

Summary of Outstanding Internal Audit Recommendations as at end of October 2020

Audit	Date Audit Undertaken	Outstanding recommendations
Choice Based Lettings	May 2017	1 Medium
Money Laundering	March 2018	1 Low (extended to Dec 20)
Laptops and removable media	January 2019	2 Medium 1 Low
Sickness Absence Management	March 2019	1 Medium 1 Low (extended to Jan 21)
Housing Repairs	June 2019	3 Medium 1 Low (affected by COVID 19)
Food Hygiene	May 2019	1 Medium 1 Low (affected by COVID)
Data Protection & FOI	September 2019	1 Low
NNDR	September 2019	1 Low (affected by COVID 19)
Museum	September 2019	1 Low
Property Safety Inspections	October 2019	3 Medium 1 Low (affected by COVID 19)
Corporate Health & Safety	October 2019	2 Medium (affected by COVID)
Treasury Management	January 2020	1 Low (extended to April 2021)
Cemeteries Income	February 2020	1 Low (affected by COVID 19)
Payroll	February 2020	4 Low (affected by COVID 19)
Recruitment & Selection	May 2020	2 Medium 2 Low (affected by COVID 19)

N.B Previous Outstanding Procurement recommendations superseded by the latest audit

Audit Recs 17/18	Recommendations	Priority	Agreed Implement ation Date	Managers Comments
Choice Based Lettings – May 17	Procedural notes, flowcharts and associated letter templates should be updated to accurately reflect current procedures and be aligned with the current policy	M	July 2018 Extended to March 2020	
Money Laundering – March 18	An internal risk assessment should be conducted to assess the level of exposure to the Authority, as required within the AML Regulations	L	March 2019 Extended to December 2020	Training has been provided. The risk assessment is progressing.

Audit Recs 18/19	Recommendations	Priority	Agreed Imp Date	Managers Comments
Laptops and other Removable Media – January 19	A policy needs to be established to give clear guidance to management with regards to returning laptops / removable media equipment to IT when an employee leaves their post and ensuring IT are made aware if equipment is transferred to a different user.	M	1st June 2019	
Laptops and other Removable Media – January 19	It is essential that the primary database held in ICT which records the distribution of laptops and other removable media devices owned by Chesterfield Borough Council is being updated in an efficient and precise manner.	M	31 st December 2019	
Laptops and other Removable Media – January	The user profiles held on the laptops should be deleted when a user is no longer employed by Chesterfield Borough Council	L	31 December 2019	

Audit Recs 18/19	Recommendations	Priority	Agreed Imp Date	Managers Comments
19				
Sickness Absence Management – March 19	It should be ensured that a fit for purpose sickness management process be introduced to ensure centralised and consistent record keeping, correct disposal of information and that managers have direct access to sickness information where needed to reduce duplication of records and input errors.	M	March 2020 Extended to January 2021	A Resourcelink expert has now been recruited to lead on the implementation of the leave management module (includes any type of leave and absence management) and we aim to get this implemented by January if we can. This will remove all manual processes for sickness absence and should drastically improve the error rates.
Sickness Absence Management – March 19	Consideration should be given to reporting sickness absences to department managers to ensure that the reports being produced are relevant and practical.	L	July 2019 Extended to January 2021	The implementation of Resourcelink absence management modules is key to the provision of accurate data and practical and relevant reports being available at first line manager level. This should be in place by January 2021.
Housing Repairs – June 19	It should be ensured that the monitoring of inspections is improved. This should include: <ul style="list-style-type: none"> • Reviews of outstanding inspections to identify completed or duplicate requests. • Implementation of the improved post inspection monitoring system across the responsive repairs area. 	M	September 2019 Affected by COVID 19	Pre-Inspections are now only produced Electronically (not printed). The relevant Inspectors receive the inspections through their technology and review on a daily basis. All works orders raised are also electronic – no paper orders from Northgate or Coins but this is still the backup process if ICT failure. Post Inspection re-view no change and delayed due to Covid 19. This

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				will be looked at as soon and we possibly can given the current workload on the team.
Housing Repairs – June 19	It is essential that a regular costing exercise is completed to ensure that the responsive repairs jobs are profitable for OSD, Consideration should be given to implementing this as part of the inspection process.	M	September 2019 Affected by COVID 19	Identified to be part of the Post Inspection checks. On a value over £1000.00. delayed due to Covid and the Senior Technical Officer – Performance dealing with other work streams. Will commence again once workload has decreased and it can be focused upon.
Housing Repairs – June 19	It is essential that council's procurement guidelines are complied with in regards to OSD suppliers. Consideration should be given to joining or creating a framework or selection of frameworks that would allow responsive repairs to be completed in short notice and in compliance with the public sector procurement regulations.	M	April 2020 Affected by COVID 19	The procurement of suppliers has been delayed due to Covid. The Council is looking at a new procurement process and system which would include the possibility of a dynamic procurement system which would help to address with this issue and give the facility to access services with short notice.
Housing Repairs – June 19	It should be established whether there is a business need to send out customer satisfaction surveys, should these be required the monitoring system should be reviewed and updated adequately.	L	April 2020 Affected by COVID 19	Further discussions to take place to determine best option and requirements for the service.

Audit Recs 19/20	Recommendations	Priority	Agreed Imp Date	Managers Comments
Food Hygiene – May 19	It is essential that a document retention exercise is completed as soon as possible to ensure that data protection and data retention periods are adhered too.	M	January 2020 Affected by COVID 19	No specific information has been moved across and it is still held in M3. We are being discouraged from moving masses of information across unnecessarily. However, it can be moved but I have yet to be shown where information if any has moved across in a demo session. This still needs to be worked on but presently it is not on my priority list and I do not know how to do it in M3 so would need assistance on cleaning.
Food Hygiene – May 19	Consideration should be given to producing quarterly reports illustrating performance to the Assistant Director Health and Wellbeing in order that any issues are addressed promptly (e.g. 28 day target not being achieved and cause)	L	January 2020 Affected by COVID 19	Reports can be created quite easily now on the new system should they be required. However, with the current situation in place targets have not been achieved for most interventions and there are possibly hundreds overdue. When there is some normality to the team's workings, then yes this can be done.
Data Protection & FOI requests – September 19	To adhere to the process of updating policies at their expected review date	L	31st December 2019	This is ongoing but has slipped a bit this year due to other priorities (Covid). The Data Protection Policy was reviewed in the summer and is available on Aspire. Information Security Policy was due for review in September and is now overdue.

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National Non Domestic Rates – September 19	As agreed, it is essential that when the inspection outstanding report is obtained the existing outstanding inspection report is to be reviewed and any outstanding inspections allocated and properties visited	L	31st October 2019 Affected by COVID 19	Review next audit – visits affected by COVID 19
Museum & Revolution House Income Audit – September 19	It is recommended that a lock is provided for the donations box as soon as practical.	L	End November 2019	Not completed – not as simple as first thought
Property Inspections – October 19	As agreed in the previous audit it would be prudent to create a solid fuel service and electrical inspection service option on the keystone asset management system to enable it to be used for these services (similar to the gas servicing programme).	M	1st April 2020 Affected by COVID 19	<p>The Solid Fuel servicing of CBC appliances and tenants own at the time of the last service are recorded within the gas Servicing database (Keystone) to produce the 'next service date' the same as Gas servicing. This was put in placing following the previous Audit.</p> <p>Discussions have already taken place with Asset Management to produce a 5 year programme of Electrical Testing. Once agreed a database in Keystone can be created alongside the Gas/solid fuel database. ICT involvement / assistance will be required to create the new database. Discussions are taking place with regards to replacing/upgrading the current Keystone system. The 'new'</p>

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				<p>system will look to incorporate the recommendations.</p> <p>A decision is required by Housing to agree whether CBC will accept Solid Fuel appliances in CBC owned properties. Consideration on the cost of servicing the additional appliances and the environmental impact/policy</p>
Property Inspections – October 19	An annual reconciliation of properties on the keystone system and properties on each service programme should be completed to ensure that all properties are recorded within the correct programmes	M	October 2019 Affected by COVID 19	<p>A report for Gas Servicing was put in place October 2019 and produced on a weekly basis. The report is monitored and discussed weekly by the Gas team at OSD. The report shows properties which are working their way through the legal process where access has not been granted to date. The report will be enhanced to pick up Solid Fuel servicing.</p> <p>Currently Electrical Testing is not on Keystone and therefore not picked up until such time the data is available. Clarification is required of the 330 properties missing from Keystone to determine what these properties are and what appliance? . Discussions are taking place with</p>

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				<p>regards to replacing/upgrading the current Keystone system. The 'new' system will look to incorporate the recommendations.</p> <p>Note that during the Covid 19 Pandemic the service dates of a number of properties have gone over the service date. Currently working through the list to bring back in line as quick we can.</p>
Property Inspections – October 19	<p>It is essential that a comprehensive record of electrical testing is created and that this is then used to create a programme of electrical testing ensuring that all council properties are fully compliant within the 5-year period.</p>	M	<p>April 2020</p> <p>Affected by COVID 19</p>	<p>This is on-going with a 'new' list provided for 2020/2021. The programme has been In progress as of July 2020. Delayed due to Covid 19 Pandemic and therefore the potential number of properties tested this year will be reduced.</p> <p>A programme has been produced by Asset Management and the programme delivered for OSD by an Electrical Sub-Contractor.</p> <p>Difficulties in gaining access increased due to the Covid 19 pandemic.</p>
Property Inspections – October 19	<p>It is essential that monitoring statistics are available for all type of service, if services are expanded with keystone as part of R1 monitoring reports should also be created.</p>	L	<p>April 2020</p> <p>Affected by COVID 19</p>	<p>Once reports are available we can see what monitoring statistics can be produced. It is unsure what report was run and what criteria was used to arrive at the 330 properties. Keystone does not hold the same</p>

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				number of properties as Northgate due to there not being each service currently recorded on the system. Discussions are taking place with regards to replacing/upgrading the current Keystone system. The 'new' system will look to incorporate the recommendations if not available currently.
Corporate Health & Safety – October 19	That the column in Health and Safety Committee reports detailing the action taken to prevent the re-occurrence of an accident be re-instated in order that the Committee can review and call officers to account if necessary.	M	December 2019	The format and content of the reports for the health and safety committee are being reviewed in their entirety to ensure the full suite of documents remain relevant.
Corporate Health & Safety – October 19	<p>That completed actions on the Health and Safety Recovery Plan be signed off and that a new plan be developed that includes the issues identified as still in progress by this audit. These issues are :-</p> <ul style="list-style-type: none"> • That the structure / resource levels of Corporate Health and Safety is kept under review • Review of policies to be completed. Policies to be approved and placed on the intranet. • That the Asbestos Management Plan and Policy are placed on the intranet • That SHE training is provided to all officers (that have not yet had it) that may need to log an accident or work related stress. 	M	March 2020 Affected by COVID 19	The action plan is being updated to reflect those actions that still require further development. This has not been completed due to the impact of Covid-19 and remains an area to be completed.

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	<ul style="list-style-type: none"> • That use of the SHE system is developed including a range of management reports • That further work is undertaken to embed health & safety in to the culture e.g. ensuring that all work related stress is logged on the SHE system, that fire risk assessment actions are completed in a timely manner and that accidents are fully investigated with actions taken to avoid a re-occurrence being logged. • That the Lone worker review and Policy are completed 			
Treasury Management – January 20	Consideration should be given to recording the brokers fees and gross investment income for investments and money markets funds within the councils FMS to ensure that the amount of fees being charged can be monitored	L	31st March 2020 Extended to 1st April 2021	We were looking at bringing this in from the start of the 20/21 financial year. However, as we were all working from home at the time we didn't easily have access to the information we needed to do this and will instead look at implementing from 1 st April 2021.
Cemeteries Income – February 20	A procedure needs to be established regarding the responsibility and pricing of memorial benches	L	30th April 2020 Revised date 31 st December 2020	Affected by COVID
Payroll – February 20	On conclusion of the payroll project, it would be prudent to examine number of errors occurring to ascertain: -	L	TBC Affected by	The payroll project stalled due to sickness and Covid. Changes will be made when Payroll comes back

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	<ul style="list-style-type: none"> accuracy improvement achieved any areas requiring further review. 		COVID 19	in house and support services can be restructured to put payroll processors under payroll.
Payroll – February 20	Consideration should be given to a joint review (payroll and HR) of the current sickness recording process to address the errors and identify ways of improvement e.g., increased Manager’s training	L	TBC Affected by COVID 19	I have now recruited a resourcelink expert to lead on the implementation of the leave management module (includes any type of leave and absence management) and we aim to get this implemented by January if we can. This will remove all manual processes for sickness absence and should drastically improve the error rates.
Payroll – February 20	It would be prudent to periodically request returns (i.e. Minimum annually) to ensure all Managers have reviewed the establishment lists and confirmed accuracy.	L	TBC Affected by COVID 19	The payroll project stalled due to sickness and Covid 19. Changes will be made when Payroll comes back in house and support services can be restructured to put payroll processors under payroll.
Payroll – February 20	As the waiver for the Resource Link contract end date is 31 st March 2021, it is essential that the appropriate action to commence procurement/obtain tenders is scheduled with a realistic timeframe	L	TBC Affected by COVID 19	Covid has affected the resources available to move this forward. A meeting is to take place with legal to progress this.
Recruitment and Selection – May 20	It is essential that the Recruitment & Selection policy is updated as soon as possible to ensure the correct policy documents/guidance is available and that the revised policy is reviewed at regular	M	End August 2020	Affected by COVID 19

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	intervals.			
Recruitment and Selection – May 20	It would be prudent for HR to remind managers of the importance of retaining interview records including any interview notes for the designated period.	L	End June 2020 Affected by COVID	Remind service managers of the need to retain all recruitment paperwork for 6 months, thereafter destroy it as confidential waste. <i>This requirement will be included in an email to managers when the employee has been in post for 6 months at the stage the employee has their probation period confirmed.</i>
Recruitment and Selection – May 20	It would be prudent for HR to remind managers the importance of destroying/deleting relevant documentation in relation to recruitment and selection in line with GDPR guidance	L	End June 2020 Affected by COVID 19	Remind service managers of the need to retain all recruitment paperwork for 6 months, thereafter destroy it as confidential waste. <i>This requirement will be included in an email to managers when the employee has been in post for 6 months at the stage the employee has their probation period confirmed.</i>