

## Appendix B - Audit recommendations completed since the last Governance Committee

Recommendation	Closure Note	Original Due Date	Completed Date
19 GDPR 04 Data Cleanse	Comino system project completed. Civica data retention has a service plan item agreed. on-going monitoring and awareness	30-Apr-2019	9 Nov-2022
20 C 02 Ensure Purchase Orders are raised before goods and services are ordered	All Managers have been e-mailed to ensure that purchase orders are raised before goods and services are received. The accountants will discuss with budget holders during revenue monitoring. We will continue to monitor results	31-Dec-2021	9 Nov-2022
21 CSM&R 08 The Protective DNS mobile client is under evaluation. Enable safe browsing list services for computers that do not connect to the corporate network.	<p>Roaming DNS only affects users who are at home and are not connected to the VPN.</p> <p>We have not used Protective DNS but we have installed Sophos which manages this risk in a smarter way. We also have Sophos installed on mobile devices, including tablets, so the solution we have opted for covers all our devices and not just laptops.</p>	31-Mar-2022	8 Dec-2022
21 H&S 05 Officers responsible for recording fire alarm tests, emergency lighting, firefighting equipment & signage	Completed	31-Jan-2022	9 Nov-2022

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have refresher training on the procedures & frequency necessary.			
21 P 01 Consider how it will be taking forward the actions in the Procurement Strategy, perhaps for inclusion in the Action Plan.	The Procurement Working Group has been re-established following the restructure of procurement and will pick up the action plan	31-Dec-2021	9 Nov-2022
22 D 01 All irrecoverable debts within department to be written off at the same time	The central Finance Team undertake a review of the debtor account when writing off debts to ensure that all appropriate debts are included.	30-Nov-2022	28 Nov-2022
22 D 02 Writing off or cancelling invoices for dissolved companies or outstanding Trade Waste debt	Trade Waste and central Finance Teams advised to use Companies House as part of their debt recovery procedures.	31-Dec-2022	28 Nov 2022
22 HB 01 CORE Full Access to IBS system	Number of users with core access has been reviewed. We are still awaiting advice from Civica as to whether there is an alternative to how we are working at the moment. We will continue to review and monitor this recommendation.	30-Nov-2022	8 Dec-2022
22 MA 02 Review requirement to publish Members' private addresses	E-mail sent to all members by the Monitoring Officer on 3/11/22	30-Sep-2022	8 Nov-2022
22 PMO 04 Log to be maintained recording support to programmes/projects	This log has been set up in: T:\Programme & Project Methodology\Finalised Documentation named Feedback and has already been populated with 3 positive elements of feedback.	31-Dec-2022	7 Dec2022
22 PMO 06 Management and capture of opportunities systematically	The RICALL Log has now been amended to allow those risks to be noted as threat or opportunity risks.	01-Dec-2022	7-Dec-2022

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22 S 04 Review to ensure that correct level of vetting takes place for appropriate roles at NDC	NDC are now registered with DCC to carry out our DBS checks for new and existing staff where appropriate. Managers are being contacted to help to identify those reporting to them who may require a DBS to be actioned	30-Sep-2022	4 Nov-2022
22 S 05 Reliance Protect security devices not being regularly tested	No longer had an issue as contract with Reliance Protect now terminated. New contract with Orbis has just been agreed and will roll out new devices to staff in the coming weeks. Moving forwards all staff will undergo training on use of the devices and H&S Advisor to remind all users and their managers that the devices must be used in line with their risk assessments, and if not require dot be used, that they still be checked daily to ensure they are working correctly should they be required.	16-Aug-2022	10 Nov 2022
22 S 06 Section 11 Assurance Statement to be made as soon as possible	Section 11 has been completed and submitted	30-Jun-2022	6 Dec 2022
22 W&R 04 3 weekly trial over-run	<p>S&amp;R committee agreed to bring the trial to an end, at the end of October.</p> <p>A mailshot, followed by a leaflet was issued to trial area customers during November.</p> <p>The final actual 3 weekly collection took place w/c 21/11/22.</p>	30-Nov-2022	6 Dec 2022

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22 W&R 06 Update web pages with outcomes and proposals	Should members decide to move forward with 3 weekly collections in the future, then the website will be refreshed to reflect any changes.	30-Nov-2022	7 Dec-2022
21 H&S 01 Implement a formal process to ensure all new entrants complete H&S training; & existing staff H&S compliance refresher every 2 years	Presentation with voice over recorded and ready to roll out to new starters as required.	31 Jul 2022	14 Dec- 2022
21 H&S 06 Any managers responsible for undertaking departmental risk assessments should receive a refresher on the process, & this should be recorded with HR	Risk assessment refresher training emailed to all managers and quiz to be undertaken to show completion of training. PAC monitoring the responses and will chase up those not completing the quiz.	30 Jun 2022	14 Dec 2022

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21 H&S 10 Some Fire Safety Plans could be updated with updates of who has been trained and when	PAC has been liaising with Chay as these are his docs and he is going to have a think about how best to do this as the docs in some cases refer to “the senior person in charge” or in some cases “trained person” but he says this (trained person) is in reference to a disabled person who might need assistance and the trained person would be documented in their Personal Emergency Evacuation Plan (PEEP). We both feel this is a minor issue, given that the auditor thought the rest of the plans were okay.	30 Apr 2022	14 Dec 2022
21 BCFU 09 Consider the Impact of Covid-19 on Operations	<p>A further debrief of the IMT and new members of SMT was carried out in November 2021. All members of SMT were asked to complete a feedback form drawing on their/Teams experiences since the last debrief of COVID19 as well as other concurrent events (Flooding, Forth Bridge, Ruda Caravan Site) in order to identify things that went well and areas for improvement. The feedback underwent thematic analysis and four main themes were identified “organisational agility”, “Communication”, “Safety Measures” and “Staff Resilience and Homeworking”.</p> <p>Recommendations from the previous debrief were closed down where appropriate and a system has been put in place to ensure future actions are tracked to completion.</p>	31 Dec 2021	15 Dec 2022

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22 GM 05 Current quantitative KPIs	A mix of qualitative and quantitative objectives have now been set through the EE Programme. These will be developed and reported on through the Programme's activity reports.	30 Sep 2022	19 Dec 2022
21 CCG 04 Implement a corporate environmental management system with associated KPI's	It is not practical or possible to implement a new bespoke Environmental Management system. Instead, we have set KPI's that will be reported on through the EE Programme activity reports	30 Nov 2022	19 Dec 2022
22 W&R 03 Maintaining older fleet vehicles	Transport Manager to continue to monitor contract performance closely with regular contract meetings. Assessment has been made on early replacement of x3 Romaquips, finance has been agreed and order will be placed by end Dec 2022.	31 Oct 2022	20 Dec 2022