Appendix B
Progress on Previously Issued Internal Audit Reports

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Action Status	
🟥	Cancelled
🔴	Overdue; Neglected
🔺	Unassigned; Check Progress
▶	Not Started; In Progress; Assigned
✅	Completed

Project 15. Social Work - Home Care

Action Code	Recommendation Title	Recommendation Detail	Status	Progress Bar	Action Due Date	Assigned To	Note
CED/IAAP/030	1. Competitiveness - Comparison between Internal and External Service Provision	Home Care must improve efficiency and reduce costs or consider purchasing more of its services from external providers. (High Risk)	🔴	75%	31-Oct-2011	Lynne McKnight	Examination of most effective and efficient use of internal and external resource on an individual basis to deliver appropriate packages of care continues.
CED/IAAP/031	3. Competitiveness - Allocating Practical Care Tasks to Domestic Assistants or Externalizing this Service	Home Care should examine both possibilities as there are potentially considerable savings to be made. (High Risk)	🔴	90%	30-Sep-2011	Lynne McKnight	Re-ablement approach continues to expand across home care provision, with a view to maximising potential for independence. Increase in the proportion of personal care continues, and consistency of staff provision to clients continues to be monitored

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							internally, and by the Care Inspectorate.
CED/IAAP/032	7. Out-of Hours Service	Home Care should take the necessary steps to allow their standby staff to be contacted directly, rather than through the Out-of Hours Service. (Medium Risk)	🔴	75%	31-Dec-2011	Lynne McKnight	Out of hours services will be aligned with district nursing provision, and changes are currently taking place with regard to cover arrangements for out of hours nursing in West Dunbartonshire. Re-structure within community care and health services is continuing, and examination of the duty system and single point of access arrangements are linked to the restructure.
CED/IAAP/033	8. Sustainability	Home Care Management must take measures to ensure costs are kept at sustainable levels, including: · Annual reviews of service access levels · Regular reviews of care packages · Comparison of services and costs with other local authorities and private providers · Use of technology to monitor clients · Use of technology to assist with staff rostering and monitoring · Provision of Sheltered and Very Sheltered Housing · Promoting use of day care · Considering whether some tasks could be completed by domestic assistants · Reviewing charges · Rolling out the re-enablement approach · Reviewing models of service delivery (Medium Risk)	🔴	81%	30-Sep-2011	Lynne McKnight	Business analyst continues to work with the home care team to establish recommendations in relation to scheduling and call monitoring.

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CED/IAAP/034	9. Communication Systems	Consideration should be given to investing in a system suitable to WDC Home Care, which could improve efficiency and the care given to clients. (Medium Risk)	🔴	75%	30-Sep-2011	Lynne McKnight	Delay due to Christmas closure, leave, and inspection of care at home services by the Care Inspectorate. Business analyst continuing to work with home care services to improve processes.

Project 17. Housing - Terminations, Transfers etc.

Action Code	Recommendation Title	Recommendation Detail	Status	Progress Bar	Action Due Date	Assigned To	Note
CED/IAAP/039	12. Office Manual	An Office Manual detailing the correct procedures to be used should be made available to all staff for reference purposes, thus ensuring that duties and responsibilities are operated correctly and not confused. This should include possible risks if correct procedures are not adhered to. (Low Risk)	🔴	70%	29-Apr-2011	Janice Lockhart	Further changes are planned to the allocations and lettings process as we implement the Scottish Government's Housing Options agenda. All procedures and processes are being updated. Once complete and finalised an office manual will be prepared. In the meantime all procedures are held on the Housing X drive. All staff – including new staff – are involved in the development process. Audit checks are in place to ensure that staff are following agreed procedures.

Project 24. Computer Audit - Saffron System

Action Code	Recommendation Title	Recommendation Detail	Status	Progress Bar	Action Due Date	Assigned To	Note
CED/IAAP/055	1. Saffron Ownership	Management should ensure that ownership of the saffron system is allocated to HEED. Senior management within the department should be responsible for making key decisions regarding strategic decisions for the development and operation of the system. (Medium Risk)	▶	25%	31-Mar-2014	Helen Turley	The estimated date for knowing whether we have been allocated funding via Securitisation is March 2012 (thereafter we would specify, tender, procure and implement a replacement system - probably a 2 year project).
CED/IAAP/057	2 (b) Procedure Manuals - Housing	Procedure manuals for each module of Saffron should be produced in order that the use of each module is standardised within the teams managing the module. This will assist training new staff. Existing procedures should be subject to regular review to confirm consistency with current practices. (Low Risk)	⬤	70%	31-Mar-2012	Janice Lockhart	Further changes are planned to the allocations and lettings process as we implement the Scottish Government's Housing Options agenda. All procedures and processes are being updated across both the Allocations and Homelessness functions. Once complete and finalised an office manual will be prepared. In the meantime, all procedures are held on the Housing X drive. All staff – including any new staff - are involved in the development process. Audit checks are in place to ensure that staff are following agreed procedures.
CED/IAAP/073	15 (b) Saffron Continuity Planning - Homelessness	Management should ensure business continuity plans are developed for all areas reliant to the Saffron system. The plans should consider scenarios which could impact on the ability of the department to perform their role. E.g. loss of access to offices, loss of system access, etc. Once plans are developed management should ensure they are subject to regular testing to confirm that they	⬤	50%	31-Mar-2012	Janice Lockhart	On going discussions are taking place at the fortnightly Housing Management team meeting.

Action Code	Recommendation Title	Recommendation Detail	Status	Progress Bar	Action Due Date	Assigned To	Note
		support the response to a disaster. (High Risk)					

Project 33. Creditors

Action Code	Recommendation Title	Recommendation Detail	Status	Progress Bar	Action Due Date	Assigned To	Note
CED/IAAP/149	2. Authorised Signatory list	A full and complete record of all staff authorised to approve invoices for payment should be compiled as soon as possible. (Low Risk)	🛑	80%	30-Jun-2012	Arun Menon; Karen Shannon	The review process is well underway, with a few queries still outstanding

Project 40. Business Continuity Management

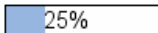| Action Code	Recommendation Title	Recommendation Detail	Status	Progress Bar	Action Due Date	Assigned To	Note
CED/IAAP/123	Business Impact Analysis	1. It is recommended that all departments and business units should review existing BIA, and update as appropriate to reflect restructuring, with the assistance of the Risk Management and Business Continuity Officer, as soon as possible. This should highlight the main Corporate and Departmental risks in terms of service delivery, with the actions required to mitigate these risks. (High Risk)	🛑	50%	28-Sep-2012	Colin McDougall	In line with revised strategic risk register departments are refreshing and updating business continuity plans.
CED/IAAP/125	Prioritised Recovery Timetable	3. It is essential that the Council is aware where the greatest impact would be if any of its services were disrupted for any reason, the maximum length of time such disruptions could be managed and the point at which these services must be resumed.	🛑	30%	31-Dec-2012	Colin McDougall	In line with revised strategic operational risk registers departments are refreshing and updating business continuity plans.

Action Code	Recommendation Title	Recommendation Detail	Status	Progress Bar	Action Due Date	Assigned To	Note
		Departments should be asked to complete a prioritised recovery timetable as soon as possible. (High Risk)					
CED/IAAP/129	BCMS - Reporting Procedures	7. It is important that proper reporting procedures to Committee and the Corporate Management Team are in place and these should include: · Details of progress in implementing BCM throughout the Council · System weaknesses and any problems identified as a result of testing Agreed actions to address issues and progress on these to date. (Medium Risk)	🔴	30%	31-Aug-2012	Colin McDougall	Considerable work underway, participating in Business Continuity exercises. The CMT are being kept advised with issues relating to business continuity. This matter will be further progressed once the Business Continuity Co-ordinator takes up post. The Council wide business continuity group to be re-established, championed by the CMT.
CED/IAAP/131	BCM Training programme	9. It is recommended that a BCM training programme is developed and delivered to Council Members, the Corporate Management team and all staff with any management responsibilities. A general BCM training session should also be available to all staff. The training programme should be updated on a regular basis. (Medium Risk)	🔴	20%	31-Dec-2012	Colin McDougall	As part of an integrated approach to managing risk this will be fully developed once the of Business Continuity Co- ordinator takes up post.
CED/IAAP/132	BCM Policy Approval	10. It is recommended that Council and the CMT be asked to approve the BCM policy as soon as it has been finalised. Once the policy has been approved, it should be communicated to all staff and stakeholders at the earliest opportunity. (Medium Risk)	🔴	90%	30-Mar-2012	Colin McDougall	The BCM policy has now been issued in draft for comment. This will be finalised by 31 March, 2013.

Project 43. Payroll 11-12 S.013.13

Action Code	Recommendation Title	Recommendation Detail	Status	Progress Bar	Action Due Date	Assigned To	Note
CED/IAAP/155	6. Reconciliation of Employees	The report showing this information should be produced six monthly and sent by each HR Business Partner to units and written confirmation that details are correct returned by unit management. Any queries should be referred by management to Internal Audit for investigation. (Low Risk)	🛑	50%	30-Sep-2012	Paul McGowan	This work has been completed. As from April we will move to monthly exceptions reporting.
CED/IAAP/156	7. HR System Matching	The HR system establishment records should be compared to and agreed with independent records six monthly to confirm that - all posts are authorised as agreed by the appropriate Director - each post shown on the establishment system is occupied or recorded as vacant. (Low Risk)	🛑	0%	30-Sep-2012	Paul McGowan	This work has been completed. As from April we will move to monthly exceptions reporting.

Project 46. SPIs 2011/12

Action Code	Recommendation Title	Recommendation Detail	Status	Progress Bar	Action Due Date	Assigned To	Note
CED/IAAP/174	10. Asset Management SPI 11/12 - Condition Surveys	The Assets Co-ordinator has advised that the Council intends to have full condition surveys over the next three years. Consideration should be given to prioritising surveys on the basis of the age of current survey information in order that the Indicator may be more	▶	29%	28-Feb-2013	Stuart Gibson	Surveys competed part uploaded to IPF system on target for March completion

Action Code	Recommendation Title	Recommendation Detail	Status	Progress Bar	Action Due Date	Assigned To	Note
CED/IAAP/175	11. Asset Management SPI 11/12 - Condition Surveys Overall Grading	reliable in future years. (Medium Risk) The Assets Co-ordinator should ensure that an appropriate methodology is used to come to an overall condition for each property. This could include weightings for components on the basis of importance in the building as a whole. (Medium Risk)	▶	25%	31-Mar-2013	Stuart Gibson	Surveys completed - information being up loaded to IPF system when available. meeting with benchmarking group arranged for Feb 2013 to discuss calculator