives Examined	Controls Evaluated	Adequate Controls	Partial Controls	Weak Controls
The process for fixed penalty notices complies with legislation, is subject to review and is communicated to all relevant parties.	2	1	0	1
Procedures are in place to manage the fixed penalty notice process and test that actual practice follows procedure.	5	4	1	0
To test if the Council have a policy and procedures in place to manage the prosecution of offenders for non payment of fixed penalty notices.	4	3	1	0
<b>TOTALS</b>	<b>11</b>	<b>8</b>	<b>2</b>	<b>1</b>
Summary of Weakness		Risk Rating	Agreed Action Date	
There were differences in the information available on different parts of the Council's website (and with the Fixed Penalty Notices Procedures Manual) and the Council was not complying with Government requirements with regard to the disclosure of information.		Low Risk	Implemented	
The Fixed Penalty Notice Quality Procedures Manual contained errors and omissions that undermined its purpose of providing direction and control to the Fixed Penalty Notice process.		Low Risk	01/03/2019 Being Implemented 31/05/2019	

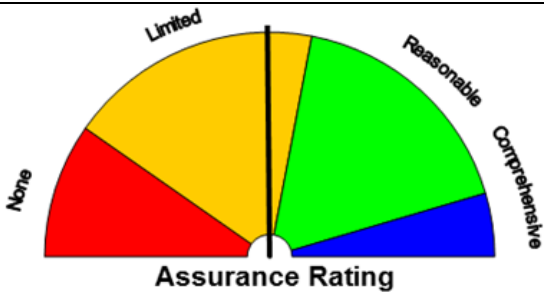
## South Derbyshire District Council – Audit Progress Report

Fleet Management	 <p>Assurance Rating</p>			
Control Objectives Examined	Controls Evaluated	Adequate Controls	Partial Controls	Weak Controls
There are up-to-date Fleet management strategy, relevant policies and procedures in place, appropriately communicated to staff	3	0	2	1
The Council is compliant with undertakings of the Operator's Licence	4	3	0	1
Comprehensive records on all vehicles and drivers are maintained	4	1	0	3
Vehicles are serviced and inspected in accordance with the maintenance programme. Daily checks are undertaken in respect of each vehicle and defect books are appropriately completed and retained	4	2	0	2
<b>TOTALS</b>	<b>15</b>	<b>6</b>	<b>2</b>	<b>7</b>
Summary of Weakness		Risk Rating	Agreed Action Date	
The Vehicle Management Strategy and Vehicle Replacement Plan (November 2016) were out-of-date		Low Risk	30/11/2019 Future Action	
A number of policies and procedures related to vehicle management and driving are inconsistent with the current regulations, out-of-date or drafted but not formally approved.		Low Risk	31/03/2020 Future Action	
The good practice of requirement to sign for reading of the drivers' responsibilities was not followed		Low Risk	31/03/2020 Future Action	
The information on currently used operating centres communicated to the Traffic Commissioner was not up-to-date		Low Risk	12/03/2019 Implemented	
The check of entries to manually maintained database was not evidenced.		Low Risk	11/02/2019 Implemented	
There was no centralised record of the drivers employed by the Council, and no centralised checks were undertaken for validity of driving permits		Low Risk	30/06/2019 Future Action	
There was no record of controlled stationery allocation to vehicles and no vehicle details on the Defect books covers		Low Risk	11/02/2019 Implemented	
4 out of 10 sampled defect books were not completed in line with the procedure		Low Risk	07/03/2019 Implemented	

Treasury Management 2018-19	 <p>Assurance Rating</p>			
Control Objectives Examined	Controls Evaluated	Adequate Controls	Partial Controls	Weak Controls
Appropriate and approved Treasury Management Strategy and Policy and Procedures documentation are in place and maintained.	5	3	2	0

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Treasury Management transactions comply with the Council's agreed Investment Strategy.	4	4	0	0
Investment decisions are authorised and promptly recorded, and controls are in place to ensure that interest received is correct and funds invested are recovered by the due date.	12	10	2	0
<b>TOTALS</b>	<b>21</b>	<b>17</b>	<b>4</b>	<b>0</b>
<b>Summary of Weakness</b>		<b>Risk Rating</b>	<b>Agreed Action Date</b>	
The Authorising Officers for transactions in the Treasury Management Strategy Statement did not align with the approvers detailed in the treasury management guidance notes.		Low Risk	Implemented	
Reconciliations for Short Term Investments (BZ330) and Instant Access Investment Account (BZ343) had not always been reviewed by a second officer.		Low Risk	Implemented	

Orchard IT Application		 <p><b>Assurance Rating</b></p>		
<b>Control Objectives Examined</b>	<b>Controls Evaluated</b>	<b>Adequate Controls</b>	<b>Partial Controls</b>	<b>Weak Controls</b>
SDDC-VM-ORCH-L (Live Orchard Housing Server) - review of security and general housekeeping of the server & installed applications to assist the Council with 'GDPR readiness'	18	5	0	13
Orchard (Test & Demo Server) - review of security and general housekeeping of the server & installed applications to assist the Council with 'GDPR readiness'	19	6	0	13
SDDC-VM-MERGEIT (Mail Merge) - review of security and general housekeeping of the server & installed applications to assist the Council with 'GDPR readiness'	7	4	0	3
SDDC-VM-IMS01 (IMS Server) - review of security and general housekeeping of the server & installed applications to assist the Council with 'GDPR readiness'	8	5	0	3
SDDC-VM-HBO (Business Objects Server) - review of security and general housekeeping of the server & installed applications to assist the Council with 'GDPR readiness'	7	5	0	2
<b>TOTALS</b>	<b>59</b>	<b>25</b>	<b>0</b>	<b>34</b>
<b>Summary of Weakness</b>		<b>Risk Rating</b>	<b>Agreed Action Date</b>	
A number of issues were identified with share and directory access control lists on both the live and test servers, which may expose sensitive or critical information to unauthorised access or amendment.		Moderate Risk	30/09/2019 Future Action	
No Windows Security updates had been applied to the live server since May 2018 (4 months previous), and a smaller number of updates were missing/pending on the test server.		Low Risk	31/05/2019 Future Action	
The local firewall was not enabled on either the live or test servers.		Low Risk	30/09/2019 Future Action	
A significant number of stale accounts existed in in both the live and test systems.		Moderate Risk	30/09/2019 Future Action	



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Auto purging of spool and interface files was not taking place on either live or test, meaning personal data may reside in these files on the servers local drives, and therefore be susceptible to unauthorised access, or complicate data retention practices.	Low Risk	31/08/2019 Future Action
A number of stale database level accounts were still enabled in both the live and test databases, but were not seem to be serving any operational purpose	Low Risk	30/09/2019 Future Action
An administrative accounts password was accessible plain text in a number of configuration files on both the live and test servers, and should be encrypted.	Low Risk	31/05/2019 Future Action
The current version of Progress in use in both the live and test environments would be unsupported and retired early in 2019.	Low Risk	31/08/2019 Future Action
The Council was not making use of encrypted protocols to protect data at rest (n the Orchard database) and in transit, on either the test or live environments.	Low Risk	31/12/2019 Future Action
Weaknesses in the current password policy of the system on both the live and test systems were highlighted, specific to minimum password length (currently 4 characters), and password expiry settings.	Low Risk	30/06/2019 Future Action
Historic upgrade logs had not been removed on the live server, which exposed usernames and passwords in plain text.	Low Risk	31/12/2019 Future Action
The Orchard Housing LIVE password had never been changed on either live or test.	Moderate Risk	30/04/2019 Being Implemented 31/05/2019
The current configuration of the application logs meant they would continually grow, causing access and capacity risks, and should be effectively rotated.	Low Risk	31/12/2019 Future Action
The demo database had not been updated with relevant or current data since January 2018, which could violate GDPR principles.	Low Risk	Implemented
Old PDF documents linked to the mail merge process containing personal information, were still resident on the server, and were not being effectively deleted from the local storage.	Low Risk	30/09/2019 Future Action
The c:\ drive on the mail merge server had only 1 GB of free space, which could cause service outages and performance issues.	Low Risk	30/09/2019 Future Action
The IMS system was being run using a high privilege local service account, rather than the best practice of a lower privilege read-only account.	Low Risk	30/09/2019 Future Action
Concerns were raised on how business object reports were being stored on the local drive, which may affect the accuracy and currency of the data, and violate data retention policies.	Low Risk	30/04/2019 Being Implemented 31/05/2019

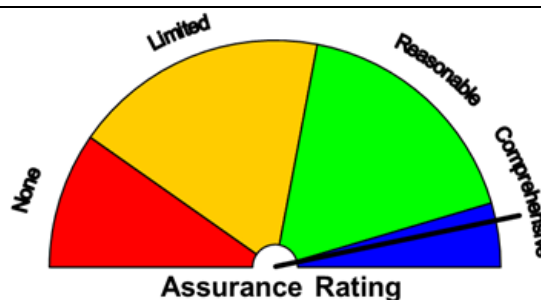
File Server Security					
Control Objectives Examined		Controls Evaluated	Adequate Controls	Partial Controls	Weak Controls
Ensure the security configuration of the file servers underlying operating system and integration with the domain and host environment aligns with best practice.		18	13	0	5
Ensure the configuration, maintenance and monitoring of the file server environment aligns with recognised best practices.		15	3	0	12
<b>TOTALS</b>		<b>33</b>	<b>16</b>	<b>0</b>	<b>17</b>
Summary of Weakness			Risk Rating	Agreed Action Date	
The last date any form of Windows updates (security or otherwise) had been applied to either of the file servers reviewed was November 2017, meaning both servers were vulnerable to known security exploits.			Moderate Risk	Implemented	



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A number of issues were identified with domain admin accounts which had full access over both file servers, including: <ul style="list-style-type: none"> <li>28 seemingly inactive accounts across the domains (no login activity into their respective domain over a year),</li> <li>inconsistencies between password never expires grants amongst administrators,</li> <li>officers with multiple accounts as domain admin members (a standard 'day to day' account and a specific admin account), and</li> <li>an officer outside of ICT with domain admin rights.</li> </ul>	Low Risk	Implemented
The ability to create root level folders in the users\$ and data file shares on the RICO file server had not been appropriately restricted to only server administrators.	Low Risk	Implemented
Not all employee's U:\ drives had been appropriately restricted to only the employee and the default IT administrative support groups.	Low Risk	01/06/2019 Future Action
From a sample of directories reviewed, we found that membership of security groups which governed access could not always be justified. This included the revenues and licensing new structure directories, both of which stored personal and sensitive information.	Moderate Risk	01/06/2019 Future Action
The Council was storing over a million files on the data drive of the file server, of which almost half a million were associated with the Health, Leisure and Housing departments. Of these, almost 90% of the documents had not been accessed by anyone since 2017 or earlier, raising corporate concerns around data retention and departmental records management.	Low Risk	31/12/2019 Future Action
Some users were storing excessive amounts of data on their U:\ drives, including one user alone with a 30 GB U:\, there were no quotas configured to enforce individual housekeeping and data retention practices, and user drives and shared data were resident on the same volume.	Low Risk	31/12/2019 Future Action
Domain user security groups containing non IT professionals had been granted NTFS full control over sensitive directories, including the health directory on the data share which housed over 250,000 files/folders.	Moderate Risk	01/06/2019 Future Action
Access to a number of sensitive directories on the data share of the Council's core file server had been shared to the domain users groups (everyone in the network).	Moderate Risk	15/02/2019 Implemented

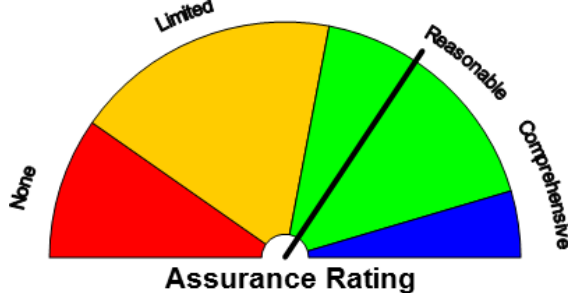
### Revenue Systems 2018-19

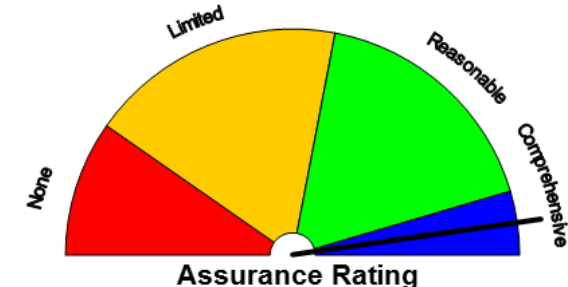


Control Objectives Examined	Controls Evaluated	Adequate Controls	Partial Controls	Weak Controls
To ensure that the Council Tax and Non-Domestic Rates property databases are accurately maintained.	7	6	1	0
To ensure that income due for Council Tax and Non-Domestic Rates is collected and properly recorded.	18	15	3	0
<b>TOTALS</b>	<b>25</b>	<b>21</b>	<b>4</b>	<b>0</b>
Summary of Weakness		Risk Rating	Agreed Action Date	
The weekly reconciliations of the Council Tax and NDR property databases to the VOA Schedule of Alterations were not all completed in a timely manner and were not subject to evidenced review.		Low Risk	01/10/2019 Future Action	
Transactions on the Council Tax payment suspense account were not cleared in a timely manner.		Low Risk	01/10/2019 Future Action	
Information on which debts were with Enforcement Agents was available from the		Low Risk	01/10/2019	

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Academy system, but there was no periodic management information prepared on the number of debts with each Enforcement Agent, and no analysis of performance was undertaken.		Future Action
There was no scheme of delegation for the authorisation of individual refund payments, and the level of seniority of the staff authorising high value payments was not considered appropriate.	Low Risk	01/10/2019 Future Action

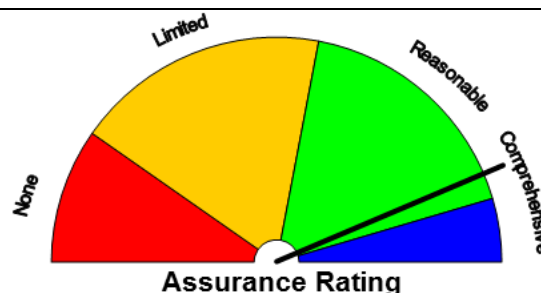
Creditors 2018-19		 <p>Assurance Rating</p>		
Control Objectives Examined	Controls Evaluated	Adequate Controls	Partial Controls	Weak Controls
Robust controls are in place to ensure access to the Creditors system is properly administered and access levels are appropriate in accordance with job roles.	8	2	6	0
Adequate controls are in place surrounding the input and processing of invoices received for payment, with a particular focus on preventing duplicate payments.	4	3	1	0
<b>TOTALS</b>	<b>12</b>	<b>5</b>	<b>7</b>	<b>0</b>
Summary of Weakness		Risk Rating	Agreed Action Date	
There was no standard form in use to set up new System Administrator users or ordinary system users on the Council's Financial Management System.		Low Risk	01/07/2019 Future Action	
Whilst some complimentary checks on the system audit trails were in place and being evidenced, this could not be said for all. There was limited or no evidence available in respect of other audit trail checks that were being undertaken.		Low Risk	Risk Accepted	
User access permissions were only reviewed as a result of a change to the staffing structure and no evidence was maintained that any review had been undertaken.		Low Risk	01/10/2019 Future Action	
All officers within the Finance Team had access permissions to set-up new suppliers and amend existing supplier details, but the Head of Finance had the capacity to undertake both of these tasks and also authorise payments to suppliers.		Moderate Risk	Implemented	
All officers within the Finance Team had access permissions to set-up new suppliers' bank account details; amend existing supplier bank account details with three of these officers also responsible for processing payments to suppliers.		Significant Risk	Implemented	
The Purchasing Code of Practice did not specify the procedures to be followed in relation to the payment of invoices or that payment must only be made on receipt of a proper, valid invoice.		Low Risk	31/10/2019 Future Action	

Housing Benefit & Council Tax Support 2018-19		 <p>Assurance Rating</p>		
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Control Objectives Examined	Controls Evaluated	Adequate Controls	Partial Controls	Weak Controls
Changes in circumstance are processed promptly and accurately, so that overpayments of benefit are minimised.	10	7	3	0
Overpayments are recovered timely and in accordance with Council policies	10	7	2	1
Appropriate quality assurance arrangements are in place	9	8	1	0
<b>TOTALS</b>	<b>29</b>	<b>22</b>	<b>6</b>	<b>1</b>
Summary of Weakness		Risk Rating	Agreed Action Date	
The Debt Management Policy was not up-to-date and comprehensive operational procedural guidance for the management of housing benefit overpayment debts had not yet been produced.		Low Risk	30/09/2019 Future Action	
Authorisation documentation could not be located for all write-offs tested.		Low Risk	31/12/2019 Future Action	

### Food Safety 2018-19



Control Objectives Examined	Controls Evaluated	Adequate Controls	Partial Controls	Weak Controls
Confirm that procedures and policies are up-to-date, compliant with the current legislation and appropriately communicated to staff, customers and the general public	5	4	1	0
Confirm that the Council is up-to-date with its statutory reporting and standards certification	3	3	0	0
Confirm that the Council is up-to-date with its food premises inspection /scoring programme and that inspections are carried out in compliance with relevant standards and policies	9	8	0	1
Confirm that complaints and other service requests are dealt with appropriately and within pre-determined timescales. Suitable records should be maintained for investigations and enforcement actions should be fully justified with documented evidence	8	8	0	0
Confirm that correct performance information is collated and reported regularly	2	0	1	1
<b>TOTALS</b>	<b>27</b>	<b>23</b>	<b>2</b>	<b>2</b>
Summary of Weakness		Risk Rating	Agreed Action Date	
Food Safety procedures were out-of-date (issued in 2013) and had not been reviewed in line with procedural requirements.		Low Risk	01/11/2019 Future Action	
Inspections had been undertaken outside of the required 28 day period, with one found to be undertaken 128 days after the scheduled date which was only then initiated by a complaint.		Low Risk	01/06/2019 Future Action	
Management were not actively monitoring that inspection reports were being issued within 10 working days of inspection, as specified in the published target response times.		Low Risk	01/06/2019 Future Action	
Performance information and the annual Food Service Plan were not being routinely reported to the Environmental & Development Services Committee.		Moderate Risk	01/09/2019 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
16-May-19	Housing Benefit & Council Tax Support 2018-19	Comprehensive			2
16-May-19	Food Safety 2018-19	Reasonable			4
08-May-19	Creditors 2018-19	Reasonable			3
31-Mar-19	Orchard IT Application	Limited		2	15
26-Mar-19	Fleet Management	Reasonable			4
16-Apr-19	Revenue Systems 2018-19	Comprehensive			4
08-Apr-19	File Server Security	Reasonable			5
12-Feb-19	PCI Compliance 2018-19	Reasonable		2	4
19-Dec-18	Sheltered Housing / Careline	Reasonable		3	2
14-Feb-19	Allocations & Homelessness 2018-19	Reasonable			3
14-Mar-19	Street Cleansing 2018-19	Comprehensive		1	
25-Jan-19	Section 106 Agreements 2018-19	Reasonable		2	1
02-Oct-18	Payroll 2017-18	Reasonable			1
25-Apr-18	Organisational Culture & Ethics	Reasonable		1	
12-Jul-18	NDR 2017-18	Comprehensive		1	
06-Sep-18	Council Tax 2017-18	Comprehensive		2	
10-Jan-19	Health & Safety	Reasonable			2
06-Mar-18	Tenants Arrears 2017-18	Reasonable		3	
19-Jan-18	Rent Accounting 2017-18	Reasonable		1	
13-Nov-17	Officers Expenses & Allowances	Reasonable		1	
18-May-18	Sharpes Pottery	Comprehensive		1	
07-Aug-17	Parks & Open Spaces	Reasonable		2	
06-Jun-17	Leisure Centres 2016-17	Reasonable		1	
29-Jun-18	Safeguarding	Reasonable		1	
		<b>TOTALS</b>		<b>24</b>	<b>50</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.

Audit Assignments with Recommendations Due	Action Due			Being Implemented		
	Significant Risk	Moderate Risk	Low Risk	Significant Risk	Moderate Risk	Low Risk
Orchard IT Application					1	1
PCI Compliance 2018-19					1	1
Sheltered Housing / Careline						3
Street Cleansing 2018-19						1
Section 106 Agreements 2018-19						2
Organisational Culture & Ethics					1	
NDR 2017-18						1
Council Tax 2017-18						2
Tenants Arrears 2017-18						3
Rent Accounting 2017-18						1
Officers Expenses & Allowances					1	
Sharpes Pottery						1
Parks & Open Spaces						2
Leisure Centres 2016-17					1	
Safeguarding						1

## South Derbyshire District Council – Audit Progress Report

TOTALS					5	19
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## South Derbyshire District Council – Audit Progress Report

### Highlighted Recommendations

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

### Being Implemented Recommendations

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
Following further investigation a PCI Compliance Self-assessment is in progress to validate current compliance status, as it now appears that fees referred to in report were not for non-compliance, but related to a separate monthly contractual payment card service cost.	30/06/2019

Organisational Culture & Ethics	Rec No. 3
Summary of Weakness / Recommendation	Risk Rating
<p>The Council had not undertaken a staff survey which was specifically geared towards the Council's culture, ethics and values.</p> <p>We recommend that the Council consider undertaking a specific Cultural Survey aimed at assessing officer opinions on the Council's culture, ethics and values. The results of the survey could then be used to make improvements where necessary should any common specific themes or patterns result.</p>	Moderate Risk
Management Response/Action Details	Action Date
A survey will be undertaken following research with the Council's Communications section.	31/10/2018
Status Update Comments	Revised Date
There is a restructure report tabled to Members at the Finance and Management Committee this week. Following the outcome of that, the post to drive this matter forward will be identified. Management therefore propose to delay this recommendation until 30 <sup>th</sup> September 2019.	30/09/2019



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Orchard IT Application	Rec No. 12
Summary of Weakness / Recommendation	Risk Rating
The Orchard Housing LIVE password had never been changed on either live or test. We recommend that management looks to ensure the password is subject to routine change, in line with the consultant's report.	Moderate Risk
Management Response/Action Details	Action Date
Housing to change Orchard Housing live password and then update on a 90 day basis as per consultant's report and Council Policy and update IT and Orchard appropriately.	30/04/2019
Status Update Comments	Revised Date
This is in progress and will be completed by 31 <sup>st</sup> May 2019. The revised action date has been updated to reflect the update.	31/05/2019

Officers Expenses & Allowances	Rec No. 2
Summary of Weakness / Recommendation	Risk Rating
The review of essential user allowances process, which was due to be carried out annually, had not been carried out. 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.	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
No formal action has progressed on this action. Revised action date 30/09/2019.	30/09/2019

Leisure Centres	Rec No. 2
Summary of Weakness / Recommendation	Risk Rating
The Council had not undertaken inspections on the exterior fabric of the building as per the contract summary of maintenance responsibilities. 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.	Moderate Risk
Management Response/Action Details	Action Date
Programme of inspections to be agreed with Building Maintenance Officer	01/10/2017
Status Update Comments	Revised Date
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 31 <sup>st</sup> January 2018  The long term future of the Public Building Officer post has still not been settled and an interim arrangement has recently been implemented with a temporary 6 month	30/06/2019



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appointment. Suggest a revised date of the end of September 2018.

Request made to interim public buildings officer to assist. Answer pending. Anticipate should be able to close out by 31<sup>st</sup> December 2018.

Responsibilities are being addressed but not in the systematic way required. The Public Building Officer situation has still not been properly resolved and capacity issues has meant he hasn't had time to devote to this issue. Suggest a revised date of 31<sup>st</sup> March 2019 and will pursue support with him and other colleagues.

We have had another change of staff in the Public Buildings Officer role and a temporary appointment has been made who is tasked with undertaking the requisite inspections. However their job priorities are still being sorted so unfortunately recommend another revised deadline of 30<sup>th</sup> June 2019.