Action Points Behind Schedule - Audit Scotland Reports

A – 2002/03 Commissioning Community Care Services for Older People

Ref	Action Point / Implication	Department / Head of Service	Explanation for delay	Risk Grading	Original implementation date	Revised implementation date
1	Officers should confirm that the revised system can provide aggregated information from individual care plans and additional information on unmet need to inform the planning process	Community Services – Head of Planning & Performance	The responsible Officer concurs that the devising/maintaining of a system to record and analyse unmet need should be postponed until at least April 2005.	Medium	October 2004	April 2005

B – 2002/03 Performance Audit – Management of Community Equipment and Adaptations

Ref	Action Point / Implication	Department / Head of Service	Explanation for delay	Risk Grading	Original implementation date	Revised implementation date
1	A system should be introduced to separately record the Authority's expenditure, referrals and assessments on equipment and on adaptions.	Community Services – Head of Community Support	Project Board for Care First review has now been established though it has not as yet met. However, timescale for implementation to resolve this matter has carried forward to 31st March 2006.Secondary systems are being developed via the Department Planning Section as an interim measure to allow annual PI's to be recorded. Timescale, February 2005.	Not stated in original report	August 2004	March 2006
2	A review of activity recording should be undertaken to ensure consistency and accuracy	Community Services – Head of Community Support	As above.	As above	August 2004	As above

3	Consideration should be given to recording the referrals received and assessments made for housing association and RSL tenants by adding these categories to the "contact by" section of the information system.	Community Services – Head of Community Support	Project Board for Care First review has now been established though it has not as yet met. However, timescale for implementation to resolve this matter has carried forward to 31st March 2006.Secondary systems are being developed via the Department Planning Section as an interim measure to allow annual PI's to be recorded. Timescale, February 2005.	Not stated in original report	August 2004	March 2006
4	The information system should be revised to record assessments completed, individual pieces of equipment issued, individual adaptations installed and completions.	Community Services – Head of Community Support	As above.	As above	August 2004	As above
5	Changes to the information system should be implemented to enable completions to be analysed by client group.	Community Services – Head of Community Support	As above.	As above	August 2004	As above
6	The Council should consider the effect of demographic and other environmental changes in planning for the future needs of the service.	Community Services – Head of Integrated Care	3-5 year Business Plan to be completed for clients with Physical Disabilities for 31st March 2005	As above	Date to be agreed by planning department	March 2005
8	The Council should identify standards for storing, transporting and cleaning equipment and periodically audit the arrangements to ensure compliance.	Community Services – Head of Community Support	Timescale has changed to 31st March 2005. These issues will be incorporated into the Business Plan noted in point 6 above.	As above	August 2004	March 2005

12	The Council should introduce systems to monitor equipment and adaptation waiting lists and waiting times.	Community Services – Head of Community Support	Date amended to 31st March 2005 to link in with Business Plan noted in point 6 above.	Not stated in original report	August 2004	March 2005
14	Consideration should be given to establishing and reporting information on the level of recycling of equipment.	Community Services – Head of Community Support	As above.	As above	August 2004	As above
15	A service, maintenance and repair policy should be developed within the local service.	Community Services – Head of Community Support	As above.	As above	August 2004	As above
19	Council budgeting processes should be reviewed for major and minor adaptations and the level of unmet need determined and reported.	Community Services – Head of Planning & Performance and Head of Community Support	Not completed. Ongoing as part of assessment and care management procedures. Collection of unmet need will link in with Care First Review and implementation of e-care solution to Single Shared Assessment. These are not likely until April 2006. Planning section presently working on alternative interim system for implementation February 2005.	As above	December 2003	April 2006
20	Systems for collecting and reporting activity data should be reviewed to ensure that the data is reliable and can be analysed into major and minor items, the source of referral and client group.	Community Services – Head of Planning & Performance	As above.	As above	December 2003	As above
22	Consideration should be given to establishing and reporting information on the level of recycling of adaptations	Community Services – Head of Planning & Performance	As above.	As above	December 2003	As above

| 23 | A review should be undertaken to establish whether a pickup service for adaptations exists and if not, whether its introduction would contribute to recycling rates. | Community Services – Head of Planning & Performance and Head of Community Support | To link in with Business Plan for clients for Physical Disability for 31st March 2005. | As above | December 2003 | March 2005 |

C – Regularity & Governance (2) 2002/03

Ref	Action Point / Implication	Department / Head of Service	Explanation for delay	Risk Grading	Original implementation date	Revised implementation date
1	A Council wide budgetary control procedures manual should be produced and circulated to all budget holders.	Chief Executive's - Head of Strategic Finance Accounting Services Managers	The Head of Strategic Finance will produce a separate report to the Audit Committee	High	31 March 2004	See separate report
8	Training events for budget holders should cover the completion of monitoring forms and the level/detail of response required.	Chief Executive's - Head of Strategic Finance	The Head of Strategic Finance will produce a separate report to the Audit Committee	Low	31 March 2004	See separate report
17	The basis and reasons for qualitative assessments of bids should be carefully recorded and retained. Standing Orders should clearly state this requirement.	Corporate Services – Head of Democratic Services & Governance	This will be dealt with in the new Council constitution, which is currently out for consultation.	Medium	October 2003	March 2005

| 20 | Review dates should be set for key policies procedures and control framework documents. This includes Standing Orders and Financial Regulations. | Corporate Services – Head of Democratic Services & Governance | As above | Medium | October 2003 | March 2005 |
| 21 | A comprehensive IM&T Strategy should be prepared. | Heads of Service | The Head of ICT & Financial Services will produce an outline document for ICT Strategy by December 2004. This was delayed as we were awaiting the outcome of the MG3 bid. A strategy specific to the finance function will be prepared after this. | Low | 30 September 2004 | December 2004 |

D – Regularity & Governance (2) 2003/04

Ref	Action Point / Implication	Department / Head of Service	Explanation for delay	Risk Grading	Original implementation date	Revised implementation date
7	A larger safe should be acquired to allow cash to be securely held.	Operational Services – Central Services Manager	Safe has now been ordered and currently awaiting delivery.	Medium	June 2004	N/A
14	3 year rolling targets should be approved for the trading activities	Chief Executive's - Head of Strategic Finance	Approved as part of the Council's Budget process.	Medium	Ongoing	March 2005
18	The Security and Financial Regulations should be amended to incorporate changes arising from the introduction of Trading Accounts Legislation.	Corporate Services – Head of Democratic Services & Governance	This will be dealt with in the new Council constitution, which is currently out for consultation.	High	August 2004	March 2005

E - 2003/04 Audit: Prudential Code

Ref	Action Point / Implication	Department / Head of Service	Explanation for delay	Risk Grading	Original implementation date	Revised implementation date
1	The Council is to bring forward measures to accommodate projects now classified as revenue in nature for 2005/2006 and 2006/2007 prior to the 2005/2006 budget setting exercise.	Chief Executive's - Head of Strategic Finance	This is being dealt with as part of the budget process.	High	31st October 2004	March 2005
2	Officers should calculate the outstanding Incremental Cost of Borrowing indicator.	Chief Executive's - Head of Strategic Finance	Bruce West to clarify this position with Don Peebles of CIPFA.	Medium	30 June 2004	After clarification from CIPFA
6	The Financial Regulations and Scheme of Delegation are to be revised to incorporate the requirements of the Prudential Code.	Chief Executive's - Head of Strategic Finance	This is currently out for consultation.	Medium	30 June 2004	March 2005

F – Networking Overview

Ref	Action Point / Implication	Department / Head of Service	Explanation for delay	Risk Grading	Original implementation date	Revised implementation date
1	We support the creation of an ICT Steering Group and recommend that the ICT Strategy should embrace a network strategy that is capable of supporting the Council's Strategic Objectives.	Corporate Services – Head of ICT & Financial Services	See separate report on Networking Overview form the Head of ICT & Financial Services.	High	August 2004	See separate report
2	The responsibility for control and co-ordination of devices connected to the network should be clearly defined. A Council-wide network strategy recommended in point 1 above can serve as good starting point, supported by clearly defined management responsibilities to address this potential risk.	Corporate Services – Head of ICT & Financial Services	As above	High	August 2004	See separate report
4	The Council should consider employing an intrusion detection system on their networks to help detect any unauthorised activity. Such monitoring should be automated, with the IDS (Intrusion Detection System) configured to send alerts and reports on activity.	Corporate Services – Head of ICT & Financial Services	As above	Medium	September 2004	See separate report