

# North East Derbyshire District Council

# Appendix 1

Summary of Internal Audit Recommendations made and implemented 2019/20 – 2022/23 (as at end of August 2022)

<b>Recommendations Made</b>	<b>2019/20</b>	<b>2020/21</b>	<b>2021/22</b>	<b>2022/23</b>
Number of High Priority	1	0	0	0
Number of Medium Priority	30	21	19	2
Number of Low priority	43	33	29	13
<b>Total</b>	<b>74</b>	<b>54</b>	<b>48</b>	<b>15</b>
<b>Recommendations Implemented</b>	<b>68</b>	<b>49</b>	<b>31</b>	<b>4</b>
High Recommendations Outstanding	0	0	0	0
Medium Recommendations Outstanding	1	2	0	0
Low Recommendations Outstanding	5	3	1	0
Not overdue yet	0	0	16	11
Total Overdue Recommendations	6	5	1	0
<b>Percentage due implemented</b>	<b>92%</b>	<b>91%</b>	<b>97%</b>	<b>100%</b>

## North East Derbyshire

2019/20

Report Ref	Audit	Directorate	Conclusion	Recommendations accepted			Total	Not Overdue	Overdue	Implemented
				High	Medium	Low				
N010	Gifts and Hospitality	People	Reasonable		2	7	9		5 (1M 4L)	4
N020	Coney Green & Midway Business Centres	Place	Reasonable		2	4	6		1L	5
<b>Total</b>				<b>0</b>	<b>4</b>	<b>11</b>	<b>15</b>		<b>6</b>	<b>9</b>

2020/21

Report Ref	Audit	Directorate	Conclusion	Recommendations accepted			Total	Not Overdue	Overdue	Implemented
				High	Medium	Low				
N015	Laptops and Removable Media	Corporate Resources	Reasonable		2	4	6		2L	4
N018	Network Security and Policies	Corporate Resources	Reasonable		2	1	3		2M 1L	
<b>Total</b>				<b>0</b>	<b>4</b>	<b>5</b>	<b>9</b>		<b>5</b>	<b>4</b>

## 2021/22

Report Ref	Audit	Directorate	Conclusion	Recommendations accepted			Total	Not Overdue	Overdue	Implemented
				High	Medium	Low				
N006	Safeguarding	Operations	Reasonable		2	5	7	1		6
N007	Sundry Debtors	Operations	Reasonable		2	2	4	4		
N008	Homelessness	Growth	Reasonable		1	3	4		1L	3
N009	Disaster Recovery	Transformation	Substantial			3	3	1		2
N015	Risk Management	Operations	Reasonable		2	2	4	4		
N018	Digital Transformation	Operations	Reasonable		3	3	6	6		
<b>Total</b>					<b>10</b>	<b>18</b>	<b>28</b>	<b>16</b>	<b>1</b>	<b>11</b>

## 2022/23

Report Ref	Audit	Directorate	Conclusion	Recommendations accepted			Total	Not Overdue	Overdue	Implemented
				High	Medium	Low				
N001	Insurance	Finance & Resources	Substantial			1	1			1
N002	Leisure (financials)	Growth & Assets	Substantial			4	4	4		
N003	Food Hygiene	Organisation and Place	Reasonable		2	5	7	7		
N003	CIPFA Financial Mgmt Code	Finance & Resources	Substantial				0			0
N004	Planning Fees	Organisation and Place	Substantial			3	3			3
<b>Total</b>					<b>2</b>	<b>13</b>	<b>8</b>	<b>11</b>		<b>4</b>

## NEDDC Outstanding Recommendations as at end of August 2022

Audit and date audit completed	Recommendation Outstanding	Priority and Original Target Date	Managers Comment
Gifts and Hospitality – October 2019	Consideration be made to adding an indication on the declaration form if the donor has any existing/potential contracts or partnership links to the authority to ensure transparency.	Low February 2020  Revised to: 31st January 2022 for an intermediate solution. December 2022 for a longer term solution	August 2022 – we are at an advanced stage for putting employee gifts and hospitality declarations on line. This includes this recommendation. Members’ declarations will have to be dealt with separately and we are currently looking at how this can be done. We are also commencing the processes for Mod.Gov to be used in relation to (inter alia) the gifts and hospitality registers. As a short term Measure, the Members Gifts and Hospitality Register will be placed in the Modern.gov Library and updated as necessary
Gifts and Hospitality – October 2019	Consideration be given to adopting a NEDDC gifts & hospitality form/guidance or adopting the BDC documents.	Medium February 2020  Revised to December 2022	Will be implemented as part of R1
Gifts and Hospitality – October 2019	Development of the “Do it online gifts & hospitality declaration and declaration of interests	Low February 2020	August 2022 – gifts and hospitality forms are being put on line. Please see above.

Audit and date audit completed	Recommendation Outstanding	Priority and Original Target Date	Managers Comment
	forms” be undertaken by Officers and Members with authorisation as appropriate.	Revised to December 2022	Members’ Register of Interest forms are dependent on further Mod.Gov implementation and also sometimes advice from the Monitoring Officer is needed. This will be considered as part of Mod.Gov implementation.
Gifts and Hospitality – October 2019	Chair’s charity processes are examined to ensure that appropriate separation of duties controls are in place, registers held and best practice on acceptance or rejection of donations issues are considered.	Low February 2020 Revised to December 2022	August 2022 – this is on the Governance list to be reviewed over the next year as a priority.
Gifts and Hospitality – October 2019	A standardised officer declaration of interests form is considered as a library document to ensure consistency of recorded data.	Low February 2020 Revised to December 2022	August 2022 – yet to be considered. Anecdotally I do not hear of many occasions when such a form would be used.
Coney Green and Midway Business Centres – March 2020	To review, update and increase the web-presence of Coney Green and Midway to promote Business Centre facilities and services available. A review of charges for the virtual office / mailing address service should	Low December 2020 Revised to December 2022	A web design company has been appointed. A meeting has been set up for the 8 <sup>th</sup> Sept 2022 to discuss their concepts/proposals.

Audit and date audit completed	Recommendation Outstanding	Priority and Original Target Date	Managers Comment
	run concurrently.		
Laptops and Removable Media – March 21	As part of its next review, the Joint Information Security Policy should be examined and updated where appropriate to reflect any lessons learned from the effects of the rapid move to home working experienced during the Covid-19 pandemic.	Low January 2022 Revised target date April 2023	The Joint ICT Information Security Policy will be reviewed during the implementation of M365, which is currently being trialled. The implementation of M365 will necessitate a significant re-drafting of the policy.
Laptops and Removable Media – March 21	Where multiple devices of the same type are allocated to Officers or Elected Members, the need for the surplus devices is investigated and where appropriate returned to stock for redeployment.	Low April 21	Not actioned by governance yet, Members IT is transferring to IT
Network Security and Policies – June 2021	All policies are reviewed and appropriately version controlled with the relevant versions added and updated on the Joint ICT Intranet site and DDDC SIDD.	End October 2021 Revised Target Date April 2023	Communications have been provided the latest versions and asked to update the Intranets. Policies are being reviewed and updated alongside the introduction of M365 as this will introduce additional policies.
Network Security and Policies – June 2021	Joint ICT Strategies are updated and where extant removed from the Intranet site and new versions appended as appropriate.	Medium End February 2022 Revised Target	Awaiting re-organisation and recruitment to assistant director post.

Audit and date audit completed	Recommendation Outstanding	Priority and Original Target Date	Managers Comment
		date of April 2023	
Network Security and Policies – June 2021	ICT should consider the development of an I-Cloud Policy for NEDDC, BDC and DDDC and include this on the Council’s Joint ICT Intranet Site.	Low End March 2022 Revised target date April 2023	This will be reviewed with the ICT security policy.
Homelessness – November 2021	A review of all internal procedure notes should be undertaken to ensure still required by the service and compliance with the HRA 2017 and additional COVID regulation changes.	Low June 2022	This work is ongoing through this year