

CYCLE 2 - COMMITTEE STATISTICS

The Tracker Shows the Reports Which are Expected to be Submitted to Future Committee Meetings

Report Title	Committee date	Report author	Head of Service	Purpose of Report
Internal Audit Progress and Performance	22/06/2017	David Hughes		to provide an update on progress with the 2016/17 audit
Internal Audit Annual Report 16/17	22/06/2017	David Hughes		to present the internal audit annual report and financial statement
Internal Audit Charter	22/06/2017	David Hughes		to seek agreement to amend the internal audit charter
Audit, Risk and Scrutiny Cttee Annual Report	22/06/2017	Martin Murchie	Fraser Bell	Presents the performance report for the Cttee
Ombudsman recommendations	22/06/2017	Lucy McKenzie	Ewan Sutherland	To advise on any SPSO recommendations
CH&I Risk Register	22/06/2017	Mike Hearn	Director	to present the CHI Risk register update
Review of the System of Risk Management	22/06/2017	Neil Buck	Fraser Bell	update on progress in implementing the agreed actions to support the delivery of the Risk and Assurance Improvement project
ALEO Operating Model	22/06/2017	Iain Robertson	Fraser Bell	seek approval for the new ALEO operating model
Website Breach	22/06/2017	Jamie Kirkwood	Simon Haston	to provide an update to members on the actions taken following the website breach
Budget Setting Process	22/06/2017	Internal Auditor		Review procedures used in setting the Council's budget
Vehicles and Driver Records	22/06/2017	Internal Auditor		Ensure that the procedures put in place to address concerns raised by the Traffic Commissioner have been implemented and are operating in a satisfactory manner.
Internal Audit Follow Up on Recommendation from April 15/16	22/06/2017	Internal Auditor		provide an update on where services were with implementing agreed recommendations
Unaudited Annual Accounts 2016/17	22/06/2017	Lesley Fullerton	Steven Whyte	overview of the Council's unaudited accounts
Interim Audit Report	22/06/2017	External Audit		Provide update on the Interim Audit
Review of capital programmes	22/06/2017	Bernadette Marjoram		update on the Capital Programme Review
Audit Scotland Value for Money National Reviews	22/06/2017	Martin Murchie	Ciaran Monaghan	summary of Audit Scotland's National Studies
LAN audit and Inspection Plan	22/06/2017	KPMG/A.Scott		to set out planned scrutiny for 2017/18
Appointment of Members to the Corporate Health and Safety Committee	22/06/2017	Karen Rennie	Fraser Bell	Appoint Members to the CHSC
Solar Photovoltaic Agreement	22/06/2017	Internal Auditor		to provide the outcome of work requested

CYCLE 3 - COMMITTEE STATISTICS The Tracker Shows the Reports Which are Expected to be Submitted to Future Committee Meetings				
Report Title	Committee date	Report author	Head of Service	Purpose of Report
Internal Audit Progress and Performance	26/09/2017	David Hughes		to provide an update on progress with the 2016/17 and 2017/18 audit
Information Governance Management Annual Report	26/09/2017	Caroline Anderson	Simon Haston	to present the annual report in relation to Information Governance
System of Risk Management	26/09/2017	Neil Buck	Fraser Bell	update on progress in implementing the agreed actions to support the delivery of the Risk and Assurance Improvement project
Attendance Management	26/09/2017	David Hughes		To test compliance with the attendance management policy and determine if it is having a positive effect on attendance
PECOS System	26/09/2017	David Hughes		Consider whether appropriate control is being exercised over the system and that interfaces to and from other systems are accurate and properly controlled
Care of Children and Young People	26/09/2017	David Hughes		To obtain assurance that care needs are being identified, planned and recorded accurately and that costs charged are appropriate and adequately controlled
Building Maintenance	26/09/2017	David Hughes		Attend a selection of locations during 2016/17 year end stock taking and ensure accuracy of process. To include review of stock procedures
Corporate Landlord Responsibilities	26/09/2017	David Hughes		Ensure that the Council has systems in place that provide assurance over compliance with the legal requirements in relation to its corporate landlord role
Vehicle Maintenance Workshops	26/09/2017	David Hughes		Ensure that adequate procedures are in place to control the function and obtain best value in maintaining vehicles
Internal Audit Follow Up on Recommendations since 15/16	26/09/2017	David Hughes		provide an update on where services were with implementing agreed recommendations
Audited Annual Accounts 2016/17	26/09/2017	Sandra Buthlay	Steven Whyte	to presenst the audited annual accounts
Annual Report to Members and the Controller of Audit on the 2016/17 Audit	26/09/2017	External Auditor		to provide External Audit's annual report in relation to the audit of the annual accounts
Benefits	26/09/2017	Internal Auditor		Consider whether benefits being paid to claimants are supported by appropriate documentary evidence, that the calculation of benefit is accurate, and that it has been properly recorded for subsidy purposes.
Disclosure Checks	26/09/2017	Internal Auditor		Consider whether arrangements in place to ensure that appropriate employees/volunteers have been checked are adequate.
Integration of Health and Social Care	26/09/2017	Internal Auditor		Post Integration review of Health and Social Care Intervention as required by Intergartion Resource Advisory Group Guidance
ALEO's	26/09/2017	Internal Auditor		Consider how Services manage their ALEO's including payments and performance
Business Continuity Planning	26/09/2017	Internal Auditor		Ensure that Business Continuity Plans are in place as required by the Business Continuity Policy and that arrangements adequately manage identified risks
Application of Health and Safety measures and practices in schools	26/09/2017	Internal Auditor		Consider whether arrangements in place adequately manage risk responsibility in relation to hazard infromation, handling and disposal of chemicals, safety in microbiology, material of living origin and routine fume cupboard testing.

Social Work Transport	26/09/2017	Internal Auditor		Consider whether appropriate arrangements are in place to secure transportation in a cost effective and well managed way
Office of the Surveillance Commissioner Inspection	26/09/2017	Jessica Anderson	Fraser Bell	to present the findings from the OSC Inspection
Corporate Investigation Team Fraud Annual Report 2016/17 and Business Plan 2017/18	26/09/2017	Brian Muldoon	Steven Whyte	to present the annual Fraud report

CYCLE 4 - COMMITTEE STATISTICS

The Tracker Shows the Reports Which are Expected to be Submitted to Future Committee Meetings

The Tracker shows the reports due to come to Committee

Report Title	Committee date	Report author	Head of Service	Purpose of Report
Internal Audit Progress and Performance	23/11/2017	David Hughes		to provide an update on progress with the 2016/17 and 2017/18 audit
ALEO Governance	23/11/2017	Roddy MacBeath	Fraser Bell	to provide an update in relation to the ALEO Operating Model
System of Risk Management	23/11/2017	Neil Buck	Fraser Bell	update on progress in implementing the agreed actions to support the delivery of the Risk and Assurance Improvement project
Travel Costs	23/11/2017	David Hughes		Ensure that travel arrangements and claims are made in accordance with the Council's Travel Policy, Procedure and Guidance
Fixed Asset Register	23/11/2017	David Hughes		Consider whether procedures for ensuring timely recording of the acquisition/disposal of assets are adequate and that revaluations are undertaken in accordance with recognised best practice.
Placing Requests	23/11/2017	David Hughes		To review decision making processes and consider whether these are adhered to.
Vehicle Usage	23/11/2017	David Hughes		Ensure that adequate procedures are in place to ensure that vehicles are being used effectively for business purposes and any non-business use is appropriately reported.
Social Work Payroll	23/11/2017	David Hughes		Consider whether all aspects of payroll administration (new starts, leavers, timesheet completion and authorisation, overtime approval) are adequately controlled
Social Work Financial Assessments	23/11/2017	David Hughes		Consider whether adequate arrangements are in place across the Service to undertake financial assessments in an accurate and efficient manner
Internal Audit Follow Up on Recommendations since April 15/16	23/11/2017	David Hughes		provide an update on where services were with implementing agreed recommendations
Audit Scotland Value for Money National Reviews	23/11/2017	Martin Murchie	Ciaran Monaghan	summary of Audit Scotland's National Studies

CYCLE 5 - COMMITTEE STATISTICS

The Tracker Shows the Reports Which are Expected to be Submitted to Future Committee Meetings

Report Title	Committee date	Report author	Head of Service	Purpose of Report
CH&I Risk Register		Mike Hearn	Director	Annual report
Internal Audit Progress and Performance		David Hughes		to provide an update on progress with the 2016/17 and 2017/18 audit
Bond Governance		David Hughes		Consider whether arrangements have been put in place to ensure compliance with the London Stock Exchange requirements and safeguarding the Council's credit rating
Financial Ledger System		David Hughes		Consider whether appropriate control is being exercised over the system and that interfaces to and from other systems are accurate and properly controlled
Your HR		David Hughes		Consider whether appropriate control is being exercised over the system and that interfaces to and from other systems are accurate and properly controlled
Major IT Business Systems		David Hughes		Ensure that the risk of major IT Business Systems failure is adequately managed
Post Election Training for New Council		David Hughes		Ensure that appropriate arrangements were made for training Councillors following the May 2017 Local Government Elections and that training was delivered and was effective
Nursery Education - Pre-School Commissioned Places		David Hughes		Consider whether statutory obligations are being delivered and that adequate control is exercised over expenditure.
Capital Contracts		David Hughes		Ensure appropriate arrangements are in place regarding the tendering for and monitoring of a sample of capital contracts and value for money is being obtained
Care Management		David Hughes		To obtain assurance that care needs are being identified, planned and recorded accurately and that costs charged are appropriate and adequately controlled