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<b>Report To:</b>	Audit Committee	<b>Date:</b>	23 August 2011
<b>Report By:</b>	Corporate Director Regeneration & Environment	<b>Report No:</b>	AC/26/11/AF/APr
<b>Contact Officer:</b>	Andi Priestman	<b>Contact:</b>	01475 712251
<b>Subject:</b>	<b>External Audit Action Plans - Current Actions</b>		

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## **1.0 PURPOSE**

- 1.1 The purpose of this report is to advise members of the status of current actions from External Audit Action Plans at 30 June 2011.

## **2.0 SUMMARY**

- 2.1 The Chief Internal Auditor co-ordinates follow up reporting on outstanding actions arising from External Audit Action Plans on a monthly basis with regular reporting to CMT and the Audit Committee.
- 2.2 There were 5 actions due for completion by 30 June 2011, 4 of which have been reported as completed by management and action relating to one item has been revised.

## **3.0 RECOMMENDATIONS**

- 3.1 It is recommended that members note the progress to date in relation to the implementation of external audit recommendations.

**Aubrey Fawcett**  
**Corporate Director Regeneration and Environment**

## **4.0 BACKGROUND**

- 4.1 External Audit regularly report findings and action plans to relevant Council Officers and the Audit Committee as part of their annual audit plan.
- 4.2 A follow up process is now in place to allow follow up of outstanding external audit actions to be co-ordinated and updated by Internal Audit on a monthly basis with regular reporting to CMT and the Audit Committee.

## **5.0 IMPLICATIONS**

- 5.1 Legal: There are no legal implications arising from this report.
- Finance: There are no financial implications arising from this report.
- Personnel: There are no personnel implications arising from this report.
- Equalities: There are no equalities implications arising from this report.

## **6.0 CONSULTATIONS**

- 6.1 Relevant Officers were asked to provide updates to the report as appropriate.

## **7.0 LIST OF BACKGROUND PAPERS**

- 7.1 Audit Scotland's External Audit reports. Copies available from Andi Priestman, Chief Internal Auditor.

**INVERCLYDE COUNCIL INTERNAL AUDIT**  
**REPORT TO AUDIT COMMITTEE ON**  
**STATUS OF EXTERNAL AUDIT ACTION PLAN POINTS**  
**AT 30 JUNE 2011**

**Summary: Section 1 Summary of Management Actions due for completion by 30/06/11**

There were 5 items due for completion by 30 June 2011 of which 4 have been reported as completed by management and action in relation to 1 item has been revised.

In addition, one item with an “ongoing” action date has been reported as complete by management.

**Section 2 Summary of Current Management Actions Plans at 30/06/11**

At 30 June 2011 there were no audit reports delayed due to management not finalising the action plan within agreed timescales.

**Section 3 Current Management Actions at 30/06/11**

At 30 June 2011 there were a total of 25 audit action points.

**Section 4 Analysis of Missed Deadlines**

At 30 June 2011 there was a total of 7 of the 25 audit action points where the agreed deadline had been missed.

**INVERCLYDE COUNCIL INTERNAL AUDIT  
REPORT TO AUDIT COMMITTEE ON  
STATUS OF EXTERNAL AUDIT ACTION PLAN POINTS**

**SUMMARY OF MANAGEMENT ACTION DUE FOR COMPLETION BY 30.06.11**

**SECTION 1**

Area	No. of Actions Due	No. of Actions Completed	Deadline missed Revised date set*	Deadline missed Revised date to be set*	No action proposed
Organisational Improvement and Resources	5	4	1		
Regeneration and Environment					
Community Health and Care Partnership (CHCP)					
Education and Communities					
<b>Total</b>	<b>5</b>	<b>4</b>	<b>1</b>		

\* These actions are included in the Analysis of Missed Deadlines – Section 4

**INVERCLYDE COUNCIL INTERNAL AUDIT  
REPORT TO AUDIT COMMITTEE ON  
STATUS OF EXTERNAL AUDIT ACTION PLAN POINTS**

**SUMMARY OF CURRENT MANAGEMENT ACTION PLANS AS AT 30.06.11**

**SECTION 2**

**CURRENT ACTIONS BY DIRECTORATE**

<b>Organisational Improvement and Resources</b>	
Due for completion September 2011	5
Due for completion December 2011	3
Due for completion March 2012	1
Due for completion July 2012	1
Due for completion October 2012	1
Due for completion March 2013	1
Completion date to be advised	4
Completion date ongoing	1
<b>Total Actions</b>	<b>17</b>
<b>Regeneration and Environment</b>	
Due for completion July 2011	1
Due for completion August 2011	1
Due for completion September 2011	1
Due for completion December 2011	1
Due for completion June 2012	1
Completion date ongoing	2
<b>Total Actions</b>	<b>7</b>
<b>Education and Communities</b>	
Completion date to be advised	1
<b>Total Actions</b>	<b>1</b>
<b>Total current actions:</b>	<b>25</b>

**INVERCLYDE COUNCIL INTERNAL AUDIT  
REPORT TO AUDIT COMMITTEE ON  
STATUS OF EXTERNAL AUDIT ACTION PLAN POINTS**

**CURRENT MANAGEMENT ACTIONS AS AT 30.06.11**

**SECTION 3**

**Organisational Improvement and Resources**

<b>Action</b>	<b>Owner</b>	<b>Expected Date</b>
<b>Data Handling Overview (June 2009)</b>		
The need for an information and knowledge strategy will be considered during the implementation of the improvement plan arising from the Information Governance and Management Review.	<b>Corporate Director OI&amp;R</b>	<b>To be advised*</b>
The requirement for an information asset register will be assessed as part of the improvement plan developed in relation to the Information Governance and Management Review.	<b>Corporate Director OI&amp;R</b>	<b>To be advised*</b>
An information asset register will define the classification of the information and how the information is transferred. This will be addressed through the improvement plan developed in relation to the Information Governance and Management Review.	<b>Corporate Director OI&amp;R</b>	<b>To be advised*</b>
<b>Members Report 2008/09 (October 2009)</b>		
<b>Financial Capacity Development Plan</b> Resource requirements are being assessed. Progress against timescales will be monitored by the Resources Group of the OIP.	<b>Chief Financial Officer</b>	<b>30.09.11</b>
<b>Information Governance</b> The Council will implement the actions in the agreed improvement plan.	<b>Corporate Director OI&amp;R</b>	<b>To be advised*</b>
<b>Annual Report to Members 2009/10 (November 2010)</b>		
<b>Strategic Procurement Framework</b> Further slippage has arisen in the timescale for delivering actions within the Strategic Procurement Framework. The Council will need to increase momentum to significantly develop current procurement practices. Updates will continue to be reported every quarter to Policy and Resources Committee. Target is for the Council to achieve 'Conformance' status by 31.12.11	<b>Chief Financial Officer</b>	<b>31.12.11</b>
<b>Employee Appraisal Scheme</b> It is recognised that a performance review and appraisal process has been developed for employees at team leader level and above. As yet employee appraisals have not been rolled out to all employees.  Employee Appraisal will be completed to Team Leader level by March 2011 and for all employees by March 2012.	<b>Head of OD, HR &amp; Performance</b>	<b>31.03.12</b>

\* See Analysis of Missed Deadlines – Section 4

**INVERCLYDE COUNCIL INTERNAL AUDIT  
REPORT TO AUDIT COMMITTEE ON  
STATUS OF EXTERNAL AUDIT ACTION PLAN POINTS**

**CURRENT MANAGEMENT ACTIONS AS AT 30.06.11**

**SECTION 3**

**Organisational Improvement and Resources (Continued)**

<b>Action</b>	<b>Owner</b>	<b>Expected Date</b>
<b>Annual Report to Members 2009/10 (November 2010)</b>		
<p><b>Performance Management</b> The new performance management system, Inverclyde Performs, is due for a phased roll out from January 2010. Performance management across the council is due to be embedded within this system by July 2012.</p> <p>The Council believes that the SP&amp;PM framework provides members with a broad range of performance information at a corporate and service level and enables members and management to make an informed judgement on where improvement is required.</p>	<b>Head of OD, HR &amp; Performance</b>	<b>31.07.12</b>
<p><b>Performance Management</b> The council will take account of the comments made by AS with regard to the public performance report in the development of the 2010/11 PPR.</p>	<b>Head of OD, HR &amp; Performance</b>	<b>31.10.12</b>
<p><b>Depopulation</b> The Council fully appreciates the issues generated by depopulation and will continue to work closely with partners through the Alliance to effectively address these issues.</p> <p>Progress on actions identified in the outcome delivery plan will continue to be reported on a regular basis to the SOA and Alliance Board.</p>	<b>Corporate Director OI&amp;R</b>	<b>Ongoing</b>
<b>Review of Governance Arrangements and Main Financial Systems (May 2011)</b>		
<p><b>Governance Documentation</b> Financial Regulations to be reviewed and reported to Members by September 2011.</p>	<b>Chief Financial Officer</b>	<b>30.09.11</b>
<p><b>Data Recovery Centre</b> The interim Data Recovery Centre is nearing completion and is due for delivery in June 2011.</p>	<b>Chief Financial Officer</b>	<b>30.09.11*</b>
<p><b>Single Person Dependency &amp; Reconciliation Procedures</b> There are 18 reconciliations required each month within Payroll, a timetable to ensure detailed procedures will be completed by 31 December 2011.</p>	<b>Finance Manager/HR Manager (Operations)</b>	<b>31.12.11</b>

\* See Analysis of Missed Deadlines – Section 4

**INVERCLYDE COUNCIL INTERNAL AUDIT  
REPORT TO AUDIT COMMITTEE ON  
STATUS OF EXTERNAL AUDIT ACTION PLAN POINTS**

**CURRENT MANAGEMENT ACTIONS AS AT 30.06.11**

**SECTION 3**

**Organisational Improvement and Resources (Continued)**

Action	Owner	Expected Date
<b>Review of Governance Arrangements and Main Financial Systems (May 2011) (continued)</b>		
<p><b>Workforce Plan</b> The next phase Succession Planning will commence in the summer and completed by 31 December 2011</p>	<b>Head of OD, HR &amp; Performance</b>	<b>31.12.11</b>
<p>Workforce Analysis will be informed by number of other reviews being carried out in the services and be completed 31 March 2013</p>	<b>Head of OD, HR &amp; Performance</b>	<b>31.03.13</b>
<p><b>Early Severance Policy</b> The Council Policy will be reviewed in line with the current review of Severance compensatory policies.</p>	<b>Head of OD, HR &amp; Performance</b>	<b>30.09.11</b>
<p><b>Approval of Severance Packages</b> Employees will not be released without the necessary signed documentation being completed and approved.</p>	<b>Head of OD, HR &amp; Performance</b>	<b>Ongoing</b>
<b>Review of Purchasing and Procurement (June 2011)</b>		
<p><b>Strategic Procurement Framework</b> A review will be undertaken in conjunction with Scotland Excel which will produce a refreshed SPF Action Plan. This will be reported to Committee in September 2011.</p>	<b>Corporate Procurement Manager</b>	<b>30.09.11</b>

**Regeneration and Environment**

Action	Owner	Expected Date
<b>Members Letter 2008/2009 (October 2009)</b>		
<p><b>Asset Management</b> The development of PAMIS is integral to the corporate approach to asset management.</p> <p>Progress on implementation of the asset management strategy will be monitored via the OIP Management of Resources Group.</p>	<b>Corporate Director Regeneration and Environment</b>	<b>Ongoing</b>
<b>Annual Report to Members 2009/10 (November 2010)</b>		
<p><b>Business Continuity Planning</b> Service business continuity plans will be revised in light of the management restructure and introduction of the CHCP. This will include procedures for testing to be rolled out to relevant services as appropriate.</p>	<b>Corporate Director Regeneration and Environment</b>	<b>31.12.11*</b>

\* See Analysis of Missed Deadlines – Section 4



**INVERCLYDE COUNCIL INTERNAL AUDIT  
REPORT TO AUDIT COMMITTEE ON  
STATUS OF EXTERNAL AUDIT ACTION PLAN POINTS**

**CURRENT MANAGEMENT ACTIONS AS AT 30.06.11**

**SECTION 3**

**Regeneration and Environment (Continued)**

Action	Owner	Expected Date
<b>Review of Governance Arrangements and Main Financial Systems (May 2011)</b>		
<p><b>Missed Audit Implementation Dates</b> The CMT will receive and review on a bi-monthly basis relevant follow up reports detailing the status of current Internal and External Audit Action Plans and ensure relevant action is taken to address any missed deadlines where appropriate.</p>	<b>Corporate Director Regeneration and Environment</b>	<b>31.07.11</b>
<p><b>Service Risk Registers Overview Report Key Corporate Risks</b> All Service Risk Registers have been reviewed and updated. The overview report will be presented to the Audit Committee meeting in August 2011.</p>	<b>Chief Internal Auditor</b>	<b>31.08.11</b>
<p><b>Governance Documentation</b> The Scheme of Delegation will be reviewed and updated in line with the Committee Structure.</p>	<b>Head of Legal &amp; Democratic Services</b>	<b>30.06.12</b>
<p><b>Carbon Management Plan</b> Development and implementation of a formal mechanism to facilitate reporting on progress against actions within the Carbon Management Plan. An appropriate procedure will be incorporated into the Draft Plan which will be submitted to the CMT for approval in late summer 2011 and thereafter to the Safe, Sustainable Communities Committee following the summer recess.</p>	<b>Head of Property Assets &amp; Facilities Management/ Head of Regeneration &amp; Planning</b>	<b>30.09.11</b>

**Education and Communities**

Action	Owner	Expected Date
<b>Annual Report to Members 2009/10 (November 2010)</b>		
<p><b>Equality and Diversity</b> An action plan is not currently in place to support delivery of the Council's equality agenda.  A review of current position with regard to equalities is being undertaken by the Corporate Equalities Group.  An action plan will be developed to ensure that the Council is meeting relevant statutory requirements.</p>	<b>Corporate Director Education and Communities</b>	<b>To be advised*</b>

\* See Analysis of Missed Deadlines – Section 4

**INVERCLYDE COUNCIL INTERNAL AUDIT  
REPORT TO AUDIT COMMITTEE ON  
STATUS OF EXTERNAL AUDIT ACTION PLAN POINTS  
ANALYSIS OF MISSED DEADLINES**

**SECTION 4**

Report	Outstanding Actions	Original Date	Revised Date	Management Comments
<b>Data Handling Overview (June 2009)</b>	<b>Implementation of Improvement Plan</b> The need for an information and knowledge strategy will be considered during the implementation of the improvement plan arising from the Information Governance and Management Review.	<b>31.03.10</b>	<b>To be advised</b>	This is being led by the Culture/Organisation sub-group. A meeting of the Working Group was held in June 2011 and a further meeting will be held in August 2011 to prioritise and deliver on agreed actions.
<b>Data Handling Overview (June 2009)</b>	The requirement for an information asset register will be assessed as part of the improvement developed in relation to the Information Governance and Management Review.	<b>31.03.11</b>	<b>To be advised</b>	This is being led by the Process/ Technology sub-group. A meeting of the Working Group was held in June 2011 and a further meeting will be held in August 2011 to prioritise and deliver on agreed actions.
<b>Data Handling Overview (June 2009)</b>	An information asset register will define the classification of the information and how the information is transferred. This will be addressed through the improvement plan developed in relation to the Information Governance and Management review.	<b>31.03.11</b>	<b>To be advised</b>	This is being led by the Organisation/Culture sub-group. A meeting of the Working Group was held in June 2011 and a further meeting will be held in August 2011 to prioritise and deliver on agreed actions.

**INVERCLYDE COUNCIL INTERNAL AUDIT  
REPORT TO AUDIT COMMITTEE ON  
STATUS OF EXTERNAL AUDIT ACTION PLAN POINTS  
ANALYSIS OF MISSED DEADLINES**

**SECTION 4**

Report	Outstanding Actions	Original Date	Revised Date	Management Comments
<b>Members Report (October 2009)</b>	<b>Information Governance</b> The Council will implement the actions in the agreed improvement plan.	<b>31.03.11</b>	<b>To be advised</b>	A meeting of the Working Group was held in June 2011 and a further meeting will be held in August 2011 to prioritise and deliver on agreed actions.
<b>Annual Report to Members (November 2010)</b>	<b>Business Continuity Planning</b> Service business continuity plans will be revised in light of the management restructure and introduction of the CHCP.  This will include procedures for testing to be rolled out to relevant services as appropriate.	<b>31.03.11</b>	<b>31.12.11</b>	Work is continuing with the Joint Civil Contingencies Service to finalise this action. A new team member has been recruited by the JCCS in July 2011 who will have responsibility for delivering the plans and associated rehearsal testing for Inverclyde Council.
<b>Annual Report to Members (November 2010)</b>	<b>Equality and Diversity</b> An action plan is not currently in place to support delivery of the Council's equality agenda.  A review of the current position is being undertaken by the Corporate Equalities Group.  An action plan will be developed to ensure that the Council is meeting relevant statutory requirements.	<b>31.03.11</b>	<b>To be advised</b>	A review of the current position with regard to equalities has been the main focus of the Corporate Equalities Group. An outline of how the group would like to move forward with the equality agenda will be presented to the CMT and an action plan will be produced following the presentation to ensure the Council can demonstrate it is meeting relevant statutory requirements.

**INVERCLYDE COUNCIL INTERNAL AUDIT  
REPORT TO AUDIT COMMITTEE ON  
STATUS OF EXTERNAL AUDIT ACTION PLAN POINTS  
ANALYSIS OF MISSED DEADLINES**

**SECTION 4**

Report	Outstanding Actions	Original Date	Revised Date	Management Comments
<b>Review of Governance Arrangements and Main Financial Systems (May 2011)</b>	<b>Data Recovery Centre</b> The interim Data Recovery Centre is nearing completion and is due for delivery in June 2011.	<b>30.06.11</b>	<b>30.09.11</b>	The site has been fully configured and is awaiting delivery of the storage area network device. This was delivered for installation in June 2011. However initial work carried out was not successful and further work is required. The supplier will be on site in late August/early September to complete this work.

**INVERCLYDE COUNCIL INTERNAL AUDIT**  
**REPORT TO AUDIT COMMITTEE ON**  
**STATUS OF INTERNAL AUDIT ACTION PLAN POINTS (RED AND AMBER ONLY)**  
**AT 30 JUNE 2011**

**Summary: Section 1 Summary of Management Actions due for completion by 30/06/11**

There were 11 items due for completion by 30 June 2011, 7 of which have been reported as completed by management and action in relation to 4 items has been revised.

**Section 2 Summary of Current Management Actions Plans at 30/06/11**

At 30 June 2011 there were no audit reports delayed due to management not finalising the action plan within agreed timescales.

**Section 3 Current Management Actions at 30/06/11**

At 30 June 2011 there was a total of 48 current audit action points.

**Section 4 Analysis of Missed Deadlines**

At 30 June 2011 there was a total of 19 of the 48 audit action points where the agreed deadline had been missed.

**INVERCLYDE COUNCIL INTERNAL AUDIT  
 REPORT TO AUDIT COMMITTEE ON  
 STATUS OF INTERNAL AUDIT ACTION PLAN POINTS (RED AND AMBER ONLY)  
 SUMMARY OF MANAGEMENT ACTION DUE FOR COMPLETION BY 30.06.11**

**SECTION 1**

<b>Directorate</b>	<b>No. of Actions Due</b>	<b>No. of Actions Completed</b>	<b>Deadline missed Revised date set*</b>	<b>Deadline missed Revised date to be set*</b>
Regeneration & Environment	8	6		2
Education & Communities				
Community Health & Care Partnership (CHCP)**				
Organisational Improvement & Resources	3	1	2	
<b>Total</b>	<b>11</b>	<b>7</b>	<b>2</b>	<b>2</b>

\* These actions are included in the Analysis of Missed Deadlines – Section 4

**INVERCLYDE COUNCIL INTERNAL AUDIT  
REPORT TO AUDIT COMMITTEE ON  
STATUS OF INTERNAL AUDIT ACTION PLAN POINTS (RED AND AMBER ONLY)  
SUMMARY OF CURRENT MANAGEMENT ACTION PLANS AS AT 30.06.11**

**SECTION 2**

**CURRENT ACTIONS BY DIRECTORATE**

<b>Regeneration and Environment</b>	
Due for completion July 2011	2
Due for completion December 2011	1
Due for completion January 2012	1
Completion date to be advised	2
<b>Total Actions</b>	<b>6</b>
<b>Community Health and Care Partnership</b>	
Due for completion September 2011	2
Due for completion October 2011	2
Due for completion January 2012	1
Completion date to be advised	1
<b>Total Actions</b>	<b>6</b>
<b>Organisational Improvement and Resources</b>	
Due for completion July 2011	1
Due for completion October 2011	1
Due for completion March 2012	5
Due for completion July 2012	2
Completion Date to be advised	8
<b>Total Actions</b>	<b>17</b>
<b>Education and Communities</b>	
Due for completion September 2011	2
Due for completion October 2011	1
Due for completion December 2011	16
<b>Total Actions</b>	<b>19</b>
<b>Total current actions:</b>	<b>48</b>

**INVERCLYDE COUNCIL INTERNAL AUDIT  
REPORT TO AUDIT COMMITTEE ON  
STATUS OF INTERNAL AUDIT ACTION PLAN POINTS (RED AND AMBER ONLY)  
CURRENT MANAGEMENT ACTIONS AS AT 30.06.11**

**SECTION 3**

**Regeneration and Environment**

<b>Action</b>	<b>Owner</b>	<b>Expected Date</b>
<b>Project Management (September 2008)</b>		
<b>Project Management Framework (Amber)</b> The project management framework and guidelines will be rolled out across all services on a phased basis.	<b>Corporate Director R&amp;E</b>	<b>31.12.11*</b>
<b>Physical Investment Services (May 2009)</b>		
<b>Asset Performance Reviews (Amber)</b> Officers responsible for implementation of key functions; <ul style="list-style-type: none"> <li>• input Estate Management module;</li> <li>• strategic timetable for development and implementation of Planned Maintenance module;</li> </ul>	<b>Asset Manager Team Leader</b>	<b>To be advised*</b>
	<b>Property Assets Manager</b>	<b>To be advised*</b>
<b>Building Standards (April 2011)</b>		
<b>Section 29 Notices – Use of contractors (Amber)</b> The building standards team leader will investigate the introduction of a formal contract agreement with the Council's Procurement Manager and implement arrangements to the satisfaction of the Chief Financial Officer.	<b>Building Standards Team Leader</b>	<b>31.01.12</b>
<b>Freedom of Information (April 2011)</b>		
<b>Completeness of FOI records – (Amber)</b> Services will be reminded that monthly monitoring information should be complete. Where adverse trends are identified, these will be highlighted to the Head of Legal & Democratic Services for action to be taken where appropriate.	<b>Corporate Directors</b>	<b>31.07.11</b>
<b>Timeliness of responses to FOI requests – (Amber)</b> Relevant reporting will be made available to the Head of Legal & Democratic Services on timeliness of Service responses, for action to be taken where appropriate.	<b>Corporate Directors</b>	<b>31.07.11</b>



**INVERCLYDE COUNCIL INTERNAL AUDIT  
REPORT TO AUDIT COMMITTEE ON  
STATUS OF INTERNAL AUDIT ACTION PLAN POINTS (RED AND AMBER ONLY)  
CURRENT MANAGEMENT ACTIONS AS AT 30.06.11**

**SECTION 3**

**Community Health & Care Partnership**

Action	Owner	Expected Date
<b>Social Care – Business Support (July 2009)</b>		
<p><b>Adequacy of Financial Information (Amber)</b> The requirement for implementation of SWIFT Financials module will be discussed at the Social Work management team.</p> <p>Relevant action will then be taken to formalise a project for implementation.</p>	<b>Corporate Director CHCP</b>	<b>To be advised*</b>
<b>Homelessness (January 2010)</b>		
<p><b>Writing-off irrecoverable rent arrears – (Amber)</b> Management will review current arrears position and consider write off.</p> <p>Management will consider processes and procedures for monitoring bad debts and introduce a system for write offs which will include:</p> <ul style="list-style-type: none"> <li>(a) Submitting cases to Chief Financial Officer for write off approval in order to comply with Council Financial Regulations</li> <li>(b) Seeking advice from the Social Work Accountant on how to create ongoing bad debt provision to fund write offs</li> <li>(c) maintaining adequate records of all write off activity</li> </ul>	<b>Service Manager</b>	<b>30.09.11*</b>
<p><b>Securing value for money on furnishing temporary accommodation – (Amber)</b> Management working with Corporate Procurement regarding contracts for furnishing temporary accommodation.</p> <p>On completion of tendering process, mechanism to be introduced ensuring re-tendering commences in advance of contract expiry dates.</p>	<b>Service Manager</b>	<b>31.01.12*</b>

**INVERCLYDE COUNCIL INTERNAL AUDIT  
REPORT TO AUDIT COMMITTEE ON  
STATUS OF INTERNAL AUDIT ACTION PLAN POINTS (RED AND AMBER ONLY)  
CURRENT MANAGEMENT ACTIONS AS AT 30.06.11**

**SECTION 3**

**Community Health & Care Partnership (Continued)**

Action	Owner	Expected Date
<b>Homelessness (January 2010)</b>		
<p><b>Protecting client information from loss or damage (Amber)</b> Management will discuss the following actions with ICT, consider full integration with SWIFT and:</p> <p>(b) arrange for back-ups to be stored off-site in a secure Council controlled location which meets ICT Services approval;</p> <p>(c) no longer give the software supplier copies of back-ups and instead arrange with ICT Services for controlled remote access to be given to the software supplier;</p> <p>(f) obtain best practice advice from ICT Services regarding the business continuity issues surrounding the database, including the feasibility of moving the system to be centrally managed by ICT;</p> <p>(g) introduce a mechanism to report recurring computer problems to ICT Services via senior managers.</p>	<b>Service Manager/AFO</b>	<b>30.09.11*</b>
<p><b>Failure to comply with Council Inventory Procedures - (Amber)</b> All establishments to ensure items of value (£100 or greater) are securely marked with engraving or invisible with engraving or invisible marker detailing location, postcode and property of Inverclyde Council in line with Council inventory procedures.</p>	<b>Service Managers</b>	<b>31.10.11</b>
<p>For newly acquired items, establishments should check manufacturer documentation prior to making any secure markings to equipment to ensure any warranty or guarantee is not invalidated.</p>	<b>Service Managers</b>	<b>31.10.11</b>

**INVERCLYDE COUNCIL INTERNAL AUDIT  
REPORT TO AUDIT COMMITTEE ON  
STATUS OF INTERNAL AUDIT ACTION PLAN POINTS (RED AND AMBER ONLY)  
CURRENT MANAGEMENT ACTIONS AS AT 30.06.11**

**SECTION 3**

**Organisational Improvement & Resources**

<b>Action</b>	<b>Owner</b>	<b>Expected Date</b>
<b>Facilities Services (September 2008)</b>		
<p><b>Retrospective Disclosure Checks (Amber)</b> A report will need to be prepared for CMT with options in respect of retrospective checks as this will involve considerable cost to the Authority and also requirement to consult with unions.</p>	<b>Head of OD, HR and Performance</b>	<b>31.03.12*</b>
<b>Corporate Purchase Cards (September 2008)</b>		
<p><b>Appropriateness of Authorisation Limits (Amber)</b> The Corporate Procurement Team will review each cardholders monthly expenditure limit against the limit set for them by the Finance Creditors Team and where the cardholder;</p> <p>a) does not have a creditor limit then their Head of Service will be asked to set a limit for them or confirm the cardholders exclusion from the creditors system;</p> <p>b) has a monthly card limit below the creditors system limit then no further action is required;</p> <p>c) has a monthly card limit above the creditors system then the monthly limit will either be reduced or the relevant Head of Service invited to request an increase in the creditor system limit to match the monthly card limit. The Chief Financial Officer will be consulted when proposing increases in creditor system limits.</p> <p>d) does not have a creditor limit then their Head of Service will be asked to set a limit for them or confirm the cardholders exclusion from the creditors system;</p> <p>e) has a monthly card limit below the creditors system limit then no further action is required;</p> <p>f) has a monthly card limit above the creditors system then the monthly limit will either be reduced or the relevant Head of Service invited to request an increase in the creditor system limit to match the monthly card limit.</p>	<b>Corporate Procurement Manager</b>	<b>31.10.11*</b>

**INVERCLYDE COUNCIL INTERNAL AUDIT  
REPORT TO AUDIT COMMITTEE ON  
STATUS OF INTERNAL AUDIT ACTION PLAN POINTS (RED AND AMBER ONLY)  
CURRENT MANAGEMENT ACTIONS AS AT 30.06.11**

**SECTION 3**

**Organisational Improvement & Resources (Continued)**

Action	Owner	Expected Date
<b>Information Governance and Management (May 2009)</b>		
<p><b>Organisation (Red)</b> Information Governance and Management will form part of the corporate training programme for employees new to the Council or when employees are trained in new systems by other colleagues.</p> <p>Consideration will be given to establishing a clear desk policy for all staff with access to the Council's information.</p>	<b>Corporate Director OI&amp;R</b>	<b>To be advised*</b>
<p><b>People (Red)</b> Security awareness will be promoted using awareness materials such as brochures, posters or web based documents and through structured education/training programmes or computer based training. Training will be made compulsory for all staff to create security positive behaviour.</p> <p>Information governance and management responsibilities will be specified in job descriptions, or in terms and conditions of employment, including a non-disclosure/ confidentiality clause.</p> <p>External third parties who need access to the council's information and systems will be required to sign non-disclosure/confidentiality agreements.</p>	<b>Corporate Director OI&amp;R</b>	<b>To be advised*</b>
<p><b>Process (Amber)</b> Processes will be developed and implemented to strengthen the system of internal control over information governance and management. This will include:</p> <ul style="list-style-type: none"> <li>• Developing and implementing a data/information classification system</li> <li>• Identifying owners for critical information and systems</li> <li>• Ensuring important papers and removable storage media (e.g. CDs) are protected against theft or copying, such as by locking them away and restricting access and via a clear desk policy</li> <li>• Investing in secure archiving facilities for appropriate hard copy records that must be retained in accordance with relevant legislation.</li> </ul>	<b>Corporate Director OI&amp;R</b>	<b>To be advised*</b>



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**Organisational Improvement & Resources (Continued)**

<b>Action</b>	<b>Owner</b>	<b>Expected Date</b>
<b>Corporate Complaints (June 2010)</b>		
<p><b>Recording of Complaints – (Amber)</b> Management will develop and implement Intelligent eForms as a corporate solution to capturing customer contact in a consistent manner with drop down facility to select type of contact e.g. request for service, complaint, compliment or comment.</p> <p>In conjunction with the above, steps will be taken to ensure the <a href="mailto:inform@inverclyde.gov.uk">inform@inverclyde.gov.uk</a> mailbox will be channelled through the customer contact centre.</p> <p>Management will develop and implement a corporate process for recording of complaints including complainant name, nature/type of complaint, description, timescale for responses, actual response dates, stages of complaint etc. These procedures will then be developed for rolling out to services.</p>	<p style="text-align: center;"><b>Head of Customer Service and Business Transformation</b></p> <p style="text-align: center;"><b>Customer Services Manager</b></p> <p style="text-align: center;"><b>Customer Services Manager/ Corporate Comms Manager</b></p>	<p><b>31.07.12*</b></p>
<p><b>Reporting of Complaints – (Amber)</b> Procedures will be developed, documented and implemented for reporting of complaints to P&amp;R committee.</p> <p>This will include the total number of complaints received, the stage of complaints received and the percentage of complaints responded to within agreed timescales.</p>	<p><b>Customer Services Manager/ Corporate Comms Manager</b></p>	<p><b>31.07.12*</b></p>
<b>Procurement Compliance (September 2010)</b>		
<p><b>Corporate Procurement General/Contract Management – (Amber)</b> Management will issue corporate guidance to all Service Managers and Contract Administrators on how Council contracts are to be managed and delivered.</p>	<p><b>Corporate Procurement Manager</b></p>	<p><b>31.03.12</b></p>
<p><b>Education Procurement (DMR Framework/process compliance) – (Amber)</b> Management will re-engineer procurement processes and associated systems in line with the Operating Model.</p> <p>Management will establish a procurement action plan to be used to test services adherence to policy, practices and in relation to Standing Orders, Financial Regulations and the Corporate Procurement Manual.</p>	<p><b>Chief Financial Officer/Head of Customer Service and Business Transformation</b></p>	<p><b>31.03.12</b></p> <p><b>31.03.12</b></p>

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**Education and Communities**

<b>Action</b>	<b>Owner</b>	<b>Expected Date</b>
<b>Transfer of Community Facilities (March 2011)</b>		
<p><b>Lack of appropriate risk management arrangements – (Amber)</b> Inverclyde Leisure management will;</p> <ul style="list-style-type: none"> <li>• Identify and record the operational risks associated with community facilities, including any unaddressed risks stemming from the transfer process.</li> <li>• Ensure that the above exercise includes appropriate input from the Community Facilities Team Leader and adequate consultation with the Head of Safer &amp; Inclusive Communities.</li> <li>• Allocate community facilities risks between Inverclyde Leisure and the Council in an agreed manner.</li> </ul>	<p><b>Inverclyde Leisure Community Facilities Temporary Working Group</b></p>	<p><b>31.12.11</b></p>
<p><b>Completeness of performance management arrangements – (Amber)</b> Inverclyde Leisure management will fully develop its processes for reporting on community facilities by including sufficient coverage of the facilities within the 2010/11 annual report and accounts.</p>	<p><b>Inverclyde Leisure Community Facilities Temporary Working Group</b></p>	<p><b>31.12.11</b></p>
<p><b>Financial management of community facilities – (Amber)</b> Inverclyde Leisure management will;</p> <ul style="list-style-type: none"> <li>• Compare its Financial Regulations to those used by the Council and, if possible, an established comparable Leisure Trust. In turn, management will identify any major changes and issue updated Financial Regulations to all relevant staff.</li> <li>• Ensure that orders and invoices for community facilities are always authorised by separate officers.</li> </ul>	<p><b>Inverclyde Leisure Community Facilities Temporary Working Group</b></p>	<p><b>31.12.11</b></p>
<p><b>Lack of appropriate legal agreements – (Amber)</b> The Head of Safer &amp; Inclusive Communities will;</p> <ul style="list-style-type: none"> <li>• Agree a shared timetable of key tasks with both Legal &amp; Democratic Services and Inverclyde Leisure management which aims to conclude all of the key legal documentation arising from the transfer of community facilities.</li> <li>• If necessary, obtain Committee approval for the key legal documentation when establishing the above arrangements.</li> </ul>	<p><b>Head of Safer and Inclusive Communities</b></p>	<p><b>30.09.11</b></p>

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**Education and Communities (continued)**

<b>Action</b>	<b>Owner</b>	<b>Expected Date</b>
<b>Transfer of Community Facilities (March 2011)</b>		
<p><b>Completeness of performance management arrangements – (Amber)</b> The Head of Safer &amp; Inclusive Communities will;</p> <ul style="list-style-type: none"> <li>• Determine the nature and frequency of reporting the performance of community facilities to the Council's Regeneration Committee.</li> <li>• Consider presenting Inverclyde Leisure's annual report and accounts to the Council's Regeneration Committee as a means of partly implementing the above recommendation.</li> <li>• Set the overall performance management arrangements for community facilities in consultation with Inverclyde Leisure.</li> <li>• Consult Inverclyde Leisure regarding the definition of service failures involving community facilities in order that these can be linked to performance management arrangements.</li> <li>• Set financial and non-financial targets for Inverclyde Leisure during its management of community facilities. This exercise will specify which targets have highest priority and the role, if any, of penalties when service failures are found to be within Inverclyde Leisure's control.</li> <li>• Allow for the service specification, 2011/12 Directorate Plan and Inverclyde Leisure's Public Sector Improvement Framework activities when implementing the above recommendations.</li> </ul>	<b>Head of Safer and Inclusive Communities</b>	<b>30.09.11</b>
<p><b>Adequacy of community facilities procedures – (Amber)</b> Inverclyde Leisure management will set a firm target date for completing its review of the community facilities and booking office written procedures and;</p> <ul style="list-style-type: none"> <li>• Ensure that the operational practices overseen by the Community Facilities Team Leader and Finance Manager are supported by comprehensive written procedures.</li> <li>• Allow for the roles, linkages and usual deadlines of managers, operational, administration and booking office staff.</li> <li>• Include those legal requirements which are most relevant to providing community facilities along with those previous audit recommendations which are still relevant.</li> <li>• Examine the most practical method of keeping procedures up to date e.g. manuals which can take numbered inserts. The aim will be to allow for changed circumstances whilst avoiding ad hoc procedures.</li> <li>• Distribute updated procedures to all relevant staff.</li> </ul>	<b>Inverclyde Leisure Community Facilities Temporary Working Group</b>	<b>31.12.11</b>





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**Education and Communities (continued)**

<b>Action</b>	<b>Owner</b>	<b>Expected Date</b>
<b>Transfer of Community Facilities (March 2011)</b>		
<p><b>Managing operational activities across community facilities – (Amber)</b> Inverclyde Leisure management will clarify with Property Assets &amp; Facilities Management;</p> <ul style="list-style-type: none"> <li>• The regime of property inspections for identifying and reporting potential hazards.</li> <li>• Those repairs which Inverclyde Leisure funds, if any.</li> <li>• Whether or not any special arrangements apply to different categories of repair.</li> <li>• The practicalities of including community facilities within Council wide repair programmes.</li> </ul> <p>Inverclyde Leisure management will also organise a comprehensive review of the investment needs of all community facilities which allows for both funding sources and service priorities. This will include requesting appropriate input from the Head of Property Assets &amp; Facilities Management</p>	<p><b>Inverclyde Leisure Community Facilities Temporary Working Group</b></p>	<p><b>31.12.11</b></p>
<p><b>Managing health and safety issues across community facilities – (Amber)</b> Inverclyde Leisure management will;</p> <ul style="list-style-type: none"> <li>• Review lone working arrangements across all community facilities. The review will examine how mobile telephones, text messaging and silent personal alarms could be used to reduce the risks faced by staff. A value for money assessment and identification of possible funding sources will also form part of the review.</li> <li>• Obtain advice from Environmental Health on the adequacy of the current arrangements within Greenock Town Hall kitchen. This will include clarifying staff roles and confirming cleaning protocols along with meeting minimum record-keeping standards.</li> <li>• Formally agree with the Council's Head of Property Assets &amp; Facilities Management arrangements for managing and funding fire risk assessments across all relevant community facilities.</li> </ul>	<p><b>Inverclyde Leisure Community Facilities Temporary Working Group</b></p>	<p><b>31.12.11</b></p>

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**Education and Communities (continued)**

<b>Action</b>	<b>Owner</b>	<b>Expected Date</b>
<b>Transfer of Community Facilities (March 2011)</b>		
<p><b>Lack of formal recording of management inspections within community facilities – (Amber)</b> Inverclyde Leisure management will;</p> <ul style="list-style-type: none"> <li>• Whenever possible ensure that the programme of community facilities inspections is always supported by completed inspection forms.</li> <li>• Confirm that inspection arrangements apply to self managed community facilities as these often have additional operational risks.</li> </ul>	<p><b>Inverclyde Leisure Community Facilities Temporary Working Group</b></p>	<p><b>31.12.11</b></p>
<p><b>Use of shared till facility by booking office cashiers and existing cash-up arrangements. – (Amber)</b> Inverclyde Leisure management will review existing arrangements within the Booking Office to ensure that each member of staff has their own individual access to both MRM and cash till facilities. This will assist in ensuring that takings are able to be reconciled with MRM bookings for each individual cashier on a daily basis.</p>	<p><b>Inverclyde Leisure Community Facilities Temporary Working Group</b></p>	<p><b>31.12.11</b></p>
<p>The Inverclyde Leisure Admin Officer will ensure that ongoing daily cash up process continues but includes the involvement of two members of staff working together throughout the process. This will also include reviewing the adequacy of existing procedures in relation to the collation of daily takings and additional training being provided to relevant staff in this process if required.</p>	<p><b>Inverclyde Leisure Community Facilities Temporary Working Group</b></p>	<p><b>31.12.11</b></p>
<p><b>Adequacy of invoice processing and payment arrangements – (Amber)</b> Inverclyde Leisure management will ensure that;</p> <ul style="list-style-type: none"> <li>• For bookings that are made at less than 21 days notice, customers will be required to make payment in full at point of booking.</li> <li>• For slow or non-paying customers, Inverclyde Leisure will review the existing process of three reminder letters being issued.</li> <li>• A minimum value threshold for invoicing is set with customers making any bookings below this threshold being required to make payment in full at point of booking.</li> </ul>	<p><b>Inverclyde Leisure Community Facilities Temporary Working Group</b></p>	<p><b>31.12.11</b></p>

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**Education and Communities (continued)**

<b>Action</b>	<b>Owner</b>	<b>Expected Date</b>
<b>Transfer of Community Facilities (March 2011)</b>		
<p><b>Adequacy of invoice processing and payment arrangements (continued) – (Amber)</b> Inverclyde Leisure management will ensure that;</p> <ul style="list-style-type: none"> <li>• Invoices will only be sent directly to the original contact responsible for making the booking unless specific confirmation can be provided by all parties concerned of alternative arrangements.</li> <li>• Discussions are be held with MRM software providers to establish the feasibility of producing suitable reports to allow management to closely monitor slow or non-paying customers in relation to community facilities.</li> </ul>	<p><b>Inverclyde Leisure Community Facilities Temporary Working Group</b></p>	<p><b>31.12.11</b></p>
<p><b>Review of waiver process – (Amber)</b> Upon review of existing waiver policy, Inverclyde Leisure management will consider;</p> <ul style="list-style-type: none"> <li>• Increasing the involvement of Booking Office staff in granting waivers to parties at point of booking based on agreed policy. This will include training of relevant staff. Waivers can remain subject to ongoing review by Community Facilities Team Leader with sample checking and regular communication in place to ensure the consistent and correct application of discounts.</li> <li>• Exploring the development of the MRM booking system to allow for waivers to be applied against the overall costs of the booking rather than against each individual price level.</li> </ul>	<p><b>Inverclyde Leisure Community Facilities Temporary Working Group</b></p>	<p><b>31.12.11</b></p>
<p><b>Adequacy of insurance arrangements over community facilities – (Amber)</b> Inverclyde Leisure management will confirm that both contents and public liability insurance for the relevant community facilities has been in place since 1<sup>st</sup> April 2010.</p>	<p><b>Inverclyde Leisure Community Facilities Temporary Working Group</b></p>	<p><b>31.12.11</b></p>

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**Education and Communities (continued)**

<b>Action</b>	<b>Owner</b>	<b>Expected Date</b>
<b>Education Control Self Assessment (May 2011)</b>		
<b>Communication between Schools and Headquarters Staff – (Amber)</b>		
<p>Appropriate staff within Education HQ will liaise with School Finance Officers to review concerns raised in relation to the level of ongoing contact and the frequency of formal meeting arrangements.</p> <p>An agreed timetable will then be put in place to ensure that a sufficient level of contact is maintained throughout the financial year. This should include regular group and individual meetings between appropriate members of staff.</p>	<b>Head of Education/ Principal Accountant (Education)</b>	<b>31.10.11</b>

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Report	Action	Original Date	Revised Date	Management Comments
<b>Facilities Services (September 2008)</b>	<b>Retrospective Disclosure Checks (Amber)</b> A report will need to be prepared for CMT with options in respect of retrospective checks as this will involve considerable cost to the Authority and also requirement to consult with unions.	31.12.08 30.06.09 31.12.09 31.03.10 31.08.10	31.03.12	A report has been prepared and presented to CMT in relation to PVG Legislation which comes into force in February 2011. This will introduce the requirement for checks on relevant staff on an ongoing basis from February 2012.
<b>Corporate Purchase Cards (September 2008)</b>	<b>Appropriateness of Corporate Purchase Card Limits (Amber)</b> The Corporate Procurement Team will review each cardholders monthly expenditure limit against the limit set for them by the Finance Creditors Team and action accordingly.	31.01.09 31.07.09 31.10.09 30.06.10 30.11.10 31.05.11	31.10.11	The Corporate Purchase Card Policy and Procedures have now been approved and discussions will now take place with Creditors team to ensure the limits are correctly aligned on the system.
<b>Physical Investment Services (May 2009)</b>	<b>Asset Performance Reviews (Amber)</b> <b>Officers responsible for implementation of key functions;</b> <ul style="list-style-type: none"> <li>• input Estate Management module;</li> </ul>	31.12.09 30.06.10 30.09.10 31.12.10 30.06.11	<b>To be advised</b>	Property Assets Manager is currently in discussion with ICT to develop a business case which clarifies the level of resource required to populate and maintain the data.
<b>Homelessness (January 2010)</b>	<b>Protecting client information from loss or damage (Amber)</b> Management to discuss with ICT and consider full integration with SWIFT.	31.03.10 30.06.10 31.12.10 31.05.11	30.09.11	Discussions have taken place with ICT which now include the potential development of the AVD Homelessness system.
<b>Homelessness (January 2010)</b>	<b>Securing value for money on furnishing temporary accommodation – (Amber)</b> Management working with Corporate Procurement regarding contracts for furnishing temporary accommodation. On completion of tendering process, mechanism to be introduced ensuring re-tendering commences in advance of contract expiry dates.	30.04.10 30.09.10	31.10.11	Priority has been given to renewing contract for providing clients with legal advice.

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<b>Information Governance and Management (May 2009)</b>	<b>People – (Red)</b> External third parties who need access to the council's information and systems will be required to sign non-disclosure/confidentiality agreements.	<b>30.04.10</b>	<b>To be advised</b>	This is being led by the people sub group. A meeting of the Working Group was held in June 2011 and a further meeting will be held in August 2011 to prioritise and deliver on agreed actions.
<b>Information Governance and Management (May 2009)</b>	<b>Organisation – (Red)</b> Information Governance and Management will form part of the corporate training programme for employees new to the Council or when employees are trained in new systems by other colleagues.	<b>30.04.10</b>	<b>To be advised</b>	This is being led by the People Sub-Group. A meeting of the Working Group was held in June 2011 and a further meeting will be held in August 2011 to prioritise and deliver on agreed actions.
<b>Social Care – Business Support (July 2009)</b>	<b>Adequacy of Financial Information – (Amber)</b> The requirement for implementation of SWIFT Financials module will be discussed at the Social Work management team. Relevant action will then be taken to formalise a project for implementation.	<b>30.04.10</b>	<b>To be advised</b>	A business case is currently being prepared in relation to the development and implementation of the SWIFT Financials module.
<b>Information Governance and Management (May 2009)</b>	<b>People (Red)</b> Information Governance and management responsibilities will be specified in job descriptions, or within terms and conditions of employment. This will include a non-disclosure/confidentiality clause.	<b>30.06.10</b>	<b>To be advised</b>	This is being led by the People Sub-Group. A meeting of the Working Group was held in June 2011 and a further meeting will be held in August 2011 to prioritise and deliver on agreed actions.
<b>Physical Investment Services (May 2009)</b>	<b>Asset Performance Reviews (Amber)</b> Officers responsible for implementation of key functions; strategic timetable for development and implementation of Planned Maintenance module	<b>31.07.10</b> <b>31.12.10</b> <b>30.06.11</b>	<b>To be advised</b>	Property Assets Manager is currently in discussion with ICT to develop a business case which clarifies the level of resource required. In addition, funding will be required in order to implement this module fully.

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<b>Information Governance and Management (May 2009)</b>	<b>Organisation – (Red)</b> Consideration will be given to establishing a clear desk policy for all staff with access to the Council's information.	<b>31.08.10</b>	<b>To be advised</b>	This is being led by the Culture/ Organisation Sub-Group. A meeting of the Working Group was held in June 2011 and a further meeting will be held in August 2011 to prioritise and deliver on agreed actions.
<b>Homelessness (January 2010)</b>	<b>Writing-off irrecoverable rent arrears – (Amber)</b> Management will review current arrears position and consider write off.  Management will consider processes and procedures for monitoring bad debts and introduce a system for write offs.	<b>30.09.10</b> <b>31.12.10</b> <b>31.05.11</b>	<b>30.09.11</b>	Due to the staff restructure and other priorities within the Service, this action has been delayed. Work is now underway to identify bad debts.
<b>Project Management (September 2008)</b>	<b>Project Management Framework (Amber)</b> The project management framework and guidelines will be rolled out across all services on a phased basis.	<b>30.09.10</b> <b>31.03.11</b>	<b>31.12.11</b>	E-Learning package has been evaluated and complements the Project Management Framework. This will be rolled out as part of the launch of the E-learning system during 2011/12.
<b>Travel and Subsistence (June 2010)</b>	<b>Value for Money – Mileage Claims (Amber)</b> The anomaly in the mileage rates where teachers are paid a higher rate will be further investigated and a common approach adopted which uses the Inland Revenue rate of 40p per mile to ensure that all employees are treated fairly and equitably.	<b>31.12.10</b> <b>31.03.11</b> <b>30.04.11</b>	<b>31.07.11</b>	Due to other priorities this has not yet been progressed.



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<b>Corporate Complaints (June 2010)</b>	<p><b>Recording of Complaints (Amber)</b> Management will develop and implement Intelligent eForms as a corporate solution to capturing customer contact in a consistent manner with drop down facility to select type of contact e.g. request for service, complaint, compliment or comment.</p> <p>In conjunction with the above, steps will be taken to ensure the <a href="mailto:inform@inverclyde.gov.uk">inform@inverclyde.gov.uk</a> mailbox will be channelled through the customer contact centre.</p> <p>Management will develop and implement a corporate process for recording of complaints including complainant name, nature/type of complaint, description, timescale for responses, actual response dates, stages of complaint etc. These procedures will then be developed for rolling out to services.</p>	<p><b>31.01.11</b> <b>30.04.11</b> <b>30.06.11</b></p>	<b>31.07.12</b>	The Scottish Public Services Ombudsman is introducing a new complaints handing process which requires to be put in place by 1 April 2012. The Customer Services Manager is on the working group involved in taking this work forward.
<b>Corporate Complaints (June 2010)</b>	<p><b>Reporting of Complaints (Amber)</b> Procedures will be developed, documented and implemented for reporting of complaints to P&amp;R committee.</p> <p>This will include the total number of complaints received, the stage of complaints received and the percentage of complaints responded to within agreed timescales.</p>	<p><b>31.01.11</b> <b>30.04.11</b> <b>30.06.11</b></p>	<b>31.07.12</b>	The Scottish Public Services Ombudsman is introducing a new complaints handing process which requires to be put in place by 1 April 2012. The Customer Services Manager is on the working group involved in taking this work forward.

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<b>Information Governance and Management (May 2009)</b>	<p><b>People (Red)</b> Security awareness will be promoted using materials such as brochures, posters or web based documents and through structured education/training programmes and computer based training. Training will be compulsory for all staff to create security positive behaviour.</p>	<b>31.03.11</b>	<b>To be advised</b>	This is being led by the People sub-group. A meeting of the Working Group was held in June 2011 and a further meeting will be held in August 2011 to prioritise and deliver on agreed actions.
<b>Information Governance and Management (May 2009)</b>	<p><b>Process (Amber)</b> Processes will be developed and implemented to strengthen the system of internal control over information governance and management. This will include:</p> <ul style="list-style-type: none"> <li>• Developing and implementing a data/information classification system</li> <li>• Identifying owners for critical information and systems</li> <li>• Ensuring important papers and removable storage media (e.g. CDs) are protected against theft or copying, such as by locking them away and restricting access and via a clear desk policy</li> <li>• Investing in secure archiving facilities for appropriate hard copy records that must be retained in accordance with relevant legislation.</li> </ul>	<b>31.03.11</b>	<b>To be advised</b>	This is being led by the Culture/ Organisation sub-group with support from the Process/Technology sub-group. A meeting of the Working Group was held in June 2011 and a further meeting will be held in August 2011 to prioritise and deliver on agreed actions.

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**SECTION 4**

Report	Action	Original Date	Revised Date	Management Comments
<b>Information Governance and Management (May 2009)</b>	<p><b>Technology (Amber)</b> Standards and guidance will be prepared to:</p> <ul style="list-style-type: none"> <li>• Support remote working and ensure workers do not compromise the security of any facilities to which they can be connected.</li> <li>• Restrict removable storage media eg CDs, memory sticks, to only allow Council approved devices to be used.</li> <li>• Ensure that access privileges are revoked immediately when authorised users leave the organisation.</li> <li>• Advise staff what to do in the event of a security breach.</li> <li>• Ensure that for new system implementations, an information governance review will form part of the testing and go-live sign off.</li> </ul>	<b>31.03.11</b>	<b>To be advised</b>	This is being led by the Process/Technology sub-group. A meeting of the Working Group was held in June 2011 and a further meeting will be held in August 2011 to prioritise and deliver on agreed actions.