

Appendix B

ASSIGNMENTS COMPLETED DURING PERIOD 1st JULY 2017 to 30th September 2017

Details of Control Issues with a risk rating of MODERATE or SIGNIFICANT

Department Name		DCC Communities & Place			
Job Name/ Assurance		Health & Safety – Limited			
REC No	Responsible Officer	Rec Rating	Control Issue	Recommendation	Management Agreed Actions
1	Head of Occupational Health & Wellbeing	Moderate Risk	The recording of accidents and incidents involved the use of the Human Resources MiPeople system. Further reliance was also placed on the HR Data Management Team to process any amendments. The system did not provide a facility to automatically pursue officers to ensure action had been taken to mitigate further risks of an accident occurring again.	We recommend management consider use of a system which allows the Health and Safety Team full management and review of accidents and incidents occurring across the Council, also incorporating an automated facility for officers to be pursued when action was required to be taken to prevent a similar occurrence happening again. Consideration of options available should include use of existing resources currently available at the Council's disposal.	Most of the issues raised are directly related to the absence of an adequate IT recording system. This is in-hand (we have the software) but now need to transfer our records and operations on to the system. This we hope to have completed by October; the delays are due solely to staff absences (illness, retirement, etc.) and the current absence of a Team Leader. All of these issues are being addressed as quickly as resources will allow.
2	Head of Occupational Health & Wellbeing	Moderate Risk	Risk assessments were completed and maintained in isolation by departmental managers. There was no automated facility to serve as a reminder when an assessment was due for review or no central system which allowed generic risk assessment information to be shared across the Council.	We recommend that management consider the use of a central system which allows risk assessments to be shared from across the Council, especially where generic information would avoid duplication. Consideration should also be given to an automated facility which flags and sends reminders to officers of risk assessment review dates, in order that reviews can be undertaken in a timely manner.	Most of the issues raised are directly related to the absence of an adequate IT recording system. This is in-hand (we have the software) but now need to transfer our records and operations on to the system. This we hope to have completed by October; the delays are due solely to staff absences (illness, retirement, etc.) and the current absence of a Team Leader. All of these issues are being addressed as quickly as resources will allow.

7	Head of Occupational Health & Wellbeing	Moderate Risk	The current process of administering, recording and managing training is a labour intensive, manual process utilising systems (MiPeople and Lagan) outside the control of the Health and Safety Team, with the completion of manual booking forms, information having to be transferred from one system to another and no automated reminder facility for mandatory refresher training.	We recommend that management consider the use of one system for managing Health and Safety training which incorporates the use of electronic information flows as much as possible i.e. training course schedule, booking forms, automatic reminders, employee training history etc. In particular, the facility to issue automatic email reminders for those officers whose mandatory training is due to expire should also be considered as part of any new approach.	Most of the issues raised are directly related to the absence of an adequate IT recording system. This is in-hand (we have the software) but now need to transfer our records and operations on to the system. This we hope to have completed by October; the delays are due solely to staff absences (illness, retirement, etc.) and the current absence of a Team Leader. All of these issues are being addressed as quickly as resources will allow.
8	Head of Occupational Health & Wellbeing	Moderate Risk	Health and Safety workplace inspections were undertaken, but there was no current facility to automatically flag when an audit or inspection was due, assign corrective actions to responsible officers on the feedback reports or follow-up on corrective action to be taken, where weaknesses had been identified.	We recommend that management should consider the use of an automated facility for the audit programme, automatically flagging up when an audit falls due. The system should allow for any corrective actions to be properly assigned to responsible officers so that email reminders can be sent when the action date falls due. The system should also facilitate documentary evidence to be uploaded and automatically track non-conformance in order that any issues can be reported to Strategic and/or Service Directors for further action to be taken.	Most of the issues raised are directly related to the absence of an adequate IT recording system. This is in-hand (we have the software) but now need to transfer our records and operations on to the system. This we hope to have completed by October; the delays are due solely to staff absences (illness, retirement, etc.) and the current absence of a Team Leader. All of these issues are being addressed as quickly as resources will allow.



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Department Name	DCC Anti-Fraud & Corruption
Job Name/ Assurance	Registrars – Limited

RECNo	Responsible Officer	Rec Rating	Control Issue	Recommendation	Management Agreed Actions
1	Head of Customer Services	Moderate Risk	There were 6 independent certificate stocks in use, which led to inadequate record keeping and a consequent difficulty or inability to track forms and certificates. There were also inconsistencies in the approach to maintaining stock records.	We recommend that Management should introduce one single stock of certificates under the control of a single officer. Small satellite stocks should be maintained by all officers involved in delivering registration services which should be subject to the same level of control as the main stock.	Agreed in principle but want input to understand process change implications. Will review single stock approach with other Registration districts Subject to Process workshop
2	Senior Registration Services Officer	Moderate Risk	There was no formal, documented procedure in place to control the use and security of birth, marriage and death certificates.	We recommend that the Registration Services Manager should ensure that all staff are aware of their responsibilities with regard to certificate stock control. A formal stock procedural guidance document should be produced that defines what stock should be included in the process, what details should be recorded, when and by whom.	Agreed. A Team meeting is scheduled for week commencing 14th August to include consideration of the Registrars guidance document. A draft will be produced by the end of August.
3	Head of Customer Services	Moderate Risk	The use of a spreadsheet as a stock record did not provide adequate control over recording stock movements.	We recommend that Registration Services introduce a physical stock register for the central stock and any satellite stocks operated by staff. These should record the details of all stock movements together with the signatures of the officer responsible for the stock movement and the officer authorising the movement. See Appendix 1 for recommended stock control proforma for the central main stock and satellite stocks.	Current process has stock control sheets for each individual stock holder. This recommendation will be reviewed as part of Recommendation 1 above.

6	Senior Registration Services Officer	Moderate Risk	There was no substantive evidence that stock checks had been carried out or had been subject to appropriate independent scrutiny.	<p>1. We recommend that a stock check of Registration Officer certificates should be carried out immediately and that the proposed system of monthly and quarterly stock checks should be introduced as soon as possible.</p> <p>2. Stock checks should be recorded on the stock record rather than a separate stock check record sheet to provide a link to the stock that has been checked.</p> <p>3. Stock checks should be performed independently of the service.</p>	<p>1. Agreed in place</p> <p>2. Agreed to be implemented</p> <p>3. Agreed. Options will be investigated to determine who is available and appropriate to conduct independent stock checks.</p>
8	Head of Customer Services	Moderate Risk	12 staff had access to the code on the key cabinet at the Council House. There was also a proposal to fit key safes at Royal Oak House and the Royal Derby Hospital which would lead to a loss of accountability for keys.	<p>1. We recommend that keys that would provide access to blank certificates should not be stored on site in a key safe.</p> <p>2. A Primary Key Holder should be nominated for each stock of certificates (main stock and any satellite stocks) This officer should have overall responsibility for the day to day security of certificates in their stock and should ensure that the keys providing access to their stock should be kept on their person at all times.</p> <p>3. Where it is known that the Primary Key Holder will be absent the key should be passed to a Secondary Key Holder who will sign to accept receipt of the key and responsibility for the stock.</p>	<p>1. At present this is not practical. Separate secure storage to be created as part of the Council House reconfiguration. Key safe to be located within this, with access restricted to authorised Registration Officers and deputies.</p> <p>2. Working towards a single secure certificate storage as part of the Council House Ground Floor Reconfiguration</p> <p>3. Agreed once a single secure certificate storage has been created as part of the Council House Ground Floor Reconfiguration.</p>



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9	Senior Registration Services Officer	Moderate Risk	Customer Management staff had access to the Registrars D and E stock at the Council House without adequate control over stock movements.	<p>1. We recommend that Customer Management staff should be allocated their own stock independent of any other Registrars stock.</p> <p>2. This should be subject to all of the controls relevant to satellite stock identified in this report including stock records with all movements documented and authorised.</p> <p>3. A Primary Key Holder should be appointed to control access to the central stock. This should be a senior officer who should be accountable for this stock.</p>	<p>1. Disagree – Customer Management staff will be deputised and sign for receipt and return of stock</p> <p>2. Agreed</p> <p>3. Agree to be implemented subject to approach to centralised stock control</p>
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Department Name		DCC Organisation & Governance			
Job Name/ Assurance		Data Quality & Performance 2016-17 - Reasonable			
REC No	Responsible Officer	Rec Rating	Control Issue	Recommendation	Management Agreed Actions
1	HR Data Manager	Moderate Risk	The reliability of sickness details within MiPeople could be called into question as absences may be incorrectly recorded.	<p>We recommend that:</p> <ul style="list-style-type: none"> Council employees are prompted on a monthly basis to ensure their sickness absence details have been accurately recorded on MiPeople for the period. Regular exercises are undertaken to improve the quality and accuracy of the data within the MiPeople system, e.g. improvements to working pattern data, bank holiday working requirements and checking of short term sickness absence. 	This has been slightly superseded by the introduction of the Firstcare absence triage service where all employees now have to contact a central number to record their absence. We have started the process of capturing work patterns to further improve the accuracy of absence data and this data will be loaded into MiPeople. The current project plan runs through until 31/3/2018

Department Name		DCC Organisation & Governance			
Job Name/ Assurance		Creditors 2017-18 (Agile Audit) - Reasonable			
REC No	Responsible Officer	Rec Rating	Control Issue	Recommendation	Management Agreed Actions
6	Head of Procurement & Contracting	Moderate Risk	There was no independent check to verify that request from suppliers to change bank account details were legitimate.	We recommend that the checks on supplier account amendments are reinstated. The checks should be evidenced by the officer performing them.	Checks on supplier account changes will be re-instated.
8	Head of Procurement & Contracting	Moderate Risk	In the absence of the Accounts Payable Manager, invoices rejected as part of the indexing processes are not being reviewed / dealt with and the facility to make bulk bank account changes was lost.	Invoices rejected as part of the invoicing process should be reviewed on a daily basis, in the absence of the Accounts Payable Manager (who normally undertakes the review), should be identified to undertake the duty. With the necessary training being supplied as required.	Individual responsibilities will be reviewed as part of the re-organisation of the AP section ensuring that all activities can be undertaken by more than one officer.

Department Name	DCC Organisation & Governance
Job Name/ Assurance	People Management 2016-17 - Reasonable

REC No	Responsible Officer	Rec Rating	Control Issue	Recommendation	Management Agreed Actions
5	ICT Client Services Manager	Moderate Risk	Requests to delete leavers IT access were not being forwarded to IT services in a timely manner, resulting in IT accounts remaining active for longer than 12 months in some cases. Also, no checks were being undertaken to ensure that all leavers' IT accounts had been removed or suspended where appropriate.	We recommend that a report of leavers is issued to IT by HR on a regular basis, and requests should be raised with relevant managers to process removal of leaver's accounts that are found to be still active. Periodic checks should be introduced to ensure that leavers IT accounts were appropriately removed or suspended. Managers across the authority should be reminded of the current policy and possible disciplinary outcome if the Council's Information Security policy is breached	Managers to be reminded that they are to complete the ICT leavers form as found on iDerby. The Network Security Officer to produce monthly reports of AD accounts not accessed over 90 days. HR sending monthly leavers' report which are to be actioned initially by the Client Team but this may change once the Restructure has been completed within ICT.
7	HR Shared Services Manager	Moderate Risk	Electronic record of vacant posts was inconsistent with the information provided by HR. Posts made redundant or transferred remained in the system as vacant. New engagements had been commenced to posts which were previously made redundant.	We recommend that MiPeople information should be updated promptly and accurately. Redundant and transferred posts should be removed from establishments to prevent commencement of recruitment to non-budgeted roles. Pending the improvement to electronic process, consideration should be given to periodic establishment control checks conducted by HR to ensure that numbers of filled and unfilled vacancies are recorded correctly.	A review is underway to identify and delete redundant posts from the MiPeople payroll system to prevent them being re-used by the payroll teams. We are also exploring the possibility of putting budgeted hours against each unit to control this in the future, as well as removing grade data to prevent payment being made if any post were re-used.