



central midlands audit partnership

South Derbyshire District Council – Audit Progress Report

Audit Sub-Committee: 28th June 2021



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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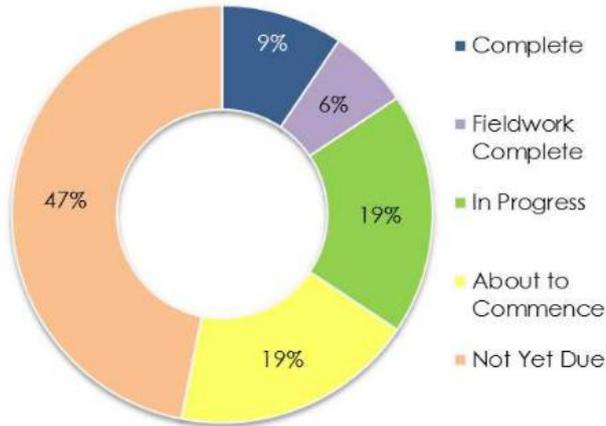
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Providing Excellent Audit Services in the Public Sector

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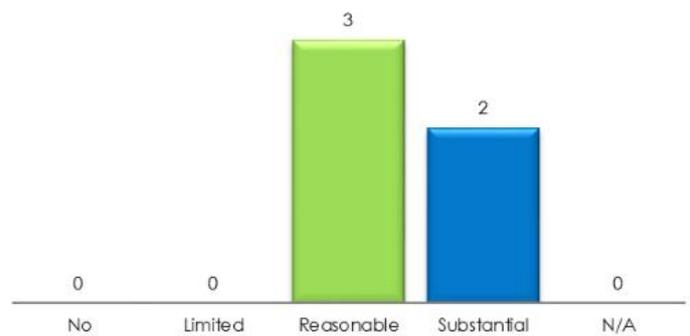
AUDIT DASHBOARD

Plan Progress



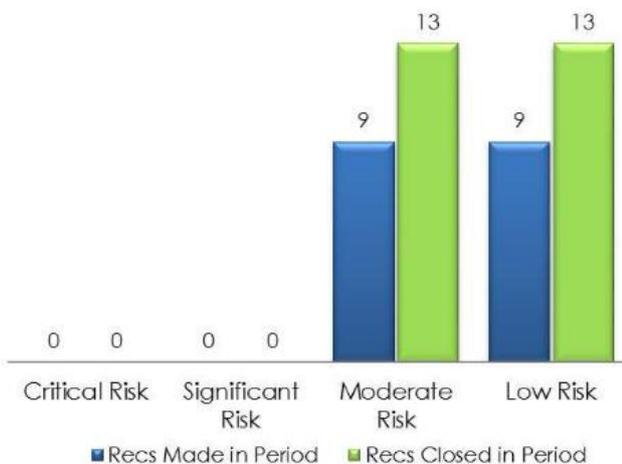
Jobs Completed in Period

Control Assurance Ratings During Period



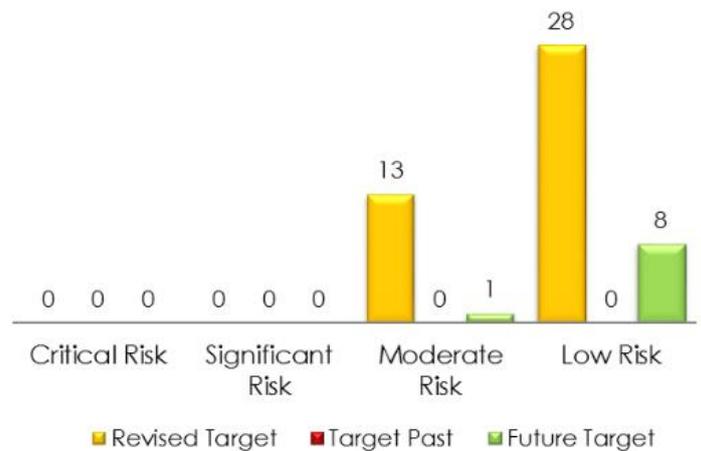
Recommendations

Movement During Period



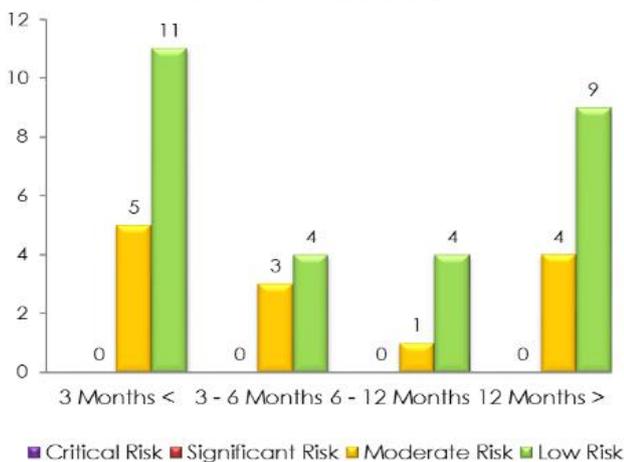
Recommendations

Recommendations Currently Open



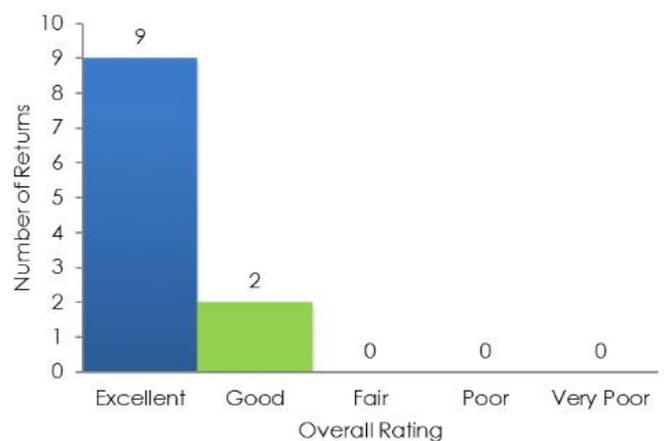
Recommendations

Overdue Recommendations



Customer Satisfaction

Returns Between Jun 20 & Jun 21



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AUDIT PLAN

Progress on Audit Assignments

The following tables provide Audit Sub-Committee with information on how audit assignments were progressing as at 7th June 2021.

2021-22 Jobs	Status	% Complete	Assurance Rating
Data Protection & FOI 2021-22	In Progress	55%	
Procurement 2021-22	Not Allocated		
Income Streams 2021-22	Not Allocated		
Financial Management Standards 2021-22	In Progress	10%	
Covid Related 2021-22	Not Allocated		
Insurance 2021-22	Allocated	5%	
Taxation 2021-22	Allocated		
Payroll 2021-22	Not Allocated		
Creditors 2021-22	Not Allocated		
Asset Management 2021-22	Not Allocated		
Revenues Systems 2021-22	Not Allocated		
Cashiering 2021-22	Allocated	10%	
IT Applications 2021-22	Not Allocated		
IT Infrastructure 2021-22	Not Allocated		
Project Management 2021-22	Allocated	5%	
People Management 2021-22	Not Allocated		
Data Quality & Performance Management	In Progress	25%	
Development Management 2021-22	Not Allocated		
Climate Change 2021-22	Not Allocated		
New Build / Affordable Housing 2021-22	Not Allocated		
Allocations & Homelessness 2021-22	Not Allocated		
Rent Accounting 2021-22	Not Allocated		
Corporate Governance 2021-22	In Progress	40%	
B/Fwd Jobs	Status	% Complete	Assurance Rating
Business Continuity & Emergency Planning	Fieldwork Complete	90%	
Procurement 2020-21	Final Report	100%	Reasonable
Housing Benefit & Council Tax Support	In Progress	40%	
Microsoft 365 Platform	Final Report	100%	Reasonable
Financial Reporting - Impact of Covid19	In Progress	75%	
Leisure Centres 2020-21	Allocated	5%	
Housing Repairs 2020-21	Draft Report	95%	
Waste Contract - Pre-Procurement Stage	Final Report	100%	Reasonable
Electoral Services 2020-21	Allocated	20%	

Plan Changes

None.

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AUDIT COVERAGE

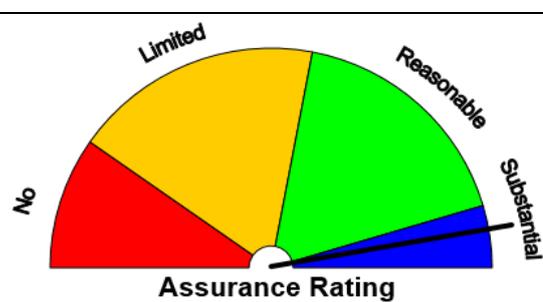
Completed Audit Assignments

Between 1st March 2021 and 7th June 2021, the following audit assignments have been finalised.

Audit Assignments Completed in Period	Assurance Rating	Recommendations Made				% Recs Closed
		Critical Risk	Significant Risk	Moderate Risk	Low Risk	
Revenues Systems 2020-21	Substantial				3	
Anti-Fraud & Corruption 2019-20	Substantial				2	
Microsoft 365 Platform	Reasonable			3	4	57%
Procurement 2020-21	Reasonable			3		100%
Waste Contract - Pre-Procurement Stage	Reasonable			3		100%

Control Objectives Examined	Controls Evaluated	Adequate Controls	Partial Controls	Weak Controls
	To ensure that liable persons / parties for Council Tax and National Non-Domestic Rates are identified and any amendments to liability are promptly processed.	18	12	6
To ensure that charges levied for Council Tax and National Non-Domestic Rates are accurate, in line with regulations.	9	9	0	0
TOTALS	27	21	6	0

Summary of Weakness	Risk Rating	Agreed Action Date
We found that there are generic user accounts on the Council Tax and the Non-Domestic Rates systems that were not assigned to individual officers.	Low Risk	31/05/2021 Being Implemented 31/08/2021
Controls in place for the management of users' access to the Council Tax and the Non-Domestic Rates systems were not robust enough to ensure that only current officers had access, and that this access was appropriate to their role.	Low Risk	31/05/2021 Being Implemented 31/08/2021
Staff did not have to formally declare any conflicts of interest with regards family and close friends who were liable for Council Tax or Non-Domestic Rates in the District.	Low Risk	31/05/2021 Being Implemented 31/08/2021



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Anti-Fraud & Corruption 2019-20					
Control Objectives Examined	Controls Evaluated	Adequate Controls	Partial Controls	Weak Controls	
To ensure that adequate anti-fraud and corruption strategies and policies are in place.	12	8	3	1	
To ensure that appropriate processes are in place to identify and reduced Housing related Fraud.	3	3	0	0	
TOTALS	15	11	3	1	
Summary of Weakness		Risk Rating	Agreed Action Date		
The Corporate Counter Fraud and Corruption Policy had not been recently updated and did not include the Council's policy in relation to cyber fraud.		Low Risk	30/06/2021 Future Action		
A copy of the Council's Fraud Sanctions Policy & Procedure could not be located.		Low Risk	30/06/2021 Future Action		

Microsoft 365 Platform					
Control Objectives Examined	Controls Evaluated	Adequate Controls	Partial Controls	Weak Controls	
Best practice security controls have been implemented within the Councils' Microsoft 365 tenant to help protect the confidentiality of Council information and communications.	18	9	0	9	
TOTALS	18	9	0	9	
Summary of Weakness		Risk Rating	Agreed Action Date		
Multi-factor authentication (MFA) had not been enforced for a number of accounts, including accounts granted administrative roles.		Moderate Risk	Implemented		
Conditional access policies had not been set in line with recognised security best practices		Low Risk	30/06/2021 Future Action		
An excessive number of users had been granted Global Admin privileges in the Council's Microsoft 365 tenant, which did not comply with security best practices.		Low Risk	Implemented		
Not all administrator accounts granted membership of high risk security roles had been subject to a recent password reset.		Low Risk	Implemented		
The use of dedicated administrator accounts had not been configured in line with security best practice in both the SDDC domain and the Council's Microsoft 365 tenant.		Moderate Risk	Implemented		
Synchronised accounts with administrative privileges were being used to manage both the on-premises and Microsoft 365 environments, which no longer aligned with recognised best practice.		Low Risk	30/06/2021 Future Action		

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A number of important security issues affecting Azure AD, Exchange Online and Microsoft Teams were listed as yet to be addressed in the Council's Secure Score dashboard.	Moderate Risk	30/06/2021 Future Action
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<h2>Procurement 2020-21</h2>	<p style="text-align: center;">Assurance Rating</p>			
Control Objectives Examined	Controls Evaluated	Adequate Controls	Partial Controls	Weak Controls
That there are processes in place to ensure that the Procurement Service is monitored and managed by the Council	4	2	1	1
That there are processes and procedures in place to ensure that the Procurement Service is being delivered effectively	5	3	1	1
That the impact of the Covid-19 pandemic is being suitably managed by the Council	1	1	0	0
TOTALS	10	6	2	2
Summary of Weakness		Risk Rating	Agreed Action Date	
The performance of the Procurement Services contract was not being formally monitored.		Moderate Risk	01/07/2021 Implemented	
Interviews with Council officers indicated that there was a low level of satisfaction with the procurement support service being provided and the Service Provider was potentially failing to meet the terms of the contract.		Moderate Risk	31/05/2021 Implemented	
The Procurement Services contract specifies that tender evaluation should be a joint exercise, involving Council officers and the Service Provider. Evidence obtained from interviews with Council officers indicated that the Service Provider was not consistently providing this level of support, even when this was specifically requested by officers.		Moderate Risk	31/05/2021 Implemented	

<h2>Waste Contract - Pre-Procurement Stage</h2>	<p style="text-align: center;">Assurance Rating</p>			
Control Objectives Examined	Controls Evaluated	Adequate Controls	Partial Controls	Weak Controls
Work to review waste collection services and consider alternative delivery methods was based on robust data and assumptions	6	6	0	0
The Council has a viable plan to provide waste collection services until a permanent alternative arrangement is introduced	7	4	1	2

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TOTALS	13	10	1	2
Summary of Weakness		Risk Rating	Agreed Action Date	
The Head of Operational Services was a potential single point of failure for the kerbside collection and recycling project as there were no suitably qualified and experienced staff that he could delegate tasks to or who could provide cover in the event that he was absent from work for whatever reason.		Moderate Risk	Implemented	
There was no intention to produce a formal project plan to manage the procurement of a kerbside collection and recycling solution.		Moderate Risk	Implemented	
The Strategic Risk Register did not recognise that there was a risk that the procurement exercise could fail to deliver a solution by the October deadline. Furthermore, although it was clear that the Council were planning to produce a Risk Register for the kerbside collection and recycling project, there was no indication that it would include non-procurement risks, such as staffing, financial and operational matters.		Moderate Risk	31/05/2021 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
12-Apr-21	Microsoft 365 Platform	Reasonable			3
06-Jan-21	Tenancy Management	Substantial		1	
27-Jan-21	Housing Safety Inspections 2020-21	Reasonable		5	
03-Feb-21	Waste Management (Trade Waste)	Reasonable		1	2
21-Dec-20	Safeguarding 2020-21	Reasonable		1	
26-Mar-21	Revenues Systems 2020-21	Substantial		3	
09-Jun-20	Treasury Management 2019-20	Reasonable		1	
25-Nov-20	Payroll 2019-20	Reasonable		1	
06-Aug-20	Bereavement Services 2019-20	Reasonable		5	
22-Oct-20	Grounds Maintenance 2019-20	Reasonable		5	2
03-Mar-20	Improvement Grants 2019-20	Reasonable		1	
19-Jan-21	Revenue Systems 2019-20	Substantial		1	
03-Nov-20	Business Change & Transformation	Substantial		1	
29-Mar-21	Anti-Fraud & Corruption 2019-20	Substantial			2
26-Nov-19	Council House Sales - Right To Buy 2019-20	Limited		1	
17-Dec-19	Active Communities & Health	Substantial		1	
26-Mar-19	Fleet Management	Reasonable		2	
23-Jul-19	Payroll 2018-19	Reasonable		1	
29-Aug-19	Corporate Governance 2018-19	Reasonable		1	
13-Nov-19	Development Management 2018-19	Reasonable		1	
12-Feb-19	PCI Compliance 2018-19	Reasonable		3	
14-Feb-19	Allocations & Homelessness 2018-19	Reasonable		1	
25-Jan-19	Section 106 Agreements 2018-19	Reasonable		1	
13-Nov-17	Officers Expenses & Allowances	Reasonable		1	
07-Aug-17	Parks & Open Spaces	Reasonable		2	
		TOTALS		41	9

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

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

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

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Audit Assignments with Recommendations Due	Action Due			Being Implemented		
	Significant Risk	Moderate Risk	Low Risk	Significant Risk	Moderate Risk	Low Risk
Tenancy Management						1
Housing Safety Inspections 2020-21					3	2
Waste Management (Trade Waste)					1	
Safeguarding 2020-21						1
Revenues Systems 2020-21						3
Treasury Management 2019-20					1	
Payroll 2019-20						1
Bereavement Services 2019-20					1	4
Grounds Maintenance 2019-20					2	3
Improvement Grants 2019-20					1	
Revenue Systems 2019-20						1
Business Change & Transformation						1
Council House Sales - Right To Buy 2019-20					1	
Active Communities & Health						1
Fleet Management						2
Payroll 2018-19					1	
Corporate Governance 2018-19						1
Development Management 2018-19						1
PCI Compliance 2018-19					1	2
Allocations & Homelessness 2018-19						1
Section 106 Agreements 2018-19						1
Officers Expenses & Allowances					1	
Parks & Open Spaces						2
TOTALS					13	28

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HIGHLIGHTED RECOMMENDATIONS

Being Implemented – Significant or Moderate Risk Recommendations

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

PCI Compliance 2018-19	Rec No. 8
Summary of Weakness / Recommendation	Risk Rating
<p>The Council was not PCI Compliant and was paying non-compliance fees to a third party. Further management fees were being paid to the financial system provider for PCI and they were also charging the Council for a verbal assessment that no-one at the Council knew anything about.</p> <p>We recommend that the Council establishes a PCI Compliance Action Plan which should take account of the non-compliance fees being paid and should look to work with the third party to ensure that they are able to provide compliance to them and remove the non-compliance fee. The Council should also determine what benefits the Council receives for the PCI DSS Management Fee and verbal assessment.</p>	Moderate Risk
Management Response/Action Details	Action Date
This matter has been raised with Capita360 and there are several issues that have been raised previously about responsibility for the various elements of PCI DSS compliance and which appear to affect compliance. Following the meeting with Capita on 15 th February 2019 a compliance action plan will be drafted for agreement by each team.	01/04/2019
Status Update Comments	Revised Date
The Council has undertaken a comprehensive PCI audit with a specialist consultancy. Two key recommendations were made, namely the delivery of Call Secure Plus and P2PE, as well as the update of a few key policies. These projects and spend were approved by Finance & Management Committee in March 2021, and the PCI questionnaire will be submitted by end of March 2021, with a commitment to deliver these projects in the short-term. The projects are currently underway and will be delivered in quarter 1/2 of 2021, dependent on technical requirements.	01/10/2021 Future Action

Council House Sales: Right To Buy	Rec No. 6
Summary of Weakness / Recommendation	Risk Rating
<p>Only one Right To Buy valuer had been utilised for over 10 years during which time there had been no procurement exercise, and the valuer did not hold the expected professional qualification.</p> <p>We recommend that a procurement exercise is undertaken to engage an appropriately qualified valuer(s). Consideration should be given to obtaining more than one independent valuation for Right to Buy property sales.</p>	Moderate Risk
Management Response/Action Details	Action Date
To be implemented as per recommendation	01/02/2020
Status Update Comments	Revised Date
Procurement exercise in progress, with CNHS. First attempt has been unable to identify qualified surveyor who wishes to complete this work.	31/07/2021 Future Action

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

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

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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
Performance indicators included within service plan for 21/22. Targets being created for inclusion within the newly implemented Foundations Software.	31/07/2021
	Future Action

Bereavement Services 2019-20	Rec No. 2
Summary of Weakness / Recommendation	Risk Rating
<p>Contract opportunities for the provision of a grave digging service had not been advertised on the Contracts Finder website, in line with the requirements of the Public Contract Regulations 2015, and there was no current contract in place.</p> <p>We recommend that the Council pursues one of the following actions: A corporate contract may be required for the area of spend and as such a formal tender exercise should be undertaken. Engage the Council's DSO to provide the service at the rural cemeteries as well as the urban cemeteries. The area of spend may be relevant to an existing or new framework agreement/contract which should be used to formalise the process. If no competitive market is available this should be demonstrated and a formal exemption from the Contract Procedure Rule should be put in place.</p>	Moderate Risk
Management Response/Action Details	Action Date
All options will be assessed and taken forward after the Covid-19 pandemic is over as the risk of any changes to the service are too great at the present time.	01/01/2021
Status Update Comments	Revised Date
Delay in procurement due to COVID management requirements. Desire to minimise any potential risk to service continuity.	01/06/2021
	Action Due

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Treasury Management 2019-20		Rec No. 1
Summary of Weakness / Recommendation		Risk Rating
<p>Officers could not locate a contract or similar agreement between the Council and its appointed financial advisor. A letter of appointment had been provided by the advisors that suggested that the current arrangement had been in place for eight years, seemingly without review or reaffirmation. Accordingly, Contract Procedure Rules could have been breached and the procurement could be non-compliant with Procurement Regulations.</p> <p>It is recommended that the Contract Procedure Rules are invoked for the procurement of investment advice, following which the arrangements between the Council and its chosen advisors are made the subject of a formal contract or SLA in which the service expectations for both parties are clearly identified.</p>		Moderate Risk
Management Response/Action Details		Action Date
<p>A review of potential procurement frameworks alongside a market test of providers and discussions with other Local Authorities across Derbyshire regarding their advisors will be undertaken prior to the renewal date.</p>		28/02/2021
Status Update Comments		Revised Date
<p>Market testing is underway; priorities associated with the Covid-19 pandemic have delayed full implementation. A revised implementation date of 30th September 2021 has been identified.</p>		30/09/2021 Future Action

Grounds Maintenance 2019-20		Rec No. 3
Summary of Weakness / Recommendation		Risk Rating
<p>The capacity of Operational Services for carrying out tree maintenance works was insufficient, limiting responsiveness.</p> <p>We recommend that appropriate funds are identified to ensure that the new Tree Strategy and Tree Policy can be adequately resourced and implemented.</p>		Moderate Risk
Management Response/Action Details		Action Date
<p>Tree Strategy and Policy is planned to go to Committee February 2021</p>		01/03/2021
Status Update Comments		Revised Date
<p>The Tree Strategy is undergoing internal consultation with key officers and the intention will be to present it to Housing and Community Services Committee in April/May 2021.</p>		01/06/2021 Action Due

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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
A database system is currently being developed by Business Transformation team and will be implemented by 01/08/21.		01/08/2021 Future Action

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

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Housing Safety Inspections 2020-21	Rec No.5
Summary of Weakness / Recommendation	Risk Rating
<p>Fire Risk Assessments had not been reviewed at the required frequency for all relevant properties.</p> <p>We recommend that the intended procurement of a Fire Risk Assessment provider be prioritised and that all overdue Fire Risk Assessments are undertaken and documented as soon as practically possible.</p>	Moderate Risk
Management Response/Action Details	Action Date
Short term – requested to be completed by SDDC H&S and some urgent properties undertaken by MAGG. Operational responsibility is assigned to Repairs and Improvements Team Leader.	31/03/2021
Status Update Comments	Revised Date
FRA's underway with new suppliers.	30/08/2021
	Future Action

Housing Safety Inspections 2020-21	Rec No. 6
Summary of Weakness / Recommendation	Risk Rating
<p>While action had been taken to address many of the action points identified in Fire Risk Assessments dating back to 2016 and 2017, issues had not yet been fully addressed.</p> <p>We recommend that the Council ensures the completion of all outstanding points from Fire Risk Assessments as soon as practically possible. A plan should also be put in place to ensure that there is sufficient capacity to address any further fire safety risks identified once FRAs are refreshed following completion of the works.</p>	Moderate Risk
Management Response/Action Details	Action Date
From the compartmentalisation surveys commissioned via Aquilum (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
Fire stopping items complete. Fire doors to be complete by new contractor.	30/08/2021
	Future Action

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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
<p>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</p>	01/04/2021
Status Update Comments	Revised Date
<p>Due to employees having to use up annual leave, the programme of training has been extended until June 2021. To date 48% of all Operational Services staff are up to date with mandatory Health & Safety training.</p>	<p>30/06/2021 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
Files and documentation confirming compliance with safety standards was not held centrally, but rather in separate project files in the Cultural Services Department. We recommend that the documentation held by the Council in respect of play equipment and playground surfacing which demonstrates compliance with the relevant safety standards, should be held centrally. Ideally, the relevant documents confirming compliance for each play area should be scanned and stored on separate electronic files, headed up for each play area. Access to the files should be allowed for both the Open Space and Facilities Development Manager and the Street Scene Manager. This would allow all officers involved in the process to access the information as necessary (i.e. for ordering parts) and would serve to ensure that the information was complete and easily accessible.	Low Risk
Management Response/Action Details	Action Date
Central folder to be set up for all Play Equipment paperwork on S Drive. Scan in all relevant documents.	31/03/2018
Status Update Comments	Revised Date
Cultural Services have a project to bring these together electronically. Staff not visiting the office so project will resume when the Covid 19 risk has reduced.	31/12/2021 Future Action

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

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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. Two key recommendations were made, namely the delivery of Call Secure Plus and P2PE, as well as the update of a few key policies. These projects and spend were approved by Finance & Management Committee in March 2021, and the PCI questionnaire will be submitted by end of March 2021, with a commitment to deliver these projects in the short-term. The projects are currently underway and will be delivered in quarter 1/2 of 2021, dependent on technical requirements.</p>	01/10/2021 Future Action

PCI Compliance 2018-19	Rec. No. 6
Summary of Weakness / Recommendation	Risk Rating
<p>The document which outlined duties and responsibilities in terms of PCI Standards contained out-of-date references.</p> <p>We recommend that the document outlining duties and responsibilities in terms of PCI Standards is updated to reflect the Council's current structure.</p>	Low Risk
Management Response/Action Details	Action Date
<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. Two key recommendations were made, namely the delivery of Call Secure Plus and P2PE, as well as the update of a few key policies. These projects and spend were approved by Finance & Management Committee in March 2021, and the PCI questionnaire will be submitted by end of March 2021, with a commitment to deliver these projects in the short-term. The projects are currently underway and will be delivered in quarter 1/2 of 2021, dependent on technical requirements.</p>	01/10/2021 Future Action

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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
New Allocations Policy approved by Housing Committee for implementation. Restructure of team underway to be followed by re-procurement of Choice Based Lettings Software and process review.	01/07/2021
	Future Action

Fleet Management	Rec. No. 2
Summary of Weakness / Recommendation	Risk Rating
<p>A number of policies and procedures related to vehicle management and driving were inconsistent with the current regulations, out-of-date or drafted but not formally approved.</p> <p>We recommend that the set of policies / procedures supporting the Vehicle Management Strategy are reviewed and updated to provide staff with clear instructions on the latest working practices.</p>	Low Risk
Management Response/Action Details	Action Date
All Direct Services employees have had a driving licence check and signed a declaration of fitness to drive. A briefing will be submitted to the Leadership Team to establish the preferred option for checking all employees' driving licences.	31/03/2020
Status Update Comments	Revised Date
Resource issues have delayed some of the progress, all policies are currently being reviewed and updated by the interim Waste and Transport Manager. A drivers handbook /procedures has been completed and will be issued shortly.	30/09/2021
	Future Action

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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 driver's personal details. The Head of Operational Services is providing support. However, the Human Resources Manager is delivering the project. Progress has been made on the introduction of a specialist third party system and will need consultation with employees.</p>		<p>30/09/2021</p> <p>Future Action</p>

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