

North East Derbyshire District Council

Appendix 1

Summary of Internal Audit Recommendations made, implemented and outstanding 2020/21 – 2023/24 (end of August 2024)

Recommendations Made	2020/21	2021/22	2022/23	2023/24	2024/25
Number of High Priority	0	0	0	0	0
Number of Medium Priority	21	19	11	21	3
Number of Low priority	33	29	24	37	12
Total	54	48	35	58	19
Recommendations Implemented	53	48	27	43	11
High Recommendations Outstanding	0	0	0	0	0
Medium Recommendations Outstanding	0	0	3	5	0
Low Recommendations Outstanding	1	0	3	4	0
Not overdue yet	0	0	2	6	8
Total Overdue Recommendations	1	0	6	9	0
Percentage due implemented or carried fwd to next audit	98%	100%	82%	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

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	1		6
N006	Recruitment & Selection	Organisation & Place	Reasonable		1	1	2		1L	1
N009	Sundry Debtors	Finance & Resources	Reasonable		1	1	2		1M	1
N014	Network Security	Finance & Resources	Reasonable		4		4		2M	2
N015	Taxi Licensing Arrangements	Organisation & Place	Reasonable		1	4	5	1	2L	2

					9	11	20	2	6	12
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2023/24

Report Ref	Audit	Directorate	Conclusion	Recommendations accepted			Total	Not Overdue	Overdue	Implemented
				High	Medium	Low				
N003	Facilities Compliance	Growth & Assets	Reasonable		2		2		1M	1
N008	Members IT Equipment	Finance & Resources	Reasonable		3		3		2M	1
N011	Housing Benefits	Finance & Resources	Substantial			4	4		2L	2
N012	Coney Green Business Centre	Growth and Assets	Limited		8	5	13	2	4 (2M 2L)	7
N015	Transport	Organisation and Place	Limited		4	8	12	2		10
N016	Payroll	Finance and Resources	Substantial			3	3	2		1
Total					17	20	37	6	9	22

2024/25

Report Ref	Audit	Directorate	Conclusion	Recommendations accepted			Total	Not Overdue	Overdue	Implemented
				High	Medium	Low				
N001	Health & Safety	Organisation and Place	Substantial			2	2	2		
N002	Right to Buy	Organisation and Place	Reasonable		1		1			1

N003	Disabled Facilities Grants	Organisation and Place	Substantial			2	2	2		
N004	Eckington Swimming Pool	Growth and Assets	Substantial			2	2			2
N005	Killamarsh Active	Growth and Assets	Reasonable	2		6	8			8
N006	Section 106	Organisation and Place	Reasonable	2		2	4	4		
Total					5	14	19	8	0	11

NEDDC Outstanding Recommendations end of August 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 January 2022 Revised target date September 24	The Information and cyber-security policy is currently awaiting approval via the employee working group on 31 st July. Once approved, this will be published on the Corporate Intranet.
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 December 2024	Consultation on 4 key policies is still taking place and these will be considered at JCG in July and then at Council in September. The Recruitment and Selection Policy has been through consultation at SMT and consultation will commence with the Unions in September

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			with a view to formal approval at JCG in December. The interim policy will be uploaded to the S Drive for managers to use to ensure the Council remains legally compliant.
Debtors – November 2022	The reintroduction of formal recovery procedures should include management of accounts ‘on hold’ or at ‘decide’ stage; in particular to ensure that originating departments are contacted for escalation purposes. Periodic reports of items still on hold after an agreed timeframe should be generated for reporting and escalation purposes thereafter.	Medium 31 st August 2023	Formal recovery procedures have now been reintroduced. We are currently working towards obtaining reports of items on hold for reporting and escalation purposes.
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 September 2024	The Information and cyber-security policy is currently awaiting approval via the employee working group on 31 st July. Once approved, this will be published on the Corporate Intranet.
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	Medium End March 2022	Cloud policies are incorporated into the latest Information and cyber-security policy which is currently awaiting approval via the employee working group on 31 st July. Once

Audit and date audit completed	Recommendation Outstanding	Priority and Original Target Date	Managers Comment
	Joint ICT Intranet Site.	Revised target date September 2024	approved, this will be published on the Corporate Intranet area.
Taxi Licensing – May 23	Fees / charges should be reviewed on a regular basis. Once agreed, liaison with the Transport sections should take place to ensure all fees published on the Council’s websites are up to date and correct.	Low March 2024	The calculations for the new fees are currently in draft format, and will be going to the first available Licensing Committee after the summer recess. Ongoing and expected to be completed early 2025.
Taxi Licensing – May 23	A decision is taken in respect of CCTV expectations and policy compliance / exemptions for drivers utilising vehicles for the transport of DCC nominated vulnerable children / adults.	Low December 2023	A temporary amendment to the policy was made to allow CCTV to be turned off where an existing LA contract was in place to protect vulnerable children/adults, pending a decision being made by Derbyshire County Council and Nottingham County Council as to whether they would amend their existing SEND Transport policies. The Licensing service has been liaising with Derbyshire County Council and Nottingham County Council regarding updates on their policies. Despite many emails and reminders we are still awaiting a firm response, and the temporary amendment will have to remain in

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			place until we are able to gain a response. Ongoing
Facilities Compliance – August 2023	Fully signed (and sealed if appropriate) contracts held should be retained within a central repository and available in the event of, for example, the need for clarification of responsibilities or a dispute with a Contractor. Additional controls for improvement of administrative processes should be explored linking the responsibilities of contract managers, the procurement and legal services teams. The contract between the Council and Veolia for the management of Legionella inspections should be located and a copy provided to the Corporate Property team for reference.	Medium 31 st March 2024	As part of the review of this recommendation it has become clear that a wider organisation review of how contracts, grant agreements and other legal documents are stored/retained is needed. Senior leadership have now begun this review and will report progress in due course
Members IT Equipment – October 2023	Due to the low completion rate of the ICT Induction and SAT, an exercise is to be undertaken to ensure that Members	Medium December 2023	NEDDC – 36 Members have completed the training. 17 have not despite having several reminders and accompanying emails

Audit and date audit completed	Recommendation Outstanding	Priority and Original Target Date	Managers Comment
	complete the required training as soon as possible.		
Members IT Equipment – October 2023	To improve internal control of Member equipment and to automate processes as much as possible, an achievable timeframe is identified and introduced to manage the project of full MDM implementation.	Medium Dependent upon Member co operation	NEDDC – 30 complete. 21 are to be added to the MDM. Staff shortages have delayed the rollout. Additional temporary resource has been recruited to expediate the rollout and encourage Members to bring in their devices.
Housing Benefits – December 2023	Regular reviews of the Discretionary Housing Payment Policy should be undertaken to ensure it continues to meet the Council's overall objectives and is set to target those in most need.	Low 31 st May 2024	The Discretionary Housing Payment Policy is currently being updated and is expected to be completed by the end of October 2024.
Housing Benefits – December 2023	Unidentified sums held in suspense account 39999997 should be cleared after a defined period.	Low 31 st May 2024	The work to complete this is currently ongoing and is expected to be completed by 30h September 2024.
Coney Green Business Centre – March 2024	A decision should be made in respect of the ongoing monitoring of tenant obligations (insurances and fire risk assessments) and associated documentation collection.	Medium 1 st April 2024	Meeting now arranged for 13/06/24 with new Corporate Property Manager (James Longmate) to review – JL only been in post from 3 rd June 24 (previous postholder left on 29 th Feb 24).

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			<p>Roller Shutter & ECIR Programmes to resolve and bring to an end – other compliance monitoring will continually proceed on an annual basis.</p> <p>August 24 - Ongoing</p>
Coney Green Business Centre – March 2024	A review of the Uniform / IDOX system and its reporting capabilities is undertaken to assist management provide a comprehensive property management service. If this system cannot provide what is required, then alternatives should be investigated.	Medium 1 st April 2024	<p>This is to be reviewed as part of the Action Plan for the Strategic Asset Management Plan (SAMP) – SAMP cannot be formally adopted until the Housing Strategy is completed as the SAMP refers to this.</p> <p>Ongoing</p>
Coney Green Business Centre – March 2024	Scale of charges for services provided should be reviewed and evidenced on a regular basis to ensure they reflect the current cost of the service. This review should include the cost of providing a mailing address.	Low 1 st April 2024	<p>The review of this is currently ongoing and the initial thoughts are that these services will be withdrawn – only a small number of tenants use these services.</p> <p>However, the services are offered within the leases (most of which are expired) – but where they are in term we have no option to continue.</p> <p>It is thought that the solution will be a phased</p>

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			withdrawal from these additional services offered – but to be CONFIRMED.
Coney Green Business Centre – March 2024	The checklist for daily site inspections should be reintroduced and should include details of the staff member undertaking the inspection, the date / time of inspection and any areas for rectification. Rectification measures taken should also be documented.	Low 1 st May 2024	<p>Unfortunately, this has not been resolved due to the ongoing issues with the Concierge Contract Provider (Leisuresec).</p> <p>However, an agreement is now in place with Leisuresec (to be legally documented) to remove the Concierge provision from their wider Council contract and the proposal is for NEDDC to provide this service.</p> <p>Numerous HR issues are being worked through to put the proposal in place – once in place the daily CHECKLIST will be implemented.</p>