

Supplementary Agenda

Audit & Performance Review Committee

Date: Wednesday, 14 December 2016

Time: 14:00

Venue: Committee Room 3,
Council Offices, Garshake Road, Dumbarton

Contact: Craig Stewart, Committee Officer
Tel: 01389 737251 craig.stewart@west-dunbarton.gov.uk

Dear Member

ITEM 5 AUDIT ACTION PLANS - TO FOLLOW APPENDICES

With reference to the agenda for the above Meeting of the Audit & Performance Review Committee which was issued on 1 December 2016, I now attach for your attention a copy of the Appendices to **Item 5 Audit Action Plans** which were not available for issue at that time.

Yours faithfully

JOYCE WHITE

Chief Executive

Note referred to:-

5 AUDIT ACTION PLANS

Submit appendices to report by the Strategic Lead - Resources on the above.

Distribution:

Councillor J McColl (Chair)
Councillor G Black
Councillor J Brown
Councillor P McGlinchey
Councillor I Murray (Vice Chair)
Councillor T Rainey
Councillor G Robertson
Councillor M Rooney
Mr SJ Doogan
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 2016

Appendix A



Internal Audit Reports (Recently Issued)


Generated on: 06 December 2016









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

Project 103. Employee Licences/Vehicle Documentation Checks 2016/17 (Report Issued November 2016)



Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
<p><u>1. Non Compliance With Scheme</u></p> <p>1) It is recommended that the Travel & Subsistence Scheme be updated to include the following:</p> <p>a) Vehicle Documentation checks be carried out across the Authority during the month of November.</p> <p>b) Vehicle Documentation checks for new employees should be carried out within one month upon starting and should not be left until November.</p>	<p>Draft to be complete by 31st December and submitted for approval at earliest possible opportunity thereafter. Message included within November Workforce Update to Strategic Leadership Group (for wider cascade to all managers). Further communication will be issued upon approval of revised scheme. Suggest Internal Audit revisit again during 2017/18 to check on compliance</p>			31-Dec-2016	31-Dec-2016	Darren Paterson	<p>The post-audit action plan was agreed on 9/11/16. A communication has been made to all managers (via the November Workforce Update to Strategic Leads) to ensure that required checks to address any current risk to the organisation are addressed in the interim pending required changes (as highlighted by the audit) being made to the Scheme itself. A revised draft of the Scheme will be produced in line within the agreed timescale.</p>

Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
<p>c) The Scheme should make reference to the Check Form and that this form should be used when carrying out the annual checking process.</p> <p>d) The Check Form should be updated to include 'Documents Checked By'.</p> <p>2) Strategic Leads should ensure that all line managers are aware of their responsibilities and that they are carrying out the appropriate annual checking of vehicle documentation for all staff who use their car for business. (Medium Risk)</p>							
<p><u>2. Non Claiming of Reimbursement</u></p> <p>a) To avoid any vicarious liability for the Authority, the Travel & Subsistence Scheme should be updated to reflect that: Vehicle documentation should be checked annually for all staff who choose not to claim reimbursement and that business use is documented on the insurance policy (Medium Risk)</p>	Draft to be complete by 31st December and submitted for approval at earliest possible opportunity thereafter.		<div>0%</div>	31-Dec-2016	31-Dec-2016	Darren Paterson	The post-audit action plan was agreed on 9/11/16. A communication has been made to all managers (via the November Workforce Update to Strategic Leads) to ensure that required checks to address any current risk to the organisation are addressed in the interim pending required changes (as highlighted by the audit) being made to the Scheme itself. A revised draft of the Scheme will be produced in line within the agreed timescale.


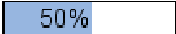
Project 104. ICT Risk Register Controls (Report Issued November 2016)

Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
<u>1. Out of Date Information</u> Management should ensure ICT Risk register is reviewed and updated regularly. (Medium Risk)	The Risk register will be reviewed by 31st October 2016 and on a regular basis thereafter.			25-Nov-2016	25-Nov-2016	Brian Miller	Nov 2016. ICT Risks are reviewed annually as part of ICT Controls audit.
<u>2. Risks Around Significant Office Moves Must be Recorded</u> Management should include an itemised Risk in the register to reflect the complexity of the decant and move to the new Dumbarton Office (Medium Risk)	A new risk will be created and linked to existing ICT actions.			31-Dec-2016	31-Dec-2016	Patricia Kerr	Nov 2016. New risks added and linked to the current actions and projects.
<u>3. Data Centre Move</u> Management should include an itemised Risk in the register to reflect the complexity of moving a key data centre and associated communications equipment (Medium Risk)	A new risk will be created and linked to existing ICT actions.			31-Dec-2016	31-Dec-2016	Brian Miller	Nov 2016. Risk added for Data centre relocation and linked to current ICT actions




Project 105. Economic Development (Report Issued November 2016)


Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
<p><u>1. Capital Planning</u> Three years funding approval is given each time the Capital Plan is approved. It is recommended that the team considers their forward planning approach to capital and creates a pipeline of development options over the three year period, which they could possibly bring forward if there are delays or external funding is received.</p> <p>(Medium Risk)</p>	<p>Agree with the action and the recognition on the complexity of projects being addressed through Regeneration and the Local Economic Development Budget.</p>			31-Mar-2017	31-Mar-2017	Michael McGuinness	<p>Capital Budget will continue to be monitored and updated on BCR reports to Council. Every effort will be made to ensure expenditure is made as per the profile agreed. A pipeline of projects exist that in many cases require external funding. This creates further unforeseen delays to the programme. Securing external funding and balancing our expenditure continues to be a challenge.</p>

Project 106. City Deal (Report Issued November 2016)


Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
<p><u>1. Key milestones of the Exxon Project revised</u> It is recommended that WDC Exxon Project Board strictly monitors and adheres to the revised Key Milestones dates in order to ensure Gateway Reviews are successfully passed and the Government grants are received from both the Scottish and UK Government.</p> <p>(Medium Risk)</p>	<p>The Exxon Project Board will continue to monitor progress against the proposed milestones and gateways while updating Council at every Meeting on progress.</p>			31-Dec-2016	31-Dec-2016	Michael McGuinness	<p>The Exxon Project Board will continue to monitor the City Deal project and through the Business Case process will monitor and update the milestones as the long term project develops. Updates will be brought to Every Council meeting to ensure progress is monitored at Member level.</p>

Project 107. Home Care (Report Issued November 2016)

Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
<p><u>1(b). CM2000 missed clock ins and clock outs</u> It is recommended that home carers are reminded of their responsibility and duty to always clock in and clock out when they are visiting the clients at their home in order to ensure all visits are correctly recorded and monitored within CM2000.</p> <p>(Medium Risk)</p>	<p>This is a new system and we had made provision to complete successful roll-out over some time. Performance continues to improve as staff becomes more familiar with technology. The ongoing aim is to achieve 95% compliance.</p>		<div><div>0%</div></div>	31-Mar-2017	31-Mar-2017	Lynne McKnight	Action on track.
<p><u>1(b). CM2000 missed clock ins and clock outs</u> It is recommended that Home Care management put in place an action plan in order to ensure the compliance with clock in and clock out increases within CM2000.</p> <p>(Medium Risk)</p>	<p>There is already a significant reduction in administration of timesheets for Home Help organisers allowing more time for care planning, client and family liaison and staff supervision. An action plan will be prepared to drive improvements in clock in / clock out compliance.</p>		<div><div>0%</div></div>	31-Mar-2017	31-Mar-2017	Lynne McKnight	Action on track.
<p><u>2. Policy and procedures</u> It is recommended that procedures for CM2000 and Home Care in general are reviewed and finalised as soon as possible. Once completed these should be available to all Organisers, Admin staff and Home Carer via the shared drive.</p>	<p>Processes for CM2000 will be reviewed by end of March 2017. Procedures such as medication policy have recently been reviewed, however all policies and standard operation policies will be updated by June 2017.</p>		<div><div>0%</div></div>	30-Jun-2017	30-Jun-2017	Lynne McKnight	Action on track.




Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
(Medium Risk)							
<u>3. Mobile phones capped at £50 a month</u> It is recommended that the £50 monthly monetary cap is reviewed to manage the risk of WDC incurring excessive costs from the inappropriate use of phones allocated to home carers. This can be reviewed with ICT when assessing potential opportunities from the new Vodafone contract.	The standard operation policy for the use of phones will be reviewed by the end of March 2017.		<div><div>0%</div></div>	31-Mar-2017	31-Mar-2017	Lynne McKnight	Action on track.
(Low Risk)							



Project 108. European Grants Programme (Report Issued November 2016)

Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
<u>1.Certification of Invoices</u> All scanned invoices, supporting a European Grant claim, should have a signed declaration attached as part of the documents scanned. The declaration should state that the scanned copy is a true copy of the original invoice and be signed by the person who authorised the invoice for payment. All scanned invoices, supporting a European Grant claim, which have paid through a purchase card, should also have a signed declaration attached as part of the documents	We are aware of the new European Commission Regulations on the scanning of documents and invoices. We will comply with these regulations and seek further guidance from the Scottish Government at the forthcoming pre-claims systems check.		<div><div>100%</div></div>	31-Dec-2016	31-Dec-2016	Gillian Scholes	Pre-claim compliance check with SG held on 30 November 2016. No issues identified. Process for certification of invoices has been reviewed and updated to include the stamping of all scanned invoices.


Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
scanned. (Low Risk)							

Project 109. Emergency Payments (Welfare Fund) (Report Issued December 2016)


Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
<u>1a. Authorisation of Pay Point Payments</u> When the Welfare Fund supervisor is absent for a period of time a suitably trained member of staff should be appointed to act on their behalf. The person appointed should be given authority to review and approve payments on Pay Point. (Medium Risk)	Pay Point will be updated to give power to approve payments to Supervisor. This is checked against a weekly report. Team leader will mark it off as separate report and retain.		<div>0%</div>	31-Jan-2017	31-Jan-2017	Peter Prior	Action on track.
<u>1b. Authorisation of Pay Point Payments</u> The Customer Service Co-ordinator should be designated as the person to instruct Pay Point on the levels of approval required for payments to be made through Pay Point by the Council. (Medium Risk))	Team Leader will start this from October 2016		<div>0%</div>	31-Jan-2017	31-Jan-2017	Emma McMini	Action on track.
<u>1c. Authorisation of Paypoint Payments</u> (i) A report should be generated by the Welfare Fund Supervisor from the Pay Point system each	(i) Payments made by the Supervisor will be reviewed by the Customer Co-ordinator via a report to ensure that these awards are		<div>100%</div>	31-Jan-2017	31-Jan-2017	Peter Prior	Achieved - Report being run weekly on paypoint transactions




Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
<p>Monday detailing all payments in the previous week. All payments made during the weekend without full authorisation will be reviewed by the supervisor on the Monday.</p> <p>(ii) In addition, the supervisor will review a sample of at least 10 other grants paid during the week.</p> <p>(iii) The supervisor must sign off the report to evidence that the review has been completed.</p> <p>(Medium Risk))</p>	<p>still timely and ensuring the needs of the customer.</p> <p>(ii) Agreed</p> <p>(iii) Agreed</p>						
<p><u>1d. Authorisation of Pay Point Payments</u></p> <p>The Supervisor should only award crisis grants to be paid through Pay Point in exceptional cases without the approval of a second party. It is recommended that the Customer Service Co-ordinator who has responsibility for the administration Welfare Fund be given the authority to authorise Grants awarded by the supervisor.</p> <p>(Medium Risk)</p>	<p>Payments made by the Supervisor will be reviewed by the Customer Services Co-ordinator via a report to ensure that these awards are still timely and ensuring the needs of the customer.</p>		<div><div>0%</div></div>	31-Jan-2017	31-Jan-2017	Peter Prior; Emma McMini	Action on track.
<p><u>2. Home Visits to Confirm Application Details</u></p> <p>The Welfare Fund needs to establish a planned programme of visits to the residences of Community</p>	<p>The Welfare Fund team have instructed visits by Revenue & Benefits visiting Officers. We have recently been using Corporate Fraud officers</p>		<div><div>0%</div></div>	31-Jan-2017	31-Jan-2017	Peter Prior; Emma McMini	Action on track.



Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
<p>Care Grant applicants to verify the claims made in applications. This should be arranged with the assistance of the Revenue & Benefits visiting Officers and the Council's Corporate Fraud Team who are currently undertaking a pilot programme of visits.</p> <p>(Medium Risk)</p>	<p>for visits due to the volume of transactions and the amounts involved.</p> <p>We currently receive 40-60 Community Care grant applications per week. We will set a target of visiting a minimum of 20% of Community Care Grant applicants.</p> <p>In addition, Housing Officers will lead on visiting Council Tenancy where Community Care Grant applications are made. This will increase our capacity to visit an increased number of Grant applications</p> <p>There is currently no regulation or legislation on the misuse of goods; however it is clear in the Scottish Welfare Fund Guidance issued in April 2016 that we can ask for evidence if required. We will continue to work with the Council's Corporate Fraud team.</p> <p>We will establish criteria that become essential checks for fraud detection over and above the sample percentage described above. A review will be undertaken in three</p>						

Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
	months to measure the effectiveness of this robust process for fraud detection.						
<u>3. Independence of 1st Tier Review Process</u> Council policy should be followed for all appeals. A suitably trained Officer independent of the person who processed the original application should be nominated to undertake any 1st Tier review. (Medium Risk)	This was an oversight and a training issue which has since been rectified.		<div><div>100%</div></div>	31-Oct-2016	31-Oct-2016	Peter Prior	All SWF Team Members trained on new and improved process to independently review cases.

Project 110. Cash & Bank 2016/17 (Report Issued December 2016)

Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
<u>1. Authorised Signatories</u> The process for maintaining authorised signatories should be formalised. Copies of documentation issued to the bank per updates should be maintained on file electronically, therefore ensuring that up to date signatories can be identified at all times. (Low Risk)	A formal written procedure for signatories will be documented. All requests for signatory changes will be stored electronically and this will be recorded in the written procedure.		<div><div>0%</div></div>	31-Dec-2016	31-Dec-2016	Karen Shannon	Action on track.

<p><u>2. Obsolete Cheques</u> All obsolete cheques which are currently retained in the strong room should be securely disposed of.</p> <p>(Low risk)</p>	<p>The obsolete cheques will be disposed of in a secure manner.</p>		<div>0%</div>	31-Jan-2017	31-Jan-2017	Karen Shannon	Action on track.
<p><u>3. Retention of Cancelled Cheques</u> Where there is a requirement to cancel a cheque, the details should be recorded and signed by 2 members of staff as is the current practice. Thereafter, the cheque should be shredded (there is no requirement to scan and retain the cheque on file). The records of cancelled cheques should be retained for a period of 5 years and thereafter disposed.</p> <p>(Low Risk)</p>	<p>The current procedure of two individuals recording and signing the record of cancelled cheques will continue. Cheques that are cancelled will be destroyed after the record has been updated. All records of cancelled cheques will be retained for a period of 5 years and then destroyed.</p>		<div>0%</div>	31-Jan-2017	31-Jan-2017	Karen Shannon	Action on track.
<p><u>4. Unidentified Income Procedures</u> A review of procedures for unidentified income should be undertaken in order to ensure that appropriate action is taken when posted to suspense and for any subsequent reviews to avoid items being missed.</p> <p>(Low Risk)</p>	<p>A review of the procedures for unidentified income will be completed and implemented.</p>		<div>0%</div>	31-Jan-2017	31-Jan-2017	Karen Shannon	Action on track.

<p><u>5. Income Collection</u> Staff should be reminded that they should check the ID of the G4S operatives before handing over any money. Particularly where there is a different operative or one who has not been in for some time.</p> <p>(Low Risk)</p>	<p>Staff will routinely ask for G4S approved identification before allowing access to the secure back office area.</p>			<p>31-Dec-2016</p>	<p>31-Dec-2016</p>	<p>Stephen Daly</p>	<p>All staff in One Stop Shops reminded to ask G4S operatives for ID on the secure side of the office</p>
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Appendix B

Internal Audit Reports (Previously Issued)

Generated on: 06 December 2016





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



Project 90. Review of Key Reconciliations (Report Issued February 2016)

Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
<u>3. Written Procedures</u> Procedures should be written for all of the reconciliations with a full explanation of how they should be completed. (Low Risk)	The existing procedures manuals will be reviewed and updated to ensure the correct details are documented for all reconciliations.		<div>0%</div>	31-Dec-2016	31-Dec-2016	Karen Shannon	Procedure manuals are currently under review & being updated. However, this action has 2 milestones and until all manuals are reviewed and updated neither milestone can be marked as complete. The action is still on line for completion by the deadline. This action is still on target to be completed by the deadline


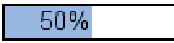


Project 93. Senior Officer Financial Controls (Report Issued February 2016)



Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
<u>7. Register of Interests</u> Management should consider whether a register of interests for employees is developed and maintained. (Low Risk)	Options around the creation of a register of interests for employees will be reviewed and reported to CMT for consideration.			31-Mar-2017	31-Mar-2017	Peter Hessest; Stephen West	Options considered and it has been agreed that a central register will be created. This action has four milestones, three of which has been completed.

Project 94. SEEMIS (Report Issued April 2016)


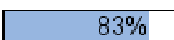
Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
<u>1. Active SEEMiS Users</u> It is recommended that Educational Services make all 'blank' accounts inactive and have any wrong information corrected. The Department should then liaise with HR to remove all former employees or any staff that no longer require access from the active users list. (Medium Risk)	This is an ongoing process which will be completed during session 2016/17.			31-Mar-2017	31-Mar-2017	Andrew Brown	Click+Go users were checked for blank entries and any found were corrected. Schools were notified that they had to mark end dates on accounts of staff members who leave as and when required rather than leaving it until there were a large group to be done. Comparison checks with HR21 data is currently being carried out for quality assurance purposes. This check will be repeated bi-annually.

Project 97. Asset Management Strategy - Vehicles (Report Issued April 2016)


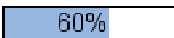


Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
<p><u>1. Review of the Vehicle Fleet Asset Management Plan</u> It is recommended that the Vehicle Fleet Asset Management Plan be updated for the following reasons:</p> <ul style="list-style-type: none"> . Continuing financial constraints . The requirement for a 'Vehicle Fleet Replacement Programme' for the years 2017 to 2022. . EU directives on carbon dioxide emissions for fleet cars and vans. . The Scottish Government's commitment to convert public sector fleets to electric vehicles . Possible changes to client department needs. <p>(Medium Risk)</p>	<p>The current Vehicle Fleet Asset Management Plan will be updated by end September 2016.</p>			30-Sep-2016	31-Mar-2017	Rodney Thornton	<p>Work is continuing to update the Vehicle Fleet Asset Management Plan. To co-ordinate the completion of the updated plan with of the Roads Asset Management Plan and the Open Spaces Asset Management Plan the target completion date has been moved to 31 March 2017</p>
<p><u>4. Performance Indicators</u> It is recommended that the new fleet management system is introduced as soon as possible, in order to benchmark with other local authorities and confirm that performance is satisfactory.</p> <p>(Low Risk)</p>	<p>Arrangements are being made to ensure that performance network information will be submitted to APSE from financial year 2016/17.</p>			31-Mar-2017	31-Mar-2017	Rodney Thornton	<p>APSE Performance Network software continues to be tested on a test platform within the existing Fleet Management System. One of two action milestones have been completed.</p>

5. Licence Endorsement Policy There should be a standard policy that confirms what actions, if any, will be taken in the event of drivers having their licences endorsed / withdrawn. Staff should be aware of their responsibilities when driving Council vehicles and the consequences if they do not meet those standards. (Low Risk)	Discussions will be held with Audit & Risk (in-house Insurance team) and the Council's Vehicle Fleet Insurers to establish best practice for managing vehicle fleet drivers incurring endorsement(s) (Penalty Points) on their driving licences with a view to adopting such best practice as policy.			31-Aug-2016	31-Mar-2017	Rodney Thornton	Feedback from the local authority insurers forum remains outstanding and is being further pursued. To accommodate this delay the target completion date has been moved to year end - 31 March 2017
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Project 98. ICT Infrastructure Management (Report Issued May 2016)

Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
1. Patch Management Although a system is in place to systematically check and deploy Microsoft patches, improvements could be made to replicate this for non Microsoft patches. (Medium Risk)	A review of the current planned maintenance schedule and scope is underway with a view to increasing the level of patching being carried out.			31-Dec-2016	31-Dec-2016	Brian Miller	October 16. Five of the six milestones complete including pilot 8 - 5 service cover and contractual out of hours working.



Project 99. Web based applications (Report Issued May 2016)



Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
<p><u>2. Contract Review</u> The Council should continue to review the contracts it has in place where cloud based services are used. The review should focus on the identification of risks as well as the timeliness and effectiveness of any response.</p> <p>(Low Risk)</p>	<p>This will be led by the ICT Security Officer, with support from Operational ICT, Procurement and Legal as appropriate.</p>			31-Mar-2017	31-Mar-2017	Iain Kerr	Of the 5 milestones, two are complete with action on track
<p><u>3. Identify, Categorise and Risk Assess information being collected</u> The Council's web pages, particularly the on line forms component, has the capacity to either store information gathered internally or in the cloud. As forms are introduced, a risk assessment should be conducted to determine the sensitivity of the information and where it should be directed.</p> <p>(Medium Risk)</p>	<p>ICT will develop and implement a risk assessment process for all new forms.</p> <p>A programme to review existing forms and implement changes where needed will be carried out.</p>			31-Mar-2017	31-Mar-2017	James Gallacher	2 out of 4 milestones completed


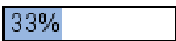
Project 101. Attendance Management (Report Issued August 2016)

Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
<p><u>5. Consistency of information recorded</u> Thought should be given to how a consistent approach can be adopted.</p> <p>(Low Risk)</p>	<p>Agreed. Recording via WMS is under review in respect of input by managers and/or HR to ensure consistency.</p>			31-Mar-2017	31-Mar-2017	Darren Paterson	<p>A review of WMS HR case management pages is currently underway to ensure ease of use and to improve consistency. Further developments in respect of manager self service is being developed within HR21.</p>

Project 102. Procurement - approved contractors list (Report Issued August 2016)






Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
<p><u>1(a). Specialist Contractors Contracts</u> Building Services, with the support / assistance of the Corporate Procurement Unit (CPU) Section should regularise the contracts for flat roofs, fencing and landscaping and other work which is currently being undertaken by specialist contractors.</p> <p>(High Risk)</p>	<p>A meeting between CPU and Building Services took place on 11 May 2016 where discussions took place on the pipeline of work and agreed timescales and responsible officers for development of tenders and contracts to ensure the Council is not exposed where services are being provided and no contract is in place.</p> <p>The Building Services procurement pipeline has been agreed with the timeframe in which all contracts will be let. Most high priority contracts will be let by 31 October 2016.</p>			31-Mar-2017	31-Mar-2017	Martin Feeney; Andrew Gordon	<p>There are 3 milestones for this action, 2 of which have been completed. Six of the priority tenders were published at the end of September, including specialist contracts for Fencing & Light Engineering and Flat Roofing. Tender returns and contract awards for these are due to be completed by end of December 2016. The remaining tenders have been programmed to be published over the coming months which are still on target to have contracts in place by the end of March 2017.</p>





Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
	Until work is completed to let appropriate contracts, officers will be reinstructed on the requirement to follow Procedure 001 – Sub-contracting. Where repairs exceed the value of £2,000 a minimum of 2 quotations will be obtained along with a third quotation using Building Services / National Schedule of Rates (NSOR) costs. Records of these will be scanned and filed on the 'X' drive, Maintenance and Repairs folder.						
<p><u>2(a). Back-up Framework Tender</u></p> <p>A tendering process should be undertaken to enable a new Back-up Framework to be set up. This is essential to ensure that the Council is obtaining best value when outside contractors are called upon to undertake emergency repairs.</p> <p>(High Risk)</p>	Following the meeting with Building Services on 11 May 2016, CPU will work with Building Services to ensure that the tender process previously commenced is completed and contracts put in place. Since the Back-up Framework contract commenced in 2010, there has been no uplift in the rates paid which does demonstrate that Value For Money was sustained.			31-Oct-2016	23-Dec-2016	Martin Feeney; Andrew Gordon	<p>There are 3 milestones in this action, 2 of which have been completed.</p> <p>This priority tender was published at the end of September, unfortunately it has been necessary to extend the initial target date to award and let this from 31 October until 23 December 2016. This was due to a number of factors including the complexity of contracts required to be developed by teams from Building Services, Consultancy Services and the Corporate Procurement Unit and other services demands particularly to administrate and let other high profile contracts.</p> <p>In the interim and when it is</p>

Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
							necessary to sub contract work, Building Services will continue to follow council procedures to ensure best value is being achieved.
<u>3. Formal Tendering Arrangements</u> Formal tendering arrangements need to be put in place for all works that it is anticipated will cost in excess of £50K (cumulative) in accordance with the Council's Financial Regulations. Evidence should be maintained of the appointment of contractors where the value of the contract is between £2,000 and £50,000. This will include evidence of at least three quotes obtained under the quick quote process. (High Risk)	Following the meeting with Building Services on 11 May 2016, CPU will work with Building Services to ensure that the relevant tender process or framework call off is carried out and contracts put in place.			31-Mar-2017	31-Mar-2017	Martin Feeney; Andrew Gordon	This action has 3 milestones, 1 of which has been completed. The target date for the 2 remaining milestones is the 31/03/17. Progress to let high profile contracts is on target to be achieved by the end of March 2017 which will significantly reduce the requirement to obtain quotations under the quick quotes process. In the interim, a quotation folder has been set up to record all estimates and costs received from contractors where it is necessary to sub-contract work. Quotations are scanned to Building Services folder within the 'X'-Drive and records will be available to be reviewed at future dates if necessary.

Code of Good Governance - Improvement Action Plan

Project Improvement Actions for 2016-17

Recommendation	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
<u>1. Improvements to service planning process</u> Ensure learning from customer feedback, including complaint information is embedded in the Strategic Planning and Performance Framework		<div><div>100%</div></div>	31-Mar-2017	31-Mar-2017	Amanda Coulthard	All milestones now complete. Guidance and approach to delivery plan development reflects approach to learning from complaints and identifying improvement activities.
<u>2. Outcome based PI's</u> Develop an approach to embed outcome-focused Performance Indicators into the Planning and Performance Framework and processes		<div><div>50%</div></div>	31-Mar-2017	31-Mar-2017	Amanda Coulthard	1 or 2 milestones complete. revised approach to council strategic Plan for 2017-22 will be informed by a outcomes based performance approach
<u>3. Embedding of quality standards</u> Establish and monitor customer satisfaction of Council services		<div><div>50%</div></div>	31-Mar-2017	31-Mar-2017	Stephen Daly	4 Milestones, 2 of which are complete. 2 remaining on target and will be delivered as scheduled.
<u>4. Continuous improvement</u> Review the effectiveness of the continuous improvement strategy focusing on reporting and benchmarking of performance		<div><div>100%</div></div>	31-Mar-2017	31-Mar-2017	Amanda Coulthard	Action complete. new self-evaluation framework launched to ensure a robust approach to continuous improvement. this is a core element of the strategic planning and performance framework and ensures awareness in services on areas for improvement and of best practice as well as evidencing learning in service planning and delivery.
<u>5. Performance Reporting</u> Improve annual reporting process to include information on service user feedback and lessons learned		<div><div>100%</div></div>	31-Dec-2017	31-Dec-2017	Amanda Coulthard	Milestones and action completed as planned

Recommendation	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
<u>6. Continuous Improvement</u> Implementation of self-evaluation framework corporately where existing models of evaluation currently do not exist, including approach to embedding benchmarking processes and corporate monitoring of outcomes		 100%	31-Dec-2017	31-Dec-2017	Amanda Coulthard	New framework launched and self evaluation activity commenced in priority areas
<u>7. Risk Management</u> Review approach to Strategic Risk management following management restructure		 75%	31-Mar-2017	31-Mar-2017	Vicki Rogers	Process now understood and handed over to H&S and Risk Section Head for progression; report to Committee complete for bi-annual update

Appendix C

External Audit Reports

Generated on: 06 December 2016




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



Project 19. Annual Audit Report on the 2014/15 audit

Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
<u>2. Financial Planning</u> The council currently has an estimated cumulative funding gap of £6.80 million over the period 2015/16 - 2017/18 and continues to face an increase in demand for services due to the current economic climate and changes in demographics. Risk: The council may not be able to generate sufficient efficiencies and savings to bridge the funding gap.	The council recently agreed an update to the long term finance strategy and updates will be provided to Members at least annually. The intended roll out of priority based budgeting is planned to be implemented to inform the budget process for 2017/18 onwards.			10-Mar-2018	10-Mar-2018	Gillian McNeilly; Stephen West	The draft budget 2017/18 & indicative budgets for 2018/19 and 2019/20 were reported to Council in October 2016, with the budget due finalised February 2017

Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
Recommendation: The council should continue to keep its long term financial strategy under review and progress its intention to roll out priority based budgeting.							






Project 20. Annual Audit Report on the 2015/16 audit

Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
<p><u>1. Untaken Annual Leave</u> The council has omitted untaken annual leave for those on maternity and long term sick. Although a process was in place during 2015/16 which enabled those teachers beginning their maternity leave to take their annual leave in advance, going forward this has been removed. The inclusion of untaken annual leave for those on maternity leave and long term sick will ensure the accrual reflects the true year end liability moving forward.</p> <p>Recommendation: Finance staff should co-ordinate with Human Resources to identify and monitor any employee who will accrue disproportionate annual leave and ensure these are included within the untaken annual leave accrual.</p>	Finance staff will liaise with Human Resources to ensure all aspects of untaken annual leave are properly accounted for in the year-end accrual.		<div>0%</div>	30-Apr-2017	30-Apr-2017	Gillian McNeilly	Finance staff and HR staff are due to meet to ensure the correct accrual is accounted for at the year end. The action cannot be finalised prior to 31 March 2017, however the deadline will be met.

Recommendation	Agreed Action	Status	Progress Bar	Original Due Date of Action	Actual Due Date of Action	Assigned To	Note
<p><u>2. Capital slippage</u> An underspend against the revised level of capital expenditure of £33.727 million (33%) was recorded. There is a risk that the capital plan is not delivered which may adversely impact upon the delivery of the council's objectives and the achievement of planned savings.</p> <p>Recommendation: The council should review its capital plans and improve the control of capital projects and, if necessary, re-profile the budget to reflect current plans.</p>	<p>Officers will continue to monitor and report to Members as to progress against the capital plan. This will include appropriate consideration as to the need for re-profiling of the plans.</p>			31-Dec-2016	31-Dec-2016	Stephen West	<p>Budgetary Control reports are provided to Council at each Council meeting and to Committee meetings. In addition they are reported to CMT and Strategic Asset Management Group - capital position is reviewed as part of this process. For 2016/17 reports up to Period 7 have been provided.</p>

Local Scrutiny Plan 2016/17






1. Housing and Homelessness

Code & Title	Status Icon	Progress Bar	Due Date	Latest Note	Ownership Assigned To
H&E/2016/HDH/04 Carry out comprehensive Tenant Satisfaction Survey to inform service delivery and improve satisfaction levels		<div><div>60%</div></div>	28-Feb-2017	Action on track - two of the five milestones have concluded and the remaining three will be delivered within agreed timescales.	John Kerr 2
H&E/2016/HDH/08 Carry out detailed analysis and develop and implement interventions aimed at reducing level of repeat homelessness		<div><div>81%</div></div>	31-Dec-2016	Action on track. Targetted approach and strengthening of management arrangements and operation processes has had an early positive impact and resulted in an drop in the repeat homelessness rate from 10.5% in Q1 to 6.3% in Q2 (a reduction of 40%). 6 of the 11 milestones relating to this action have been implemented and the remaining 5 will be completed within timescales with the aim of ensuring sustained improvement.	John Kerr 2
H&E/2016/HDH/09 Identify and resolve weaknesses in relation to reporting the provision of temporary accommodation		<div><div>100%</div></div>	31-May-2016	Action completed - Analysis identified areas for improvement which were introduced at once, this has had a positive impact on customer service and the provision of temporary accommodation to the most vulnerable members of our communities.	John Kerr 2
H&E/2016/HO/01 Implement Rent Collection Action Plan and improve performance around rent arrears		<div><div>66%</div></div>	31-Mar-2017	On track.	Andy Cameron
H&E/2016/HO/02 Reduce the average number of days to carry-out non-emergency repairs		<div><div>80%</div></div>	31-Mar-2017	Action on track This action has 5 milestones, 4 of which have been completed	Martin Feeney


2. Staff Absence

Code & Title	Status Icon	Progress Bar	Due Date	Latest Note	Ownership Assigned To
PT/16-17/HR/001 Develop innovative strategies and best practice to support employee attendance and reduce absence		<div><div>71%</div></div>	31-Mar-2017	5 out of 7 milestones completes progress being made on remaining 2 milestones	Tracy Keenan

3. Efficiency

Code & Title	Status Icon	Progress Bar	Due Date	Latest Note	Ownership Assigned To
CS/EAAP/152 2. Financial Planning - update to the long term financial strategy and provide update to members regularly (2016/17 and 2017/18)		<div><div>70%</div></div>	10-Mar-2018	The draft budget 2017/18 & indicative budgets for 2018/19 and 2019/20 were reported to Council in October 2016, with the budget due finalised February 2017	Gillian McNeilly; Stephen West
FAR/16-17/01 Review and update the Council's long-term finance strategy and report to Elected Members		<div><div>100%</div></div>	31-Oct-2016	The draft budget 2017/18 & indicative budgets for 2018/19 and 2019/20 were reported to Council in October 2016, with the budget due to be finalised February 2017.	Gillian McNeilly
FAR/16-17/02 Monitor monthly agreed savings options & management adjustments through the budgetary control process		<div><div>60%</div></div>	31-Mar-2017	The budgetary control report (together with the monitoring of savings appendix) was prepared for services & internal monitoring from period 3 onwards. Period 7 is due reported to Council in December 2016	Gillian McNeilly
FAR/16-17/03 Monitoring of progress through the CMT of strategic projects planned for review during 2016/17, for report to future Council/committees with a view to increasing income / reducing costs for the Council		<div><div>50%</div></div>	31-Mar-2017	The strategic projects are monitored by the Performance and Monitoring Review Group monthly and will follow through as part of the long term finance strategic projections	Gillian McNeilly
FAR/16-17/04 Prepare and deliver short, medium and long term budgets through robust financial planning which reflect the Council's (& other bodies) corporate aims and objectives		<div><div>70%</div></div>	31-Mar-2017	The draft budget 2017/18 & indicative budgets for 2018/19 and 2019/20 were reported to Council in October 2016, with the budget due finalised February 2017	Gillian McNeilly

4. Delivery of Education

Code & Title	Status Icon	Progress Bar	Due Date	Latest Note	Ownership Assigned To
E/12-17/LSP/301 Monthly quality assurance meetings with Education Scotland Area Lead Officer to review educational provision.		<div><div>50%</div></div>	31-Mar-2017	This action is on track. Regular communication with Education Scotland is in place. A handover meeting with our new Area Lead Officer has taken place.	Laura Mason