

Approved action plan- Annual Assurance

The following actions are identified following the Annual Assurance Statement Audit carried out by Internal Auditors, Quinn Internal Audit in September 2019.

Action Point	Recommendation	Person responsible	Target completion
Further tenant involvement in business planning process be considered	Continue to look at opportunities to involve tenants, newsletters, e-groups, tenant view forum meetings, rent consultation, tenant surveys	Director/Management Committee	Ongoing
Standing Orders will require review in October 2019. Alongside role descriptions	Included in the October Management Committee Meeting. Roles set out in the Model Rules (being reviewed by SFHA and SHR).	Director/Management Committee	On schedule
A 'Returns Register be put in place which details the statutory submission the Association must make and the date/timescale for doing so. This allows the Management Committee to monitor the performance of Officers and ensures the Association meets required deadline submissions.	This register will be prepared annually and provided to Committee members at the April meeting	Director	April 2020
Regulatory Compliance become an agenda item as part of senior management team meetings when considering reports.	This will be included in management team agenda as a standing item	Director	November 2019

Management Committee reports include a section outlining potential impact of reporting on Regulatory Compliance.	This will be included in the relevant reports whether be Directors, Maintenance, Tenant Participation etc	Director/Tenant Services Manager	November 2019
The agenda for Management Committee meetings include an attendance record, so attendance can be easily monitored.	This is already provided to Committee every six months but can easily be included for each committee meeting.	Director	November 2019
Office Bearer job descriptions may require review	Duplication as already noted above.	N/A	N/A
The Association consider reporting on previous year's performance for comparison within the performance report.	This information is already on our website but for ease for our tenants we will amend the report to include the previous year's performance	Director/Tenant Services Manager	October 2020
The performance report include a high level statement of expenses paid to Management Committee Members.	This is already reported to Committee and will be published in our Model Publication Scheme under Freedom of Information and is already included in our annual report.	Director	Ongoing
Improve reporting on lessons learned from complaints monitoring i.e. 'you said, we did', on our website.	This already happens and is good practice and is highlighted on our website and newsletter when appropriate	Project and Communications Coordinator	Ongoing

The Association consider developing a Publication Scheme for implementation on the website publish information in line with legislative duties under the Freedom of Information (Scotland) Act 2002 which comes into effect from 11 November 2019.	This is a requirement and we will provide ours to the Scottish Information Commissioner on the 31 st October 2019	Data Protection Officer/Staff	November 2019
The Committee continue to work with senior staff to identify what more could be done to increase tenant participation and involvement in the Association.	A review of our tenant participation policy is presented to Committee every 3 years, we provide a quarterly tenant participation report containing our survey results. We have seen an increase in tenant involvement on the Committee this year.	Director/Management Committee	Ongoing
The Management Committee assure themselves that they have had suitable training on Finance/Treasury Management.	Training to be provided and this should be a training item that is repeated at least every two years and can be done internally or externally as determined by Management Committee	Director/Management Committee	March 2020
Outcome of the Senior Officer appraisal be reported at a high level to the Management Committee.	The appraisal was complete this year and the next logical step is for the Chair to report back to Committee what the outcomes/objectives are for the coming year.	Chairperson/Director	June 2020
The format of the risk register requires refresh, and this should possibly become an internal audit topic	The internal auditor subject to Management Committee approval has agreed to include the risk register in their audits for Forth in 2020/21	Director/Internal Auditor	October 2020

The Management Committee meet in camera with Auditors annually to receive impartial update on audit engagements	This has already been agreed by Management Committee when appointing the current Internal Auditors	Director/Management Committee/Internal Auditors	March 2020
The values of the Association should be discussed at appraisals. This provides an opportunity for staff to demonstrate how they have complied with the objectives of the Association.	An amendment to the current appraisal forms for staff will be made to include this.	Director	February 2020
The Association will need to provide minutes of meetings publicly and should commence a process of determining the format of minute taking going forwards	We currently provide a summary on our website, this will now be amended, subject to the removal of personal, confidential and commercially sensitive information from the minutes.	Director	November 2019
The Management Committee continue to maximise their availability to attend training.	My understanding the Committee are committed to this and within the standing orders it sets out a minimum of training events per year.	Management Committee/Director	Ongoing
Staff and Committee may require Equality and Diversity training	Training to be organised as it is recognised that over 3 years has lapsed since training was provided for both staff and committee.	Director	June 2020
New policies and policies coming up for review are Equality Impact Assessed (EIA).	This is a practice generally completed by Local Authorities and bigger landlords. There is an expectation that RSL's demonstrate equality and diversity and after the training is provided, then this will be adopted into our policies as standard.	Director/Tenant Services Manager/Senior Staff	August 2020

Appraisals and review sessions be used to remind staff and Management Committee of the whistleblowing process.	Will update current appraisal forms to include this item	Director	February 2020
The Association consider introducing a Bribery and Fraud Policy.	Good practice to have this policy	Director	March 2020
The Association consider developing a Management Committee profile. Outlining the preferred composition of the Committee in order to target recruitment.	This is provided to Committee after the AGM, and Committee considers what, if any action is required.	Management Committee/Director	Annually
The Association should provide the Management Committee with a report for approval regarding new members to the Committee.	As above, the theme from the Internal Auditor and that of the Regulator, that there is a focus on Committee profiling, recruitment and succession planning.	Management Committee/Director	Ongoing
Succession planning be addressed by the Association.	As above and it was agreed that during appraisals discussions would cover succession planning	Management Committee/Director	Ongoing
The Association continue to explore ways of expanding the diversity of membership.	As above for Management Committee to consider but the equality and diversity of the current board appears to be very good	Management Committee/Director	Ongoing
Following the completion of the induction process a review meeting be held with inducted members to ensure they are comfortable with the process and have	Sensible suggestion and will amend the Management Committee Recruitment and Induction Policy to reflect this change.	Director/Chairperson	Ongoing

understood the requirements of the role.			
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