

# North East Derbyshire District Council

Summary of Internal Audit Recommendations made and implemented 2020/21 – 2023/24 (as at Mid November 2023)

<b>Recommendations Made</b>	<b>2020/21</b>	<b>2021/22</b>	<b>2022/23</b>	<b>2023/24</b>
Number of High Priority	0	0	0	0
Number of Medium Priority	21	19	11	9
Number of Low priority	33	29	24	15
<b>Total</b>	<b>54</b>	<b>48</b>	<b>35</b>	<b>24</b>
<b>Recommendations Implemented</b>	<b>53</b>	<b>41</b>	<b>20</b>	<b>10</b>
High Recommendations Outstanding	0	0	0	0
Medium Recommendations Outstanding	0	0	2	0
Low Recommendations Outstanding	1	1	2	0
Not overdue yet	0	6	11	14
Total Overdue Recommendations	1	1	4	0
<b>Percentage due implemented or carried fwd to next audit</b>	<b>98%</b>	<b>98%</b>	<b>83%</b>	<b>100%</b>

## North East Derbyshire

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		1L	5
<b>Total</b>				0	2	4	6		1	5

2021/22

Report Ref	Audit	Directorate	Conclusion	Recommendations accepted			Total	Not Overdue	Overdue	Implemented
				High	Medium	Low				
N009	Disaster Recovery	Transformation	Substantial			3	3		1L	2
N018	Digital Transformation	Operations	Reasonable		3	3	6	6		
<b>Total</b>					3	6	9	6	1	2

2022/23

Report Ref	Audit	Directorate	Conclusion	Recommendations accepted			Total	Not Overdue	Overdue	Implemented
				High	Medium	Low				
N003	Food Hygiene	Organisation and Place	Reasonable		2	5	7	3		4
N006	Recruitment & Selection	Organisation & Place	Reasonable		1	1	2		1L	1
N009	Sundry Debtors	Finance & Resources	Reasonable		1	1	2	2		
N010	Cemeteries	Organisation & Place	Substantial			2	2		1L	1
N014	Network Security	Finance & Resources	Reasonable		4		4	1	2M	1
N015	Taxi Licensing Arrangements	Organisation & Place	Reasonable		1	4	5	5		
<b>Total</b>					<b>9</b>	<b>13</b>	<b>22</b>	<b>11</b>	<b>4</b>	<b>7</b>

2023/24

Report Ref	Audit	Directorate	Conclusion	Recommendations accepted			Total	Not Overdue	Overdue	Implemented
				High	Medium	Low				
N001	Sickness Absence Management	Organisation & Place	Substantial			1	1	1		
N002	Commercial Waste	Organisation & Place	Reasonable				0			0
N003	Facilities Compliance	Growth & Assets	Reasonable		2		2	1		1
N004	Land Charges	Organisation & Place	Reasonable			4	4	4		
N005	Clay Cross Town Deal	Growth & Assets	Substantial			2	2	2		
N006	Pollution Prevention & Control	Organisation & Place	Limited		4	6	10	3		7
N007	Treasury Management	Finance & Resources	Substantial			2	2			2
N008	Members IT Equipment	Finance & Resources	Reasonable		3		3	3		
<b>Total</b>					<b>9</b>	<b>15</b>	<b>24</b>	<b>14</b>		<b>10</b>

## NEDDC Outstanding Recommendations as at Mid November 2023

Audit and date audit completed	Recommendation Outstanding	Priority and Original Target Date	Managers Comment
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 End December 2023	Information Security Policy being re-written for approval End December 2023.
IT Disaster Recovery – November 2021	It would be beneficial to complete internal phishing exercises on an annual basis across all 3 authorities to increase awareness of threats within the authorities	Low  December 2022	Reduced resources has made this difficult and priorities diverted to other cyber related mitigation tasks. However phishing training was distributed in June to all Staff and members with real examples highlighted. Currently investigating use of additional tools provided with M365 suit, however this may take some time to implement.
Recruitment and Selection – October 2022	The Recruitment & Selection Policy should be reviewed and updated. Consideration should be given to if a joint NEDDC/BDC policy is still appropriate.	Low  June 2023  Revised target date June 2024	A review of all policies is taking place at NEDDC. Recruitment and Selection is due to be reviewed and refreshed with the next 6 to 9 months.

Audit and date audit completed	Recommendation Outstanding	Priority and Original Target Date	Managers Comment
Cemeteries – November 2022	Extensions to the management agreement / contract between NEDDC and Clay Cross Parish Council for the management of Danesmoor Cemetery should be signed and agreed by both parties.	Low 31 <sup>st</sup> March 2023  Revised target date End November 2023	Revised price and contract being discussed currently with Clerk at Clay Cross Parish Council. To be completed End of November.
Network Security – May 2023	It is essential that all policies and strategies are reviewed, updated and approved on a timely basis. Once approved the policies should be published on the Joint ICT Intranet site.	Medium  End October 2021  Revised target date December 2023	Re-write in progress for approval. Policy area under s Drive. Target end December 2023.
Network Security – May 2023	ICT should consider the development of an I-Cloud Policy for NEDDC and BDC and include this on the Council's Joint ICT Intranet Site.	Medium  End March 2022  Revised target date December 2023	Re-write in progress for approval. Policy area under s Drive. Target end December 2023.