

# Supplementary Agenda



## Audit Committee

**Date:** Wednesday, 12 December 2018

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**Time:** 10:00

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**Venue:** Civic Space  
Council Offices, 16 Church Street, Dumbarton

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**Contact:** Craig Stewart, Committee Officer  
Tel: 01389 737251 [craig.stewart@west-dunbarton.gov.uk](mailto:craig.stewart@west-dunbarton.gov.uk)

Dear Member

### Item to Follow

I refer to the agenda for the above Meeting of the Audit Committee which was issued on 29 November 2018 and now enclose a copy of the undernoted item which was not available for issue at that time.

Yours faithfully

**JOYCE WHITE**

Chief Executive

Undernote:-

### Item to Follow

#### **7 AUDIT ACTION PLANS**

**299 - 350**

Submit report by the Strategic Lead - Resources advising of:-

- (a) recently issued Internal Audit action plans; and
- (b) progress made against action plans previously issued contained within Internal Audit and External Audit reports.

**Distribution:**

Councillor John Mooney (Chair)  
Councillor Jim Brown  
Councillor Karen Conaghan  
Councillor Daniel Lennie  
Councillor Jonathan McColl  
Councillor John Millar  
Councillor Martin Rooney (Vice Chair)  
Councillor Brian Walker  
Mr C Johnstone  
Ms E McKerry

All other Councillors for information

Chief Executive  
Strategic Director - Transformation & Public Service Reform  
Strategic Director - Regeneration, Environment & Growth  
Chief Officer of West Dunbartonshire Health & Social Care Partnership

Date of Issue: 7 December 2018

## WEST DUNBARTONSHIRE COUNCIL

### Report by Strategic Lead - Resources

**Audit Committee: 12 December 2018**

#### **Subject: Audit Action Plans**

#### **1. Purpose**

**1.1** The purpose of this report is to advise the Committee of:

- Recently issued Internal Audit action plans; and
- Progress made against action plans previously issued contained within Internal Audit and External Audit reports.

#### **2. Recommendations**

**2.1** It is recommended that Members consider and note the contents of this report.

#### **3. Background**

**3.1** When audit reports are issued by External and Internal Audit departmental management agree an action plan in relation to issues highlighted by the audit report. Progress on implementing the actions is monitored and reported to the Audit Committee.

#### **4. Main Issues**

##### Action Plans

**4.1** The Appendices to this report will be run in the days leading up to the committee meeting so as to provide as up to date a position as possible in the progress of actions. Appendix 1 contains Internal Audit action plans recently agreed and issued. Appendix 2 details the outstanding actions on previously issued Internal Audit reports. Appendix 3 details any outstanding actions for External Audit reports, including the Local Scrutiny Plan for 2018/19 and the Best Value Assurance Report.

**4.2** To put the action plans into context and highlight the risks being mitigated, a summary for recently issued reports included at Appendix 1 is provided at paragraphs 4.3 to 4.7 which includes a summary of the key findings of each audit.

**4.3** Project 139: Investigation Tendering & Contracting Roads and Greenspace (Report Issued January 2018)  
Generic Actions (Issued October 2018)

The key purpose of this audit was to evaluate the application of Council wide processes, procedures and controls for tendering and contracting arrangements within Roads and Greenspace and identify what corrective action was required.

The key findings of the audit were:

- Based on a sample from 2013/14, 2014/15 and 2015/16, Council wide procurement policies and procedures were not always followed in both Roads and Greenspace in order to get work done quickly. This resulted in most work being awarded without a tender process or without seeking sufficient quotes from contractors;
- In many instances work within both Roads and Greenspace was awarded without a contract or a detailed specification;
- Council retention policies within both Roads and Greenspace were not followed resulting in insufficient information being kept for work undertaken;
- There was a failure to declare personal associations with contractors, as per the employee code of conduct.

Internal Audit recognise the significant procurement pipeline and the ongoing reporting of performance of the Council in terms of “on contract” spend and that moving to a position closer to 100% of spend being “on contract” will take time and in some cases exigencies of continued service provision will mean that some spend will continue to be “off contract” until appropriate procurement processes can be completed.

The actions identified are intended to mitigate against the risk across all Council services of:

- Lack of adherence to the WDC Code of Conduct and Financial Regulations;
- Personal interests not being declared;
- Lack of adherence to procurement policies;
- Lack of record keeping and proper archiving for contracts;
- Appropriate forms of contract not being put in place;
- Variations to contract not being appropriately authorised;
- Contracts not being properly monitored; and
- Inappropriate recommendation of third parties.

#### **4.4 Project 140: Grants Administration Process Undertaken by CVS (Report Issued November 2018)**

The audit tested the following areas in relation to:

- Policies and procedures of the grants administration;
- Monitoring of the grants awarded;
- Service level agreement; and
- Governance arrangements.

The key findings of the audit were that strong governance of the Grants administration is in place and is undertaken by both the WDCVS Board of Trustees and WDC.

The key actions identified are required to mitigate risks in relation to:

- Updating of service level agreement;
- Inclusion of application date and sum requested on application form;
- Adherence to internal procedures

#### **4.5 Project 141: WeBuy (Report Issued November 2018)**

The audit tested the following areas in relation to:

- Policies & Procedures;
- Approval Processes for New Suppliers/Deletion of Suppliers;
- Treatment of Mismatches & Rejections; and
- Training and Guidelines.

The key findings of the audit were that opportunities exist to strengthen internal controls and enhance the service provided as outlined below:

- Closing old outstanding orders;
- Personal information on deactivated suppliers;
- We/Buy user training; and
- Training register.

The audit also highlighted areas of good practice, most notably the maintenance of a register of all applications to set up new suppliers that tracks the progress of each application in line with the supplier-request-form-process. There are detailed procedural guidelines available to all users to assist in their use of the system.

#### **4.6 Project 142: Main Accounting (Report Issued: November 2018)**

The audit tested the following areas in relation to:

- Policies & Procedures;
- Financial Information System;
- Budgetary Control Arrangements; and
- Coding Structure.

The one action identified mitigates the risk of non-active accounts remaining open.

The review highlighted the following areas of good practice.

- The Finance Business Partners and Accountants responsible for providing financial support within the Council have established strong working relationships with Strategic Leads and Budget Holders across the Council. Accurate and timely monthly Budget Control Reports (BCRs) are presented to Council and senior management; and
- Detailed plans are developed each year for the preparation of the annual estimates and the year-end financial accounts.

**4.7** Project 143: Investigation: Fire Detection and Fire Alarm Systems (Report Issued: December 2018)

The key purpose of this audit was to

- Ascertain what work has been carried out by a contractor;
- Ascertain procurement arrangements for the selection of a contractor to carry out installation of the alarm systems;
- Ascertain how this work was monitored and inspected;
- Ascertain results of independent review of fire alarm systems across the Council; and
- Determine if there was any substance to the allegations made.

The key findings of the audit were that procurement processes in relation to fire alarm upgrades and maintenance have not been adequately followed, controls over checking and review of work done by third party contractors has not been adequate and there has been a lack of management oversight.

Internal Audit recognise the significant procurement pipeline and the ongoing reporting of performance of the Council in terms of “on contract” spend and that moving to a position closer to 100% of spend being “on contract” will take time and in some cases exigencies of continued service provision will mean that some spend will continue to be “off contract” until appropriate procurement processes can be completed.

The key actions identified are required to mitigate risks in relation to:

- Procurement processes not being followed;
- Installation works not being properly checked;
- Lack of adherence to British Standards for fire alarms;
- Lack of maintenance contracts;
- Unsatisfactory electrical testing reports;
- Incomplete compliance with emergency lighting standards;
- Lack of installation and commissioning certificates for fire alarms;
- Lack of consistency with fire log books; and
- Not all RPO's have received training.

**4.8** The key areas of work performed by both Internal Audit and External Audit are carried out according to a risk based approach that determines the nature, extent and timing of the required audit assignments.

**4.9** Recommendations have timescales for completion in line with the following categories:

<b>Category</b>	<b>Expected implementation timescale</b>
<u>High Risk:</u> Material observations requiring immediate action. These require to be added to the department's risk register	Generally, implementation of recommendations should start immediately and be fully completed within three months of

	action plan being agreed
<u>Medium risk:</u> Significant observations requiring reasonably urgent action.	Generally, complete implementation of recommendations within six months of action plan being agreed
<u>Low risk:</u> Minor observations which require action to improve the efficiency, effectiveness and economy of operations or which otherwise require to be brought to the attention of senior management.	Generally, complete implementation of recommendations within twelve months of action plan being agreed

## **5. People Implications**

**5.1** There are no personnel issues with this report.

## **6. Financial and Procurement Implications**

**6.1** There are neither financial nor procurement implications arising directly from this report.

## **7. Risk Analysis**

**7.1** There is a risk that failure to implement actions within the agreed timescale may result in weaknesses in internal control arrangements remaining unresolved longer than is desirable.

## **8. Equalities Impact Assessment (EIA)**

**8.1** There are no issues.

## **9. Consultation**

**9.1** This report has been subject to consultation with appropriate Strategic Leads. In addition, services have been consulted in the update of action plans.

## **10. Strategic Assessment**

**10.1** This report relates to strong corporate governance.

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**Stephen West**  
**Strategic Lead - Resources**  
**Date: 7 December 2018**

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**Person to Contact:** Colin McDougall, Audit and Risk Manager  
Telephone 01389 737436  
E-mail – colin.mcdougall@west-dunbarton.gov.uk

**Appendices:** 1 - Internal Audit Reports (Recently Issued)  
2 - Internal Audit Reports (Previously Issued)  
3 - External Audit Reports

**Background Papers:** Internal Audit Reports  
External Audit Reports






**Wards Affected:** All Wards






# Appendix 1

## Internal Audit Reports (Recently Issued)

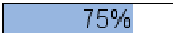




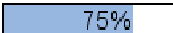




Generated on: 07 December 2018



Action Status	
	Cancelled
	Overdue; Neglected
	Unassigned; Check Progress
	Not Started; In Progress; Assigned
	Completed




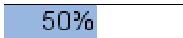

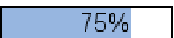


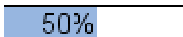




**Project 139. Tendering & Contracting**  
Roads and Greenspace (Report Issued January 2018)  
Generic Actions (Issued October 2018)

Recommendation	Action Status Progress Bar	Actual Due Date of Action	Agreed Action	Sub-Action Progress Bar	Sub-Action Status Icon	Sub-Action Due Date	Sub-Action Assigned To	Sub-Action Latest Note
<u>1. Requirements of WDC Code of Conduct and Financial Regulations</u> All employees should ensure that they are fully aware of the requirements of the WDC Code Of Conduct. Where appropriate to their role, employees should ensure awareness of the Financial Regulations. Management should continue to keep themselves informed of future development		31-Dec-2018	<u>Roads and Greenspace Specific Action</u> Agree. Environment and Neighbourhood management team will consider and note the contents of the WDC Code of Conduct and Financial Regulations at the next Environment & Neighbourhood Team			28-Feb-2018	Ian Bain; Raymond Walsh	Complete.

and training on financial regulations and ensure that employees are advised as appropriate.  (High Risk)			meeting. Environment & Neighbourhood Managers are booked on Procurement training and will, in future, seek support from the CPU as appropriate.					
			<u>Generic Action</u> Code of conduct and Financial Regulations are in place and reviewed regularly. New employees are provided with access to these documents as part of offer and acceptance of employment and reinforced through the induction process. SLG will ensure appropriate ongoing training and awareness is in place for employees in line with be the best conversations, 121 meetings and development plans, additionally to ensure ongoing awareness as roles changes and revised versions are issued.	<div><div>50%</div></div>		31-Dec-2018	All Strategic Leads (HSCP – Heads of Service)	In progress - to be cascaded through team meetings.
<u>2. Declaration of Personal Relationships on the Register of Interests</u> Management and relevant employees need to be made aware of the requirement to declare personal relationships that could be a conflict of interest. This declaration should be in line with the Employee Code of Conduct; further information is available in the Council wide guidance on the Register of	<div><div>75%</div></div>	31-Dec-2018	<u>Roads and Greenspace Specific Action</u> Agree.	<div><div>100%</div></div>		31-Jan-2018	Ronnie Dinnie	Complete.
			<u>Generic Action</u> Agreed and continues to be in place. SLG will ensure appropriate awareness for staff on updates to policy and practice.	<div><div>50%</div></div>		31-Dec-2018	All Strategic Leads (HSCP – Heads of Service)	In progress - to be cascaded through team meetings.




Interests. (High Risk)								
<u>3. Training on Procurement Policies</u> The current procurement policies that are in place across the Council are sufficient, however, in order to ensure adherence, all appropriate employees within service areas across the Council must undertake training on the procurement procedures.  (High Risk)		31-Mar-2019	<u>Roads and Greenspace Specific Action</u> Agree. Management will seek assistance from Procurement on the training opportunities available to achieve compliance with Procurement procedures.			31-Jan-2018	Ronnie Dinnie	Complete.
			<u>Generic Action</u> SLG and managers ensure through be the best conversations and development plans that employees receive appropriate training and are kept up to date following updates in practice and policies.			31-Mar-2019	All Strategic Leads (HSCP – Heads of Service)	In progress.
<u>4. Development of Record Keeping System</u> Management across the Council must ensure, in conjunction with the Corporate Procurement Unit, that a consistent system for record keeping is developed and an officer in a supervisory / management role takes responsibility for the procurement and the award of each contract and ensures that adequate records are prepared and maintained.  (High Risk)		31-Dec-2018	<u>Roads and Greenspace Specific Action</u> Agree. A list of all future contracts will be maintained and reports submitted to the Tendering Committee by Corporate Procurement will also be retained by relevant Manager. In addition, documentation will also be retained relating to the specification, quotations, contract details and monitoring of work.			30-Apr-2018	Ian Bain; Raymond Walsh	Completed.
			<u>Generic Action</u> SLG will ensure CPU will continue to work with management teams and have appropriate systems			31-Dec-2018	All Strategic Leads (HSCP – Heads of Service)	In progress.

			in place. This is in line with policy and procedure.					
<p><u>5. Appropriate Form of Contract</u> Internal Audit recognise the significant procurement pipeline and the ongoing reporting of performance of the Council in terms of "on contract" spend and that moving to a position closer to 100% of spend being "on contract" will take time and in some cases exigencies of continued service provision will mean that some spend will continue to be "off contract" until appropriate procurement processes can be completed. In recognising this Internal Audit would remind managers that in procuring supplies and services an appropriate form of contract should be put in place for all works that are undertaken [over £2k]. Such contracts will contain a clear specification of works and will be let through the Council's quotation process [Quick Quotes for contracts with an estimated value of between £10k and £50k, seek a minimum of three written quotes for contracts with an estimated value of between £2k and £9,999.99], and through the Public Contracts Scotland (PCS) portal for all those above £50k, all in accordance with the relevant legislation and procedures narrated in Section Q of the Financial Regulations. Ongoing monitoring of "on contract" performance is continued through public performance reporting.</p> <p>(High Risk)</p>	<div>100%</div>	31-Dec-2018	<p><u>Roads and Greenspace Specific Action</u> Agree, a proper specification for all works will be produced. Assistance will be required from Procurement and Legal to develop standard terms and conditions for contracts.</p> <p>Tender Request forms will be completed by Service Managers and Tender Strategy Documents will be prepared in conjunction with CPU.</p>	<div>100%</div>		30-Apr-2018	Ian Bain; Annabel Travers; Raymond Walsh	Completed. Minor civil contract is the appropriate form of contract for works under £50k and over £50k. This contract award was agreed at Tender Committee.
			<p><u>Generic Action</u> In line with contracts and supplier management policy strategy and financial regulations. This is monitored and progressed by CPU and SLG / Management teams</p>	<div>100%</div>		30-Nov-2018	All Strategic Leads (HSCP – Heads of Service)	This is an ongoing process.

<p><u>6. Variations to Original Specifications</u> As per the Financial Regulations, any variation to original specifications which will have a budgetary impact and / or potentially impact upon the achievement of the key purpose of the project should be authorised by an appropriate Officer of WDC subject to budgetary provision being available and approved before work is commenced.</p> <p>(High Risk)</p>		31-Dec-2018	<p><u>Roads and Greenspace Specific Action</u> Agree.</p>			28-Feb-2018	Ian Bain; Raymond Walsh	Completed.
			<p><u>Generic Action</u> Agreed.</p>			31-Dec-2018	All Strategic Leads (HSCP – Heads of Service)	In progress - to be cascaded through team meetings.
<p><u>7. Phases of Work</u> If works or other purchases are to be done in phases/stages, the full development/works and associated procurement approach must be agreed with the Corporate Procurement Unit. Works should not be artificially split into phases/stages/contracts.</p> <p>(High Risk)</p>		31-Dec-2018	<p><u>Roads and Greenspace Specific Action</u> Agree. In some instances the full extent of work in not known or quantifiable at the start of phase 1 however it is recognised that if there are additional phases due to the project being extended or additional external funding being made available Procurement will be notified.</p>			28-Feb-2018	Ian Bain; Raymond Walsh	Completed.
			<p><u>Generic Action</u> Agreed.</p>			31-Dec-2018	All Strategic Leads (HSCP – Heads of Service)	In progress - to be cascaded through team meetings.
<p><u>8. List of Contracts</u> A running list of contracts must be maintained by service areas, covering both revenue and capital jobs. A key financial control is the requirement for cost control through the use of commitment accounting and reconciliation of commitments to actual spend and to ledgered spend. All service areas should ensure that</p>		31-Dec-2018	<p><u>Roads and Greenspace Specific Action</u> Agree. Service Managers will request assistance from Finance Business Partners to put in place commitment accounting process as described. Managers will seek guidance from Finance Business Partners to show</p>			31-Dec-2018	Ian Bain; Raymond Walsh	No commitment accounting process has been put in place as yet. Work on developing this continues.




appropriate commitment accounting processes in the management of contracts are in place and maintained that reconciles to the general ledger. This would allow management to monitor work being done and assist in cost control.  (Medium Risk)			best practice examples that are in operation across the Council.					
			<u>Generic Action</u> CPU in conjunction with SLG should review and ensure this is in place in the most efficient , effective manner.	<div><div>50%</div></div>		31-Dec-2018	All Strategic Leads (HSCP – Heads of Service); CPU	An entry for all contracts delivered by the CPU is contained within the Contracts Database administered by the CPU. Management across services will be reminded of the importance of advising the CPU of all variations to contracts.
<u>9. Monitoring of Works Contracts</u> It is recommended that a formal monitoring process is put in place whereby a named WDC officer for each works contract is required to make a site visit and sign off a document to confirm that the works invoiced have been completed as invoiced and invoices for that particular job can be passed for payment. The process for this is per the recently approved Contract and Supplier Management Policy.  (Medium Risk)	<div><div>75%</div></div>	31-Dec-2018	<u>Roads and Greenspace Specific Action</u> Agree.	<div><div>100%</div></div>		28-Feb-2018	Ian Bain; Raymond Walsh	Completed.
			<u>Generic Action</u> SLG for those “works ” contracts will ensure this is in place in line with new policy.	<div><div>50%</div></div>		31-Dec-2018	All Strategic Leads (HSCP – Heads of Service)	In progress - to be cascaded through team meetings.
<u>10. Document Archiving</u> All documentation contained within any archived storage area should be reviewed and documents destroyed as necessary in order to comply with data retention policies and to make documents easily accessible.  (Medium Risk)	<div><div>75%</div></div>	31-Dec-2018	<u>Roads and Greenspace Specific Action</u> (a) Agree. Discussion will take place with the relevant staff to determine requirement to retain data from the existing archive store in order to ensure compliance with the established document retention policy. (b) Strategic Leads within	<div><div>50%</div></div>		31-Dec-2018	Ian Bain; Richard Cairns; Raymond Walsh	Roads and Greenspace have complied, other services such as DLO have had to allocate resources in the short term to other service priorities. Their document archiving and destruction will be carried out as part of IHMS implementation.

			in Regeneration, Environment & Growth whose services are storing documents within this area will also be required to ensure that current policies are being complied with.					
			<u>Generic Action</u> This is in place in line with GDPR.	100%	✓	31-Oct-2018	All Strategic Leads (HSCP – Heads of Service)	Complete.
<u>11. Quote Disparities</u> If there are large differences in the quotes received from contractors, advice should be sought from the Central Procurement Unit on any potential course of action.  (Medium Risk)	100%	31-Dec-2018	<u>Roads and Greenspace Specific Action</u> Agree. Advise will be sought from Procurement should this set of circumstances occur.	100%	✓	28-Feb-2018	Ian Bain; Raymond Walsh	Completed.
			<u>Generic Action</u> Agreed in line with policy and procedure.	100%	✓	31-Dec-2018	All Strategic Leads (HSCP – Heads of Service); CPU	This already happens and is controlled by the Corporate Procurement Unit (CPU) for higher value procurements. The CPU will amend the guidance for works / goods / services valued at less than £50K to reflect this requirement.
<u>12. Roads Operations - Best Value</u> An exercise should be performed to determine if Roads Operations are offering the Council “best value”, in particular this exercise should establish why quotes are often uncompetitive and determine the rationale behind costing within the service. Consideration should be given as to the types of works which Road Operations can physically undertake and should therefore	40%	28-Feb-2019	<u>Roads and Greenspace Specific Action</u> Agree. This will form part of the Shared Service agenda should the Council agree to progress or otherwise be subsequently reviewed	40%	▶	28-Feb-2019	Raymond Walsh	The minor civils contract was overdue in award date. Work is ongoing to carry out a best value comparison. This will be completed by February 2019. The shared service agenda has yet to be finalised.




be expected to quote. (Medium Risk)								
<u>13. Use of Purchase Orders</u> Purchase orders should not be used as a substitute for contracts. When undertaking general purchasing of goods if purchase orders are used the form should be filled out in full and authorisation should be clear and legible. (Medium Risk )	<div><div>75%</div></div>	31-Dec-2018	<u>Roads and Greenspace Specific Action</u> Agree.	<div><div>100%</div></div>		30-Apr-2018	Ian Bain; Raymond Walsh	Complete.
			<u>Generic Action</u> Agreed in line with policy and procedure.	<div><div>50%</div></div>		31-Dec-2018	All Strategic Leads (HSCP – Heads of Service)	In progress - to be cascaded through team meetings.
<u>14. Recommending of External Contractors</u> A council wide procedure should be developed that establishes under what circumstances Officers can recommend external contractors to third parties and that provides guidance on wording that can be used and where a recommendation is likely to be inappropriate. (Medium Risk)	<div><div>100%</div></div>	31-Oct-2018	<u>Roads and Greenspace Specific Action</u> The Corporate Procurement Manager (CPM) will develop a clear procedure with input from Legal Services and Human Resource Services, available to all Council staff that states when Council employees can and cannot recommend an external contractor and the reasons why.	<div><div>100%</div></div>		31-Oct-2018	Annabel Travers	Completed.




**Project 140. Grants Administration Process Undertaken by CVS (Report Issued: November 2018)**


Action Code	Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
T&PSR/IAAP/661	<p><u>1. Service Level Agreement</u> It is recommended that the Service Level Agreement is updated in order to make the interpretation of the agreement easier and avoid any confusion.</p> <p>(Low Risk)</p>	The SLA will be reviewed and updated		<div><div></div></div> 0%	31-Mar-2019	31-Mar-2019	Gillian McNeilly; Selina Ross	The SLA will be reviewed and agreed prior to the deadline
T&PSR/IAAP/662	<p><u>2. Grant amount not noted on application form</u> In order to be transparent, consistent and to reduce the risk of fraud and error the application forms in all instances must include the amount each organisation is applying for. The application form must also be dated by the applicant to reflect the year the Grant is being applied for.</p> <p>(Medium Risk)</p>	Since the audit inspection meeting, we have ensured that the sum requested and the application date is included in each application form. The form will be amended in 2019/20 to provide boxes for both, ensuring that it cannot be missed by the applicants.		<div><div></div></div> 1%	01-Apr-2019	01-Apr-2019	Selina Ross	The SLA will be reviewed and agreed prior to the deadline.
T&PSR/IAAP/663	<p><u>3. Internal Procedures not followed</u> It is recommended that internal procedures are adhered to all cases to ensure consistency and to reduce the risk of errors in the processing and administering of grants.</p> <p>(Medium Risk)</p>	The Standard Operating Procedures will be updated to ensure that the importance of this is reiterated.		<div><div></div></div> 0%	31-Dec-2018	31-Dec-2018	Selina Ross	The application form will be updated prior to the deadline.

**Project 141. WeBuy (Report Issued November 2018)**

Action Code	Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
T&PSR/IAAP/664	<p><u>1. Closing Old Outstanding Orders</u></p> <p>There is a need for a more pro-active process for ensuring We/Buy mismatches are cleared as soon as possible. The We/Buy admin team should review the mismatch reports to identify mismatches that are not been cleared promptly. They should contact individual requisitioners of such mismatches identified and re-emphasise the need to action the mismatches.</p> <p>(Low Risk)</p>	<p>A new process is now in place. Each week an e/mail will be forwarded to requisitioners advising them of their We/Buy mismatches. As part of this new process we are also e/mailling users weekly regarding outstanding receipts and invoices.</p>		<div><div>100%</div></div>	31-Dec-2018	31-Dec-2018	Ann Duncan; Derek McLean	<p>A new process is in place where the individual requisitioners are directly reminded weekly to complete the outstanding mismatch. The process also escalated mismatched that have not been rectified after 4 weeks of reminding, any post 4 month old will be escalated to finance so that VAT reclaim isn't lost after 6 months.</p>
T&PSR/IAAP/665	<p><u>2. WeBuy User Training</u></p> <p>Procurement should canvas all current and potential users of the We/Buy system to establish if there is a need for training in the use of the system.</p> <p>(Low Risk)</p>	<p>In progress and looking at options available and what training is required. It may be a more overall purchase to pay overview, rather than the use of the Pecos.</p>		<div><div>0%</div></div>	31-Dec-2018	31-Dec-2018	Ann Duncan; Derek McLean	<p>A survey of users of users is being developed to understand their knowledge of Webuy purpose and functions. This will cover requisitioner and approver tasks to build an understanding of targeted training. The survey will also determine knowledge of the overall P2P process.</p>
T&PSR/IAAP/666	<p><u>3. Training Register</u></p> <p>The training register should be reinstated and provide details of all We/Buy training provided. The register should show the following:</p> <ul style="list-style-type: none"> <li>• Date Course Provided;</li> </ul>	<p>Register now created and staff advised to update this when training users on We/Buy.</p>		<div><div>100%</div></div>	31-Dec-2018	31-Dec-2018	Ann Duncan; Derek McLean	<p>The training register has been created and is populated with recent training carried out</p>





Action Code	Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
	<ul style="list-style-type: none"> <li>• Name of person(s); providing the course</li> <li>• Description of Course; and</li> <li>• Details of Participants.</li> </ul> (Low Risk)							
T&PSR/IAAP/667	<u>4. Personal Information on Deactivated Suppliers</u> The We/Buy administration team should review all deactivated suppliers in order to identify individual personal information retained on file. All such personal information should be removed.  (Low Risk)	The Procurement Development team will include a check information held for of deactivated suppliers as part of their six monthly review of the We/Buy System		<div><div></div></div> 0%	31-Dec-2018	31-Dec-2018	Ann Duncan; Derek McLean	The next scheduled completion of this task is the end of November / start December and will be completed as planned.




#### Project 142. Main Accounting (Report Issued: November 2018)





Action Code	Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
T&PSR/IAAP/683	<u>1. Scheduled Review of Chart of Accounts</u> An annual review of all accounts should be carried out to identify accounts that have had no transactions in the previous 12 months. The system user who set up or other persons responsible for an account with no transactions in the previous 12 months should be	A one off major review of account codes and cost centres will be undertaken in 2018/19, with a similar review every three years thereafter.		<div><div></div></div> 0%	31-Mar-2019	31-Mar-2019	Adrian Gray	There are 2 milestones and the action is on target to be completed by the due date.



Action Code	Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
	contracted to confirm the status of the account. Any accounts identified as no longer required should be deactivated.  (Low Risk)							



**Project 143. Investigation: Fire Detection and Fire Alarm Systems (Report Issued: November 2018)**

Action Code	Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
T&PSR/IAAP/668	<u>1. Procurement Process has not been followed</u> Asset Management should continue to liaise with the CPU to develop appropriate tender documents for the ongoing capital works and maintenance contracts required.  (High Risk)	Work is ongoing on this basis and Asset Management are continuing to liaise with Corporate Health & Safety and Corporate Procurement regarding the tender specification. Thereafter these tenders will be issued to the market.			31-Mar-2019	31-Mar-2019	Craig Jardine; Michelle Lynn; Annabel Travers	Contract Strategy Document has been complete and specification documentation being prepared to issue tender to market.
T&PSR/IAAP/669	<u>2. Checking of works on Fire Alarms have not been adequately completed</u> Process to be implemented to ensure that all upgrade/installation works are appropriately checked and evidenced by a technical expert to ensure the work has been completed in line with requirements and that the relevant fire safety standards have been met. The implementation of this process will help to ensure that invoices are only approved for payment once work has been completed to	Processes have been put in place and will be formalised in a written format to ensure that all new installation works are checked by a Clerk of Works.			31-Oct-2018	31-Oct-2018	Craig Jardine; Michelle Lynn	Complete.



Action Code	Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
	a satisfactory standard. (High Risk)							
T&PSR/IAAP/670	<p><u>3. Fire alarm systems do not meet the requirements of BS5839</u></p> <p>Although a sample review of rectification works completed is due to be undertaken by the Clerk of Works a full review of all rectification work should be completed and evidenced by someone with sufficient technical competence.</p> <p>(High Risk)</p>	Asset Management will engage the services of an external electrical consultant to carry out a full review of all rectification works to ensure we are in full compliance.		<div><div>66%</div></div>	31-Dec-2018	31-Dec-2018	Craig Jardine; Michelle Lynn	External Electrical Engineer appointed. A sample of rectification works have been reviewed but a further review of works will be carried out.
T&PSR/IAAP/671	<p><u>4. Not all issues identified by FES have been rectified</u></p> <p>Asset Management should review the rectification work completed and assess those issues identified by FES which have not been rectified to determine if further action is required This should be reviewed by someone with sufficient technical knowledge to ensure that the appropriate action has been taken. Evidence of such reviews should be prepared and retained.</p> <p>(High Risk)</p>	<p>Asset Management will engage the services of an external electrical consultant to carry out a full review of all rectification works to ensure we are in full compliance</p> <p>Those issues which have not been rectified will form part of the future maintenance tender</p>		<div><div>50%</div></div>	31-Mar-2019	31-Mar-2019	Craig Jardine; Michelle Lynn	All rectification works identified by FES that are not part of any future maintenance contract are complete. All issues highlighted as not rectified and to form part of future maintenance contract will be included in the tender specification for future maintenance works.
T&PSR/IAAP/672	<p><u>5. Establishments with no Fire alarm maintenance contracts</u></p> <p>Asset Management should ensure that maintenance review is carried out on all</p>	Asset Management will carry out a review of the 47 establishments where recent maintenance has not been carried out or evidence available on		<div><div>100%</div></div>	31-Oct-2018	31-Oct-2018	Craig Jardine; Michelle Lynn	Complete.





Action Code	Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
	these establishments as quickly as possible to ensure that the fire alarm systems are working effectively, with appropriate documentation prepared / retained as evidence.  (High Risk)	site . Asset Management will instruct works where appropriate as a matter of urgency.						
T&PSR/IAAP/673	<u>6. Issues on annual fire system maintenance certificates have not been addressed or passed to Asset Management</u> Asset Management should evaluate whether the process of ensuring actions required are identified and rectified is operating correctly.  (High Risk)	Asset Management has already met with the various alarm maintenance contractors and implemented a process where the maintenance report is sent directly to Asset Management together with a copy being retained onsite. Asset Management will continue to monitor this and ensure that any new maintenance contract as part of the tender process to be carried out includes this requirement.		 100%	31-Oct-2018	31-Oct-2018	Craig Jardine; Michelle Lynn	Complete.
T&PSR/IAAP/674	<u>7. Emergency Lighting does not meet the requirements of BS 522661</u> Asset Management should continue to work to rectify all issues identified by FES to ensure compliance with relevant emergency lighting standards.  (High Risk)	Asset Management will continue to monitor and review work being carried out by Building Services to ensure all Emergency Lighting is compliant and regularly maintained. Asset Management will arrange to carry out immediate repairs which have been identified within the FES reports. Monthly meetings to		 66%	31-Aug-2019	31-Aug-2019	Martin Feeney; Craig Jardine; Michelle Lynn	Immediate repairs to emergency lighting highlighted within FES reports and Fire Risk Assessments have been undertaken. Monthly meetings set up to monitor progress on emergency lighting works and electrical certification. Works in relation to full upgrade works to be instructed



Action Code	Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
		track progress have been set up Where a system is required to be fully upgraded Asset Management will instruct works via Building Services to have these carried out. Where a design element is required Building Services will engage with their sub contractor in this regard.						
T&PSR/IAAP/675	<p><u>8. Not all installation and commissioning certificates for fire alarms are held by Asset Management</u> Asset Management should try to obtain the commissioning and installation certificates for fire alarm systems wherever possible. These certificates should be retained at each establishment and also stored by Asset Management. Going forward Asset Management should confirm receipt of accurately completed relevant certification for all works completed prior to payment to contractors.</p> <p>(Medium Risk)</p>	Asset Management have obtained either the commissioning and installation certificates or a record of the most recent maintenance certificates and these have been stored on IPF and also a hard copy sent to the Responsible Premises Officer to be retained within the Fire Log Book		<div><div>100%</div></div>	31-Oct-2018	31-Oct-2018	Craig Jardine; Michelle Lynn	Complete.
T&PSR/IAAP/676	<p><u>9. Not all RPOs have received training</u> Regular RPO training should be carried out. RPO attendance should be</p>	This is an area has already been addressed by SL People & Technology and SL Regeneration in		<div><div>100%</div></div>	31-Oct-2018	31-Oct-2018	All Strategic Leads for respective areas (with RPO's)	Complete with an element of cyclical work.

Action Code	Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
	<p>recorded and monitored to ensure that all RPOs have received appropriate training and are aware of their responsibilities.</p> <p>(High Risk)</p>	<p>February 2017. Extensive efforts have been invested in securing a robust RPO list and thereafter to ensure all have been trained/undergone relevant elearn. Two face-to-face sessions have now been delivered. Furthermore, the SLG agreed in June 2018 that RPOs would undergo training on a bi-ennial basis or as and when there are changes in personnel (whichever is the earlier date). An RPO group will be established during 18/19 to aid discussion and learning.</p>						
T&PSR/IAAP/677	<p><u>10. Unsatisfactory Electrical testing reports</u></p> <p>Asset Management must consider whether the results of the electrical testing being carried out support their view that rectification work was previously carried out. Asset Management should closely monitor completion of electrical testing schedule to prevent slippage. Evidence of the work which is rectified should be included within the fire log book.</p> <p>(High Risk)</p>	<p>Asset Management have carried out a review of all electrical testing and have instructed re testing of same via Building Services. Asset Management will monitor the progress made by the electrical engineer to prevent slippage in future years. Processes have now been put in place to ensure evidence is available onsite following completion of rectification works. A written process will be circulated to appropriate staff within building</p>			31-Mar-2019	31-Mar-2019	Craig Jardine; Michelle Lynn	<p>Processes have been put in place to ensure that evidence of rectification of Electrical testing reports are included within the fire log book. We have carried out a review of electrical testing certification and meetings have been set up with Building Services to monitor progress on new electrical certification required.</p>



Action Code	Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
		services and monitored by the Compliance Group. It should be noted that a verbal process is currently in place.						
T&PSR/IAAP/678	<p><u>11. No Standard fire log book maintained across establishments</u></p> <p>Standard fire log book checklist detailing all information to be held should be developed by Health and Safety and rolled out to all establishments. (Medium Risk)</p>	We have a number of existing actions on our delivery plan that includes embedding more robust fire safety arrangements, these include training and instruction around the completion of the fire log book.		<div><div>80%</div></div>	31-Dec-2018	31-Dec-2018	Victoria Rogers	This action is on track and will be complete by the 31 December 2018 due date.
T&PSR/IAAP/679	<p><u>12. Asset Management unaware of issues raised in FRAs</u></p> <p>Asset Management and Health and Safety should evaluate whether the new process is working effectively. (Medium Risk)</p>	The teams now meet monthly and have an agreed approach to ensure that information is shared. This was an action put in place by SL Regen and P&T in 2017. Asset Management in addition to the monthly review have agreed with Corporate Health & Safety to attend FRA visits to ensure any works which are of an urgent nature are addressed timeously. Where FRA visits have already taken place without Asset Management being in attendance Asset Management are arranging to instruct the various works required and liaising with Corporate Health &		<div><div>100%</div></div>	31-Dec-2018	31-Dec-2018	John Duffy; Craig Jardine; Michelle Lynn	Complete.

Action Code	Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
		Safety.						
T&PSR/IAAP/680	<p><u>13. Insufficient communication between Asset Management and Health and Safety regarding the issues identified by FES</u></p> <p>Asset Management should involve the Fire Risk Officer in discussions around the rectification work required following the receipt of the FES reports.</p> <p>(High Risk)</p>	<p>Asset Management have had various meetings with the Fire Risk Officer in relation to preparation of tender documentation for both maintenance tender and new install. These will continue until tenders are issued.</p> <p>In addition to the monthly review meetings between Asset Management and Corporate Health &amp; Safety a six monthly review has been put in place to review all FRAs which are being carried by the Fire Risk Officer and Corporate Health &amp; Safety Officers.</p>		 100%	31-Mar-2019	31-Mar-2019	Craig Jardine; Michelle Lynn	Complete.
T&PSR/IAAP/681	<p><u>14. Staff training required regarding alarm panel operation</u></p> <p>Asset Management should assess which locations require training in the operation of alarm panels and arrange for this training to be provided.</p> <p>Once training has been provided staff who have received the training should sign a training log as evidence that the training has been given.</p>	<p>Asset Management will ensure that all locations where training is required in respect of the alarm panels is arranged and carried out.</p>		 100%	31-Dec-2018	31-Dec-2018	Craig Jardine; Michelle Lynn	Complete.






Action Code	Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
	(Medium Risk)							
T&PSR/IAAP/682	<p><u>15. Complaint to BAFE regarding issues identified by FES relating to fire alarm and systems installed or maintained by Alarmfast</u></p> <p>Asset Management should consider whether the complaint to BAFE should be reopened following their review of the issues identified by FES.</p> <p>(Medium Risk)</p>	Asset Management will review this with an independent electrical consultant to confirm whether a formal complaint is warranted.			31-Jan-2019	31-Jan-2019	Craig Jardine; Michelle Lynn	Engaged with electrical contractor to review FES Reports. Following completion of tender specification a further review of complaint will take place.




## Appendix 2

### Internal Audit Reports (Previously Issued)



Generated on: 05 December 2018

Action Status	
	Cancelled
	Overdue; Neglected
	Unassigned; Check Progress
	Not Started; In Progress; Assigned
	Completed

#### Project 117. Stocks & Stores (Report Issued May 2017)


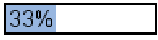
Action Code	Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
CS/IAAP/511	<p><u>3. Obsolete Stock</u> Building services are proposing to close the store at Elm road in the next three to six months and transfer all stocks held there to the stores at Overburn. Building services should utilise the rationalisation of the stores to identify all obsolete or damaged stock and dispose of them as appropriate.</p> <p>(Low Risk)</p>	<p>Present a paper to the DLO board on Building Services stores rationalisation proposals for approval including actions to effectively and efficiently progress obsolete stock</p> <p>Carry out stores rationalisation</p> <p>Remove, sell / scrap obsolete items as appropriate and reconcile appropriate stock levels and values to each Building Services store</p>		<div><div>33%</div></div>	31-Oct-2017	21-Dec-2018	Martin Feeney	<p>1 of 3 milestones has been completed.</p> <p>The Council is reviewing the depot rationalisation project and this is likely to delay the decision to rationalise Building Services stores.</p> <p>Work to remove obsolete stock continues and should be completed by the target date as planned.</p>

**Project 119. Fine Art Collection (Report Issued August 2017)**

Action Code	Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
CS/IAAP/517	<p><u>2. Joan Eardley Painting</u> It is recommended that advice be sought from Legal Services with a view to seeking up to date / definitive confirmation that two Local Authorities have withdrawn from the agreement for the Joan Eardley painting which was previously shared with three other Local Authorities. Thereafter, there is no requirement to make contact with the parties concerned who have withdrawn to seek permission to display the painting.</p> <p>(Low Risk)</p>	<p>We currently hold historic letters / emails from a variety of sources giving conflicting information with regard ownership (or withdrawal of ownership) from both Councils. Having previously sought information on the status of the agreement, it was apparent that there was poor communication within these authorities and their current cultural managers were unable to provide definitive clarification.</p> <p>Advice will now be sought from WDC Legal to word an appropriate letter to be sent to both Authorities seeking written clarification and conformation that they have withdrawn from the agreed ownership. This milestone is well underway and has involved meetings with Legal Services with Cultural Services providing background info. Whilst there has been some delay to this action due to staff</p>			30-Sep-2017	31-Dec-2017	Gill Graham	<p>We are still awaiting communication from East Dunbartonshire in regard a decision on the future ownership of the Eardley painting. In August East Dunbartonshire Legal Services advised they were arranging for their files on ownership of the Joan Eardley painting to be retrieved and examined to ascertain the background to this matter. Since the last update in August and despite a reminder being sent no update has been received from East Dunbartonshire .</p>


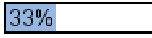
Action Code	Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
		absence and the complexity of archive correspondence involved a letter to the two authorities involved is now with Legal and in the final stages of drafting. As of end Nov 2017 An appropriate letter, drafted with Legal advice, has been produced and sent to the relevant authorities , seeking written clarification and conformation that they have withdrawn from the agreed shared ownership.						

**Project 120. ICT Disaster Recovery/Business Continuity Controls (Report Issued August 2017)**



Action Code	Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
CS/IAAP/520	<u>2. DR Plans for the main telephony delivery systems have yet to be implemented/tested</u> Management must set in place plans and timescales to effectively test DR arrangements for the main telephony systems.  (Medium Risk)	ICT will develop the implementation plan for this test by the end of October			31-Oct-2017	31-Dec-2018	Brian Miller	23/11/2018 - 1 milestone of 3 completed. Routing date delayed due to underlying network issue found as part of change control process. Resolution work scheduled to take place 8th/9th December (subject to agreement). Telephony replacement project started but cannot proceed until underlying network routing issue resolved. Potential for date to slip past 31st

Action Code	Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
								December due to outstanding routing issue and knock on effect.


**Project 121. Purchasing Card Audit (Report Issued August 2017)**

Action Code	Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
CS/IAAP/528	<p><u>2b. Terminating Purchase Cards when employees leave</u> As part of the employee leaving process a procedure should be added to ensure that any purchase cards an employee holds are terminated.</p> <p>(Low risk)</p>	Further development required with Workforce Management System to identify staff with CPC to have automated notifications where staff move location, section or terminate employment to ensure robust management of CPC distribution and manager notifications.			30-May-2018	31-Mar-2019	Stella Kinloch	WMS development for Corporate Purchase Card Data development moved to schedule for December 18 due to workload following WMS upgrade


**Project 126. Schools Estate Strategy (Report Issued April 2018)**

Action Code	Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
T&PSR/IAAP/597	<p><u>1. School Estates Strategy</u> The School Estates Strategy was last reviewed and updated in March 2012, i.e. six years ago. It is recommended that the School Estates Strategy is reviewed and updated in order to bring it in line with the current requirements and changes.</p> <p>(Medium Risk)</p>	Asset Management will work with Education to update the current Schools Estate Strategy once clear priorities are known from the new administration.				31-Dec-2018	Craig Jardine; Laura Mason	As at early December the new School Estate Plan is well progressed and will be in final draft by due date.




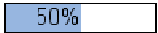
Action Code	Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
T&PSR/IAAP/598	<p><u>2. Value for money</u> Post completion financial information, i.e. savings made from the school rebuilding programme along with other performance indicators was not prepared. However, there is a risk that the expected outcome and savings from some of the new built schools may not be achieved. It is recommended that management on an ongoing basis calculate financial and non-financial information and monitor various performance indicators for the schools in the rebuilding programme.</p> <p>(Medium Risk)</p>	Asset Management will work with Finance and Education to quantify all projected savings as per estimated values within the business case.		<div><div>50%</div></div>		31-Mar-2019	Craig Jardine; Joe Reilly	One out of two milestones has been completed, with the draft Post Project Review documents complete and discussed at Strategic Asset Management Group.

### Project 128. Payroll - Overtime (Report Issued May 2018)





Action Code	Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
T&PSR/IAAP/608	<p><u>1. Overtime - Building Services/Repairs &amp; Maintenance</u> In relation to Building Services / Repairs &amp; Maintenance, in order to continue to manage the level of overtime, it is recommended that consideration be given to:</p> <ul style="list-style-type: none"> <li>- Adopting a more flexible approach to working; and</li> <li>- Employing more personnel, paid at plain time, to cover the anticipated demand for</li> </ul>	Negotiations with TU's to introduce more flexibility into working patterns within service provision commenced in 2017 and it is hoped a positive outcome will be achieved in 2018/2019. This may introduce seasonal working, extended hours Mondays to Thursdays and Saturday mornings would be considered part of the standard		<div><div>42%</div></div>		31-Mar-2019	Martin Feeney	<p>This action has 7 milestones 3 of which are complete and the action is on track for completion by target date.</p> <p>The issuing of the draft proposal to TU's and workforce which was due in early November has had to be delayed slightly and will now be issued before the festive break. This was due to additional work required to ensure</p>



Action Code	Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
	<p>services rather than paying some existing staff at enhanced rates.</p> <p>(Medium Risk)</p>	<p>week with all paid as standard time. If agreed it could mean a reduction in overtime costs for emergency repairs and overtime to complete projects and void house repairs. It would also allow better utilisation of resources for external project works with extended hours in Spring / Summer / Autumn and reduced hours in the Winter months (seasonal working). In addition, we will analyse if there are any benefits in employing additional staff to reduce expenditure on overtime as part of our regular workforce planning meetings where Building Services review resource requirements.</p>						<p>there is no inconsistency with the Council's policies.</p>


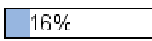

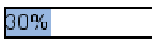
**Project 131. ICT Remote Access Controls (Report Issued May 2018)**

Action Code	Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
T&PSR/IAAP/613	<p><u>1. Data handling Terms and Conditions required for 3rd party access to WDC information</u> Management should develop a standard 3rd party suite of data handling terms and conditions to protect WDC information whilst 3rd party vendors carry out support activities.</p> <p>(Medium Risk)</p>	ICT will assist Legal Services in the development data handling terms and conditions.			30-Sep-2018	31-Mar-2019	Alan Douglas; James Gallacher; Iain Kerr; Patricia Kerr	This action has been put on hold indefinitely pending the output from the Scottish Government appointed supplier producing an appropriate procurement tool. In the meantime where instructed in respect of any Contract, Legal Services will include within the terms of any contract suitable terms relating to data handling which are GDPR / Data Protection Act 2018 compliant.





**Project 133. Data and Information Security – Governance and Practice (Report Issued May 2018)**

Action Code	Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
T&PSR/IAAP/617	<p><u>2. Automation of vulnerability detection / resolution / reporting</u> In order to enhance both the PSN and Cyber Essentials accreditation processes, an automated tool identifying, resolving and reporting on vulnerabilities should be acquired for implementation during the current financial year.</p> <p>(Low Risk)</p>	Funding has been approved to acquire an enterprise level vulnerability scanning/discovery tool for a period of one year initially. A draft specification paper will be drawn up for review by the ICT board and subsequently published on PCS for quick quotes, and for implementation thereafter.			31-Jul-2018	10-Jan-2019	Iain Kerr	ICT and Security officer met with vendors account manager on 23rd Nov to discuss issues with installation. The account manager acknowledged the problems and committed to having everything required in place before the Xmas break
T&PSR/IAAP/618	<p><u>3. Attainment of Payment Card Industry (PCI) Data Security Standard</u></p>	Pilot devices are currently at testing stage and full			30-Sep-2018	31-Dec-2018	Iain Kerr; John Martin; Brian Miller	Nov 18 - 2 of 3 milestones complete. Device testing restarted due to


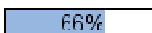

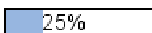

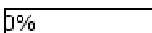
Action Code	Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
	<p>The remaining specific actions, as detailed below, require to be completed so that WDC can achieve PCI compliance:</p> <ol style="list-style-type: none"> <li>1. Provision and deployment of tablet devices for the receiving and processing of card payments;</li> <li>2. Completion of Self-Assessment Questionnaire and submission thereafter to PCI DSS authorising body; and</li> <li>3. Establishment of quarterly scans by an external provider.</li> </ol> <p>(Medium Risk)</p>	<p>deployment will take place when user sign off is received.</p> <p>Items 2 and 3 will be carried out once item 1 has been completed.</p>						implementation of new system. Investigation into card not present machine to take place as alternative solution.
T&PSR/IAAP/620	<p><u>5. Combined procurement approach for PSN / PCI / Cyber Essentials</u></p> <p>A coordinated procurement approach covering the compliance requirements for PSN, PCI and Cyber Essentials should be progressed.</p> <p>(Low Risk)</p>	<p>Although an exercise to carry out the PSN IT Health Check will progress this year, a regulated procurement exercise will follow for subsequent years to combine tests for each of the compliance regimes, initially over a three year period.</p>		<div>0%</div>	31-Mar-2019	31-Mar-2019	Iain Kerr	Milestone dates have been changed pending results of current annual IT Health Check
T&PSR/IAAP/621	<p><u>6. Supply Chain Cyber Security Policy</u></p> <p>Once the final Supply Chain Cyber Security Policy is issued by the Scottish Government, a process needs to be established to implement the laid down requirements.</p>	<p>Meetings will take place between Annabel Travers, Iain Kerr and Patricia Kerr to determine how the <i>Supply Chain Cyber Security Policy</i> will be processed and implemented. The process will be captured</p>		<div>50%</div>	31-Dec-2018	31-Dec-2018	Iain Kerr; Patricia Kerr; Annabel Travers	Oct 18. No update to date from SG.

Action Code	Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
	(Medium Risk)	in a guidance document and published on the intranet with an email sent out to the CPU and ICT staff.						
T&PSR/IAAP/622	<p><u>7. Update required to Acceptable Use Policy</u> The Council's Acceptable Use Policy (AUP) should be reviewed and updated.</p> <p>(Low Risk)</p>	The AUP will be reviewed as an Information Security policy, taking into account changes in working practices and legislation since the last review, input will be required from ICT, Legal and possibly procurement.			31-Mar-2019	31-Mar-2019	Iain Kerr	There are 6 milestones for this action the first of which is underway and on target
T&PSR/IAAP/623	<p><u>9. Information Governance Scheme</u> An Information Governance Scheme should be developed, approved and introduced.</p> <p>(Low Risk)</p>	<p>Whilst the relevant information exists on the Records Management page of the Staff Intranet, it is believed that such an Information Governance Scheme will assist employees to understand the inter-relationships between various governance documents and internal and external requirements.</p> <p>The scheme will form a useful first port of call for Employees seeking to understand how information should be dealt with across the Council. It will require significant input from colleagues across the Council.</p>			31-Mar-2019	31-Mar-2019	Alan Douglas	On track.

**Project 134. Use of Care First Functionality for Financial Management (Report Issued May 2018)**

Action Code	Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
T&PSR/IAAP/624	<p><u>1. System Functionality</u> A review should be undertaken to determine if the personal budgeting screen could be utilised by other client teams and if it can't whether from a cost benefit analysis it is worth maintaining the functionality.</p> <p>In addition an analysis should be done by the teams on what information they currently use and need and whether the use of business objects could assist with this.</p> <p>(Medium Risk)</p>	<p>The Self Directed Support (SDS) policy is currently under review, in preparation for potential inspection. Terms of review maybe extended to consider the appropriateness of using CareFirst to assess client packages.</p>			31-Mar-2019	31-Mar-2019	Wendy Jack	As the rollout of SDS increases we will be identifying staff/teams to carry out testing of the screen to see if it is fit for purpose. An analysis of cost benefits will be carried out thereafter.
T&PSR/IAAP/627	<p><u>4. Upgrade to Civica</u> Thought should be given to upgrading Civica to enable edits to be made to documents in the system. Alternatively thought should be given to how to improve the calculations produced by Care First to completely avoid the duplication of files.</p> <p>(Medium Risk)</p>	<p>Consideration will be given to upgrade, in the climate of competing budget priorities. Civica is used throughout the council. Consideration will be given again to check if other services out-with the HSCP are now in a position where they would find the package useful. An assessment will be carried out to assess use of staff time, to determine if this would be cost effective to purchase.</p>			31-Dec-2018	31-Dec-2018	Jacqueline Pender	Roll out of Civica continuing within HSCP. Areas for development identified can be covered by the existing functionality, therefore no other users within the HSCP require the additional functionality of the upgrade. We will revisit whether other Strategic Areas are interested in using upgraded functionality: initial checks proved negative.





**Project 136. Central Repairs & Maintenance Budget (Report Issued September 2018)**

Action Code	Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
T&PSR/IAAP/632	<p><u>1. Review of Service Level Agreement</u> The Service Level Agreement (SLA) has not been reviewed at least since 2015. The SLA is out date. It is recommended that the SLA is reviewed promptly in order to bring it in line with current rules and practice.</p> <p>(Medium Risk)</p>	SLA shall be reviewed and renewed.			31-Dec-2018	31-Dec-2018	Martin Feeney	<p>This action has 3 milestones 2 of which are completed.</p> <p>Action is on track for completion by target date.</p>
T&PSR/IAAP/633	<p><u>2. Profess Issue</u> It is recommended that the current Schedule of Rates is used for all non-capital works for estimation and invoicing purposes, for Priority 2 and 3 works the estimates are input into Profess, in order for effective management of the budget.</p> <p>(Medium Risk)</p>	<p>The introduction of the new Integrated Housing Management System will combat the limitations which currently exist with the Profess system. Interim measures will be put in place to minimise any reoccurring issues and a sample audit will be carried out on a regular basis.</p> <p>Further training for instructing officers/supervising officers and administrative staff will be carried out.</p>			31-Mar-2020	31-Mar-2020	Martin Feeney	<p>This action has 4 milestones 1 of which is complete and it has been necessary to extend one milestone.</p> <p>This was necessary as the recruitment of the property coordinator has taken longer than anticipated.</p> <p>The action remains on track for completion by target date.</p>
T&PSR/IAAP/635	<p><u>4. New System to be put in place</u> It is recommended that all records and transactions in the Profess system are tidied up in order to ensure a</p>	Work programme is ongoing by the Project Team and is regularly monitored.			31-Mar-2020	31-Mar-2020	Martin Feeney	<p>This action has 3 milestone with none complete or overdue; the action is on track for completion by target date.</p>

Action Code	Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
	smooth transition between the two systems.  (Low Risk)							Work is progressing on cleansing data on the profess system and developing the Integrated Housing Management System (IHMS) to allow successful transfer of necessary data in preparation for the go live date of the new IHMS.





## Code of Good Governance - Improvement Action Plan




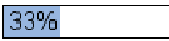

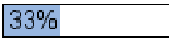

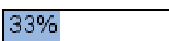
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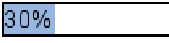


Project Improvement Actions for 2018-19								
Action Code	Recommendation	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note	
P&T/1819/O D/03	<u>1. Be the Best Conversations</u> Continue to embed Be The Best Conversations council wide.				31-Mar-2019	Lorraine Mair	Planned follow up meetings with Service Managers are now complete, although ongoing dialogue will continue to ensure that support is provided where required.	
RES/1819/025	<u>2a. Implementation of Procurement Policies</u> Ensure practical implementation of Procurement Policies and Guidance, through increasing % of spend that Corporate Procurement Unit view as being on contract; and updates of Category Strategies through PRMG				31-Mar-2019	Annabel Travers	The CPU have:  - Amalgamated into the Contract and Supplier Management Policy which was approved by the Corporate Services Committee on September 2018.	



Action Code	Recommendation	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
							<ul style="list-style-type: none"> <li>- Produce the procurement Annual Report and publish to the internet.</li> <li>- Rolled out Procurement Awareness training across the Council.</li> <li>- Put our Procurement Timescales on the intranet.</li> <li>- Put our Procurement Process on the intranet.</li> <li>- Put our Procurement Guidance Below £50K on the intranet.</li> <li>- Put our generic evaluation matrix on the intranet.</li> <li>- Put our FAQ Below £50K on the intranet.</li> <li>- Put our FAQ Above £50K on the intranet.</li> <li>- Developed a Council Wide Pipeline so we monitor activity across the category teams.</li> <li>- Rolled out the Procurement Request Form.</li> </ul> <p>Next Steps:</p> <p>The CPU will develop the Procurement Manual.</p>






RES/1819/02 7	<u>2c. Implementation of Procurement Policies</u> Ensure practical implementation of Procurement Policies and Guidance, through increasing % of spend that Corporate Procurement Unit view as being on contract; and updates of Category Strategies through PRMG				31-Mar-2019	Annabel Travers	Continue with the P2P Project - Phase 2:  <ul style="list-style-type: none"> <li>• Purchase Card Facilitation Provider - 86% Complete</li> <li>• PECOS Integration - 54% Complete</li> <li>• Advance Order Funding - 70% Complete</li> <li>• Agresso Card Payment File - 100% Complete</li> <li>• Supply Market Based Rebate This is no longer a separate exercise but is part of the supplier onboarding strategy for Basware / cards etc - 100% Complete</li> <li>• Manual Invoice Digitisation - 24% Complete</li> <li>• Commitment Accounting - 0% Complete</li> </ul> Select and implement a project for the pilot to trial the use of the e-auction system:  Not yet started.
GOV-18-003	<u>3. Strategic improvement framework activity</u> Ensure full implementation of the strategic improvement framework activity on user satisfaction and benchmarking.			31-Dec-2018	31-Dec-2018	Amanda Coulthard	Good progress is being made, with a WDC submission made for the pilot of corporate benchmarking data, roll out of the strategic improvement framework well underway and improvement activity being identified as a result.

GOV-18-005	<u>5. Performance framework for LOIP</u> Ensure a performance framework is in place that describes how the delivery of outcomes defined in the LOIP will be measured			31-Oct-2018	31-Dec-2018	Amanda Coulthard	final completion of this action has been extended to December 2018 to allow refreshed Improvement Service data to be considered. Proposed targets will be considered during action plan development for Delivery & Improvement Groups in November/ December 2018.
GOV-18-007	<u>7. Participative budgeting</u> Explore how our approach to participative budgeting can inform service prioritisation and planning			31-Mar-2019	31-Mar-2019	Amanda Coulthard; Gillian McNeilly	This action is currently on target with 2 further actions due completed later in 2018/19, the next target date being January 2019
RES/1819/028	<u>10. Social Value</u> Consider whether 'social value' (i.e. community benefits) is appropriately covered by current WDC approach to procurement				31-Mar-2019	Annabel Travers	The preparation for the Procurement and Commercial Improvement Programme assessment in October was completed. Actions arising from the assessment will be reflected in the Procurement Strategy Action Plan to be implemented over the two year period between assessments.
GOV-18-011	<u>11. Continuous improvement</u> Improve approach to continuous improvement , including benchmarking and customer feedback approach, proof of "best value"			30-Jun-2019	30-Jun-2019	Amanda Coulthard	Self Evaluation Framework and linked benchmarking framework are now in year three of the three year cycle. Learning will be applied to future activity.  question set was updated to reflect learning from years one and two with ongoing review built in to the model.


T&PSR/IAAP/ 623	<u>12. Information Governance Scheme</u> An Information Governance Scheme should be developed, approved and introduced.  (Low Risk)			31-Mar-2019	31-Mar-2019	Alan Douglas	On track.
GOV-18-013	<u>13. Role of Audit Committee</u> Review effectiveness of Audit Committee based on Cipfa Guidance			31-Dec-2018	31-Dec-2018	Colin McDougall	A review of the effectiveness of the Audit Committee is being submitted to the Audit Committee on 12th December 2018.



## Appendix 3 External Audit Reports


Generated on: 05 December 2018



Action Status	
	Cancelled
	Overdue; Neglected
	Unassigned; Check Progress
	Not Started; In Progress; Assigned
	Completed

### Project 23. 2017/18 Annual Audit Report


Action Code	Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
T&PSR/EAAP/170	<p><u>1. Housing revenue account – housing stock</u> Through the audit, it was found that 12 new build properties, totalling £1.663 million, were omitted from the fixed asset register. This move, from assets under construction to council dwellings, resulted in an impairment of £0.985 million.</p> <p><b>Risk</b> There is a risk that without proper procedures, the fixed asset register is incomplete.</p>	Process will be reviewed.		<input type="text" value="0%"/>	31-May-2019	31-May-2019	Gillian McNeilly	This action is on target to be completed by the deadline date


Action Code	Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
	<b>Recommendation</b> The Council should review its procedures for identifying housing stock which should be included in the fixed asset register.							
T&PSR/EAAP/171	<p><b>2. Remuneration Report disclosure</b>  The table in the Remuneration Report showing employees who earned over £50,000 indicates that the increase in the number shown from last year to this year is due to 14 payment runs in 2017/18. This table has been calculated on a cash basis and should have been calculated on an accruals basis.</p> <p><b>Risk</b>  The table does not accurately reflect those employees who earn over the threshold for disclosure in the remuneration report.</p> <p><b>Recommendation</b>  The Council should ensure that satisfactory arrangements are put in place to produce this table on an accruals basis, in line with the rest of the Remuneration Report.</p>	Process will be changed to undertake on an accruals basis		<div><div>0%</div></div>	31-May-2019	31-May-2019	Gillian McNeilly	This action is on target to be completed by the deadline date
T&PSR/EAAP/172	<p><b>3. Group boundary assessment and basis of combination</b>  The trust funds and common good fund have not been</p>	Process and presentation will be updated.		<div><div>0%</div></div>	31-May-2019	31-May-2019	Gillian McNeilly	This action is on target to be completed by the deadline date

Action Code	Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
	<p>accounted for as subsidiaries. As the Council is the sole trustee for these funds, this indicates that the incorrect accounting treatment is being applied within the group financial statements. This is a disclosure adjustment only and we have accepted this treatment for 2017/18.</p> <p><b>Risk</b> The incorrect accounting treatment is being applied for components within the group financial statements.</p> <p><b>Recommendation</b> Management should undertake an annual group boundary assessment to identify any changes within the group for the year. Officers should also review the basis of combination of entities included within the assessment.</p>							
T&PSR/EAAP/173	<p><u>4. Untaken annual leave accrual</u> (b/f) As in previous years, our review of the untaken annual leave accrual identified an error within the calculations. The net effect resulted in an increase of £0.140 million.</p> <p><b>Risk</b> The annual leave accrual is not properly calculated.</p>	<p>A further review of procedures for calculation and reviewing will take place to ensure the annual leave accrual is calculated accurately.</p>		<div><div></div></div> 0%	31-Mar-2019	31-Mar-2019	Gillian McNeilly	This action is on target to be completed by the deadline date

Action Code	Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
	<b>Recommendation</b> The Council should review its procedures for calculating the annual leave accrual.							
T&PSR/EAAP/174	<u>5. Accounts payables/receivables working papers</u> The initial set of working papers received for accounts payable and receivable did not provide a clear audit trail or breakdown of all outstanding balances at year-end.  <b>Risk</b> There is an increased risk of material error in the financial statements.  <b>Recommendation</b> The Council should review its procedures for producing working papers at the year end. Specifically, working papers for balances should not include transactions during the year.	Further discussions with external audit will take place to identify more appropriate working papers and templates agreed with external audit prior to the start of the process.		<div><div></div></div> 0%	30-Jun-2019	30-Jun-2019	Gillian McNeilly	This action is on target to be completed by the deadline
T&PSR/EAAP/176	<u>7. Housing Revenue Account - methodology for calculating and allocating HRA costs</u> Guidance from the Scottish Government on operating Local Authority Housing Revenue Accounts (HRA) states that there must be a robust, written methodology for calculating and allocating HRA costs (including internal costs charged by the council to the HRA). The Council requires to formalise its	Methodology will be defined within future reports to Council on Finance Strategy.		<div><div></div></div> 0%	30-Nov-2018	31-Mar-2019	Stephen West	Methodology exists - to be formalised through budget process for 2019/20 budget.




Action Code	Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
	<p>written methodology.</p> <p><b>Risk</b> Without a formal written methodology there is a lack of transparency for tenants and other interested parties to understand why costs are being charged and who is benefitting from the services these costs relate to.</p> <p><b>Recommendation</b> The council should formalise its written methodology in line with the Scottish Government guidance and, to improve transparency, consider publishing this on its website.</p>							
T&PSR/EAAP/177	<p><u>8. Inventories</u> A number of issues were found while auditing inventories. Stock which had been written-off during the year had not been eliminated from the year-end balance. We also found an instance where stock included in the financial statements was not supported by a stock certificate.</p> <p><b>Risk</b> From our audit work we have concluded there is a high risk of obsolete stock being included in the year end value.</p> <p><b>Action</b> Current stock will be</p>	<p>Current stock will be reviewed and checked for obsolescence and any identified will be written-off. Stock certification process will now include a secondary review.</p>		<div><div>0%</div></div>	31-Mar-2019	31-Mar-2019	Stephen West	Process to review existing stocks will be completed by 1/3/2019.

Action Code	Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
	reviewed and checked for obsolescence and any identified will be written-off. Stock certification process will now include a secondary review.							
T&PSR/EAAP/180	<p><u>11. Fixed asset register</u> From our audit testing of noncurrent assets we found assets in the fixed asset register with a negative net book value totalling £0.080 million. This is due to excess depreciation being charged in error.</p> <p><b>Risk</b> Assets are incorrectly accounted for in future financial statements.</p> <p><b>Recommendation</b> Officers should review the controls over the fixed asset register. Officers could implement a formula to highlight any assets which move from a positive to negative value.</p>	The asset register processes will be reviewed.		<div><div>0%</div></div>	31-Mar-2019	31-Mar-2019	Gillian McNeilly	This action is on target to be completed by the deadline date


# Local Scrutiny Plan 2018/19

Generated on: 05 December 2018




## 1. Housing and Homelessness

Code & Title	Status Icon	Progress Bar	Due Date	Ownership Assigned To	Latest Note
H&E/1819/HD&H/011 Deliver the Scottish Social Housing Charter outcomes		<div><div>83%</div></div>	31-Mar-2019	John Kerr	Action on track with 5 of the 6 milestones now completed. It is expected that this action will be fully completed within target timescale.

## 2. Absence Levels


Code & Title	Status Icon	Progress Bar	Due Date	Ownership Assigned To	Latest Note
P&T/1819/SHR/02 Continue to implement the Council's Employee Wellbeing Strategy.		<div><div>50%</div></div>	31-Mar-2019	Anne Marie Cosh	This action has 12 milestones, 6 of which are complete (quarterly monitoring of Occupational Health/Counselling contracts; development/implementation of themed actions by Employee Wellbeing Group; and development of improved absence recording functionality on the workforce management system) and none of which are outstanding. The action is expected to be achieved by the due date.

## 3. Financial sustainability

Code & Title	Status Icon	Progress Bar	Due Date	Ownership Assigned To	Latest Note
RES/1819/009 Review and update long term finance strategy		<div><div>67%</div></div>	31-Mar-2019	Stephen West	Long Term Finance Strategy finalised and reported to November 2018 Council
RES/1819/013 Provide timely and accurate budgetary control reporting for Council and associated bodies		<div><div>55%</div></div>	31-Mar-2019	Gillian McNeilly	Budgetary Control Report for P5 now prepared and presented for Council on 27 September 2018
RES/1819/014 Report agreed savings options and management adjustments		<div><div>55%</div></div>	31-Mar-2019	Gillian McNeilly	Information was provided to Members for period 5 projections at Council on 27 September 2018

through the budgetary control process					
RES/1819/015 Provide timely and accurate financial statements for the Council and associated bodies		<div><div>100%</div></div>	31-Mar-2019	Gillian McNeilly	Following audit, the draft Municipal Bank Financial Statements are due to be reported to the Board on 7 November 2018. Thereafter this action will be fully completed


#### 4. Shared Services

Code & Title	Status Icon	Progress Bar	Due Date	Ownership Assigned To	Latest Note
E&N/1819/006 Continue to progress the roads collaborative programme and consider the benefits of sharing other Environment & Neighbourhood services		<div><div>75%</div></div>	31-Mar-2019	Ronnie Dinnie	Detailed discussions with Trade Unions and an inability to reach agreement has led to a much reduced implementation. A report was approved at September Council to appoint a Strategic Lead for shared services between WDC and Inverclyde Council. This will deliver a shared management capacity. The interviews took place on 24 Oct and the post has been filled.


## Best Value Assurance Report Actions

Generated on: 23 November 2018


Th	1. Capital Programme Management				
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Action	Status	Progress	Due Date	Comment	Assigned To
CORP/BVAR/01 Capital Planning project management approach reviewed and updated with a focus on reducing slippage		<div><div>50%</div></div>	31-Jan-2019	Analysis of drivers for slippage carried out along with a review of current practice against highlighted guidance. Existing programme management guidance will be reviewed based on learning from these exercises.	Craig Jardine


Th	2. Workforce Planning				
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Action	Status	Progress	Due Date	Comment	Assigned To
CORP/BVAR/02 Workforce planning framework embedded and further developed, Long term risk-based scenario planning developed, including the forecasting of workforce numbers, composition and costs		<div><div>50%</div></div>	31-Aug-2019	This action has 4 milestones, 2 of which are complete and none of which are outstanding. It is expected that the action will be delivered by the due date.	Alison McBride


Th	3. Attendance				
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Action	Status	Progress	Due Date	Comment	Assigned To
CORP/BVAR/03 Employee wellbeing strategy implemented and measures embedded and Sickness absence continues to reduce		<div><div>60%</div></div>	31-Oct-2019	This action has 5 milestones, 3 of which are complete and none of which are outstanding. It is expected that the action will be delivered by the due date (although ongoing implementation of the 5 year Employee Wellbeing Strategy will continue thereafter).	Alison McBride

Th	4. Community Empowerment
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Action	Status	Progress	Due Date	Comment	Assigned To
CORP/BVAR/04 Community Empowerment Strategy in place with supporting mechanism in place for strategic engagement of community organisations using principles of engaging communities framework		<div><div>33%</div></div>	30-Jun-2019	Positive progress has been made with the planned inception meeting of the CE Steering Group and the recent appointment of the Scottish Community Development Centre (SCDC) to lead on the strategic engagement across WD. This project remains on track to be delivered by the stated timescales.	Elaine Troup

Th	5. Cross-party working
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Action	Status	Progress	Due Date	Comment	Assigned To
CORP/BVAR/05 Robust arrangements in place to ensure Elected Members are sufficiently informed and have all relevant information available to inform decision making.		<div><div>50%</div></div>	28-Feb-2019	Views have been sought from political parties in WDC in relation to cross party working. Further activity is planned around research on cross party working in other single party administrations in Scotland.	Peter Hesselst