

INTERNAL AND EXTERNAL AUDIT REPORT FOLLOW UP 2024-25

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 31 December 2024 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 31 December 2024.
- 3.2 Appendix 1 provides further detail on actions that have been delayed and rescheduled.

Table 1 - Actions Due by 31 December 2024

SMT/Service	Complete	Delayed/ Rescheduled	Total
Internal Audit			
DH – Commercial Services	1	1	2
DH – Education Performance & Improvement	1	0	1
DH – Education Wellbeing, Inclusion & Achievement	1	0	1
KF – Customer Support Services	8	2	10
KF – Development & Economic Growth	3	2	5
KF – Roads & Infrastructure Services	1	13	14
H&SCP (IJB) – Finance/Transformation	2	0	2
H&SCP (SW) – Finance/Transformation	2	0	2
H&SCP (IJB) – Strategic Planning & Performance	0	2	2
H&SCP (SW) – Strategic Planning & Performance	0	2	2
H&SCP (SW) – Adult Services (Mental Health Learning Disability, Addictions & Lifelong Conditions)	1	3	4
H&SCP (IJB) – Adult Services (Older Adults & Community Hospitals)	0	1	1
H&SCP (SW) – Adult Services (Older Adults & Community Hospitals)	0	3	3
H&SCP (SW) – Children and Families and Criminal Justice	0	2	2
External Audit			
Nil			
TOTAL	20	31	51

Table 2 – Actions due after 31 December 2024

SMT/Service	Complete	Delayed/ Rescheduled	On Course	Total
Internal Audit				
DH – Legal & Regulatory Support	0	0	2	2
DH – Education Performance & Improvement	2	0	4	6
KF – Financial Services	0	0	16	16
KF – Customer Support Services	0	1	0	1
KF – Development & Economic Growth	1	0	0	1
KF – Roads & Infrastructure Services	1	1	1	3
LiveArgyll	0	0	1	1
H&SCP (SW) – Adult Services (Mental Health Learning Disability, Addictions & Lifelong Conditions)	0	0	2	2
H&SCP (SW) – Finance/Transformation	0	2	0	2
H&SCP (IJB) – Strategic Planning & Performance	1	0	6	7
External Audit				
Nil				
TOTAL	5	4	32	41

4.0 CONCLUSION

4.1 Satisfactory progress continues to be made implementing audit actions.

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 – protected characteristics – None
5.5.2	Socio-economic Duty – None
5.5.3	Islands – None
5.6	Climate Change – None
5.7	Risk – None
5.8	Customer Service – None
5.9	The Rights of the Child (UNCRC) – None

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13 March 2025

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APPENDICES

Appendix 1 – Action Plan Points Delayed & Rescheduled

Appendix 1 - Action Plan Points - Delayed and Rescheduled

Action Plan Points due by 31st December 2024

	Service, Report, Plan no. & Finding	Agreed Action	Dates	Management Comment	Responsible Officer
LOW	<p>COMMERCIAL SERVICES Externally Funded Projects - Rothesay Pavilion</p> <p>3. Resources Consideration should be given to reviewing the extensive use of outside contractors and consultants as opposed to investing in in-house resources in regard to major capital projects especially in light of the projected overspend on the project.</p>	<p>As part of the End Project Report, Lessons Learned, a review of the decision pertaining to project resourcing will be undertaken, and recommendations made to Head of Service with respect to the on-going efficient resourcing of projects. In developing future projects the Council will continue to give consideration to the most efficient resourcing model.</p>	<p>30/06/2023 30/06/2024 31/12/2024 31 Jan 2027</p>	<p>At the Council meeting of 26-Sep-24 it was agreed to proceed with the implementation of the remainder of the adaptive restoration works, and to complete the project in its entirety. The formal Notice to Proceed with these works is programmed to be issued by 20 January 2025, and the works are programmed to achieve Practical Completion in December 2026. This means that the End Project Report, and Lessons Learnt will not be undertaken until January 2026 at the earliest (assuming that the construction programme is not subject to any revision). End of project report cannot be completed until works completed, of which there has been substantial delays.</p> <p>Delayed and Rescheduled</p>	<p>Project Manager</p>
Medium	<p>CUSTOMER SUPPORT SERVICES Cloud Computing Services</p> <p>5. Disaster Recovery Plans and Run books Finding; Disaster recovery plans/run books are not in place for all systems reviewed and</p>	<p>ICT will prepare, update and finalise disaster recovery documentation and implement testing for those recently introduced cloud systems not already documented.</p>	<p>31/10/2024 31 /03/2025</p>	<p>DRP documentation is now in place and has been provided for review via SharePoint. Testing is planned for one system in July and another later in the year, however a testing schedule is not currently available. The</p>	<p>ICT and Digital Manager</p>

Service, Report, Plan no. & Finding	Agreed Action	Dates	Management Comment	Responsible Officer
<p>therefore not tested to cover any potential disaster affecting the Council's ability to access these systems. Recommendation; ICT services prepare, update or finalise disaster recovery documentation and implement testing.</p>			<p>testing schedule should be provided for the next follow up exercise.</p> <p>Delayed and Rescheduled</p>	
<p>CUSTOMER SUPPORT SERVICES Equality and Socio-Economic Impact Assessment</p> <p>4. Training EqSEIA guidance was issued to employees via a newsflash and presentations were made to managers, including a presentation on EqSEIA and for budget setting savings.</p>	<p>Webinars and presentations on EqSEIAs will be run at key times in the year.</p>	<p>30/06/2023 31/12/2023 31/03/2024 30/06/2024 30/11/2024 31 Mar 2025</p>	<p>Build of the tool is complete. User testing is in progress. Presentation to SMT planned 20th January with expected launch by the end of January. Once the tool is launched a link to the live tool will be provided as evidence to close off this action.</p> <p>Delayed and Rescheduled</p>	<p>Head of Customer Support Services</p>
<p>DEVELOPMENT & ECONOMIC GROWTH PLANNING</p> <p>1. Staff Training Planning do not currently have in place a training schedule for 2023/24 for planning officers.</p>	<p>Once the incorporation of the IDOX project is completed a training schedule will be introduced covering both the new system and other relevant areas such as the National planning for framework 4.</p>	<p>31/03/2024 31/12/2024 31 Mar 2025</p>	<p>A formalised training schedule has still to be completed however action has already been taken forward to deliver on a number of training themes identified by staff. This has included an event on considering the presence of protected species in the determination of planning applications (April 2024), and upcoming planned sessions during Feb and March 2025 relating to Trees and EIA development. It is confirmed that the most pressing training needs have been identified and are being delivered/progressed whilst a training plan that</p>	<p>Process and Productivity Improvement Officer</p>

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Low	<p>DEVELOPMENT & ECONOMIC GROWTH Private Sector Housing Grants & Adaptions</p> <p>3. Procedure Notes and Shared Documents While the vast majority of requirements are included, there would be benefit to updating these to reflect current working practices which have evolved due to hybrid working arrangements and the digitalisation of records. Consideration should be given to creating a checklist to ensure consistent application of processes.</p>	Procedures and documents will be reviewed and updated. Checklists to be drawn up and introduced when updating the procedures.	31/12/2022 30/06/2023 31/03/2024 30/09/2024 30/12/2024 30 Jun 2025	<p>addresses wider requirements still remains under production.</p> <p>Delayed and Rescheduled</p>	Team Lead - Housing Operations
High	<p>ROADS & INFRASTRUCTURE SERVICES Burial Records</p> <p>1. No Procedure for Records Management Finding: There is no consistent approach to updating and managing burial records across the Service. Finding: Private burials on home ground do not appear to be authorised or registered. Finding: Officers are printing documentation provided by funeral directors and applicants via email unnecessarily. Finding: Documentation was missing or could not be located at the time of the audit visit. Recommendation: A unified approach to records management should be adopted to establish consistency and provide resilience</p>	A unified approach to records management will be implemented and documented in a procedure note. This will include a requirement for periodic sample checking to take place.	30/06/2023 31/12/2023 31/03/2024 30/06/2024 30/09/2024 31/12/2024 31 Mar 2025	<p>All areas are working to the same draft procedures, which are scheduled for implementation following final revision at team meeting to be held mid-February 2025.</p> <p>Delayed and Rescheduled</p>	Operations Manager, Roads and Infrastructure Services

Service, Report, Plan no. & Finding	Agreed Action	Dates	Management Comment	Responsible Officer
<p>across the service. Additionally, a sample of burial records should be periodically checked for accuracy. This should be documented in a procedure note and issued to the relevant members of staff.</p>				
<p>ROADS & INFRASTRUCTURE SERVICES Burial Records</p> <p>2. Review of Policies and Procedures Finding: Policies and procedures provided to the auditor contained no evidence of recent review or were not dated. Recommendation: Policies and procedures should be subject to periodic review and updated as required. Updated documents should be promptly circulated to staff and published on the Council's website where appropriate.</p>	<p>Policies and procedures will be reviewed and updated if required. These will be re-issued to staff and published where appropriate.</p>	<p>30/06/2023 31/12/2023 31/03/2024 30/06/2024 30/09/2024 31/12/2024 31 Mar 2025</p>	<p>Area staff recently met to discuss processes and ensure all areas are working consistently. This process has seen additional information being requested from applicants/funeral directors for assistance in debt recovery. Debt recovery colleagues have been involved in discussions. It is expected that all processes will be in place by mid-February 2025.</p> <p>Delayed and Rescheduled</p>	<p>Operations Manager, Roads and Infrastructure Services</p>
<p>ROADS & INFRASTRUCTURE SERVICES Burial Records</p> <p>5. Additional Functions within BACAS Finding: BACAS system has additional functionality that is not currently utilised to provide efficiencies. Recommendation: Liaise with system provider and other Local Authorities to establish which additional features would provide benefits to the service.</p>	<p>The service will liaise with the system provider and other local authorities to identify useful additional system functionality and arrange training for implementation.</p>	<p>30/06/2023 31/12/2023 31/03/2024 30/06/2024 30/09/2024 31/12/2024 31 Mar 2025</p>	<p>Additional functions relating to the BACAS system relate mainly to the crematorium operations. The system is now being used to communicate the order of services for the working day and information around music, invoicing are also being captured. Further engagement with Inverclyde Council who are currently going through a similar process with BACAS is scheduled for February 2025.</p> <p>Delayed and Rescheduled</p>	<p>Operations Manager, Roads and Infrastructure Services</p>

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<p>ROADS & INFRASTRUCTURE SERVICES Burial Records</p> <p>6. Historical Register Information Finding: The Burial and Cremation (Scotland) Act 2016 (The Act) requires information to be retained electronically although this is not currently in force it will be at a future date. The BACAS system has been partially updated with historical information recorded in burial registers, it has not been possible to update with all information due to the volume of work involved. Recommendation: Source temporary additional resource to update historical burial records on BACAS.</p> <p style="text-align: center;">Low</p>	<p>The service will source temporary assistance to update records during Summer 2024.</p>	<p>30/06/2023 31/12/2023 31/03/2024 30/06/2024 31/12/2024 30 Jun 2025</p>	<p>Still to successfully recruit to this position. The service will again look to recruit the temporary assistance to achieve this audit action.</p> <p>Delayed and Rescheduled</p>	<p>Operations Manager, Roads and Infrastructure Services</p>
<p>ROADS & INFRASTRUCTURE SERVICES External Hire</p> <p>3. External hires exceeding their expected return date Of the 124 current ongoing hires 101 of these have exceeded their expected return. In addition 29 items were over the return date by more than 1000 days. There is no document available that explains the reasons why these items have substantially exceeded their expected return date.</p> <p style="text-align: center;">VFM</p>	<p>Roads and infrastructure services are currently under a review of all services and the recommendation will be assessed as part of the review.</p>	<p>30/06/2023 31/12/2023 31/03/2024 31/08/2024 31/12/2024 31 Mar 2025</p>	<p>As per previous update there are a number of reasons for lengthy external hires. Given the nature of Operations works, there will always be a requirement for external hires to ensure the delivery of works programmes such as the roads reconstruction programme. A system has been developed to allow management to monitor external hires, the length of the hire and to have notification prior to end dates to manage all hires better. Details of this should have been sent as proof the action had been completed. The section's system employee has developed a spreadsheet to</p>	<p>Operations Manager, Roads and Infrastructure Services</p>

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				<p>highlight hires coming to an end to advise colleagues to arrange for the vehicles, plant, equipment to be off-hired or further approval sought to extend. Spreadsheet still to be updated and action should be complete by the next quarter.</p> <p>Delayed and Rescheduled</p>	
VFM	<p>ROADS & INFRASTRUCTURE SERVICES External Hire</p> <p>4. Evaluating whether long-term hires should be leased or purchased outright There is currently no mechanism that triggers an exercise where “finance” considers whether cheaper long term finance options are available such as an operating lease or for the Council to purchase an item outright.</p>	<p>Roads and infrastructure services are currently under a review of all services and the recommendation will be assessed as part of the review.</p>	<p>31/03/2024 31/12/2024 31 Mar 2025</p>	<p>Meeting scheduled to bring in protocols for long-term hires to go through finance in order to close this action for March 2025.</p> <p>Delayed and Rescheduled</p>	<p>Principal Accountant, Roads and Infrastructure Services</p>
Low	<p>ROADS & INFRASTRUCTURE SERVICES PIERS & HARBOURS</p> <p>2. Calmac Charges Calmac, the main ferry operator uses the Council’s Piers and Harbours on a daily basis, with administratively intensive process in place for charging.</p>	<p>Have an agreement (financial) in place by the end of the year.</p>	<p>31/12/2023 31/03/2024 30/06/2024 30/11/2024 30 Jun 2025</p>	<p>Renewal of CHIFS contract and new personnel have delayed this work. We do not have a new agreed deadline however it remains a priority for both bodies to progress.</p> <p>Delayed and Rescheduled</p>	<p>Marine Operations Manager</p>
High	<p>ROADS & INFRASTRUCTURE SERVICES PIERS & HARBOURS</p> <p>3.</p>	<p>Any agreement must be supported by both parties and Argyll & Bute Council legal department. May tie in with No 2 above. Provide a</p>	<p>31/12/2023 31/03/2024 30/06/2024 30/11/2024</p>	<p>This will need more time to resource and implement across the various departments and external customers.</p>	<p>Marine Operations Manager</p>

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	<p>Service Level Agreements (SLA's)</p> <p>A number of companies, including large fish farming businesses make use of our facilities on a regular basis, however, there are no SLA's in place. We were advised that work is currently being undertaken to put Harbour Access Agreements in place.</p>	<p>report to HoS and Director with options. 1. Identify potential partners 2. Negotiation period 3. Legal support in drafting agreement</p>	<p>30 Jun 2025</p>	<p>Delayed and Rescheduled</p>	
Low	<p>ROADS & INFRASTRUCTURE SERVICES PIERS & HARBOURS</p> <p>4. Remote Piers and Harbours Harbourmasters based at the main piers and harbours are able to record the use of the facilities where they are predominantly based, however, a number of piers, slipways and harbours are in remote locations and are difficult to manage in terms of use. In addition, there are no robust procedures in place to identify commercial tour vessels using our facilities potentially resulting in a loss of income for the Council.</p>	<p>Actionable evidence and enforcement will continue to be an issue where there are no Argyll & Bute Council personnel on site. Investigate issues and possible solutions with Harbour Masters and provide options for consideration in report to DMT.</p>	<p>31/12/2023 31/03/2024 30/06/2024 30/09/2024 30/11/2024 30 Jun 2025</p>	<p>CCTV is in process of being installed. Next harbour is Port Askaig due Feb/March 2025.</p> <p>Delayed and Rescheduled</p>	<p>Marine Operations Manager</p>
Low	<p>ROADS & INFRASTRUCTURE SERVICES PIERS & HARBOURS</p> <p>5. Fishing Fleet Fees and charges for the fishing fleet within the Council area are managed by the fishing fleet whereby they advise us of the value of their landings once the catch has been sold. There is no back up information provided to substantiate the value and it is generally paid through cash receipting or by cheque.</p>	<p>Investigate issues and possible solutions with Harbour Masters and provide options for consideration in report to DMT.</p>	<p>31/12/2023 31/03/2024 30/06/2024 30/09/2024 30/11/2024 30 Jun 2025</p>	<p>CCTV is being installed and is ongoing.</p> <p>Delayed and Rescheduled</p>	<p>Marine Operations Manager</p>

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Low	<p>ROADS & INFRASTRUCTURE SERVICES PIERS & HARBOURS</p> <p>6. Management of Debt The outstanding debt owed to the Council at the end of June in respect of Piers and Harbours amounted to £143k. There are a number of long term outstanding debts and it was noted that in some instances there is continued use of our facilities by vessels who have outstanding debts dating back to 2019.</p>	<p>Investigate with legal department recovery or right off options. Provide a report to HoS and Director with options.</p>	<p>31/12/2023 31/03/2024 30/06/2024 30/09/2024 30/11/2024 30 Jun 2025</p>	<p>On-going process. Delayed and Rescheduled</p>	<p>Marine Operations Manager</p>
Low	<p>ROADS & INFRASTRUCTURE SERVICES PIERS & HARBOURS</p> <p>7. Income Gaps We reviewed the fees and charges agreed by the Council and compared these to fees and charges applied in other piers and harbour throughout Scotland, including Clydeport. It was found that there were potential gaps.</p>	<p>Complete a review of potential new charges for Harbour Board approval in Fees and charges report.</p>	<p>30/11/2024 28 Feb 2025</p>	<p>Increased ferry charges, including freight rates for Jura have been approved and implemented. Delayed and Rescheduled</p>	<p>Marine Operations Manager</p>
Low	<p>ROADS & INFRASTRUCTURE SERVICES PIERS & HARBOURS</p> <p>8. Published Pier and Harbour Dues and Fees Harbour fees and dues are published on the Council website on an annual basis following being agreed and set at the Council's budget setting meeting, however, these are not in a format that can be easily downloaded.</p>	<p>Produce a 'Schedule of Harbour Charges' for Harbour Board approval.</p>	<p>30/11/2024 30 Jun 2025</p>	<p>Schedule is in process with new fees and charges to be agreed following Council approval. Delayed and Rescheduled</p>	<p>Marine Operations Manager</p>

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Low	<p>ADULT SERVICES (OLDER ADULTS & COMMUNITY HOSPITALS) Adult Services - Adult Support & Protection (ASP)</p> <p>1. Progress Whilst significant progress has been made to address the key areas identified within the report there remains challenges in terms of ensuring attendance by all relevant partners at case conferences, ensuring that chronologies and risk assessments are completed and ensuring that the 'three point test' is undertaken.</p>	<p>Adult services will facilitate an ASP audit on a six monthly basis to determine practice and compliance with ASP legislation and KPIs.</p>	<p>30/09/2024 31/12/2024 31 Aug 2025</p>	<p>Multi-Agency Adult Protection Audit is planned although the frequency will be determined by the Adult Protection Committee. Meeting of Committee to take place in February 2025 to comprehensively discuss, plan, take forward and review.</p> <p>Delayed and Rescheduled</p>	<p>Head of Adult Services (Mental Health, Acute and Complex Care)</p>
Medium	<p>STRATEGIC PLANNING AND PERFORMANCE Risk Management</p> <p>1. Operational Risk Registers All key business activities within the partnership have an operational risk register in place as required per the Strategy document. A review of these risk registers noted that they have not been updated and formally reviewed.</p>	<p>Recommendation accepted. All operational risk registers will be updated on smart sheet.</p>	<p>31/12/2024 31 Dec 2025</p>	<p>Managers supplied with existing Registers and 1-2-1 meetings with the BIM are being scheduled to verbally review the Registers, scope additional risk, and update. Smartsheet will be decommissioned by NHS Highland, in December 2025. A collective escalated operational risk is being collated at present for enhanced clinical and care risk management and to support the escalation route, as noted in the guidance. This will be led by the Interim Clinical and Care Governance Manager. Inphase will be deployed in approx. September 2025, by which point all updated Risk Registers will be moved to the new system, which offers an</p>	<p>Business Improvement Manager</p>

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			<p>easier system of review. Final date of completion including evaluation of improved governance anticipated September-end 2025.</p> <p>Delayed and Rescheduled</p>	
<p>STRATEGIC PLANNING AND PERFORMANCE Risk Management</p> <p>3. Training It is noted that there is an outstanding audit action since June 2021 covering; · Training for new members of IJB and Audit Committee · training for Risk leads · maintenance of training records</p> <p style="text-align: center;">Low</p>	<p>Recommendation accepted. A training programme based upon the use of the Smartsheet system is being developed.</p>	<p>31/12/2023 30/06/2024 31/12/2024 30 Sep 2025</p>	<p>A 4-week campaign was deployed on Risk awareness offering an opportunity for a baseline Risk Management module available across the NHS Highland footprint on TURAS. A Risk Management course has been sourced for IJB Members and is being reviewed for suitability and cost. Training records are reportable, through TURAS, and contact has been made with the TURAS Team to receive reports on the module circulated. So far, uptake has not been high, but we will now redirect this through Managers and Team leads. Training sourced but not delivered at the moment.</p> <p>Delayed and Rescheduled</p>	<p>Business Improvement Manager</p>
<p>ADULT SERVICES (MENTAL HEALTH LEARNING DISABILITY, ADDICTIONS & LIFELONG CONDITIONS/CSWO) CLIENT FUNDS PROGRESS REVIEW</p> <p>2.</p> <p style="text-align: center;">Medium</p>	<p>Detail restricted</p>	<p>30/12/2024 31 Mar 2025</p>	<p>Delayed and Rescheduled</p>	<p>SW Admin Manager</p>

	Service, Report, Plan no. & Finding	Agreed Action	Dates	Management Comment	Responsible Officer
	Meeting service users' financial needs Detail restricted				
Medium	<p>ADULT SERVICES (MENTAL HEALTH LEARNING DISABILITY, ADDICTIONS & LIFELONG CONDITIONS/CSWO) CLIENT FUNDS PROGRESS REVIEW</p> <p>3. Implementation of new working practices Detail restricted</p>	Detail restricted	31/08/2024 31/12/2024 31 Mar 2025	Delayed and Rescheduled	SW Admin Manager
Medium	<p>ADULT SERVICES (MENTAL HEALTH LEARNING DISABILITY, ADDICTIONS & LIFELONG CONDITIONS/CSWO) Learning & Physical Disability Care Packages</p> <p>3. Case Notes Case notes are maintained on Eclipse, the replacement client database for Carefirst. It was noted that case notes were not always maintained and up to date.</p>	<ul style="list-style-type: none"> · Record keeping session(s) to be delivered by professional lead · Senior Managers to implement case note audit within their respective services – this should be linked to individual practitioner supervision 	30/06/2024 31/12/2024 31 Mar 2025	<p>Interim HoS will seek assurance to regular audit cycles to be included in the monthly assurance reports received from Senior manager and team managers and report back by 31 March 2025 for MH and LD services.</p> <p>Delayed and Rescheduled</p>	Senior Managers (Adult Services)
Medium	<p>ADULT SERVICES (MENTAL HEALTH LEARNING DISABILITY, ADDICTIONS & LIFELONG CONDITIONS/CSWO) Learning & Physical Disability Care Packages</p> <p>6. Allocation of Resources The large majority of Learning Disability services are commissioned under the Supported Living contract and Older People services are commissioned under Care at Home contract. There are a few anomalies where some providers of Care at Home services are</p>	Review the Care at Home contract as a matter of priority to ensure that there is personal care provision across the authority for those under the age of 65 with complex needs, who do not require more intensive care such as that provided via Supported Living.	30/06/2024 31/08/2024 31 Aug 2025	<p>Due to absence at Head of Service level this recommendation has not been progressed to date. It is a significant piece of work with strategic implications for the service. A revised date and timetable will be established in due course.</p> <p>Delayed and Rescheduled</p>	Head of Adult Services - Acute & Complex Care

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<p>commissioned to provide support outside of their normal client group, however it was found that priority was given to older peoples services with Learning Disability clients remaining on a waiting list for personal care services.</p>				
<p>ADULT SERVICES (OLDER ADULTS & COMMUNITY HOSPITALS) Scottish Social Services Council (SSSC) Registration</p> <p>3. Service-user information Finding: Service-users and their family, friends and non-Council carers are advised that violence, threats or abuse towards them from Council employees will not be tolerated, however, only one handbook provided advised visitors on expected conduct regarding violence, threats or abuse towards employees. There was no documentation containing information regarding conduct of service users towards employees. Recommendation: Service-user documentation should be revised to advise that instances of violence, threats or abuse directed towards employees is not acceptable.</p>	<p>Review all social work and social care service user documentation in adult services.</p>	<p>31/08/2024 31/12/2024 28 Feb 2025</p>	<p>All care home handbooks have been updated in the last 6 months to reflect the most up to date complaints information for residents/families and also contains information which informs that instances of V&A will not be tolerated.</p> <p>Delayed and Rescheduled</p>	<p>Senior Manager - Resources/Professional Lead - Social Work</p>
<p>ADULT SERVICES (OLDER ADULTS & COMMUNITY HOSPITALS) Scottish Social Services Council (SSSC) Registration</p> <p>6. Care Home Handbook Finding; Details of how to communicate concerns/complaints were provided in two out</p>	<p>Review all care home complaints/concerns processes.</p>	<p>31/07/2024 31/12/2024 28 Feb 2025</p>	<p>Managers have agreed to update all handbooks, this will be revisited at next meeting scheduled for February to ensure the action is fully completed.</p> <p>Delayed and Rescheduled</p>	<p>Lead Nurse (Care Homes)</p>

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<p>of three handbooks provided. Recommendation; Review and update content of care home handbooks to ensure complaints contact details are consistently provided.</p>				
<p>CHILDREN AND FAMILIES AND CRIMINAL JUSTICE Scottish Social Services Council (SSSC) Registration</p> <p>4. Supervision Policy Finding: The Supervision Policy is dated November 2011 with no evidence of review or update, additionally, the requirements in terms of frequency and duration of supervision meetings are considered by managers to be unrealistic in terms of current available resources. Recommendation: The Supervision Policy be reviewed and updated to ensure it incorporates up-to-date needs and requirements of service delivery.</p>	<p>Develop a social work and social care supervision policy.</p>	<p>31/08/2024 30/09/2024 31/12/2024 30 Jun 2025</p>	<p>We are close to roll out – but with the competing priorities (and staffing issues) we are not quite there yet. Once rolled out we should be in a position to diligently work through the compliance documentation.</p> <p>Delayed and Rescheduled</p>	<p>Professional Lead - Social Work</p>
<p>CHILDREN AND FAMILIES AND CRIMINAL JUSTICE Scottish Social Services Council (SSSC) Registration</p> <p>5. Compliance with Supervision Policy Finding: evidence of compliance with the supervision policy was limited and embedded templates were not being consistently used. Recommendation: Following review of the Supervision Policy, Managers should be reminded of the need to schedule supervision</p>	<p>Appropriate documentation will be provided following development of social work and social care supervision policy.</p>	<p>31/08/2024 31/10/2024 30 Jun 2025</p>	<p>We are close to roll out – but with the competing priorities (and staffing issues) we are not quite there yet. Once rolled out we should be in a position to diligently work through the compliance documentation.</p> <p>Delayed and Rescheduled</p>	<p>Professional Lead - Social Work</p>

Service, Report, Plan no. & Finding	Agreed Action	Dates	Management Comment	Responsible Officer
<p>meetings with employees in advance and retain records in an appropriate and consistent format.</p>				
<p>STRATEGIC PLANNING AND PERFORMANCE Learning & Physical Disability Care Packages</p> <p>4. Client Records A previous audit report highlighted the fact that client records were stored in multiple locations, including on the Council's network drive. Evidence obtained during the audit suggests that client records are still being maintained in several locations. A successful pilot project was run in Mid Argyll transferring all records onto CIVICA. A proposal has been submitted to roll this out across all other areas in Argyll.</p> <p style="text-align: center;">Medium</p>	<p>Ensure that a standardised and compliant electronic recording system is implemented across HSCP services – this should be achieved via the Eclipse Implementation Program.</p>	<p>30/06/2024 31/12/2024 31 Aug 2025</p>	<p>All previous Carefirst LD client records were migrated as part of the Eclipse Phase 1. Staff can currently access client records via the Eclipse Community Case Management System. The Eclipse Phase 2 development is currently ongoing with regards to the onboarding of Community Health Teams. A project plan is being developed with OLM to support the testing and delivery stages. An early indication for OLM at the Eclipse Board on 14/01/25 is that this will cover a 28 week timescale with completion for late August 2025. The CIVICA project continues with 3 delivery phases identified within the project plan. Stage 1- Adult Care, Stage 2- Children & Families and Stage 3- Health. As each of the teams are moved into the CIVICA system the access to external drives is terminated ensuring that all data is held within a single system. This work will continue across 2025/26 and 26/27.</p> <p>Delayed and Rescheduled</p>	<p>Head of Strategic Planning, Performance and Technology</p>

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<p>Medium</p> <p>STRATEGIC PLANNING AND PERFORMANCE Learning & Physical Disability Care Packages</p> <p>7. Unmet Need</p> <p>Unmet need for Older People Care at Home is collated by the resources team on a weekly basis, this is then submitted to Performance and Improvement Team, and is reported to Scottish Government. The data for Learning Disability is not currently recorded formally and not included in the above.</p>	<p>Include the data re unmet need for those under 65 in the weekly reporting format already in place for Older People.</p>	<p>30/06/2024 30/09/2024 31 Aug 2025</p>	<p>The reporting of Unmet need from Eclipse for LD clients will be developed alongside the Phase 2 data reporting.</p> <p>Delayed and Rescheduled</p>	<p>Head of Strategic Planning, Performance and Technology & Head of Adult Services (Health & Community Care)</p>

Action Plan Points due after 31st December 2024

Service, Report, Plan no. & Finding	Agreed Action	Dates	Management Comment	Responsible Officer
<p>LOW</p> <p>CUSTOMER SUPPORT SERVICES Human Resources - Casual Staff</p> <p>5. Recruitment process</p> <p>Discussions with operational managers found a preference for casual staff due to the simpler setup process compared to temporary posts, potentially prompting talks with trade unions and senior management to simplify recruitment, reducing incorrect usage and improving efficiency. HR should explore opportunities with key stakeholders to make it easier for managers to recruit into temporary posts.</p>	<p>HR to initiate discussions with trade unions and senior management to explore opportunities for simplifying the recruitment process for temporary/casual posts, based on feedback from operational managers, with the aim of reducing incorrect usage and improving overall efficiency.</p>	<p>31/03/2025 30 Sep 2025</p>	<p>This action is dependent on progress with phase 2 of the itrent project which is currently on pause. A date has yet to be agreed for engagement around the recruitment and onboarding module as part of phase two planning. It is likely to have been completed by 30th September 2025 although this is dependent on progress being made with phase 2 of the itrent project.</p> <p>Delayed and Rescheduled</p>	<p>Senior HR Business Partner/HR Manager Operations</p>
<p>Medium</p> <p>FINANCE/TRANSFORMATION INFORMATION GOVERNANCE</p> <p>2. Improvement Plan</p>	<p>Develop and implement an action plan to address the Keeper of Scotland's improvement recommendations, ensuring that all aspects of records management</p>	<p>31/03/2025 30 Sep 2025</p>	<p>The RMP is now due for submission around August 2025.</p> <p>Delayed and Rescheduled</p>	<p>Governance, Risk & Safety Manager</p>

	Service, Report, Plan no. & Finding	Agreed Action	Dates	Management Comment	Responsible Officer
	<p>A number of improvement recommendations made by the Keeper of Scotland were identified in the following areas:</p> <ul style="list-style-type: none"> · Business Classification · Retention Schedule · Destruction Arrangements · Archiving and Transfer · Business Continuity and Vital Records · Audit Trail <p>An action Plan to address these areas should be implemented</p>	<p>are up-to-date, compliant, and effectively managed. Will be reviewed as part of RMP submission to Keeper.</p>			
Medium	<p>FINANCE/TRANSFORMATION INFORMATION GOVERNANCE</p> <p>1. Documentation Review</p> <p>Reviews are outstanding in regard to:</p> <ul style="list-style-type: none"> · Records Management Plan · Information Governance policy framework 	<p>A review of all relevant documents will be carried out. RMP will be reviewed and submitted to Keeper around February 2025. IG policy to be reviewed.</p>	<p>31/03/2025 30 Sep 2025</p>	<p>The RMP is now due for submission around August 2025.</p> <p>Delayed and Rescheduled</p>	<p>Governance, Risk & Safety Manager</p>
High	<p>ROADS & INFRASTRUCTURE SERVICES – WARDEN SERVICES</p> <p>Second Bin Service Verification Wardens are expected to verify the veracity of applications from customers for a second domestic bin service. This requires the warden to confirm that information provided by the customer is accurate and meets the defined criteria. The information provided to substantiate an application can be very personal and sometimes of a sensitive medical nature. Wardens have been asked to provide this service but have received no formal training in how to ensure a customer’s dignity is maintained or to ensure</p>	<p>Review the process for; Review the second bins that are in place and the process for rationalising. This review to also give consideration to composition and identify opportunity to increase recycling and reduce general waste.</p>	<p>31/03/2022 30/09/2022 31/12/2022 31/03/2023 30/09/2023 31/12/2023 31/03/2024 31/03/2025 30 Jun 2025</p>	<p>EDI committee approved the second general waste bin review, the process has currently been put on hold whilst a survey is being carried out seeking views and feedback of the service and its future provision.</p> <p>Delayed and Rescheduled</p>	<p>Operations Manager, Roads & Infrastructure Services</p>

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<p>they are aware of the requirements of General Data Protection Regulation (GDPR) in relation to personal data for this specific process.</p> <p>Due to the sensitivity of this process, and the potential risks associated with data protection it is recommended that the current verification process is reconsidered to determine if it is appropriate to maintain it in its current form. If it is decided it should be retained then there should be engagement with the Council's Governance and Risk Manager to ensure it is being carried out in full compliance with GDPR.</p>				