



central midlands audit partnership

South Derbyshire District Council – Audit Progress Report

Audit Sub-Committee: 8th March 2023



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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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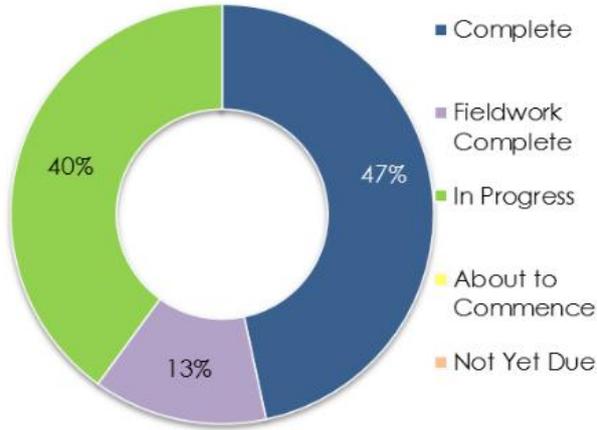
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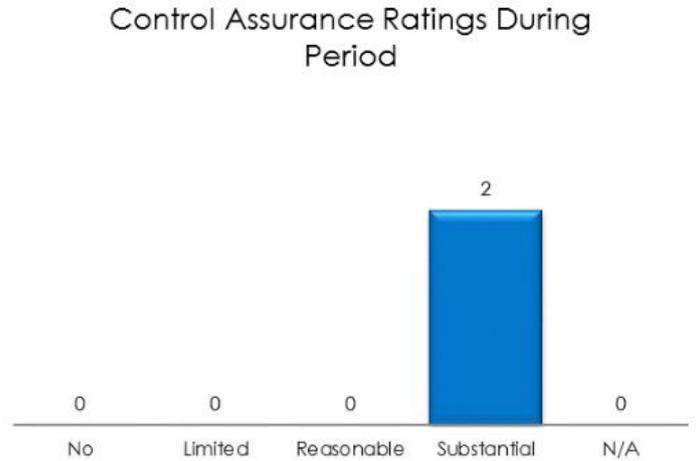


AUDIT DASHBOARD

Plan Progress

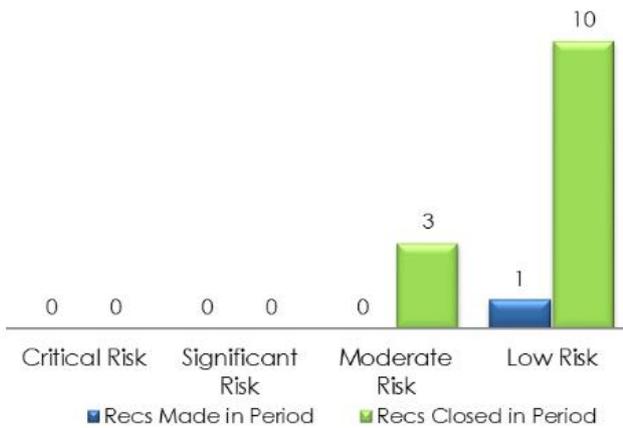


Jobs Completed in Period



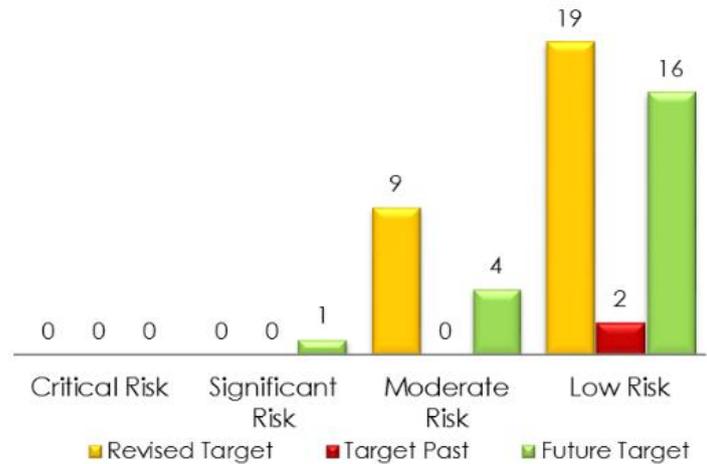
Recommendations

Movement During Period



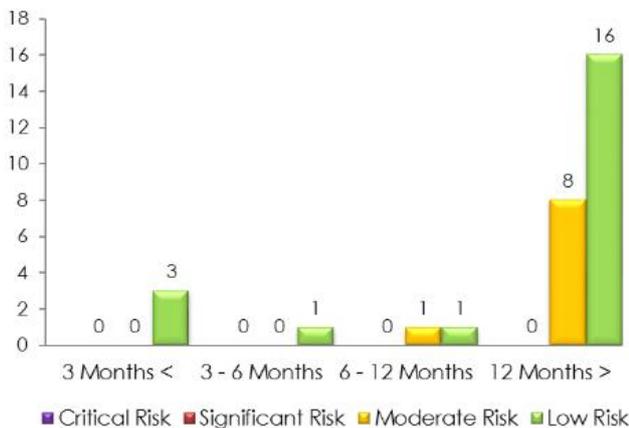
Recommendations

Recommendations Currently Open



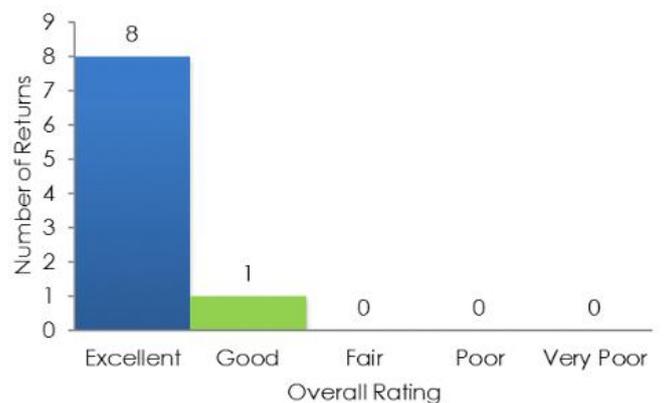
Recommendations

Overdue Recommendations



Customer Satisfaction

Returns Between Feb 21 & Feb 22



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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 21st February 2023.

2022-23 Assignments	Status	% Complete	Assurance Rating
Records Management 2022-23	Draft Report	95%	
Risk Management 2022-23	Final Report	100%	Reasonable
Procurement 2022-23	In Progress	10%	
Safeguarding 2022-23	Draft Report	95%	
Main Accounting System 2022-23	Final Report	100%	Substantial
Treasury Management 2022-23	Final Report	100%	Substantial
Capital Programme 2022-23	In Progress	75%	
Banking Services 2022-23	Final Report	100%	Substantial
Officers Expenses & Allowances 2022-23	Final Report	100%	Reasonable
Revenues Systems 2022-23	In Progress	25%	
Mobile Device Management	In Progress	45%	
Data Quality & Performance Management 22-23	Fieldwork Complete	90%	
Grant Certification 2022-23	In Progress	65%	
Waste Management 2022-23	Deferred		
Street Cleansing 2022-23	In Progress	20%	
Development Management 2022-23	In Progress	60%	
Parks & Open Spaces 2022-23	In Progress	50%	
Rosliston Forestry Centre 2022-23	Final Report	100%	Reasonable
Housing Safety Inspections 2022-23	Deferred		
Sheltered Housing / Careline 2022-23	In Progress	40%	
Land Charges 2022-23	In Progress	60%	
Organisational Culture & Ethics 2022-23	In Progress	10%	
Economic Development 2022-23	Deferred		
B/Fwd Assignments	Status	% Complete	Assurance Rating
Procurement 2021-22	Final Report	100%	Reasonable
Income Streams 2021-22	Final Report	100%	Reasonable
Payroll Probity 2021-22	Final Report	100%	Limited
Creditors 2021-22	Final Report	100%	Reasonable
Housing System IT Upgrades	Draft Report	95%	
People Management 2021-22	Final Report	100%	Substantial
Homelessness 2021-22	Final Report	100%	Substantial
Corporate Governance 2021-22	Final Report	100%	Reasonable
Leisure Centres 2020-21	Final Report	100%	Reasonable
Electoral Services 2020-21	Draft Report	95%	

Plan Changes

It has been agreed with senior management that three planned assignments will be deferred until 2023-24. The Economic Development assignment has been deferred as it is intended to look at the new Visitors Centre which is not yet complete. The Waste Management assignment has been deferred to allow the new Head of Operational Services time to fully settle into the post before reviewing this service. A recent audit of the Council's Lifespan Housing application has flagged a number of weaknesses with system security; the decision has therefore been taken to defer to Housing Safety

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Inspection audit to allow time for such matters have progressed sufficiently before embarking on a further audit in this area.

Assignment Delays

I'm pleased to report that all the delayed assignments brought to the Sub-Committee's attention at the last meeting are all now progressing.

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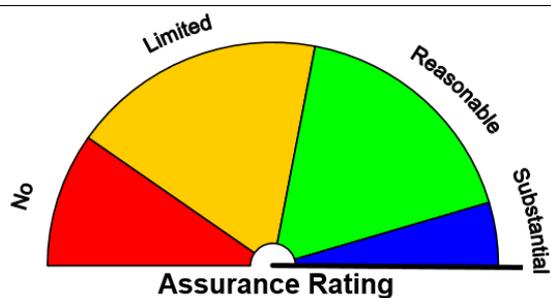
AUDIT COVERAGE

Completed Audit Assignments

Between 25th November 2022 and 21st February 2023, 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	
Treasury Management 2022-23	Substantial					n/a
Main Accounting System 2022-23	Substantial				1	100%

Control Objectives Examined	Controls Evaluated	Adequate Controls	Partial Controls	Weak Controls
	Appropriate and approved Treasury Management Strategy, Policy and Procedures are in place and are being adequately maintained.	6	5	1
Effective forecasting and monitoring systems have been established to ensure that movements of cash are appropriately managed.	5	4	0	0
Treasury Management transactions comply with the Council's agreed Treasury Management Strategy, with investments suitably recorded to ensure that interest received is correct and funds invested are recovered by the due date.	4	4	0	0
The Council's Borrowing requirements are adequately monitored and managed.	3	3	0	0
Treasury Management activities and performance are being monitored and reported.	4	4	0	0
TOTALS	22	21	1	0
Summary of Weakness		Risk Rating	Agreed Action Date	
This report highlighted 1 minor risk issue for management's consideration, but contained no formal recommendations.				



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Main Accounting System 2022-23	<p style="text-align: center;">Assurance Rating</p>			
Control Objectives Examined	Controls Evaluated	Adequate Controls	Partial Controls	Weak Controls
Key control account reconciliations are carried out on a regular basis, reconciling items are cleared and the reconciliation is subject to independent review.	9	8	1	0
Robust systems are in place which allow revenue budget monitoring to take place.	6	6	0	0
Appropriate controls are in place with regard to the processing of journals.	5	5	0	0
TOTALS	20	19	1	0
Summary of Weakness		Risk Rating	Agreed Action Date	
Not all reconciliations had been completed in a timely manner.		Low Risk	Already 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
31-Oct-22	Rosliston Forestry Centre 2022-23	Reasonable			4
24-Oct-22	Officers Expenses & Allowances 2022-23	Reasonable			3
02-Aug-22	Income Streams	Reasonable		1	4
22-Aug-22	Homelessness 2021-22	Substantial	1		
23-Feb-22	Climate Change	Substantial		1	
29-Jul-22	People Management 2021-22	Substantial			1
31-Mar-22	Revenues Systems 2021-22	Substantial			2
10-Mar-22	Rent Accounting 2021-22	Reasonable		2	2
23-Nov-22	Payroll Probity	Limited			3
06-Sep-21	Data Protection & Freedom of Information	Reasonable		2	
15-Sep-21	Insurance	Substantial			1
06-Jan-21	Tenancy Management (Interventions & Support)	Substantial		1	
19-May-22	Leisure Centres 2020-21	Reasonable	1		
03-Feb-21	Waste Management (Trade Waste)	Reasonable		2	
16-Jun-21	Housing Repairs 2020-21	Limited		6	
06-Aug-20	Bereavement Services 2019-20	Reasonable		2	
22-Oct-20	Grounds Maintenance 2019-20	Reasonable		5	1
26-Mar-19	Fleet Management	Reasonable		1	
29-Aug-19	Corporate Governance 2018-19	Reasonable		1	
12-Feb-19	PCI Compliance 2018-19	Reasonable		3	
07-Aug-17	Parks & Open Spaces	Reasonable		1	
		TOTALS	2	28	21

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

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

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

Audit Assignments with Recommendations Due	Action Due			Being Implemented		
	Significant Risk	Moderate Risk	Low Risk	Significant Risk	Moderate Risk	Low Risk
Income Streams						1
Homelessness 2021-22			1			
Climate Change						1
Rent Accounting 2021-22					1	1
Data Protection & Freedom of Information					1	1
Tenancy Management (Interventions & Support)						1
Leisure Centres 2020-21			1			
Waste Management (Trade Waste)					1	1
Housing Repairs 2020-21					3	3
Bereavement Services 2019-20					1	1
Grounds Maintenance 2019-20					1	4
Fleet Management						1
Corporate Governance 2018-19						1
PCI Compliance 2018-19					1	2
Parks & Open Spaces						1
	TOTALS		2		9	19

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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 intends to be PCI Compliant by the end of January 2023. We will then attest compliance on a channel by channel basis and renew annually.	31/01/2023 Action Due

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.</p> <ul style="list-style-type: none"> 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. 	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
We will look to do an options appraisal to identify future service delivery, this could be either in-house or to go out to formal tender. This appraisal should be concluded by February 2023 and subsequent action will then be taken thereafter.	01/03/2023 Future Action

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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
The new head of service is now in post and is exploring the options for management system which will provide a dedicated function detailing requests and closure, the timeline for installation of this system is Dec 23. Until the new system is introduced a standard request form will be created to include job details and closure notice, this is to be introduced by the end of Mar 23.	01/01/2024 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
The new Head of Service is now in post and has requested that the mandatory Health and Safety refresher course be undertaken by all staff that require the update. The training will be completed by the end of January 23 by all staff who require it.	01/02/2023 Action Due

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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. 	<p>Moderate Risk</p>
Management Response/Action Details	Action Date
<p>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.</p>	<p>01/10/2021</p>
Status Update Comments	Revised Date
<p>Electronic job ticket process in trial with DLO. Full implementation will rely on the upgrade of the Orchard system and the commencement of new Repairs Manager in Post. An outline timetable for the implementation of dynamic scheduling/mobile working has been agreed with Orchard MRI for completion by December 2023.</p>	<p>01/12/2023 Future Action</p>

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Housing Repairs 2020-21	Rec No. 5
Summary of Weakness / Recommendation	Risk Rating
<p>Orchard, the Council's 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 this should be monitored by management until embedded.</p>	Moderate Risk
Management Response/Action Details	Action Date
Written instruction for the completion of job tickets will be provided for operatives by the Interim Team Leader.	30/07/2021
Status Update Comments	Revised Date
The implementation of an App to control stock purchase is in implementation with the major supplier and in discussion with the secondary supplier. This will not progress further until the commencement in post of the New Repairs Manager. The comprehensive management of this will be delivered through the implementation of additional Dynamic Scheduling Software which has a prospective completion date of December 2023.	01/03/2023 Future Action

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
New controls are in place with regard to the purchase of materials and a new secondary materials supplier has been appointed. Both providers have electronic solutions for the management of materials which will be progressed further once the new Repairs Manager is in place in November 2022.	01/03/2023 Future Action

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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>	<p>Moderate Risk</p>
Management Response/Action Details	Action Date
<p>GDPR training is mandatory part of induction, and an annual refresh is required. Non-compliance will be escalated to the relevant Strategic Directors.</p>	<p>31/12/2021</p>
Status Update Comments	Revised Date
<p>This relates to a rolling 12 months and not all employees have completed the training but the fact that they haven't has been escalated and a new process whereby a monthly snapshot is emailed to Heads of Service. Members have not yet undertaken a GDPR training session. This was due to take place at the end of September but didn't happen. The training is delivered by a third party. New dates for training delivery have been requested and an update will be provided when these have been booked. Action date revised to end of November in the interim.</p>	<p>01/12/2022 Action Due</p>

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Rent Accounting 2021-22	Rec No. 7
Summary of Weakness / Recommendation	Risk Rating
<p>Energy costs paid by the Council for individual properties were not consistently recharged to tenants and there was a large outstanding debt relating to this.</p> <p>We recommend that the Council writes off outstanding ground source heating debts where there is insufficient legal basis to pursue recovery. Furthermore, for existing tenants, appropriate action should be taken to obtain agreement to future energy cost charges, which should be invoiced as soon as possible to prevent further financial loss to the Council.</p>	Moderate Risk
Management Response/Action Details	Action Date
<p>Agreed, the Former Tenant Arrears Officer will prepare the documentation for write off where recovery cannot be pursued against former / current tenants for ground source heating charges at Brook Street, Hartshorne.</p> <p>A third-party agent is currently being procured to take meter readings and prepare figures for consumption costs to the responsible tenant for payment. At this point it is the Councils intention for the third-party agent to read meters and invoice tenants, however this may change in so far as Business Support may invoice tenants and collect the payments which are due.</p> <ul style="list-style-type: none"> • Once procured, all existing tenants will be required to re-sign a contract indicating their agreement to be responsible for and pay their ground source heating charges to the Council. • All new tenants will sign a separate contract/letter when they sign their new Tenancy Agreement indicating their agreement to be responsible for and pay their ground source heating charges. • The Former Tenant Arrears Officer and the Tenancy Services Manager will have operational responsibility for implementing this recommendation. 	31/03/2022
Status Update Comments	Revised Date
<p>Outstanding debts have now been written off. Tenants have been given written notice of billing. A process for billing has been prepared and meter readings for Carnegie House are now being taken and billed monthly. Recharging of energy costs for those in Temporary Accommodation at Carnegie House is to be confirmed. Currently unable to get meter readings for Brook Street however officers are in discussion with the contractor to resolve this.</p>	<p>31/10/2023</p> <p>Future Action</p>

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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
We have placed the order with the Play Inspection company and they are on site in February to complete the site inventories. Training for the relevant staff will then follow.	01/05/2023 Future Action

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
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	01/01/2020
Status Update Comments	Revised Date
The Card Payment Data Security Policy has been reviewed with Section 19 (PCI DSS (Payment Card Industry Data Security Standards) being updated. An Inventory of Hardware and Software components is currently being finalised. Software technology (Call Secure Plus) is also due to be deployed in January 2023 which will prevent spoken cardholder data	31/01/2023 Action Due

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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 Card Payment Data Security Policy has been reviewed with Section 19 (PCI DSS (Payment Card Industry Data Security Standards) being updated. An Inventory of Hardware and Software components is currently being finalised. Software technology (Call Secure Plus) is also due to be deployed in January 2023 which will prevent spoken cardholder data being transmitted across Council infrastructure.</p>		<p>31/01/2023</p> <p>Action Due</p>

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
<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>		31/03/2020
Status Update Comments		Revised Date
<p>The new head of service is now in post and has procured a fleet maintenance and management system for installation by the end of Mar 23. There will also be a revision to the vehicle replacement plan submitted in 2021, this review will be completed by June 2023.</p>		<p>30/06/2023</p> <p>Future Action</p>

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>Additional resources and commencement of a Database Project will be required to address this matter. A further update will be provided in January 2023.</p>		<p>01/02/2023</p> <p>Action Due</p>

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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
		Action Due

Grounds Maintenance 2019-20		Rec. No. 2
Summary of Weakness / Recommendation		Risk Rating
<p>The specification and associated bills of quantities were out-of-date, having not been updated since 2011.</p> <p>We recommend that resources should be identified to review and update the specification and associated bills of quantity to reflect the current situation, to ensure better clarity over the areas covered within the 'contract' and the detailed requirements.</p>		Low Risk
Management Response/Action Details		Action Date
<p>Previous detailed specification to be reviewed for Housing land and Cultural and Community Service land. Timing will depend on when restructures are in place. Officers with operational responsibility are the Parks and Green Space Manager and the Housing Improvement and Asset Manager.</p>		01/10/2021
Status Update Comments		Revised Date
<p>The new head of service is now in post and has concluded that the updating/introduction of a new SLA or Bill of Quantities with sufficient stakeholder consultation is a substantial piece of work that will require expertise and knowledge not readily available within the existing operational services team. To support the resourcing of this task, the service will either seek external consultant assistance or support from new post creation from the forthcoming operational services restructure. A further update on the progress of these tasks will be available in June 23.</p>		01/07/2023
		Future Action

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Grounds Maintenance 2019-20	Rec. No. 5
Summary of Weakness / Recommendation	Risk Rating
<p>There was no formal process through which reactive works could be requested from Operational Services.</p> <p>The Council should develop a formal process through which requests for grounds maintenance works should be made. This would help to ensure that all requests are properly authorised, allocated and tracked. One option could be to introduce a standard Job Request Form and a dedicated email address to receive requests.</p>	Low Risk
Management Response/Action Details	Action Date
<p>A dedicated email already exists to receive requests GroundsDistList@southderbyshire.gov.uk. Operational Services is currently undertaking a management restructure, a formal process will be developed and implemented following this restructure.</p>	01/04/2021
Status Update Comments	Revised Date
<p>The new head of service is now in post and is exploring the options for management system which will provide a dedicated function for requests, the timeline for installation of this system is Dec 23. Until the new system is introduced a standard request form will be created and introduced by the end of Mar 23.</p>	<p>01/01/2024 Future Action</p>

Grounds Maintenance 2019-20	Rec. No. 8
Summary of Weakness / Recommendation	Risk Rating
<p>Monitoring of quality of work performed did not take place or was not formally recorded.</p> <p>We recommend that regular quality monitoring is undertaken to ensure that quality of work meets the standards set within a revised specifications, and any performance issues are addressed.</p>	Low Risk
Management Response/Action Details	Action Date
<p>Quality Monitoring Schedule derived from annual plan/programme for Housing Land and Cultural and Community Services land to be implemented. Officers with operational responsibility are the Parks and Green Space Manager and the Housing Improvement and Asset Manager.</p>	01/04/2021
Status Update Comments	Revised Date
<p>The new head of service is now in post and is introducing 2 new posts which will undertake and oversee the performance monitoring of GM output, restructure complete by May 23, new posts to be filled by June 23.</p>	<p>01/07/2023 Future Action</p>

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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, along with guidance documents to assist with the Code. It has been decided by Full Council for the Code to be adopted in May 2023, following the next election. In the meantime, Members have had a copy of the draft for information and comment.</p>	<p>01/06/2023</p> <p>Future Action</p>

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
<p>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</p>	28/02/2021
Status Update Comments	Revised Date
<p>SDDC will look to address this with the introduction of a Tenant Portal in Spring 2023. Currently Tenants are aware that rent is charged weekly on a Monday as this is stated in their tenancy agreement and the amount charged will be on the copy of their tenancy contract page. When the rent increases or decreases each year, the tenants are informed of this. They also receive rent statement (s) and rent arrears letters advising of their rent situation. Customer services also provide this information when a tenant contacts them direct. At present, tenants requiring information on rent due dates or their arrears would contact their Housing Officer or customer services who would provide this information from the Orchard Screen verbally to the tenant or confirm this information in writing by text, email or letter or by sending a rent statement.</p>	<p>01/07/2023</p> <p>Future Action</p>

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Housing Repairs 2020-21	Rec. No. 9
Summary of Weakness / Recommendation	Risk Rating
<p>Post inspections were not being carried out on a sample of day-to-day repairs.</p> <p>We recommend that a regime of post inspections for a sample of day-to-day repairs is developed and implemented. Inclusion of aspects such as, materials usage and time spent on the repair should be considered. This process should be managed by the Repairs & Improvements Team Leader to ensure a broad spread of all work types are covered and that any issues identified are duly investigated and rectified.</p>	Low Risk
Management Response/Action Details	Action Date
A trial post inspection regime is now in place. The effect of this will be reviewed by the newly appointed Repair Manager prior to implementation within the team.	01/11/2021
Status Update Comments	Revised Date
In house automated process designed subject to MRI system changes	01/03/2023
	Future Action

Housing Repairs 2020-21	Rec. No. 10
Summary of Weakness / Recommendation	Risk Rating
<p>There was no clear process by which work was allocated to the repairs & maintenance contractor, rather than the Direct Labour Organisation (DLO), and there was no formal monitoring of the distribution of work to the DLO in comparison to the contractor.</p> <p>We recommend that a robust process is developed to ensure that the split of work allocated to the DLO versus the contractor fully considers the type and quantity of work, to ensure this maximises capacity, costs and efficiency. Furthermore, the work allocation should be suitably monitored to enable any trends relating to skillsets or capacity to be identified and addressed.</p>	Low Risk
Management Response/Action Details	Action Date
<p>The Contract with NOVUS for day to day repairs is a support contract. This requires them to operate with a high degree of flexibility in order to meet repair requests that the in house team cannot fulfil. This can be for a number of different reasons for any given repair.</p> <ul style="list-style-type: none"> In the case of electrical works the current DLO do not have any electricians so are unable to complete any such works. In the case of repairing/replacing wet room repairs the DLO do not have any operatives qualified to carry out this work. In all other areas of work the contractor may be required to assist for a range of reasons, including the staff availability, scale and nature of works Monitoring of day to day repair works issued and completed by the contractor is carried out as part of the monthly contract monitoring process. A formal process for the allocation of works will be included within the procedural notes to be completed in response to Recommendation 1 above. 	30/11/2021
Status Update Comments	Revised Date
The Repair Manager Post has been vacant with a new manager due to start in November 2022	01/03/2023
	Future Action

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Housing Repairs 2020-21	Rec. No. 11
Summary of Weakness / Recommendation	Risk Rating
<p>Customer satisfaction was not being routinely measured for day-to-day repairs carried out by the Direct Labour Organisation (DLO).</p> <p>We recommend that the existing Customer Satisfaction Survey is utilised when day-to-day repairs are completed by the DLO and that performance is monitored accordingly.</p>	Low Risk
Management Response/Action Details	Action Date
A trial post inspection regime is now in place. The effect of this will be reviewed by the newly appointed Repair Manager prior to implementation within the team.	01/10/2021
Status Update Comments	Revised Date
Paper satisfaction survey is still in use, text based survey to follow.	01/03/2023
	Future Action

Waste Management (Trade Waste)	Rec. No. 5
Summary of Weakness / Recommendation	Risk Rating
<p>No performance measures were in place for the Trade Waste collection service.</p> <p>We recommend that management consider introducing performance measures in respect of the Trade Waste collection service. This would serve to ensure the service delivered was being efficiently and reliably managed and that the service remained viable in a competitive market.</p>	Low Risk
Management Response/Action Details	Action Date
Performance indicators will be reviewed during the next draft of the Operational Services Service plan when consideration will be given to performance measures for Trade Waste	30/09/2021
Status Update Comments	Revised Date
The new Head of Service is now in post and is in the process of reviewing the team operational plans. Performance indicators for the Trade Waste Service will be considered during this review and implemented from 1st April 2023.	02/04/2023
	Future Action

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Data Protection & Freedom of Information 2021-22	Rec. No. 1
Summary of Weakness / Recommendation	Risk Rating
<p>The presentation and content of policy documents relating to the Data Protection Framework were inconsistent with respect to the inclusion of version control and carrying out a review.</p> <p>We recommend that the Information Security and Acceptable Use Policy should be reviewed and updated (where necessary) as soon as possible. In accordance with best practice, policy documents should formally state a timeframe for their programmed review along with version control to track when documents were created and amended.</p>	Low Risk
Management Response/Action Details	Action Date
Version control will be duly noted when policies are updated. Review dates will generally be every 24 months unless there is a technical or legal change. This will be noted in all policies going forward at the point that they are reviewed.	31/12/2021
Status Update Comments	Revised Date
Policies will be reviewed and amended in line with their revision dates.	31/03/2023
	Future Action