
























































































05 November 2017 17:58

APPENDIX 1

Code	Title	Priority	Status	Progress	Original Due Date	Due Date	Risk	Managed By	Assigned To
<u>203/007 Roads Management (Final Report Issued 16 September 2014)</u>									
AUDIT .001	(2014 IA 203-007 Rec 1) The Council's Road Asset Management Plan should be completed to include footways, structures and traffic signals. Road Data Management Plan Recommended Practices should be developed and approved.	3	 In Progress	<div style="width: 20%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 20%	31/03/15	31/03/18	 3	 Chief Officer Roads	 Infrastructure Manager
AUDIT .002	(2014 IA 203-007 Rec 2) Road Maintenance Manual should be developed to enable consistency in approach, methods and records. All relevant staff should have access to the manual and training in its application provided as necessary.	2	 Overdue	<div style="width: 50%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 50%	31/03/15	31/03/17	 2	 Chief Officer Roads	 Infrastructure Manager
AUDIT .003	(2014 IA 203-007 Rec 4) Management should receive regular performance information in respect of road safety inspection and related repairs.	2	 Overdue	<div style="width: 50%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 50%	31/03/15	31/03/17	 2	 Chief Officer Roads	 Infrastructure Manager
<u>214/005 Flood Risk and Coastal Management (Final Report Issued 10 December 2014)</u>									
AUDIT .004	(2014 IA 214-005) Rec 5.1. The Authority should develop its own Shoreline Management Plan which covers the whole of the Berwickshire Coast.	3	 In Progress	<div style="width: 15%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 15%	31/03/17	31/12/17	 1	 Infrastructure Manager	 Asset Manager
<u>205/010 Waste and Recycling Services Trade Waste (Final Report Issued 11 January 2016)</u>									
AUDIT .009	(2015 IA 205-010 Rec 1) A review of the Trade Waste Management and Administration database system should be carried out to ensure that it is robust and fit for purpose to assist with future service delivery.	3	 In Progress	<div style="width: 40%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 40%	31/12/17	31/03/18	 1	 Waste Manager	 Waste Strategy Manager
<u>238/001 ICT Change Programme (Final Report Issued 16 September 2016)</u>									
AUDIT .013	(2016 IA 238-001 Rec 4.1) Establish a formal Corporate Support Services Forum to provide expert advice for client relationship management and the CGI contract and to support SBC IT in its contract monitoring responsibilities.	3	 In Progress	<div style="width: 50%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 50%	30/06/17	31/03/18	 1	 Chief Financial Officer	 Interim Head of IT
AUDIT .014	(2016 IA 238-001 Rec 4.2) SBC IT review the contract with CGI and devise a Compliance Plan within the Contract Management Framework in which they identify exactly what contract monitoring and management will be done against each element.	3	 In Progress	<div style="width: 75%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 75%	30/06/17	31/03/18	 4	 Chief Financial Officer	 Interim Head of IT

Code	Title	Priority	Status	Progress	Original Due Date	Due Date	Risk	Managed By	Assigned To
023/001 Corporate and Social Work Complaints (Final Report Issued 19 June 2017)									
AUDIT .018	(2017 IA 023-001 Rec 5.1) Training arrangements for staff new to complaints handling and for highlighting changes to procedure to existing staff should be revised to ensure coordinated and consistent delivery.	2	 In Progress	<div style="width: 15%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 15%	30/09/17	31/03/18	 1	 Customer Advice and Support Manager	 Customer Services Development Officer
AUDIT .019	(2017 IA 023-001 Rec 5.2) Processes for validating service quality control which is proportionate to the relatively low number of complaints should be put in place.	2	 In Progress	<div style="width: 0%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 0%	30/09/17	31/03/18	 1	 Customer Advice and Support Manager	 Customer Services Development Officer
AUDIT .020	(2017 IA 023-001 Rec 5.3) Reporting of complaints should be expanded to include analysis of the root cause of complaints and the service areas involved. Routine reporting for managers should be developed in order to manage ongoing complaints.	2	 In Progress	<div style="width: 15%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 15%	30/09/17	31/03/18	 1	 Customer Advice and Support Manager	 Customer Services Development Officer
AUDIT .021	(2017 IA 023-001 Rec 5.4) Lessons learned from upheld complaints should be consistently & logically recorded in CRM together with action taken to provide increased opportunities for learning from complaints and avoid similar complaints in the future.	2	 In Progress	<div style="width: 15%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 15%	30/09/17	31/03/18	 1	 Customer Advice and Support Manager	 Customer Services Development Officer
010/014 Corporate Transformation Programme (Final Report Issued 20 June 2017)									
AUDIT .022	(2017 IA 010-014 Rec 5.1) Corporate Transformation Monitoring Reports (including Annual Report) should include cumulative investment and savings, covering several years, for individual programmes and projects, to enable benefits realisation monitoring and to provide Return on Investment (ROI) info.	3	 In Progress	<div style="width: 0%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 0%	31/12/17	31/12/17	 1	 Executive Director	 Programme Managers
AUDIT .023	(2017 IA 010-014 Rec 5.2) Management should ensure that Corporate Transformation business cases identify the benefits to be realised (both financial and non-financial) including initial and ongoing investment and savings forecast	3	 In Progress	<div style="width: 0%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 0%	31/12/17	31/12/17	 1	 Executive Director	 Programme Managers
AUDIT .024	(2017 IA 010-014 Rec 5.3) Management should set minimum standards for key documentation requirements to ensure info provided across all programmes and projects is consistent and risks are consistently identified and managed throughout the CT Programme	3	 In Progress	<div style="width: 0%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 0%	31/12/17	31/12/17	 1	 Executive Director	 Programme Managers

Code	Title	Priority	Status	Progress	Original Due Date	Due Date	Risk	Managed By	Assigned To
165/001 Children & Young People School Excursions (Final Report Issued 6 September 2017)									
AUDIT .032	(2017 IA 165-001 Rec 5.1) Material Policy updates and relevant appendices should be approved, utilising the delegated powers of the Service Director C&YP 'Authorise and approve educational excursions' and appended to procedures to enable access by Schools	3	 In Progress	<div style="width: 33%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 33%	30/06/18	30/06/18	 1	 Chief Officer Education	 Policy & Performance Officer E&LL
AUDIT .033	(2017 IA 165-001 Rec 5.2) Reaffirm the importance of compliance with policy and procedures including authorisations, post excursion reporting, accident reporting, monitoring of compliance, and assurance reporting to Mgt.	3	 In Progress	<div style="width: 0%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 0%	30/06/18	30/06/18	 1	 Chief Officer Education	 Policy & Performance Officer E&LL
AUDIT .034	(2017 IA 165-001 Rec 5.3) Clear guidance on the Disclosure requirements for non-supervisory, non-staff adults accompanying an excursion should be clarified with the support of HR and Legal services.	2	 In Progress	<div style="width: 0%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 0%	30/06/18	30/06/18	 1	 Chief Officer Education	 Policy & Performance Officer E&LL
AUDIT .035	(2017 IA 165-001 Rec 5.4) Consideration should be given to the use of 'Evolve' software to facilitate better standardisation and centralisation of processes and provide valuable Management Information to support monitoring and assurance reporting.	3	 In Progress	<div style="width: 0%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 0%	30/06/18	30/06/18	 1	 Chief Officer Education	 Policy & Performance Officer E&LL
204/004 Fleet Management (Final Report Issued 15 September 2017)									
AUDIT .036	(2017 IA 204-004 Rec 5.1) The proposal that replacement of fleet assets is based on a business case should be developed further and refined by Finance. Fleet Management and Service Managers should be involved in developing revised processes.	2	 In Progress	<div style="width: 25%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 25%	15/12/17	15/12/17	 1	 Chief Officer Roads	 Finance Business Partners
AUDIT .037	(2017 IA 204-004 Rec 5.2) Fleet Management and Service Managers should start the procurement process earlier in each financial year. Whole of Life costs should be used in the evaluation of competition responses.	2	 In Progress	<div style="width: 25%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 25%	15/12/17	15/12/17	 1	 Chief Officer Roads	 Fleet Manager and Procurement & Payments Manager
AUDIT .038	(2017 IA 204-004 Rec 5.3) Actions to address the issues identified in Fleet Management workforce plan should be progressed to assist with key person dependency, management capacity, recruitment and retention, and succession planning.	2	 In Progress	<div style="width: 25%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 25%	31/03/18	31/03/18	 3	 Chief Officer Roads	 Fleet Manager and HR Business Partner
AUDIT .039	(2017 IA 204-004 Rec 5.4) For repairs above an agreed value Service Users should receive a full cost breakdown from Fleet Management which includes a reasonable estimate of what the cost would have been had the repair been undertaken by the main dealer.	3	 In Progress	<div style="width: 0%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 0%	31/03/18	31/03/18		 Chief Officer Roads	 Fleet Manager