Appendix C

ORIGINAL ACTION DATE EXCEEDED BY **OVER 12 MONTHS**

Department Name: Organisation & Governance

Directorate	DCC Organisation & Governance			
Job Name	**Creditors 2015-16**			
Risk Rating	Moderate Risk			
Rec No	1			
Responsible Officer	Accounts Payable Manager			
Control Issue	Recommendation	Action Date	Revised Action Date	Status Update Comments
Accounts Payable Section was no longer able to undertake regular checks to highlight duplicate payments. Reliance was being placed on the budget monitoring work of Accountancy to highlight potential duplicate payments.	We recommend that a more formal structured approach is taken to the identification and investigation of potential duplicate payments. The report currently produced by Oracle Admin should be examined by Accounts Payable and each line should be examined and investigated and action taken where necessary to recover the payment. All investigations should be evidenced and retained by Accounts Payable.	01/09/2016	01/04/2018	The duplicates report was not being run as of 8/12/17 but is planned to be reinstated from 1/4/18 when a restructure of the team will take place and this task will be reallocated.

Directorate	DCC Organisation & Governance			
Job Name	**ICT Asset Management**			
Risk Rating	Moderate Risk			
Rec No	1			
Responsible Officer	Head of Client Services			
Control Issue	Recommendation	Action Date	Revised Action Date	Status Update Comments
It was possible to synchronise an @derby.gov.uk mailbox to an Android device with no PIN or Password configured. Further investigations showed all users were subject to the 'Default' ActiveSync policy which allowed devices that did not meet password/encryption requirements to still synchronise their email to their smartphone.	We recommend that management reviews the implications of only permitting devices that meet security policies to synchronise their Council mailbox.	30/12/2016	31/01/2018	Update 02112017: A solution based on Microsoft Intune has been procured via CDW. The primary objective of this project is to ensure that only authenticated devices such as mobiles and tablets, which are not otherwise domain-joined and managed by group policies, are managed. The low level design workshop is Scheduled for the 13th Nov. Solution build and testing is scheduled for 1st week in December User testing will take most of the rest of December Anticipated rollout to all mobile devices that need access to corporate email Jan 2018 (this will include Corporate managed and personal BYOD phones across Android, IOS and Windows platforms)

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Directorate	DCC Organisation & Governance			
Job Name	**Configuration Management**			
Risk Rating	Moderate Risk			
Rec No	1, 4			
Responsible Officer	ICT Client Services Manager			
Control Issue	Recommendation	Action Date	Revised Action Date	Status Update Comments
There were no formally defined or documented requirements around configuration management data scope, span or granularity. Without formally defining and documenting requirements around data capture and maintenance within a CMDB (Configuration Management Database), there is no platform on which to identify defects, data quality issues and non-compliance problems.	We recommend that management looks to formally define and document configuration management requirements, including relevant scope, span and granularity.	31/12/2015	31/01/2018	update 09/11/2017: The actions regarding this recommendation all form part of the response for Recommendation 4. Update to be provided 31 January 2018 --action taken revised to the end of Jan 2018
There were no formally defined, documented or implemented procedures for auditing and verifying the accuracy of data within the CMDB. Documented audit and verification procedures are crucial to validate and improve the accuracy and completeness of the CMDB, to ensure timely and accurate data is available for resolving IT incidents and considering changes.	We recommend that management looks to formally define, document and implement formal audit and validation procedures to verify the accuracy of data held within the CMDB. At minimum the basic procedures should be documented: Frequency of CMDB audits. Procedures for selecting an auditable sample. Criteria to be used to determine sample data accuracy. Procedures for handling discrepancies discovered in audits. Procedures for reporting on audit outcomes. Follow up audit procedures and handling of repeated failures.	31/12/2015	31/01/2018	update 10/11/2017: This action is currently being reviewed with the Infrastructure Team, the existing database requires some modifications and a decision on what information fields are updated. Update to be provided 31 January 2018.

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Directorate	DCC Organisation & Governance			
Job Name	**Wireless Network Infrastructure**			
Risk Rating	Moderate Risk			
Rec No	7			
Responsible Officer	Head of Client Services			
Control Issue	Recommendation	Action Date	Revised Action Date	Status Update Comments
Security vulnerabilities identified in penetration scans undertaken by the third party security consultancy had not been addressed.	We recommendation that remedial work is undertaken to address the significant security vulnerabilities identified in the third party security consultancy wireless penetration tests.	01/04/2016	30/04/2018	Update 07/12/2017: Work has continued to provide this remediation which has involved creating an alternative connectivity (device.wifi) method. This forms part of the final solution. The secondary element is the introduction of an always on connection (VPN) which further secures the traffic. At present discussions are underway on what VPN solution provider is the best fit and an expected decision will be made January 2018. Once the decision has been finalised the procurement exercise will then need to take place. Therefore we expect the project to replacedthe VPN to commence early March with an estimated completion of early April. It is important to note that WiFi is not insecure but current government recommendations are that VPN is used over WiFi. Action revised to end of April 2018

Directorate	DCC Organisation & Governance			
Job Name	**Payroll 2015-16**			
Risk Rating	Moderate Risk			
Rec No	2			
Responsible Officer	Senior Health & Safety Advisor			
Control Issue	Recommendation	Action Date	Revised Action Date	Status Update Comments
Managers had not been consistently carrying out checks on MOT certificates, driving licences or insurances which contributed to ensuring that officers met the legally required driving standards.	We recommend that managers be reminded on a regular basis of the checks required to ensure that drivers are legally entitled to drive for work.	31/10/16	31/12/2017	Work was progressing in the summer but the responsible officer has been on long term sick and is just back at work. Date extended due to staffing changes within team - new policy and guidance due for issue shortly.

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Department Name: Communities and Place

Directorate	DCC Communities & Place			
Job Name	**Asset Management & Estates**			
Risk Rating	Significant Risk			
Rec No	1			
Responsible Officer	Head of Strategic Asset Management and Estates			
Control Issue	Recommendation	Action Date	Revised Action Date	Status Update Comments
The asset list submitted for insurance did not reflect asset transactions undertaken outside of the Estates Section. The SAM system had not been updated as there was no process for notifying Estates of these changes	We recommend that the Estates Section in conjunction with Corporate Asset Management Group devise formal procedural guidelines requiring Council departments to notify Estates Section of their property transactions.	01/09/2015	31/03/2018	The revised Corporate Landlord Policy and Procedure is at draft stage and is being reviewed. This will enforce all property transactions to be approved by the Head of Strategic Asset management and estates and will ensure that transactions do not take place outside of the SAM system. There will be some system updates required to allow for full automation of notifications between the various key teams (legal, maintenance, insurance, capital accounts) which will enhance the information flow between teams. Date extended due to waiting for the implementation of the SAM/RAM interface.

Directorate	DCC Communities & Place			
Job Name	**Markets**			
Risk Rating	Moderate Risk			
Rec No	4			
Responsible Officer	Markets Officer			
Control Issue	Recommendation	Action Date	Revised Action Date	Status Update Comments
There was no approved Council policy in place for offering concessions on rental charges to market stall traders in the Council's three markets.	We recommend that an approved Council policy is established which details the concessions that can be offered to market stall traders and which determines the criteria that traders must meet in order to obtain the concession. This would ensure that a fair, transparent and consistent approach is undertaken in awarding concessions to traders.	01/01/2014	28/02/2018	With only the Market Hall left following transfer of Eagle Market to INTU and closure of the Cattle and Wholesale Markets, it is anticipated that it will be far easier to establish a concessionary model for the Market Hall, especially as leases are shortly due for renewal. It is proposed to establish a Markets Stall Holders Leaflet which it is intended will contain details on any future concessionary model.

ORIGINAL ACTION DATE EXCEEDED BY OVER **6 to 12 MONTHS**

Department Name: Organisation & Governance

Directorate	DCC Organisation & Governance			
Job Name	**Active Directory**			
Risk Rating	Moderate Risk			
Rec No	9			
Responsible Officer	Head of Client Services			
Control Issue	Recommendation	Action Date	Revised Action Date	Status Update Comments
There were 4 enabled devices in the DerbyAD, all of which had been in recent use, running Windows XP operating systems and 8 servers running Windows 2003 Server operating systems, both of which are no longer supported by Microsoft. Unsupported operating systems on computers and servers joined to the DerbyAD domain provide a security weakness, as newly discovered vulnerabilities are not patched by Microsoft.	We recommend that management looks to upgrade any unsupported operating systems on devices enabled in the DerbyAD domain, to supported levels.	10/03/2017	31/12/2017	XP and server 2003 machines. We still have 1 XP machine and 5 server 2003 machines. The project to replace the XP machine is well underway and should be complete by October. The 3 HR archive servers running on server 2003 still exist but isolated behind firewalls.. The project to replace the abacus 2003 server failed to deliver the wanted results, so a re-plan is needed. We do install AVG professional anti-virus software to ensure these servers are protected as much as possible.

Directorate	DCC Organisation & Governance			
Job Name	**Creditors 2017-18 (Agile Audit)**			
Risk Rating	Moderate Risk			
Rec No	6, 8			
Responsible Officer	Head of Procurement and Contracting			
Control Issue	Recommendation	Action Date	Revised Action Date	Status Update Comments
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.	01/08/2017	31/03/2018	
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.	01/08/2017	31/03/2018	

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Directorate	DCC Organisation & Governance			
Job Name	**MiPeople Application Audit**			
Risk Rating	Moderate Risk			
Rec No	3			
Responsible Officer	HR Shared Services Manager			
Control Issue	Recommendation	Action Date	Revised Action Date	Status Update Comments
The Council did not have effective plans in operation for unexpected termination of the contract with the Provider (e.g. company goes out of business or the Council experiences unsatisfactory performance or costs).	We recommend that management documents a plan indicating how the Council would bring functions back in-house (or migrate to another supplier) if necessary.	28/02/2017	12/01/2018	We are exploring how easy it is for someone in Procurement to check the financial position of MHR (the provider) so we have an early warning system of company financial problems but also looking to re-negotiate the terms of the contract through an early extension so we could discuss this with the provider at the same time

Department Name: People Services

Directorate	DCC People Services			
Job Name	**Business Intelligence**			
Risk Rating	Moderate Risk			
Rec No	4			
Responsible Officer	Acting Head of Integrated Commissioning			
Control Issue	Recommendation	Action Date	Revised Action Date	Status Update Comments
Quality assurance information was not being recorded on the ContrOCC system and the Organisational Safeguarding Module on the LAS system had yet to be implemented.	We recommend that the Head of Business Intelligence investigates the possibility of recording information on quality assurance, relating to both Home Care and Residential Service Providers, on the ContrOCC system to enable formal reporting and greater awareness of issues within the Council. Furthermore, consideration should be given to implementing the Organisational Safeguarding Module on the LAS system to enable system alerts to be sent to the Assessment Teams, against all customers receiving services from a particular Service Provider where potential issues had been identified.	31/07/2017	02/10/2017	ContrOCC v10 and LAS v8 was successfully installed on 14 July 2017, including functionality for recording Organisation Safeguarding. This has been tested, and issues found have been corrected. Configuration was completed early in October and the module went live w/c 16 Oct 2017.

Awaiting response due from Care Quality and Brokerage Team recording information on quality assurance, relating to both Home Care and Residential Service Providers, on the ContrOCC system. |

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Directorate	DCC People Services			
Job Name	**Public Health - Pooled Budgets**			
Risk Rating	Moderate Risk			
Rec No	1, 2			
Responsible Officer	Service Director - Integration and Director Services			
Control Issue	Recommendation	Action Date	Revised Action Date	Status Update Comments
Although the terms of reference for the Partnership Board and the joint finance and performance sub-group had been drafted, the group had not been established to support the Partnership Board in accordance with the Section 75 Agreement.	We recommend that as suggested at the September meeting, the Partnership Board, (namely the People Commissioning Board,) should review its terms of reference and formulate the joint finance and performance sub-group. Schedule 2 of the Section 75 agreement should be updated and duly signed and approved by all partners.	31/05/2017	29/12/2017	We will no longer be establishing a Derby City finance and performance group – but will be joining the County Council's group (and have started to attend). Again, this will be referenced in the revised s75 agreement. Revised date - 30th September 2017.
The risk management arrangements in place for the administration and delivery of the Better Care Fund were inadequate.	We recommend that a risk assessment and risk management arrangements are immediately reviewed and an agreed approach to financial risk sharing and contingency are properly recorded as an integral part of the section 75 agreement. We suggest that a Better Care Fund Risk register be devised that is subject to a timely annual review and update.	31/05/2017	29/12/2017	The planning requirements for the BCF have only just been released from Department of Health and therefore the process of drafting the s75 agreement with health has only just begun (which will include the risk register) – this is not due to be completed until September – revised date would be 30th September 17. The financial risks for the Council in relation to BCF I believe are in the People's risk register already.

Department Name: Communities and Place

Directorate	DCC Communities & Place			
Job Name	**Commercial Rents**			
Risk Rating	Moderate Risk			
Rec No	1, 11			
Responsible Officer	Head of Strategic Asset Management and Estates			
Control Issue	Recommendation	Action Date	Revised Action Date	Status Update Comments
The Council did not have a policy for the application of rent free periods and other incentives to tenant properties.	We recommend that the Estates Section introduces a Free Rents and other Incentives policy to ensure that these are more consistently applied. The policy should cover how these are calculated so that costs and benefits are methodically analysed, a section of the duration of free rent periods, how these are approved and by whom and how they might be advertised to attract new tenants and re-let empty properties.	30/04/2017	31/12/2017	Appointment of new Estates Manager fell through and post is being re-advertised with a planned interview date of 11/12 May 2017.

Estates Manager start date expected to be 17/7/17. |
| There was no documented process or procedural guidance available for the valuation of properties and subsequent calculation of rents. | We recommend that process notes or procedural guidance for the valuation or properties and subsequent calculation of rents are documented. | 30/04/2017 | 31/12/2017 | Appointment of new Estates Manager fell through and post is being re-advertised with a planned interview date of 11/12 May 2017.

Estates Manager start date expected to be 17/7/17. |

Directorate	DCC Communities & Place			
Job Name	**External Funding**			
Risk Rating	Moderate Risk			
Rec No	3			
Responsible Officer	Principal Accountant			
Control Issue	Recommendation	Action Date	Revised Action Date	Status Update Comments
The methodology for calculating and monitoring loan repayments and producing the Derby Enterprise Growth Fund cash flow statement was complex, convoluted and time intensive involving a number of spreadsheets with interdependencies that were prone to human error.	We recommend that the methodology for updating the Derby Enterprise Growth Fund cash flow spreadsheet should be reviewed and simplified to make it less time consuming and less prone to human error. We suggest that the Finance and Regeneration teams work in consultation, with the view to sourcing a multifunctional system that would generate an updated cash flow statement.	31/07/2017	28/02/2018	Response 11/11/18 - The Accountant and the RGF Programme Monitoring Officer have both reviewed the information within the cashflow to identify the elements they each use and need and which information is not required. The RGF Programme Monitoring Officer is in the process of simplifying the cashflow in consultation with Accountancy. The cashflow includes a change control tab. Once the cashflow has been simplified Accountant will formalise the reconciliation process and include a change control tab which will show whether the list of changes agrees to those input in the cashflow.

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Anti-Fraud & Corruption

Directorate	DCC Anti-Fraud & Corruption			
Job Name	**Purchase Cards**			
Risk Rating	Moderate Risk			
Rec No	1, 6			
Responsible Officer	Procurement Category Manager			
Control Issue	Recommendation	Action Date	Revised Action Date	Status Update Comments
The Procurement Card Policy was still in draft and as such had not been published.	We recommend that an appropriate, consistent Council-wide policy be established as a guide for the issue and operation of the purchase card scheme and for taking disciplinary actions with respect to cardholders who make or approve inadvertent, fraudulent, improper, or abusive credit card transactions. Corporate credit card abuse should also be included in the Council's Anti-fraud and Corruption Strategy and cardholders must be made aware of the consequences of abuse.	01/04/2017	30/11/2017	The draft policy has been updated and approval will be sought from relevant channels. 26-10-17: Awaiting policy approval. Action Date revised.
Transactions logs were not always submitted promptly to Accountancy, to enable expenditure posted to the miscellaneous budget code on the General Ledger to be reallocated appropriately.	We recommend that management enforces the user guide instruction for the prompt submission of transaction logs to Accountancy to enable proper coding of expenditure.	01/04/2017	30/11/2017	Transactions will need to be submitted online in accordance with the new policy. Any late, incomplete transaction logs will result in suspension or removal of cards and follow up actions. 03-10-17: Users are expected to use the system in October and training webinars were offered. Reminders will be issued, and repeated if any old form submission are received. In November, all old form submissions will be rejected and sent back to submitters, and any non respondents from October chased in line with new procedure. 26-10-17: Awaiting policy approval. Action Date revised.

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ORIGINAL ACTION DATE EXCEEDED BY OVER **3 to 6 MONTHS**

Department Name: Organisation & Governance

Directorate	DCC Organisation & Governance			
Job Name	**ICT Asset Management**			
Risk Rating	Moderate Risk			
Rec No	2, 9			
Responsible Officer	ICT Client Services Manager			
Control Issue	Recommendation	Action Date	Revised Action Date	Status Update Comments
Access to the key which was used to unlock the IT stockroom in the Council House basement was openly accessible to everyone in the department, as the PIN to the key safe was known by all ICT employees.	We recommend that management looks to restrict access to the key to the IT stockroom in the Council House basement to only an authorised and limited set of users. Reviewing the deployment of CCTV in the stock room should also be considered.	31/08/2017	31/12/2017	update 09/11/2017: This is still outstanding. Action to be taken before 31 December 2108 to install a network point for a card reader to be installed on the storeroom door used by IT. action taken revised action date to end of dec 2017
In over 800 instances, devices were not being accurately tracked in Provance, as their lifecycle status was recorded as 'NULL'. In another 127 cases, devices that had recent login activity within the Derbyad.net domain within a week of the Provance report being exported were listed as either disposed, retired or stored, raising concerns around the reliability and accuracy of the data.	We recommend that management reviews the processes for maintaining the accuracy and integrity of each assets lifecycle status.	31/08/2017	31/12/2017	update 09/11/2017: This is in the process of being updated and will be completed by 31 December2017. action taken revised action date to 31/12/2017

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Department Name: People Services

Directorate	DCC People Services			
Job Name	**Independent Living Funds**			
Risk Rating	Moderate Risk			
Rec No	10			
Responsible Officer	Service Director - Adults and Health			
Control Issue	Recommendation	Action Date	Revised Action Date	Status Update Comments
3 LAS Liquid Logic system users who required a DBS check under Council Policy did not have evidence of a check having been undertaken.	We recommend that the Council ensures that the 3 LAS Liquid Logic users confirmed as not having had a recent DBS check are promptly checked and that access is revoked in the event of an unfavourable DBS result.	31/10/2017		

Directorate	DCC People Services			
Job Name	**Business Intelligence**			
Risk Rating	Moderate Risk			
Rec No	5			
Responsible Officer	Head of Community Support			
Control Issue	Recommendation	Action Date	Revised Action Date	Status Update Comments
Care Plans, and the subsequent care packages, were not being reviewed on a timely basis.	We recommend that the Head of Community Support take action to reduce waiting lists on reviews to an acceptable level, in line with the statutory requirements of the Care Act. Thereafter, sufficient control(s) should be put in place to maintain a sustained reviewing programme with priority around reviews embedded into to programme going forward.	05/09/2017	01/04/2018	Funding for the reviewing team has been extended until March 2018, so the action will be that the team will continue until then. By which time a structured approach should be in place to maintain a sustained reviewing programme going forward.

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Department Name: Communities and Place

Directorate	DCC Communities & Place			
Job Name	**Health & Safety**			
Risk Rating	Moderate Risk			
Rec No	1, 2, 7, 8			
Responsible Officer	Head of Occupational Health and Wellbeing			
Control Issue	Recommendation	Action Date	Revised Action Date	Status Update Comments
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.	31/10/2017	31/03/2018	Following on from the audit of Corporate Health and Safety I can confirm that work is now in progress to implement the IT system (to which the audit recommendations are all linked). The first phase of implementation (service requests and accident notifications) will be in place by the end of this month; the other elements (inspections and audits, risk scoring, training, etc.) will all be in place by the end of March 2018.
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.	31/10/2017	31/03/2018	Following on from the audit of Corporate Health and Safety I can confirm that work is now in progress to implement the IT system (to which the audit recommendations are all linked). The first phase of implementation (service requests and accident notifications) will be in place by the end of this month; the other elements (inspections and audits, risk scoring, training, etc.) will all be in place by the end of March 2018.
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.	31/10/2017	31/03/2018	Following on from the audit of Corporate Health and Safety I can confirm that work is now in progress to implement the IT system (to which the audit recommendations are all linked). The first phase of implementation (service requests and accident notifications) will be in place by the end of this month; the other elements (inspections and audits, risk scoring, training, etc.) will all be in place by the end of March 2018.

Control Issue	Recommendation	Action Date	Revised Action Date	Status Update Comments
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.	31/10/2017	31/03/2018	Following on from the audit of Corporate Health and Safety I can confirm that work is now in progress to implement the IT system (to which the audit recommendations are all linked). The first phase of implementation (service requests and accident notifications) will be in place by the end of this month; the other elements (inspections and audits, risk scoring, training, etc.) will all be in place by the end of March 2018. An update with regards to recommendation nos 1&3 we are in the process of implementing the IT system we informed you of. We were hoping that we would have the first stage in by the end of October, but we are just waiting for IT to get back to us as we have submitted our Gateway 1 to the IT board. (Which I believe is today) Once we have that approved one of the H&S team is lined up ready to work with IT, who are also prepared, so that we can implement it as soon as possible.

Anti-Fraud & Corruption

Directorate	DCC Anti-Fraud & Corruption			
Job Name	Purchase Cards			
Risk Rating	Moderate Risk			
Rec No	7			
Responsible Officer	Procurement Category Manager			
Control Issue	Recommendation	Action Date	Revised Action Date	Status Update Comments
There were inconsistencies in the retention of receipts to validate expenditure and not all transaction logs had been authorised.	We recommend that management expedite the introduction of the on-line transaction and approval process (MasterCard Smart Data) within the Council to ensure the efficient approval and processing of purchase card transactions. Detailed guidance notes and training should be provided to cardholders and their line managers.	01/10/2017	30/11/2017	03-10-17: Online transaction and approval is being used from October so this should address the problem. Everyone has been instructed we will only accept submissions and approval via the online route for November, but we do expect few if any old form submissions in October. 26-10-17: Awaiting policy approval. Action Date revised.

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Directorate	DCC Anti-Fraud & Corruption			
Job Name	Probity audits - Shine			
Risk Rating	Moderate Risk			
Rec No	11			
Responsible Officer	Children's Integrated Services Assistant Manager			
Control Issue	Recommendation	Action Date	Revised Action Date	Status Update Comments
A record of resident's property was not in place.	We recommend that a property receipt book is maintained to show all property residents have brought with them to Shine. This could inform the inventory records and the reconciliation to physical items held at Shine.	22/09/2017	31/12/2017	As with recommendation 13, the application of this process by the team remains inconsistent, however, this remains a priority area for myself as the Homes Manager and will be addressed in individual staff MIPs and supervisions. It will be made clear to all staff that this is a safeguarding requirement under financial regulations as well as being detailed in the Children's Homes Regulations 2015 (Care and Control.)

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Directorate	DCC Anti-Fraud & Corruption			
Job Name	**Registrars**			
Risk Rating	Moderate Risk			
Rec No	2, 8, 9			
Responsible Officer	Senior Registration Services Officer			
Control Issue	Recommendation	Action Date	Revised Action Date	Status Update Comments
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.	1. We recommend that keys that would provide access to blank certificates should not be stored on site in a key safe. 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. 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.	31/10/2017		
Customer Management staff had access to the Registrars D and E stock at the Council House without adequate control over stock movements.	1. We recommend that Customer Management staff should be allocated their own stock independent of any other Registrars stock. 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. 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.	31/10/2017		
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.	31/08/2017	31/10/2017	All staff are well aware of their responsibilities with regard to stock handling and control. All are aware of the guidance available on the GRO registrar's website. The staff meeting was delayed due to other operational issues arising. We are still in the process of constructing a more formal stock guidance document. I would hope to have this in place by the end of October."

ORIGINAL ACTION DATE EXCEEDED BY UP TO **3 MONTHS**

Department Name: Organisation & Governance

Directorate	DCC Organisation & Governance			
Job Name	**Capital Contracts**			
Risk Rating	Moderate Risk			
Rec No	3, 4			
Responsible Officer	Maintenance Programme Manager			
Control Issue	Recommendation	Action Date	Revised Action Date	Status Update Comments
Payments for variations were not identifiable as they had not been itemised on some of the valuation certificates, which showed only the gross value.	We recommend that Project Managers are reminded that variation payments should be itemised on the valuation certificates for all future contracts.	03/11/2017		
Set controls for authorising variations to contract were not adhered to on the Milestone House contract.	We recommend that Project Managers should ensure that all variations to contract are approved and recorded. Reliance should not be placed on the Contractors records.	03/11/2017		

Directorate	DCC Organisation & Governance			
Job Name	People Management 2016-17			
Risk Rating	Moderate Risk			
Rec No	5, 7			
Responsible Officer	HR Shared Services Manager			
Control Issue	Recommendation	Action Date	Revised Action Date	Status Update Comments
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 recommencement 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.	31/12/2017		
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	31/12/2017		

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Department Name: People Services

Directorate	DCC People Services			
Job Name	**Statement of Educational Needs & Disability (SEND) School Payments**			
Risk Rating	Moderate Risk			
Rec No	4			
Responsible Officer	Interim 0-25 VLS Services Manager			
Control Issue	Recommendation	Action Date	Revised Action Date	Status Update Comments
The process for accounting for the adjustments to the special education needs funding arrangements for schools with Enhanced Resources Facility and Special Schools was convoluted and only updated termly which was inconsistent with the requirements of the month end accounting timetable.	We recommend that the process for updating Oracle is reviewed for efficiency and that the adjustments to special education needs provision funding arrangements are properly accounted for in a timely manner. This will help to ensure more relevant and up to date accounting for budget monitoring purposes and the quality of financial reporting.	19/12/2017		

Directorate	DCC People Services			
Job Name	**Integrated Commissioning**			
Risk Rating	Moderate Risk			
Rec No	1			
Responsible Officer	Commissioning Manager			
Control Issue	Recommendation	Action Date	Revised Action Date	Status Update Comments
There was no evidence on file to indicate that the use of existing Council resources had been considered and/or utilised in all the cases we reviewed. Internal Council resources could be used as a means of providing support to families with complex issues, and could prove to be a less costly alternative than utilising external, third party services.	We recommend that officers involved in the Priority Families programme are reminded to evidence that they have considered the use of existing in-house Council resources in the respective case files. This would demonstrate that the use of internal resources has been considered for each Priority Family case being worked, as use of these resources may prove beneficial if it prevents children being placed in expensive residential accommodation at a later date.	30/11/2017		

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Anti-Fraud & Corruption

Directorate	DCC Anti-Fraud & Corruption			
Job Name	**Probity Audit Cash Count - Derby Arena**			
Risk Rating	Moderate Risk			
Rec No	1, 2, 5, 6, 7			
Responsible Officer	Health and Fitness Manager			
Control Issue	Recommendation	Action Date	Revised Action Date	Status Update Comments
A record was not being maintained of the counting and / or handover of the till float operated by Derby Live.	We recommend that, to comply with the Council's Cash Handling Policy, a float handover record (similar that used by Derby Arena) should be used to record the makeup of the till float and signatures of officers involved each time the float is taken from or placed in the safe.	30/11/2017		
Auditors were allowed to enter restricted parts of the Arena and given access to cash without being asked for identification.	We recommend that Arena staff are reminded to confirm the identity of anyone seeking admittance to restricted parts of the Arena. For anyone seeking access to cash there should be an independent verification of identity by a senior officer.	30/11/2017		
Petty cash purchases had been made using the change / events float.	If a petty cash is required, we recommend that an imprest account is requested and operated in accordance with the Councils Petty Cash and Imprest Accounts Policy.	30/11/2017		
The number of safe keys available on site exceeded the limits prescribed in the Council's Cash Handling Policy.	We recommend that, in accordance with the Council's Cash handling Policy, there should only be two safe keys for each safe, one should be available on site and the second, spare key, should be retained offsite for use in emergencies only.	30/11/2017		
When counting, unsealed bags of coins were assumed as containing the banking amount associated with the coin denomination, without counting the actual coins.No record of the change / events float was maintained to record counting and / or handover.	We recommend that when counting cash, any coin bag that is not sealed should be counted in full. We also recommend that, to comply with the Council's Cash Handling Policy, a float handover record (similar that used by Derby Arena) should be used to record the make-up of the change / events float and signatures of officers involved each time responsibility for the safe key is transferred.	30/11/2017		

Directorate	DCC Anti-Fraud & Corruption			
Job Name	**Registrars**			
Risk Rating	Moderate Risk			
Rec No	1, 3, 6			
Responsible Officer	Head of Customer Service			
Control Issue	Recommendation	Action Date	Revised Action Date	Status Update Comments
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.	30/11/2017		
There was no substantive evidence that stock checks had been carried out or had been subject to appropriate independent scrutiny.	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. 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. 3. Stock checks should be performed independently of the service.	30/11/2017		
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.	30/11/2017		