

INTERNAL AND EXTERNAL AUDIT REPORT FOLLOW UP 2020-21

1.0 INTRODUCTION

- 1.1 Internal and external audit reports include an action plan with a management response establishing the agreed action, timescale and responsible officer. Internal Audit record these in a database and, on a monthly basis, follow them up to ensure they are being progressed.
- 1.2 This report updates the committee on all open actions as at 30 December 2020 including information on actions where the agreed implementation date has been rescheduled.

2.0 RECOMMENDATIONS

- 2.1 To endorse the contents of the report.

3.0 DETAIL

- 3.1 The two tables below provide a numerical summary of open audit actions with a split between actions due by and due after 30 December 2020.

Actions Due before 30 December 2020

Service	Complete	Delayed / Rescheduled	Total
Internal Audit			
Adult Care	0	2	2
Commercial Services	0	4	4
Customer Support Services	1	1	2
Development & Economic Growth	0	1	1
Education	1	5	6
Financial Services	6	3	9
Legal & Regulatory Support	7	3	10
Lifelong Learning & Support	0	1	1
Roads & Infrastructure Services	1	4	5
External Audit			
	0	0	0
TOTAL	16	24	40

Actions due after 30 December 2020

Service	Complete	On Course	Delayed & Rescheduled	Total
Internal Audit				
Adult Care	0	0	1	1
Commercial Services	0	2	0	2
Cross Cutting	0	6	0	6
Customer Support Services	0	1	0	1
Development & Economic Growth	0	1	0	1
Education	0	3	0	3
Financial Services	0	3	0	3
Legal & Regulatory Support	0	17	0	17
Lifelong Learning & Support	0	1	0	1
LiveArgyll	0	1	0	1
Roads & Infrastructure Services	1	6	1	8
External Audit				
Financial Services	0	0	1	1
Customer Support Services	0	1	0	1
TOTAL	1	42	3	46

3.2 Appendix 1 provides further detail on actions that have either been delayed and rescheduled or for which Internal Audit have received no response from the service to inform this follow up.

4.0 CONCLUSION

4.1 COVID19 continues to impact on the progress services are making to complete audit action points.

5.0 IMPLICATIONS

- 5.1 Policy - None
- 5.2 Financial - None
- 5.3 Legal - None
- 5.4 HR - None
- 5.5 Fairer Scotland Duty - None
- 5.5.1 Equalities – None
- 5.5.2 Socio-Economic Duty – None
- 5.5.3 Islands Duty - None
- 5.6 Risk –None
- 5.7 Customer Service – None

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**Chief Internal Auditor
16 March 2021**

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APPENDICES

Appendix 1 – Action Plan Points Delayed & Rescheduled or with No Response

Appendix 1 - Action Plan Points Delayed & Rescheduled or with No Response

Action Plan Points Due by 30 December 2020						
Service / Report	Finding	Priority	Agreed Action	Dates	Comment	Responsible Officer
Roads & Infrastructure Services – Fleet Management	Policies and Procedures Policies and procedures are in place to facilitate compliance with legislation, however the Drivers Handbook has not been reviewed and updated since 2016 and the pool car protocol was last updated in 2014.	Medium	Policies and procedures will be reviewed and updated.	31 Dec 2020 31 May 2021	This is being progressed. An external audit will determine the full criteria of information required to fulfil this action. The action will be completed in the spring. Delayed & Rescheduled	Procurement/ Technical Officer
Roads & Infrastructure Services – Fleet Management	Policies and Procedures Policies and procedures are in place to facilitate compliance with legislation, however the Drivers Handbook has not been reviewed and updated since 2016 and the pool car protocol was last updated in 2014.	Medium	Policies and procedures will be reviewed and updated.	31 Dec 2020 31 May 2021	This is being progressed. An external audit will determine the full criteria of information required to fulfil this action. The action will be completed in the spring. Delayed & Rescheduled	Procurement/ Technical Officer
Roads & Infrastructure Services – Fleet	Driving Licence Checks Fleet Services check driving licences of fleet	Low	The key officer will ensure a review takes place relating to the driver licence	31 Dec 2020 30 Jun 2021	Delay due to COVID-19. Due to office closures there is difficulty in checking licences. However, these	Procurement/ Technical Officer

Action Plan Points Due by 30 December 2020						
Service / Report	Finding	Priority	Agreed Action	Dates	Comment	Responsible Officer
Management	drivers prior to staff commencing work in line with DVSA guidelines. The Council has a policy of performing further checks on fleet driver licenses every six months. A review of records held on Tranman for six ground maintenance staff highlighted that four out of the six had not had their driving licence checks completed within the agreed timeframe.		checks. Measures will then be implemented to ensure that all checks take place.		checks are being conducted at local depots and details shared with the fleet team. There is no end date to licence checks. This action should be removed as this piece of work is continuous with no end date. June 2021 would close down the action. The action would then reopen for future checks. Delayed & Rescheduled	
Roads & Infrastructure Services – Fleet Management	Management of Pool Cars A high level analysis of the use of pool cars suggests the Council could generate considerable savings through more efficient use of pool cars. Fleet Services should explore this further via a more detailed review which should consider the potential benefits	VFM	The pool car module will be released through Tranman. The pool car module offers a centralised approach to bookings and visibility. The Council's internal communications department will be contacted to highlight the use of the pool cars. Work will be undertaken to	30 Sep 2020 31 Dec 2020 30 Jun 2021	The roll out of this link to the Tranman system is delayed due to the system administrator being unavailable and focusing on the implementation of the amenity plant and small tool module to comply with HSE requirements. Delayed & Rescheduled	Procurement/ Technical Officer

Action Plan Points Due by 30 December 2020						
Service / Report	Finding	Priority	Agreed Action	Dates	Comment	Responsible Officer
	of: <ul style="list-style-type: none"> <input type="checkbox"/> a more centralised approach to the administration and booking of pool cars <input type="checkbox"/> better promotion of the use of pool cars <input type="checkbox"/> providing greater visibility of bookings and destinations to encourage pool car sharing <input type="checkbox"/> implementing or developing a pool car booking system <input type="checkbox"/> identifying ways of transferring the balance of pool car usage from shorter journeys to longer ones 		increase usage.			
Financial Services – Following the Public Pound	Guidance on Following the Public Pound (FtPP) Although the Council has an approved process to manage external funding requests it is limited in detail, is not closely aligned to the Code of Guidance on Funding	High	Following the Public Pound guidance will be drafted to provide a consistent approach to managing the award of external funds.	30 Jun 2020 31 Dec 2020 30 Jun 2021	FtPP guidance has been drafted however it can't be completed until the Asset Mgt Board have completed their review of how the Council deals with business cases as the two processes are heavily linked. The SAMB are currently considering progress against this review.	Head of Financial Services

Action Plan Points Due by 30 December 2020						
Service / Report	Finding	Priority	Agreed Action	Dates	Comment	Responsible Officer
	<p>External Bodies and Following the Public Pound and there is a general lack of awareness amongst officers that it exists. Audit testing identified a number of areas of good practice within the Council and overall compliance with the principles of FtPP however there were examples of inconsistent practice. A more comprehensive guidance document should be established which provides a more standardised and tiered approach providing greater clarity over roles and responsibilities and standardised templates for key stages in the process including funding assessments and post award monitoring and reporting. The audit</p>				Delayed & Rescheduled	

Action Plan Points Due by 30 December 2020						
Service / Report	Finding	Priority	Agreed Action	Dates	Comment	Responsible Officer
	team researched a number of examples of FtPP guidance which had been created by other councils during the planning phase of the audit and can make these available to inform the creation of an Argyll and Bute equivalent.					
Financial Services – Logical Access	Logon Controls A number of issues were identified where logon controls fell short of good practice. In some circumstances the systems do not have the required functionality. We have only highlighted issues where the system does have the functionality however it has not been turned on. <input type="checkbox"/> Open Revenues o No control over inactive users	Low	Open Revenues – System supplier will be asked if a solution is possible to address issues identified.	30 Sep 2020 31 Dec 2020 30 Jun 2021	Based on feedback it appears unlikely this functionality will be implemented – we have rescheduled till end of June to see if there is any further update. Delayed & Rescheduled	Open Revenues Systems Administrators
Financial	Budget Monitoring	Low	Budget over or	31 Dec 2020	Further delayed due to staff	Revenues and

Action Plan Points Due by 30 December 2020						
Service / Report	Finding	Priority	Agreed Action	Dates	Comment	Responsible Officer
Services – Scottish Welfare Fund	Prior to the COVID outbreak a monthly report was sent to FSMT and then on to SMT, detailing the budget allocation and spend to date as a percentage of the profiled monthly spend to date. Based on the budget information a recommendation is also made with regards to the prioritisation level for awarding applications for the following month. This reporting was ceased during COVID and has not recommenced yet.		underspends may be left unmonitored with prioritisation levels incorrectly set.	31 Mar 2021	involvement in the response to COVID. Paper has gone to FSMT on 25 January and will go to SMT as soon as possible thereafter. Delayed & Rescheduled	Benefits Manager
Commercial Services – Legionella improvement Plan	Appointment of Key Positions The Standard requires the Chief Executive to appoint the Duty Holder in writing and for the Duty Holder to then appoint the FRPs, Deputy Duty Holder and Responsible Persons	High	Appointments to be made after appropriate training.	31 Dec 2020 31 Mar 2021	On track to revised target Draft Appointment Letters being considered by DMT on 18th January 2021 for issue thereafter. Delayed & Rescheduled	Executive Director with Responsibility for Commercial Services/Head of Commercial Services

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Service / Report	Finding	Priority	Agreed Action	Dates	Comment	Responsible Officer
	(Legionella) in writing. None of this has occurred although the Standard does establish an anticipation that the Duty Holder will be the Executive Director with responsibility for Commercial Services and that the FRPs will be Heads of Service.					
Commercial Services – Legionella improvement Plan	Staff Resources Significant progress requires to be made to fully appraise staff resources and appoint key staff to undertake legionella management tasks within properties.	High	Undertake benchmarking exercise and review staff resource, following which provide guidance to FRP's for them to appoint key staff.	31 Dec 2020 31 Mar 2021	<p>1. Resources template developed and sent to other local authorities. Returns had to be chased up meaning information not available until mid-December 2020. Returns to be analysed to allow appraisal of resource to be finalised.</p> <p>2. FRPs/Site & Premises Managers available on Premises Inspection Sharepoint. Heads of Service to confirm details on list for their properties as part of their appointment.</p> <p>Delayed & Rescheduled</p>	Executive Director with Responsibility for Commercial Services/Head of Commercial Services

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Service / Report	Finding	Priority	Agreed Action	Dates	Comment	Responsible Officer
Commercial Services – Legionella improvement Plan	Risk Based Approach to Legionella A Contractor specialising in water quality undertakes various water hygiene checks on a monthly, quarterly, six monthly and annual basis at 72 of the 327 Council owned properties which have a water supply. The properties selected for Contractor visits were chosen on a risk based approach based on discussions with representatives within the water group and included consideration of users, location, water outlet types rather than a formalised risk based approach informed by the risk assessments. In addition flushing is currently being undertaken at 13 properties and again this was based on risk based discussions	Medium	Review all properties with water and produce a written record of the nature and frequency of tasks that require contractor visits.	31 Dec 2020 31 Mar 2021	<p>1. A number of tasks are ongoing as follows</p> <p>a. A reconciliation of all sites with water from various sources including Concerto records, billing records etc.</p> <p>b. A matrix of contractor tasks for each property has been produced and is being populated</p> <p>2. Vacancies within the business support team have hampered progress but it is anticipated that additional resource should be in place in February 2021.</p> <p>3. Once item 1a is completed the matrix will be finalised allowing the audit action to be completed.</p> <p>Delayed & Rescheduled</p>	Property Services Manager/Energy & Building Services Performance Manager/Mechanical Services Technician

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Service / Report	Finding	Priority	Agreed Action	Dates	Comment	Responsible Officer
	rather than a formalised risk based approach					
Commercial Services – Legionella improvement Plan	Legionella Log Books Legionella log books which are required at all properties requiring testing have, at the time of original audit 121 have been distributed to Council properties. 262 had been distributed by August 2020. Furthermore sample testing identified inconsistencies in the information recorded in log books.	Medium	Complete the distribution of logbooks to appropriate properties.	31 Dec 2020 31 Mar 2021	All log books have been produced and with the exception of 18, log books have now all been distributed to sites. The 18 that have still to be distributed are generally on islands so distribution has been hampered by travel restrictions. It is preferable to personally deliver logbooks so if travel is not possible before the end of February they will be posted. Once the final 18 logbooks have been distributed the audit action will be completed. Delayed & Rescheduled	Property Services Manager/Energy & Building Services Performance Manager/Mechanical Services Technician
Education – Pupil Equity Fund	School Quality Improvement Visits QIOs are required to perform quality improvement visits to schools three times per year with PEF progress assessed	Medium	The Central Team recognises the importance of QI Visits to schools in the context of ongoing tracking and evaluation of PEF, and acknowledges the consequences of	30 Jun 2020 31 Dec 2020 31 Mar 2021	Due to the March-June lockdown and subsequent current lockdown only one visit has been possible to date. The second visit will be conducted digitally if schools continue to be in lockdown or there is a blended learning approach.	Education Manager, Education Officer

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Service / Report	Finding	Priority	Agreed Action	Dates	Comment	Responsible Officer
	during visits 2 and 3. Seven out of nine sampled schools did not receive the required number of PEF assessments during 2018/19. QIOs are responsible for reviewing SIPs with the assessment forms having an 'action section' detailing action required by schools where their SIP is assessed as needing improvement. A review of the QIO evaluation summary sheets for nine sampled schools highlighted that where the QIO identified no reference to PEF in the SIP the required corrective action had not been documented in the action section of the evaluation sheet.		such visits not occurring. The Central Team will ensure all schools receive at least two visits which include discussion around PEF planning, implementation and spend in this and future academic sessions. Visits to be tracked by named Manager/Officer via discussion at regular Education Team Meetings. Education officers will ensure that any required actions are included in the assessment forms action section		Delayed & Rescheduled	
Education – St Josephs Primary School PTA & School	PTA Fund Cash and Banking Arrangements The management of	High	Principles of best practice as outlined in the Circular will be implemented in the	31 Dec 2020 30 Jun 2021	Delayed by high levels of absence of key personnel, including the HT, due to COVID-19 between August	Education Manager (Acting)

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Funds	<p>St Joseph's PTA Fund account has not applied many principles of good practice in relation to fund management. In particular there:</p> <ul style="list-style-type: none"> • are four authorised signatories for the PTA bank account however only two are current • was no cashbook available for review • was no evidence of bank reconciliations being performed • had been no funds banked for 18 months despite numerous fundraising events taking place • was no petty cash record maintained to facilitate purchase of small items for fund raising events • is no secondary review of 		management of PTA funds and banking arrangements.		<p>and December, and the resulting prioritisation of learning provision to children.</p> <p>Delayed & Rescheduled</p>	

Action Plan Points Due by 30 December 2020						
Service / Report	Finding	Priority	Agreed Action	Dates	Comment	Responsible Officer
	<p>PTA transactions by another member of the committee</p> <ul style="list-style-type: none"> • is no record of the value of proceeds raised by the PTA committee members prior to handing cash to the treasurer • is no record of fundraising proceeds being transferred to the treasurer • are no cash handling procedures issued to committee members. <p>Application of the education management circular relating to school fund management is optional for PTA accounts where the account is not managed by a council officer. However it establishes the key principles that, if applied, would have helped to prevent the misappropriation of</p>					

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Service / Report	Finding	Priority	Agreed Action	Dates	Comment	Responsible Officer
	PTA funds. If the new treasurer of the St Joseph's PTA fund is not a council officer then the fund committee should consider applying the principles of the Circular.					
Education – St Josephs Primary School PTA & School Funds	<p>Compliance with Education Management Circular 1.10</p> <p>The management of the St Joseph's general school fund has not complied with the requirements of Education Management Circular 1.10 in a wide range of areas. In particular:</p> <ul style="list-style-type: none"> • a committee has not been established to manage school funds • cash books are not up to date • formal monthly bank reconciliations are not performed • expenditure 	High	Requirements as set out in the Circular will be implemented in the management of the school funds and banking arrangements.	31 Dec 2020 30 Jun 2021	<p>Delayed by high levels of absence of key personnel, including the HT, due to COVID-19 between August and December, and the resulting prioritisation of learning provision to children.</p> <p>Delayed & Rescheduled</p>	Education Manager (Acting)

Action Plan Points Due by 30 December 2020						
Service / Report	Finding	Priority	Agreed Action	Dates	Comment	Responsible Officer
	<p>limits have not been formally set</p> <ul style="list-style-type: none"> • receipts are not provided for all payments and donations • petty cash float values have not been agreed but are topped up in multiples of £50 when required • there is no documented evidence of independent auditor being elected or instruction issued to sign both accounts and cash books upon completion of review • school fund documentation is not retained in accordance with section eight of the Circular outlining the requirement for retention of records. St Joseph's Primary School should implement the required controls and processes contained within the Circular. 					

Action Plan Points Due by 30 December 2020						
Service / Report	Finding	Priority	Agreed Action	Dates	Comment	Responsible Officer
Education – St Josephs Primary School PTA & School Funds	PTA Constitution and Committee The PTA constitution should be updated to include a description of what is considered to be PTA funds and formally presented to the committee and approval recorded on minutes. PTA committee meetings appear to be of an informal nature with no secretary appointed to record formal minutes of discussions. Furthermore there are no formal Treasurer's reports as these are often provided verbally.	Medium	The St. Joseph's Primary School PTA constitution will be updated, governance arrangements formalised and office bearers appointed.	31 Dec 2020 30 Jun 2021	Delayed by high levels of absence of key personnel, including the HT, due to COVID-19 between August and December, and the resulting prioritisation of learning provision to children. Delayed & Rescheduled	Education Manager (Acting)
Education – St Josephs Primary School PTA & School Funds	PTA Accounts 2018/19 PTA financial statements have not been prepared and provided to the appointed independent auditor.	Medium	2018/19 accounts will be prepared and provided to the independent auditor for review.	31 Dec 2020 30 Jun 2021	Delayed by high levels of absence of key personnel, including the HT, due to COVID-19 between August and December, and the resulting prioritisation of learning provision to children. Delayed & Rescheduled	Education Manager (Acting)

Action Plan Points Due by 30 December 2020						
Service / Report	Finding	Priority	Agreed Action	Dates	Comment	Responsible Officer
Legal & Regulatory Support – Information Asset Registers	Information Asset Registers The two Social Work IARs were not available for review or located on the designated sharepoint site. Of the remaining ten, four require to be updated to reflect the latest GDPR requirements. Clarity over whether the Live Argyll IAR comes under the remit of the Governance, Risk & Safety Manager's responsibility is required.	High	Clarify where responsibility for Live Argyll IAR lies and have it completed and approved by appropriate management team	31 Dec 2020 30 Jun 2021	Issue has been discussed within Live Argyll management team, and agreement reached to complete and approve the IAR by June 2021. Action required additional time due to Live Argyll staff being furloughed. Delayed & Rescheduled	Governance, risk & Safety Manager
Legal & Regulatory Support – Information Asset Registers	Information Asset Registers The two Social Work IARs were not available for review or located on the designated sharepoint site. Of the remaining ten, four require to be updated to reflect the latest GDPR	High	Social Work IARs to be completed and approved by appropriate management teams	31 Dec 2020 30 Jun 2021	Social Work IARs have been partially completed, work continues to progress these and identify the appropriate approval mechanism. Delayed & Rescheduled	Governance, risk & Safety Manager

Action Plan Points Due by 30 December 2020						
Service / Report	Finding	Priority	Agreed Action	Dates	Comment	Responsible Officer
	requirements. Clarity over whether the Live Argyll IAR comes under the remit of the Governance, Risk & Safety Manager's responsibility is required.					
Legal & Regulatory Support – trading Standards	Standard Operating Procedures There are very limited documented procedures for the majority of the areas of work within Trading Standards. Provision of step-by-step instructions would act as guidelines for employees to undertake work processes in a consistent manner in line with legal and regulatory requirements and best practice. Trading Standards should perform an exercise to identify all processes which	Medium	Standard operating procedures will be prepared and reviewed by management in accordance with the Trading Standards Improvement Plan.	31 Dec 2018 28 Feb 2019 31 Mar 2019 31 May 2019 31 Jul 2019 31 Oct 2019 31 Mar 2020 31 July 2020 31 Dec 2020 31 Mar 2021	Agreement reached with Trading Standards for a programme for approval and review to be in place by 31 March 2021, and development included within the 2021-22 workplan. Delayed & Rescheduled	Trading Standards Manager

Action Plan Points Due by 30 December 2020						
Service / Report	Finding	Priority	Agreed Action	Dates	Comment	Responsible Officer
	would benefit from having documented procedures and then create a programme of work for them to be drafted and approved.					
Lifelong Learning & Support – Systems Interfaces & Reconciliations	General Ledger Reconciliations There is no reconciliation performed between the source system and the general ledger for ResourceLink, PECOS, Concerto and Tranman and the SEEMiS interface for clothing grants.	Medium	Data in the source system may not be accurately reflected in the general ledger.	31 Dec 2020 31 Mar 2021	System established not working, looking at modifying this to streamline system. Delayed & Rescheduled	Seemis - School Services Support Manager
Customer Support Services – Logical Access	Password Controls A number of issues were identified where password controls fell short of good practice. In some circumstances the systems do not have the required functionality. We have only highlighted issues where the system does have the functionality however it	Low	Payroll – Password complexity will be introduced by end of December 2020.	31 Dec 2020 31 Mar 2021	Due to Resourcelink upgrade issues which has involved continuous resource this has not progressed as planned. Further year end upgrade due Feb/March. Delayed & Rescheduled	ResourceLink Systems Administrator

Action Plan Points Due by 30 December 2020						
Service / Report	Finding	Priority	Agreed Action	Dates	Comment	Responsible Officer
	has not been turned on. <input type="checkbox"/> Payroll <input type="checkbox"/> Password complexity not enforced					
Development & Economic Growth - Leader	Clarification from Scottish Government Clarification is required from the Scottish Government regarding the implications for the Council if projects are not being completed by 31 March 2021 especially regarding: <input type="checkbox"/> the definition of when a project is deemed to be completed e.g. a completion certificate issued by building control <input type="checkbox"/> for projects not completed by the deadline (therefore not qualifying for LEADER funding) will the Council be reimbursed by the Scottish Government for	Low	A meeting was held with the Scottish Government on 15 September. The new Head of the LEADER Team is to provide the Council with a written response to these issues for audit purposes. The relevant Executive Director and Head of Service have been briefed on this issue.	31 Dec 2020 31 Dec 2021	The Cabinet Secretary, Fergus Ewing has advised that the LEADER programme will be extended to the end of December 2021 to allow projects to complete given delays caused by the pandemic. Discussions are still being had with the Scottish Government to provide clarity on the issues noted about project completion. Delayed & Rescheduled	Economic Growth Manager

Action Plan Points Due by 30 December 2020						
Service / Report	Finding	Priority	Agreed Action	Dates	Comment	Responsible Officer
	monies already disbursed.					
Adult Care – Social Care Contract Management	Care Contracts Sample testing of eight contracts highlighted two situations where there is no agreed and signed contract between the Council and the provider. In both cases these are continuations of previous contracts and they are currently operating on previously agreed contractual terms. HSCP officers are continuing to negotiate revised terms and, in one case, these negotiations have been ongoing for in excess of a year.	Medium	Contract Negotiations with two providers nearing conclusion – awaiting confirmation of estimated capacity from providers to allow terms to be finalised.	31 Dec 2020 31 Mar 2021	Negotiations are continuing – information from providers remain incomplete. Further meeting scheduled 4th February. Delayed & Rescheduled	Locality Manager – HSCP
Adult Care – Social Care Contract Management	Call Up Letters Sample testing highlighted situations where services are being provided without a call up letter being in place. This is contrary	Low	Updated call up letters will be issued when providers confirm estimated capacity for year.	31 Dec 2020 31 Mar 2021	Meeting on 4th February to clarify estimated capacity with providers. Delayed & Rescheduled	Locality Manager – HSCP

Action Plan Points Due by 30 December 2020						
Service / Report	Finding	Priority	Agreed Action	Dates	Comment	Responsible Officer
	to Council policy.					

Action Plan Points Due After 30 December 2020						
Financial Services – External Audit – Financial Strategy	<p>The current medium to long term financial strategy does not contain detailed financial plans beyond 3 years.</p> <p>There is risk that the impact of changes in funding or expenditure scenarios beyond three years are not fully taken into account across all aspects of the Council's activities.</p> <p>The council should enhance its long term strategy when next it is reviewed. In particular it should consider providing detailed financial plans for up to five years, providing details of changes in assets, liabilities and reserves over time and including an</p>	N/A	The Council will give consideration to enhancing its long term strategy when it is reviewed during 2019-20.	31 Mar 2020 30 June 2020 31 Dec 2020 31 Mar 2021 30 Jun 2021	<p>The strategy has been drafted but we are we are waiting to get the 2021/22 budget settlement so we can update it with the most up-to-date figures prior to P&R approval. This was agreed by SMT. Revised Strategy will now go to May P&R.</p> <p>Delayed & Rescheduled</p>	Head of Financial Services

Action Plan Points Due After 30 December 2020						
	analysis of levels of service demand.					
Roads & Infrastructure Services – Logical Access	<p>User Management Controls</p> <p>A number of issues were identified where user management controls fell short of good practice. In some circumstances the systems do not have the required functionality. We have only highlighted issues where the system does have the functionality however it has not been turned on.</p> <ul style="list-style-type: none"> □ Tranman <ul style="list-style-type: none"> o Leaver and change notifications are not always received in a timely manner o No review of user access rights and permission levels o No audit trail is available 	Low	Tranman – on 25 august a call was logged with Civica regarding audit trail. Resolution and timescale will depend on response to logged call.	30 Sep 2020 31 Jan 2021 31 Mar 2021	We have been advised that this has been put back until February.	Tranman Systems Administrators
Adult Care – Logical Access	<p>Password Controls</p> <p>A number of issues were identified where password controls fell short of good practice.</p>	Low	CareFirst – On 21 August a call was logged with OLM asking if the relevant	30 Sep 2020 31 Jan 2021 28 Feb 2021	CareFirst Programme Board is performing the governance on this topic. It met on 16th Dec and agreed that a complex password	CareFirst Systems Administrators

Action Plan Points Due After 30 December 2020

	<p>In some circumstances the systems do not have the required functionality. We have only highlighted issues where the system does have the functionality however it has not been turned on.</p> <ul style="list-style-type: none"> <input type="checkbox"/> Carefirst <ul style="list-style-type: none"> o Old passwords can be reused o Password complexity not enforced 		<p>configurations can be amended. Resolution and timescale will depend on response to logged call.</p>		<p>format, minimum of 14 characters, will be adopted with no replacement, consistent with A&B Council policy.</p> <p>Delayed & Rescheduled</p>	
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