Appendix 3 - Recommendations Outstanding 31 July 2010

DEPARTMENT **CHIEF EXECUTIVE'S UNIT**
SERVICE **STRATEGIC FINANCE**
REPORT NAME **REVIEW OF THE STRATEGIC RISK REGISTER**

ACTION PLAN NO:	WEAKNESSES IDENTIFIED:	AGREED ACTION:	DATES :	COMMENT/EXPLANATION:	PYRAMID:
5	Our work has identified additional potential strategic risks and suggested refinements for consideration as follows:		31 May 2010 **30 September 2010**	The responsibility for risk management has transferred to the Head of Strategic finance who is currently undertaking a review of the Strategic Risk Register. A meeting of the RMG is being arranged for 30 September 2010	**Delayed but rescheduled**
	5.1 Failure to realise efficiency gains should be amended to failure develop shared services opportunities – Internal & External	Consideration of the specific risk issues raised should be covered in the current review and development phase of risk management.			
	5.2 Failure in reliable provision of core ICT infrastructure	Consideration will be given to including these risks 5.2 and 5.3.			
	5.3 Failure to develop eProcurement				
	5.4 Strategic risk 24 could be extended to cover 'UK and European' Government Policy (as well as Scottish Government)	Consideration will be given to amending the risk description per 5.4.			
	5.5 Best Value – Policy & Strategy currently take corporate lead, but certain departments have identified a risk in respect of BV in their departments.	Creation of a link from the Operational Risk register to the Strategic Risk Register should be considered.			

DEPARTMENT   COMMUNITY SERVICES
SERVICE   ADULT CARE
REPORT NAME   AUDIT SCOTLAND - COMMISSIONING COMMUNITY CARE SERVICES FOR OLDER

ACTION PLAN NO:	WEAKNESSES IDENTIFIED:	AGREED ACTION:	DATES :	COMMENT/EXPLANATION:	PYRAMID:
2	Officers should implement information sharing arrangement to enable access to services across social work, housing and health, including the requirement to obtain consent.	Paper version in place. IT infrastructure being negotiated.	30 April 2005 31 July 2007 30 April 2008 30 November 2009 31 May 2010 28 July 2010 **31 October 2010**	Social Work has implemented an electronic assessment package that is due for review in October 2010. Government central repository is available to connect the Council with the NHS but no equivalent NHS system available.	**Delayed but rescheduled**

DEPARTMENT   CUSTOMER SERVICES
SERVICE   FACILITY SERVICES
REPORT NAME   REVIEW OF CLEANERS, CATERERS & JANITORIAL WAGES

ACTION PLAN NO:	WEAKNESSES IDENTIFIED:	AGREED ACTION:	DATES :	COMMENT/EXPLANATION:	PYRAMID:
1	There is a need to reduce the administrative pressure placed on Central Services and to possibly reduce penalty fine payments.	It is proposed that in future cleaning staff timesheets should be sent to Area Offices where the information is keyed into a spreadsheet. This spreadsheet is reviewed by the Area Manager authorising its transfer to Central Services staff at Argyll House for onward processing. The Cleaning staff timesheets can be scanned at the Area Office and retained on disc. Central Services have advised that the Development and Training Officer will assist with the setting up of area spreadsheets, training and protocols.	30 June 2010 **30 April 2011**	Due to the changes at Departmental and Head of Service level and the ongoing service reviews an amended date of implementation is proposed	**Delayed but rescheduled**

SERVICE   GOVERNANCE & LAW
REPORT NAME   GRANT THORNTON PROGRESS IMPLEMENTATION REVIEW - INTERNAL AUDIT

ACTION PLAN NO:	WEAKNESSES IDENTIFIED:	AGREED ACTION:	DATES :	COMMENT/EXPLANATION:	PYRAMID:
1	Scope of Internal Audit The Council's procedures for the prevention of fraud and corruption are detailed within the Financial and Security Regulations and include guidance for staff reporting suspected fraud. The guidance does not specifically detail the role of Internal Audit in fraud investigations.	The Council Should update 'guidance for staff reporting suspected fraud' to include specific reference to the role of Internal Audit. Management Response The Council Constitution will be amended to recognise the role of Internal Audit in the investigation of suspected frauds.	30 April 2008 30 June 2009 01 October 2009 31 March 2010 30 June 2010 **07 October 2010**	Draft circulated to relevant staff for comment in July 2010 will be submitted to Council in October 2010.	**Delayed but rescheduled**

ACTION PLAN NO:	WEAKNESSES IDENTIFIED:	AGREED ACTION:	DATES :	COMMENT/EXPLANATION:	PYRAMID:
REPORT NAME	**REVIEW OF BUSINESS CONTINUITY**				
1	The Council has not produced a Business Continuity Management Policy.	A Business Continuity Management Policy should be produced and submitted to SMT for approval. The Governance & Risk Manager is aware of the need to have a formal policy approved.	30 April 2010 30 July 2010 **31 October 2010**	Draft policy has been prepared and requires to be reviewed by RMG prior to being presented to SMT for final approval. However, the Risk management group (RMG) has not yet met to discuss/approve the draft policy.	**Delayed but rescheduled**
2	The draft Business Continuity Incident Management Plan has still to be submitted to SMT.	The Business Continuity Plan will be reviewed by the Risk Management Group at its meeting in February 2010. A report will be submitted to SMT in March 2010.	31 March 2010 30 April 2010 30 July 2010 **31 October 2010**	The draft Business Continuity Plan has been updated but it was agreed by the RMG that it will require a further review in light of the ongoing modernisation programme to ensure that the appropriate personnel have been identified within the new departmental structures. A revised date of 31 October is suggested.	**Delayed but rescheduled**
4	The fact that the Council has BCP plans is not widely known by employees.	The Governance & Risk Manager has reviewed the information contained within Public Folders and has replaced it with the most up to date information. He has also instructed a review of the Departmental Recovery Plans (DRPs) and has asked the Risk Management Group to take forward the process of arranging meetings with the staff who will be involved in the invocation of the DRPs to ensure that they are aware of their responsibilities in relation to that process. It is hoped that these meetings will be completed by June 2010.	30 June 2010 **30 April 2011**	The review of the DRPs has not been undertaken within the previous timescale. It is anticipated that once the modernisation programme has been completed there will require to be a corporate wide review of our business continuity structure processes and plans to ensure a fit with the new organisational structure.	**Delayed but rescheduled**

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REPORT NAME	**REVIEW OF NEW LEGISLATION 2009-10**				
4	The initial finding was a lack of awareness of the Anti-Fraud Strategy or where to find it.	The launch of the revised Anti-Fraud Strategy should be notified to staff via Postmaster, and access to the strategy, within the Council Constitution improved with the use of hyperlinks.	31 July 2010 **31 October 2010**	A draft policy document has been circulated for comment and once amended/approved it will be promoted widely with assistance from the Comms Team.	**Delayed but rescheduled**
SERVICE	**SUPPORT & CUSTOMER SERVICES**				
REPORT NAME	**REVIEW OF DEBTORS 2007-08**				
10	It is unclear who is to carry out follow-up and write off of unpaid debtor accounts	Debtors Control should agree with services exactly who should do what in regard to follow-up & write off of accounts. Revised procedures for follow-up of outstanding accounts should be compiled and issued prior to implementation of new system.	31 January 2009 30 September 2009 31 January 2010 30 June 2010 **31 December 2010**	Following service re-structure a report is now being updated and will be submitted to the DMT in September 2010	**Delayed but rescheduled**
REPORT NAME	**REVIEW OF GENERAL LEDGER OPERATIONS**				
2	Reporting to SMT The emphasis on achieving faster settlement of invoices is clearly of benefit to suppliers in the current recession. However, there are underlying issues regarding the clearance of unmatched or mismatched entries on PECOS, and therefore also on Oracle, which require to be resolved by the user departments.	The follow-up report to the SMT on the impact of forced settlements, should also assess the overall processing position to identify whether there are any underlying problems that may have accounting impact.	30 September 2009 28 February 2010 31 May 2010 30 June 2010 **31 May 2011**	A full report will be taken to SMT late April – early May when Year-end figures are available.	**Delayed but rescheduled**
REPORT NAME	**REVIEW OF IT SERVICE DESK**				
2	Processes & Procedures. Although the service desk does have some processes and procedures many of these have not been reviewed/updated regularly and do not cover all aspects of the service	Management should develop policies and procedures for all parts of the service desk, including second level support teams. These should also be reviewed and updated on a regular basis.	31 December 2009 31 March 2010 31 May 2010 30 June 2010 **30 September 2010**	Report creation postponed due to operational commitments. New due date of 30 September 2010.	**Delayed but rescheduled**

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	desk. There is a risk that there is an inconsistent approach to the delivery of support to customers. There are key dependencies where only certain staff members can perform procedures as they are the keepers of this knowledge and it is no fully documented.	Action: Policies and procedures will be developed for all parts of the ICT service desk including second level support teams. These policies will be reviewed annually.			

DEPARTMENT   DEVELOPMENT & INFRASTRUCTURE SERVICES

SERVICE   ROADS & AMENITY SERVICES
REPORT NAME   REVIEW OF CAPITAL CONTRACTS

ACTION PLAN NO:	WEAKNESSES IDENTIFIED:	AGREED ACTION:	DATES :	COMMENT/EXPLANATION:	PYRAMID:
3	Validity of Tenders The contracting group have not defined within the tender proposal documents the period a proposal will remain valid for, where the design group has designated a 90 day period.	The contracting group should consider establishing a validity period for each tender and incorporate this into the terms and conditions of all tender documentation.	31 December 2009 31 March 2010 30 June 2010 **31 August 2010**	The requirement for tenders to remain open for 3 months shall be subject to programmed verification through the departmental QMS audit.	**Delayed but rescheduled**
4	Incomplete Documentation Testing of compliance with the tendering process highlighted a number of exceptions including incomplete checklists and documentation that could not be found.	Management should review the processes, where by, compliance with tendering procedures within work instructions is confirmed on a continuous basis. This should incorporate an end of process check that all relevant documentation has been appropriately completed and retained. This could be captured within the final tender report and signed off to confirm that all relevant documentation and sign off's have been completed and retained.	31 December 2009 30 June 2010 **31 October 2010**	A QMS audit shall be conducted to reappraise the extent of the matter given the time since the audit was undertaken and to suitably inform improvement recommendations. These will be reported to the R & A Service Management Team and will enable subsequent QMS update and any other action considered necessary.	**Delayed but rescheduled**