



central midlands audit partnership

South Derbyshire District Council – Audit Progress Report

Audit Sub-Committee: 25th July 2018



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Our Vision

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

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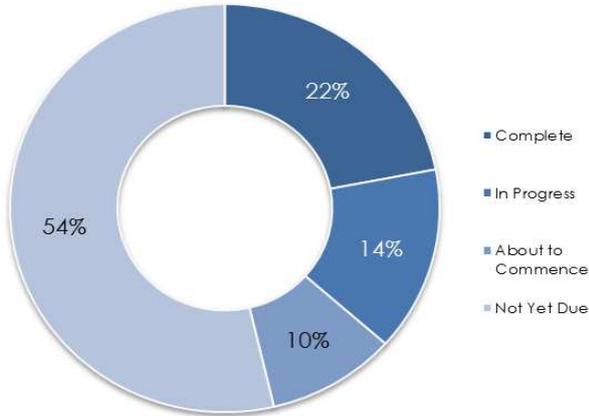


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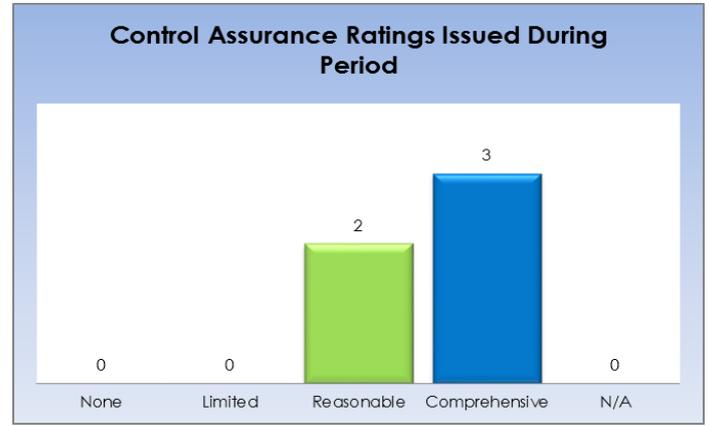
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AUDIT DASHBOARD

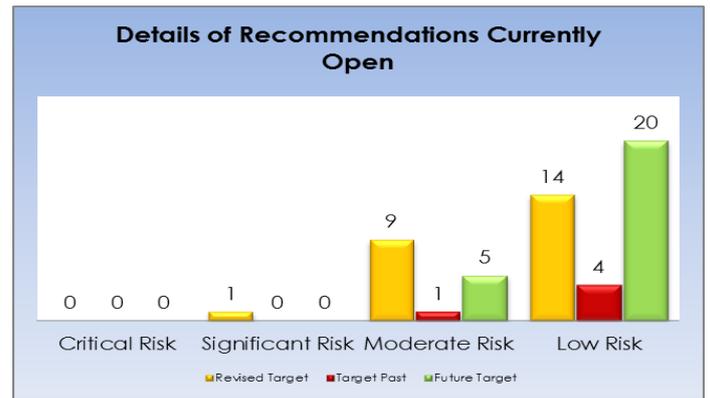
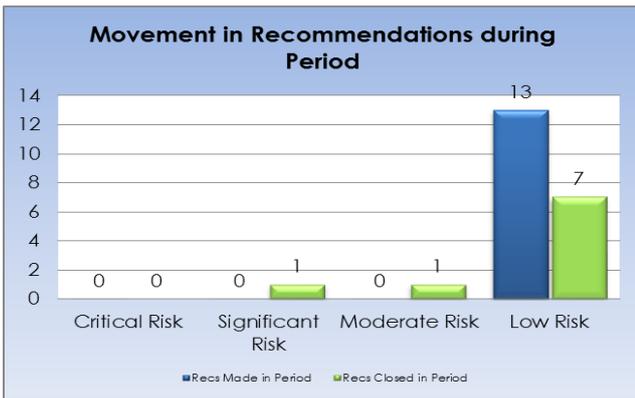
Plan Progress



Jobs Completed in Period



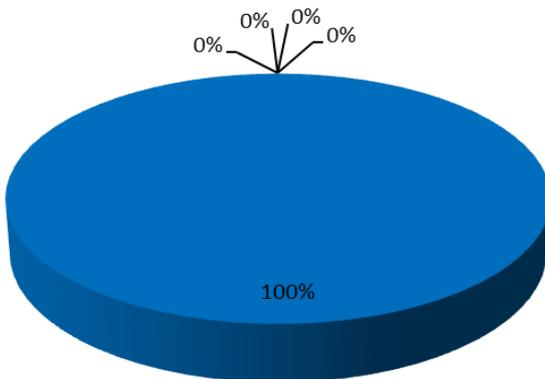
Recommendation Tracking



Customer Satisfaction

April - June 18

■ Excellent ■ Good ■ Fair ■ Poor ■ Very Poor



Continuous Improvement

1. Improvements continue to be made to committee reports to reduce the quantity of information presented to better focus on the priority risks and issues.
2. The re-structure of CMAP is progressing. Richard Boneham has been 'slotted' into the post of Head of Audit Partnership and will also be the Head of Internal Audit for Derby City Council. The role of Head of Internal Audit for South Derbyshire District Council will be one of the 2 Audit Managers, either Adrian Manifold or Mandy Marples.

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AUDIT PLAN

Progress on Audit Assignments

The following table provide Audit Sub-Committee with information on how audit assignments were progressing as at 12th July 2018.

2018-19 Jobs	Status	% Complete	Assurance Rating
Data Protection & Freedom of Information	Not Allocated	0%	
Treasury Management 2018-19	Not Allocated	0%	
Capital Programme	Not Allocated	0%	
Payroll 2018-19	Not Allocated	0%	
Creditors 2018-19	Not Allocated	0%	
Council Tax 2018-19	Not Allocated	0%	
NDR 2018-19	Not Allocated	0%	
Housing Benefit & Council Tax Support 2018-19	Not Allocated	0%	
PCI Compliance	Not Allocated	0%	
IT Applications	Not Allocated	0%	
IT Infrastructure	Not Allocated	0%	
Waste Management (Collection, Trade, Recycling)	Allocated	0%	
Fleet Management	Not Allocated	0%	
Street Cleansing	Not Allocated	0%	
Development Control	Not Allocated	0%	
Food Safety	Not Allocated	0%	
Sport & Health Funding	Not Allocated	0%	
Rosliston Forestry Centre	Not Allocated	0%	
Housing Repairs (Planned & Responsive Maint.)	Not Allocated	0%	
Gas/Electric/Asbestos/Legionella/Fire Safety Insp.	Not Allocated	0%	
Allocations & Homelessness	Not Allocated	0%	
Sheltered Housing / Careline	Not Allocated	0%	
Community Safety Partnership	Allocated	0%	
Corporate Governance	Not Allocated	0%	
Records Management	Allocated	5%	
Insurance 2018-19	In Progress	5%	
Pollution Control	Allocated	0%	
Section 106 Agreements	In Progress	65%	

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B/Fwd Jobs	Status	% Complete	Assurance Rating
Risk Management	In Progress	50%	
Council Tax 2017-18	In Progress	65%	
Health & Safety	In Progress	65%	
Housing Benefit & Council Tax Support 2017-18	Final Report	100%	Comprehensive
Follow-up of Whistleblowing Recommendations	Final Report	100%	Reasonable
Payroll 2017-18	Draft Report	95%	Reasonable
NDR 2017-18	Final Report	100%	Comprehensive
Organisational Culture & Ethics	Final Report	100%	Reasonable
Express Electoral System Security Assessment	Final Report	100%	Reasonable
Sharpe's Pottery	Final Report	100%	Comprehensive
New Build / Affordable Housing	Final Report	100%	Comprehensive
Licensing	Final Report	100%	Comprehensive
Safeguarding – Pre-Employment Checks	Final Report	100%	Reasonable

Audit Plan Changes

None since the last Sub-Committee meeting.

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AUDIT COVERAGE

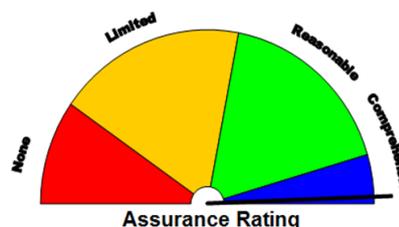
Completed Audit Assignments

Between 25th May 2018 and 12th July 2018, the following audit assignments have been finalised since the last Progress Report was presented to this Sub-Committee.

Audit Assignments Completed in Period	Assurance Rating	Recommendations Made				% Recs Closed
		Critical Risk	Significant Risk	Moderate Risk	Low Risk	
South Derbyshire - New Build / Affordable Housing	Comprehensive	0	0	0	1	0%
SD - Safeguarding – Pre-Employment Checks	Reasonable	0	0	0	8	0%
South Derbyshire - Follow-up of Whistleblowing Recs	Reasonable	0	0	0	0	n/a
SD - Housing Benefit & Council Tax Support 2017-18	Comprehensive	0	0	0	1	0%
South Derbyshire – NDR 2017-18	Comprehensive	0	0	0	3	33%

Control Objectives Examined	Controls Evaluated	Adequate Controls	Partial Controls	Weak Controls
	Robust governance arrangements are in place for the Council's new build and affordable housing programme.	11	10	1
TOTALS	11	10	1	0
Summary of Weakness		Risk Rating	Agreed Action Date	
Strategic documents, such as the Housing Strategy, may not be aligned with the latest ideas on programme delivery.		Low Risk	30/06/2018 Being Implemented 31/07/2018	

New Build/ Affordable Housing



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Safeguarding – Pre-Employment Checks				
Control Objectives Examined	Controls Evaluated	Adequate Controls	Partial Controls	Weak Controls
The Council has a framework in place that ensures the adequacy of safeguarding checks undertaken as part of the recruitment and selection process.	14	3	9	2
TOTALS	14	3	9	2
Summary of Weakness		Risk Rating	Agreed Action Date	
Application forms were not being properly completed, signed and dated by all applicants in accordance with the Council's Recruitment and Selection Policy.		Low Risk	31/10/2018	
Internal applicants were not subject to the same pre-employment checks as those required to be undertaken for external applicants, where the information was not already held.		Low Risk	30/06/2018 Awaiting Evidence of Implementation	
The register for logging and tracking Disclosure Baring Service checks had not been properly completed and it could not be confirmed that the checks had been returned satisfactorily.		Low Risk	28/09/2018	
Audit testing found for 3 employees there was no scanned image of a passport or other documentation on file to verify the individual's name and national insurance number and their eligibility to work in the UK.		Low Risk	30/06/2018 Awaiting Evidence of Implementation	
The Council did not have a policy or a process in place that required financial pre-employment checks were undertaken for prospective employees of financially sensitive posts that ensured the successful applicants were suitably vetted and regularly checked.		Low Risk	24/12/2018	
The checks to verify the employees had the relevant qualifications stated on the job specifications were undertaken in an inconsistent manner and the images scanned and put on the individual's personnel file was not standard.		Low Risk	30/06/2018 Awaiting Evidence of Implementation	
Audit testing identified that for 2 posts, application forms had not been completed and references for some employees had not been obtained in accordance with the Council's Recruitment and Selection Policy.		Low Risk	30/06/2018 Awaiting Evidence of Implementation	
Personnel records held on the Council's Resource Link system were also held in duplicate on the Council's network that could be accessed by unauthorised members of staff.		Low Risk	21/12/2018	

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Follow-up of Whistleblowing Recommendations	 <p style="text-align: center;">Assurance Rating</p>			
Control Objectives Examined	Controls Evaluated	Adequate Controls	Partial Controls	Weak Controls
Previous recommendations from the Systems Weaknesses report concerning the original Whistleblowing Investigation, dated January 2017, have been acted upon and are becoming embedded.	16	13	3	0
Previous recommendations from the Systems Weaknesses report concerning the second Whistleblowing investigation, dated August 2017, have been acted upon and are becoming embedded.	8	7	1	0
Previous audit recommendations from the Wider Housing Contracts Review following the Whistleblowing Investigations, dated November 2017, have been acted upon and are becoming embedded.	8	3	5	0
TOTALS	32	23	9	0
Summary of Weakness		Risk Rating	Agreed Action Date	
This issue concerned the on-going monitoring by the Housing Section over off-contract spend with contractors, to identify where it would be beneficial to establish formal contracts.		Low Risk	01/09/2018	
This issue concerned the regular reviewing of information recorded in asbestos surveys, the planned undertaking of additional surveys and the required actions for the management of asbestos, including the suitable dissemination of information.		Low Risk	01/09/2018	
This issue concerned the recording of suitable asbestos related information against properties on the Housing Asset Management System, for officers to maintain and record suitable records, i.e. details of annual checks, etc.		Moderate Risk	01/09/2018	
This issue concerned the undertaking of annual contract reviews by Contract Managers to ensure contracts were operating effectively, providing value for money and were not overspent against official contract values.		Moderate Risk	01/08/2018	
This issue concerned the Procurement Section not taking an active role in enforcing annual contract reviews throughout the Council, to ensure that contracts were being legally managed and extended in accordance with legislation.		Moderate Risk	01/09/2018	
This issue concerned contract opportunities for adaptations (where collective works were over the £25,000 threshold) not being advertised on the Contracts Finder website, in line with the requirements of the Public Contract Regulations 2015.		Moderate Risk	01/08/2018	
This issue concerned formal systems and procedures not being in place for maintaining the Contracts Register.		Low Risk	01/09/2018	
This issue concerned Procurement Checklists not being completed and duly signed off to evidence that the required processes were being undertaken.		Low Risk	01/09/2018	

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This issue concerned the Council not publishing the required data for contracts and other legally enforceable agreements, in line with the Local Government Transparency Code 2015.	Low Risk	01/09/2018
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Housing Benefit & Council Tax Support 2017-18	<p style="text-align: center;">Assurance Rating</p>			
Control Objectives Examined	Controls Evaluated	Adequate Controls	Partial Controls	Weak Controls
To ensure claims for benefit are supported by an application and validated evidence in order to ensure benefit is awarded correctly.	13	13	0	0
To ensure benefit overpayments are actively identified, correctly calculated and classified, and recovered in accordance with regulations and procedures, with all reductions or write-offs being suitably validated.	13	12	1	0
TOTALS	26	25	1	0
Summary of Weakness		Risk Rating	Agreed Action Date	
Accounts escalated to the 'Refer to Overpayments Officers' stage in the recovery process, were not being escalated further and remained at that stage for sometimes lengthy periods, without explanation.		Low Risk	01/01/2019	

NDR 2017-18	<p style="text-align: center;">Assurance Rating</p>			
Control Objectives Examined	Controls Evaluated	Adequate Controls	Partial Controls	Weak Controls
To ensure relief and exemption information was monitored, kept up to date and verified prior to calculating NDR liability, and when entitlement ceased, to ensure accounts were updated promptly and accurately.	14	12	2	0
To ensure that recovery action was initiated promptly, was legitimate, appropriate and in accordance with statutory requirements.	10	8	0	2
TOTALS	24	20	2	2

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Summary of Weakness	Risk Rating	Agreed Action Date
Application for discretionary relief had been revisited bi-annually, but in one instance the decision notice to confirm continued eligibility had not been retained on file.	Low Risk	12/07/2018 Implemented
There was no review by Senior Officers of arrangements made by Customer Services and Debt Collection Officers for payment by instalments, to ensure that they were commensurate with the level of debt, the ratepayer's circumstances and that they conformed to Policy.	Low Risk	01/01/2019
All Officers within the Customer Services, Billing and Recovery teams had system access that allowed the suppression of debt collections. The application of debt suppressions was not being checked by management.	Low Risk	01/01/2019

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RECOMMENDATION TRACKING

Final Report Date	Audit Assignments with Open Recommendations	Assurance Rating	Recommendations Open		
			Action Due	Being Implemented	Future Action
07-Dec-16	Land Charges	Reasonable	-	1	-
27-Jan-17	Whistleblowing Investigation	Limited	-	3	-
06-Jun-17	Leisure Centres	Reasonable	-	1	-
07-Aug-17	Parks & Open Spaces	Reasonable	1	4	-
21-Aug-17	Whistleblowing Investigation 2	Reasonable	-	1	-
09-Oct-17	Business Continuity & Emergency Planning	Comprehensive	-	-	1
19-Oct-17	Dry Waste Recycling Contract	Reasonable	-	1	-
13-Nov-17	Officers Expenses & Allowances	Reasonable	-	-	2
17-Nov-17	Backup Server Healthcheck	Limited	-	3	-
23-Nov-17	Housing Contracts Review	Limited	-	5	-
19-Dec-17	People Management 2017-18	Reasonable	-	1	2
19-Jan-18	Rent Accounting 2017-18	Reasonable	-	1	1
02-Mar-18	Backup Policy	Reasonable	-	-	4
06-Mar-18	Tenants Arrears 2017-18	Reasonable	-	1	3
03-Apr-18	Express Electoral System Security Assessment	Reasonable	-	1	-
25-Apr-18	Organisational Culture & Ethics	Reasonable	-	-	2
18-May-18	Sharpes Pottery	Comprehensive	-	-	3
25-May-18	New Build / Affordable Housing	Comprehensive	-	1	-
29-Jun-18	Safeguarding – Pre-Employment Checks	Reasonable	4	-	4
11-Jul-18	Housing Benefit & C. Tax Support 2017-18	Comprehensive	-	-	1
12-Jul-18	NDR 2017-18	Comprehensive	-	-	2
		Totals	5	24	25

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
Land Charges	-	-	-	-	-	1
Whistleblowing Investigation	-	-	-	-	2	1
Leisure Centres	-	-	-	-	1	-
Parks & Open Spaces	-	1	-	-	1	3
Whistleblowing Investigation 2	-	-	-	-	1	-
Dry Waste Recycling Contract	-	-	-	1	-	-
Backup Server Healthcheck	-	-	-	-	1	2
Housing Contracts Review	-	-	-	-	2	3
People Management 2017-18	-	-	-	-	1	-
Rent Accounting 2017-18	-	-	-	-	-	1
Tenants Arrears 2017-18	-	-	-	-	-	1
Express Electoral System Security Assessment	-	-	-	-	-	1
New Build / Affordable Housing	-	-	-	-	-	1
Safeguarding – Pre-Employment Checks	-	-	4	-	-	-
Totals	-	1	4	1	9	14

Highlighted Recommendations

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

Action Due Recommendations

People Management 2017-18	Rec No. 4
Summary of Weakness / Recommendation	Risk Rating
<p>The process to follow in order to make a confidential complaint was not clear in the Harassment Policy and Procedure.</p> <p>We recommend that the Harassment Policy clearly states the procedure to be followed if an individual wishes to make a confidential complaint of harassment, bullying or victimisation. The Policy should include the contact details of the officer nominated to receive such complaints.</p>	Moderate Risk
Management Response/Action Details	Action Date
The Policy will be reviewed to make it clear where confidential complaints can be sent to, including the contact details. It should be noted that in addition, confidential complaints can also be recorded in using the Whistleblowing Policy.	30/06/2018
Status Update Comments	Revised Date
Section 7 of the Policy makes it clear where employees can go for confidential advice and support. A review of the Policy is underway and will be completed in September.	28/09/2018

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Parks & Open Spaces		Rec No. 8
Summary of Weakness / Recommendation		Risk Rating
<p>Park Keepers and other members of the Grounds Maintenance team undertaking inspections of play equipment had not received appropriate training.</p> <p>We recommend that the Park Keepers and any other members of the Grounds Maintenance team who would be expected to undertake inspections of play equipment, undertake appropriate training on playground inspections. This is in accordance with the Grounds Maintenance Contract Specification which states that routine visual inspections should be undertaken on a daily basis by appropriately trained and accredited staff.</p>		Moderate Risk
Management Response/Action Details		Action Date
Identify relevant staff. Training of all relevant staff to be carried out and documented, including regular refresher training		31/03/2018
Status Update Comments		Revised Date
<p>We would look to book the relevant operatives onto a course as soon as possible in the new financial year. We are now in that period so will look for an appropriate course for the staff to attend.</p> <p>Unfortunately, we are currently down to only one of the tree Park Keepers at present, one has been off long term sick and the second put in his notice to retire so has finished work. We will be interviewing a replacement. It didn't seem practical to only look for the one operative! Revised action date requested.</p>		<p>30/06/2018</p> <p>No further response from Responsible Officer.</p>

Being Implemented Recommendations

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

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

Housing Contracts Review	Rec No. 3
Summary of Weakness / Recommendation	Risk Rating
<p>Contract opportunities for adaptations (where collective works were over the £25,000 threshold) were not being advertised on the 'Contracts Finder' website, in line with the requirements of the Public Contract Regulations 2015.</p> <p>We recommend that the Head of Procurement identify a range of options available to the Council for complying with this ruling and seek to strengthen systems to ensure compliance with the Public Contract Regulations 2015. Such a system should ensure that the principles of transparency, equal treatment and non-discrimination, under European Union Treaties, are also adhered to.</p>	Moderate Risk
Management Response/Action Details	Action Date
<p>The Council agreed changes to the procurement of Disabled Facility works at a meeting of the Finance and Management Committee on 12th October 2017. The current "standing" list will be replaced by a Framework of 4 to 5 contractors to undertake smaller works below £25,000. This will be subject to an OJEU process.</p> <p>Any larger works above £25,000 will be tendered separately and advertised in the normal way (Source Derbyshire, etc.)</p>	23/11/2017
Status Update Comments	Revised Date
<p>This recommendation was followed-up by CMAP in May 2018, while we consider that progress has been made against implementation, further actions are required for this</p>	01/08/2018

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matter to be fully addressed and embedded into Council systems, following recent changes to the structure and service provision in Housing and Procurement. A revised action date has been agreed with Officers against this recommendation.

Backup Server Healthcheck	Rec No. 4
Summary of Weakness / Recommendation	Risk Rating
<p>A local administrator account on one of the Council's Backup Exec Server had a weak corresponding password which was representative of the word password with only minor character substitutes. Furthermore, this password had not been changed in 656 days.</p> <p>We recommend that management looks to strengthen the weak corresponding password vulnerability which has been reported confidentially to the IT team.</p>	Moderate Risk
Management Response/Action Details	Action Date
<p>Where possible passwords have been changed to resolve this issue. Again we need to be careful when changing passwords as many accounts run services and so we don't want the Backup processes to start failing. This issue will be fully addressed when a new solution is implemented.</p>	27/04/2018
Status Update Comments	Revised Date
<p>Discussions with the IT & Business Change Manager 14/05/2018. This is the target date for the new solution.</p> <p>Full update:</p> <p>"A project to review the corporate requirements and ICT service approach to Back Ups and Disaster Recovery is underway. Suppliers have been invited to review existing infrastructure and suggest best practice solutions. These will be considered in relations to the 'business requirements' set by engaging core stakeholders in the organisation regarding their needs. The new approach will be documented and reviewed corporately and by the ICT service. This work commenced 1st Feb 2018 and is due to conclude by late summer 2018."</p>	31/08/2018

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

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matter to be fully addressed and embedded into Council systems, following recent changes to the structure and service provision in Housing and Procurement. A revised action date has been agreed with Officers against this recommendation.

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

Leisure Centres	Rec No. 2
Summary of Weakness / Recommendation	Risk Rating
<p>The Council had not undertaken inspections on the exterior fabric of the building as per the contract summary of maintenance responsibilities.</p> <p>We recommend that the Council fulfil its obligations in respect of those areas which it has responsibility for maintaining. Inspections should be undertaken on a regular basis, in accordance with any relevant legislation and properly documented.</p>	Moderate Risk
Management Response/Action Details	Action Date
Programme of inspections to be agreed with Building Maintenance Officer	01/10/2017
Status Update Comments	Revised Date
<p>Our public building officer resigned several months ago and has not been replaced pending both a housing services and Council wide restructure. Once responsibility for this area of work is identified in the final structure and someone in post we will be able to commence the required inspections. Given the uncertainty suggest a revised compliance date of Jan 31st 2018.</p> <p>The long term future of the Public Building Officer post has still not been settled and an</p>	30/09/2018

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interim arrangement has recently been implemented with a temporary 6 month appointment. Suggest a revised date of the end of September 2018.

Whistleblowing Investigation	Rec No. 12
Summary of Weakness / Recommendation	Risk Rating
<p>At the time of the audit, the information recorded in the asbestos surveys had not been subject to regular review and was therefore not compliant with the Control of Asbestos Regulations 2012.</p> <p>We recommend that the Housing Section implement the following processes:</p> <ul style="list-style-type: none"> • Undertake Asbestos Management Surveys on all voids that have not been inspected before. • Undertake additional surveys of property types considered to be a higher risk from the existing survey data available. • Where asbestos is located either, remove, encase or manage. Where encased or managed, annual checks should be undertaken to assess the situation and be clearly evidenced. • Tenant(s) should be told of the location of any asbestos located within their property and informed how it is being managed. • Contractors should get a copy of the Asbestos Management Survey for void properties and be informed how any asbestos located is to be treated, i.e. remove, encase or managed. • Copies of all asbestos surveys and test certificates should be retained by the Housing Section and ideally stored electronically on a team shared drive. 	Moderate Risk
Management Response/Action Details	Action Date
The Director of Housing & Environmental Services will formally instruct the Housing Asset Manager and all staff within his Directorate to comply with the recommended action in this regard.	30/06/2017
Status Update Comments	Revised Date
This recommendation was followed-up by CMAP in May 2018, while we consider that progress has been made against implementation, further actions are required for this matter to be fully addressed and embedded into Council systems, following recent changes to the structure and service provision in Housing and Procurement. A revised action date has been agreed with Officers against this recommendation.	01/09/2018

South Derbyshire District Council – Audit Progress Report

Whistleblowing Investigation	Rec No. 13
Summary of Weakness / Recommendation	Risk Rating
<p>The information recorded on the Summary of Asbestos Registers spreadsheet was not being adequately maintained in order to provide sufficient control over the process.</p> <p>We recommend that, in addition to storing copies of asbestos surveys and test certificates electronically, that the Housing Section also look into recording the asbestos related information on the Lifespan Asset Management System. This will then create a central location for all officers to search for the information and can be used to record details of the annual checks. Information contained within the existing Summary of Asbestos Registers spreadsheet should also be imported into Lifespan, if possible, to ensure the continued integrity of data.</p>	<p>Moderate Risk</p>
Management Response/Action Details	Action Date
<p>The Director of Housing & Environmental Services will formally instruct the Housing Asset Manager and all staff within his Directorate to comply with the recommended action in this regard.</p>	<p>30/06/2017</p>
Status Update Comments	Revised Date
<p>This recommendation was followed-up by CMAP in May 2018, while we consider that progress has been made against implementation, further actions are required for this matter to be fully addressed and embedded into Council systems, following recent changes to the structure and service provision in Housing and Procurement. A revised action date has been agreed with Officers against this recommendation.</p>	<p>01/09/2018</p>