

Systems Review Action Plan: Travel & Subsistence (Employees) S.007.12**Action Plan 1****Date Issued : Oct 2011**

Ref. No.	Finding	Recommendation	Priority	Management Comment	Manager Responsible	Date of Action
1.	<u>Submission of Claims</u> From the same test sample as above, a full years travel expenses was submitted in a single claim for 1 of the test sample.	It is recommended that consideration be given to setting a specific period for submission of claims after journeys have taken place.	Low Risk	HR Information note to be amended to advise employees that claims must be completed and submitted on a monthly basis.	Sam Dove Section Head – Workforce Planning & Resourcing	28.10.11
2.	<u>Financial Regulations</u> By enquiry with a sample of staff involved in processing Travel & Subsistence claims, it was noted that these staff were unsure of where to access the Council's Financial Regulations.	The link to the Council's Financial Regulations should be advised to all staff who are involved in processing Travel & Subsistence claims, therefore ensuring that appropriate staff have ready access.	Low Risk	Management will ensure that all appropriate staff have access to the Financial Regulations.	Sam Dove Section Head – Workforce Planning & Resourcing	28.10.11
3.	<u>Fares Unpaid</u> A sample of 30 T&S claims was selected for testing. For 2 of the test sample, fares had not been recorded correctly on the form by claimants and were not paid.	As far as possible, payroll staff should ensure that where fares are claimed that these are paid as appropriate.	Low Risk	Management will issue a communication to Employees /Managers directing them to the intranet where an Information Note for Travel & Subsistence will be posted. This will provide employees with information on employee /management responsibilities, and advice and guidance on completion of the claim form.	Sam Dove Section Head – Workforce Planning & Resourcing	28.10.11

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4.	<u>Public Transport Rate</u> From the same test sample as above, the wrong Public Transport Rate was claimed i.e.18p per mile instead of 12.6p per mile for 1 of the test sample.	Management authorising claims should ensure the correct mileage rates are claimed. Where Payroll staff find that the rate claimed is incorrect, this should be amended accordingly.	Low Risk	The mileage rates will be pre printed on the claim form to ensure correct rates are claimed and an Information Note will be posted on the intranet.	Sam Dove Section Head – Workforce Planning & Resourcing	28.10.11
5.	<u>Claims Not Fully Completed</u> From the same test sample as above, a variety of details had not been recorded on some of the claims e.g. departure and return times of journey, starting point and destination of journey, purpose of the journey and VAT element of mileage.	Claimants should be reminded that all information requested on the Travel & Subsistence claim form must be fully completed. Managers should also be reminded of their responsibilities when authorising claims.	Low Risk	Management will issue a communication to Employees/Managers directing them to the intranet where an Information Note for Travel & Subsistence will be posted. This will provide employees with information on employee/management responsibilities, and advice and guidance on the completion of the claim form.	Sam Dove Section Head – Workforce Planning & Resourcing	28.10.11

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6.	<u>Signature of Claimant</u> From the same test sample as above, 2 claimant's had not signed their name as requested on the form but had typewritten their name.	Claimants should be reminded that they should manually record their signature as requested on the claim form.	Low Risk	Management will issue a communication to Employees/Managers directing them to the intranet where an Information Note for Travel & Subsistence will be posted. This will provide employees with information on employee/management responsibilities, and advice and guidance on the completion of the claim form.	Sam Dove Section Head – Workforce Planning & Resourcing	28.10.11
7.	<u>Security of Data</u> By enquiry, the Auditor checked the security of data in relation to the retention of files and documents which hold personal/classified information. It was noted that files are held in unlocked filing cabinets and cupboards. Whilst access to the Payroll Office is via a secured entry corridor, files and data could be accessed out of hours by unauthorised persons.	It is recommended that adequate controls be established to protect information and data from unauthorised access.	Medium Risk	Management will assess the security of data and address the issues where the budget will allow.	Sam Dove Section Head – Workforce Planning & Resourcing	31.12.11

Systems Review Action Plan: Travel & Subsistence (Councillors) S.013.12**Action Plan 2****Date Issued : October 2011**

Ref. No.	Finding	Recommendation	Priority	Management Comment	Manager Responsible	Date of Action
1.	<u>Annual Claim</u> A sample of 8 Councillors' Travel & Subsistence claims was selected for testing. From the sample tested, a full years travel expenses was submitted in a single claim and the relevant duty for that claim for each journey was not indicated separately for 1 of the test sample.	a) It is recommended that consideration be given to setting a specific period for submission of claims after journeys have taken place. b) The nature of the business i.e. the relevant duty being undertaken should be clearly recorded to ensure that the validity of the journey can be checked e.g. attendance at committees / meetings etc.	Medium Risk	a) HR Information note to be amended to advise that claims must be completed and submitted on a monthly basis. b) A reminder will be issued to all Councillor's.	Sam Dove Section Head – Workforce Planning & Resourcing Karen Shannon Section Head –Financial Administration & Control	28.10.11 28.10.11
2.	<u>Claim for Postage</u> From the same test sample of claims as above, expenditure for postage was claimed for 1 of the test sample.	Expenses relating to travel costs only should be claimed on Travel & Subsistence claim forms.	Low Risk	A reminder will be issued to all Councillor's.	Karen Shannon Section Head – Financial Administration & Control	28.10.11

Systems Review Action Plan: Travel & Subsistence (Councillors) S.013.12**Action Plan 2****Date Issued : October 2011**

Ref. No.	Finding	Recommendation	Priority	Management Comment	Manager Responsible	Date of Action
3.	<u>Public Transport</u> From the same test sample as above, it was noted that several Councillors claimed mileage when the public transport option would have been more economic for travel outside the WDC area e.g. Edinburgh, Dundee etc.	Consideration should be given to cost effectiveness when choosing the mode of transport for travel on Council business outside the WDC area.	Low Risk	A reminder will be issued to all Councillor's.	Karen Shannon Section Head – Financial Administration & Control	28.10.11
4.	<u>Calculation of Mileage</u> From the same test sample as above, there was some disparity between the mileage claimed by some Councillor's and the RAC mileage calculator. There was also disparity between Councillor's, in respect of mileage claimed for similar journey's.	Councillor's should use their trip meter and/or the RAC mileage calculator to ensure the correct mileage is being claimed.	Low Risk	Correspondence will be issued to all Councillor's in respect of calculation of mileage.	Karen Shannon Section Head – Financial Administration & Control	28.10.11

Systems Review Action Plan: Improvement Grants S.003.12**Action Plan 3****Date Issued : October 2011**

Ref. No.	Finding	Recommendation	Priority	Management Comment	Manager Responsible	Date of Action
1.	<u>Start Date of Works</u> The start date of works is e-mailed to the Private Housing Advice Surveyor (PHAS) by Care & Repair for disabled adaptations. The PHAS then records the start date on the Grant Registration document.	A hard copy of the e-mail confirming start date of works should be retained in the grant file.	Low Risk	This has been implemented.	Martin Feeney Maintenance Co-ordinator	12.10.11
2.	<u>Customer Consultative Initiatives (CCI)</u> There are currently no CCI in place or communications issued to assess if customers are satisfied with the service.	The service should consider developing a Customer Satisfaction Survey to ensure that customers are satisfied with service provided, in order to continually improve performance.	Medium Risk	This will be considered as part of and in accordance with the current departmental Consultative Initiatives.	Martin Feeney Maintenance Co-ordinator	31.3.12
3.	<u>Post Work Inspections</u> The PHAS carries out post works inspections for both the disabled adaptations and general repairs to ensure that work is carried out as quoted on the estimate/invoice. However, there is no standard process and reports are not completed.	A post works inspection report should be completed after carrying out an inspection and thereafter held on file, thus ensuring that the detail of the inspection is documented. The PHAS should also indicate on the report her satisfaction with the works if appropriate.	Medium Risk	Work is in progress to address this issue.	Martin Feeney Maintenance Co-ordinator	9.1.12

Systems Review Action Plan: Improvement Grants S.003.12**Action Plan 3****Date Issued : October 2011**

Ref. No.	Finding	Recommendation	Priority	Management Comment	Manager Responsible	Date of Action
4.	<u>Applicant Satisfaction</u> After works have been completed for General Repairs, the PHAS has a verbal discussion with the applicant regarding satisfaction with works carried out. The applicants are not asked to sign a form to confirm that they are satisfied with the work.	To ensure that there is a formal record of client satisfaction, applicants should be asked to sign a form confirming that they are satisfied with the work carried out and thereafter this should be held on file.	Low Risk	Work is in progress to address this issue.	Martin Feeney Maintenance Co-ordinator	9.1.12
5.	<u>Performance Indicators</u> The section have recently developed 2 Performance Indicators, however these are not reported to management.	The Performance Indicators should be formalised and reported to the Head of Service on an annual basis. This should provide management with information to confirm if the section is performing efficiently and effectively.	Medium Risk	A report will be submitted to the Head of Service on an annual basis. This will commence at the start of the new financial showing performance information for the current financial year. Data will also be included in the performance management system Covalent.	Martin Feeney Maintenance Co-ordinator	1.4.12

Systems Review Action Plan: Improvement Grants S.003.12**Action Plan 3****Date Issued : October 2011**

Ref. No.	Finding	Recommendation	Priority	Management Comment	Manager Responsible	Date of Action
6.	<u>First Inspection/Visit</u> Reports are not being completed after the initial visit to applicants' homes.	Whilst it is acknowledged that the initial visit is to provide applicants with appropriate levels of information, a report should be completed by way of a tick list documenting the details of the visit e.g. <ul style="list-style-type: none">• cursory check• advice pack provided• lending advice provided The PHAS should sign and date the report and retain a copy on file as evidence of the visit being carried out.	Low Risk	Work will be carried out to address this issue.	Martin Feeney Maintenance Co-ordinator	9.1.12

Systems Review Action Plan: Health & Safety - Roads Operations S.002.12**Action Plan 4****Date Issued: October 2011**

Ref. No.	Finding	Recommendation	Priority	Management Comment	Manager Responsible	Date of Action
1.	<u>Risk Assessments</u> Although risk assessments had been carried out, a number had not been reviewed for a considerable period of time. A number of risk assessments had also not been signed as formally accepted by the Director, Head of Service or nominated Senior Manager to confirm implementation of the appropriate control measures/safe systems of work.	It is recommended that regular reviews of risk assessments are undertaken and signed as formally accepted. It is also recommended that a review of the risk assessment portfolio is undertaken to ensure all current tasks/activities have been assessed.	Medium Risk	A review of the risk assessment portfolio will be undertaken. The safety committee in conjunction with the Roads Superintendent will undertake regular reviews and these will be signed by appropriate Manager.	Jack McAulay Roads & Transportation Manager	31/03/12
2.	<u>Inspection Checklist and Action Plan</u> Although annual health and safety inspection checklists had been completed, there were not adequate procedures in place to manage and monitor progress of the health and safety actions as there were a number of recurring issues identified which had not been addressed.	It is recommended that the health & safety inspection checklists are signed as accepted and returned to the Health & Safety Officer showing the corrective action to be taken. It is also recommended that the resultant action plans are formally monitored and reviewed by management.	Medium Risk	Health and safety checklists will be signed as accepted and returned to the relevant health and safety Officer. Any identified action plans will be reviewed by the safety Committee on a quarterly basis and reviewed by the Manager.	Jack McAulay Roads & Transportation Manager	31/03/12

Systems Review Action Plan: Health & Safety - Roads Operations S.002.12**Action Plan 4****Date Issued: October 2011**

Ref. No.	Finding	Recommendation	Priority	Management Comment	Manager Responsible	Date of Action
3.	<u>Toolbox Talks</u> Toolbox talks are used to familiarise staff with safe systems of work however a record of talks, detailing the subject covered and attendance, is not currently held.	It is recommended that, in accordance with Health & Safety Guidance Note 1, a formal record of toolbox talks is maintained.	Low Risk	A formal record of all toolbox talks will be kept with immediate effect.	Jack McAulay Roads & Transportation Manager	01/11/11
4.	<u>Fire Training</u> Responsibility for managing fire procedures and evacuations had been formally allocated, however, no training had been provided in this respect.	It is recommended that in accordance with Health & Safety Policy 22 - Fire Manual, employees with a supervisory role in the event of fire should be provided with the appropriate training.	Low Risk	Training has been undertaken and will be continually updated.	Jack McAulay Roads & Transportation Manager	01/11/11
5.	<u>Spot Checks</u> Although spot checks were carried out to ensure safe systems of work are being followed these were on an informal basis and no records were kept of the checks or the outcomes.	To ensure safe working practices are being followed and safety equipment is being used/worn, it is recommended that regular spot checks are carried out and a record kept of the checks and the outcomes.	Low Risk	The safety committee with the Roads Superintendent will undertake regular spot checks of all operations/works and detailed records of such spot checks will be maintained.	Jack McAulay Roads & Transportation Manager	01/12/11

Systems Review Action Plan:				Action Plan 8		
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