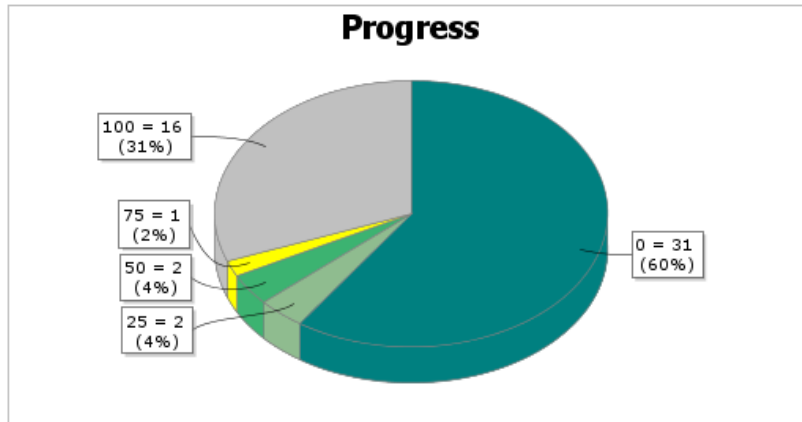


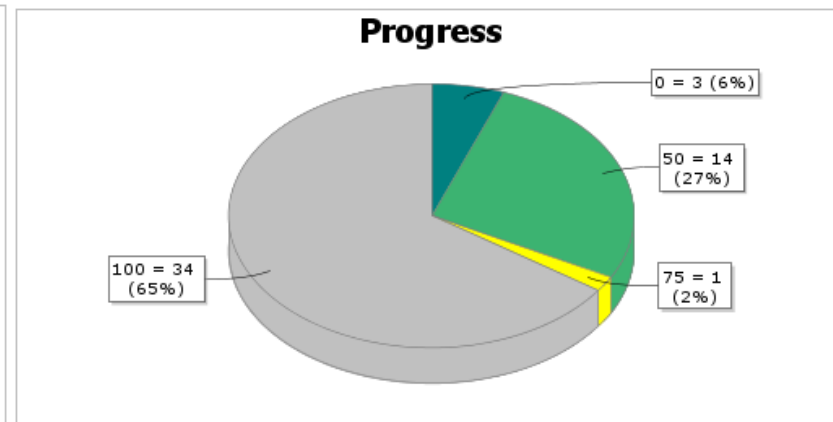
Implementation of Agreed Management Actions 2017/18 Quarter 2

First Implementation Reviews

Status at Implementation Review



Status as at October 2017 – Manager’s Assurance






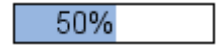

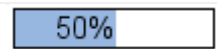
Page 119

| Audit Recommendation Code & Title | Recommendation Priority | Recommendation Progress at implementation review | Reason Not Implemented | Revised Date for Implementation | Updated status October 2017 | Manager Update |
|-----------------------------------|-------------------------|---|--------------------------------|---------------------------------|---|---|
| 1617 BS 1.01 Key Holder Records | High Priority | <div style="width: 50%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 50% | Staffing Resources – Temporary | 31-Mar-2018 | <div style="width: 100%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 100% | key holder info now updated and caretakers and admin assistant as well as manager now hold keys for office. |
| 1617 BS 1.04 Alarm Codes | High Priority | <div style="width: 25%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 25% | Other Higher Priorities | 30-May-2018 | <div style="width: 50%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 50% | Completed at depot and castle |


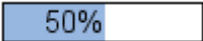

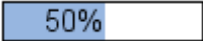


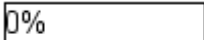
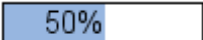








| Audit Recommendation Code & Title | Recommendation Priority | Recommendation Progress at implementation review | Reason Not Implemented | Revised Date for Implementation | Updated status October 2017 | Manager Update |
|---------------------------------------|-------------------------|--|-------------------------|---------------------------------|-----------------------------------|---|
| 1617 BS 1.05 Building Security Policy | High Priority | <input type="text" value="0%"/> | Other Higher Priorities | 31-Mar-2018 | <input type="text" value="50%"/> | Building use policy is the responsibility of HofCs – Building security has always been under ICT. Building use Policy is to be agreed by CMT. |
| 1617 BS 1.15 Town Hall Security | High Priority | <input type="text" value="0%"/> | Other Higher Priorities | 31-Mar-2018 | <input type="text" value="0%"/> | |
| 1617 BS 2.10 ID Badge – Access Review | High Priority | <input type="text" value="0%"/> | No evidence provided | 31-Mar-2018 | <input type="text" value="100%"/> | Monthly reports are run and checked and any duplicate or badges that are not required are deactivated. |
| 1617 BS 2.13 Social Services Access | High Priority | <input type="text" value="0%"/> | No evidence provided | 31-Mar-2018 | <input type="text" value="100%"/> | The only floors that can be restricted are floors 6 & 7. It is the HofCS understanding that if officers and partners need to use the meetings rooms etc they have to have access to all of Marmion House minus floors 6 & 7 which have been isolated and restricted access via ADT. |
| 1617 BS 3.01 Visitor & | High Priority | <input type="text" value="75%"/> | Other Higher | 31-Aug-2017 | <input type="text" value="75%"/> | |

Page 120

| Audit Recommendation Code & Title | Recommendation Priority | Recommendation Progress at implementation review | Reason Not Implemented | Revised Date for Implementation | Updated status October 2017 | Manager Update |
|--------------------------------------|-------------------------|--|----------------------------------|---------------------------------|-----------------------------------|---|
| Contractor Sign In | | | Priorities | | | |
| 1617 BS 3.02 Contractor Access | High Priority | <input type="text" value="0%"/> | Other Higher Priorities | 31-Dec-2017 | <input type="text" value="50%"/> | Part of the building use Policy to be approved by CMT. |
| 1617 H&S 2.01 Risk Registers | High Priority | <input type="text" value="0%"/> | Other Higher Priorities | 31-Aug-2017 | <input type="text" value="100%"/> | |
| 1617 H&S 2.03 Fire risk ownership | High Priority | <input type="text" value="0%"/> | Reliance on 3rd Party - Internal | 31-Dec-2017 | <input type="text" value="100%"/> | The Old TIC is now occupied by a brewing company. The responsibility for risk assessments and fire equipment now sits with the tenant |
| 1617 H&S 3.02 New policy development | High Priority | <input type="text" value="0%"/> | Other Higher Priorities | 30-Nov-2017 | <input type="text" value="50%"/> | A number of policies and procedures have been updated and will shortly be consulted upon. the updated procedures include: Fire Risk Management, Accident and incident reporting, Control of Substances Hazardous to Health, Display Screen equipment, First Aid, New and Expectant mothers, |

| Audit Recommendation Code & Title | Recommendation Priority | Recommendation Progress at implementation review | Reason Not Implemented | Revised Date for Implementation | Updated status October 2017 | Manager Update |
|--|-------------------------|---|-------------------------|---------------------------------|---|---|
| 1617 H&S 4.01 Corporate Training Matrix | High Priority |  | Other Higher Priorities | 31-Dec-2017 |  | Personal Protective Equipment, risk Assessments, Smoking, Suspect packages, Work at heights, violence at Work. Additional procedures will be updated and issued in line with the Health and Safety Action Plan |
| 1617 H&S 4.03 Premise manager responsibilities | High Priority |  | Other Higher Priorities | 31-Jan-2018 |  | The Health and Safety Awareness sessions are advertised on the intranet. A number of awareness sessions are arranged and attendance is co-ordinated by HR to ensure all employees have attended within each 3 year cycle. |
| 1617 H&S 5.01 Safety Audits | High Priority |  | Other Higher Priorities | 31-Mar-2018 |  | A training course for premise managers is available to be delivered once all premise managers have been identified by HR A full audit program is in place for 2017/18 whereby all high risk and |

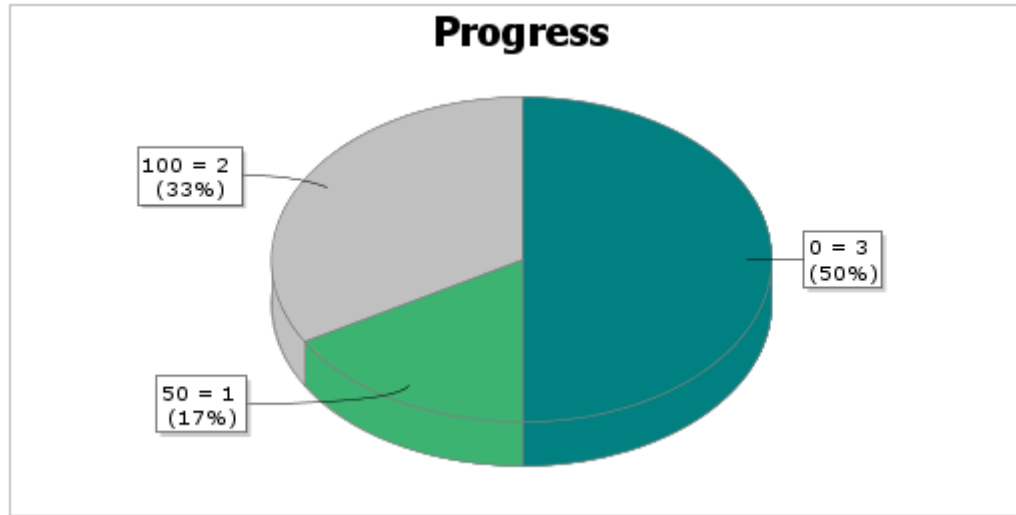
| Audit Recommendation Code & Title | Recommendation Priority | Recommendation Progress at implementation review | Reason Not Implemented | Revised Date for Implementation | Updated status October 2017 | Manager Update |
|---|-------------------------|--|-------------------------|---------------------------------|-----------------------------|--|
| | | | | | | medium risk services will have undergone an audit by the end of March 2018. |
| 1617 H&S 5.02 Action Programmes | High Priority | 0% | Other Higher Priorities | 31-Mar-2018 | 100% | A full service annual action plan is in place for the year 2017/18. The action plan is reviewed by the HS service manager with the HS Advisor |
| 1617 BS 1.02 Key Holder Terms & Conditions | Medium Priority | 25% | Other Higher Priorities | 31-Mar-2018 | 50% | Part of the drafted Building Use Policy – to be approved by CMT |
| 1617 BS 1.08 Carnegie Centre Door Fobs | Medium Priority | 0% | Other Higher Priorities | 31-Mar-2018 | 100% | |
| 1617 BS 1.09 Marmion House Key Holders List | Medium Priority | 0% | No evidence provided | 31-Jan-2018 | 100% | Key holders list has been reviewed and key holders sign the list |
| 1617 BS 1.11 Key Checks | Medium Priority | 0% | No evidence provided | 31-Jan-2018 | 100% | |
| 1617 BS 1.14 Key Handling Procedure | Medium Priority | 0% | | 31-Jan-2018 | 100% | Currently in the process of finalising policies and procedures which will be in place by the end of this calendar year. There is a process and database in place for recording key |

| Audit Recommendation Code & Title | Recommendation Priority | Recommendation Progress at implementation review | Reason Not Implemented | Revised Date for Implementation | Updated status October 2017 | Manager Update |
|--|-------------------------|---|-------------------------|---------------------------------|---|---|
| | | | | | | handovers and returns. |
| 1617 BS 2.02 User Access | Medium Priority |  | Other Higher Priorities | 30-Nov-2017 |  | |
| 1617 BS 2.03 Documented Procedures | Medium Priority |  | No evidence provided | 31-Dec-2017 |  | Procedures in place but also included in the building use Policy to be approved by CMT. |
| 1617 BS 2.04 New Starter Forms | Medium Priority |  | Other Higher Priorities | 31-Oct-2017 |  | These are held centrally on the s drive under CST new starter forms. |
| 1617 BS 2.06 ID Badge Terms & Conditions | Medium Priority |  | No evidence provided | 31-Mar-2018 |  | Included as part of the Building Use Policy |
| 1617 BS 2.07 Amendment Requests Retained | Medium Priority |  | No evidence provided | 31-Dec-2017 |  | |
| 1617 BS 2.08 Leaver's ID Badges – Deactivation Process | Medium Priority |  | No evidence provided | 31-Jan-2018 |  | |
| 1617 BS 2.09 Leaver's ID Badge – Deactivated Timely | Medium Priority |  | No evidence provided | 31-Jan-2018 |  | Part of the building policy, however, this is done from the leavers forms. |
| 1617 BS 2.12 ID Badge – Duplicate Entries | Medium Priority |  | No evidence provided | 31-Dec-2017 |  | This was investigated and CCTV have stated that this is a system error. No known reason for the duplications. |

| Audit Recommendation Code & Title | Recommendation Priority | Recommendation Progress at implementation review | Reason Not Implemented | Revised Date for Implementation | Updated status October 2017 | Manager Update |
|---|-------------------------|--|-------------------------|---------------------------------|-----------------------------------|--|
| 1617 BS 2.14 Replacement ID Badges | Medium Priority | <input type="text" value="0%"/> | Other Higher Priorities | 31-Mar-2018 | <input type="text" value="50%"/> | Accepted and included in the building use policy to go to CMT. |
| 1617 BS 3.03 Contractor ID Badges | Medium Priority | <input type="text" value="50%"/> | No evidence provided | 31-Dec-2017 | <input type="text" value="50%"/> | Process implemented, checks to be carried out on a weekly basis. |
| 1617 BS 3.05 Visitor/Contractor Signing In Book | Medium Priority | <input type="text" value="0%"/> | No evidence provided | 31-Dec-2017 | <input type="text" value="100%"/> | This is part of the security officers evening role. |
| 1617 BS 3.07 Contractor/Visitor ID Swipe Cards | Medium Priority | <input type="text" value="0%"/> | No evidence provided | 31-Mar-2018 | <input type="text" value="100%"/> | Investigated - unable to complete |
| 1617 BS 4.02 Signed Agreement | Medium Priority | <input type="text" value="0%"/> | No evidence provided | 30-Oct-2017 | <input type="text" value="0%"/> | |
| 1617 BS 4.03 Licence Agreements | Medium Priority | <input type="text" value="0%"/> | No evidence provided | 30-Oct-2017 | <input type="text" value="0%"/> | |
| 1617 H&S 3.04 Policy | Medium Priority | <input type="text" value="0%"/> | Other Higher Priorities | 31-Aug-2017 | <input type="text" value="50%"/> | The Health and Safety Policy is currently being reviewed and it is anticipated only minor changes are expected. Employee responsibilities and processes are likely to remain unchanged. New due date is 31st December 2017 |

| Audit Recommendation Code & Title | Recommendation Priority | Recommendation Progress at implementation review | Reason Not Implemented | Revised Date for Implementation | Updated status October 2017 | Manager Update |
|-----------------------------------|-------------------------|--|-------------------------|---------------------------------|-----------------------------|---|
| 1617 H&S 4.02 Training | Medium Priority | 0% | Other Higher Priorities | 30-Sep-2017 | 100% | The Health and safety course catalogue is on the intranet and HR send round updates when courses are available. |

Second Implementation Reviews 2017/18 Quarter 2



Page 127

| Audit Recommendation Code & Title | Recommendation Priority | Recommendation Progress | Original Date for Implementation | Revised Date for Implementation |
|--|-------------------------|-------------------------|----------------------------------|---------------------------------|
| 1617 IM 2.07 Haven: Chip & Pin Devices | High Priority | 0% | 31-Dec-2016 | 30-Apr-2018 |
| 1617 IM 2.17 Barcode Invoices | High Priority | 0% | 31-Oct-2016 | 31-Aug-2017 |
| 1617 IM 3.02 Financial Guidance | Medium Priority | 0% | 30-Sept-2016 | 30-Sep-2017 |

This page is intentionally left blank