# North East Derbyshire District Council

### Summary of Internal Audit Recommendations made and implemented 2020/21 – 2023/24 (March 2024)

| Recommendations Made | 2020/21 | 2021/22 | 2022/23 | 2023/24 |
|---|---|---|---|---|
| Number of High Priority | 0 | 0 | 0 | 0 |
| Number of Medium Priority | 21 | 19 | 11 | 17 |
| Number of Low priority | 33 | 29 | 24 | 26 |
| **Total** | **54** | **48** | **35** | **43** |
| **Recommendations Implemented** | **53** | **47** | **20** | **21** |
| 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 | 0 | 11 | 22 |
| Total Overdue Recommendations | 1 | 1 | 4 | 0 |
| **Percentage due implemented or carried fwd to next audit** | **98%** | **98%** | **83%** | **100%** |

# 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 |
| | | | | | | | | | | |
| **Total** | | | | **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 |
| **Total** | | | | | **3** | **6** | **9** | | **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 | | |
| | | | | | | | | | | |
| **Total** | | | | | **9** | **13** | **22** | **11** | **4** | **7** |

**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** | 2 | | 8 |
| N007 | Treasury Management | Finance & Resources | Substantial | | | 2 | **2** | | | 2 |
| N008 | Members IT Equipment | Finance & Resources | Reasonable | | 3 | | **3** | 2 | | 1 |
| N009 | VAT | Finance & Resources | Substantial | | | 2 | **2** | | | 2 |
| N010 | FOI /EIR | Growth & Assets | Substantial | | | | **0** | | | 0 |
| N011 | Housing Benefits | Finance & Resources | Substantial | | | 4 | **4** | 4 | | |
| N012 | Coney Green Business Centre | Growth and Assets | Limited | | 8 | 5 | **13** | 13 | | |
| N013 | Members Allowances | Organisation and Place | Substantial | | | | **0** | | | 0 |

| | | | | 17 | 26 | 43 | 22 | 0 | 21 |
|---|---|---|---|---|---|---|---|---|---|
| Total | | | | | | | | | |

## NEDDC Outstanding Recommendations March 2024

| 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<br><br>January 2022<br><br>Revised target date March 24 | The Information and cyber-security policy is currently being finalised and through the approval process. This will be published on the Corporate Teams file area. |
| 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<br><br>December 2022<br><br>Revised target December 2024 | Priorities diverted to other cyber related mitigation tasks such as moving to exchange online. Phishing training was distributed in June to all Staff and members with real examples highlighted. Known Phishing example publicised regularly when they come up. 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 | Low<br><br>June 2023<br><br>Revised target date | The policy has been reviewed and consultation has been completed with SMT.<br><br>Consultation is taking place with Unions in April with a view to approval at full Council in |

| Audit and date audit completed | Recommendation Outstanding | Priority and Original Target Date | Managers Comment |
|---|---|---|---|
| | appropriate. | June 2024 | May or June. |
| 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<br><br>31st March 2023<br><br>Revised target date End March 2024 | Revised price and contract being discussed currently with Clerk at Clay Cross Parish Council. To be completed End of March. |
| 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<br><br>End October 2021<br><br>Revised target date March 2024 | The Information and cyber-security policy is currently being finalised and through the approval process. This will be published on the Corporate Teams file area. |
| 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<br><br>End March 2022<br><br>Revised target date March 2024 | This has been included into the Information and cyber-security policy currently being finalised and through the approval process. This will be published on the Corporate Teams file area. |