






Appendix A



Agreed Action Plans issued during the period 15 October 2012 to 14 January 2013









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

Project 47. Treasury Management


Action Code	Recommendation Title	Recommendation Detail	Status	Progress Bar	Action Due Date	Assigned To	Note
CED/IAAP/190	1. Loan Reconciliations	It is recommended that all coding errors are corrected and reconciliations brought up-to-date as quickly as possible and that they are kept up-to-date. (MEDIUM RISK)		 100%	09-Nov-2012	Karen Shannon	Complete.

Project 48. Housing - Repairs & Maintenance S.020.13







Action Code	Recommendation Title	Recommendation Detail	Status	Progress Bar	Action Due Date	Assigned To	Note
CED/IAAP/182	1. Procedures Manual	A fully comprehensive procedures manual should be produced and made available to all employees. (Medium Risk)		<div><div></div></div> 25%	31-Dec-2013	Martin Feeney	This has been completed, however both Maintenance and Repairs and Strategy teams agreed reconciliation of figures will commence for the end of this financial year (2012/13) and monthly thereafter
CED/IAAP/183	2. Number of Dwellings	The figure for the number of council dwellings should be checked to and agreed with the figures used by the strategy section. (Low Risk)		<div><div></div></div> 100%	31-Oct-2012	Martin Feeney	
CED/IAAP/184	3. a) Contractors	All contractors used must be on the list maintained by the Health & Safety officer of contractors who are Health & Safety pre qualified. (Low Risk)		<div><div></div></div> 25%	31-Oct-2013	Martin Feeney	
CED/IAAP/185	3. b) Contractors	Contractors should tender for work where applicable. (Low Risk)		<div><div></div></div> 16%	31-Oct-2013	Martin Feeney	Instructions will be included in team briefs to be delivered in February to all staff reiterating procedures Procedures have been reviewed and it is believed that the errors identified was a result of the processes being overlooked following the adverse weather conditions (storms Jan 2012) and were unlikely to be a reoccurring issue. Staff have been briefed on the importance of following the recharge procedures. It is unlikely that advance payment prior to work commencing will be implemented. However, the Council is carrying out a review of its Sold
CED/IAAP/186	4. Tenants Signature on Job Tickets	Tenants signatures should be obtained where possible as evidence that the work had been completed. (Low Risk)		<div><div></div></div> 100%	31-Oct-2012	Martin Feeney	
CED/IAAP/187	5. Re-charges to Tenants & Owner Occupiers	Re-chargeable jobs should be advised to the section responsible for issuing invoices in all cases. Where possible payments should be requested in advance of work commencing. (Low Risk)		<div><div></div></div> 100%	30-Nov-2012	Martin Feeney	






Action Code	Recommendation Title	Recommendation Detail	Status	Progress Bar	Action Due Date	Assigned To	Note
CED/IAAP/188	6. Independent Check of Invoices	Invoices should be independently checked before being issued. (Low Risk)		<div><div></div></div> 0%	31-Mar-2013	Alan Young	Property Service as part of the APSE review of Maintenance and Repairs and updated processes and procedures may be implemented following recommendations from the review. Still on target.
CED/IAAP/189	7. Number of Dwellings reported in Audit Scotland KPI	The correct figure for the Number of Dwellings should be confirmed when using the figures for reporting purposes. Where there is uncertainty in reporting the Number of Dwellings figure a disclaimer should be included. (Low Risk)		<div><div></div></div> 75%	31-Mar-2013	John Kerr 2	The systems discrepancies have now been overcome and recording and reporting is now consistent throughout all systems, this will be further tested during the year end reporting and will negate the need for any disclaimer as the figure will be accurate and be able to be evidenced.




Project 49. Procurement 12-13 S.015.13

Action Code	Recommendation Title	Recommendation Detail	Status	Progress Bar	Action Due Date	Assigned To	Note
CED/IAAP/191	1. Integrity and Ethical Values	The Code of Conduct and Whistleblowing procedures should be communicated to stakeholders, contractors and agencies, service providers and their employees who come in contact with WDC. (Low)		<div><div></div></div> 30%	31-Mar-2013	Angela Salmons	Work on the new standard tender documentation is currently in progress and this will include links to both the Public Interest Disclosure Policy and the Code of Conduct for Employees. This work is expected to be complete by the end of March 2013



Project 50. NDR Liability 2013


Action Code	Recommendation Title	Recommendation Detail	Status	Progress Bar	Action Due Date	Assigned To	Note
CED/IAAP/202	1. Management Review of Reliefs / Exceptions	Controls should be introduced to ensure that reports of the total value of reliefs and exemptions granted are regularly produced and reviewed by management. These should be compared with historical and budgetary information. (Medium Risk)		<div><div></div></div> 0%	30-Jun-2013	Karen Shannon	Still on target.
CED/IAAP/203	2. Legislation	Consideration should be given to downloading NDR legislation into a shared drive for ease of access by staff. (Low Risk)		<div><div></div></div> 0%	30-Jun-2013	Karen Shannon	Still on target.
CED/IAAP/204	3. Procedures Manual	Management should prepare a procedures manual detailing all key tasks to be carried out by NDR staff. (Medium Risk)		<div><div></div></div> 0%	30-Sep-2013	Karen Shannon	Still on target.
CED/IAAP/205	4. Annual Report to Council of Discretionary Relief	Senior management should ensure compliance with the requirement to produce an annual report to members detailing the discretionary relief of rates awarded during the previous financial year. (Low Risk)		<div><div></div></div> 0%	30-Jun-2013	Karen Shannon	Still on target.
CED/IAAP/206	5. Discretionary Relief Policy	The Council's Discretionary Relief Policy should be reviewed including the formula used to calculate the 'sporting element'. (Medium Risk).		<div><div></div></div> 0%	30-Jun-2013	Karen Shannon	Still on target.
CED/IAAP/207	6. Change of Occupancy	The standard forms for notifying the Council of change of occupancy are designed to obtain the required information for the		<div><div></div></div> 0%	31-Mar-2013	Karen Shannon	Still on target.

Action Code	Recommendation Title	Recommendation Detail	Status	Progress Bar	Action Due Date	Assigned To	Note
CED/IAAP/208	7. Staff Training	accurate processing of information and should be used in all cases, whether as a hard copy, or an attachment to an email. (Low Risk) 7. Management should ensure that appropriate training is undertaken by each member of NDR staff and that training records are maintained. (Low Risk)		<div><div>0%</div></div>	30-Jun-2013	Karen Shannon	Still on target.
CED/IAAP/209	8. Review of Award of Relief	Management should remind staff of the minimum time period for review forms to be issued after the original award of relief. This may vary dependent on the type of relief awarded. (Low Risk)		<div><div>0%</div></div>	31-Mar-2013	Karen Shannon	Still on target.
CED/IAAP/210	9. Review of Annual Accounts	9. Management should include guidance on Financial Statement requirements, submitted in support of 100% discretionary relief, in a procedures manual. (Low Risk)		<div><div>0%</div></div>	31-Mar-2013	Karen Shannon	Still on target.
CED/IAAP/211	10. Variable Discretionary Relief	Management should ensure that organisations are aware of their full entitlement to reliefs such as discretionary relief and claims under the small business bonus scheme. This should include the publication of appropriate information on the Council website. (Low Risk)		<div><div>0%</div></div>	30-Jun-2013	Karen Shannon	Still on target.
CED/IAAP/212	11. Supervisory Checks	Management should consider carrying out supervisory checks on the granting of Small Business Bonus Scheme awards and empty property relief. (Medium Risk)		<div><div>0%</div></div>	30-Sep-2013	Karen Shannon	Still on target.






Action Code	Recommendation Title	Recommendation Detail	Status	Progress Bar	Action Due Date	Assigned To	Note
CED/IAAP/213	12. Review of Reliefs	Management should ensure that a risk based review timetable is followed to avoid the award of reliefs to organisations or persons who are no longer eligible. (Medium Risk)		<div><div>0%</div></div>	31-Dec-2013	Karen Shannon	Still on target.
CED/IAAP/214	13. Implementation of Electronic Data Management	Management should review the reasons for non implementation of the electronic data management system in NDR and take appropriate action to progress the matter. (Low Risk)		<div><div>0%</div></div>	30-Jun-2013	Karen Shannon	Still on target.
CED/IAAP/215	14. Security of Property Files	Steps should be taken to ensure that files and other documentation which contain personal data are stored securely, in accordance with Council Policy. (Medium Risk)		<div><div>0%</div></div>	31-Mar-2013	Karen Shannon	'Managed by' not completed as Arun Menon is not on covalent list.





Project 51. Rent Arrears Management & Collection 2012-13

Action Code	Recommendation Title	Recommendation Detail	Status	Progress Bar	Action Due Date	Assigned To	Note
CED/IAAP/179	1. Access to CARS	Supervisors should be reminded that where employees leave the Authority that they immediately notify the Support & Continuous Improvement Team to have access removed.		<div><div>100%</div></div>	31-Oct-2012	Marion Smith	Complete.
CED/IAAP/180	2. CARS Access Level	Supervisors should be reminded that where employees change posts or are seconded, that they consider the access level to CARS which is appropriate for the new role. The Support & Continuous Improvement Team should be notified to		<div><div>100%</div></div>	31-Oct-2012	Marion Smith	Complete.


Action Code	Recommendation Title	Recommendation Detail	Status	Progress Bar	Action Due Date	Assigned To	Note
CED/IAAP/181	3. Insufficient Information	have the level reviewed/amended, therefore ensuring that there is adequate separation of duties. Where 'Arrears Direct' requests include a Housing Benefit Overpayment, this should be documented within CARS to ensure that an audit trail exists.		<div><div>100%</div></div>	31-Oct-2012	Marion Smith	Complete.

Project 52. Cheque Control 2012-13

Action Code	Recommendation Title	Recommendation Detail	Status	Progress Bar	Action Due Date	Assigned To	Note
CED/IAAP/192	1. Procedures	The procedures relating to Cheque Control should be updated to reflect all changes to current practices in the Cheque Control process. (Medium)		<div><div>0%</div></div>	31-Mar-2013	Karen Shannon	Still on target to be completed by 31/3/13
CED/IAAP/193	2. Cancellation of Obsolete Cheques	The 727 obsolete payroll cheques currently retained in the safe should be stamped cancelled as soon as possible. (Low)		<div><div>100%</div></div>	31-Dec-2012	Karen Shannon	Obsolete cheques have been cancelled.
CED/IAAP/194	3. Obsolete Stock	Consideration should be given to securely disposing of all obsolete cheque stock currently retained in the safe. (Low)		<div><div>0%</div></div>	31-Mar-2013	Karen Shannon	Still on target
CED/IAAP/195	4. Authorised Signatories (Ordering of Stock)	Staff involved in the Cheque Control Process should formalise the ordering process by supplying the print company with a list of staff authorised to sign orders for cheques. (Low)		<div><div>100%</div></div>	31-Dec-2012	Karen Shannon	Notification of authorised signatories provided to print company.
CED/IAAP/196	5. Checking Delivery	When staff who are involved in the Cheque Control Process		<div><div>100%</div></div>	31-Dec-2012	Karen Shannon	Cash & Banking Officer has advised staff to action this for all future delivery

Action Code	Recommendation Title	Recommendation Detail	Status	Progress Bar	Action Due Date	Assigned To	Note
CED/IAAP/197	6. Delivery Notes (Annotations)	are carrying out checks from the delivery to the purchase order, they should evidence this on the delivery note and also record their signature and the date. (Low) The staff members involved in the Cheque Control Process should annotate the delivery note accordingly where checking of goods received to the purchase order is not being carried out at the time of delivery. (Low)		<div><div>100%</div></div>	31-Dec-2012	Karen Shannon	notes. Cash & Banking Officer has advised staff that this procedure to be implemented for all future deliveries.
CED/IAAP/198	7. Stop Instruction Confirmation	Staff involved in the Cheque Control Process should record on the faxed copy of the 'Stop' form the details of the staff member from the bank who verifies that the stop instruction has been carried out. (Low)		<div><div>100%</div></div>	31-Dec-2012	Karen Shannon	Bank is now returning a faxed stamped receipt. If no stamped receipt received from bank then a call is made to the bank to ensure that the stop is actioned and name of the bank member is recorded.
CED/IAAP/199	8. Approved Printers	Management responsible for the Cheque Control Process should give consideration to using a Print Company to provide cheques who are members of the Cheque Printer Accreditation Scheme (CPAS) as documented in the current Banking Contract. (Medium)		<div><div>0%</div></div>	31-Mar-2013	Karen Shannon	Still on target.
CED/IAAP/200	9. Payroll Reconciliations	It is recommended that Payroll Reconciliations be brought up to date and kept up to date in a timely manner. (Medium)		<div><div>0%</div></div>	31-Mar-2013	Karen Shannon	Additional resources have been identified to bring this up to date and this is still on target to be up to date by 31/3/13

Project 53. Cheque Control (ICT) 2012-13

Action Code	Recommendation Title	Recommendation Detail	Status	Progress Bar	Action Due Date	Assigned To	Note
CED/IAAP/201	10. Receipting Signature	ICT Print Room Staff receiving cheques from Finance Staff should always record their signature on the cheque control form. (Low)		<div><div>100%</div></div>	30-Nov-2012	John Martin	Dec 12. Action agreed and procedure implemented.