



central midlands audit partnership

South Derbyshire District Council – Audit Progress Report

Audit Sub-Committee: 16th March 2022



South Derbyshire
District Council



Contents

Page

AUDIT DASHBOARD	3
AUDIT PLAN	4
AUDIT COVERAGE	5
RECOMMENDATION TRACKING	8
HIGHLIGHTED RECOMMENDATIONS	10

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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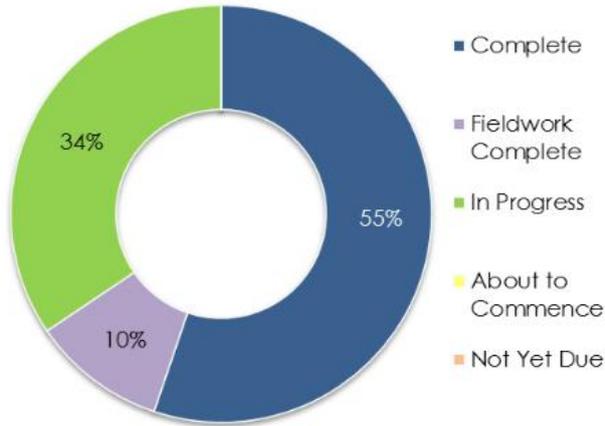
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Providing Excellent Audit Services in the Public Sector

South Derbyshire District Council – Audit Progress Report

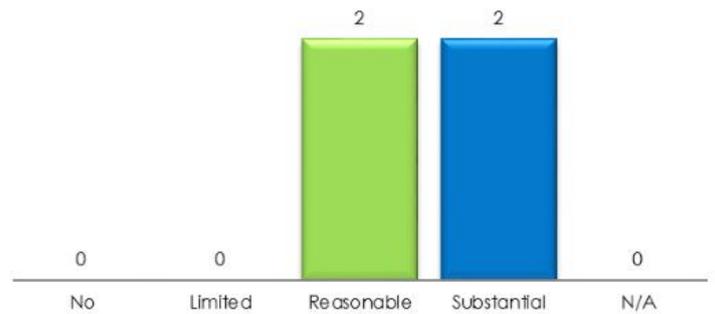
AUDIT DASHBOARD

Plan Progress



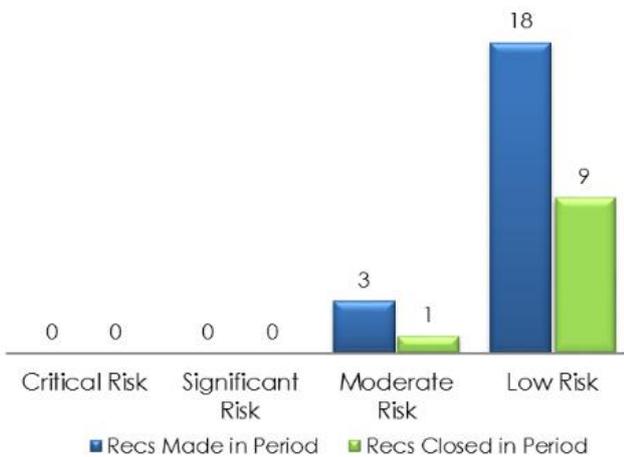
Jobs Completed in Period

Control Assurance Ratings During Period



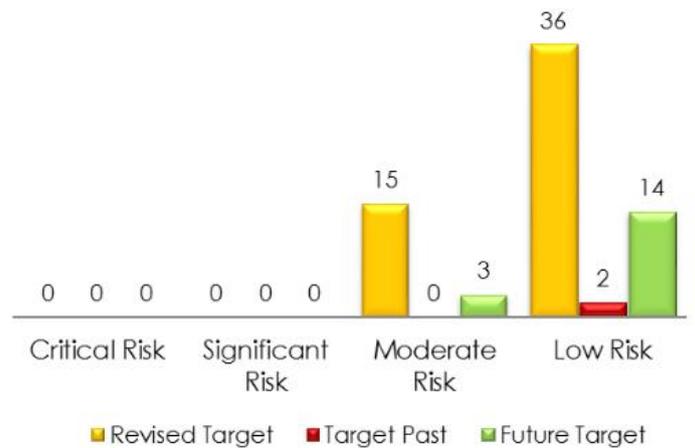
Recommendations

Movement During Period



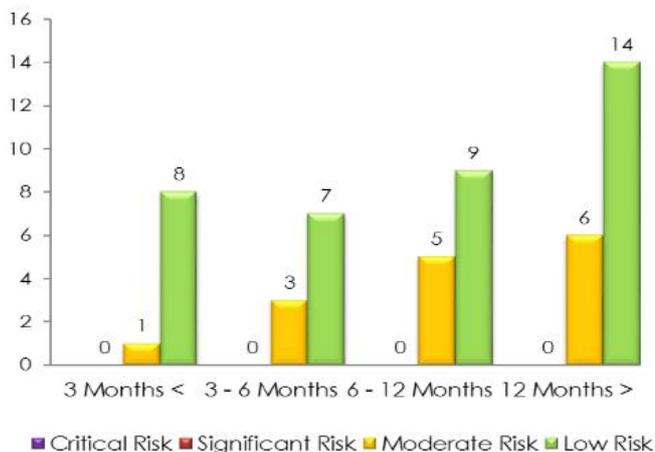
Recommendations

Recommendations Currently Open



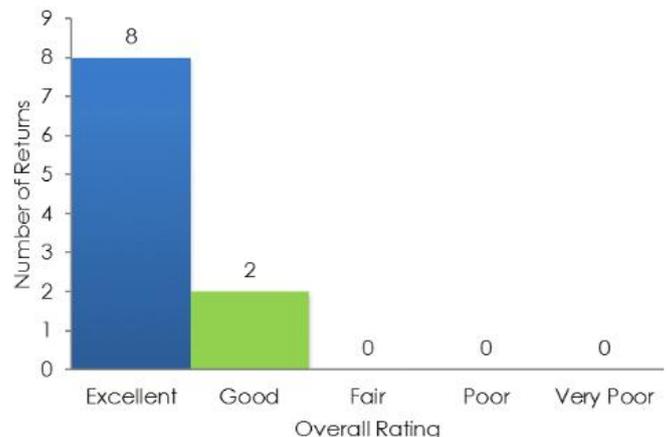
Recommendations

Overdue Recommendations



Customer Satisfaction

Returns Between Feb 21 & Feb 22



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 28th February 2022.

2021-22 Jobs	Status	% Complete	Assurance Rating
Data Protection & FOI 2021-22	Final Report	100%	Reasonable
Procurement 2021-22	In Progress	70%	
Income Streams 2021-22	In Progress	55%	
Financial Management Standards 2021-22	Final Report	100%	Reasonable
Insurance 2021-22	Final Report	100%	Substantial
Taxation 2021-22	Final Report	100%	Substantial
Payroll Probity 2021-22	In Progress	25%	
Creditors 2021-22	In Progress	50%	
Asset Management 2021-22	Final Report	100%	Reasonable
Revenues Systems 2021-22	In Progress	65%	
Cashiering 2021-22	Final Report	100%	Substantial
Housing System IT Upgrades	In Progress	45%	
IT Infrastructure 2021-22	Cancelled		
Project Management 2021-22	Final Report	100%	Reasonable
People Management 2021-22	In Progress	65%	
Data Quality & Performance Management	Final Report	100%	Substantial
Development Management 2021-22	Deferred		
Climate Change 2021-22	Final Report	100%	Substantial
Affordable Housing 2021-22	Final Report	100%	N/A
Homelessness 2021-22	In Progress	30%	
Rent Accounting 2021-22	Draft Report	95%	
Corporate Governance 2021-22	Draft Report	95%	
B/Fwd Jobs	Status	% Complete	Assurance Rating
Business Continuity & Emergency Planning	Final Report	100%	Reasonable
Procurement 2020-21	Final Report	100%	Reasonable
Housing Benefit & Council Tax Support	Draft Report	95%	
Microsoft 365 Platform	Final Report	100%	Reasonable
Financial Reporting - Impact of Covid19	Final Report	100%	Substantial
Leisure Centres 2020-21	In Progress	50%	
Housing Repairs 2020-21	Final Report	100%	Limited
Waste Contract - Pre-Procurement Stage	Final Report	100%	Reasonable
Electoral Services 2020-21	In Progress	35%	

Plan Changes

During the period it has been agreed that the IT Audit coverage for 2021-22 will focus solely on the IT upgrades to the Council's Housing system. Given the work pressures on the Development Management team, it has been decided to defer the planned audit until the 2022-23 Audit Plan year.

South Derbyshire District Council – Audit Progress Report

AUDIT COVERAGE

Completed Audit Assignments

Between 30th November 2021 and 4th March 2022, 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	
Climate Change 2021-22	Substantial				4	0%
Cashiering 2021-22	Substantial					n/a
Asset Management 2021-22	Reasonable			3	8	36%
Project Management 2021-22	Reasonable				6	0%

Climate Change 2021-22					
Control Objectives Examined	Controls Evaluated	Adequate Controls	Partial Controls	Weak Controls	
There is a framework of policies, strategies and structures in place to enable an effective response to climate change	13	10	3	0	
The Council has a robust action plan to address climate change, which is subject to monitoring and review	9	8	1	0	
TOTALS	22	18	4	0	
Summary of Weakness		Risk Rating	Agreed Action Date		
Environmental Sustainability was not a standard item on the committee report template provided by Democratic Services, and recent committee reports did not always consider Environmental Sustainability.		Low Risk	01/05/2022 Future Action		
There was a low uptake of Climate and Environment training for Councillors, and we were unable to establish whether there was a lead Council Member for Climate and Environment.		Low Risk	01/09/2022 Future Action		
The Terms of Reference for the Corporate Environmental Sustainability Group was last updated in 2018 and therefore did not reflect the current membership of the group or provide an up-to-date list of priorities relating to the Climate and Environment Strategy, Action Plan 2021-2030 or the Council's Corporate Plan aims.		Low Risk	01/02/2023 Future Action		
We identified a number of formulae errors in the Council's Carbon and Energy Data spreadsheet, the master document used to calculate and monitor carbon usage.		Low Risk	01/03/2022 Action Due		

South Derbyshire District Council – Audit Progress Report

Cashiering 2021-22				
Control Objectives Examined	Controls Evaluated	Adequate Controls	Partial Controls	Weak Controls
The AIM system reports are checked to ensure accuracy and any errors are investigated and cleared in a timely manner.	6	6	0	0
The cheque process is adequately documented and processed in a timely manner.	5	5	0	0
The decision to stop taking cash has been adequately assessed and reported with outsourcing being documented and monitored.	5	5	0	0
TOTALS	16	16	0	0
Summary of Weakness		Risk Rating	Agreed Action Date	
This report contains no recommendations, as no key control weaknesses were identified by the audit review.				

Asset Management 2021-22				
Control Objectives Examined	Controls Evaluated	Adequate Controls	Partial Controls	Weak Controls
Robust processes and controls are in place to ensure the effective operation of the cleaning and caretaking function.	14	7	1	6
The recommendations made and accepted in the Maintenance of Public Buildings audit, dated August 2019, have been acted upon and are becoming embedded.	8	4	4	0
TOTALS	22	9	7	6
Detailed cleaning procedures and frequency of tasks to be performed had been produced for the Civic Office, but not for other sites. Also, there was no formal monitoring of cleaning to ensure that defined requirements had been met.		Low Risk	Implemented	
There was no current contract in place for the provision of cleaning materials.		Moderate Risk	30/06/2022 Future Action	
Stock records were not maintained and there were no stocktakes taking place.		Low Risk	Implemented	
Training provided to cleaning and caretaking staff did not cover all relevant health and safety aspects of the role.		Low Risk	30/04/2022 Future Action	
The respective responsibilities and requirements of Corporate Property and Cultural Services for the caretaking service had not been clearly set out.		Low Risk	30/06/2022 Future Action	

South Derbyshire District Council – Audit Progress Report

Appropriate records of key holders were not maintained, and there were a number of unidentifiable keys held.	Moderate Risk	31/03/2022 Future Action
Routine fire alarm tests were not taking place at the Community Centres.	Low Risk	28/02/2022 Action Due
Lifespan was not being updated with planned maintenance work completed.	Low Risk	30/04/2022 Future Action
There was no system in use ensuring that statutory compliance activities were being undertaken on an ongoing basis.	Moderate Risk	30/04/2022 Future Action
Procurement information was not always stored on the Council's shared 'S' drive as intended.	Low Risk	Implemented
Evidence of waivers granting exemption from Contract Procedure Rules could not always be located in testing.	Low Risk	Implemented

Project Management 2021-22	<p>The Assurance Rating pie chart is divided into four segments: 'No' (red, approximately 15%), 'Limited' (yellow, approximately 30%), 'Reasonable' (green, approximately 45%), and 'Substantial' (blue, approximately 10%).</p>			
	Control Objectives Examined	Controls Evaluated	Adequate Controls	Partial Controls
Robust governance arrangements are in place in relation to the Booking System Project to ensure a regime of rigorous monitoring on project progress and delivery is being performed throughout its entirety.	14	9	3	2
Robust governance arrangements are in place in relation to the FME Project to ensure a regime of rigorous monitoring on project progress and delivery is being performed throughout its entirety	11	8	1	2
TOTALS	25	17	4	4
Documentation was not always subject to robust version control or logically filed.	Low Risk	31/03/2022 Future Action		
There was no clear record of approval of the Business Case for the Booking System or FME project, and the Project Toolkit was unclear on approval requirements.	Low Risk	31/03/2022 Future Action		
Project risk registers were not fully aligned with the Council's Risk Management Framework and RAID logs did not fully capture risks, issues and actions identified.	Low Risk	31/03/2022 Future Action		
There was no provision made for officers to declare financial or personal interests when attending project meetings.	Low Risk	31/03/2022 Future Action		
A comprehensive project plan had not been created for the Booking System project.	Low Risk	31/03/2022 Future Action		
The Project End Report for the FME project did not contain an assessment against the planned cost or time schedule.	Low Risk	31/03/2022 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
23-Feb-22	Climate Change	Substantial	1		3
17-Jan-22	Asset Management 2021-22	Reasonable	1		6
01-Feb-22	Project Management 2021-22	Reasonable			6
06-Sep-21	Data Protection & Freedom of Information	Reasonable		6	
15-Sep-21	Insurance	Substantial			1
27-Sep-21	Business Continuity & Emergency Planning	Reasonable		1	
06-Jan-21	Tenancy Management	Substantial		1	
27-Jan-21	Housing Safety Inspections 2020-21	Reasonable		3	
03-Feb-21	Waste Management (Trade Waste)	Reasonable		3	
16-Jun-21	Housing Repairs 2020-21	Limited		8	
21-Dec-20	Safeguarding 2020-21	Reasonable		1	
26-Mar-21	Revenues Systems 2020-21	Substantial		3	
17-Aug-21	Financial Reporting - Impact of Covid19	Substantial		1	
25-Nov-20	Payroll 2019-20	Reasonable		1	
06-Aug-20	Bereavement Services 2019-20	Reasonable		3	
22-Oct-20	Grounds Maintenance 2019-20	Reasonable		6	1
03-Mar-20	Improvement Grants 2019-20	Reasonable		1	
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	2	51	17

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
Climate Change			1			
Asset Management 2021-22			1			
Data Protection & Freedom of Information					1	5
Business Continuity & Emergency Planning						1
Tenancy Management						1
Housing Safety Inspections 2020-21					2	1
Waste Management (Trade Waste)					1	2
Housing Repairs 2020-21					4	4
Safeguarding 2020-21						1
Revenues Systems 2020-21						3
Financial Reporting - Impact of Covid19						1
Payroll 2019-20						1
Bereavement Services 2019-20					1	2
Grounds Maintenance 2019-20					2	4
Improvement Grants 2019-20					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			2		15	36

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
<p>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 15th February 2019 a compliance action plan will be drafted for agreement by each team.</p>	01/04/2019
Status Update Comments	Revised Date
<p>The Council has undertaken a comprehensive PCI audit with a specialist consultancy. Two key recommendations were made, namely the delivery of Call Secure Plus and P2PE, as well as the update of a few key policies and submission of the council's PCI accreditation. These projects and spend were approved by Finance & Management Committee in March 2021. Call Secure Plus project is ready to go, but is dependent on the delivery of SIP which is now being progressed. P2PE is dependent on the supplier (Capita) and is in the final stages of testing and delivery. The PCI questionnaires/ accreditation and updated policies are due to be approved/submitted by 31 December 2021 and annually thereafter.</p>	<p>31/12/2021 Action Due</p>

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</p>	31/03/2022

South Derbyshire District Council – Audit Progress Report

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

Improvement Grants 2019-20	Rec No. 5
Summary of Weakness / Recommendation	Risk Rating
<p>No performance targets had been set for the key stages of the DFG process, and there was no regular monitoring or reporting of performance to management.</p> <p>We recommend that appropriate targets are identified for the standard types of adaptation. Performance against these targets should be monitored and reported regularly to management.</p>	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
Initial KPI's reviewed. To be implemented as part of the new Foundations software. Currently in test mode.	<p>31/03/2022</p> <p>Future Action</p>

South Derbyshire District Council – Audit Progress Report

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

Grounds Maintenance 2019-20	Rec No. 3
Summary of Weakness / Recommendation	Risk Rating
<p>The capacity of Operational Services for carrying out tree maintenance works was insufficient, limiting responsiveness.</p> <p>We recommend that appropriate funds are identified to ensure that the new Tree Strategy and Tree Policy can be adequately resourced and implemented.</p>	Moderate Risk
Management Response/Action Details	Action Date
Tree Strategy and Policy is planned to go to Committee February 2021	01/03/2021
Status Update Comments	Revised Date
<p>The draft Tree Strategy and Policy has been reviewed by the Council's insurers, Zurich to ascertain level of risk and to identify any required financial commitment.</p> <p>Following this review, external consultants have been brought to provide SME support and objective challenge in relation to the draft Tree Strategy and Policy, as well provide a review of the current status of trees management and recommend what appropriate resourcing will be required meaningfully address current identified issues/concerns. This is due to be completed by the end of 2021. This will be followed by soft-market testing, to inform how we strategically position trees management (& possibly part of/linked to grounds maintenance) moving forward.</p> <p>Tree Strategy and Policy is planned to go to Committee Spring/Summer 2022</p>	01/04/2022
	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
Currently looking at how operationally this could be integrated and links to business transformation and digitalisation / increased use of IT.		01/06/2022
		Future Action

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
All FRA's being carried out by WSG. Programme received and all to be completed by 31/03/2022.		31/03/2022
		Future Action

South Derbyshire District Council – Audit Progress Report

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 (Ventre/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
These will be picked up and actioned in the new FRA's.	31/03/2022
	Future Action

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 capacity within the Trade Waste and Fleet Management service and the absence of a permanent Head of Service, this recommendation will be held-over until September 2022, to allow time for this position to have been filled and for action to have either been taken or at least commenced	01/09/2022
	Future Action

South Derbyshire District Council – Audit Progress Report

Data Protection & Freedom of Information 2021-22	Rec No. 3
Summary of Weakness / Recommendation	Risk Rating
<p>Not all staff had completed the annual mandatory GDPR refresher training and not all Members had attended and completed GDPR training.</p> <p>We recommend that training on GDPR is included as annual refresher training for Members as well as it being included as part of their induction training when newly elected to the Council. The progressive completion of mandatory GDPR refresher training for staff should be monitored on a regular basis to ensure that there is a high percentage rate of completion. Non-compliance with mandatory training should be identified and appropriate action to address non-compliance should be considered and acted on as a priority.</p>	Moderate Risk
Management Response/Action Details	Action Date
GDPR training is mandatory part of induction, and an annual refresh is required. Non-compliance will be escalated to the relevant Strategic Directors.	31/12/2021
Status Update Comments	Revised Date
Reports will be escalated to Heads of Service.	31/03/2022
	Future Action

Housing Repairs 2020-21	Rec No. 3
Summary of Weakness / Recommendation	Risk Rating
<p>There was a high degree of manual input in scheduling repair jobs and the system in place to record repairs was heavily reliant on paper job tickets, resulting in inefficiencies and possible inaccuracies. We were unable to locate a job ticket for 10 of the 19 completed repair jobs selected for testing.</p> <p>We recommend that the Council considers the procurement of dynamic scheduling software. In the interim we recommend that:</p> <ul style="list-style-type: none"> o Clear guidelines are provided to operatives on the information required to be completed on job tickets and timesheets, to improve the quality of data subsequently entered into Orchard, the Council's Housing Management System. o The possibility of sending job tickets directly from Orchard to operative's smartphones (or scanning and emailing them) is investigated. o The capability of the smartphones issued is reviewed to establish whether job tickets can be viewed and edited or whether other hardware /software is required to do this. o Training requirements for operatives are considered to allow implementation of the above and further training be undertaken, where required. 	Moderate Risk
Management Response/Action Details	Action Date
As part of the Council's Transformation Project, the renewed Orchard Contract package includes the option for the future purchase of dynamic scheduling/mobile working software. Written instruction for the completion of job tickets will be provided for operatives by the Interim Team Leader (by 30/07/2021). A possible interim solution for the electronic transmission of job tickets has been identified and is being tested. This will require new devices to be provided to operatives. The use of smartphone for this process has been tested and found to be not viable. Once testing of the process and new devices is complete this will be implemented across the team with the appropriate training.	01/10/2021
Status Update Comments	Revised Date
The piloting of the electronic allocation and distribution of work tickets via Sharepoint is completing the pilot testing stage and will be implemented within Q4 2021/22.	31/03/2022
	Future Action

South Derbyshire District Council – Audit Progress Report

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
<p>Written instruction for the completion of job tickets will be provided for operatives by the Interim Team Leader.</p>	30/07/2021
Status Update Comments	Revised Date
<p>The functionality of materials management within Orchard is not available and is to be considered within the procurement and implementation of a Mobile working platform in a project that is currently being scoped.</p>	<p>31/10/2022 Future Action</p>

Housing Repairs 2020-21	Rec No. 6
Summary of Weakness / Recommendation	Risk Rating
<p>Van stocks were not being tightly controlled, as annual audits only consisted of a count and valuation and did not track the usage of materials.</p> <p>The Council should consider how the van stock audit regime might be strengthened to prevent the possible theft of materials. This should include an annual audit based on an inventory of van materials, taking into account materials purchased and materials used over the period to identify possible discrepancies, along with in-year spot checks.</p>	Moderate Risk
Management Response/Action Details	Action Date
<p>A quarterly audit of van stock will be implemented by the new Repair Manager once appointed.</p> <p>An electronic method of managing materials and van stocks is being investigated with the current materials provider.</p>	01/10/2021
Status Update Comments	Revised Date
<p>Until mobile dynamic work scheduling system is in place a manual system is being introduced that records van stocks, replenishment alerts and purchasing history.</p> <p>The implementation of a materials supply/van stocks system is being explored through the registered supplier to enable stock availability, receipt and use of stock to be recorded.</p>	<p>01/04/2022 Future Action</p>

South Derbyshire District Council – Audit Progress Report

Housing Repairs 2020-21	Rec No. 8
Summary of Weakness / Recommendation	Risk Rating
<p>Management information requirements had not been set out for the repairs service and only minimal management information was being extracted and reviewed from Orchard, the Council's Housing Management System.</p> <p>We recommend that an exercise should be undertaken to identify what information would be useful to inform management's understanding of the repairs service and its performance; including who should be responsible for collating and analysing the data and who should be responsible for reviewing the information. Consideration should be given to the reporting capability of Orchard and whether the ability to record and retrieve the information requires additional technical support to be engaged.</p> <p>Examples of information management may consider useful are as follows:</p> <ul style="list-style-type: none"> • Most common types of repair works. • Proportion of emergency /urgent /non-urgent repairs. • % completion of jobs within target date. • Operative productivity. • Recurring repairs. • Cost per job. • Time per job compared to National Housing Maintenance Forum Schedule of Rates. <p>We note that some of this information is not currently available within the Orchard as highlighted separately within this report.</p>	<p>Moderate Risk</p>
Management Response/Action Details	Action Date
<p>The Government's Housing White Paper was presented to the Housing and Community Services Committee on 28/1/21. This suggests a wider range of performance indicators and management information that should be collected by Housing Providers. Consequently, a new suite of indicators /management information has been included within the Service Plan for 2021/22.</p> <p>These additional reporting requirements will be investigated by the newly appointed Repair Manager and Housing Policy and Research Officer once in post.</p>	<p>01/11/2021</p>
Status Update Comments	Revised Date
<p>A review of the existing suite of management information and reports is ongoing through Business Objects linked to Orchard. This will provide specific and regular reports to assist in monitoring activity and performance</p>	<p>31/03/2022 Future Action</p>

South Derbyshire District Council – Audit Progress Report

Being Implemented - Low Risk Recommendations Over 12 Months

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

Parks & Open Spaces	Rec No. 5
Summary of Weakness / Recommendation	Risk Rating
<p>Files and documentation confirming compliance with safety standards was not held centrally, but rather in separate project files in the Cultural Services Department.</p> <p>We recommend that the documentation held by the Council in respect of play equipment and playground surfacing which demonstrates compliance with the relevant safety standards, should be held centrally. Ideally, the relevant documents confirming compliance for each play area should be scanned and stored on separate electronic files, headed up for each play area. Access to the files should be allowed for both the Open Space and Facilities Development Manager and the Street Scene Manager. This would allow all officers involved in the process to access the information as necessary (i.e. for ordering parts) and would serve to ensure that the information was complete and easily accessible.</p>	Low Risk
Management Response/Action Details	Action Date
Central folder to be set up for all Play Equipment paperwork on S Drive. Scan in all relevant documents.	31/03/2018
Status Update Comments	Revised Date
Demonstrations on potential IT solutions being undertaken on 28/01/2022.	31/03/2022
	Future Action

Parks & Open Spaces	Rec No. 7
Summary of Weakness / Recommendation	Risk Rating
<p>Signs at play areas did not clearly identify the site operator, relying instead on a display of the Council's emblem, not necessarily identifiable with all users of the play areas. In addition, out of hours contact details differed on one sign compared to the other three we viewed.</p> <p>We recommend that the signs displayed at the children's play areas across the district clearly display, the name of the site operator, i.e. the district council or parish council as appropriate. This would allow users of the play areas to clearly identify the site operators in the event of accident or equipment failure. In addition, all the signs situated in the play areas should display the correct contact numbers, both in and out of office hours.</p>	Low Risk
Management Response/Action Details	Action Date
Review of signage to be undertaken. New signage to be designed and approved. New signs to be installed on all Council operated play areas – NOTE: subject to budget/cost constraints	31/03/2018
Status Update Comments	Revised Date
Designer chosen to create "brand" for new signage.	30/06/2022
	Future Action

South Derbyshire District Council – Audit Progress Report

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

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

South Derbyshire District Council – Audit Progress Report

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

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

Fleet Management	Rec. No. 2
Summary of Weakness / Recommendation	Risk Rating
<p>A number of policies and procedures related to vehicle management and driving were inconsistent with the current regulations, out-of-date or drafted but not formally approved.</p> <p>We recommend that the set of policies / procedures supporting the Vehicle Management Strategy are reviewed and updated to provide staff with clear instructions on the latest working practices.</p>	Low Risk
Management Response/Action Details	Action Date
All Direct Services employees have had a driving licence check and signed a declaration of fitness to drive. A briefing will be submitted to the Leadership Team to establish the preferred option for checking all employees' driving licences.	31/03/2020
Status Update Comments	Revised Date
Due to capacity within the Trade Waste and Fleet Management service and the absence of a permanent Head of Service, this recommendation will be held-over until September 2022, to allow time for this position to have been filled and for action to have either been taken or at least commenced	01/09/2022
	Future Action

South Derbyshire District Council – Audit Progress Report

Fleet Management		Rec. No. 6
Summary of Weakness / Recommendation		Risk Rating
<p>There was no centralised record of the drivers employed by the Council, and no centralised checks were undertaken for validity of driving licences.</p> <p>We recommend that a centralised record of all drivers operating the Council's vehicles should be maintained. This record should evidence regular checks for drivers licence information and other relevant details.</p>		Low Risk
Management Response/Action Details		Action Date
<p>All Direct Services employees have had a driving licence check and signed a declaration of fitness to drive. A briefing will be submitted to the Leadership Team to establish the preferred option for checking all employees' driving licences.</p>		30/06/2019
Status Update Comments		Revised Date
<p>This is now being dealt with by the Human Resources Manager, following agreement that it is a corporate responsibility and the Head of Operational Services does not have the required access to all drivers personal details. A provider has been identified and contract arrangements agreed, this was due to be launched before Christmas but has been delayed for implementation in February.</p>		01/03/2022 Future Action

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

Bereavement Services 2019-20		Rec. No. 5
Summary of Weakness / Recommendation		Risk Rating
<p>Historic graves and burials information had not been fully digitised.</p> <p>The Council should consider making resource available to digitise historic graves and burials information to minimise the risk of data loss.</p>		Low Risk
Management Response/Action Details		Action Date
<p>Report being drafted to Leadership Team and Housing and Communities Committee.</p>		30/11/2020
Status Update Comments		Revised Date
<p>Exploring options and obtaining quotations on the best way for this to be achieved.</p>		30/06/2022 Future Action

South Derbyshire District Council – Audit Progress Report

Bereavement Services 2019-20		Rec. No. 9
Summary of Weakness / Recommendation		Risk Rating
<p>Memorials inspections due in 2019 had not yet taken place.</p> <p>We recommend that the procurement of memorial safety inspections is expedited and outstanding inspections are completed promptly.</p>		Low Risk
Management Response/Action Details		Action Date
<p>Memorial Inspection Policy being updated, and programme put in place for inspections following Covid-19 pandemic and risk assessments. Draft policy April 2020. To Committee September 2020.</p>		01/10/2020
Status Update Comments		Revised Date
<p>Quotations being sought and hope to commence testing in March /April 2022.</p>		30/06/2022
		Future Action

Grounds Maintenance 2019-20		Rec. No. 1
Summary of Weakness / Recommendation		Risk Rating
<p>Arrangements for ensuring the updated GIS system remains accurate and up-to-date had not been confirmed.</p> <p>We recommend that a corporate decision is secured on where the responsibility lies for ensuring the GIS system is accurately maintained and up-to-date, and that this decision is effectively communicated and resourced.</p>		Low Risk
Management Response/Action Details		Action Date
<p>A project to map all environmental assets on the Corporate GIS system has been concluded. A report to E&DS and F&M Committees has allocated resources to Operational Services to maintain the data on GIS. A further process is being developed to ensure all departments provide the required data to Operational Services in order to accurately maintain the Environmental Assets layer on GIS.</p>		01/01/2021
Status Update Comments		Revised Date
<p>New Head of Service to be appointed and date extended to Dec 2022.</p>		31/12/2022
		Future Action

Corporate Governance 2018-19		Rec. No. 2
Summary of Weakness / Recommendation		Risk Rating
<p>The Members' Code of Conduct had not been reviewed since 2014, and was found to be out-of-date.</p> <p>We recommend that the Council review and update the Members' Code of Conduct as soon as practically possible. A review schedule and version control should also be incorporated into the code to ensure that future reviews are conducted on a timely basis.</p>		Low Risk
Management Response/Action Details		Action Date
<p>The Members' Code of Conduct is compliant with current standards legislation. A review of the Code will be carried out in due course.</p>		31/12/2020
Status Update Comments		Revised Date
<p>The LGA has issued a revised Code of Conduct. Their next step is to prepare a number of guidance documents to assist with the Code. Once these have been received,</p>		01/06/2022

South Derbyshire District Council – Audit Progress Report

now expected in Autumn 2021, an amended Code of Conduct will be put before Members to determine. In the meantime, the Derbyshire Monitoring Officers have been meeting and are keen to have an agreed Code for Derbyshire. This will be finalised at the meeting of Annual Council in May 2022.	Future Action
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Tenancy Management (Interventions and Support)		Rec. No. 1
Summary of Weakness / Recommendation		Risk Rating
<p>Tenants on Universal Credit (UC) did not have independent access to their details and rental account, specifically rent due dates and any accrued arrears.</p> <p>We recommend that Housing Services consider adding the self-service module to Orchard Housing System, to allow tenants on UC to access their details and manage their rental account remotely. This would ensure that tenants are fully in control of their funds.</p>		Low Risk
Management Response/Action Details		Action Date
SDDC are considering the purchase and implementation of this module as part of the wider procurement of the Housing Management Software. A decision will be made by the end of February 2021		28/02/2021
Status Update Comments		Revised Date
Orchard Digital (customer portal) has been procured which will allow tenants to sign in and review their tenancy account. The implementation of the portal will follow the migration of the HMS to SaaS and is expected to complete by the end Q2 2022/3.		01/09/2022 Future Action