Bolsover District Council

Summary of Internal Audit Recommendations made and implemented 2018/19 – 2021/22 (at 24th January 2022)

Recommendations Made	2018/19	2019/20	2020/21	2021/22
Number of High Priority	8	0	1	1
Number of Medium Priority	41	24	20	6
Number of Low priority	85	42	32	12
Total	**134**	**66**	**53**	**19**
Recommendations Implemented	**133**	**61**	**37**	**3**
High Recommendations Outstanding	0	0	0	0
Medium Recommendations Outstanding	0	4	2	0
Low Recommendations Outstanding	1	1	2	0
Not overdue yet	0	0	12	16
Total Overdue Recommendations	1	5	4	0
Percentage due implemented	**99%**	**92%**	**90%**	**100%**

BDC Internal Audit Recommendations Outstanding

2018/19

Report Ref	Audit	Directorate	Conclusion	Recommendations			Total	Not Overdue	Overdue	Implemented
				High	Medium	Low				
B034	Premises and Personal Licences	Place	Reasonable			7	7		1L	6
Total						7	7		1	6

2019/20

Report Ref	Audit	Directorate	Conclusion	Recommendations			Total	Not Overdue	Overdue	Implemented
				High	Medium	Low				
B004	Business Continuity & Emergency Planning	Place	Reasonable		1	4	5		1M	4
B022	Members IT Equipment	People	Reasonable		3		3		3M	
B026	Transport	Place			1	4	5		1L	4
Total				0	5	8	13		5	8

2020/21

Report Ref	Audit	Directorate	Conclusion	Recommendations			Total	Not Overdue	Overdue	Implemented
				High	Medium	Low				
B001	Data Protection	Corporate Resources	Substantial			3	3	2		1
B007	CIPFA Financial Management Code	Corporate Resources	Substantial		1	2	3	2		1
B010	Social Media	Corporate Resources	Reasonable		3	1	4		2(1M 1L)	2
B014	Housing Rents	Env & Enforcement	Substantial			1	1		1L	
B018	Laptops & Removable Media	Corporate Resources	Reasonable		2	4	6	6		
B022	Network Security	Corporate Resources	Reasonable		2	1	3	2	1M	
Total				0	8	12	20	12	4	4

2021/22

Report Ref	Audit	Directorate	Conclusion	Recommendations			Total	Not Overdue	Overdue	Implemented
				High	Medium	Low				
B001	Land Charges	Strategy & Development	Substantial		1		1			1
B002	Insurance	Resources	Substantial				0			0
B003	Health & Safety	Strategy & Development	Substantial							2 Disagreed
B004	Payroll	Resources	Substantial		1	3	4	2		2
B005	Corporate Targets	Strategy & Development	Substantial			1	1	1		

Ref	Name	Department	Assurance							
B006	Partnership Working	Strategy & Development	Substantial				0			0
B007	Safeguarding	Resources	Reasonable		2	5	7	7		
B008	Creditors	Resources	Substantial				0			0
B009	Disaster Recovery	Strategy & Development	Substantial			3	3	3		
B010	30 Year HRA Business Plan	Both	Reasonable	1	2		3	3		
B011	Stores	Strategy & Development	Substantial				0			0
B012	Treasury Management	Resources	Substantial				0			0
Total				**1**	**6**	**12**	**19**	**16**	**0**	**3**

BDC Outstanding Internal Audit Recommendations as at 24th January 2022

Audit and date audit completed	Recommendation Outstanding	Priority and Original Target Date	Managers Comment
Premises and Personal Licences – March 2019	To be compliant with legislation, ensure registers of licence are available and published as soon as possible	Low December 2019	Further IT development work was completed and the registers were briefly published online. However, errors were reported which had the potential to cause a data breach. As a result, they were taken offline pending further investigation by the system supplier. Additional consultancy days have been purchased from the supplier and we are programming the work with them. We hope to have this completed by the end of the financial year.
Business Continuity – July 2019	To inform the next review of the Strategic Alliance Corporate Business Continuity Plan, service area business continuity plans are created / revisited (including key contacts) with the support of the Senior Emergency Planning Officer.	Medium April 2020	Oct 2019 BC Exercise (scenario of fuel disruption as a consequence of EU Exit). Outcome of which, Heads of Service reviewed their own business continuity arrangements and updates were made to the Priority functions spreadsheet to include whether services required fleet/own vehicle use.

Audit and date audit completed	Recommendation Outstanding	Priority and Original Target Date	Managers Comment
			Mar 2020 V3.1 interim amendment of the Business Continuity Plan and the Priority Functions Spreadsheet were issued. Aug 2021 The universal contact list was updated to include all the recent structural changes. Nov 2021 A further interim update of the Business Continuity Plan to be issued (this is currently being updated) Oct/Nov 2021 Further Business Continuity Planning work is underway (in relation to Cyber Security). SAMT have had a presentation on a case study from Redcar and Cleveland Council who suffered a severe ransomware attack in 2020, and have been sharing the impacts and lessons across the country. I am in the process of having meetings with the Assistant Directors to discuss BC arrangements and updating the plans and priority functions accordingly – aim to be in a position to have updated versions issued by end of Dec 21.

Audit and date audit completed	Recommendation Outstanding	Priority and Original Target Date	Managers Comment
Members IT Equipment – February 2020	Due to the financial risk associated with unreturned Council owned I.T. equipment and to conform to the Members ICT Charter, responsibilities for retrieving all I.T. equipment from departing Members needs to be clarified and a procedure defined e.g. escalation to senior management/Leader and/or apply charges	Medium December 2020	
Members IT Equipment – February 2020	When equipment is issued or returned, liaison with I.T. and Accountancy is required to ensure all relevant paperwork is completed e.g. device transfer forms AND all records are updated e.g. EE, Support Works and spreadsheets	Medium December 2020	
Members IT Equipment – February 2020	Members should be formally reminded to submit their equipment for a regular health check in accordance with the Members ICT Charter. Where equipment is not received on an annual basis, management should liaise with the Leaders at both Councils for following up with individual Members.	Medium December 2020	Reminders are being sent but many members have not responded. Most if not all Members are therefore working on ipads that haven't been serviced/updated for well over a year possibly 2 years.

Audit and date audit completed	Recommendation Outstanding	Priority and Original Target Date	Managers Comment
Transport – April 2020	To comply with the Goods Vehicles (Licensing of Operators) Act 1995 and to fulfil the requirements of the Traffic Commissioner, a second named contact who works closely with the Transport section, should be allocated to the Operator 'O' Licence.	Low December 2020	The Streetscene and Waste Service Managers have undertaken OCR (CPC) transport manager training. The examination was taken on the 10th December 2021, the results are awaited to confirm the achievement of the qualification and to facilitate inclusion on the Council's fleet operator licence.
Social Media – November 2020	Social media should be subject to a documented risk assessment and inclusion in the risk register with further reviews completed when relevant operational changes occur.	Medium March 2021	A discussion is needed with the new Executive Director responsible for the Risk Register to see how we add this to it.
Social Media – November 2020	The Communications Marketing and Design Manager should liaise with ICT to ensure that relevant and up to date reference is included for new starters regarding the use of social media.	Low March 2021	Discussions are taking place with ICT to have some reference to social media in the induction for new starters. This is likely to be completed by the end of January 2022.
Housing Rents – February 2021	Performance indicators in respect of Rents should be revised and implemented as soon as practical.	Low October 2021	

Audit and date audit completed	Recommendation Outstanding	Priority and Original Target Date	Managers Comment
Network Security – June 2021	All policies are reviewed and appropriately version controlled with the relevant versions added and updated on the Joint ICT Intranet site and DDDC SIDD.	Medium 30th October 2021	