



Addendum to Agenda Item 5

Finance and Audit Scrutiny Committee
26 May 2021

Title: Internal Audit Quarter 4 2020/21 Progress Report

Lead Officer: Richard Barr

Portfolio Holders: Councillor Noone

Public report / Confidential report: No

Wards of the District directly affected: Not applicable

Contrary to the policy framework: No

Contrary to the budgetary framework: No

Key Decision: No

Included within the Forward Plan: Yes

Equality Impact Assessment Undertaken: Not applicable

Consultation & Community Engagement: Consultation with line management and SMT. None with community.

Checked for Accessibility: Yes

Final Decision: Yes.

Officer/Councillor Approval

Officer Approval	Date	Name
Chief Executive/Deputy Chief Executive	4 May 2021	Chris Elliott/Andrew Jones
Head of Service	4 May 2021	Mike Snow
CMT	4 May 2021	Chris Elliott/Andrew Jones/Bill Hunt
Section 151 Officer	4 May 2021	Mike Snow
Monitoring Officer	4 May 2021	Andrew Jones
Finance	4 May 2021	Mike Snow
Portfolio Holder(s)	13 May 2021	Councillor Noone

Addendum to Agenda Item 5

1. Addendum

- 1.1. An amendment to page 23 of Appendix 3 was received from the Principal Internal Auditor, relating to the Purchasing Card Recommendation.
- 1.2. The amendment is as follows, and the revised appendix is attached to this addendum.

Report Reference	Recommendation	Risk Rating ¹	Responsible Officer	Management Response and Target Implementation Date (TID)
Community Infrastructure Levy and Section 106 Agreements – 5 January 2021				
No recommendations necessary on this occasion.				
Rural and Urban Capital Improvement Schemes – 31 March 2021				
No recommendations necessary on this occasion.				
Purchasing Cards – 31 March 2021				
No recommendations necessary on this occasion.				
Crime and Disorder – 10 February 2021				
No recommendations necessary on this occasion.				
Nuisance and Other Protection Duties: Public Health Funerals – 17 March 2021				
4.2.3	There should be a written procedure in place setting out the processes for arranging a public health funeral.	Low	Safer Communities Manager	A documented procedure will be agreed with the technical officer TID: End of April 2021
Business Applications: MIS Housing and Corporate Property – 4 February 2021				
4.2.2	Council management to work with relevant Information Governance colleagues to complete a DPIA on the MIS ActiveH Application in a timely manner.	Medium	Business Development & Change Manager (Housing Services – System Owner)	Agreed. A Data Protection Information Assessment DPIA for the ActiveH application will be developed and signed off by the Council's Information Governance Manager. TID: 30 April 2021

**Summary of Recommendations and Management Responses from Internal Audit Reports
issued Quarter 4, 2020/21**

Report Reference	Recommendation	Risk Rating ¹	Responsible Officer	Management Response and Target Implementation Date (TID)
Information Governance – 31 March 2021				
4.2.5	A guidance document, pulling together all issues identified, should be drawn up and distributed to all staff.	Low	Information Governance Manager	Agreed. A guidance document will be drawn up and issued accordingly. TID: 30 June 2021
4.3.9	A review of relevant contracts should be performed where contractor staff have access to Riverside House or other relevant Council buildings to ensure that appropriate reference is made to data security.	Low	SMT	Contract managers will be asked to review their contracts to ensure that the need for data security has been appropriately considered in each case. TID: 30 September 2021
4.5.6	Management should take into account the health and wellbeing of staff in relation to current working conditions and the information governance implications of staff working in 'shared spaces' when taking decisions on future office needs.	Medium	SMT	These aspects will be given due consideration (in conjunction with relevant staff, such as HR and the Information Governance Manager) when future office needs are being considered. TID: 30 September 2021

¹ Risk Ratings are defined as follows:

- High: Issue of significant importance requiring urgent attention.
 Medium: Issue of moderate importance requiring prompt attention.
 Low: Issue of minor importance requiring attention.

Report Reference	Recommendation	Risk Rating¹	Responsible Officer	Management Response and Target Implementation Date (TID)
4.5.19	A review of work-issued devices (such as mobile phones) should be performed to ensure that they are suitable for the work now being performed at home (or other 'off-site' locations).	Medium	SMT	ICT Steering Group will be asked to perform a review of devices currently in use and to identify the resourcing implications of providing replacement devices where necessary. TID: 30 September 2021
Cyber Security – 31 March 2021				
4.2.4	Regular reviews of the ICT Services – Change Management Policy should be conducted with the first one being as soon as possible.	Low	Head of ICT Services	A number of ICT's key operational policies have not been reviewed according to the normal schedules, principally due to the impact of COVID-19 on capacity to carry out the work and the absence of key staff within the service. The Change Management Policy will be reviewed to ensure that it includes key principles from the ITIL change management framework. TID: 30 June 2021

Report Reference	Recommendation	Risk Rating ¹	Responsible Officer	Management Response and Target Implementation Date (TID)
4.3.1	Regular reviews of the "Major Virus Outbreak procedure" and "Removable Media Policy" should be conducted and communicated accordingly with the first ones being as soon as possible.	Low	Head of ICT Services	<p>A number of ICT's key operational policies have not been reviewed according to the normal schedules, principally due to the impact of COVID-19 on capacity to carry out the work and the absence of key staff within the service.</p> <p>The overall incident management policy and procedure, which includes the major virus outbreak procedure will be reviewed to ensure that it includes the latest guidance from NCSC. Removable media will also be reviewed as significant changes to its usefulness have taken place.</p> <p>TID: 30 June 2021</p>
4.4.1	A formal Network Monitoring Policy and supporting operational procedures should be documented. The policy should set out the scope of the monitoring activity; for example, specifying the infrastructure logs that are relevant, roles and responsibilities and the reporting and follow up processes needing to be carried out.	Low	Head of ICT Services	<p>ICT can review its network monitoring and logging processes in line with the latest guidance from NCSC. An appropriate policy and process will be produced for consideration by the ICT Steering Group.</p> <p>TID: 30 September 2021</p>

Report Reference	Recommendation	Risk Rating¹	Responsible Officer	Management Response and Target Implementation Date (TID)
4.5.2	Reviews should be conducted of the relevant Third Party remote access policies, their related procedures and the remote working policy for staff and members. A regular review of the policies should be undertaken on an appropriately regular basis.	Low	Head of ICT Services	A number of ICT's key operational policies have not been reviewed according to the normal schedules, principally due to the impact of COVID-19 on capacity to carry out the work and the absence of key staff within the service. The Council's overall remote working and access policy requires a review to ensure that it takes account of the changed circumstances of WDC, where more staff are working remotely than ever before. A review of supplier remote access will also be undertaken to ensure that appropriate safeguards are in place and effective monitoring is operational. TID: 30 September 2021
Council Tax – 31 March 2021				
No recommendations necessary on this occasion.				
National Non-Domestic Rates – 12 January 2021				
4.3.1.6	Staff should be reminded of the need to advise the VOA of all relevant change to non-domestic properties.	Low	Revenues & Recovery Manager	This has been raised in the team meeting and also the individuals' one-to-ones. TID: Completed.
4.4.3.7	The relief paid to the Community Interest Company should be reviewed, with a further check being undertaken to ascertain whether there are any other such accounts in place.	Low	Exchequer Manager / Revenues & Recovery Manager	We will investigate the CIC identified that is receiving Mandatory Charity Relief and check to ensure they are eligible. This has never been picked up before so we were unaware of this issue. TID: 31 March 2021

Report Reference	Recommendation	Risk Rating¹	Responsible Officer	Management Response and Target Implementation Date (TID)
Digital Transformation Position Statement – 31 March 2021 (Consultancy Review)				
Web Applications: HomeChoice and WasteWeb – 31 March 2021 (Confidential)				
Income Receipting and Document Management – 26 March 2021				
4.3.5	Access to post folders should be limited to the relevant team.	Medium	Democratic Services Manager and CST Manager	Agreed. The permissions on these folders were set in liaison with ICT based on available staff structures at the time on the intranet which were inconsistent. This will be reviewed with assistance from HR and within the capacity of the ICT team. The initial review will be completed by the end of April 2021. TID: Initial review to be completed by the end of April 2021.
4.3.7	Staff should be reminded to regularly check folders for inbound post and to remove documents after use.	Low	Democratic Services Manager and CST Manager – to contact managers (members of Managers Forum)	Agreed. A reminder will be sent to Managers Forum each quarter starting with one in late April 2021. TID: First reminder will be sent by end of April 2021.

Report Reference	Recommendation	Risk Rating ¹	Responsible Officer	Management Response and Target Implementation Date (TID)
Development Management – 21 February 2021				
4.2.6	Planning staff should be reminded to save all necessary documentation in Idox.	Low	Manager - Development Services / Business Manager - Development Management	Agreed. TID: End of Feb 21
4.4.3	The issues with Ripplestone should be identified and resolved.	Low	Systems and Business Improvement Officer	Agreed. TID: End of April 21
4.4.11	The percentage of applications with performance agreements should be included in the quarterly SAP figures.	Low	Manager - Development Services / Systems and Business Improvement Officer	Agreed subject to discussion with the Head of Service and Development Portfolio Holder. TID: Discussion by end of March 21
4.5.4	The Development Services risk register should be reviewed and updated on an ongoing basis.	Low	Manager - Development Services / Enforcement Manager	Agreed. TID: This is already the case.
4.6.17	Enforcement activity should be regularly publicised in local media and on social media.	Low	Manager - Development Services / Enforcement Manager	Agreed. Consideration is already given to this on a regular basis. TID: This is already the case.

Report Reference	Recommendation	Risk Rating ¹	Responsible Officer	Management Response and Target Implementation Date (TID)
Community Infrastructure Levy and Section 106 Agreements – 5 January 2021				
No recommendations necessary on this occasion.				
Rural and Urban Capital Improvement Schemes – 31 March 2021				
No recommendations necessary on this occasion.				
Purchasing Cards – 31 March 2021				
No recommendations necessary on this occasion.				
Crime and Disorder – 10 February 2021				
No recommendations necessary on this occasion.				
Nuisance and Other Protection Duties: Public Health Funerals – 17 March 2021				
4.2.3	There should be a written procedure in place setting out the processes for arranging a public health funeral.	Low	Safer Communities Manager	A documented procedure will be agreed with the technical officer TID: End of April 2021
Business Applications: MIS Housing and Corporate Property – 4 February 2021				
4.2.2	Council management to work with relevant Information Governance colleagues to complete a DPIA on the MIS ActiveH Application in a timely manner.	Medium	Business Development & Change Manager (Housing Services – System Owner)	Agreed. A Data Protection Information Assessment DPIA for the ActiveH application will be developed and signed off by the Council's Information Governance Manager. TID: 30 April 2021

Report Reference	Recommendation	Risk Rating¹	Responsible Officer	Management Response and Target Implementation Date (TID)
4.3.5	The accounts assigned to the internal auditors should be reviewed such that they are assigned read-only access at the most.	Low	Business Development & Change Manager (Housing Services – System Owner)	Agreed. The level of access permission to be adjusted to read only access. If the system does not facilitate the creation of Read Only accounts, accounts used for auditing purposes could be disabled or removed until they are required. TID: 19 Feb 2021
4.4.7	All of the UDE screens/ forms should be reviewed in order to apply appropriate validation to the relevant fields.	Medium	Business Development & Change Manager (Housing Services – System Owner)	Agreed. To review existing UDE screens and forms, apply the appropriate validations and conditions to those still in use. This would have to be a joint undertaking between ICT, to support the changes, and the service area to identify which business items are crucial and must be updated. TID: 30 April 2021

Report Reference	Recommendation	Risk Rating¹	Responsible Officer	Management Response and Target Implementation Date (TID)
4.4.7	There should be a procedure in place for Housing officers to follow to ensure the same process is followed when logging visits and saving relevant documentation.	Low	Landlord Operations Manager	The Landlord Operations Manager is working on a set of procedures for Officer's to follow, relating to all functions of the Landlord Operations Team. This will include Tenancy Visits and saving of relevant documentation. TID: June 2021
4.6.3	The application for the mutual exchange together with other relevant documents should be saved to the tenants or house file. A formal procedure for officers to follow when processing applications for mutual exchanges, should be produced.	Medium	Landlord Services Manager	The Landlord Services Management Team are working on a set of procedures for Officer's to follow, relating to all functions of the Landlord Operations Team. This will include a guide on handling applications for Mutual Exchanges on HPM. TID: July 2021
4.7.3	The duties for garage tenancy management should be agreed and documented in a formal procedure to ensure the Council's assets are maintained and rent is collected as due.	Medium	Landlord Services Manager	The Landlord Services Management Team are working on a set of procedures for Officer's to follow, relating to all functions of the Landlord Operations Team. This will include a guide on managing garages. TID: June 2021

Report Reference	Recommendation	Risk Rating¹	Responsible Officer	Management Response and Target Implementation Date (TID)
4.7.5	To help ensure garages are used as intended and looked after by tenants, site checks on the external environment of the garages should be completed and logged onto the relevant file. A formal procedure detailing how officers should manage garages will need to be produced.	Medium	Landlord Operations Manager	The Landlord Operations Manager is working on a set of procedures for Officer's to follow, relating to all functions of the Landlord Operations Team. This will include a guide on managing garages to include site checks. TID: June 2021
4.8.5	A written procedure to guide staff on the recording of complaints should be established. Also a lack of robust management information means that any necessary remedial action cannot be undertaken.	Medium	Landlord Operations Manager	A procedure for managing complaint so Anti-Social Behaviour has been written. It is awaiting sign off by Landlord Services Manager Training on the new procedure is arranged for 9 March 2021. TID: March 2021
Communications – 10 February 2021				
4.2.6	Training resources should be reviewed, updated and made available to staff.	Low	Marketing & Communications Manager	We will review our intranet pages and all the relevant documents to ensure they are easily accessible for staff. TID: April 2021
4.3.12	Social media training should be amended to directly reference the Social Media Policy.	Low	Marketing & Communications Manager / Digital Content and Social Media Officer	This will now be included in the social media training documents. TID: April 2021

Report Reference	Recommendation	Risk Rating¹	Responsible Officer	Management Response and Target Implementation Date (TID)
4.3.35	Management should receive performance monitoring data for all Council social media accounts, including Instagram.	Low	Marketing & Communications Manager / Digital Content and Social Media Officer	Instagram will now be added to our social media monitoring and included in our monthly media stats. TID: May 2021
4.3.36	Social media performance targets should be reviewed and revised regularly to remain relevant.	Low	Marketing & Communications Manager / Digital Content and Social Media Officer	A review of our social media accounts will be included in Kris Walton's objectives in his appraisal to review quarterly. TID: Ongoing from June 2021
4.3.37	Social media performance targets should be reviewed and revised to ensure that they accurately describe the performance statistics.	Low	Marketing & Communications Manager / Digital Content and Social Media Officer	As above. TID: Ongoing from June 2021
4.4.3	Guidance notes covering interaction with the media should be reviewed regularly and, where necessary, updated and re-issued.	Low	Marketing & Communications Manager	Guidance notes for dealing with the media will be reviewed and updated on the media team intranet pages. TID: Ongoing from July 2021

Report Reference	Recommendation	Risk Rating¹	Responsible Officer	Management Response and Target Implementation Date (TID)
Staff Health and Wellbeing – 11 February 2021				
4.2.6	1. The current advice and information should still be easily accessible to staff so it can be reviewed if their circumstances change or when there are new starters.	Low	Head of People and Communications	The up-to-date guidance has been reinstated on to the big button information. Guidance will be consolidated to ensure the up-to-date information is easy to find. TID: Completed.
	2. Reminders or links to the support available should be an ongoing priority in the current pandemic.	Low	Head of People and Communications	Appropriate links and signposting is in place and managers will continue to be provided with information to share with their teams. TID: Completed.
4.2.8	Messages should be continuously reviewed and adapted, including those delivered by managers. Managers should make regular contact with their staff enabling them to provide guidance and signpost them to support.	Low	Head of People and Communications	Managers have now all received the virtual working training. Appropriate links and guidance will continue to be shared with staff and managers. TID: Completed.
4.2.9	1. The Health and Wellbeing page should be kept up-to-date and include current links, promoting the services and resources the Council has available to staff.	Medium	Head of People and Communications	The Health and Wellbeing page has now been updated. TID: Completed.

Report Reference	Recommendation	Risk Rating¹	Responsible Officer	Management Response and Target Implementation Date (TID)
4.2.9	2. The information relating to the support available to staff should have the relevant intranet tags so it appears in the search function.	Low	Marketing & Communications	This is something we are aware of and it is being addressed. TID: Ongoing.
4.3.5	As most staff cannot access virtual meetings through VMware, there should be alternative joining instructions issued to allow staff to access the sessions from the device used for virtual meetings.	Low	Marketing & Communications	We have been made aware of this and adapted the message to ensure links are accessible. TID: Completed.
4.4.2	The health and safety page should be reviewed to ensure it is relevant and has current information and guidance available, including advice on how to set up their workstation.	Medium	Health & Safety Officer	We will review this to ensure this is regularly updates. TID: Ongoing.