



# Ashfield District Council – Audit Progress Report

Audit Committee: 22<sup>nd</sup> July 2019



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## Our Vision

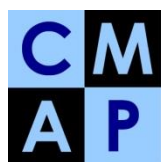
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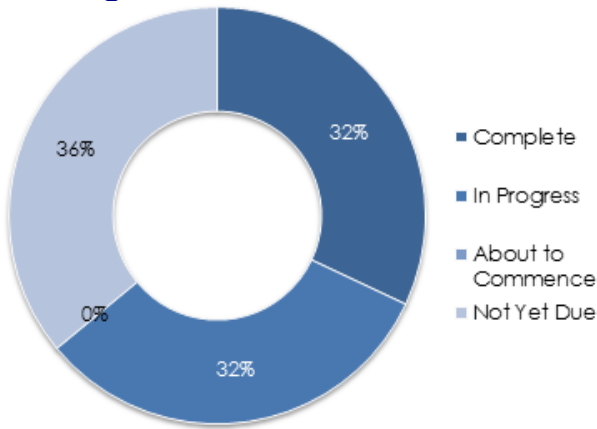


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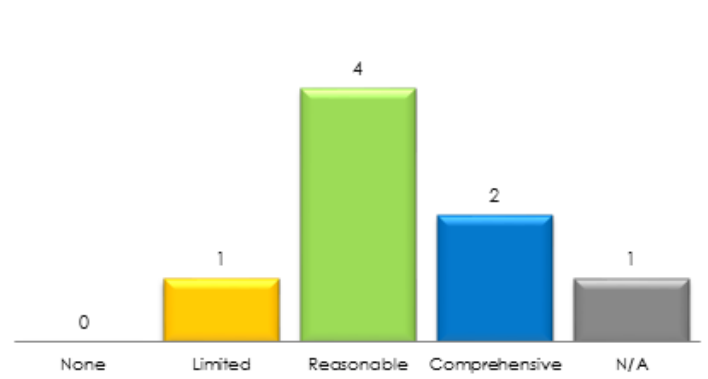
## AUDIT DASHBOARD

### Plan Progress



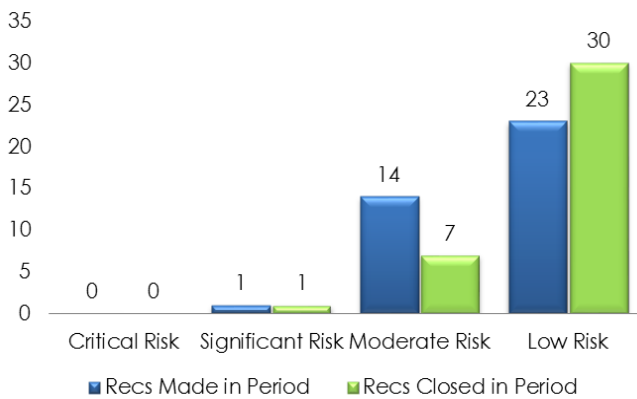
### Assurance Ratings

Control Assurance Ratings Issued During Period



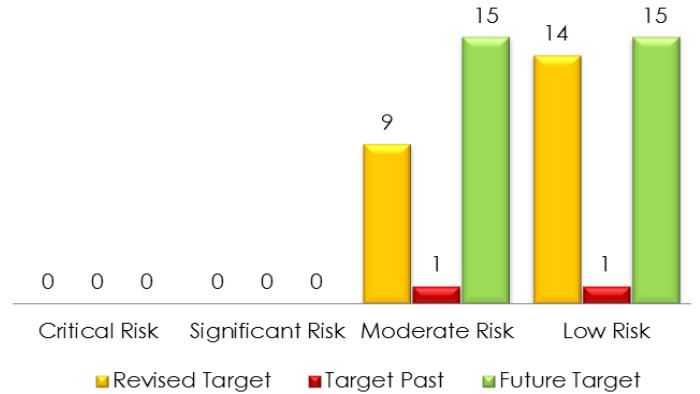
### Recommendations

Movement During Period



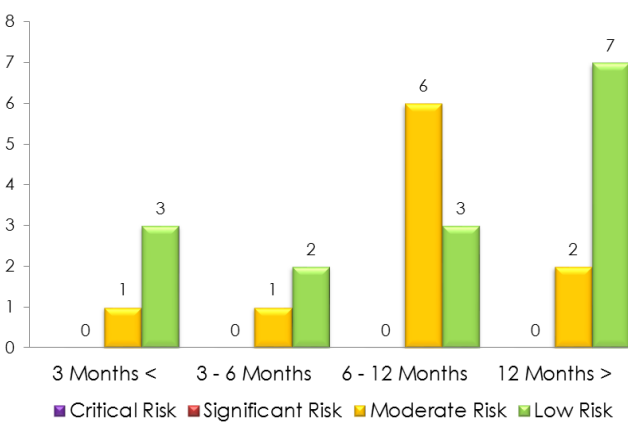
### Recommendations

Recommendations Currently Open



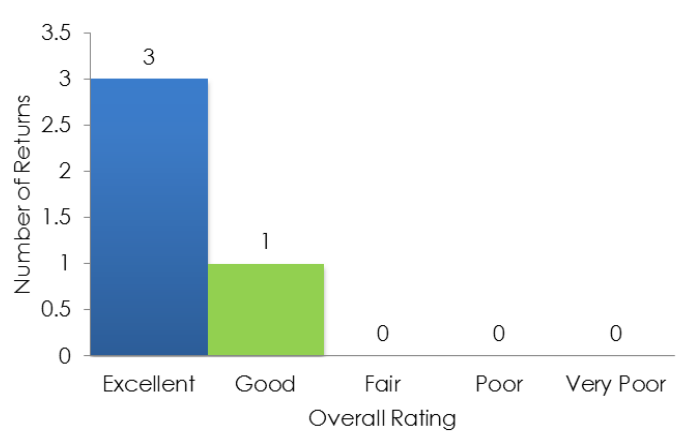
### Recommendations

Overdue Recommendations



### Customer Satisfaction

Returns Between Mar 19 & Jun 19



# Ashfield District Council – Audit Progress Report

## AUDIT PLAN

### Progress on Audit Assignments

The following table provides the Committee with information on how audit assignments were progressing as at 30<sup>th</sup> June 2019.

2019-20 Jobs	Status	% Complete	Assurance Rating
Anti-Fraud & Corruption 2019-20	Not Allocated	0%	
Information Governance	In Progress	55%	
Main Accounting Systems 2019-20	Not Allocated	0%	
Creditors (Purchase Cards) 2019-20	Not Allocated	0%	
IT Policy Compliance	Fieldwork Complete	90%	
IT Consultancy	Not Allocated	0%	
Corporate Improvement/Transformation 2019-20	Not Allocated	0%	
Data Quality & Performance Management 2019-20	In Progress	20%	
Procurement 2019-20	In Progress	40%	
Revenue Systems 2019-20	Not Allocated	0%	
Customer Services/E-Payment 2019-20	Not Allocated	0%	
People Management 2019-20	Not Allocated	0%	
Anti-Social Behaviour	In Progress	10%	
Fire Safety	Fieldwork Complete	90%	
Homelessness 2019-20	Not Allocated	0%	
Asset Management - Door Access	Fieldwork Complete	90%	
B/Fwd Jobs	Status	% Complete	Assurance Rating
Anti-Fraud	Draft Report	95%	
Universal Credit	Final Report	100%	Comprehensive
Commercial Property Investment	Final Report	100%	Reasonable
Treasury Management & Banking Services	Final Report	100%	Reasonable
Web Server Security	Final Report	100%	Reasonable
Data Protection	Final Report	100%	N/A
Safeguarding	Final Report	100%	Reasonable
Fleetwave	Final Report	100%	Limited
Council Tax & NDR	Final Report	100%	Comprehensive

### Audit Plan Changes

No changes to report.

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## AUDIT COVERAGE

### Completed Audit Assignments

Between 15<sup>th</sup> February 2019 and 8<sup>th</sup> July 2019, the following audit assignments have been finalised since the last progress update was given to the Audit Committee.

Audit Assignments Completed in Period	Assurance Rating	Recommendations Made				% Recs Closed
		Critical Risk	Significant Risk	Moderate Risk	Low Risk	
Commercial Property Management	Reasonable	0	0	4	2	0%
Universal Credit	Comprehensive	0	0	0	3	100%
Council Tax & NDR	Comprehensive	0	0	0	1	100%
Treasury Management & Banking Services	Reasonable	0	0	1	4	60%
Web Server Security	Reasonable	0	0	2	8	100%
Data Protection	N/A	0	0	1	0	100%
Safeguarding	Reasonable	0	0	2	3	20%
Fleetwave	Limited	0	1	4	2	43%
<b>TOTALS</b>		<b>0</b>	<b>1</b>	<b>14</b>	<b>23</b>	<b>58%</b>

Commercial Property Management	Assurance Rating			
	None	Limited	Reasonable	Comprehensive
<b>Control Objectives Examined</b>	<b>Controls Evaluated</b>	<b>Adequate Controls</b>	<b>Partial Controls</b>	<b>Weak Controls</b>
The portfolio of commercial investments is being adequately managed and maintained.	15	9	4	2
<b>TOTALS</b>	<b>15</b>	<b>9</b>	<b>4</b>	<b>2</b>
Summary of Weakness		Risk Rating	Agreed Action Date	
The supporting information to the Executive Decision Report did not include the calculation of the ratio of debt/market value risk.		Moderate Risk	30/09/2019	
The commercial property investment reserve was set at £400,000 without justification as to the level of the reserve held. When the Council increase the value of investment, this reserve may not be sufficient.		Low Risk	30/09/2019	
The risk that external regulations could be amended which restrict the Council's commercial property investments have not been fully reported to Members.		Moderate Risk	30/09/2019	

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The Council did not have a set of meaningful performance indicators in use on the Council's performance system.	Moderate Risk	30/09/2019
The Terms of Reference for the Commercial Investment Working Group was out of date as it included officers who no longer worked for the Council and there was no evidence of when this document was last reviewed.	Low Risk	30/09/2019
The changes in tenant's financial stability were not being formally reported to Management and Members.	Moderate Risk	31/07/2019

Universal Credit	<p style="text-align: center;"><b>Assurance Rating</b></p>			
<b>Control Objectives Examined</b>	<b>Controls Evaluated</b>	<b>Adequate Controls</b>	<b>Partial Controls</b>	<b>Weak Controls</b>
The Universal Credit Action Plan is being monitored and evidence retained on actions taken.	2	1	1	0
Training, education and awareness of Universal Credit has been delivered to stakeholders.	4	2	1	1
Progress is reported to senior management.	1	1	0	0
<b>TOTALS</b>	<b>7</b>	<b>4</b>	<b>2</b>	<b>1</b>
<b>Summary of Weakness</b>	<b>Risk Rating</b>		<b>Agreed Action Date</b>	
The Universal Credit Action Plan was not a formal document and it did not consistently record key information, such as priority ratings and completion information.	Low Risk		Implemented	
A record had not been maintained of attendees at a recent Member training exercise on Universal Credit.	Low Risk		Implemented	
Feedback from stakeholder training on Universal Credit had not been obtained and acted upon by the Service Manager, Revenues and Benefits.	Low Risk		Implemented	

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Council Tax & NDR					
Control Objectives Examined	Controls Evaluated	Adequate Controls	Partial Controls	Weak Controls	
The Council has appropriate controls over the authorisation and issue of refunds for Non Domestic Rates and Council Tax.	6	5	1	0	
The Council has processes and procedures to effectively control NDR and Council Tax write offs and that all write-offs are appropriate and necessary.	5	5	0	0	
<b>TOTALS</b>	<b>11</b>	<b>10</b>	<b>1</b>	<b>0</b>	
Summary of Weakness		Risk Rating	Agreed Action Date		
Refund batch approval sheets had not been fully completed in all Council Tax cases tested.		Low Risk	Implemented		

Treasury Management & Banking Services					
Control Objectives Examined	Controls Evaluated	Adequate Controls	Partial Controls	Weak Controls	
A Treasury Management Strategy, Policy and Procedural Guidance documents are in place.	5	3	1	1	
Treasury Management transactions are documented, approved and comply with the Council's agreed Investment Strategy. Interest and capital is received/recovered or paid/repaid in a timely manner.	5	2	3	0	
To review bank accounts to ensure that all open accounts are appropriate and necessary, and review bank statements to identify inappropriate transactions and balances.	3	2	0	1	
To review the security of the card reader and card payment system.	6	6	0	0	
<b>TOTALS</b>	<b>19</b>	<b>13</b>	<b>4</b>	<b>2</b>	
Summary of Weakness		Risk Rating	Agreed Action Date		
The Council's Audit Committee had not received Treasury Management information and		Moderate Risk	29/02/2020		

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so could not fulfil their scrutiny role, as defined in the Financial Regulations.		
Procedural guidance for processing Treasury Management transactions had out of date references to former systems and latest developments had not been included. Additionally, the Council's ICT Security Policy did not make reference to the use and retention of smart card and card readers.	Low Risk	30/09/2019
Reconciliation between Treasury movements and the general ledger was not being signed off to evidence officers involved in its production and checking.	Low Risk	Implemented
Temporary Loan Calculation sheets evidencing approval of the transactions were not present for a small number of loans taken by the Council. Where Temporary Loan Calculation sheets were present some had not been marked to evidence that cash flows had been checked prior to creating the transaction.	Low Risk	Implemented
The Council's Financial Regulations did not make reference to the use or approval of Direct Debit transactions.	Low Risk	31/05/2019 Implemented

<h2>Web Server Security</h2>	<p style="text-align: center;"><b>Assurance Rating</b></p>			
<b>Control Objectives Examined</b>	<b>Controls Evaluated</b>	<b>Adequate Controls</b>	<b>Partial Controls</b>	<b>Weak Controls</b>
Ensure the Council's website is compliant with the Web Content Accessibility Guidelines (WCAG), and free from common errors and privacy issues.	12	8	0	4
Ensure that the security and management of the CMS and hosting web server is compliant with recognised best practice.	23	14	0	9
<b>TOTALS</b>	<b>35</b>	<b>22</b>	<b>0</b>	<b>13</b>
<b>Summary of Weakness</b>		<b>Risk Rating</b>	<b>Agreed Action Date</b>	
Over 300 pages on the Council's website contained one or more spelling errors. Other errors identified included documents which had been scanned and saved with pages upside down.		Low Risk	31/03/2019 Implemented	
A significant number of broken hyperlinks existed on pages on the Council's website.		Low Risk	31/03/2019 Implemented	
There were a number of Web Content Accessibility Guidelines (WCAG) Level A compliance issues identified on pages of the Council's website.		Moderate Risk	28/06/2019 Implemented	



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The Council were not always adhering to usability.gov guidelines, specifically the use of meaningful link labels (10.1), and misleading 'cues to click' by using underlined text on a significant number of pages (10.4).	Low Risk	28/06/2019 Implemented
The CMS databases were located on the local C:\ of the web server, which did not comply with the security best practice of segregating the web server and databases onto different systems.	Low Risk	28/06/2019 Implemented
The current version of the CMS was missing 11 patch updates, and the last official update that had been applied was issued in September 2016.	Low Risk	28/06/2019 Implemented
A number of stale accounts (3 of which had not logged into the system since 2016), were still active in the CMS, raising concerns around the account management procedures in operation.	Low Risk	31/03/2019 Implemented
The current password policy for the CMS back office users, did not enforce password complexity (only a minimum password length), and passwords on a number of active accounts had not been changed since 2016, including one administrator account.	Low Risk	31/03/2019 Implemented
Access to mailboxes or distribution groups which received personal data from forms on the Council's website, had not always been appropriately restricted, including data submitted from the First 4 Support lifeline application, and the Report Community Safety Issues forms.	Low Risk	30/04/2019 Implemented
Personal contact information, including name, address, age, contact phone number, and email addresses of pupils, submitted by the work experience application form on the website, was not always encrypted in transit.	Moderate Risk	31/03/2019 Implemented

## Data Protection

Scope		
During the recent Depot Investigation we noted that a large number of Direct Debit forms had been taken off site for processing, and we had concerns around the potential for data protection breaches and the perceived lack of data protection awareness. It was agreed with the Director of Legal and Governance that Internal Audit would evaluate this situation and make recommendations, where required.		
A large quantity of Direct Debit forms that contained personal and sensitive data had been processed in employees' homes without adequate controls being in place, or guidance given, to safeguard data from theft, loss, inappropriate access and incomplete processing.	Moderate Risk	30 April 2019 Implemented

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Safeguarding					
Control Objectives Examined	Controls Evaluated	Adequate Controls	Partial Controls	Weak Controls	
The recommendations from the previous audit have been fully implemented and are working as required.	5	2	3	0	
Former AHL safeguarding process has been fully integrated with the Council's safeguarding process.	2	0	0	2	
<b>TOTALS</b>	<b>7</b>	<b>2</b>	<b>3</b>	<b>2</b>	
Summary of Weakness		Risk Rating	Agreed Action Date		
There were a small number of broken hyperlinks within the online safeguarding policy, and incorrect contact details of a key contact for safeguarding were stated within the online content.		Low Risk	30/06/2019		
Access to the safeguarding spreadsheets had not been appropriately controlled to ensure the protection of personal and sensitive data.		Moderate Risk	30/06/2019		
The statistics on referrals from all sections of the Council were not being reported and discussed at the Corporate Vulnerability and Safeguarding Group.		Moderate Risk	30/09/2019		
The Safeguarding Procedures reference guides for employees had not been included on the intranet.		Low Risk	31/05/2019 Implemented		
The Spreadsheet system for safeguarding referrals was not being used in the intended way within the Community Protection and Private Sector Enforcement sections. Multiple versions of the spreadsheets were also in use within Private Sector Enforcement.		Low Risk	30/09/2019		

Fleetwave					
Control Objectives Examined	Controls Evaluated	Adequate Controls	Partial Controls	Weak Controls	
Establish the legal basis for the hosting/operation of the Nottinghamshire Transport Consortium.	3	0	0	3	

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Review the systems access permission and ensure that appropriate restrictions apply to ADC's fleet information and officers.	1	0	0	1
Review the latest systems upgrade and ensure that systems performance is monitored by management.	5	2	1	2
<b>TOTALS</b>	<b>9</b>	<b>2</b>	<b>1</b>	<b>6</b>
Summary of Weakness		Risk Rating		Agreed Action Date
The Fleet Management contract between consortium members and the hosting company was extended without evidence of formal consultation or approval.		Low Risk		31/08/2019
The Fleet Management contract held at the Council had not been signed by all consortium members and the contract had not been seen or retained by the Council's legal section.		Moderate Risk		31/08/2019
The role and access rights of the System Administrator had not been formally set out and agreed with the consortium members. In addition, the System Administrator was providing assistance to the consortium members which were not being recharged or monitored. The System Administrator was also a single point of failure for the Council in terms of knowledge and access to the system.		Moderate Risk		31/08/2019 Implemented
Consortium wide system administrator roles existed within the Fleet Management system, which allowed officers to both view the personal data of other Councils' drivers, and also grant access to fellow employees to view the personal data of other Councils. Furthermore, the Council could not accurately determine which non-Ashfield DC officers in the consortium could view and grant access to their personal and sensitive information within Fleetwave.		Significant Risk		31/05/2019 Implemented
The upgrade for the Fleetwave system was not submitted to the Digital Services Transformation Board for consideration before it was implemented.		Moderate Risk		31/07/2019
The upgrade Agreement had been signed by the Transport and Depot Services Manager without consultation with the Council's legal section. The upgrade Agreement held by the Council had not been signed by the hosting company.		Moderate Risk		31/08/2019
There was no evidence that issues experienced and reported to the hosting company regarding the upgrade of the system had been discussed with Senior Management.		Low Risk		31/07/2019 Implemented

## Ashfield District Council – Audit Progress Report

## RECOMMENDATION TRACKING

Final Report Date	Audit Assignments with Open Recommendations	Assurance Rating	Recommendations Open		
			Action Due	Being Implemented	Future Action
14-Feb-19	Risk Registers	Reasonable	-	1	4
10-Jan-19	Depot Investigation	Limited	-	2	8
30-Jan-19	Licensing	Reasonable	-	-	1
03-Jan-19	Waste Management (Whitespace)	Reasonable	-	2	1
27-Mar-18	Rent Arrears	Comprehensive	-	-	1
27-Apr-18	Capital Accounting	Comprehensive	-	1	-
24-Apr-18	ICT Performance Management	Reasonable	-	2	-
08-Jun-18	Pest Control	Limited	-	3	-
22-Jun-18	Health & Safety	Comprehensive	-	-	1
11-Jan-18	Anti-Fraud & Corruption	Reasonable	-	3	-
09-Mar-18	Gas Safety 2017-18	Reasonable	-	1	-
02-Aug-17	Responsive Maintenance/Voids	Comprehensive	-	2	-
22-Jan-18	Development Control	Reasonable	-	1	-
28-Mar-18	ECINS Security Assessment	Limited	-	3	-
15-Jun-17	OPEN Housing IT Security Assessment	Reasonable	-	1	-
31-Oct-16	Ashfield - Main Accounting (MTFP)	Reasonable	-	1	-
25-Jun-19	Commercial Property Management	Reasonable	-	-	6
12-Mar-19	Treasury Management & Banking Services	Reasonable	-	-	2
29-Mar-19	Safeguarding	Reasonable	2	-	2
15-Mar-19	Fleetwave	Limited	-	-	4
		<b>Totals</b>	<b>2</b>	<b>23</b>	<b>30</b>

**Action Due** = The agreed actions are due, but Internal Audit has been unable to ascertain any progress information from the responsible officer.

**Being Implemented** = The original action date has now passed and the agreed actions have yet to be completed. Internal Audit has obtained status update comments from the responsible officer and a revised action date.

**Future Action** = The agreed actions are not yet due, so Internal Audit has not followed the matter up.

Audit Assignments with Recommendations Due	Action Due			Being Implemented		
	Significant Risk	Moderate Risk	Low Risk	Significant Risk	Moderate Risk	Low Risk
Risk Registers	-	-	-	-	-	1
Depot Investigation	-	-	-	-	-	2
Waste Management (Whitespace)	-	-	-	-	1	1
Capital Accounting	-	-	-	-	-	1
ICT Performance Management	-	-	-	-	2	-
Pest Control	-	-	-	-	2	1
Anti-Fraud & Corruption	-	-	-	-	-	3
Gas Safety 2017-18	-	-	-	-	1	-
Responsive Maintenance/Voids	-	-	-	-	-	2
Development Control	-	-	-	-	1	-
ECINS Security Assessment	-	-	-	-	2	1
OPEN Housing IT Security Assessment	-	-	-	-	-	1
Ashfield - Main Accounting (MTFP)	-	-	-	-	-	1
Safeguarding	-	1	1	-	-	-
<b>TOTALS</b>	<b>-</b>	<b>1</b>	<b>1</b>	<b>-</b>	<b>9</b>	<b>14</b>

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## Highlighted Recommendations

The following significant or moderate risk rated recommendations, that have not yet been implemented, are detailed for Committee's scrutiny.

### Action Due Recommendations

Safeguarding	Rec No. 2
Summary of Weakness / Recommendation	Risk Rating
<p>Access to the safeguarding spreadsheets had not been appropriately controlled to ensure the protection of personal and sensitive data.</p> <p>We recommend that access to the three safeguarding spreadsheets is reviewed and amended to ensure only relevant personnel have access and their permissions are appropriate and required for their role.</p>	Moderate Risk
Management Response/Action Details	Action Date
<p>The previous system Ecins has not being suitable to use across the organisation. Therefore, this is a new approach that is being adopted and is on trial. Action: The corporate group leads are working with Legal to ensure the new approach is GDPR compliant.</p>	30/06/2019
Status Update Comments	Revised Date

### Being Implemented Recommendations

Gas Safety	Rec No. 4
Summary of Weakness / Recommendation	Risk Rating
<p>The Senior Operations Manager has concerns that the pay grade of the Senior Technical Officer (Gas) post would not attract and retain appropriately skilled and experienced applicants should the current post holder leave.</p> <p>We recommend that management complete a formal bench marking process to ascertain how the Senior Technical Officer (Gas) post compares with comparable organisations in terms of salary and duties. The results of the benchmarking should be discussed with the Directors and Corporate Leadership Team to ensure that adequate succession planning is in place.</p>	Moderate Risk
Management Response/Action Details	Action Date
<p>I am currently investigating similar posts within other Authority's and how the current Senior Technical Officer (Gas Compliance) role compares in terms of duties, responsibilities and remuneration etc.</p> <p>Based on the current service reviews and the repair and maintenance of the Council's gas assets/appliances in Public Buildings etc. that currently fall under the Asset Management Section, I would consider that based on the specialist nature of these works, it would be prudent from a risk perspective for these to be transferred under the Senior Technical Officer (Gas Compliance), which in turn would impact on his current duties.</p> <p>Once sourced, an update will be provided to Paul Parkinson in the first instance to establish how this fits in with the broader service review and longer term succession planning.</p>	30/06/2018
Status Update Comments	Revised Date
<p>This post is part of a significant service review that will involve changes to IT, service delivery and restructures. The service review is underway but not likely to be</p>	30/06/2019

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completed for some time.

Job descriptions have been completed and are with JE panel for review, this is the start of the full restructure process.

ECINS Security Assessment	Rec No. 2
Summary of Weakness / Recommendation	Risk Rating
<p>There were no IP restrictions or two-factor authentication (2FA) process in place for Ashfield DC user access to the e-Cins system.</p> <p>We recommend that the Council raises a formal feature request for the introduction of 2-factor authentication in future releases of the system, or looks to restrict access to an authorised IP range. An acceptable usage policy should be defined for accessing the system outside the Council's private network.</p>	<b>Moderate Risk</b>
Management Response/Action Details	Action Date
<p>Police objected to this during early discussions with the Council and IT. To address these officers will be required to remote desk top into the Council's IT and access Ecins from here. Training and signing a MOU will ensure all officers understand the requirement moving forwards. To liaise with system provider to establish if there is an audit trail of IP address (these should all be one IP address).</p>	30/06/2018
Status Update Comments	Revised Date
<p>Ecins have stated that it can be done from the users action logs, however when tested this information was not available. The ECINS webpage whilst accessible to those that know the address is not accessible through any google search or similar.</p> <p>The PCC hold the contract with the service supplier and pay for the system on behalf of the County. There is a countywide Ecins meeting with the programme manager (appointed by the OPCC) as well as local meetings between ADC and the programme manager and all audit recommendations have been raised.</p>	

ECINS Security Assessment	Rec No. 10
Summary of Weakness / Recommendation	Risk Rating
<p>Current administrators of the system did not appear to have been sufficiently trained on the accessibility and whereabouts of security related reports that would need to be utilised for effective systems and security management.</p> <p>We recommend that management defines, documents and implements comprehensive security based training to all users granted organisation admin rights to allow them to effectively manage the security of the system and its users.</p>	<b>Moderate Risk</b>
Management Response/Action Details	Action Date
<p>This will be raised to the project lead (PCC office) as per audit recommendations for this to be included in training for persons with org admin rights. The Ecins lead for the Council will prepare documents with project lead for review and sign off.</p>	30/09/2018
Status Update Comments	Revised Date
<p>The PCC hold the contract with the service supplier and pay for the system on behalf of the County. There is a countywide Ecins meeting with the programme manager (appointed by the OPCC) as well as local meetings between ADC and the programme manager and all audit recommendations have been raised.</p>	



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Development Control	Rec No. 5
Summary of Weakness / Recommendation	Risk Rating
<p>Testing noted occasions where personal information had been left on planning documents published on the Council's website.</p> <p>We recommend that applications currently published on the Council's website are checked to ensure all the personal information has been redacted. Procedures should be amended to ensure that information is not placed on the website until it has been fully redacted and subjected to an independent check by a second officer.</p>	Moderate Risk
Management Response/Action Details	Action Date
<p>Four actions identified;</p> <ol style="list-style-type: none"> <li>1. Amend procedure to reflect data protection requirements.</li> <li>2. Introduce weekly random checks.</li> <li>3. Await further information from the Government on data for planning.</li> <li>4. Introduce new automated IT system to redact documents.</li> </ol>	31/08/2018
Status Update Comments	Revised Date
<ol style="list-style-type: none"> <li>1. The procedures were updated immediately to reflect data protection.</li> <li>2. Weekly random checks were introduced as soon as we received the audit report recommendation.</li> <li>3. Legal checked with ICO and confirmed PARSOL are updating its planning guidance but it hasn't been done as yet.</li> <li>4. The new system is due to be installed into test in April but will not be live till July 2019.</li> </ol>	30/07/2019

ICT Performance Management	Rec No. 1
Summary of Weakness / Recommendation	Risk Rating
<p>Despite commitment to performance management in the Councils latest Technology Strategy, we could not find any documented performance management metrics and goals to support this. Similarly, performance metrics for IT did not appear to be subject to annual review, or agreed or monitored by the Council.</p> <p>We recommend that Management defines performance management metrics for the IT service, and implements policies and procedures for monitoring and reporting compliance. Metrics, goals and targets should also be subject to annual review.</p>	Moderate Risk
Management Response/Action Details	Action Date
<p>There is a review of the ICT Helpdesk due shortly where performance metrics will be defined and agreed.</p>	01/09/2018
Status Update Comments	Revised Date
<p>A business case for new Service Desk software was taken to the DST (Digital Transformation Group), requesting approval for funding for a Service Desk solution. This Service Desk solution will enable us to gather and report performance statistics. Revised action date to end of July requested to review where the situation is then with regards to the new helpdesk which is essentially the first step in addressing the audit recommendation.</p>	31/07/2019

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ICT Performance Management	Rec No. 2
Summary of Weakness / Recommendation	Risk Rating
<p>Reviews of the team's performance in relation to the resolution of incidents and service requests did not appear to comply with a formal schedule, and evidence of previous reviews could not be provided as the actions/discussions were not documented in minutes.</p> <p>We recommend that Management defines a schedule for reviewing performance of incident and request resolution times, and ensures any agreed actions are documented in minutes which are retained.</p>	<b>Moderate Risk</b>
Management Response/Action Details	Action Date
There is a review of the ICT Helpdesk due shortly where performance metrics will be defined and agreed.	01/09/2018
Status Update Comments	Revised Date
<p>A business case for new Service Desk software was taken to the DST (Digital Transformation Group), requesting approval for funding for a Service Desk solution. This Service Desk solution will enable us to gather and report performance statistics. Revised action date to end of July requested to review where the situation is then with regards to the new helpdesk which is essentially the first step in addressing the audit recommendation.</p>	31/07/2019

Pest Control	Rec No. 2
Summary of Weakness / Recommendation	Risk Rating
<p>There was no reconciliation of expected pest control income to actual income received in the ledger.</p> <p>We recommend that a monthly reconciliation of expected pest control income to actual income received is completed, evidenced with the date and name of the compiling officer, and, subject to management scrutiny.</p>	<b>Moderate Risk</b>
Management Response/Action Details	Action Date
Monthly reconciliations will be undertaken.	31/08/2018
Status Update Comments	Revised Date
<p>Monthly reconciliations are now being undertaken, but the process is time consuming, and so improvements, through automation, were being considered.</p> <p>Audit visited the Depot and reviewed process - amendments advised to the current process to evidence date and officers undertaking and checking reconciliation, and matters concerning non-reconciling items. Awaiting evidence to demonstrate amendments have been actioned.</p>	31/08/2019

Pest Control	Rec No. 5
Summary of Weakness / Recommendation	Risk Rating
<p>There was no control of the stock on the Pest Control Vans and the use of stock per job was not recorded.</p> <p>We recommend that the van stock is formally recorded noting batch numbers etc. to ensure the Council can trace the use of stock items to particular jobs for accountability and costing purposes.</p>	<b>Moderate Risk</b>



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Management Response/Action Details	Action Date
This will be introduced with the revised stock control system, as per recommendation 4.	31/10/2018
Status Update Comments	Revised Date
It is unrealistic to measure out individual quantities per job. This risk will be tolerated as the pest control granules cannot be quantified per job. Adopting housing van stock process once pest control stock in main stores - at the time of audit visit (18 June) this was not in place, but management provided verbal confirmation that the housing van stock process would be adopted imminently.	31/10/2019

Pest Control	Rec No. 6
Summary of Weakness / Recommendation	Risk Rating
The Council had chemical waste stored in the back of an outbuilding at the Council offices and access was not limited to Pest Control Officers.	<b>Moderate Risk</b>
We recommend that Management review the security, storage and disposal of chemical waste to ensure that it is stored and disposed of appropriately.	
Management Response/Action Details	Action Date
Chemical waste will be stored at the Depot and will be securely stored until disposal.	31/08/2018
Status Update Comments	Revised Date
The Pest Control store has now been moved into the main depot stores operated by Housing. Products were moved by the Pest Control officers.	31/10/2019
Audit visited to confirm adequacy of arrangements: management were not aware of the chemical waste stored at the Council offices, and so needed to undertake further checks to ensure all PC products/by-products had been moved over. No chemical waste had been moved to the housing stores.	

Waste Management (Whitespace)	Rec No. 2
Summary of Weakness / Recommendation	Risk Rating
The Whitespace system had not been fully utilised and could be further developed to enhance the efficiency of the Pest Control service.	<b>Moderate Risk</b>
We recommend that Management explores opportunities for further development of Whitespace including Management reporting and interfacing with a CRM system in line with the Council's digital transformation programme.	
Management Response/Action Details	Action Date
Work has been done with CPIU to agree on a customer front end which will interact with Whitespace. This is dependent on the roll out of digital transformation. The depot is ready to implement with Whitespace agreed to support the API.	31/03/2019
Pest control jobs are now entered onto whitespace. The next step is to utilise the stock control function.	
Status Update Comments	Revised Date
Work has been done with CPIU to agree on a customer front end which will interact with Whitespace. This is dependent on the roll out of digital transformation. The depot is ready to implement with Whitespace agreed to support the API.	31/03/2020
Pest control jobs are now entered onto whitespace. The next step is to utilise the stock control function.	

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## STATUS OF PREVIOUS AUDIT RECOMMENDATIONS

### Recommendations Not Implemented

There were a number of Audit Recommendations that were issued and agreed prior to Ashfield District Council joining the Central Midlands Audit Partnership. One legacy recommendation remains outstanding relating to Ashfield Homes Ltd. This will continue to be monitored and details are provided below.

### Ashfield Homes Ltd – Outstanding Recommendations

Report	Recommendation	Responsible officer	Due date	Update
C Housing Maintenance 15/16-10	The full review of the in-house Schedule of Rates is given an end target date, and progress is monitored and reported to SMT.	Responsive and Voids Maintenance Manager & Support Services Manager	31/03/20	A full programme is in place to complete the review of the schedule of rates. Progress of this will be monitored through Senior Management Team Update 16/11/2016 Potentially looking at buy off the shelf paperless system and therefore changing the system altogether. Update 01/02/2017 – No further updates. Any action has been put on hold as there is a service review underway. Update 10/07/2017 – The full review of in-house Schedule of Rates is now in progress. Update 10/07/2018 - This recommendation is now tied in to a significant service review that will involve changes to IT, service delivery and restructures. As part of the service review both in-house and national Schedule of Rates are being considered. Update 28/06/2019 – The Schedule of Rates review programme stalled when the Officer allocated this work left for another department. An Administration Officer, assisted by a Technical Officer, has since picked up a lot of this work. Progress has started to increase and IT orders are being placed.